



ISSN 2599-6312

# DRAFT GENERAL BUDGET OF THE EUROPEAN UNION

Working Document Part I

financial year 2022

Programme Statements of operational  
expenditure

COM(2021) 300 - June 2021

#EUBUDGET

Budget

The European Commission is not liable for any consequence stemming from the reuse of this publication.

Luxembourg: Publications Office of the European Union, 2021

© European Union, 2021



The reuse policy of European Commission documents is implemented based on Commission Decision 2011/833/EU of 12 December 2011 on the reuse of Commission documents (OJ L 330, 14.12.2011, p. 39). Except otherwise noted, the reuse of this document is authorised under a Creative Commons Attribution 4.0 International (CC-BY 4.0) licence (<https://creativecommons.org/licenses/by/4.0/>). This means that reuse is allowed provided appropriate credit is given and any changes are indicated.

For any use or reproduction of elements that are not owned by the European Union, permission may need to be sought directly from the respective rightholders.

All photos © European Union, unless otherwise stated.

Print	ISBN 978-92-76-32082-1	doi:10.2761/45	KV-AO-21-002-EN-C
PDF	ISBN 978-92-76-32081-4	ISSN 2599-6312	doi:10.2761/757087
			KV-AO-21-002-EN-N

**DRAFT GENERAL BUDGET**  
**of the European Union**  
for the financial year 2022

Working Document  
**Part I**

**Draft General Budget  
of the European Union  
for the Financial Year 2022**

**Working Document Part I  
Programme Statements of operational expenditure**

The 2022 Draft Budget is accompanied by thirteen ‘Working Documents’, as follows:

#### **Part I: Programme Statements of operational expenditure**

Working Document I contains, pursuant to Article 41(3)(h) of the Financial Regulation, Programme Statements, which are presenting the 2021-2027 programmes and their performance framework, and provide details on the resources dedicated to each spending Programme for the period 2014-2020.

#### **Part II: Human Resources of the EU institutions and executive agencies**

Working Document II presents information on the human resources of the EU institutions and executive agencies, and in particular for the Commission, both for the establishment plans and for external personnel and across all headings of the multiannual financial framework. Moreover, pursuant to Article 41(3)(b) of the Financial Regulation, it provides a summary table for the period 2019 – 2022 which shows the number of full-time equivalents for each category of staff and the related appropriations for all institutions and bodies referred to in Article 70 of the Financial Regulation.

#### **Part III: Bodies set up by the European Union having legal personality**

Working Document III presents detailed information relating to all decentralised agencies and Joint Undertakings, with a transparent presentation of revenue, expenditure and staff levels of various Union bodies, pursuant to Article 41(3)(c) of the Financial Regulation.

#### **Part IV: Pilot projects and preparatory actions**

Working Document IV presents information on all pilot projects and preparatory actions which have budget appropriations (commitments and/or payments) in the 2022 Draft Budget, pursuant to Article 41(3)(f) of the Financial Regulation.

#### **Part V: Budget implementation and assigned revenue**

Working Document V presents the budget implementation forecast for 2021, information on assigned revenue (implementation in 2020 and estimation for 2022), and a progress report on outstanding commitments (RAL) and managing potentially abnormal RAL (PAR) for 2020, pursuant to Article 41(3)(d) of the Financial Regulation.

#### **Part VI: Commission expenditure under the administrative heading of the multiannual financial framework**

Working Document VI encompasses administrative expenditure to be implemented by the Commission under the administrative heading of the multiannual financial framework (heading 7) in accordance with Article 317 of the Treaty on the Functioning of the European Union, as well as the budgets of the Offices (OP, OLAF, EPSO, OIB, OIL and PMO), pursuant to Article 41(3)(e) of the Financial Regulation.

#### **Part VII: Commission buildings**

Working Document VII presents information on buildings under Section III - Commission, pursuant to Article 266(1) of the Financial Regulation.

#### **Part VIII: Expenditure related to the external action of the European Union**

Working Document VIII presents information on human resources and expenditure related to the external action of the European Union, pursuant to Article 41(10) and (11) of the Financial Regulation.

#### **Part IX: Funding to international organisations**

Working Document IX presents funding provided to international organisations, across all MFF headings, pursuant to Article 41(3)(g) of the Financial Regulation.

#### **Part X: Financial Instruments**

Working Document X presents the use made of financial instruments, pursuant to Article 41(4) of the Financial Regulation.

#### **Part XI: Budgetary Guarantees, Common Provisioning Fund and Contingent Liabilities**

Working Document XII presents the implementation of Budgetary Guarantees, the Common Provisioning Fund and the assessment of the sustainability of the contingent liabilities arising from budgetary guarantees and financial assistance pursuant to Article 41(5) of the Financial Regulation.

#### **Part XII: EU Trust funds**

Working Document XII presents the activities supported by EU Trust Funds, their implementation and performance, pursuant to Article 41(6) of the Financial Regulation.

#### **Part XIII: Payment schedules**

Working Document XIII presents summary statements of the schedule of payments due in subsequent years to meet budgetary commitments entered into in previous years, pursuant to Article 41(3)(i) of the Financial Regulation.

---

## Table of Contents

INTRODUCTION .....	2
FINANCING OF HORIZONTAL POLICY PRIORITIES IN THE EU BUDGET .....	9
PROGRAMME STATEMENTS – TABLE OF CONTENTS .....	23

## INTRODUCTION

### 1. Purpose and structure

#### Purpose

The Financial Regulation (Art. 41(3)(h)) requires the Commission to prepare the Programme Statements to justify funding requested for each of the EU spending programmes. They report on the indicators defined in the legal basis of each of the programmes. The Programme Statements are the first working document accompanying the draft budget proposal and has the aim of supporting the Commission's requests for the annual budget allocations for operational expenditure. They allow to draw lessons from the past and answer the following questions:

- Is the EU budget achieving its goals?
- Is it on track to reach its expected impact?
- What are the important factors impacting on the performance and what is the Commission doing to work in that context?

The Programme Statements present the most comprehensive and up-to-date performance information for the operational programmes of the EU budget. They were first introduced to support the draft budget 2014 and are updated each year in the context of the preparation of the Commission's draft budget proposal. They are discussed in the annual budget hearings with the Commission services responsible for the spending programmes and revised based on the outcomes of these hearings.

The Programme Statements are also the main source of information for the the Programmes Performance Overview, Annex 3 of the Annual Management and Performance Report.

#### Structure

In this year's Programme Statements, the report follows the structure of the 2021-2027 Multiannual Financial Framework (MFF). The reader will find first an introduction to the 2021-2027 programmes, including an explanation of how the programme is designed to work, the financial programming, the link to the 2014-2020 programmes, the key indicators to monitor the performance of the programmes, and the projected contribution to horizontal priorities. NGEU top-ups are included inside the programmes benefitting from the additional funds.

The Programme Statements report on the effective implementation of the EU budget operational expenditure. This year, the report presents the results achieved by the end of 2020, the last year of the 2014-2020 multiannual financial framework. The reader will be able to find the performance results of the 2014-2020 programmes as part of the corresponding 2021-2027 programmes statements. Indeed, there is a continuity in many areas of the EU budget intervention by policy: under both multiannual financial frameworks the EU budget invests in research, cohesion, agriculture, students mobility etc. At the same time, each new MFF is an opportunity to improve the design of the EU budget interventions, their objectives, and the way they deliver results. This year's Programme Statements show on the one hand the continuity of the EU budget intervention in the same policy areas and, on the other hand, highlight what has been improved from one 7-year period to another.

It is also important to highlight that not only is there a continuation of the EU budget intervention across MFF by policy but also many EU programmes have a life-cycle that is longer than the 7-year MFF period. That means that the budgetary implementation of these programmes will continue, sometimes for a number of years into the 2021-2027 MFF. Examples of this are programmes that finance infrastructure projects or other investments from which the results take time to appear. This document also strives to keep the focus on these long-term investment programmes as they have important lessons learned to give for future decisions in their field.

The reader will find below the mapping of the 2021-2027 programmes and their corresponding predecessor programmes from the 2014-2020 multiannual financial framework:

<b>Correspondence between the 2021-2027 and the 2014-2020 multiannual financial framework</b>	
<b>2021-2027</b>	<b>2014-2020</b>
Horizon Europe	Horizon 2020
Euratom Research and Training programme	Euratom Research and Training programme

ITER	ITER
InvestEU	European Fund for Strategic Investments
Connecting Europe Facility II	Connecting Europe Facility I
Digital Europe Programme	Connecting Europe Facility I Interoperability Solutions and Common Frameworks for European Public Administration, Businesses and Citizens (ISA <sup>2</sup> )
Single Market Programme	Programme for the Competitiveness of Enterprises and small and medium-sized enterprises (COSME) European Statistical programme Specific activities in the field of financial reporting and auditing Enhancing consumers involvement in the EU policy making in the field of financial services Consumer programme Food and Feed
EU Anti-Fraud programme	Programme to promote activities in the field of the protection of the financial interests of the EU (Hercule) Anti-fraud Information System (AFIS)
Fiscalis	Fiscalis
Customs	Customs
Space programme	Implementation and exploitation of European satellite navigation systems (EGNOS and Galileo) European Earth Observation Programme (Copernicus)
Regional Policy, which merges the European Regional and Development Fund and the Cohesion Fund.  Includes the Recovery Assistance for Cohesion and the Territories of Europe top-ups to the European Regional and Development Fund	European Regional Development Fund Cohesion Fund
Support to the Turkish Cypriot Community	Instrument of financial support for encouraging the economic development of the Turkish Cypriot Community
Recovery and Resilience Facility	The Recovery and Resilience Facility is a new programme, the centrepiece of “Next Generation EU”, the temporary instrument to help rebuild the post-COVID-19 EU
Technical Support Instrument	The Technical Support Instrument builds on the success of its predecessor, the Structural Reform Support Programme. This year for the first time the Programme Statements are integrating

	it. However, past data are not available.
Protection of the Euro against Counterfeiting (Pericles)	Exchange, assistance and training programme for the protection of the Euro against Counterfeiting (Pericles 2020)
Union Civil Protection Mechanism (RescEU)	Union Civil Protection Mechanism in the EU Union Civil Protection Mechanism in partner countries
EU4Health programme	Union action in the field of health
Emergency Support withing the Union	This year Programme Statements will focus on the Emergency Support instrument role and impact in addressing the COVID-19 crisis.
European Social Fund + including the Recovery Assistance for Cohesion and the Territories of Europe top-ups to the European Social Fund and the Fund for the Most Deprived and the Employment and Social innovation strand.	European Social Fund (2014-2020) Fund for European Aid to the Most Deprived European Union programme for Employment and Social Innovation (EaSI)
Erasmus +	The Union programme for Education, Training, Youth and Sport (Erasmus+)
European Solidarity Corps (2021-2027)	European Solidarity Corps EU Aid Volunteers initiative
Creative Europe (2021-2027)	Creative Europe (2014-2020)
Justice programme (2021-2027)	Justice programme (2014-2020)
Citizenship, Equality, Right and Values	Rights, Equality and Citizenship programme Europe for Citizens
Communication	Statement on Financial intervention in the Communication policy area
Common Agricultural Policy, which merges the European Agricultural Guarantee Fund and the European Agricultural Fund for Rural Development	European Agricultural Guarantee Fund European Agricultural Fund for Rural Development
European Maritime, Fisheries and Aquaculture Fund	European Maritime and Fisheries Fund
Sustainable Fisheries Partnership Agreements and Regional Fisheries Management Organisations (2021-2027)	Sustainable Fisheries Partnership Agreements and Regional Fisheries Management Organisations (2014-2020)
Programme for the Environment and Climate action (LIFE)	Programme for the Environment and Climate action (LIFE)

Just Transition Mechanism	New
Asylum, Migration and Integration Fund	Asylum, Migration and Integration Fund
Integrated Border Management Fund, which merges the Instrument for Border Management and Visa and the Custom Control Equipment Instrument	Internal Security Fund – Border and Visa
Internal Security Fund	Internal Security Fund – Police
Nuclear Decommissioning Lithuania	Nuclear decommissioning assistance programme in Lithuania
Nuclear Safety and Decommissioning (including for Bulgaria and Slovakia)	Nuclear decommissioning assistance programmes in Bulgaria and Slovakia
European Defence Fund	European Defence Industrial Development programme
Neighbourhood, Development and International Cooperation Instrument – Global Europe	Development Cooperation Instrument European Neighbourhood Instrument Instrument contributing for Stability and Peace European Instrument for Democracy and Human Rights Partnership instrument for cooperation with third countries European Fund for Sustainable Development
European Instrument for International Nuclear Safety Cooperation	Instrument for Nuclear Safety Cooperation
Humanitarian Aid	Humanitarian Aid
Common Foreign Security Policy	Common Foreign Security Policy
Overseas Countries and Territories (including Greenland)	Cooperation with Greenland
Macro-Financial Assistance	Macro-Financial Assistance
Instrument for Pre-Accession Assistance III	Instrument for Pre-Accession Assistance II
European Globalisation Adjustment Fund for Displaced Workers	European Globalisation Adjustment Fund
European Union Solidarity Fund	European Union Solidarity Fund
Innovation Fund	New

## Content

Compared to previous years, the Programme Statements content has been reorganised, enriched and clarified.

Part 1 “**Overview**”, contains the presentation of the 2021-2027 programmes, how the programme is designed to work with notably its objectives and delivery mode, link with the 2014-2020 Multiannual Financial Framework, and its financial programming.

Part 2 “**Where are we in the implementation?**” explains the use of appropriations, both backward and forward looking. In particular, in a new subsection “Cumulative implementation rate”, the reader will find the implementation rate in commitments and in payments of the 2014-2020 programme compared to its total envelop and the state of play justification. This section is meant to be read in relation to part 3 “how is the programme performing?”: the cumulative implementation rate shows that for a number of important 2014-2020 programme, a relevant share of the 2014-2020 envelop has not yet been spent due to long investment period. Performance results for these programmes should be assessed in this light.

Part 3 “**How is the programme performing?**” contains an assessment of the performance of the 2014-2020 programmes. This performance assessment draws from multiple sources: evaluations, studies and reports, key achievements, and indicators. The reader will find a clear, balanced and robust analysis about to what extent the 2014-2020 programmes are reaching their objectives, as well as lessons learned applied in the design of the 2021-2027 programmes.

Part 4 “**Programme 2021-2027 – Key monitoring indicators**” presents the indicators from the legal bases (adopted, agreed at political level, or proposed by the the Commission) of the programmes for the 2021-2027 period along with a selection of the methodological information (the complete methodological framework will be published on the Commission’s website<sup>1</sup>). The methodological framework provides transparency about how and when the indicators will be reported, and ensures that the results will be reported from the start based on a solid pre-defined methodology.

Part 5 “**Programme 2014-2020 – Key monitoring indicators**” reports on the results of the complete set of indicators for the 2014-2020 Multiannual Financial Framework. This year, for the first time, each indicator is presented with an assessment of whether it is on track to achieve its final target, including a justification of this assessment in the field “justification of the trend”. This addition will allow the reader to get a better understanding of how to interpret the indicator results and, ultimately, of how well the programme is performing.

Part 6 “**programme contribution to horizontal policies**” presents the quantitative and qualitative contribution of each programme (for both the 2014-2020 and 2021-2027 periods), to climate mitigation and adaptation, the fight against biodiversity loss, clean air, gender equality, and the sustainable development goals. The content of this part is used to produce the report that provides an overview of the EU budget contribution towards these horizontal priorities, agreed by the European Parliament, the Council and the in the inter-institutional agreement accompanying the MFF.

## Link to other performance reports

The Programme Statements are the main source of information for the Commission’s Annual Management and Performance Report<sup>2</sup> (AMPR), and its Annex 3: the Programme Performance Overview. The AMPR is part of the Integrated Financial Accountability Reporting Package, an essential input for the annual ‘discharge procedure’ through which the European Parliament and the Council hold the Commission accountable for the way it manages the EU budget.

This year’s Programme Statements should also be read together with the Commission’s Communication on the performance framework for the EU budget under the 2021-2027 MFF, and the annexed staff working document containing the Programme & Performance fiches<sup>3</sup>. In particular parts 1 and 4 of the Programme Statements are closely aligned with the content of these fiches.

## 2. The EU budget performance framework

Strengthening the effective implementation of the budget – its performance – is an overarching goal for the Commission. The performance of the EU budget not only means that EU programmes are well managed, but also that they deliver results. The European Commission is fully committed to ensuring that the EU budget is implemented in full accordance with the highest standards of financial management, is as effective as possible in achieving its key objectives, and delivers value for all EU citizens. In other words, the Commission puts performance of the EU budget front and centre. For that, a sound performance framework is crucial. The performance framework for the EU spending programmes is defined in each of the relevant legislative acts and consists of objectives, indicators to measure and monitor progress, as well as annual reporting and multi-annual evaluations.

The work already done and the Commission’s commitment to budgetary performance in the future are outlined in the Communication on the performance framework for the EU budget under the 2021-2027 MFF.

### The system of performance indicators for the EU budget under the 2014-2020 MFF

The EU budget has an advanced framework for measuring and reporting on performance. The OECD concluded that the system of performance budgeting under the 2014-2020 MFF<sup>4</sup> was best in class among OECD countries. The leading principles of this system are set out in the Financial Regulation, which requires the provision of information on the progress of specific, measurable, achievable, relevant and timed objectives measured by indicators. The Better Regulation Guidelines provide instructions on setting

<sup>1</sup> [https://ec.europa.eu/info/strategy/eu-budget/performance-and-reporting/programmes-performance\\_en](https://ec.europa.eu/info/strategy/eu-budget/performance-and-reporting/programmes-performance_en)

<sup>2</sup> [https://ec.europa.eu/info/publications/annual-management-and-performance-report-eu-budget-0\\_en](https://ec.europa.eu/info/publications/annual-management-and-performance-report-eu-budget-0_en)

<sup>3</sup> [LINK](#)

<sup>4</sup> [www.oecd.org/gov/budgeting/budgeting-and-performance-in-the-eu-oecd-review.pdf](http://www.oecd.org/gov/budgeting/budgeting-and-performance-in-the-eu-oecd-review.pdf)

indicators, their link with objectives and stage of implementation of a programme or policy area. These principles are implemented in a set of indicators set out in the legal basis of the respective spending programmes.

Indicators perform several functions: measure progress towards the programme objectives; monitor the implementation and performance of the programme providing an early warning on potential deviations; and allow to communicate and inform about the performance of the EU budget.

The performance framework of the 2014-2020 MFF includes more than **700 indicators** (more than **1 100** taking into account sub-indicators) measuring the performance against more than 60 general and 220 specific objectives. However, not all indicators measure EU budget performance directly. Some provide either high-level contextual information (e.g. "the Europe R&D target of 3% GDP" or "share of researchers in the EU active population") or process-related information (e.g. "quality of project applications", or "number of participants"). Additionally, not all indicators are available immediately after the start of the programme. The reporting on performance indicators varies from one programme and type of indicator to another and is influenced mainly by the following factors:

- The type of performance indicators<sup>5</sup> chosen determines when the performance information starts to be available. Input indicators, used rarely in the PS, and output indicators are available much sooner than result and impact indicators, which require an intervention to be finalised – sometimes large-scale investments.
- For some interventions the outcomes take place in a relatively short time (e.g. the grants allocated for students under Erasmus+), while for other interventions (e.g. infrastructure investment programmes like CEF) the results will only be known when the projects reach the necessary maturity.
- The mode of implementation (i.e. shared, direct, or indirect management) influences the way performance information is collected, aggregated and transmitted to the decision makers. Around three quarters of the EU budget is implemented by Member States under shared management. The rest is implemented by the Commission directly or via the executive agencies (direct management), or via agreements with third parties such as the European Investment Bank or international financial institutions (indirect management). The results from shared management programmes are more complex to aggregate and validate, and their results are usually reported with at least a one year lag.
- Cost of collection: some indicators for which the collection of data is expensive or complex are collected at a lower frequency (every 2 or 3 years for example). As a result, for some objectives the performance indicators allow progress to be tracked on an annual basis while for others only the mid-term interim evaluations deliver tangible indications on performance.

## Indicators in the DB 2022 Programme Statements

In budgetary terms, 2020 was the seventh and last year of implementation of the 2014-2020 financial framework. However, many EU programmes have a life-cycle that is longer than the 7-year MFF period, extending its budgetary implementation for a number of years into the 2021-2027 MFF, and setting targets to be achieved later than in 2020 (e.g. 2023).

As the implementation of the programmes is more advanced, there are more indicator data available than in previous years, allowing for a better assessment of the performance of the indicators and the programmes. The most recent data are available for the programmes directly managed by the Commission (reporting results as at the end of 2020 in most cases). The programmes under shared management present values recorded and reported by the Member States as at the end of 2019. The programmes under indirect management present a mixed picture; some have results reported up to 2020, while others depend on the reports or surveys carried out by the international organisations.

## Practical limitations of performance indicators

Indicators should, to the extent possible, provide the most direct evidence of the effects they are measuring. However, it is important to stress that the indicators alone are not sufficient to draw conclusions on whether a policy or programme is successful, or on track to achieve its objectives. For this type of assessment, the indicators should be analysed in conjunction with other quantitative and qualitative information, such as budget implementation data, external factors impacting the programme, key achievements, project pipeline, etc. This comprehensive assessment is done in the context of the programme evaluations.

The set of indicators presented in the Programme Statements is a robust data source to help understand, monitor and inform of the progress of spending programmes. However they are not meant to be used independently from the rest of quantitative and qualitative information provided in the Programme Statements.

## The EU Budget Performance Framework under the 2021-2027 MFF

The 2021-2027 multiannual financial framework is at the heart of the EU's economic policy framework, more so today than ever before. The EU budget will power the EU's response to the COVID-19 pandemic. It will help to address the ongoing health

---

<sup>5</sup> The type of performance indicators is defined in the 'Guidelines on monitoring' from the Better Regulation Guidelines: <https://ec.europa.eu/info/sites/default/files/better-regulation-guidelines-monitoring.pdf>

emergency, kick-start the recovery, steer our economies and societies towards a more sustainable, digital and resilient future, and strengthen the EU's geopolitical role.

Over the next seven years, unprecedented amounts of funding will be channelled through the EU budget to address these challenges. Together with NextGenerationEU – the EUR 750 billion recovery instrument – the 2021-2027 MFF amounts to more than EUR 1.8 trillion. This is close to double the size of the budget for 2014-2020 and is the largest investment package ever financed through the EU budget.

The European Commission is fully committed to ensuring that the 2021-2027 MFF is implemented in full accordance with the highest standards of financial management, is as effective as possible in achieving its key objectives, and delivers value for all EU citizens. For that, a sound performance framework is crucial.

The preparation of the 2021-2027 multiannual financial framework has provided the opportunity to further improve the performance framework, taking into account lessons learnt from the past in order to construct a fully-fledged performance framework for the EU budget. The Commission has made a major effort to identify a high-quality set of indicators for the new programmes. The overall number of indicators has been reduced from over 1 100 in the 2014-2020 period to around 700 for 2021-2027. The indicators have been carefully selected to provide a representative indication of performance on an annual basis throughout the cycle and have been included in the basic legal texts for each programme. The Commission has worked closely with the European Parliament and the Council to make sure that these improvements were reflected in the final programmes that were adopted.

Part 4 “**Programme 2021-2027 – Key monitoring indicators**” of the Programme Statements, presents the performance indicators, included in the legal bases of the programmes, and which will be used to monitor the performance of the programmes during the 2021-2027 period.

To make sure the indicators provide data that are reliable, trustworthy and comparable, the Commission is also clarifying, for each indicator, the source of information, what exactly the indicator measures, and when data will be available, together with other supplementary information. This way, all interested parties will have at their disposal all the necessary information to check the robustness of the results. The Programmes Statements include a selection of this technical information, while the Programme and Performance fiches, annexed to the Communication on the performance framework, present the complete set of technical information.

The indicators set out in the legal bases will, in most cases, be complemented with a more comprehensive set of indicators as part of the monitoring and evaluation framework for each programme. This reflects the importance of robust data measuring the impacts of EU spending programmes, which the recent Commission Communication on Better Regulation highlighted again. These indicators will allow for deeper analysis of performance in the interim and ex post evaluations of the programmes, the results of which are an essential input to the design of future programmes. When available, the Commission will report on the results of the multi-annual evaluations of budgetary spending programmes also in the Programme Statements.

## FINANCING OF HORIZONTAL POLICY PRIORITIES IN THE EU BUDGET

This section presents key information on the financing of horizontal policy priorities in the EU budget, covering climate, biodiversity, gender and Sustainable Development Goals, as foreseen in point 16(d,e,f,g) of the Interinstitutional Agreement (IIA)<sup>6</sup>.

Climate and environmental policy are at the core of the EU policy making. While the Treaty<sup>7</sup> already defines the environmental challenge as a core element of the Union's action, the Commission has been striving to do more.

The Paris Agreement, formally ratified by the EU in 2016, sets out a global framework to avoid dangerous climate change by limiting global warming to well below 2°C, and pursuing efforts to limit it to 1.5°C above pre-industrial levels. It also aims to strengthen the ability of countries to deal with the impact of climate change and support them in their efforts. The United Nations' Agenda 2030 also provides the EU policy a direction, which integrates the Sustainable Development Goals.

In March 2018, the Commission put forward the action plan on [sustainable finance](#). Action 1 of the action plan calls for the establishment of an EU classification system for sustainable activities, i.e. an EU taxonomy. With this in mind, in May 2018 the European Commission proposed a Regulation on the establishment of a framework to facilitate sustainable investment (Taxonomy Regulation), which was adopted in June 2020<sup>8</sup>. The scope of the taxonomy is to define a voluntary standard framework to steer private investment towards environmentally sustainable projects.

The Commission made the green transition its first priority in the 2019 – 2024 period, as declared by the President in her political guidelines<sup>9</sup>. The Communication on the European Green Deal confirms this ambition. The plan puts the climate and environmental challenges into the centre of the EU activity, aiming to make Europe the first climate-neutral continent by 2050, while boosting the competitiveness of European industry and ensuring a just transition for the regions and most affected workers. The [European Green Deal Investment Plan](#), presented in January 2020, announced that the Commission will enhance the climate methodology and explore ways to use the taxonomy in the framework of public expenditures. The Commission will also reinforce the link between climate and biodiversity expenditures, exploiting the existing synergies in nature-based solutions. Furthermore, the [European Green Deal](#) underlined the need for long-term signals to direct financial and capital flows to green investments. On this basis, the Commission presented a renewed sustainable finance strategy in the third quarter of 2020, focusing on a number of actions, including making it easier for investors to identify sustainable investments and ensuring that they are credible. A “farm-to-fork” Strategy for sustainable food, a “Biodiversity Strategy, a new circular economy action plan and the proposal for the first “European Climate Law”<sup>10</sup> are other key elements.

In 2020, the EU provided an unprecedented response to the coronavirus crisis that hit Europe and the world. At its heart is a stimulus package worth EUR 2.018 trillion in current prices (EUR 1.8 trillion in 2018 prices). It consists of the EU's long-term budget for 2021 to 2027 of EUR 1.211 trillion (EUR 1.074 trillion in 2018 prices), topped up by EUR 806.9 billion (EUR 750 billion in 2018 prices) through NextGenerationEU, a temporary instrument to power the recovery. The EU sets the limits of its spending in the multiannual financial framework, the EU's long-term budget for the next 7 years. In this way, the EU secures the resources for its political priorities, like digitalisation and green deal. The package includes a 30% target for climate expenditures for the overall MFF and a biodiversity ambition of 7,5% of the 2024 annual budget and 10% of the annual budgets 2026 and 2027.

### Climate mainstreaming

The fight against climate change is, by its very nature, a fight that transcends national boundaries. In order to achieve our climate goals, develop new clean technology, deploy the best solutions and drive our economies towards a more sustainable path, action at EU level is needed. EU action can exploit significant economies of scale, pull together resources to reach critical mass, and contribute to strengthening the EU in the international arena.

The EU budget makes a crucial contribution towards the fight against climate change. Over the course of the 2014-2020 multiannual financial framework, the EU delivered on its ambition of spending 20% of available funds on climate-related measures.

### What do we do?

In the 2014-2020 multiannual financial framework, the Commission implemented an innovative approach to dedicate resources to the fight against climate change: ‘climate mainstreaming’. This requires programmes in all policy areas to consider climate

<sup>6</sup> Interinstitutional Agreement between the European Parliament, the Council of the European Union and the European Commission on budgetary discipline, on cooperation in budgetary matters and on sound financial management, as well as on new own resources, including a roadmap towards the introduction of new own resources.

<sup>7</sup> Treaty on European Union, Article 191.

<sup>8</sup> Regulation (EU) 2020/852 of the European Parliament and of the Council of 18 June 2020 on the establishment of a framework to facilitate sustainable investment, and amending Regulation (EU) 2019/2088.

<sup>9</sup> [https://ec.europa.eu/commission/sites/beta-political/files/political-guidelines-next-commission\\_en.pdf](https://ec.europa.eu/commission/sites/beta-political/files/political-guidelines-next-commission_en.pdf)

<sup>10</sup> COM(2020) 80.

priorities in their design, implementation and evaluation phases. With a target of contributing 20% of the EU budget expenditure to climate goals, all the programmes are designed to implement two types of measures.

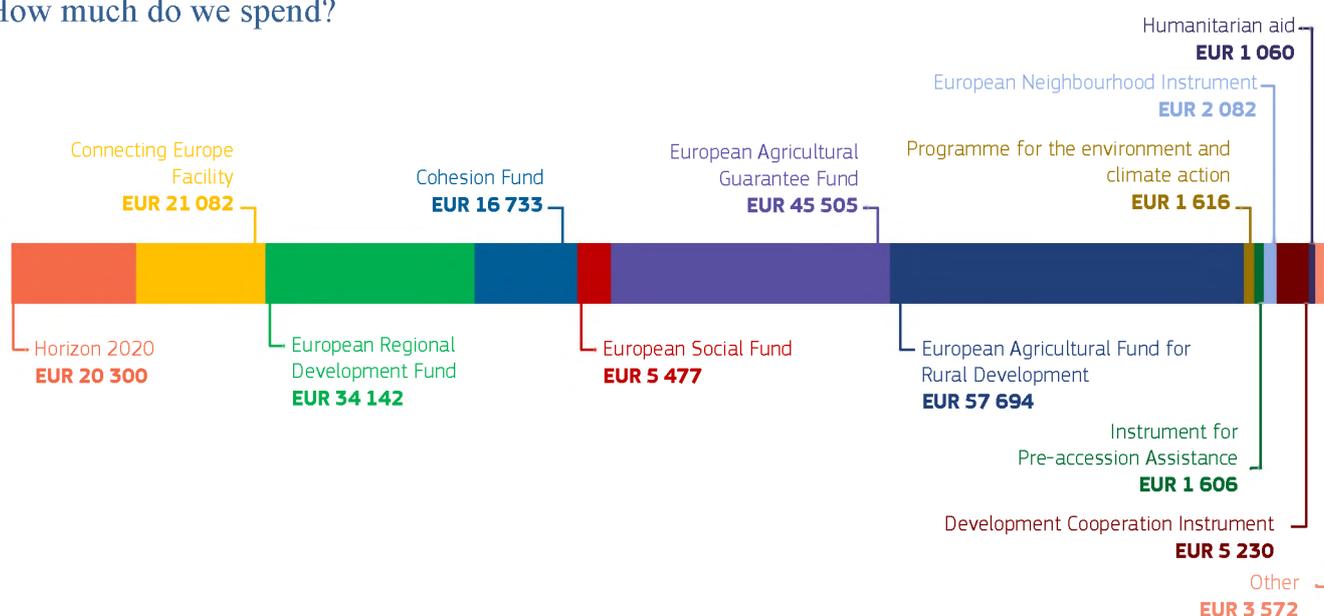
- **Adaptation.** This involves finding solutions to and ensuring preparedness for adverse effects of climate change, enhancing resilience, taking appropriate action to prevent or minimise the damage such effects can cause, and taking advantage of any opportunities that may arise.
- **Mitigation.** This refers to actions that limit the magnitude of long-term climate change. Climate change mitigation generally involves reductions in emissions of greenhouse gases.

In this context, **'climate proofing'** is the practice of making sure that buildings and infrastructure are adapted to cope with the changes in the environment. This is applied across the EU budget in the programmes supporting infrastructure. In addition, to guarantee that the EU budget financing does not have a harmful effect on the environment, an **'exclusion list'** of projects that cannot be financed is also included in the common provisions regulation.

In the context of the **2021 - 2027 multiannual financial framework**, the Commission has improved its approach to climate mainstreaming, including through:

- increasing the **overall target** to 30% for the contribution to climate mainstreaming and including sectorial targets in the relevant legislation;
- embedding the EU budget action in the **European Green Deal policy framework**, through the adoption of the biodiversity strategy and the farm-to-fork strategy;
- enhancing the climate responsiveness of the budget for programmes that do not directly tackle the climate challenge, through reinforced **climate proofing** and the application of the **'do no significant harm'** principle;
- A strong shift from the Organisation for Economic Co-operation and Development's 'Rio markers', which are intent-based, to the **EU 'climate coefficients'**, which are instead result-based. A comprehensive overview of the climate methodology will be presented by the Commission once finalized;
- In accordance with the inter-institutional agreement, a **'climate adjustment mechanism'** will enable the Commission to take remedial action to address possible gaps in the achievement of targets of individual programmes, either by ensuring that the gap is filled by the same programme in the following years of implementation, or by other programmes in the following years, so that the overall target can be achieved as planned;
- The Commission will fund 30 % of the NGEU programme through **green bonds issuance**. This could amount to up to EUR 250 billion, establishing the EU as one of the largest issuers of green bonds globally;
- Finally, the Commission is working on proposals for new own resources, which may include the introduction of **new green own resources**.

## How much do we spend?



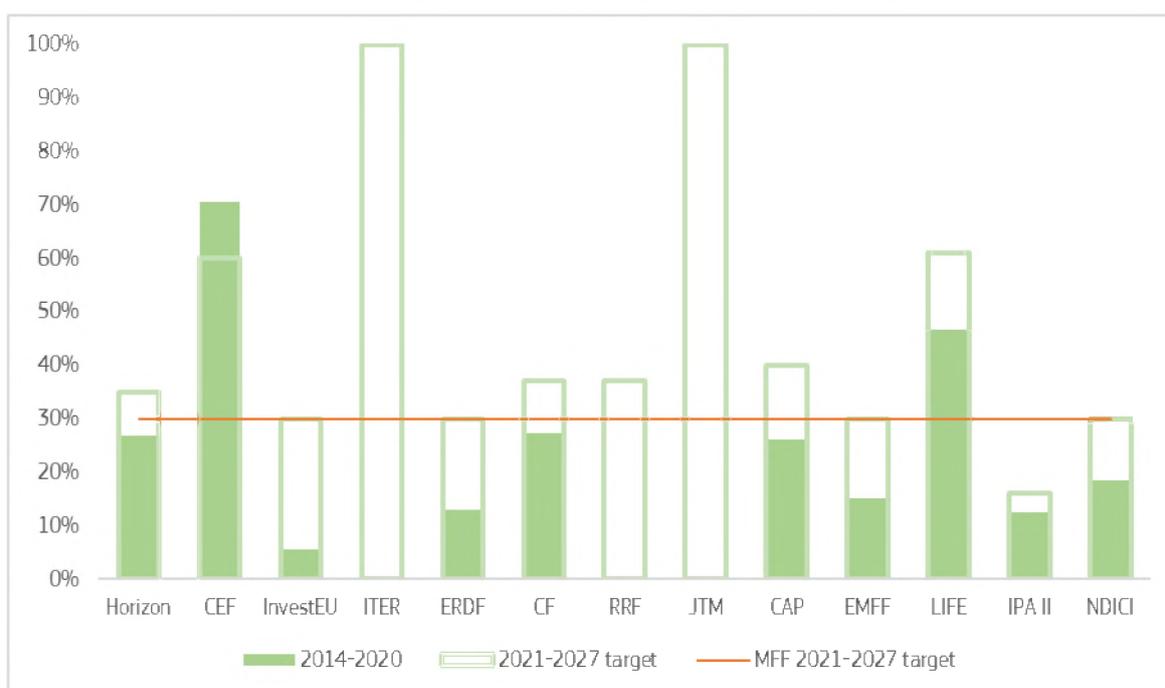
### Climate contribution in 2014 to 2020, in million EUR

Source: European Commission.

In 2021, the Commission is continuing to revise and update all the data available, including further consolidating existing data and applying a more granular methodology where possible.

## For the 2014-2020 period, EUR 216 billion of the EU budget was dedicated to the fight against climate change, i.e. 20.15%.

In the period 2021-2027 the EU budget will deliver at least 30% of climate expenditures, of the MFF and NGEU budget. To achieve this, the relevant basic acts include a set of targets that underpins the overarching target. The chart below compares the climate expenditures in 2014-2020 period and ex-ante target in 2021-2027. The white section shows the increased ambition of the programmes in terms of climate expenditures, achieved through the inclusion of the European Green Deal policy framework into the design of the programmes. A complete overview of the climate expenditures is available at the end of this document and in each Programme Statement. For the CEF programme, a recalculation of the 2014-2020 period expenditures done in 2021 has shown that the expenditures related to climate are actually higher than what anticipated when the new target was set.



Comparison of climate expenditures in 2014-2020 period and ex-ante target in 2021-2027

Source: European Commission.

### Climate Methodology

In the 2014- 2020 period, to track the EU budget expenditure, the Commission uses the EU markers, based on the internationally recognised methodology of the Organisation for Economic Co-operation and Development's Rio markers. The methodology consists of assigning a coefficient of 0%, 40% or 100% to each intervention to reflect the extent to which climate considerations have been integrated into its design. These markers are assigned at the lowest level of granularity possible by the design of the programme.

Given the risk that the same action would be categorised differently depending on why it was financed<sup>6</sup>, the Commission started moving already in the 2014-2020 MFF towards a system of classification by type of action. For the 2021 – 2027 MFF, the European Commission is further developing that tracking system to use **EU climate coefficients**. These retain the three-tier system from the OECD Rio markers but further reinforce a classification of types of action by their expected effects on climate that is consistent across the EU budget.

An important first step was taken in the climate tracking methodology for the new Recovery and Resilience Facility where substantive conditions have been included in the categories to reflect considerations of effect to the extent possible. The Commission is working on extending this system across the EU budget, reflecting new policy developments, in particular the European Green Deal and the new "Taxonomy of Sustainable Finance

### Climate Adjustment Mechanism

The Climate Adjustment Mechanism provision is structured so to guarantee that the different targets will be reached. This will be ensured through:

- Sectorial targets, underlying the overall 30% target. These targets have been included in articles of the legislation for the programmes where strong pre-programming is present, to limit the risk of deviation (e.g. RRF, CPR);

- Enhanced monitoring and reporting, through a more granular tracking in the financial system of the Commission and a specific section in the Programme Statement of operational expenditures that monitors the target;
- A mechanism whereby the Commission will propose corrective actions in line with the specific basic act provisions in case of deviations in the programming that could endanger the 30% target;

As evident in annex I of this report, currently the EU Budget fulfills both the overall 30% target and each sectorial target. This section will be updated yearly according to the most updated data and will explain any deviation of the performance, as needed.

## Some examples of what we achieved

### Under Horizon 2020

- **Sustainable and resilient production of food, wine and oil.** This project designed a climate services prototype to build more resilient, efficient and sustainable agriculture and food systems. Although it focused on three key crops in the Mediterranean area (grapes, olives and durum wheat), the prototype can be used in other sectors. **The co-production of climate services for East Africa project** co-developed dedicated climate services for the water, energy and food security sectors with stakeholders and end users, to enhance their ability to plan for and adapt to seasonal climate fluctuations in East Africa. The services will potentially reach 365 million people in 11 countries.
- **Urban climate resilience.** **GrowGreen** supported nature-based solutions for urban climate resilience, from co-design to co-management, with contributions to climate strategies in city case studies, such as the city of Manchester in the United Kingdom.
- **Climate impacts beyond Europe.** This project identifies how the risks of climate change to countries, economies and peoples beyond Europe might cascade into Europe. It also looks into possible mitigation and adaptation efforts.
- **Too much or too little water.** **The ‘bridging the gap for innovations in disaster resilience’ project** supported innovations in climate change adaptation, bridging the gap between innovators and end users in resilience to floods, droughts and extreme weather.

### Under the space programme

- The **Copernicus Climate Change Service** works together with businesses across the globe to turn raw climate data into sector-specific information aimed at users within the field, such as businesses, researchers and policymakers. One of these projects is the global biodiversity service, which aims to support those working to preserve species, to protect the areas that are most climate sensitive, to increase the resilience of ecosystems and to reduce biodiversity loss around the world by providing the information needed to create plans to sustain ecosystems in present and future climate conditions.

### Under cohesion policy

- By 2019, an increase of over 2 000 MWh in additional capacity of renewable energy production had been achieved.
- Over 285 000 additional households were able to achieve an improved energy consumption classification with the help of regional funding.
- A decrease of over 1.2 billion kWh in annual primary energy consumption by public buildings was achieved.
- By 2019, a reduction of over 2.9 million tonnes of CO<sub>2</sub> equivalent per year had been achieved.

### Under Erasmus+

The **‘Green living in the rural area’ training course** was designed, to empower youth workers and their organisations to support social and environmental responsibility, saving and optimising resources. The project trains youth workers to reuse and recycle materials and equips them with the skills to act as multipliers in their own organisations. The main objectives are to raise participants’ awareness of sustainable development in rural areas and of ways of reusing and recycling materials; to provide participants with the knowledge, skills and competence to reuse wood and other materials to build a tree house; to encourage the participants’ entrepreneurial spirit; and to foster creativity, leadership skills, innovative attitudes and environmental responsibility in participants, so that they can act as multipliers of the knowledge acquired in the training course.

### In relation to the external dimension

The EU fulfilled its pledge to provide a EUR 10 million financial **contribution to the Adaptation Fund** – one of the international climate funds established under the United Nations Framework Convention on Climate Change, thus contributing to the global efforts to address climate change in the most vulnerable countries of the world. Furthermore, the EU continued to provide support for climate action to developing countries through its flagship initiative, the global climate change alliance+.

**Climate-related administrative expenditure** is not accounted for in the mainstreaming estimates. The European Commission is committed to sustainability. Thus, through the eco-management and audit scheme system, the Commission implements a monitoring programme to assess, measure, monitor and reduce the environmental impact of its daily activities. The Commission has achieved significant results, for example the following (results refer to the Brussels site during the 2005-2019 period) (11):

- energy for buildings = – 65% (MWh/person),
- CO<sub>2</sub> emissions for buildings = – 86% (tonnes/person),
- office paper = – 71% (sheets/person/day),
- water use = – 58% (m<sup>3</sup>/person),
- non-hazardous waste = – 38% (tonnes/person).

## Biodiversity Mainstreaming

Preservation of biodiversity ensures the long-term stability of ecosystems and enables the sustainable preservation of natural resources for future generations. Tackling biodiversity loss and restoring ecosystems require significant investments, including to ensure a more resilient society and combat the emergence of diseases linked to ecosystem degradation and wildlife trade.

### What do we do?

To halt and reverse the decline of biodiversity in the EU is a major objective of the EU, as confirmed in the political guidelines from Commission President von der Leyen. Protecting biodiversity is a global issue that requires transnational intervention and coordination. This important strategic political ambition is reflected in the European Green Deal and its 2020 investment plan.

In line with the **European Green Deal**, the Commission, the European Parliament and the Council of the European Union decided in an interinstitutional agreement that biodiversity should be mainstreamed in the EU programmes, to achieve a level of **‘7.5% in 2024 and 10% in 2026 and in 2027 of annual spending under the MFF [multiannual financial framework] to biodiversity objectives**, while considering the existing overlaps between climate and biodiversity goals’ (12). This is in line with the statement in the biodiversity strategy for 2030 that biodiversity action requires at least EUR 20 billion per year stemming from ‘private and public funding at national and EU level’ (13), of which the EU budget will be a key enabler. The Biodiversity Strategy also sets out that, as nature restoration will make a major contribution to climate objectives, a significant proportion of the EU budget dedicated to climate action will be invested on biodiversity and nature-based solutions

### How much do we spend?



**For the 2014-2020 period, the EU budget dedicated EUR 85 billion, or 8% of the multiannual financial framework, to the fight against biodiversity loss.**

### Biodiversity Methodology

To track the EU budget expenditure for biodiversity, an internationally recognised methodology (the Rio markers) is used. The methodology involves applying a coefficient of 0%, 40% or 100% to each project/objective/strand/programme, reflecting the

<sup>11</sup> For more details, please see the Commission’s environmental statement ([https://ec.europa.eu/environment/emas/pdf/other/ES\\_2020\\_Results\\_2019\\_Corporate\\_summary.pdf](https://ec.europa.eu/environment/emas/pdf/other/ES_2020_Results_2019_Corporate_summary.pdf) and [https://ec.europa.eu/environment/emas/pdf/other/EMAS\\_brochure.pdf](https://ec.europa.eu/environment/emas/pdf/other/EMAS_brochure.pdf)).

<sup>12</sup> Interinstitutional Agreement between the European Parliament, the Council of the European Union and the European Commission on budgetary discipline, on cooperation in budgetary matters and on sound financial management, as well as on new own resources, including a roadmap towards the introduction of new own resources (OJ L 433I, 22.12.2020, p. 28) (<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.LI.2020.433.01.0028.01.ENG>).

<sup>13</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions – EU biodiversity strategy for 2030 – Bringing nature back into our lives (COM(2020) 380) (<https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1590574123338&uri=CELEX%3A52020DC0380>).

degree to which biodiversity considerations have been integrated. The Commission is currently working to update the Biodiversity methodology for the 2021-2027 period, to properly implement an enhanced EU Coefficient system for biodiversity expenditures.

## Some examples of what we achieved

The **Horizon 2020 project on the biosystematics, informatics and genomics of the big four insect groups** studied the four largest insect groups, to investigate hotspots of largely unknown insect diversity to better comprehend its potential for helping tackle economic and societal needs. The project employed a wide spectrum of modern, innovative approaches to uncover the evolutionary history of several insect lineages.

Through **cohesion funding**, by 2019:

- nearly 3 million additional people were being served by improved waste water treatment with the help of regional funds;
- nearly 6 million hectares of habitats had achieved better conservation status with support from regional funds.

The **Development Cooperation Instrument** helped improve the conditions of 186 different species.

Under the **European Neighbourhood Instrument**, bilateral and regional projects have been targeting biodiversity. For example, the **integrated monitoring and assessment programme–marine protected areas project** aims at achieving a good environmental status for the Mediterranean Sea and coast through an ecologically representative and efficiently managed and monitored network of marine protected areas. The project has a total budget of EUR 4 million and its implementation period runs from 2019 to 2022.

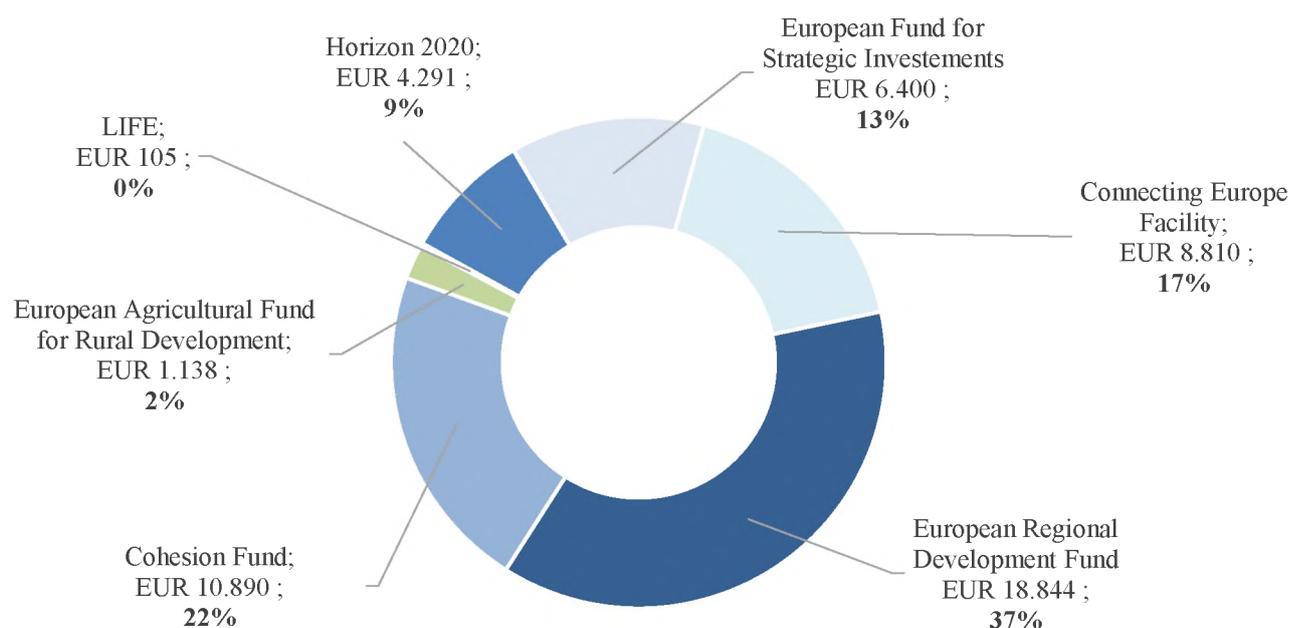
Another example is the **EU4Environment project** within the Eastern Partnership. This project helps partner countries to preserve their natural capital and to increase people's environmental well-being, by supporting environment-related action, demonstrating and unlocking opportunities for greener growth and establishing mechanisms to better manage environmental risks and impacts.

## Clean Air tracking

The EU has been working for decades to reduce air pollution to levels that do not give rise to negative impacts on, and risks to, human health and the environment. Air quality has improved in the European Union over time and emissions of several air pollutants have decreased. This has been possible thanks to EU clean air legislation and efforts to integrate environmental protection requirements in general and clean air priorities in particular into sectoral policies, including stricter control of harmful substances emissions into the atmosphere. Joint efforts at EU, national, regional and local level, including thanks to the provision of resources from the EU budget to actions contributing to clean air objectives, have played an important role in delivering progress. However, efforts must continue and intensify as, in most Member States, quality of life remains hampered by the adverse impacts of air pollution. EU air quality standards need to be met across the EU.

To address remaining clean air challenges, EU funding has been made available and successfully used by Member States under various financial streams, by either directly supporting clean air projects or effectively mainstreaming clean air objectives in other investments (e.g. infrastructure, rural and regional development). To monitor progress in the Member States' uptake of EU funds for clean air objective, the Commission tracks EU funding contributing to clean air, by assessing the extent to which each funding stream contributes to this objective. This monitoring will contribute to better implementation of clean air policies in Member States. This tracking also responds to the Commission obligation to report on Member States' uptake of Union funds in support of the achievement of the objectives of Directive (EU) 2016/2284 on the reduction of national emissions of certain atmospheric pollutants (the NEC Directive, for National Emission reduction Commitments Directive) in its Article 11(1)(c).

In order to comply with the Directive's obligation of reporting, the programme statements for relevant programmes include the individual programmes' contribution to clean air throughout the 2014-2020 multiannual financial framework. The precise methodology for tracking the contribution towards clean air objectives will be published along with the implementation report that is mandated by the NEC Directive (Article 11 of the NEC Directive). While for the 2014-2020 MFF ex-post reporting can be done, values for the 2021-2027 MFF rely on estimates. Data for the 2021-2027 MFF is therefore unavailable for InvestEU and LIFE as projects have not been chosen yet.



Clean air contribution in 2014 to 2020, in million EUR

Source: European Commission.

#### Clean air spending by programme

Programme	Estimated clean air contribution 2014-2020 (in EUR million)	Estimated clean air contribution 2021-2027 (in EUR million)
Horizon 2020	4 219	6 192
European Fund for Strategic Investments*	6 400	N/A
Connecting Europe Facility	8 810	8 034
European Regional Development Fund	18 844	29 957
Cohesion Fund	10 890	
European Agricultural Fund for Rural Development	1 138	176
LIFE*	105	N/A
Turkish Cypriot Community	1,9	0,4
<b>TOTAL</b>	<b>52 006</b>	<b>44 359</b>

\* Data available for the period 2014 - 2018

## Gender equality mainstreaming

The Council of Europe defined gender mainstreaming as "the (re)organisation, improvement, development and evaluation of policy processes, so that a gender equality perspective is incorporated in all policies at all levels and at all stages, by the actors normally involved in policymaking<sup>14</sup>". According to the European Institute for Gender Equality (EIGE), gender mainstreaming involves the

<sup>14</sup> For further information, please consult: <https://www.coe.int/en/web/genderequality/what-is-gender-mainstreaming>

integration of a gender perspective into the preparation, design, implementation, monitoring and evaluation of policies, regulatory measures and spending programmes, with a view to promoting equality between women and men, and combating discrimination<sup>15</sup>.

The Commission has embedded gender mainstreaming in its strategy for the promotion of gender equality and has established gender equality as a cross-cutting objective for all policy areas, including fundamental rights and citizenship, employment and social inclusion, cohesion policy, education, research and innovation, external cooperation and humanitarian aid.

The Commission's long-standing commitment to gender equality gained new momentum with the adoption of the Gender Equality Strategy 2020-2025<sup>16</sup>, which delivers on the Commission's commitment to achieving a Union of Equality. It sets out policy objectives and actions to achieve significant progress towards a gender-equal Europe by 2025. The goal is a Union where everybody, in all their diversity, is free to pursue their chosen path in life, have equal opportunities to thrive, and can equally participate in and lead our European society. The key objectives of the Strategy are ending gender-based violence; challenging gender stereotypes; closing gender gaps in the labour market; achieving equal participation across different sectors of the economy; addressing the gender pay and pension gaps; closing the gender care gap and achieving gender balance in decision-making and in politics. The Strategy pursues a dual approach of gender mainstreaming combined with targeted actions, and intersectionality is a horizontal principle for its implementation. While the Strategy focuses on actions within the EU, it is coherent with the EU's external policy on gender equality and women's empowerment.

Since the fallout of the Covid-19 pandemic, the Commission has moved decisively to develop a comprehensive set of initiatives, comprising both first-response measures and more structural measures, in the context of the Next Generation EU and the reinforced Multiannual Financial Framework. The resulting policy response focusses on fair and inclusive recovery. It ensures that equality is at the heart of recovery, and it is designed to mitigate the disproportionate impact that the crisis has on many vulnerable groups in society, irrespective of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation.

As concerns funding in particular, in line with the Gender Equality Strategy 2020-2025, Next Generation EU and the 2021-2027 MFF provide a wide range of EU funding and budgetary guarantee instruments to support actions promoting women's labour market participation and work-life balance, invest in care facilities, support female entrepreneurship, combat gender segregation in certain professions and address the imbalanced representation of girls and boys in some sectors of education and training. Furthermore, dedicated funding is provided for projects benefiting civil society organisations and public institutions that implement specific actions, including preventing and combating gender-based violence. For instance, through the future Citizen, Rights, Equality and Values programme, the Commission continues to support civil society organisations and other stakeholders active at local, regional, national and transnational levels across Europe in tackling gender-based violence and promoting gender equality. Violence, and in particular gender-based violence, are covered by a dedicated strand and specific objective ("Daphne"). Furthermore, the Commission acted to directly support the healthcare systems of EU Member States, where the vast majority of health workers are women (78%)<sup>17</sup>, in their fights against the coronavirus pandemic. Notably, in 2020 the Commission mobilised EUR 3 billion from the EU budget through the RescEU medical equipment capacity and the Emergency Support Instrument for the healthcare sector<sup>18</sup>.

The overview of the information reported on in the programme statements reflects the continuous efforts to reinforce the integration of gender mainstreaming, and is as follows:

- 61% of the draft budget 2022 spending programmes (or 28 out of 46 programmes) contain some qualitative or quantitative information related to their contribution to gender mainstreaming, compared to 58% (or 35 out of 60 spending programmes) under the EU budget 2021. This marks the fourth consecutive year where an increase in the number of reporting programme statements is observed.
- 26% of the draft budget 2022 spending programmes (or 12 out of 46 programmes) provide some financial data on the EU budget contribution to gender mainstreaming, compared to 16% (or 10 out of 60 programmes) under the EU budget 2021.
- 26% of the of the draft budget 2022 spending programmes include actions to tackle violence against women and girls, compared to 10% (or 6 out of 46 programmes) under the EU budget 2021.
- 20% of the draft budget 2022 spending programmes (or 9 out of 46 programmes) present specific actions aiming at ensuring gender balance.

The Commission has been working on the development of a methodology to measure expenditure related to gender equality at programme level in the 2021-2027 MFF, with a view to further reinforcing gender mainstreaming in the post-2020 programming period, and in line with the commitment undertaken in its Gender Equality Strategy. The Commission is engaged in exchanges with the European Institute for Gender Equality as well as with the European Court of Auditors in the context of the audit launched by the former on gender mainstreaming in the EU. Both of these exchanges are contributing to this process.

<sup>15</sup> For further information, please consult: <https://europa.eu/!kg64Cb>

<sup>16</sup> For further information, please consult: <https://europa.eu/!QR69qN>

<sup>17</sup> For further information, please consult: <https://europa.eu/!kX87Uu>

<sup>18</sup> For further information, please consult: <https://europa.eu/!BU83CV>

The methodology aims at improving gender mainstreaming in the Commission's budget process, through tracking the contribution made by policy design and resource allocation to gender equality objectives. The methodology expands on the general criteria proposed by the OECD for the Rio markers and uses a similar, albeit somewhat adjusted approach as used in climate tracking. With a view to a strengthened reporting, the Commission will analyse the strengths and weaknesses of the proposed methodology and will consider how to report meaningfully on annual expected gender equality expenditure of the programmes in the respective annual programme statements and in other corporate reports. The methodology will be tested in 2022, with a view to using it as of 2023 and expanding it to other programmes once its applicability is proven.

## The EU budget and Sustainable Development Goals (SDGs)

The United Nations' 2030 Agenda for Sustainable Development, with its 17 Sustainable Development Goals (SDGs) and 169 targets, has given a new impetus to global efforts to achieve sustainable development. The EU has played an important role in shaping the 2030 Agenda, through public consultations, dialogue with partners and in-depth research. The EU is committed to playing an active role to maximise progress towards the SDGs, as outlined, among others, in its Communication 'Next steps for a sustainable European future'<sup>19</sup> and in the Commission Staff Working Document 'Delivering on the UN's Sustainable Development Goals – A comprehensive approach'<sup>20</sup>.

This lasting commitment to SDGs constitutes an overriding political priority for the von der Leyen Commission. The SDGs are an intrinsic part of the President's political programme<sup>21</sup> and an array of deeply transformative policies has already been presented in 2020, such as the European Green Deal, the climate law, a new Industrial Strategy for Europe, the Annual Sustainable Growth Strategy 2020 and 2021, and the new European Skills Agenda amongst others.

This commitment has even greater relevance in light of the global COVID-19 pandemic by providing an impetus to 'building back better' towards a more inclusive, sustainable, just and resilient future for all, leaving no one behind. Notably, the Commission's Annual Sustainable Growth Strategy 2021<sup>22</sup> reaffirmed that sustainability, productivity, fairness and stability, meaning the four pillars on which the EU's economic policy must rely to implement reforms and investments in the European Union<sup>23</sup>, should remain the guiding principles underpinning Member States' recovery and resilience plans under the Recovery and Resilience Facility.

These priorities lie at the heart of the European Semester and ensure that the new growth agenda does the best for people and the planet. To this end, a holistic and balanced approach where the Union works better together with the Member States and across policy fields is required. Given the division of competences between Member States and the EU, a close coordination is crucial for the achievement of the SDGs, as far as the contribution of Member States is concerned.

At Union level, sustainable development challenges are addressed through EU policies and regulatory instruments. As far as the former are concerned, the EU budget, through its spending programmes, provides a significant contribution to sustainable development by complementing the national budgets, in line with the principle of subsidiarity. In doing so, the design and implementation of the EU spending programmes aim at delivering on the objectives in each policy field whilst promoting sustainability through the actions and interventions of the relevant programmes, in a joint and coherent way. In particular, almost 45 out of 61 of the EU spending programmes corresponding to 96% of the EU budget contributed towards at least one SDG in 2020.

The number of programmes contributing to individual SDGs is presented in the graph below:

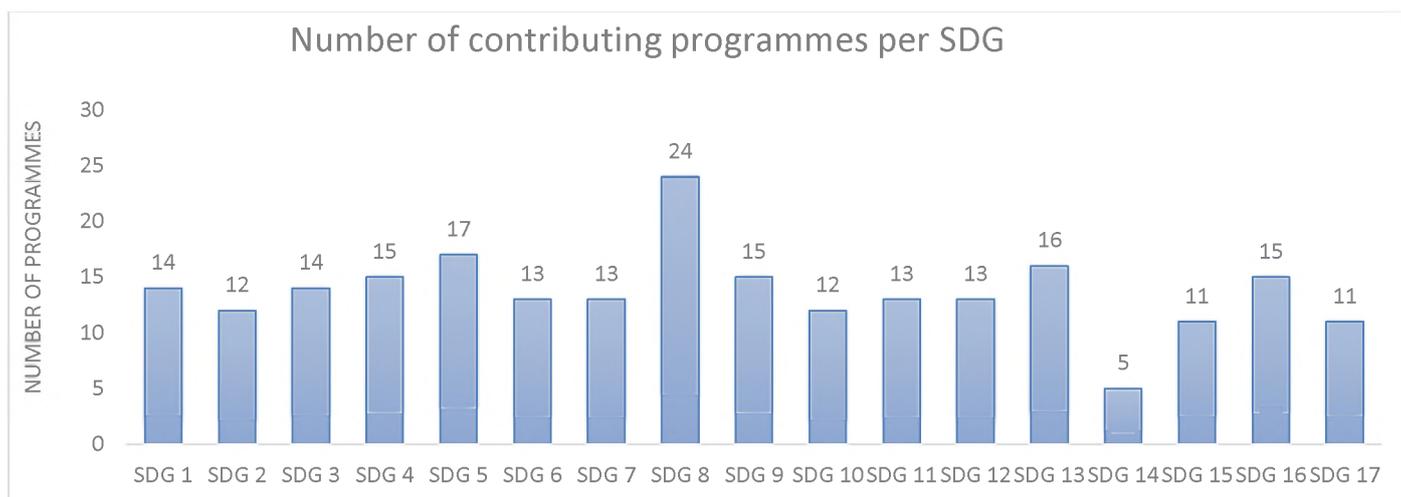
<sup>19</sup> For further information, please consult: <https://euroDa.eu/iPv74QX>

<sup>20</sup> SWD(2020) 400 final, 18.11.2020. For further information, please consult: <https://europa.eu/!dp39gq>

<sup>21</sup> President von der Leyen's [Political Guidelines](#): A Union that strives for more- My agenda for Europe.

<sup>22</sup> COM(2020) 575 final. For further information, please consult: <https://europa.eu/!dM47rj>

<sup>23</sup> Annual Sustainable Growth Strategy 2020, SWD(2019) 444 final. For further information, please consult: <https://europa.eu/!Rv84jt>



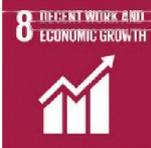
In the light of the cross-cutting nature of SDGs, and in order to ensure a holistic approach in addressing sustainable development, 87% of the spending programmes contributing to SDGs are designed to address multiple SDGs through their policy actions. As last year, the Commission presents the SDGs to which each EU programme contributes along with examples of its contribution. This is with a view to further enhancing the reporting on the performance of its programmes and providing a deeper understanding of the EU policy coherence.

The following infographic illustrates in a non-exhaustive manner the many examples of the contribution of EU programmes to SDGs. It serves to capture the EU's coherent approach with which it supports a variety of initiatives in a wide range of policy fields across the globe with the aim to promote sustainable development for all.

	<p>The <b>Asylum, Migration and Integration Fund</b> contributed EUR 7.5 million in 2020 to a call under Greece's national programme to subsidise the operation of semi-independent-living apartments for unaccompanied minors above 16 years old. The current call covers 500 accommodation places.</p> <p>The EU and its 27 Member States significantly increased their official development assistance for partner countries to almost EUR 67 billion <sup>(24)</sup> in 2020. The EU and its Member States thereby consolidate their position as the world's leading donor, and have taken a major leap forward towards meeting the target they have committed to for 2030.</p>		<p>Under the implementation of the <b>European Globalisation Adjustment Fund</b>'s 'Microsoft 2' case in Finland between 2017 and 2019, EUR 3.5 million in funding from the European Globalisation Adjustment Fund was mobilised to finance measures offered to 883 dismissed workers in support of labour mobility and in cooperation with the European Job Mobility Portal services (i.e. foreign job advertisements and the exchange of experience in online meetings).</p>
	<p>Approximately EUR 4.9 million was invested between 2014 and 2020 to support the testing and eradication of animal diseases such as brucellosis in local sheep, goat and cattle herds and the training of local veterinarians through the <b>Instrument of Financial Support for Encouraging the Economic Development of the Turkish Cypriot Community</b>.</p>		<p>The <b>Cohesion Fund</b> contributed approximately EUR 39.7 million to Poland's largest project for developing smart electricity distribution networks in seven Polish provinces. The project offers fewer network failures, increased security of supply and better quality of life for nearly 3 million inhabitants, and it is expected to reduce primary energy consumption by 1 054 gigajoules/year, resulting in savings of 98 megawatt hours/year.</p>
	<p>The <b>LIFE</b> programme has contributed EUR 10 million to the Polish integrated project Małopolska, which was launched in 2013 and aims to reduce fine particle pollution <sup>(25)</sup>.</p> <p>EU interventions for improved diets and breastfeeding, household resilience, food security, healthcare and the reduction of stunting reached almost 20 million women, adolescent girls and children in 2013-2019 under the <b>Development Cooperation Instrument</b>.</p>		<p>The LIFE material match making platform enabled waste reduction amounting to about 60 000 tonnes (a 10% reduction within the context of the project) from October 2016 to December 2019, through the systematic application of eco-design techniques to facilitate the recovery and reuse of parts that would previously have become waste.</p>
	<p>In Belgium, thanks to <b>European Social Fund</b> support in the amount of approximately EUR 3.3 million, since 2015 the TechnocITé Competence Centre has helped more than 9 000 people develop new skills in the fields of information and communications technology through qualifying and continuous training in one of the 20 courses organised in these fields. The project will run until the end of 2021.</p>		<p>Under the <b>Connecting Europe Facility action</b>, a maximum contribution of approximately EUR 14 million was allocated to the 'AMBRA-Electrify Europe' action to support the deployment between 2018 and 2022 of 6 458 electrical supply points at 3 169 electric charging stations for electric vehicles on six trans-European transport network core network corridors in Spain, Italy and Romania.</p>
	<p>The <b>Erasmus Mundus</b> master's degree in women's and gender studies was funded in 2019 with a total budget of EUR 4.5 million for the following 5 years. Its mission is to produce gender experts able to contribute to greater equality between men and women, and the consortium consists of six universities in four Member States and the United Kingdom.</p>		<p>To date, the <b>European Maritime and Fisheries Fund</b> has funded nearly 15 000 projects on preserving the marine environment and ensuring better resource efficiency.</p>

<sup>(24)</sup> [This is a 15% increase in nominal terms and equivalent to 0.5% of the collective gross national income, up from 0.4% in 2019, according to preliminary figures published by the Organisation for Economic Co-operation and Development's Development Assistance Committee. The commitment for 2030 is 0.7%.](#)

<sup>(25)</sup> [The reduction in fine particle emissions targeted by 2023 is about 25 000 kilograms per day for particles smaller than 2½ microns and 21 000 kilograms per day for particles smaller than 10 microns.](#)

 <p><b>6</b> CLEAN WATER AND SANITATION</p>	<p>In 2020, the <b>Copernicus</b> Land Monitoring Service systematically provided near-real-time information on global inland water bodies and their seasonal replenishment, lake and river water levels, temperature, turbidity and trophic state, including potential water availability from snow and ice cover.</p>	 <p><b>15</b> LIFE ON LAND</p>	<p>In the 2014-2020 period, the <b>common agricultural policy</b>'s rural development support planned for organic farming amounted to EUR 11.2 billion. Furthermore, the share of the EU's agricultural area used for organic farming increased from 5.9% in 2012 to 8.5% in 2019, corresponding to an increase from 9.46 to 13.79 million hectares.</p>
 <p><b>7</b> AFFORDABLE AND CLEAN ENERGY</p>	<p>The <b>European Fund for Strategic Investments</b> helped provide renewable energy to approximately 14.5 million households and save over 7 150 gigawatt hours of energy per year.</p>	 <p><b>16</b> PEACE, JUSTICE AND STRONG INSTITUTIONS</p>	<p>At the end of 2020, actions worth EUR 501 million to counter terrorism and prevent and counter violent extremism outside of the EU were ongoing. This represents an 8% increase compared to the previous year.</p>
 <p><b>8</b> DECENT WORK AND ECONOMIC GROWTH</p>	<p>The <b>European Regional Development Fund</b> contributed EUR 1.2 million to the 'house of digitalisation' project in Lower Austria. The project supported regional companies in strengthening their online trading opportunities in the midst of the COVID-19 crisis through the development of a mobile application allowing small enterprises to quickly and easily become involved in online retailing.</p>	 <p><b>17</b> PARTNERSHIPS FOR THE GOALS</p>	<p>In 2014-2020, <b>creative Europe – MEDIA</b> supported 114 co-productions and 83 distribution deals between EU and developing-country partners.</p>
 <p><b>9</b> INDUSTRY, INNOVATION AND INFRASTRUCTURE</p>	<p><b>Galileo</b>'s search-and-rescue service allows the time required to detect emergency distress beacons to be reduced to less than 10 minutes. As from 2020, a response is sent to the distress beacon in less than 15 minutes, acknowledging that the request has been received and that help is on the way, a unique new feature offered only by Galileo.</p>		

## Annex: climate expenditures

Description	Adopted budget	Draft budget	Financial programming					Total 2021-2027	% of programme envelope & NextGenerationEU
	2021	2022	2023	2024	2025	2026	2027		
(EUR million, commitment appropriations, including external assigned revenue and loans from NextGenerationEU)									
<b>For reference: Voted appropriations in section 3 and NextGenerationEU</b>	<b>329 062</b>	<b>306 875</b>	<b>277 743</b>	<b>169 299</b>	<b>171 686</b>	<b>175 684</b>	<b>181 105</b>	<b>1 997 310</b>	
<b>Total climate change finance in the EU budget</b>	<b>168 952</b>	<b>165 336</b>	<b>93 655</b>	<b>51 356</b>	<b>48 370</b>	<b>48 767</b>	<b>49 283</b>	<b>625 720</b>	
<b>Share of climate-relevant spending in EU budget</b>	<b>51%</b>	<b>54%</b>	<b>34%</b>	<b>30%</b>	<b>28%</b>	<b>28%</b>	<b>27%</b>	<b>31%</b>	
<b>Heading 1 : Single Market, Innovation and Digital</b>									
Horizon Europe – the Framework Programme for Research and Innovation	5 000	5 526	5 637	5 703	5 637	5 637	5 637	38 777	42%
Euratom Research and Training Programme	125	130	134	138	143	-	-	669	34%
International Thermonuclear Experimental Reactor (ITER)	864	710	1 020	806	690	856	667	5 614	100%
InvestEU Programme	844	904	859	120	122	125	109	3 082	35%
Connecting Europe Facility (CEF) (including contribution from the Cohesion Fund and Military Mobility)	4 284	4 323	4 340	4 358	1 225	1 242	1 262	21 034	62%
European Space Programme	357	357	357	357	357	383	383	2 550	17%
<b>Heading 2 : Cohesion, Resilience and Values</b>									
Regional Policy (European Regional and Development Fund and Cohesion Fund)	17 474	12 748	11 207	11 596	11 997	12 410	12 837	90 267	30%
Support to the Turkish Cypriot Community	3	5	-	-	-	-	-	8	3%
European Recovery and Resilience Facility (grants and loans)	115 240	115 240	37 335	-	-	-	-	267 815	37%
Union Civil Protection Mechanism (rescEU)	27	59	61	56	58	59	60	379	11%
European Social Fund + (incl. The Fund for the Most Deprived and Employment and Social Innovation)	1 075	1 075	1 075	1 075	1 075	1 075	1 075	7 525	7%
<b>Heading 3 : Natural Resources and Environment</b>									
European Agricultural Guarantee Fund (EAGF)	7 116	7 153	16 607	16 660	16 713	16 765	16 819	97 833	34%
European Agricultural Fund for Rural Development (EAFRD)	8 784	6 931	4 844	4 844	4 844	4 844	4 844	39 933	41%
European Maritime, Fisheries and Aquaculture Fund (EMFAF)	109	146	140	134	119	121	123	893	15%
Sustainable Fisheries Partnership Agreements (SFPA) and Regional Fisheries Management Organisations (RFMO)	14	14	14	14	14	14	14	99	10%
Programme for the Environment and Climate Action (LIFE)	446	430	441	456	472	492	513	3 249	60%
Just Transition Mechanism	3 259	5 489	5 649	1 257	1 281	1 305	1 330	19 571	100%
<b>Heading 4 : Migration and Border Management</b>									
Neighbourhood, Development and International Cooperation Instrument - Global Europe ( NDICI - Global Europe ) Overseas Countries and Territories (OCT) (including Greenland)	3 618	3 758	3 589	3 411	3 225	3 031	3 173	23 805	30%
Pre-Accession Assistance (IPA III)	17	17	18	18	18	19	19	125	25%
	297	322	328	355	382	390	419	2 492	18%

## Annex: biodiversity expenditures

(EUR million, commitment appropriations)		Adopted budget	Draft budget	Financial programming					Total 2021-2027	% of programme envelope & NextGenerationEU
Description	2021	2022	2023	2024	2025	2026	2027			
<i>For reference: Voted appropriations in section 3</i>	164 450	163 373	164 869	169 275	171 665	175 665	181 088	1 190 385		
<b>Total biodiversity finance in the EU budget</b>	<b>13 780</b>	<b>13 492</b>	<b>13 755</b>	<b>14 236</b>	<b>14 769</b>	<b>15 449</b>	<b>16 046</b>	<b>101 527</b>		
<b>Share of biodiversity-relevant spending in EU budget</b>	<b>8%</b>	<b>8%</b>	<b>8%</b>	<b>8%</b>	<b>9%</b>	<b>9%</b>	<b>9%</b>	<b>9%</b>		
<b>Heading 1 : Single Market, Innovation and Digital</b>										
Horizon Europe – the Framework Programme for Research and Innovation	807	823	839	867	884	902	920	6 042	7%	
European Space Programme	120	120	120	120	120	165	165	930	6%	
<b>Heading 2 : Cohesion, Resilience and Values</b>										
Regional Policy (European Regional and Development Fund and Cohesion Fund)	1 697	2 050	2 424	2 826	3 253	3 705	4 184	20 138	7%	
<b>Heading 3 : Natural Resources and Environment</b>										
European Agricultural Guarantee Fund (EAGF)	5 354	5 373	5 397	5 414	5 432	5 449	5 466	37 885	13%	
European Agricultural Fund for Rural Development (EAFRD)	4 589	3 806	3 624	3 624	3 624	3 624	3 624	26 513	27%	
European Maritime, Fisheries and Aquaculture Fund (EMFAF)	84	112	108	103	92	93	95	687	11%	
Sustainable Fisheries Partnership Agreements (SFPAs) and Regional Fisheries Management Organisations Programme for the Environment and Climate Action (LIFE)	4	4	4	4	4	4	4	31	3%	
	346	332	344	360	381	409	441	2 614	48%	
<b>Heading 4 : Migration and Border Management</b>										
Neighbourhood, Development and International Cooperation Instrument - Global Europe ( NDICI - Overseas Countries and Territories (OCT) (including Greenland)	724	814	837	853	914	1 010	1 058	6 210	8%	
	5	5	5	5	6	6	6	38	8%	
Pre-Accession Assistance (IPA III)	50	51	52	59	60	82	84	439	3%	

## PROGRAMME STATEMENTS – TABLE OF CONTENTS

Horizon Europe – the Framework Programme for Research and Innovation .....	25
Euratom Research and Training Programme .....	82
European Joint Undertaking for ITER and the Development of Fusion Energy .....	115
InvestEU Programme .....	127
Connecting Europe Facility (CEF).....	157
Digital Europe Programme .....	208
Single Market Programme, including COSME, ISA2, ESP, consumer involvement in fin. Services, financial reporting, Food and Feed, consumer programme .....	228
EU Anti-Fraud Programme .....	301
Cooperation in the field of taxation (FISCALIS).....	316
Cooperation in the field of customs (CUSTOMS).....	334
European Space Programme .....	355
Regional Policy (European Regional and Development Fund and Cohesion Fund).....	393
Support to the Turkish Cypriot Community .....	449
Recovery and Resilience Facility .....	467
Technical Support Instrument .....	472
Protection of the Euro Against Counterfeiting.....	482
Union Civil Protection Mechanism (rescEU) .....	494
EU4Health Programme .....	516
Emergency Support Instrument (ESI).....	539
European Social Fund + (incl. The Fund for the Most Deprived and Employment and Social innovation).....	548
Erasmus+ .....	598
European Solidarity Corps (ESC) .....	644
Creative Europe .....	669
Justice Programme .....	699
Citizenship, Equality, Right and Values .....	719
Communication.....	762
Common Agricultural Policy (CAP).....	779
European Maritime Fisheries and Aquaculture Fund.....	841
Sustainable Fisheries Partnership Agreements (SFPAs) and Regional Fisheries Management Organisations (RFMO) .....	868
Programme for the Environment and Climate Action (LIFE).....	879
Just Transition Mechanism (JTM) .....	933
Asylum, Migration and Integration Fund (AMIF) .....	960
Integrated Border Management Fund .....	993
Internal Security Fund (ISF) .....	1018
Nuclear decommissioning (Lithuania) .....	1041
Nuclear Safety and decommissioning (incl. For Bulgaria and Slovakia).....	1052
European Defence Fund (EDF).....	1071
Neighbourhood, Development and International Cooperation Instrument - Global Europe (NDICI - Global Europe ) .....	1084
European Instrument for International Nuclear Safety Cooperation.....	1208
Humanitarian Aid (HUMA).....	1219
Common Foreign and Security Policy (CFSP) .....	1241
Overseas Countries and Territories (OCT) (including Greenland) .....	1254
Macro-Financial Assistance .....	1272
Pre-Accession Assistance (IPA III) .....	1283
European Globalisation Adjustment Fund for Displaced Workers (EGF).....	1315
European Union Solidary Fund (EUSF) .....	1327
Innovation Fund.....	1338



**HEADING 1: Single Market, Innovation and Digital****Horizon Europe – the Framework Programme for Research and Innovation****Lead DG:RTD**

Associated DGs:CNECT, GROW, EAC, ENER, MOVE, CLIMA, HOME, AGRI, DEFIS, JRC

1. Overview .....	26
1.1. Challenges .....	26
1.2. Mission (general objectives) .....	27
1.3. Specific objectives .....	27
1.4. Public intervention context .....	27
1.5. Actions .....	27
1.6. Delivery mode .....	27
1.7. Graphic overview of the programme structure .....	28
1.8. Legal basis and financial programming .....	28
1.9. Link with the 2014-2020 MFF .....	29
1.10. Relevant websites providing more information .....	29
2. Where are we in the implementation ? .....	29
2.1. Programme 2021-2027 .....	29
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	30
3. How is the programme performing ? .....	30
3.1. Performance .....	30
3.2. Key achievements .....	34
3.3. Evaluations, studies and reports .....	38
4. Programme 2021-2027 - Key monitoring indicators .....	38
Specific Objective 1 :Scientific impact by creating high-quality new knowledge, strengthening human capital in research and innovation, and fostering diffusion of knowledge and Open Science .....	38
Specific Objective 2 :Technological/economic impact especially within the Union by influencing the creation and growth of companies, especially SMEs including start-ups, creating direct and indirect jobs especially within the Union, and by leveraging investments for R&I .....	42
Specific Objective 3 :Societal impact by addressing the EU policy priorities and global challenges, including UN SDGs, following the principles of the Agenda 2030 and the goals of the Paris Agreement, through R&I, delivering benefits and impact through R&I missions and European Partnerships and strengthening the uptake of innovation in society ultimately contributing to people's well-being .....	46
5. Programme 2014-2020 - Key monitoring indicators .....	50
Previous Program 1 : The Framework Programme for Research and Innovation (Horizon 2020) .....	50
General Objective 1 :to build a society and an economy based on knowledge and innovation across the whole Union, while contributing to sustainable development .....	50
Specific Objective 1 :Excellent science - European Research Council (ERC) - strengthening frontier research .....	51
Specific Objective 2 :Excellent science - Future and Emerging Technologies - strengthening research in future and emerging technologies .....	51
Specific Objective 3 :Excellent science - Marie Skłodowska-Curie actions - strengthening skills, training and career development .....	52
Specific Objective 4 :Excellent science - Research infrastructures - strengthening European research infrastructures, including e-infrastructures .....	53
Specific Objective 5 :Industrial leadership – boosting Europe's industrial leadership through research, technological development, demonstration and innovation in the following enabling and industrial technologies (information and communication technologies; nanotechnologies; advanced materials; biotechnology; advanced manufacturing and processing; space) .....	53

Specific Objective 6 :Industrial leadership - enhancing access to risk finance for investing in research and innovation.....	55
Specific Objective 7 :Industrial leadership - increasing innovation in SMEs .....	56
Specific Objective 8 :Societal challenges - improving the lifelong health and wellbeing of all .....	56
Specific Objective 9 :Societal challenges - securing sufficient supplies of safe, healthy and high quality food and other bio-based products, by developing productive, sustainable and resource-efficient primary production systems, fostering related ecosystem services and the recovery of biological diversity, alongside competitive and low-carbon supply, processing and marketing chains .....	58
Specific Objective 10 :Societal challenges - making the transition to a reliable, affordable, publicly accepted, sustainable and competitive energy system, aiming at reducing fossil fuel dependency, in the face of increasingly scarce resources, increasing energy needs and climate change .....	60
Specific Objective 11 :Societal challenges - achieving a European transport system that is resource-efficient, climate- and environmentally-friendly, safe and seamless for the benefit of all citizens, the economy and society .....	62
Specific Objective 12 :Societal challenges - achieving a resource - and water - efficient and climate change resilient economy and society, protection and sustainable management of natural resources and ecosystems and a sustainable supply and use of raw materials, in order to meet the needs of a growing global population within the sustainable limits of the planet's natural resources and ecosystems.....	64
Specific Objective 13 :Societal challenges - fostering a greater understanding of Europe, provide solutions and support inclusive, innovative and reflective European societies in a context of unprecedented transformations and growing global interdependencies.....	66
Specific Objective 14 :Societal challenges - fostering secure European societies in a context of unprecedented transformations and growing global interdependencies and threats, while strengthening the European culture of freedom and justice.....	66
Specific Objective 15 :Spreading excellence and widening participation - fully exploiting the potential of Europe's talent pool and to ensure that the benefits of an innovation-led economy are both maximised and widely distributed across the Union in accordance with the principle of excellence.....	68
Specific Objective 16 :Science with and for society - building effective cooperation between science and society, to recruit new talent for science and to pair scientific excellence with social awareness and responsibility.....	68
Specific Objective 17 :Non-Nuclear Direct Actions of the Joint Research Centre - providing customer-driven scientific and technical support to Union policies, while flexibly responding to new policy demands .....	69
Specific Objective 18 :The European Institute of Innovation and Technology - integrating the knowledge triangle of higher education, research and innovation and thus to reinforce the Union's innovation capacity and address societal challenges.....	70
6. The programme contribution to horizontal policies .....	70
6.1. Contribution to climate mainstreaming.....	70
6.2. Contribution to biodiversity mainstreaming.....	72
6.3. Contribution to clean air financing.....	73
6.4. Contribution to gender equality .....	75
6.5. Contribution to the sustainable development goals.....	77

## **1. Overview**

### **1.1. Challenges**

Research and Innovation are essential to shape the future of Europe: they contribute to making Europe a better place in which to live and work and are crucial for providing solutions to the challenges we face today, and will face tomorrow. They help make people's lives better by improving healthcare, environment, climate and digital services. At the same time, by delivering countless new products and services, Research and Innovation improve Europe's competitiveness, boost growth and create jobs. Horizon Europe helps Europe deliver on citizens' priorities, as embodied in the Sustainable Development Goals and in the Paris Agreement on fighting climate change, to bring about sustainable growth and high-quality jobs, and to solve global challenges. It responds to the need to:

- Further improve the creation and diffusion of high-quality new knowledge and innovation in Europe
- Reinforce the impact of R&I in addressing EU priorities
- Ensure a more rapid uptake of innovative solutions

- Strengthen the European Research Area.

## 1.2. Mission (general objectives)

Horizon Europe promotes scientific excellence, generate new knowledge and technologies, and provide the appropriate environment to turn great ideas into products and services that will bring sustainable growth to our economy and create jobs. This will have positive effects on growth, trade and investments flow. Horizon Europe aims to:

- deliver scientific, technological, economic and societal impact from the Union's investments in research and innovation so as to strengthen the scientific and technological bases of the Union and foster its competitiveness in all Member States including in its industry, deliver on the Union strategic priorities and contribute to the realisation of EU objectives and policies,
- contribute to tackling global challenges, including the Sustainable Development Goals by following the principles of the Agenda 2030 and the Paris Agreement, and
- to strengthen the European Research Area. The Programme shall thus maximise Union added value by focusing on objectives and activities that cannot be effectively realised by Member States acting alone, but in cooperation.

## 1.3. Specific objectives

- Horizon Europe develops, promotes and advances scientific excellence, supports the creation and diffusion of high-quality new fundamental and applied knowledge, skills, technologies and solutions, training and mobility of researchers, attracts talent at all levels and contributes to full engagement of Union's talent pool in actions supported under this Programme.
- Horizon Europe generates knowledge, strengthens the impact of research and innovation in developing, supporting and implementing Union policies and supports the access to and uptake of innovative solutions in European industry, notably in SMEs, and society to address global challenges, including climate change and the Sustainable Development Goals.
- Horizon Europe fosters all forms of innovation, facilitates technological development, demonstration and knowledge and technology transfer, strengthens deployment and exploitation of innovative solutions.
- Horizon Europe optimises the Programme's delivery for strengthening and increasing the impact and attractiveness of the European Research Area, fosters the excellence-based participations from all Member States, including low R&I performing Member States, in Horizon Europe and facilitates collaborative links in European research and innovation

## 1.4. Public intervention context

In accordance with the Treaty on the Functioning of the European Union (TFEU), in particular Article 173(3), 182(1), 183 and the second paragraph of Article 188, it is the Union's objective to strengthen its scientific and technological bases by reinforcing the European Research Area in which researchers, scientific knowledge and technology circulate freely and encouraging it to become more competitive, including in its industry, while promoting all research and innovation activities to deliver on the Union's strategic priorities and commitments, which ultimately aim at promoting peace, the Union's values and the wellbeing of its people. The Union invests in research and innovation through the framework programme Horizon Europe to deliver scientific, technological, economic, environmental and societal impact in pursuit of this general objective and to maximise the Union's added value of its R&I investments.

In addition, Horizon Europe will contribute to tackling global challenges, including the sustainable development goals, such as for example are laid down in the 2030 Agenda and the Paris Agreement. The program focuses on objectives and activities that cannot be effectively achieved by Member States acting alone, but in cooperation.

## 1.5. Actions

Horizon Europe is implemented through three pillars interconnected leading to mutual reinforcement of activities. The Excellent Science pillar supports frontier research projects designed and driven by researchers through the European Research Council. It also funds fellowships and mobility of researchers through Marie Skłodowska-Curie actions, and invests in world-class research infrastructures. The Global Challenges and European Industrial Competitiveness pillar supports research into societal challenges, reinforces technological and industrial capacities, and sets EU-wide missions with ambitious goals tackling some of our biggest problems -health, climate change, clean energy, mobility, security, digital, materials, etc. It will also support partnerships with Member States, industry and other stakeholders to work jointly on research and innovation. It includes action by the Joint Research Centre supporting policy making with independent scientific evidence and technical support.

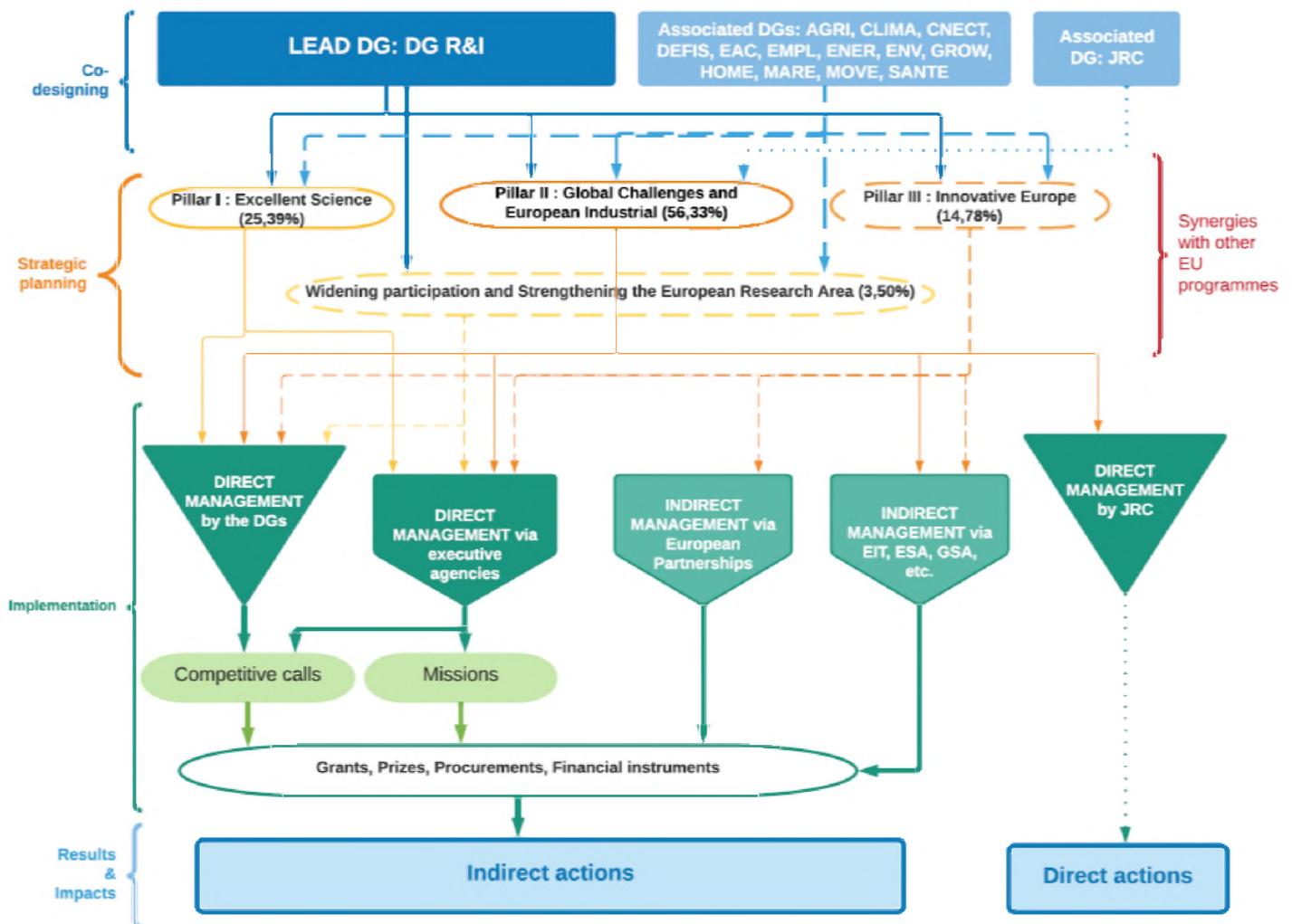
The Innovative Europe pillar aims to make Europe a frontrunner in market-creating innovation and SME growth through the European Innovation Council. It will help develop the overall European innovation landscape. The European Institute of Innovation and Technology (EIT) will continue to foster the integration of business, research, higher education and entrepreneurship. A fourth component on Widening participation and Strengthening the European Research Area underpins the whole of Horizon Europe. It

will support EU Member States in their efforts to unlock their national research and innovation potential and it will especially help low R&I performing Member States to increase their participation in Horizon Europe.

### 1.6. Delivery mode

The Programme is implemented directly by the Commission or through funding bodies designated by it. The Programme may provide funding to indirect actions in any of the forms laid down in the Financial Regulation, in particular grants (including operating grants), prizes and procurements. All EU access to (risk) finance instruments will be implemented under a single Invest EU Fund. DG Research & Innovation is involved in two windows of InvestEU: the R&I Window and the SME Window. The only exceptions are the European Innovation Council’s specific financial instruments. The crosscutting nature of R&I Horizon Europe will promote synergies with other EU programmes.

### 1.7. Graphic overview of the programme structure



### 1.8. Legal basis and financial programming

#### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
-------------	-----------------------	--------------------------------

COM (2018) 435: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination COM (2018) 436: Proposal for a DECISION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on establishing the specific programme implementing Horizon Europe – the Framework Programme for Research and Innovation	2021 - 2027	86 123,0
---	-------------	----------

### 1.8.2. Legal basis explanation

The Horizon Europe regulation, establishes the EU framework programme for research and innovation for the years 2021–2027. It lays down the objectives, the budget, the forms of EU funding and the rules for participation and dissemination. It is implemented through the specific programme established by the decision XX that set out detailed rules for the framework's implementation, as per Article 182 of the TFEU, the operational objectives and activities, especially for missions, the European Research Council and the European Innovation Council. The financial contribution to the EIT is established by Regulation (EC) No 294/2008. While defense research falls under the scope of the Horizon Europe programme, the specific provisions for defense research such as objectives, rules for participation, delivery mechanisms are specified in the Regulation establishing the European Defence Fund.

As regards the European Partnerships, the Horizon Europe regulation lays down the conditions and principles for establishing three types of European Partnerships: Co-programmed European Partnerships; Co-funded European Partnerships using a programme co-fund action and Institutionalised European Partnerships. These partnerships are based on a Council Regulation ([Article 187](#)) or a Decision by the European Parliament and Council ([Article 185](#)). They are implemented by dedicated structures created for that purpose. Institutionalised partnerships will only be implemented where other parts of the Horizon Europe programme, including other types of partnership, would not achieve the desired objectives or expected impacts.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total (including Next Generation EU)</b>	<b>13 278.5</b>	<b>13 956.0</b>	<b>13 800.6</b>	<b>12 364.4</b>	<b>12 608.0</b>	<b>12 857.7</b>	<b>13 112.4</b>	<b>91 977.5</b>

## 1.9. Link with the 2014-2020 MFF

*Horizon Europe* has been built on the positive results of its predecessor, Horizon 2020, of which it maintains many features. As a result of the interim evaluation of the Horizon 2020 programme, some changes were made that are continued under Horizon Europe for example the European Innovation Council pilot launched in 2017 to support breakthrough innovation. In addition, novelties have been introduced in Horizon Europe, notably:

- Deliver targeted solutions to societal challenges together with citizens > EU missions
- Rationalise the funding landscape > Streamlined approach to European Partnerships
- Strengthen international cooperation > extended association possibilities
- Reinforce openness > Open Science policy
- Encourage participation and decrease the R&I gap in Europe > widening participation and spreading excellence
- Increase the R&I impact > synergies with other EU programmes and policies

### 1.10. Relevant websites providing more information

To learn more about the Horizon Europe Programme, you are invited to visit the relevant website that contain information about:

- The structure of the programme, the strategic planning process, the implementation, news: [https://ec.europa.eu/info/horizon-europe\\_en](https://ec.europa.eu/info/horizon-europe_en).
- Information on all EU-supported R&D activities including projects, results, publications: <https://cordis.europa.eu>. The Community Research and Development Information Service (CORDIS) is the European Commission's primary source of results from the projects funded by the EU's framework programmes for research and innovation.

## 2. Where are we in the implementation ?

## 2.1. Programme 2021-2027

The year 2021 is the first year of implementation of Horizon Europe programme. The late adoption of the legal base will postpone the adoption of the work programmes 2021-2022 and the launching of calls for proposals. The first deadlines are foreseen in end May or June for very few calls while usually some call deadlines are planned from January to April each year. This late adoption has an impact on the implementation of the programme, delaying the starting of projects to the first semester 2022. Only a limited number of research projects will be able to start in 2021, therefore the level of payment needs will be very low for 2021. The payments of pre-financings is therefore postponed to year 2022.

In 2022, the Commission will implement the second year of the bi-annual work programmes for Horizon Europe, and the work programmes 2022 for ERC and EIC. The work programmes will foresee call deadlines the first quarter of 2022 that allows the start of the research projects and the payment of the pre-financings related to these calls for proposals already in 2022.

Building on the investments of 2020, the Commission remains committed to boosting spending on coronavirus research and innovation, as well as in other emerging infectious health threats. The new programme for research and innovation, Horizon Europe (2021-2027) will provide a wide range of funding and financing opportunities. However, the pandemic might affect the implementation of Horizon Europe. The starting of some research projects might be postponed due to crisis.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	6 917 047	5 074 186
Implementation carry-overs		
Implementation total	6 917 047	5 074 186
total envelop*	7 103 046	
cumulative implementation rate	97%	71%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The Horizon 2020 total budget for the whole period 2014-2020 has been fully implemented in commitment appropriations. On the payment side 71.7% of the programme was paid to beneficiaries at the end of 2020 the RAL for the next period amounts to EUR 21.4 billion.

In 2020 the Commission implemented the last year of the tri-annual work programme 2018-2020 as well as the last annual work programme for ERC.

In 2021 the Commission plan to pay EUR 8 billion consisting of payments for the pre-financing of research projects starting in 2021 as well as intermediate and final payments related to the on-going research projects. The RAL will therefore be around EUR 13.4 billion.

The pandemic has impacted the implementation of research and innovation projects. During 2020 beneficiaries requested to postpone the starting of the projects have submitted lower cost claims and requested extensions of projects.

Due to the flexibility of the Horizon 2020 it was possible an immediate redeployment of significant resources for COVID19 actions while taking the goals and the level of ambition of the programme into consideration. The EU has pledged over €1 billion from Horizon 2020 to tackle the pandemic of which €780.8 million has already been mobilised. So far €602.3 million has been awarded to support research and innovation projects to tackle many aspects of the pandemic including at least €350 million to support coronavirus vaccine development. These projects address the development of diagnostics treatments vaccines epidemiology preparedness and response to outbreaks socioeconomics mental health production and digital technologies as well as the infrastructures and data resources that enable this research. A further €21.4m in grants will be awarded in the coming months. It also mobilised €400 million in financing from the Horizon 2020 InnovFin including InnovFin EFSI and Infectious Diseases Finance Facility (IDFF) of which €178.5 million has been allocated to accelerate the development of vaccines (e.g. the Covid-19 champion BioNTech and CureVac) and other interventions drugs medical and diagnostic devices or novel critical research and innovation infrastructures including production facilities. A further €221.6 million in IDFF financing will be awarded in the remaining months of the programme.

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.3. Previous programme performance

By coupling research and innovation, Horizon 2020 is helping to achieve smart, sustainable and inclusive economic growth with its emphasis on excellent science, industrial leadership and tackling societal challenges. The goal is to ensure Europe produces world-class science, removes barriers to innovation and makes it easier for the public and private sectors to work together in delivering innovation.

To strengthen and facilitate knowledge sharing and evidence-based policy making, the DG RTD Joint Support Center has developed a dashboard that provides reports on most of the key performance indicators. The result of 18 of the 23 KPIs is displayed on the Horizon dashboard. For example, the dashboard makes it possible to know for a specific objective given the number of "high impact peer reviewed" publications and to visualize its evolution compared to the target throughout the implementation of the programme. It thus makes it possible to gauge exactly the performance of Horizon 2020. It responds to the need for more transparency in the expenditure of the European budget for research and innovation. The dashboard is open to everyone, on: [<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-dashboard>].

Adding a target to a KPI helps to measure success against that KPI. Therefore, where possible, a target was set. The method for setting the target depends on the maturity of the KPIs. Where possible, historical data from previous R&I programs have been used to establish the baseline and thus estimate the target. For the new KPIs, i.e. those which were not measured in the previous framework programs, it was not possible to estimate a target. For these indicators, "new approach" is indicated in the performance tables.

Moreover, in the context of the analysis of the performance of the program an important point which must be taken into account is the rate of implementation of the program. As indicated above in 2020, 71.7% of the programme was paid to beneficiaries at the end of 2020. This is why the target of some KPIs is not 2020 but the year when the last actions financed under Horizon 2020 will be finished. The final figures will be collected after all of the projects are closed and results reported i.e. several years after the formal end of the programme in 2020.

Based on results obtained so far, traffic light rating has been assigned to each specific objective based on the degree to which performance targets were met, (i.e. on track, moderate progress, deserves attention or no data) as indicated in the following table. No data is assigned to KPIs where a target was impossible to set.

Table: Performance Reporting Traffic Light Indicators

			
<b>On track</b>	<b>Moderate progress</b>	<b>Deserves attention</b>	<b>No data (or no target)</b>

#### Performance results

The actions of the programme as far as the pillar 'Excellence Science' is concerned are satisfactory. The performance results show that Horizon 2020 has succeeded in attracting and involving the EU's and world's best research institutions and researchers.

-  - From 2014, 6517 high quality research projects have been funded by the ERC via Horizon 2020. The share of publications from ERC-funded projects which are among the top 1 % highly cited remains high, about 7 %, considerably exceeding the target of 1.8 %.
-  - Over 30 years the EU has invested more and more in future technologies, whether for economic, social or environmental reasons, including through the Future and Emerging Technologies programme with a budget under Horizon 2020 over EUR 2.5 billion. Although the FET have already generated more than 3760 publications and more than 137 patents. Since its creation, the EIC Pathfinder programme, described below, includes the two actions FET open and the FET Proactive.

-  - From 2014, the Marie Skłodowska-Curie Actions (MSCA) has supported the mobility and training of around 69 000 researchers at all stages of their careers, including around 27 000 PhD candidates. It has funded more than 1 000 excellent international doctoral programmes involving universities, research centres, enterprises including SMEs. By the end of all the projects selected until 2020, the programme has exceeded its target of 65 000 researchers, including 25 000 PhD.
-  - From 2014, 115053 researchers have had access to research infrastructures (102949 researchers to research e-infrastructure and 12104 physically). This number exceeded by far the number targeted.

The actions of the programme as far as the pillar ‘**Industrial leadership**’ is concerned are progressing well.

-  - LEIT projects already produced numerous results, more than 5 700 public-private publication and 15 434 firms have introduced innovations with the potential to generate scientific breakthroughs. As regards the patents (556 applications and 217 awarded) 0,7 patent application per 10 Million euro is progressing slightly to the target of 3. Since patents are generally filed at the end of projects, we can expect to be close to the target at the end of all funded projects.
-  - Under the access to risk finance programme, more than 32000 organisations have been funded – which is above the target of 5 000; with EUR 41 billion amount of private funds leveraged. Total investments mobilised via debt financing and Venture Capital investments is of EUR 71 billion, which is above the target of EUR 15 billion. The data provided are based on the last available figures on the first march 2021 reported by the entrusted entities implementing Horizon 2020 financial instruments.
-  - The SME instrument is producing more close-to-market outputs compared to other types of action, followed by innovation actions. So far, 2676 innovations have been introduced to the market and 3797 innovations to the companies. 88% of participating SMEs introducing innovations new to the company or the market, exceeding the target of 50%. The SMEs instruments have generated around 1100 jobs and a growth of EUR 9610 million.

**Measure taken:** Horizon 2020 is succeeding in boosting Europe’s industrial leadership and competitiveness through stimulating leadership in enabling and industrial technologies, improving access to risk finance, and stimulating innovation in SMEs. However, the interim evaluation report [[http://ec.europa.eu/research/evaluations/pdf/book\\_interim\\_evaluation\\_horizon\\_2020.pdf](http://ec.europa.eu/research/evaluations/pdf/book_interim_evaluation_horizon_2020.pdf)] stated that closing the innovation gap and boosting industrial leadership is still a valid key objective for the EU and Horizon 2020, although the importance of supporting breakthrough, market-creating innovation is now more clearly recognised than when designing Horizon 2020. Following the advice from the high level group of innovators, a pilot European Innovation Council (EIC) was created within Horizon 2020. That is why the European Commission has launched the European Innovation Council (EIC) pilot, a flagship initiative that supports the most talented European innovators in scaling-up their breakthrough innovations fast and efficiently. The European Innovation Council (EIC) Pilot aims at identifying, supporting and accelerating the scale up of breakthrough technologies and game-changing innovations. The EIC Pilot supports those individual research teams and entrepreneurs with visionary ideas and the ambition to grow in Europe. The latest report “Deep Tech Europe Report” highlights strong positive impact of the EIC on the innovation community (see: [https://ec.europa.eu/info/news/report-highlights-strong-positive-impact-eic-innovation-community-2020-sep-22\\_it](https://ec.europa.eu/info/news/report-highlights-strong-positive-impact-eic-innovation-community-2020-sep-22_it)). The EIC Pilot showed that the ‘equity component’ to support SMEs in their innovation scaling-up phase is crucial for emergence of new innovation in Europe.

The high-exponential number of applications and requests for funding during evaluation process have confirmed such need. The amount of private investments raised by companies having received EIC funding is an important indicator of their market validation potential. Until May 2020, EIC Accelerator portfolio companies had attracted over € 5.3 billion in private funding. The pilot scheme has gone from strength to strength and under the EIC Accelerator a total of 293 companies have been selected for funding worth over €1 billion since December 2019.

The pilot has also confirmed:

- 1- Importance of the funding coverage of the entire innovation cycle, from technological idea (Pathfinder) to scaling up phase of the deployment (Accelerator).
- 2- A business plan preliminary phase (SME Instrument phase 1) is not necessary to target innovation; therefore the EIC Pilot has focused on more impactful support schemes.

The pillar “societal challenges” reflects the EU policy priorities and addresses major concerns shared by citizens in Europe and elsewhere. Funding focussed on the following challenges:

- Health, demographic change and wellbeing;
- Food security, sustainable agriculture and forestry, marine and maritime and inland water research, and the Bioeconomy;
- Secure, clean and efficient energy;
- Smart, green and integrated transport;
- Climate action, environment, resource efficiency and raw materials;
- Europe in a changing world - inclusive, innovative and reflective societies;
- Secure societies - protecting freedom and security of Europe and its citizens.

Four KPI have defined to measure the performance of the pillar. Two of them were not measured in the previous R&I programmes therefore it was not possible to estimate a target for them. However, a target has been set for the KPI related to the publication and to the patent. The targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.

The pillar ‘**Societal Challenges**’ shows moderate progress according to the KPIs. So far, the societal challenges pillar have already generated more than 8800 peer-reviewed publications in high impact journals; about 7340 public-private publications; 742 patent applications (not yet awarded) and 370 patents awarded and already 44 000 innovations that include prototypes and testing activities.

- From the information available, it is reported for whole societal challenges pillar: 4 peer-reviewed publications in high impact journals per 10 Meuro that is lower than the target of 20 and 0,5 patent application per 10 Meuro lower than the target of 2. Since publications and patents are generally produced at the end of projects, we can expect to be closer to the target at the end of all projects. Moreover, the targets having been established in 2011 from the first results of FP7, this have made difficult to correctly estimate the target for the Horizon 2020. This difficulty was taken into account in the design of Horizon Europe's performance framework. More precise estimation of the targets are carried out. The KPIs “Share of the overall Energy challenge funds allocated to the following research activities: renewable energy, end-user energy-efficiency, smart grids and energy storage activities” linked to the specific objective 10 whose value is of 90% has exceeded its target of 85 %.

**Measure taken:** To address some of the great societal challenges the world is facing like fighting cancer, adapting to climate change, protecting our oceans, living in greener cities and ensuring soil health and food, the “Mission” has been introduced in Horizon Europe. This novelty, an integral part of the Horizon Europe, will increase the effectiveness of funding by pursuing clearly defined targets within a given time frame. Each mission will operate as a portfolio of actions – such as research projects, policy measures or even legislative initiatives - to achieve a measurable goal that could not be achieved through individual actions.

Five mission areas have been proposed, each with a dedicated mission board and assembly.

- Adaptation to climate change including societal transformation
- Cancer
- Climate-neutral and smart cities
- Healthy oceans, seas, coastal and inland waters
- Soil health and food

The final choice of mission will be taken after an assessment phase. The board and assembly will assist the Commission in specifying, designing and implementing the specific missions. .

EU missions will contribute to the goals of the European Green Deal, Europe’s Beating Cancer Plan as well as the Sustainable Development Goals.

**Measure taken:** In order to deal with the challenges from amongst other things, demographic change, globalisation and technological change, a new intervention areas through a dedicated cluster on "Culture, creativity and inclusive society" has been introduced in Horizon Europe. The challenges are interconnected and have been chosen because they respond to the most pressing social, political, economic and cultural concerns and expectations of European citizens. They will provide a clear picture of what benefits citizens and different stakeholders can expect from R&I actions supported under this cluster.

**Measures taken:** As regards the Joint Undertakings set up under Horizon 2020 (SESAR, IMI2, CS2, FCH2, ECSEL, S2R, BBI), in general their performance is considered positive as reported by the ECA, even various matters need improvement. Therefore, measures have been taken to ensure the involvement of the Member States at an early stage in the definition of the next generation of the partnerships. The Commission has consulted the Member States on possible candidates for European Partnerships as part of the Strategic Coordinating Process. The feedback provided by 30 countries (all Member States plus Iceland and Norway) is summarised in the report available on [https://www.era-learn.eu/documents/results\\_structured\\_consultation\\_ms](https://www.era-learn.eu/documents/results_structured_consultation_ms). The next generation of Partnerships has been designed to be simpler and more impactful in addressing the challenges of today’s society. They will have to set up their ambition, for example their contribution to the EGD or the Digital transition with clear targets by 2030. Moreover, before there was more than 100 Partnerships organised in many ways, now there will be only 49 organised into three groups: Co-programmed; Co-funded and Institutionalised.

- “**Spreading excellence and widening participation**” aims at fully exploiting the potential of Europe's talent pool and to ensure that the benefits of an innovation-led economy are both maximised and widely distributed across the Union in

accordance with the principle of excellence. 17 evolutions of the publications in high impact journals in the relevant research fields have been recorded so far.

- As regards, the specific objective **Science with and for society (SwafS)**: The institutional change measured by its KPI is a change with meaningful impact in terms of how a beneficiary governs or structures itself in relation to any of the Responsible Research and Innovation dimensions public engagement, open access, gender, ethics (including research integrity), science education, and lasts beyond the lifetime of project funding. The results of a small sample of RRI and Gender Equality Plans (GEPs) projects revealed that SwafS will well and truly surpass its target of 100 institutional changes in beneficiaries by the end of Horizon 2020.

**But still a way to go** :We need science education for all, gender equality and inclusiveness in our organizations, ethics and integrity built into research, communication we can trust, open science and, ultimately, to put citizens at the heart to ensure excellent research and innovation to meet today's challenges for a better future. Europe can only prosper by matching the immense potential of science with the values, needs and aspirations of society. Horizon Europe will further strengthen its efforts to harness the vast potential that citizens have to offer and ensure effective cooperation between science and society.

- In 2020, 513 tangible specific impacts on European policies resulting from technical and scientific support have been provided by the Joint Research Centre and 548 peer reviewed publications in high impact journals have been generated by the JRC. These results show that during the Horizon 2020 period the JRC has exceeded its targets of 330 and 500 respectively.
- As far as the **European Institute of Technology** is concerned, 2153 organisations from universities, business and research are integrated in the Knowledge and Innovation Communities (KICs), above the target of 1 200. The performance results show also that the collaboration inside the knowledge triangle, leading to the development of innovative products, services and processes, is slightly behind to achieve its innovation target and in meeting the 'start-up and spin-off' target.

Table: Performance Reporting Traffic Light Indicators

				Total
14 KPIs on track	3 KPIs Moderate progress	0 KPIs Deserves attention	6 KPIs with no target	23 KPIs

*As shown in the table, Horizon 2020 is making good progress towards delivering scientific impacts through the reinforcement of R&I capabilities, scientific excellence and reputation, and through the integration of R&I efforts. 14 indicators are on track, 3 indicators show moderate progress. None indicator deserves attention. For the 6 new indicators, it was not possible to set a target. However, all KPIs were measured and recorded. Where it was necessary, appropriate measures were taken to ensure that the objectives are met, such as the creation of the EIC, or the design of missions..*

### 3.2. Key achievements

58 328	31 339	3 089	69 000	186 510
Publications <i>in high impact, peer reviewed Journal</i>	Joined public-private publication <i>in peer reviewed Journal</i>	Patent applications	Researchers, inc. Ph.D, having international or sector mobility	Innovations

The Research and Innovation projects funded by Horizon 2020 have already produced many results. Due to the large volume of results, it is impossible to present all 2020 key achievements. Therefore, only a few of them with limited information are presented in this section. In addition, some key achievements of the projects supporting the implementation of the Paris agreement and EU strategy on Adaptation to climate change, the EU's biodiversity strategy for 2030, the Clean air and the SDGs are shown in the section 6.

The results of all funded projects including all the European Commission's information such as the grant, the funding and participants, the projects' summaries, and links to specific publications and other documents are available on [http://cordis.europa.eu/projects/home\\_en.html](http://cordis.europa.eu/projects/home_en.html).

The ERC approach allows researchers to identify new opportunities and directions in any field of research. It aims at ensuring that funds are channelled into new and promising areas of research with a greater degree of flexibility. Various domains are covered such as, "What is the role of women in post-war times?" "Will climate change strengthen tsunami-like floods in Europe?", "What makes us Europeans?", "Supporting emotional wellbeing of mums boosts health of newborns", "The online world of food sharing, "why our world is green?". More details are available on <https://erc.europa.eu/projects-figures/stories>. ERC-funded projects have also contributed to the evidence-base on tackling the new coronavirus. The ERC has funded over 185 projects researching various facets of pandemics – from epidemiology and virology to socio-economic consequences of pandemics. Moreover, two ERC-funded researchers – Prof. Uğur Şahin (CEO of BioNTech) and Prof. Adrian Hill (Oxford University) have made significant advances in developing and *bringing to the market two different Covid-19 vaccines*.

The Marie Skłodowska-Curie Actions (MSCA) has created an extensive network of researchers and institutions from all scientific fields, and intersectoral partnerships, which are able to contribute to the implementation of different EU policies. This is notably the case for the *European Green Deal*, as MSCA has been funding about 600 research projects related to climate-change for a total budget of EUR 310 million since 2014. MSCA is also greatly contributing to the implementation of the EU strategy for international cooperation in research and innovation, accounting alone for more than half of the total third countries' participations to Horizon 2020, while 37% of the MSCA fellows are nationals from non-EU countries.

Since 2014, the programme has supported over 11 780 projects with an associated budget of around 6.16€ billion, including 1 021 International Training Networks (ie doctoral networks with an associated budget of 3 415€ million), 9 768 Individual Fellowships to experienced researchers (1 868€ million), 216 Co-funding of regional, national and international programmes (COFUND) (599€ million), 582 Research and innovation Staff Exchange projects (544€ million) and 196 NIGHT projects (36€ million). Under Horizon 2020, MSCA-funded projects have involved over 65 000 researchers, including 25 000 PhDs.

The *2020 Nobel Prize in Chemistry* has been awarded to the MSCA alumna and principal investigator Dr Emmanuelle Charpentier together with Jennifer A. Doudna "for the development of a method for genome editing". Dr Charpentier is the 10<sup>th</sup> MSCA-funded researcher, supervisor or principal investigator to be awarded a Nobel Prize to date.

Each year on the last Friday in September, *the European Researchers' Night* brings research and researchers closer to the public at large, to boost public recognition of science and research education and show the impact of research on daily life. In 2020, due to the COVID-19 pandemic the event was celebrated in November, and was implemented in more than 400 cities across 29 countries of Europe and beyond. Every year, the events involve more than 35 000 researchers and attract over 1.5 million visitors.

*Artificial Intelligence (AI) and advanced robotics* are opening new horizons in all sectors of industry, in terms of both developing novel manufacturing techniques, as well as overhauling the interaction between human workers and automated tools. However, there is still much work to be done to completely overhaul and adapt European industry to these new technologies and, by extension, these new opportunities. This is regardless of the fact that Europe is already one of the world's major leaders in the development of AI. Therefore, Horizon 2020 supported projects that have been *pioneering the way forward with AI technologies geared towards industry and manufacturing*. Some of the featured projects, such as COROMA and MONSOON look into the ways in which the use of AI tools and advanced manufacturing robots, equipped with sensors and capable of adapting to the manufacturing environment, can increase the productivity of production, whilst others including Factory2Fit, MANUWORK and THOMAS, look into the complementarity and interaction potential of human-robot and robot-machine collaboration. Meanwhile, some projects, such as GOOD MAN and SERENA, also explore the potential of using AI-based tools for optimising the production process in terms of more efficient maintenance and zero-defect manufacturing. Finally, others, such as ResiBots have focused their work on customised production and even making robots capable of recovery.

Several **Research infrastructures ongoing projects were refocused to address COVID-19 public health emergency crisis** and for the setting up of a Population Health Information Research Infrastructure to collect and make available population health and relevant non-health data in Member States and at EU level.

Observing *the environment from space*, from the ground and from mobile platforms allows a constant and consistent flow of information on the health of the planet, climate change and human activities and their impacts. The funding related research activities in Horizon 2020 associated to the GEO initiative and the Copernicus program actively contribute to global efforts to create a global observing network. Environmental observations help to inform citizens and support policy making through innovative applications. [Climateurope](#) identified gaps, new challenges and emerging *needs to enable better management of climate-related risks and opportunities for creating greater social and economic value*. [H2020 Insurance](#) created a standardised risk assessment model that can evaluate potential losses and areas at most risk and quantify financial losses of modelled scenarios. To help energy sector become more climate-resilient, [S2S4E](#) developed an online climate service that gives more reliable and usable forecasts for weather-dependent hydropower, solar and wind energy production. In the agricultural sector, [VISCA](#) designed

and demonstrated a decision-support system (VISCA DSS) to improve the resilience of wine grape farms to increasing climate-related challenges.

*By supporting the development and integration of advanced nanomaterials, Horizon 2020 contributes to building the next European industrial revolution.* A set of Horizon 2020 funded projects have addressed the upscaling of laboratory-proven nano-based technologies for reaching industrial-scale production and application, providing exciting new opportunities for European industrial production. They have made clear and distinguished progress towards overcoming these barriers and demonstrating how nano-enhanced advanced materials can be safely, sustainably and competitively launched into the industrial mainstream. One group of featured projects, including the [NANOTUN3D](#) and [FAST](#) projects, has showcased how nanomaterials can positively contribute to the growing revolution in 3D printing which will be keenly felt in the medical, automotive, space and construction sectors. The [PEPTICAPS](#) project has pioneered nano-capsules as carriers of medicine able to treat common conditions, such as allergic and irritant dermatitis and sunburn, whilst the [NanoPilot](#) project has constructed a pilot plant to produce small batches of polymer-based nanopharmaceuticals. Meanwhile, the [NANOFACTURING](#) project has finalised a manufacturing platform for solid core nanopharmaceuticals. Finally, many of the selected projects have been engaged in scale-up activities that will embed enhanced nanomaterials into a range of traditional industrial sectors, for example, the [ProDIA](#) project, the [IZADI-NANO2INDUSTRY](#) and [NANOLEAP](#).

The main results and impacts of SME Instrument and Future Emerging Technologies (FET) are presented in the Deep Tech Europe Report (<https://ec.europa.eu/easme/en/news/deep-tech-europe-report-key-numbers-eic-performance>) published in 2020. It focuses on and reveals the ins and outs of the EIC Accelerator and EIC Pathfinder funding schemes. The pilot European Innovation Council (EIC) was created within Horizon 2020 following the ‘call for ideas’ in 2016 and advice from the high level group of innovators. It is reported that the amount of private investments raised by companies having received EIC funding is an important indicator of their market validation potential. Until May 2020, EIC Accelerator portfolio companies had attracted **over € 5.3 billion in private funding** (equity, debt, M&A, IPOs). As regards, the number of job created, EIC-supported companies have doubled their number of employees in the last two years. Considering the data available, around **66% of companies had their teams grow in size**. The average increase was 108% over 2.2 years (24 employees per company). **76% of Pathfinder innovations concern new or emerging markets**. More than just funding The European Innovation Council support goes far beyond funding and offers to innovators access to the best, tailor-made Business Acceleration Services. The Fund aims also to support equality and gender balance. Since May 2020, the EIC is guaranteeing that the pool of the best applicants that are passing all the quality thresholds and being invited to interviews will be composed of at least 25% of companies led by women CEOs (or equivalent positions). As very concrete results, out of 64 companies selected in May, **34% are led by women!** As the EIC Accelerator is a continuously open call with regular cut-offs, this allowed to launch quickly dedicated calls in 2020. For instance, the **EIC Accelerator call dedicated to Corona virus** launched in June 2020, has awarded nearly €166 million, to 36 companies set to combat the coronavirus pandemic. In addition, over €148 million has been granted to another 36 companies set to contribute to the recovery plan for Europe, bringing the total investment from Horizon 2020, the EU’s research and innovation programme, to €314 million in this round. Another example is the **EIC Green Deal** call launched in May 2020 awarded over €307 million to 64 start-ups and SMEs contributing to the objectives of the European Green Deal Strategy and the Recovery Plan for Europe.

Europe has always supported **robust virology research**. This is already helping in the **fight against the Ebola pandemic as well as COVID-19 pandemic**. Supporting Research and Innovation in virology is essential if we want to tackle other current viral challenges and potential new ones in the future. A number of innovative EU-funded projects are making contributions not only to the battle against SARS-CoV-2 but also to the wider virology field that will improve our overall understanding of viruses, as well as our ability to create even more effective antiviral treatments and vaccines. **Ebola**. The European Medicines Agency (EMA) recommended granting the marketing authorisation to Janssen Pharmaceutical Company for a new Ebola vaccine, co-developed with IMI2 Joint Undertaking funded by Horizon 2020 funding under the Ebola+ programme. The Ebola vaccine regimen is indicated for active immunization for the prevention of Ebola Virus Disease caused by the Zaire ebolavirus species in individuals aged one year and above 26. The HG nCoV19 test project, led by Irish SME HiberGene, developed and marketed a new CE marked and clinically evaluated diagnostic test for the coronavirus that detects **COVID-19** directly from a swab sample in approximately 1 hour, which can now be combined with a flu test from the same swab. EU-funded Prevent-nCoV researchers from Belgium, Denmark and Germany, led by the University of Copenhagen announced that a candidate vaccine against COVID-19 shows promising results. The Excalate4Cov project involving 18 partners used an EU-backed supercomputing platform will begin a clinical trial in Italy for an osteoporosis drug in patients with mild COVID-19 symptoms. The clinical trial has been launched a clinical trial in October 2020 to verify its efficacy.

Water is key for society and for the economy. Projects funded under the Horizon 2020 programme showcase their **solution to address the pressing water challenges**, to adapt water resource management to mitigate the effects of **climate change, to combat resource pollution** and depletion, and to prevent degradation of ecosystems. The [SWAMP](#) project showcased Internet of Things

<sup>26</sup> [https://ec.europa.eu/commission/presscorner/detail/en/IP\\_20\\_1248](https://ec.europa.eu/commission/presscorner/detail/en/IP_20_1248)

(IoT) methods and approaches for smart water management. Another project, [SIM4NEXUS](#), applied model-based analysis to predict society-wide impacts of resource use and relevant policies on sectors such as agriculture, water, biodiversity and ecosystem services. [INNOQUA](#) developed a modular system to treat wastewater in both urban and rural environments. [Smart-PLANT](#) explored how technologies for recovering valuable materials from wastewater can be applied to existing sewage treatment plants to form marketable products. Meanwhile, [INTCATCH](#) built ‘smart’ boats equipped with multi-parameter sensors to monitor water pollution. The [Ground Truth 2.0](#) project co-designed and implemented citizen observatories that help local stakeholders achieve sustainable natural resource management through the collection of data by citizens. [POWER](#) investigated new ways of raising awareness and transferring knowledge among citizens to enable effective exchange between stakeholders. Then we have [INCOVER](#) that developed innovative and sustainable technologies for resource recovery-based treatment of waste-water. [INTEGROIL](#) created a smart platform for producing fit-for-purpose water that will reduce the oil and gas industries’ water demand. [AquaNES](#) demonstrated innovative water and wastewater treatment processes and management based on improved, combined natural and engineered systems. Finally, [CENTAUR](#) developed a new approach to the real-time control of sewer networks to reduce local flood risk in urban areas. These projects support the digital transformation as a critical enabler for attaining the sustainability goals of the European Green Deal by contributing to the EU’s climate ambition and the zero-pollution ambition, as well as mobilising industry for a clean and circular economy.

Horizon 2020 projects working *to re-use waste heat from process industry found innovative solutions to improve energy efficiency in process industries*. Improved energy efficiency in industrial processes can lead to substantial primary energy savings, decarbonisation of the energy supply and subsequent reduction of CO<sub>2</sub> emissions. The reduction in energy cost will also enable greater competitiveness. For example, [TASIO](#) created a new generation of direct heat exchange technology for commercial ORC (Organic Rankine Cycle) systems in the cement, glass, steelmaking and petrochemical industries, but equally useful elsewhere. [SUSPIRE](#) developed novel highly efficient heat exchangers and thermal energy storage technology for reuse or commercialisation of waste heat, including the use of the ground itself for storage. Meanwhile [VULKANO](#) focused on thermal energy storage technology based on phase change materials that can recover and store high-temperature heat. [I-ThERM](#) designed innovative plug-and-play heat recovery and conversion to power solutions with potential across a wide temperature spectrum, including the novel supercritical CO<sub>2</sub> cycle. In some processes, waste energy is of low quality and it is not practical or economical to recover it with current technologies, so [Indus3Es](#) developed an innovative Absorption Heat Transformer that focused on low temperature heat recovery (below 130°C). Also, [LOWUP](#) demonstrated innovative heat pump technology that captures and re-uses low-grade energy. [DREAM](#) pioneered the design of heat pipe heat exchangers to recapture the energy lost from kilns and transfer it to another point in the production chain. Finally, [Smartrec](#) designed a modular system for recovery and management of heat from corrosive, contaminated and intermittent exhaust streams, also based on heat pipe heat exchanger technology and dual media thermozone storage.

The *EU Biodiversity Strategy for 2030* aims to secure healthy, resilient, biodiversity-rich ecosystems that deliver the range of services essential to the prosperity and well-being of citizens. Nature-based Solutions (NBS) – with healthy and biodiverse ecosystems at their core - are central to achieving the objectives of this strategy and sustainably tackling wider societal, economic and environmental challenges. Six independent experts have carried out a review of over 30 EU-funded projects in the area of NBS in order to assess their impact and valorise their results. Their work highlights the benefit and policy relevance of Horizon 2020-funded NBS projects to EU biodiversity, climate and other policy objectives as well as to sustainable transition processes. The report further highlights new approaches to support the development and management of biodiverse NBS and provides insights into governance models to deliver biodiversity benefits. (<https://op.europa.eu/en/publication-detail/-/publication/d7e8f4d4-c577-11ea-b3a4-01aa75ed71a1/language-en/format-PDF/source-139695433>)

Through the Horizon 2020 programme, the Commission supports Member States’ cultural policy, with a special emphasis on digitisation and online access to cultural material and digital preservation and curation. From 2014-2020, funds through Horizon 2020 towards *digital cultural heritage* have been around EUR 70 million in total. Many projects are making important contributions to digital cultural heritage efforts. In particular, the [ARCHES](#), [iMareculture](#) and [EU-LAC-MUSEUMS](#) projects have been harnessing technologies such as 3D modelling, virtual and augmented reality to increase the accessibility and enjoyment of museums as a key institution of cultural curation and preservation. Other projects have focused on using technology to increase social awareness and interest in cultural heritage and preservation. For example, [PLUGGY](#) developed the first-ever social network dedicated to promoting European cultural heritage, whilst the [I-Media-Cities](#) project has launched a revolutionary platform that uses audiovisual material to allow anyone to discover the rich cultural heritage of nine European cities. The digitisation of cultural heritage is important for the protection, conservation, restoration, research, dissemination and promotion of tangible and intangible cultural assets, coming from all types of cultural institutions (museums, galleries, libraries and archives, monuments and sites). It is important to bear in mind that the digitalization of the culture makes also culture accessible during the pandemic period.

Since 2014, projects funded under “Science with and for society” (SwafS) have contributed *to effectively strengthening cooperation between science and society*, recruiting new talents for science and combining scientific excellence with awareness and social responsibility. One of the main ways to work towards these three SwafS objectives and ensure their impact is through the implementation of institutional changes among beneficiaries reflected in the SwafS Key Performance Indicator. For example, the results of a sample of twelve RRI projects revealed that almost 250 individual institutional change actions are implemented or are

being implemented. In addition, 130 institutions implemented or are in the process of implementing a gender equality plan (GEP), the pioneer example of an institutional change. Many other concrete examples of institutional changes in funded beneficiaries are presented in the “Swafs achievements report” available on <https://dx.publications.europa.eu/10.2777/32018>. The report concludes that inclusiveness at all levels underpins SwafS and that its stakeholders are in an excellent position to play a leading role in supporting other entities considering institutional transformation under Horizon Europe.

As regards the gender, GenBUDGET one of Horizon 2020 SwafS project is developing a Community of Practice of academic and research organisations across Europe enhancing knowledge and developing shared practices *on how to challenge gender biases in decision-making by the means of gender budgeting* (see: <https://genbudget.act-on-gender.eu/>)

JRC played an important role during the Covid-crisis. It was able to rapidly *build a COVID-19 epidemiological model* in the early days of the outbreak. JRC was the *first in the world to develop “positive reference material”* that laboratories can use to check the correct functioning of their coronavirus tests and to avoid false negatives. Further reference materials are being developed for serums and antibody concentrations, which would lead to a breakthrough in the performance control of serological assays and the global comparability of SARS-CoV-2 antibody measurement results. JRC is also *establishing a EU Reference Laboratory for Epidemiological Testing and Control* to provide common protocols and testing strategies. Moreover, the JRC provided early analysis of impact of COVID on sectors, including travel, tourism and transport. With specific regard to tourism, the JRC published a report assessing impact of COVID on tourist arrivals and employment and pointing out that the recovery path is likely to be both local and European, calling for efficient multi-level governance

Another example of achievement of the JRC is related to the EU Biodiversity Strategy for 2030. JRC together with DG ENV set up a Knowledge Centre for Biodiversity to support the EC’s needs for knowledge on biodiversity. It should greatly help streamline the latest knowledge about biodiversity into all EU policies to strengthen policy coherence, and will be key for monitoring of the implementation of the strategy. It will support the implementation of the strategy in Europe but also engage with our international partners to tackle as well the global dimension and help reduce our ecological footprint outside EU borders. The Knowledge Centre was launched on the 21 October 2020, during the Green Week 2020.

### 3.3. Evaluations, studies and reports

The Horizon 2020 interim evaluation was completed and published in May 2017 – see: [https://ec.europa.eu/info/research-and-innovation/strategy/support-policy-making/support-eu-research-and-innovation-policy-making/evaluation-impact-assessment-and-monitoring/horizon-2020\\_en](https://ec.europa.eu/info/research-and-innovation/strategy/support-policy-making/support-eu-research-and-innovation-policy-making/evaluation-impact-assessment-and-monitoring/horizon-2020_en).

A series of evaluation studies are being launched in the context of the ex-post evaluation of Horizon 2020. The on-going and planned studies are listed in the [inter-institutional studies database](#). The SWD on the ex-post evaluation of Horizon 2020 is expected to be published in the 2nd quarter of 2023.

## 4. Programme 2021-2027 - Key monitoring indicators

### Specific Objective 1 :Scientific impact by creating high-quality new knowledge, strengthening human capital in research and innovation, and fostering diffusion of knowledge and Open Science

#### Indicator 1:HE peer reviewed scientific publications

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Total Number of peer-reviewed publications [TBC]
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	The dimension measured of the Specific Objective is the High quality New knowledge created. In the short-term, the number of peer-reviewed publications is an established metric of scientific performance.
Link MFF 14-20 / MFF 21-27	This indicator is the continuation of an indicator of Horizon 2020 (Publications in peer-reviewed high impact journals), but includes external verification of the publications.
Other methodological comments	Publications are first verified in an external database and then counted. First data are expected no

	sooner than late 2022, as it takes time for beneficiaries to produce papers and report them. The overall number of publications in the EU will be reported as a reference point. Possibly, the percentage of Horizon Europe publications out of all publications will be used as the indicator. [TBC]
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 2: Field-Weighted Citation Index of HE peer reviewed publications

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Field Weighted Citation Index
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	The dimension measured of the S.O is the High quality New knowledge created. In the mid-term, the Field Weighted Citation Index is an established metric of scientific performance
Link MFF 14-20 / MFF 21-27	This indicator is the linked to an indicator of Horizon 2020 (Share of publications from ERC-funded projects which are among the top 1 % highly cited per field of science), but includes external verification of the publications and incorporates a baseline.
Other methodological comments	The Field Weighted Citation Index is the ratio of the observed citation rate (MOCR) with the expected citation rate (MECR) in a given Research Field. The MECR is calculated as an average citation rate in a given Research Field. If FWCI = 1, the set of FP funded publications has generated the same amount of citations as any other average publication in the given Research Field. A 3-year citation window is applied to ensure that all publications have the same time lag, and as such the same chance to get cited. First data are expected no sooner than 2024, as it takes time for beneficiaries to produce papers and report them, and there needs to be a 3 year window for citations.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 3: Peer reviewed publications from HE projects that are core contribution to scientific fields

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of top 1 % most cited publications produced, field-weighted [TBC]
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	The dimension measured of the S.O is the High quality New knowledge created. In the long-term, the share of 1 % most cited publications is an established metric of scientific performance
Link MFF 14-20 / MFF 21-27	This indicator is the continuation of an indicator of Horizon 2020 (Share of publications from ERC-funded projects which are among the top 1 % highly cited per field of science), but includes external verification of the publications.
Other methodological comments	First data are expected no sooner than 2024, as it takes time for beneficiaries to produce papers and report them, and there needs to be a 3 year window for citations.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 4: Researchers involved in upskilling (training, mentoring/coaching, mobility and access to R&I infrastructures) activities in FP projects

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
----------	------	------	------	------	------	------	------	------	------	--------

	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of researchers involved in upskilling activities in projects by category [TBC]
Cut-Off Date	
Data source	Project reporting
Link to the objective	The dimension measured of the S.O is the Strengthening human capital in R&I In the short-term, the number of upskilled researchers is the best available indicator of strengthening human capital in research and innovation
Link MFF 14-20 / MFF 21-27	No – new indicator introduced
Other methodological comments	First data are expected no sooner than early 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 5:Upskilled FP researchers with increased individual impact in their R&I field

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Average increase of H-index of funded researchers
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	In the medium-term, the H-index is the best available indicator of strengthening human capital in research and innovation
Link MFF 14-20 / MFF 21-27	No – new indicator introduced
Other methodological comments	The dimension measured of the S.O is the Strengthening human capital in R&I. The H-index is based on the comparison of the number of articles written by an author to the number of citations. The H-index offers a way to compare researchers which are in a similar phase of their career, and most importantly, it is at present the only metric that combines research productivity (output volume) and impact (citation volume). An increase in the H-index is an indicator of a positive effect of the Programme on researcher's impact in their field.First data are expected no sooner than 2023, as there needs to be a time slot to observe increases in H-indexes.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 6:Upskilled FP researchers with improved working conditions, including researchers' salaries

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	TBC
Cut-Off Date	
Data source	Project reporting, survey
Link to the objective	The dimension measured of the S.O is the Strengthening human capital in R&I. If Horizon Europe funding has a positive long-term effect on researchers' skills and careers (and therefore the human capital in research and innovation) then there should be an observable effect on the researchers working conditions.
Link MFF 14-20 / MFF 21-27	No – new indicator introduced

Other methodological comments	MORE survey data is used to collect data on researchers salaries (net salaries) and contract type. Regarding data on job security, collected data includes several relevant questions which provide data on contract type, satisfaction with pensions/social security provisions, and other aspects of working conditions. Under the MORE survey, the same data is collected for a random stratified sample of researchers who were based in European research performing organizations but did not receive EU funding. The salaries and working conditions of HE researchers are then benchmarked against this representative sample of researchers. The availability of data depends on the planning of the MORE survey, which is expected to happen no sooner than 2023.
Full metadata available at this address	Methodological handbook will be published in 2021. The results of the survey will be described in a study, which will be referenced on the Horizon Dashboard.
Justification of the trend	

### Indicator 7: Research outputs (open data/publication/ software etc.) shared through open knowledge infrastructures

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Share of Open Access research outputs in Horizon 2020
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	The dimension measured of the S.O is the diffusion of knowledge and Open Science. Open Access and Open Science are modus operandi in Horizon Europe. Open access to publications, datasets, software, other research products (e.g., services, tools) allows researchers to build on existing work and speed science, industry to access scientific knowledge to innovate, public sector to use for evidence based policy making, public to be engaged and involved in the research process. Therefore, detecting and isolating outputs related to Open Science is an appropriate measure of the short-term progress towards the objective.
Link MFF 14-20 / MFF 21-27	No – new indicator introduced
Other methodological comments	All relevant FP research outputs (by type: publications, datasets and software) reported by all Horizon Europe projects (incl. DOI) are matched in an external database. The single extended list of all relevant outputs, removing the duplicates, is used to count numbers and shares. First data are expected no sooner than in late 2021.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 8: Open access FP research outputs actively used/cited

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Citations of open access publications [TBC]
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	The dimension measured of the S.O is the diffusion of knowledge and Open Science. This indicator captures the effect that open access brings to fostering diffusion of knowledge by tracking the use of research outputs. The key question addressed is whether the open access research results are cited more than the closed/embargoed ones.
Link MFF 14-20 / MFF 21-27	No – new indicator introduced
Other methodological comments	See indicator 2 for details on citations. First data are expected no sooner than 2024, as it takes time for beneficiaries to produce papers and report them, and there needs to be a 3 year window for citations.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

**Indicator 9:FP beneficiaries having developed new transdisciplinary/ trans-sectoral collaborations with users of their open FP R&I outputs**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	TBC
Cut-Off Date	
Data source	Project reporting, external study
Link to the objective	Research collaboration is a key in fostering diffusion of knowledge. The purpose of having open science as the modus-operandi is to further enhance collaboration across disciplines, between academia and industry, as well as within Europe and beyond.
Link MFF 14-20 / MFF 21-27	No – new indicator introduced
Other methodological comments	The dimension measured of the S.O is the diffusion of knowledge and Open Science. This indicator will be calculated as part of a separate study. The following methods might be used: the starting point is the authors and their affiliations who have produced open access results, and build their co-authorship network, maintaining time stamps to trace these over the years. As a second step, we extract overall insights on degree of collaboration, including the collaborative index, the degree of collaboration, and the collaborative coefficient and provide data by programme, and country of authors' institutions. New Collaborations are estimated by counting the authors' dyads that appear in the context of a project, not observed before. The study will likely be part of the interim evaluation of the programme.
Full metadata available at this address	Methodological handbook will be published in 2021. The study will be referenced on the Horizon Dashboard.
Justification of the trend	

**Specific Objective 2 :Technological/economic impact especially within the Union by influencing the creation and growth of companies, especially SMEs including start-ups, creating direct and indirect jobs especially within the Union, and by leveraging investments for R&I****Indicator 1:Innovative products, processes or methods from FP (by type of innovation) & Intellectual Property Rights (IPR) applications**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of innovative products, processes or methods resulting from the Programme (by type of innovation) & Intellectual Property Rights (IPR) applications
Cut-Off Date	
Data source	Project reporting, external patent database [TBC]
Link to the objective	The dimension measured of the S.O is the innovation-based growth generated. In the short-term, the number of innovative products, processes or methods and IPR (esp. patents) is a good indicator of progress to technological/economic impact
Link MFF 14-20 / MFF 21-27	This indicator links to and indicator of Horizon 2020 ('Patent applications and patents awarded in Future and Emerging Technologies'), but is broader and includes links to an external database [TBC]
Other methodological comments	Calculated as a simple count of number of innovative products, processes and methods & Intellectual Property Rights (IPR) applications reported in all ongoing and finished Horizon Europe projects. First data are expected no sooner than late 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

**Indicator 2: Innovations from FP projects (by type of innovation) including from awarded IPRs**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Patent citations, family size, scope [TBC]
Cut-Off Date	
Data source	Project reporting, external patent database
Link to the objective	The dimension measured of the S.O is the innovation-based growth generated. In the medium-term, the patent indicators are a good indicator of progress to technological/economic impact
Link MFF 14-20 / MFF 21-27	This indicator links to and indicator of Horizon 2020 (Patent applications and patents awarded in Future and Emerging Technologies), but includes verification with an external database, distinction between patent family members, and deeper analytical insight.
Other methodological comments	One of the most robust findings of IPR-related research is the skewness of patent value distribution – few patents are valuable, while most others are worth little, if anything at all. This indicator will use external data sources to estimate the impact potential of the patents. First data are expected no sooner than late 2023, as there needs to be time for patents to be granted and reported.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

**Indicator 3: Creation, growth & market shares of companies having developed FP innovations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Growth of funded companies [TBC]
Cut-Off Date	
Data source	Project reporting, external database of companies
Link to the objective	The dimension measured of the S.O is the innovation-based growth generated. Horizon Europe helps create reciprocal relationships between research-performing organisations and high-tech SMEs. This reciprocity then leads to an improved transfer of knowledge and exploitation of research results by the companies. If this is the case, there must be a clear and quantifiable effect on the financial performance of beneficiary SMEs, measurable in the long-term.
Link MFF 14-20 / MFF 21-27	This indicator is linked to indicator of Horizon 2020 on Growth
Other methodological comments	In the first step, the Horizon Europe companies are matched to an external company database. The next step is to obtain relevant data on the firms' turnover and relevant metadata. This will be reported for funded companies. In addition, as part of a study, a control sample of firms is created, which consists of non-funded SMEs that were part of consortia, or applied themselves, for the same grants (i.e. same call, same year) as the beneficiaries, but did not receive funding due to budgetary constraints. Once both samples of companies are matched, a sharp discontinuity design with a difference-in-difference method are applied to analyse firm performance across the selected time window. [TBC] First data are expected no sooner than late 2024, as it takes time for the programme to make an effect and data to be reported. The studies are planned to be part of interim evaluation.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard, which will also include links to the studies.
Justification of the trend	

**Indicator 4: FTE jobs created, and jobs maintained in beneficiary entities for the FP project (by type of job)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	Output
Unit of measurement	Count of FTE jobs created and maintained in all ongoing and finished Horizon Europe projects
Cut-Off Date	
Data source	Project reporting
Link to the objective	The dimension measured of the S.O is the creation of more and better jobs. A significant share of Horizon Europe investment goes to personnel costs, which directly supports existing jobs or creates new positions at beneficiary organisations. Horizon Europe funding also supports and maintains existing jobs that would otherwise be lost if no funding was attracted. This contributes to economic impact of the programme, and can be used as a short-term indicator.
Link MFF 14-20 / MFF 21-27	The indicator is linked to Horizon 2020 indicator ('Growth and job creation in participating SMEs').
Other methodological comments	First data are expected no sooner than early 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 5:FTE jobs in beneficiary entities following FP project (by type of job)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Growth of employment in funded companies [TBC]
Cut-Off Date	
Data source	Project reporting, external database of companies
Link to the objective	The dimension measured of the S.O is the creation of more and better jobs. Horizon Europe helps create reciprocal relationships between research-performing organisations and high-tech SMEs. This reciprocity then leads to an improved transfer of knowledge and exploitation of research results by the firms. If this is the case, there must be a clear and quantifiable effect on the employment in beneficiary SMEs, measurable in the medium-term.
Link MFF 14-20 / MFF 21-27	The indicator is linked to Horizon 2020 indicator ('Growth and job creation in participating SMEs')
Other methodological comments	In the first step, the Horizon Europe companies are matched to an external company database. The next step is to obtain relevant data on the firms' employment and relevant metadata. This will be reported for funded companies. In addition, as part of a study, a control sample of firms is created, which consists of non-funded SMEs that were part of consortia, or applied themselves, for the same grants (i.e. same call, same year) as the beneficiaries, but did not receive funding due to budgetary constraints. Once both samples of companies are matched, a sharp discontinuity design with a difference-in-difference method are applied to analyse firm performance across the selected time window. [TBC] First data are expected no sooner than late 2024, as it takes time for the programme to make an effect and data to be reported. The studies are planned to be part of interim evaluation.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard, which will also include links to the studies.
Justification of the trend	

### Indicator 6:Direct & indirect job created or maintained due to diffusion of FP results (by type of job)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of direct & indirect jobs created or maintained
Cut-Off Date	
Data source	Project reporting, studies

Link to the objective	Horizon Europe funding will induce technological change and job markets and skills requirement are being deeply transformed due to technological change. This can be estimated as a long-term indicator.
Link MFF 14-20 / MFF 21-27	This indicator is linked to indicator of Horizon 2020 on Jobs
Other methodological comments	The dimension measured of the S.O is the creation of more and better jobs. A macroeconomic model will be used to estimate the total employment induced by Horizon Europe funding. It has been used in several previous assignments to measure the economic impact of previous programmes, including for the ex-ante impact assessment of Horizon Europe. It will be used to produce aggregate job creation effects of FP funding for different time windows (3 year; 5+ year) and for different skill levels, including low, medium, high skill jobs. We expect to run studies as part of the interim and ex-post evaluations of the programme.
Full metadata available at this address	Methodological handbook will be published in 2021. The Horizon Europe Dashboard will include links to studies.
Justification of the trend	

### Indicator 7: Public & private investment mobilised with the initial FP investment

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Amount of public & private investment mobilised with the initial investment of the Programme
Cut-Off Date	
Data source	Project reporting
Link to the objective	The dimension measured of the S.O is the leverage on investments in R&I. Depending on the funding instrument applied, beneficiaries in Horizon Europe are required to contribute at least a certain share of their own funds to the projects. This represents a significant co-investment of public and private investment towards achieving the programme objectives, and can be used as a short-term indicator.
Link MFF 14-20 / MFF 21-27	This indicator is linked to indicator of Horizon 2020 on investment
Other methodological comments	Calculated as the amounts (in EUR) of public & private investment mobilised in all ongoing and finished Horizon Europe projects. Data on public & private co-invested amounts are derived from the EC monitoring system. Specifically, each project participant has their EU and total contributions listed for each project application. The difference between the total and EU funding is equal to the co-investment made. First data are expected no sooner than late 2021.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 8: Public & private investment mobilised to exploit or scale-up FP results (including foreign direct investments)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Amount of public & private investment
Cut-Off Date	
Data source	Project reporting, external databases [TBC]
Link to the objective	The dimension measured of the S.O is the leverage on investments in R&I. Leverage represents the additional investment mobilised by the project beyond the initial project total cost. This includes notably venture capital investment or additional private/public investment attracted by SMEs thanks to the innovations developed in their FP projects.
Link MFF 14-20 / MFF 21-27	This indicator is linked to indicator of Horizon 2020 on investment
Other methodological comments	Initial data is declared by the beneficiary entities themselves as part of their final reports. Further, at firm level, amount of public & private investment mobilised by SMEs are estimated using external databases. [TBC] First data are expected no sooner than late 2021.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.

Justification of the trend	
----------------------------	--

**Indicator 9:EU progress towards 3% GDP target due to FP**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	EU progress towards the 3% GDP target due to Horizon Europe
Cut-Off Date	
Data source	Project reporting, studies
Link to the objective	The dimension measured of the S.O is the leverage on investments in R&I Horizon Europe funding will stimulate further R&D funding, and particularly funding attracted by industry, SMEs and start-ups. In the long-term, this indicator estimates the aggregate effect of Horizon Europe.
Link MFF 14-20 / MFF 21-27	This indicator is linked to the indicator of Horizon 2020 (cf. the H2020 General Objective)
Other methodological comments	A macroeconomic model will used to estimate the total leverage induced by Horizon Europe funding. It has been used in several previous assignments to measure the economic impact of previous programmes, including for the ex-ante impact assessment of Horizon Europe. It will be used to estimate amount of additional leverage (direct and indirect) attracted to R&D per each euro spent in Horizon Europe. We expect to run studies as part of the interim and ex-post evaluations of the programme.
Full metadata available at this address	Methodological handbook will be published in 2021. The Horizon Europe Dashboard will include links to studies.
Justification of the trend	

**Specific Objective 3 :Societal impact by addressing the EU policy priorities and global challenges, including UN SDGs, following the principles of the Agenda 2030 and the goals of the Paris Agreement, through R&I, delivering benefits and impact through R&I missions and European Partnerships and strengthening the uptake of innovation in society ultimately contributing to people’s well-being**

**Indicator 1:Outputs aimed at addressing identified EU policy priorities and global challenges (including SDGs) (multidimensional: for each identified priority)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Share of outputs aimed at addressing specific EU policy priorities, including meeting the Sustainable Development Goals (SDGs)
Cut-Off Date	
Data source	Project reporting
Link to the objective	The dimension measured of the s.O is the EU policy priorities and global challenges addressed through R&. In the short-term, shares of outputs indicate the societal impact of Horizon Europe.
Link MFF 14-20 / MFF 21-27	No – New indicator
Other methodological comments	Horizon Europe funded projects produce variety of products, tracked and reported under scientific and economic outputs. Most of them are also likely to have a societal impact; to trace and estimate it, the produced output needs to be accurately measured and then classified according to the specific EU policy priorities, including the SDGs. The classification of projects and their deliverables/outputs is based on SDGs, and subsequently attributed to the more precise EU policy priorities. Where attribution of a specific innovation or scientific result is not possible, the assumption is that it contributes to the same specific EU policy priorities, including the SDGs, as the project producing it or the outputs preceding it. First data are expected no sooner than early 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.

Justification of the trend	
----------------------------	--

**Indicator 2: Number and share of innovations and research results addressing identified EU policy priorities and global challenges (including SDGs) (multidimensional: for each identified priority)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of outputs aimed at addressing specific EU policy priorities, including meeting the Sustainable Development Goals (SDGs) [TBC]
Cut-Off Date	
Data source	Project reporting, external databases [TBC]
Link to the objective	The dimension measured of the s.O is the EU policy priorities and global challenges addressed through R&. In the medium-term, shares of verified outputs and their performance indicate the societal impact of Horizon Europe.
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	Calculated as a simple count of innovations (new or significantly improved: methods, technologies and instruments / commercial goods / commercial services / scientific or industrial processes / business models) reported in all ongoing and finished Horizon Europe projects and classified by their contribution to the specific SDGs and subsequently – EU policy priorities. Additionally, where possible, the scientific results tracked by medium-term indicators under scientific and economic indicators, but also awarded patents, are also classified by their contribution to the specific SDGs and subsequently – EU policy priorities. The classification by the SGDs is based on automatic classification algorithms. Where automatic classification is not available, the whole project and its results are assigned to the SGDs based on the indication provided by the participating organisation in the grant application. [TBC]First data are expected no sooner than 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

**Indicator 3: Aggregated estimated effects from use/exploitation of FP-funded results, on tackling identified EU policy priorities and global challenges (including SDGs), including contribution to the policy and lawmaking cycle (such as norms and standards) (multidimensional: for each identified priority)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Impact
Unit of measurement	Aggregated estimated effects from use of FP-funded results on tackling specific EU policy priorities, including contribution to policymaking and legislation [TBC]
Cut-Off Date	
Data source	Project reporting, studies
Link to the objective	The dimension measured of the s.O is the EU policy priorities and global challenges addressed through R&. In the long-term, specific studies are needed to analyse the societal impact of Horizon Europe in specific areas.
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	The indicator focuses on estimated and detected effects from use of Horizon Europe funded results on tackling specific EU policy priorities. [TBC]We expect to run studies as part of the interim and ex-post evaluations of the programme.
Full metadata available at this address	Methodological handbook will be published in 2021. The Horizon Europe Dashboard will include links to studies.
Justification of the trend	

**Indicator 4: Outputs in specific R&I Missions (multidimensional: for each identified mission)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of outputs aimed at addressing specific Missions [TBC]
Cut-Off Date	
Data source	Project reporting [TBC]
Link to the objective	The dimension measured of the S.O is the benefits and impact through R&I missions. Horizon Europe incorporates EU missions to increase the effectiveness of funding by pursuing clearly defined targets and delivering solutions to some of the greatest challenges facing our world. In the short-term, number of outputs indicate the societal impact of Horizon Europe in the missions.
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	Horizon Europe funded projects produce variety of products, tracked and reported under scientific and economic outputs. Most of them are also likely to have a societal impact; to trace and estimate it, the produced output needs to be counted and then classified by specific Horizon Europe missions. First data are expected no sooner than early 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

#### Indicator 5: Results in specific R&I missions (multidimensional: for each identified mission)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of outputs aimed at addressing specific missions [TBC]
Cut-Off Date	
Data source	Project reporting, external databases [TBC]
Link to the objective	The dimension measured of the s.O is the benefits and impact through R&I missions. Horizon Europe incorporates EU missions to increase the effectiveness of funding by pursuing clearly defined targets and delivering solutions to some of the greatest challenges facing our world. In the medium-term, shares of verified outputs and their performance indicate the societal impact of Horizon Europe.
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	Calculated as a simple count of innovations (new or significantly improved: methods, technologies and instruments / commercial goods / commercial services / scientific or industrial processes / business models) reported in all ongoing and finished Horizon Europe projects and classified by their contribution to the specific missions. [TBC] First data are expected no sooner than 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

#### Indicator 6: Targets achieved in specific R&I missions (multidimensional: for each identified mission)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	TBC
Cut-Off Date	
Data source	
Link to the objective	The dimension measured of the s.O is the benefits and impact through R&I missions. Horizon Europe

	incorporates EU missions to increase the effectiveness of funding by pursuing clearly defined targets and delivering solutions to some of the greatest challenges facing our world. The EU mission targets serve as a benchmark to estimate the likely progress and their achievement; their monitoring focuses on estimating the potential effects towards the defined R&I targets.
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	Depending on the type of mission target, the estimates might be mostly qualitative (focusing on general assessment but also providing the most evident stories of influence), but also quantitative (e.g., using econometric modelling to estimate the potential environmental impacts, such as reduction of CO <sub>2</sub> , based on the emerging evidence acquired during monitoring of outputs and results). [TBC]
Full metadata available at this address	Methodological handbook will be published in 2021. Further information will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 7:FP projects where EU citizens and end-users contribute to the cocreation of R&I content

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number and share of FP projects where EU citizens and end-users contribute to the co-creation of R&I content [TBC]
Cut-Off Date	
Data source	Project reporting
Link to the objective	The dimension measured of the s.O is the uptake of research and innovation in society To measure the involvement of citizens and civil society in the research process funded by the programme, this indicator tracks the number and share of Horizon Europe projects where EU citizens and end-users contribute to the co-creation of R&I content, additionally estimating the role of such contribution (such as consultation/dissemination, co-creation, co-ownership/joint decision-making).
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	Calculated based on a simple count of all ongoing and finished Horizon Europe projects where EU citizens and end-users contribute to the co-creation of R&I content.First data are expected no sooner than 2022.
Full metadata available at this address	Methodological handbook will be published in 2021. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

### Indicator 8:FP beneficiary entities with citizen and end-users engagement mechanisms after FP project

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number and share of FP beneficiaries with citizen and end-user engagement mechanisms after FP project [TBC]
Cut-Off Date	
Data source	Project reporting
Link to the objective	The dimension measured of the s.O is the uptake of research and innovation in society The medium-term indicator measures the effects of the heightened attention to and demand for co-creation in Horizon Europe through the development of citizen engagement mechanisms in beneficiary entities (such as citizen fora, participatory research, co-creation facilities, experimental sites and similar).
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	In the medium-term, the identification of presence of citizen engagement mechanisms allows estimation of number (and share) of Horizon Europe beneficiary entities that possess and utilise them.
Full metadata available at this address	Calculated based on a simple count of all ongoing and finished Horizon Europe projects where EU citizens and end-users contribute to the co-creation of R&I content.First data are expected no sooner than 2023.

Justification of the trend	
----------------------------	--

**Indicator 9:FP co-created scientific results and innovative solutions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	TBC
Cut-Off Date	
Data source	Project reporting, studies
Link to the objective	The dimension measured of the S.O is the uptake of research and innovation in society. The long-term indicator focuses on uptake and outreach of framework programme co-created scientific results and innovative solutions. The aim is to assess the extent of the uptake and outreach of the scientific results (e.g. in the fields of science, innovation, the economy and society) and innovative solutions originating from the programme.
Link MFF 14-20 / MFF 21-27	No – new indicator
Other methodological comments	A study will be launched for the assessment of the extent of the uptake and outreach of scientific results and innovative solutions co-created in the FP necessitates a composite indicator. The study is planned as part of the interim evaluation of Horizon Europe.
Full metadata available at this address	Methodological handbook will be published in 2021. The Horizon Europe Dashboard will include links to studies.
Justification of the trend	

**5. Programme 2014-2020 - Key monitoring indicators***Previous Program 1 : The Framework Programme for Research and Innovation (Horizon 2020)***General Objective 1 :to build a society and an economy based on knowledge and innovation across the whole Union, while contributing to sustainable development****Indicator 1:The Europe 2020 R&D target (3% of GDP)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
2,02%			2,5%				3,0%			3,0%
	Actual Progress									Final
	2,03%	2,04%	2,03%	2,07%	2,11%	2,08%				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	
Cut-Off Date	31/12/2019
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	EUROSTAT
Justification of the trend	

**Indicator 2:Innovation Output Indicator**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
102,1										The composite

										nature of this indicator is not particularly suited to establishing a target
	Actual Progress									Final
	103,6			103,1	103,5					

Are we on track	On track
Indicator type	Output
Unit of measurement	Composite indicator
Cut-Off Date	31/12/2018
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3:Share of researchers in the EU active population

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1,14%			1,21%				1,33%			1,33%
	Actual Progress									Final
	1,17%	1,20%	1,23%							

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	The data are not anymore available on EUROSTAT
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	EUROSTAT
Justification of the trend	

### Specific Objective 1 :Excellent science - European Research Council (ERC) - strengthening frontier research

#### Indicator 1:Share of publications from ERC-funded projects which are among the top 1 % highly cited per field of science

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
					0,015		0,018			0,018
	Actual Progress									Final
					0,07	0,07	0,07			

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	ERCEA/Scopus
Narrative	
Methodology	This calculated by ERC as the share of publications self-reported by ERC funded projects among the top 1% field-weighted highly cited articles, as flagged by SCOPUS.

Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	surpass the target

## Specific Objective 2 :Excellent science - Future and Emerging Technologies - strengthening research in future and emerging technologies

### Indicator 1:Publications in peer-reviewed high impact journals

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Publications in peer-reviewed high impact journals per EUR 10 million funding										
	Milestones									2020
none	Actual Progress									Final
				2			25			
Number of Publications in peer-reviewed high impact journals										
	Milestones									2020
none	Actual Progress									Final
				7	9,8	14,1	15,4			

Are we on track	On track
Indicator type	Result
Unit of measurement	Publications per 10 million EUR
Cut-Off Date	31/12/2020
Data source	CORDA, SCOPUS
Narrative	
Methodology	KPI Dashboard: Select "FET" as thematic priority, and read the value from the pre-calculated KPI. The years of reference can be chosen via the deadline date year dimension, selecting relevant years from 2014
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The list of High-Impact Journals by Scopus is used to flag the self-reported peer-reviewed publications, and the total number of flagged publications is divided by the Total EU Contrib/10 million. The specific dashboard view is called "Publications in Peer-Reviewed (PR) and High Impact (HI) Peer Reviewed Journals"
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	for many indicators such as the indicators measuring the number of publications, the target is set for the year when the last actions financed under Horizon 2020 will be finished. The final figures will be collected after all of the projects are closed and results reported i.e. several years after the formal end of the programme in 2020.

### Indicator 2:Patent applications and patents awarded in Future and Emerging Technologies

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Patent applications and patents awarded in Future and Emerging Technologies per EUR 10 million funding										
	Milestones									2020
none	Actual Progress									Final
						1				
Number of Patent applications and patents awarded in Future and Emerging Technologies										
	Milestones									2020
	Actual Progress									Final
				3	7	73	137			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of patents per 10 million EUR
Cut-Off Date	31/12/2020
Data source	Corda

Narrative	
Methodology	KPI Dashboard IPRs view : Select “FET” as thematic priority, read the value for the KPI.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Number of self-reported patent applications and patents awarded by projects funded under FET, divided the Total EU contrib/10 Million. The specific dashboard view is called “Patent Applications and Patent Awarded”
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	

### Specific Objective 3 :Excellent science - Marie Sklodowska-Curie actions - strengthening skills, training and career development

#### Indicator 1:Cross-sector and cross-country circulation of researchers, including PhD candidates (cumulative number)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Researchers										
	Milestones									2020
50000	7500	16500	25000	34000	43500	53500	65000			65000
	Actual Progress									Final
	7700	15400	25000	36000	48000	58200	69000			
PhD										
	Milestones									2020
10000	3000	6000	10000	13000	17400	21400	25000			25000
	Actual Progress									Final
	3400	6800	11000	14000	18000	22200	27000			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of researchers
Cut-Off Date	31/12/2020
Data source	
Narrative	
Methodology	KPI dashboard : the KPI is pre-calculated. Years of reference can be selected from 2014 via the deadline date year dimension
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Self-reporting data from the beneficiaries. The specific dashboard view is called “Marie Sklodowska-Curie actions”
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	Above the target

### Specific Objective 4 :Excellent science - Research infrastructures - strengthening European research infrastructures, including e-infrastructures

#### Indicator 1: Number of researchers who have access to research infrastructures through Union support

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
22000					12000		20000			20000
	Actual Progress									Final
		41475	42265	49645	49645	57970	115053			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of researchers
Cut-Off Date	31/12/2020
Data source	Corda
Narrative	
Methodology	KPI dashboard : the KPI is pre-calculated. Years of reference can be selected from 2014 via the deadline date year dimension

Link MFF 14-20 / MFF 21-27	
Other methodological comments	The data comes from self-reporting by beneficiaries. The specific dashboard view is called “Research Infrastructures”
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	Above the target

**Specific Objective 5 :Industrial leadership – boosting Europe’s industrial leadership through research, technological development, demonstration and innovation in the following enabling and industrial technologies (information and communication technologies; nanotechnologies; advanced materials; biotechnology; advanced manufacturing and processing; space)**

**Indicator 1:Patent applications and patents awarded in the different enabling and industrial technologies**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Patent applications in the different enabling and industrial technologies per EUR 10 million funding										
2013	Milestones									2020
ICT (FP7: 0.9) NMBP (FP7: 2.0) Space (FP7 Cooperation projects: 0.3)						3	3			3
	Actual Progress									Final
				0,3	0,3	0,49	0,66			
Number of patent applications										
	Milestones									2020
	Actual Progress									Final
				136	210	308	556			
Number of patent awarded										
	Milestones									2020
	Actual Progress									Final
				52	55	212				

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of patents per 10 million EUR
Cut-Off Date	31/12/2020
Data source	Corda
Narrative	KPI Dashboard IPRs view : Select the “LEIT-” parts among the thematic priorities, read the value for the KPI. Years of reference can be selected from 2014 via the deadline date year dimension
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	556 patents application and 217 patents awarded
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	The target is set for the year when the last actions financed under Horizon 2020 will be finished. The final figures will be collected after all of the projects are closed and results reported i.e. several years after the formal end of the programme in 2020.

**Indicator 2:Share of participating firms introducing innovations new to the company or the market (covering the period of the project plus three years)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
					11 609	15 434	18165			

Are we on track	No data
Indicator type	Result

Unit of measurement	Number of firms introducing innovations new to the company or the market
Cut-Off Date	31/12/2020
Data source	Cordea
Narrative	
Methodology	KPI dashboard : pre-calculated share of companies declaring innovations at project reporting vs all legal entities participating in the FP. Years of reference can be selected from 2014 via the deadline date year dimension
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Self-reporting from the beneficiaries. The specific dashboard view is called “Innovative Companies”
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	For the new indicators it was not possible to set a target. The new indicators have been introduced after the adoption of the Commission Proposal for a regulation establishing Horizon 2020

### Indicator 3: Number of joint public-private publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
				620	3 340	5 747	7260			

Are we on track	No data
Indicator type	Result
Unit of measurement	number of publications
Cut-Off Date	31/12/2020
Data source	Cordea
Narrative	
Methodology	KPI dashboard – the indicator is pre-calculated
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Based on a flag assigned by projects’ beneficiaries per any publication self-reported.
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	New indicator

## Specific Objective 6 :Industrial leadership - enhancing access to risk finance for investing in research and innovation

### Indicator 1: Total investments mobilised via debt financing and Venture Capital investments

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				8			15			15
	Actual Progress									Final
		17	22	32	47	54	70			

Are we on track	On track
Indicator type	Result
Unit of measurement	For number: number ; For amount: EUR billion
Cut-Off Date	31/12/2020
Data source	Entrusted entities implementing Horizon 2020 financial instruments
Narrative	The indicator 1 measures the additional volume of investments in research and innovation made possible by the implementation of Horizon 2020 financial instruments in view of reaching the specific objective.
Methodology	EFSD multiplier used when mobilized investment not directly reported by the entrusted entity.
Link MFF 14-20 / MFF 21-27	We will continue to report on this indicator as such SO2. Indicator 8 Public & private investment mobilised with the initial FP investment
Other methodological comments	No Baseline, because of new approach.
Full metadata available at this address	Computation based on annual operational reports provided by entrusted entities implementing Horizon 2020 financial instruments
Justification of the trend	Surpass the target

**Indicator 2: Number of organisations funded and amount of private funds leveraged**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of organisations										
	Milestones									2020
				2000			5000			5000
	Actual Progress									Final
		793	4051	10484	19107	23774	32021			
Amount of private funds leveraged										
	Milestones									2020
				15			35			35
	Actual Progress									Final
		7,2	10,5	15,5	24,4	29	41			

Are we on track	On track
Indicator type	Result
Unit of measurement	For number: number ; For amount: EUR billion
Cut-Off Date	31/12/2020
Data source	The data provided are based on the last available figures on 1st march 2021 reported by the entrusted entities implementing Horizon 2020 financial instruments
Narrative	The indicator 2 measures how many additional organisations have received funding for their research and innovation activities and how much financing has been leveraged by the crowding-in effect of Horizon 2020 financial instrument in view of reaching the specific objective.
Methodology	Leverage reported according to its definition for each instrument in the InnovFin Delegation Agreement
Link MFF 14-20 / MFF 21-27	We will not continue to report on this indicator in the Programme Statement. However, it may be reported in the mid-term evaluation of the Programme
Other methodological comments	
Full metadata available at this address	Computation based on annual operational reports provided by entrusted entities implementing Horizon 2020 financial instruments
Justification of the trend	Above the targets

**Specific Objective 7 :Industrial leadership - increasing innovation in SMEs****Indicator 1: Share of participating SMEs introducing innovations new to the company or the market (covering the period of the project plus three years)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none				20%			50%			50%
	Actual Progress									Final
							88%			

Are we on track	On track
Indicator type	Output
Unit of measurement	%
Cut-Off Date	31/12/2020
Data source	Cordea
Narrative	
Methodology	KPI dashboard : the indicator is pre-calculated. The years of reference can be selected from 2014 via the deadline date year dimension
Link MFF 14-20 / MFF 21-27	We will continue to report on this indicator as such S.O2 Indicator 2: innovations from FP projects (by type of innovation) including from awarded IPRs
Other methodological comments	No Baseline, because of new approach.
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	Above the target

**Indicator 2: Growth and job creation in participating SMEs**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020

none											
	Actual Progress										Final
							431	1108			

Are we on track	No data
Indicator type	Result
Unit of measurement	Growth is given in EUR Million and job creation in FTE
Cut-Off Date	31/12/2020
Data source	Corda
Narrative	New indicator
Methodology	KPI dashboard : the indicators are pre-calculated. The years of reference can be selected from 2014 via the deadline date year dimension
Link MFF 14-20 / MFF 21-27	We will continue to report on this indicator. "S.O.2 Indicator 3: Creation, growth & market shares of companies having developed FP innovations" or /and Indicator 6: Direct & indirect job created or maintained due to diffusion of FP results (by type of job)
Other methodological comments	The values are based on projects self-reporting by beneficiaries, and amounts might appear in the dashboard as expressed in BEUR according to their size. Pay attention to their magnitude. The specific dashboard view is called "SME – Growth and Job Creation"
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	

## Specific Objective 8 :Societal challenges - improving the lifelong health and wellbeing of all

### Indicator 1:Publications in peer-reviewed high impact journals in the area of health and wellbeing

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target	
Publications in peer-reviewed high impact journals in the area of health and wellbeing per EUR 10 million funding											
2013	Milestones									2020	
42						20	20			20	
	Actual Progress										Final
				2,8	3,87	6	7,7				
Number of publication in peer-reviewed in the area of health and wellbeing											
	Milestones									2020	
	Actual Progress										Final
			130	722	1 331	2 854	4208				

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of publications by 10MEUR and total number of publications
Cut-Off Date	31/12/2020
Data source	CORDA, SCOPUS
Narrative	New approach
Methodology	KPI dashboard : select the relevant SC programme part from the thematic priorities and read the value from the pre-calculated indicator. Use the deadline date Year dimension to select the reference years from 2014. The targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Number of publication in peer-reviewed in the area is given for information. The list of High-Impact Journals by Scopus is used to flag the self-reported peer-reviewed publications, and the total number of flagged publications is divided by the Total EU Contrib/10 million. The specific dashboard view is called "Publications in Peer-Reviewed (PR) and High Impact (HI) Peer Reviewed Journals"Targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020.

### Indicator 2:Patent applications and patents awarded in the area of health and wellbeing

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

Patent applications and patents awarded in the area of health and wellbeing per EUR 10 million funding									
	Milestones								2020
						2	2		2
	Actual Progress								Final
					0,13	0,24	0,34		
Number of patent applications in the area of health and wellbeing									
	Milestones								2020
2									
	Actual Progress								Final
			14	28	42	56	61		
Number of patent awarded in the area of health and wellbeing									
	Milestones								2020
none									
	Actual Progress								Final
			19	29	58				

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	31/12/2020
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of prototype and testing activities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
					5 208	4 858	5407			

Are we on track	No data
Indicator type	Result
Unit of measurement	
Cut-Off Date	31/12/2020
Data source	Corda
Narrative	2020: 1765 testing activities + 3642 prototypes
Methodology	KPI dashboard : the targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective, refer to the data divided by pillar in the pre-calculated Innovation Activities indicator: selecting SC pillar, the indicator will break down by specific objectives. The deadline date year can be used to select the years of reference from 2014
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No Baseline, because of new approach. The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020. Data is self-reported by the beneficiaries. The specific dashboard view is called "Innovation Activities and Innovative Grants"
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	

### Indicator 4: Number of joint public-private publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
				196	600	1 231	1832			

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of publications
Cut-Off Date	31/12/2020
Data source	CORDA
Narrative	
Methodology	KPI dashboard : select the relevant SC programme part from the thematic priorities and read the value from the pre-calculated indicator. Use the deadline date Year dimension to select the reference years from 2014. The targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No Baseline, because of new approach. The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020. Self-reported by projects' beneficiaries. The specific dashboard view is called "Publications in Peer-Reviewed (PR) and High Impact (HI) Peer Reviewed Journals
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	

**Specific Objective 9 :Societal challenges - securing sufficient supplies of safe, healthy and high quality food and other bio-based products, by developing productive, sustainable and resource-efficient primary production systems, fostering related ecosystem services and the recovery of biological diversity, alongside competitive and low-carbon supply, processing and marketing chains**

**Indicator 1:Publications in peer-reviewed high impact journals in the area of food security**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Publications in peer-reviewed high impact journals in the area of food security per EUR 10 million funding										
	Milestones									2020
						20	20			20
	Actual Progress									Final
				1,2	1,5	3,3	4,5			
Number of publication in peer-reviewed journals in the area of food security										
	Milestones									2020
23										
	Actual Progress									Final
				180	292	822	1379			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	Targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Patent applications and patents awarded in the area of food security**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of patent applications in the area of food security per EUR 10 million funding										
	Milestones									2020
1						2	2			2
	Actual Progress									Final
				(10)	(12)	0,29	0,31			
Number of patent applications awarded in the area of food security										
	Milestones									2020

	Actual Progress									Final
				2	3	23	34			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of patents/10MIL. EUR funding. Number of patent applied incl. awarded
Cut-Off Date	31/12/2020
Data source	Corda
Narrative	
Methodology	KPI dashboard : select the relevant SC programme part from the thematic priorities and read the value from the pre-calculated indicator. Use the deadline date Year dimension to select the reference years from 2014. The targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective
Link MFF 14-20 / MFF 21-27	
Other methodological comments	figures related to patent application and patent awarded are given only for information. The number of patent application doesn't include the number of patent awarded. The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020. Number of self-reported patent applications and patents awarded by projects funded, divided the Total EU contrib/10 Million. The specific dashboard view is called "Patent Applications and Patent Awarded".
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020.

### Indicator 3: Number of prototypes and testing activities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of prototypes										
	Milestones									2020
none	Actual Progress									Final
				237	972	1 384	1587			
Number of testing activities										
	Milestones									2020
none	Actual Progress									Final
				327	3 059	3 745	3995			

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Number of joint public-private publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
				174	220	617	1279			

Are we on track	No data
Indicator type	
Unit of measurement	

Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 10 :Societal challenges - making the transition to a reliable, affordable, publicly accepted, sustainable and competitive energy system, aiming at reducing fossil fuel dependency, in the face of increasingly scarce resources, increasing energy needs and climate change**

**Indicator 1:Publications in peer-reviewed high impact journals in the area of secure, clean and efficient energy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Publications in peer-reviewed high impact journals in the area of secure, clean and efficient energy per EUR 10 million funding										
	Milestones									2020
14						20	20			20
	Actual Progress									Final
				0,75	1,17	2,2	2,4			
Number of publications in peer-reviewed high impact journals in the area of secure, clean and efficient energy										
	Milestones									2020
	Actual Progress									Final
				183	347	815	1060			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Patent applications and patents awarded in the area of secure, clean and efficient energy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Patent applications in the area of secure, clean and efficient energy per EUR 10 million funding										
	Milestones									2020
						2	2			2
	Actual Progress									Final
					0,23	0,59	0,75			
Number of patents applications in the area of secure, clean and efficient energy										
	Milestones									2020
	Actual Progress									Final
				66	69	119	124			
Number of patent awarded in the area of secure, clean and efficient energy										
	Milestones									2020
										2
	Actual Progress									Final
				19	19	102				

Are we on track	Moderate progress
-----------------	-------------------

Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of prototypes and testing activities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
					7 117	8 591	24220			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	2020: 12574 testing activities + 11446 prototypes
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No Baseline, because of new approach.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of joint public-private publications**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
				71	397	868	1159			

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Share of the overall Energy challenge funds allocated to the following research activities: renewable energy, end-user energy-efficiency, smart grids and energy storage activities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			0,85				0,85			0,85
	Actual Progress									Final
	0,91	0,94	0,94	0,88	0,91	0,89	0,90			

Are we on track	On track
Indicator type	
Unit of measurement	

Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 11 :Societal challenges - achieving a European transport system that is resource-efficient, climate- and environmentally-friendly, safe and seamless for the benefit of all citizens, the economy and society

#### Indicator 1:Publications in peer-reviewed high impact journals in the area of smart, green and integrated transport

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Publications in peer-reviewed high impact journals in the area of smart, green and integrated transport per EUR 10 million funding										
2017	Milestones									2020
2	Actual Progress									Final
				0,2	0,5	0,7	0,9			
Number of publications in peer-reviewed high impact journals in the area of smart, green and integrated transport										
2017	Milestones									2020
	Actual Progress									Final
				55	149	306	471			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020.
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Patent applications and patents awarded in the area of smart, green and integrated transport

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of patent applications in the area of smart, green and integrated transport per EUR 10 million funding										
	Milestones									2020
1	Actual Progress									Final
				(29)	(34)	0,37	0,45			
Number of patents awarded in the area of smart, green and integrated transport										
	Milestones									2020
	Actual Progress									Final
				8	8	77	88			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	

Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of prototypes and testing activities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of Prototypes										
	Milestones									2020
none	Actual Progress									Final
				734	1 638	10 595	15342			
Number of Testing activities										
	Milestones									2020
none	Actual Progress									Final
				173	1 305	4800	8480			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of joint public-private publications**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of Publications										
	Milestones									2020
none	Actual Progress									Final
				279	393	887	1258			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 12 :Societal challenges - achieving a resource - and water - efficient and climate change resilient economy and society, protection and sustainable management of natural resources and ecosystems and a sustainable supply and use of raw materials, in order to meet the needs of a growing global population within the sustainable limits of the planet's natural resources and ecosystems**

**Indicator 1: Publications in peer-reviewed high impact journals in the area of climate action, resource efficiency and raw materials**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------



	Actual Progress								Final
					397	774	1007		
Number of Testing activities									
	Milestones								2020
none	Actual Progress								Final
					820	1 525	1897		

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Number of joint public-private publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none	Actual Progress									Final
				107	234	541	796			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 13 :Societal challenges - fostering a greater understanding of Europe, provide solutions and support inclusive, innovative and reflective European societies in a context of unprecedented transformations and growing global interdependencies

#### Indicator 1: Publications in peer-reviewed high impact journals in the area of inclusive, innovative and reflective societies

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Publications in peer-reviewed high impact journals in the area of inclusive, innovative and reflective societies per EUR 10 million funding										
2017	Milestones									2020
10	Actual Progress									20
				0,6		2,45	2,45			Final
Number of publications in peer-reviewed high impact journals in the area of inclusive, innovative and reflective societies										
2017	Milestones									2020
	Actual Progress									Final
				25		196	240			

Are we on track	
Indicator type	
Unit of measurement	

Cut-Off Date	
Data source	
Narrative	Targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 14 :Societal challenges - fostering secure European societies in a context of unprecedented transformations and growing global interdependencies and threats, while strengthening the European culture of freedom and justice

#### Indicator 1:Publications in peer-reviewed high impact journals in the area of secure societies

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Publications in peer-reviewed high impact journals in the area of secure societies per EUR 10 million funding										
2017	Milestones									2020
1	Actual Progress									Final
					0,5	1,8	1,3			
Number of publications in peer-reviewed high impact journals in the area of secure societies										
2017	Milestones									2020
	Actual Progress									Final
				31	39	87	167			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Targets are for whole Societal challenges pillar (Specific objectives: 8-14) and not per each individual specific objective.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The reference for this target is the year when the last actions financed under Horizon 2020 will be finished, i.e. several years after the formal end of the programme in 2020.
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Patent applications and patents awarded in the area of secure societies

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of patent applications in the area of secure societies per EUR 10 million funding										
	Milestones									2020
none	Actual Progress									Final
				(2)	(1)	0,1	0,2			
Number of patents awarded in the area of secure societies										
	Milestones									2020
none	Actual Progress									Final
				3	3	5	8			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	

Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of prototypes and testing activities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of prototypes										
	Milestones									2020
none	Actual Progress									Final
					337	539	788			
Number of testing activities										
	Milestones									2020
none	Actual Progress									Final
					370	579	905			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of joint public-private publications**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Milestones										
										2020
	Actual Progress									Final
				165	182	495	618			

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 15 :Spreading excellence and widening participation - fully exploiting the potential of Europe's talent pool and to ensure that the benefits of an innovation-led economy are both maximised and widely distributed across the Union in accordance with the principle of excellence**

**Indicator 1: Evolution of the publications in high impact journals in the relevant research fields**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Milestones										
										2020

	Actual Progress									Final
						17				

Are we on track	No data
Indicator type	Result
Unit of measurement	
Cut-Off Date	31/12/2019
Data source	
Narrative	New indicator
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 16 :Science with and for society - building effective cooperation between science and society, to recruit new talent for science and to pair scientific excellence with social awareness and responsibility

#### Indicator 1: Number of institutional change actions promoted by the programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
none				7	16	27	100			100
	Actual Progress									Final
				233	265		596			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of institutional change actions
Cut-Off Date	12/07/2022
Data source	Corda
Narrative	
Methodology	KPI dashboard : the indicator is pre-calculated and the year of reference can be selected via the deadline date year dimension.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Based on self-reporting by the projects' beneficiaries. The specific dashboard view is called "Institutional Change Actions"
Full metadata available at this address	<a href="https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis">https://webgate.ec.testa.eu/dashboard/sense/app/7430404c-503f-4286-94dc-7f5c915be2d5/sheet/8506a750-0c27-4b9a-b929-1d8bb0f9179f/state/analysis</a>
Justification of the trend	Above the target

### Specific Objective 17 :Non-Nuclear Direct Actions of the Joint Research Centre - providing customer-driven scientific and technical support to Union policies, while flexibly responding to new policy demands

#### Indicator 1: Number of occurrences of tangible specific impacts on European policies resulting from technical and scientific support provided by the Joint Research Centre

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
248	215±5			330±10			> 330±15			> 330±15
	Actual Progress									Final
	275	305	376	339	338	303	513			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of impact cases
Cut-Off Date	31/12/2020

Data source	JRC internal evaluation
Narrative	The indicator 1 counts cases where JRC's work has policy-impact by incorporation of scientific and technical knowledge into policy proposals or by supporting the implementation and monitoring of EU policies. In accordance with its mission, the JRC has steadily supported EU policymaking during the Horizon 2020 programme, producing tangible outcomes as expected and in particular in 2020 when its work helped the European Commission in managing the Covid-19 crisis.
Methodology	JRC's annual evaluation exercise performed by an internal peer group of experts on the basis of an established evaluation methodology
Link MFF 14-20 / MFF 21-27	This indicator can feed into Horizon Europe medium/long-term key impact pathways
Other methodological comments	The evaluation methodology is documented and established within an integrated management system applying ISO standards.
Full metadata available at this address	JRC internal database
Justification of the trend	Overall, across the period 2014-2020, the indicator shows a steady trend reflecting the variations in available resources and steering of research towards immediate needs of the Commission. In 2020, the higher value results from JRC's direct support to managing the Covid-19 crisis and maturing of new activities.

### Indicator 2: Number of peer reviewed publications in high impact journals

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
460	460			500			500			500
	Actual Progress									Final
	465	518	553	515	538	522	548			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of publications
Cut-Off Date	31/01/2021
Data source	JRC publication management system
Narrative	The indicator shows that the JRC has consistently contributed to scientific knowledge by exceeding its publication targets every year of the Horizon 2020 framework programme. The average scientific impact of JRC publications as measured by other bibliometric indicators puts it on par with prestigious universities and research organisations
Methodology	The indicator counts the peer-reviewed articles published within a given year in journals, the titles of which are listed in the Thomson-Reuters Science Citation Index Expanded (SCI-e) and/or Social Science Citation Index (SSCI).
Link MFF 14-20 / MFF 21-27	No – Under MFF the indicator will be based on a different data source
Other methodological comments	
Full metadata available at this address	JRC publications database
Justification of the trend	A slightly upward trend over the duration of the Horizon 2020 programme, coherent with the JRC's mission and development as Commission's science and knowledge service.

### Specific Objective 18 :The European Institute of Innovation and Technology - integrating the knowledge triangle of higher education, research and innovation and thus to reinforce the Union's innovation capacity and address societal challenges

#### Indicator 1: organisations from universities, business and research integrated in the Knowledge and Innovation Communities (KICs)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010-2013	Milestones									2020
200	240	450	500	800			1 200			1 200
	Actual Progress									Final
	550	800	1 097	1 238	1 650	1 735	2 153			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	31/12/2020
Data source	
Narrative	

Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: collaboration inside the knowledge triangle leading to the development of innovative products, services and processes

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Start-ups and spin-offs										
2012	Milestones									2020
33	30	280	400	500			600			600
	Actual Progress									Final
	181	250	286	356	359	377	466			
Innovation										
2012	Milestones									2020
210	300	800	1500	2200			6000			6000
	Actual Progress									Final
	1184	2145	3904	4471	3159	4638	5045			

Are we on track	On track
Indicator type	Result
Unit of measurement	
Cut-Off Date	31/12/2020
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
5 000,0	5 526,0	5 637,0	5 703,0	5 637,0	5 637,0	5 637,0	38 777,0

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

##### 2014- 2020 Multiannual Financial Framework

As for the 2019 exercise, please note that the figures for 2020 are estimations based on the history of the previous expenditures in the period 2014-2019. For the latter, we have only taken the operational expenditure into account (Joint Undertakings included, but all administrative expenditure excluded).

It should also be noted that the 'tracking percentages' mentioned above – as well as all calculations of climate contributions in past years – have been calculated exclusively on the basis of the climate contributions in grant agreements signed. This approach provides a better reflection of the contributions of the research projects that are being implemented.

The Regulation establishing Horizon 2020 states that climate-related expenditure should exceed 35 % of the overall Horizon 2020 budget. Despite a considerable increase compared to FP7, investment for climate action has not yet reached that target yet. Therefore, targeted action is being taken to address this challenge.

In order to meet the expectations of 35% budgetary contribution to climate action in Horizon Europe, a new strategy for climate tracking climate action expenditure under Horizon Europe has been implemented that includes the following changes compared to Horizon 2020:

- Setting clear top-down expectations for achieving the target throughout the different parts of Horizon Europe
- Reviewing the planned contributions of some parts of the Framework Programme in light of new evidence emerging in the implementation of Horizon 2020

#### 2021 – 2027 Multiannual Financial Framework

Learning from the experience of the 2014 – 2020 period, Horizon Europe will improve his performance related to climate expenditures. The sub-targets for the three Horizon Pillars will take into consideration the specificities of each Pillar and the current baseline performance under Horizon 2020. The proposed solution described hereunder will ensure that the targets are met, while respecting the specific character of the bottom-up programmes.

For programmable activities, the climate markers have been allocated at the level of activity by considering the envisaged expenditure in accordance with the topics included in the Work Programme 2021/22. Research family DGs and executive agencies will implement a project level tracking to refine estimates so as to give an accurate picture of climate-related expenditure. A similar procedure applies to the part “Widening participation and strengthening area”, major budgets are made available for underrepresented countries to join supported projects. We assume that this will happen in a way that mirrors the portfolio and expenditure in the programmed parts.

Activities in the excellent science part (Pillar 1) are not programmed thematically. The estimate is based on the agreement to assign markers to domains of scientific activity (like for example ‘Life sciences’ 40%)

Activities in the European Innovation Council & European Institute of Innovation and Technology (Pillar 3) are in an intermediate position: The EIT is active only in the defined large topics (like the ‘Climate Knowledge and Innovation Community (KIC)’ or the EIT Digital). For an estimate of climate expenditure these eight large areas have been assigned climate markers. The European Innovation Council has committed itself to a 30% target and has put in place specific instruments that aim at supporting climate relevant innovative developments. The estimate builds on the agreed target; refinement of estimates will be made by tracking projects and other activities.

Revised estimates providing more accurate figures will therefore be provided from next year onwards when the tracking will be implemented for both programmable and bottom-up parts as described above and a more precise allocation to budgetary years is possible.

The following table shows the details of the calculation at the level of the specific objective of the programme.

Specific objective	Budget 2021/22 – Estimate in MEur (% of operational budget; 92,9% of total)
Pillar 1 Excellent science	2.306 (37,3%)
Pillar 2 Global challenges and European Industrial	6.760 (46,9%)
Pillar 3 Innovative Europe	1.231 (30,9%)
Widening participation and Strengthening the ERA	238 (25,5%)
<b>TOTAL</b>	10.535 (41,3% of operational budget equal to 38,4% of total budget)*

*\*the baseline of budgets and calculations include a share of 3548MEur contributed by NGEU to Horizon Europe for 2021 and 2022. Operational budget from NGEU is 3427MEUR in equal fourths allocated to Pillar 2 clusters ‘Health’; ‘Industry’ and ‘Climate, energy, mobility’ and the EIC (pillar 3). Estimated climate expenditure in NGEU’s budget part is 39,2% of operational budget (36,4% total budgets) equal to 1291MEur.*

#### 6.1.3. Key achievements

Climate Action research is tackled by a series of actions within the framework of the Societal Challenge "Climate action, environment, resource efficiency and raw materials". Moreover, as a horizontal approach fully integrated in all Horizon 2020 priorities, climate action research activities are encouraged and supported in order to exploit Europe's leadership in the race to develop new processes and technologies promoting sustainable development, in a broad sense, and for combating climate change. Such approach helps to provide effective solutions in many areas of climate action such as high-end climate change, the economics of climate adaptation, disaster risk reduction, nature-based solutions, climate services and climate-resilient agriculture and forestry. Some of the key achievements are shown hereafter.

**Sustainable and resilient production of food, wine and oil:** designed a climate services prototype to build more resilient, efficient and sustainable agriculture and food systems. Although focusing on three key crops of the Mediterranean area (grapes, olives and durum wheat), the prototype can be used in other sectors. CONFER co-developed dedicated climate services for the water, energy and food security sectors with stakeholders and end-users, to enhance their ability to plan for and adapt to seasonal climate fluctuations in East Africa. It will potentially reach 365 million people in 11 countries.

**Clean and resilient energy system:** S2S4E developed a decision-support tool combining sub-seasonal to seasonal climate forecasts and key energy indicators, with the objective to make the energy sector more resilient to climate variability and change. The tool is supporting energy operators to optimize energy production from renewable sources and favour larger integration of renewable energy in the grid, contributing as well to decarbonising the energy system.

**Urban climate resilience:** GrowGreen supported nature-based solutions for urban climate resilience through co-design to co-management, with contribution to climate strategies in city case studies, like in the city of Manchester.

**Climate impacts beyond Europe:** identifies how the risks of climate change to countries, economies and peoples beyond Europe might cascade into Europe. It also looks into possible mitigation and adaptation efforts.

**Too much or too little water:** BRIGAD supported climate adaptation innovations, bridging the gap between innovators and end-users in resilience to floods, droughts and extreme weather.

#### 6.1.4. Performance

The Regulation establishing Horizon 2020 states that climate-related expenditure should exceed 35 % of the overall Horizon 2020 budget. According to our tracking methodology, Horizon 2020 has so far invested EUR 20,3 billion on climate change; about 31 % of the amount committed to the specific objectives. This does not include expenditure outside of these specific objectives, such as administrative expenditure. Despite a considerable increase compared to FP7, investment for climate action has not yet reached its target. Targeted action was taken to address this challenge, including a new Green Deal call launched in 2020, which has brought the yearly climate expenditure for 2020 above the 35% threshold (36%) for the first time since the launching of the Framework Programme.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
807,0	823,0	839,0	867,0	884,0	902,0	920,0	6 042,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

No target for biodiversity has been set in the legal base of Horizon Europe. However, the method applied for the estimation and the future tracking follows the one described for climate, with the exception of pillar 1 for which estimates are made based on share of recorded projects in MSCA and ERC. As for biodiversity tagging of relevant actions in Pillar 2 is currently underway. It is clearly understood that the methodology for biodiversity tracking within the research framework programmes needs to be further re-fined, linked to systematic tagging of project calls and project implementation, and quality checked in order to achieve robust figures for biodiversity spending.

Based on that, preliminary estimates for biodiversity related expenditure are as follow:

- €1.228M (6,9%) across all clusters of which €1.002M from cluster 6 (Agriculture, Environment, Oceans);
- €418M by Pillar 1 assuming a 7% share in ERC & MSCA;
- €312M in the context of missions (notably Oceans, Soils, climate adaptation) equal to 23% of mission budgets;
- No significant contribution for biodiversity is ex-ante expected from pillar 3.

The impact of the co-funded Biodiversity Partnership on the overall figures has an additional leverage effect on national investments (x2) which is not accounted here and may increase through the years

Biodiversity' ex-ante estimate of 2021/22 spending is approximately 7% equal to €1.957M with some correction potential, and possibilities to increase with enhanced ex-ante mainstreaming processes in the following work programme periods.

### 6.2.3. Key achievements

**Protecting natural areas:** ECO-POTENTIAL developed tools to connect Earth observation techniques with field measurements to study ecosystems and better manage protected areas such as National Parks, UNESCO World Heritage and Natura2000 sites, and marine ecosystems.

**Insects and pollinators:** BIG4 studied the four largest insect groups to tackle hotspots of the largely unknown insect diversity to better comprehend its potential for economic and societal needs. BIG4 employed a wide spectrum of modern, innovative approaches to unveil the tree of life for several insect lineages.

**Nature-based solution:** NATURVATION Nature-Based Solutions Atlas and Navigator prototype will assist decisionmakers in the path towards a more effective implementation of nature-based solutions.

**Restoring freshwater ecosystems:** AMBER develops tools, models, and toolkits that allow hydropower companies and river managers to maximize benefits and minimize ecological impacts. The aim is to achieve a more effective and efficient restoration of stream connectivity.

**Marine ecosystems** SponGES is assessing the biodiversity contained within sponge grounds ecosystems of the North Atlantic, and developing an integrated ecosystem-based approach to preserve and sustainably use marine resources.

**Valuing nature:** MAIA and WE VALUE NATURE are mainstreaming the use of natural capital accounting among Member States and businesses.

**Building the European partnership on biodiversity:** BIODIVERSA3 is the EU network of research ministries and funding agencies promoting a common, forward-looking vision for overcoming fragmentation in biodiversity research. Along with environmental ministries, they prepare the future European Partnership on Biodiversity and its Strategic R&I Agenda under Horizon Europe.

#### 6.2.4. Performance

Horizon 2020 contributed significant financial resources to the conservation of biodiversity. EU investments in biodiversity-related research during Horizon 2020 are up to EUR. €3,5 billion EU that represents 5% of the programme.

### 6.3. Contribution to clean air financing

#### 6.3.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
838,0	1 068,0	858,0	872,0	848,0	860,0	848,0	6 192,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.3.2. Explanation and justification on the financial contribution

The Clean air expenditure indicated in the table has been estimated annually for the full 2021-2027 period building on a high-level tracking methodology, originally developed and convened in the OECD. The tracking system for clean air was further developed by the Commission to comply with the reporting obligation on the uptake of EU funding in Article 11 of the National Emission Ceilings Directive (EU)2016/2284 and is included in Annex 4 of the implementation report COM/2020/266 final. It is based on the “EU Marker” system. This means that the clean air related expenditure has been calculated in accordance with the three following categories:

- A 100% contribution to clean air is assumed when clean air is clearly the primary objective, e.g. when vehicles, ships and aircraft (and their components) with zero emissions of air pollutants are concerned, or when activities directly deal with pollution reduction, measurement, assessment or impact.
- If a contribution to clean air is a significant, but not predominant objective, the contribution is counted as 40% For instance, in the case of urban activities where there is no mission work-program or precise budget and the impact is partial, we assumed a 40% contribution on the expected budgets. Similarly, in the case of hydrogen and energy, activities dealing with zero emissions energy and fuels are accounted at 40%, while activities dealing with replacement fuels and technologies are not considered to contribute to clean air.
- Expenditure not targeted at clean air objectives, nor contributing to such objectives is to be counted as 0%.

At this stage, it has been considered that only cluster 'Climate, Energy and Mobility'; and cluster 'Food, Bioeconomy, Natural Resources, Agriculture and Environment' contribute to financing “clean air”. However, a number of projects funded through the mission “Climate neutral cities” or the Pillar 1 or Pillar 3 will contribute to “clean air”, e.g. EIT Climate-KIC “climate” EITs “Inno Energy” and “Urban Mobility”. As it is impossible to estimate their contribution ex-ante, in particular for the bottom-up activities, a scoring of “0” has been applied for the pillar 1 and pillar 3. Therefore, according to the methodology used, the financial

contribution to “Clean air” given in the table for the Horizon Europe programme is likely underestimated. Consequently, a tracking at a lower –level, for instance at the level of the topics identified in the work programmes, is foreseen to be implemented for Horizon Europe. This will allow a more accurate estimation ex-post of the contribution of Horizon Europe to clear air financing.

#### **Key Achievements – Horizon 2020 (2014-2020)**

In the transport area, a large part of the Horizon 2020 budget is dedicated to zero and low emissions technologies, and all future Horizon Europe activities in the 2Zero, rail, hydrogen and batteries Horizon Europe partnerships will concentrate on zero emissions solutions and therefore are assumed to deliver air quality improvements, while all demonstrations of the CCAM partnership will be performed on zero emissions vehicles but, having little specific work on emissions, it’s for the moment conservatively assumed to give a zero contribution.

European Green Vehicles Initiative research projects such as 1000kmplus and EVC1000 (13,6 million EUR in total) are taking a holistic approach to deliver fully electric vehicles capable of running long holiday trips with minimal delay in comparison to the same trip with a conventional car, thus helping to improve the perception of electric vehicles as full replacements for today’s cars, convincing customers to switch to zero pollution vehicles. For the same reason, many other projects contribute to making these vehicles affordable and more efficient.

In a similar way, projects in the Hydrogen and Fuel Cell JU, such as H2Haul project (Hydrogen fuel cell trucks for heavy-duty, zero emission logistics) will contribute to delivering zero emissions heavy duty transport by deploying 16 fuel cell trucks in four demonstration sites in Belgium, France, Germany and Switzerland.

Apart from all the zero-emission related projects that constitute the bulk of the EGVI partnership, there are a few projects dealing with the emissions of conventional vehicles as well. GVI (3 million EUR), aims at orienting consumer choice towards clean vehicles, delivering the first global rating of environmental performance of all types of vehicles based on independent measurements of both pollutants and climate affecting emissions and including many emissions which are not yet regulated.

CARES (3.4 million EUR) aims instead at monitoring the emissions of the existing fleet, discovering high emitting vehicles that have been tampered (for instance removing the particle filter, which leads to one vehicle emitting like thousands of untampered ones), vehicles needing maintenance or new defeat devices.

Among the running projects contributing to clean air the projects dealing with nanoparticulate measurement in vehicles (PEMS4NANO, SUREAL23 and DOWNTOTEN for a total of around 15 million EUR) have delivered methodologies and instrument which should allow stricter regulation of emissions, while projects SCIPPER and AVIATOR respectively study emissions around ports and airports for a total of 10 million EUR.

In addition, several activities in the shipping (both inland and maritime) and aviation sectors will address zero emissions technologies or technologies that will partially reduce polluting emissions.

AVIATOR in particular is developing and deploying across multiple airports, a proof-of-concept low cost sensor network for the monitoring of UFP, PM and gaseous species such as NO<sub>x</sub> and SO<sub>x</sub>, across airport and surrounding communities. Transport and impact of emissions from aircraft engines and Auxiliary Power Units (APU) will be monitored in this more complex environment through high fidelity and sensor measurements. AVIATOR will provide airports and regulators with tools and guidance to improve the assessment of air quality in and around airports.

PROMINENT is addressing the key needs for technological development, as well as the barriers to innovation and greening in the European inland navigation sector, in close cooperation with the project CLINSH (Clean Inland Shipping) under the LIFE programme. One of the objectives is to reduce emissions of air pollutants from inland shipping to make the sector as competitive as road transport in terms of air pollutant emissions by 2020 and beyond.

Innovation in urban areas is needed for climate reasons and for the energy transition, but often projects with such objectives can also benefit air quality.

IRIS supports seven cities in delivering cheaper, better accessible and reliable energy and mobility services for a better and more sustainable urban quality of life. The project focuses on i.e. energy efficiency and grid flexibility, including measures such as second life battery, vehicle-to-grid storage, dynamic balance of demand and supply, increase of renewable energy production and roll-out of e-cars and e-buses, thus contributing to more stable, secure and affordable energy and mobility services for citizens, with improved air quality.

Air quality is not just an outdoor concern, it is equally important in indoor environments – when staying at home, driving in cars or flying in aeroplanes. EU-funded researchers developed new tools to address the burgeoning air pollution problem in aircraft cabins. H2020-MACAO develops new tools improve cabin air quality and protect against organic pollutants and ozone levels. VOCs and ozone can also find their way into the cabin, but especially ozone, when the aircraft is flying high near the ozone layer. Unwanted by-products of engine combustion, such as nitrogen oxides, can also pollute the cabin, while other pollutants emanate from within the cabin – ethanol in alcoholic beverages can evaporate and interior furnishings can release formaldehyde. All these pollutant

gases present concerns for the health and comfort of passengers and crew. Prolonged exposure to elevated ozone and VOC levels are linked to headaches and respiratory and cardiovascular issues.

The first two-year WP of Horizon Europe pays particular attention to local air quality (LAQ) and deliver transformative technologies that will allow a step change in the reduction of LAQ from NO<sub>x</sub>, SO<sub>x</sub>, volatile organic compounds (VOCs) and particulate matter (PM) that occur below 900m above ground level around airports.

A specific area in the transport sector of the workprogramme is dedicated to assessing and reducing the health impact of transport emissions, targeting for instance the reduction of brake emissions through pilot programs to test emerging technologies.

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
37,5	16,9						54,4

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

#### Horizon Europe (2021-2027) – Contribution

Under Horizon Europe, a strengthened approach for gender equality is introduced, with foreseen increase of the overall expenditure contributing to gender equality objectives. In particular, the Horizon Europe legal basis sets the strengthening of the gender dimension in research and innovation content, across the whole programme, as an operational objective. At implementation level, this will entail that the integration of sex and gender analysis will become mandatory by default in all topics of calls-for-proposals (for research and innovation actions and innovation actions), and thus in all funded projects – unless the non-relevance of the gender dimension is duly justified.

The figures given in the table are only the amount planned to be allocated to the dedicated support for gender equality

- Under a programme part dedicated to “Strengthening the European Research Area”, for policy-related supporting activities for inclusive gender equality in research and innovation organisations. Foreseen budget for 2021: EUR 8.2 Million for 3 actions. Foreseen budget for 2022: EUR 7.9 Million for 5 actions.
- Under Cluster 2 on “Culture, Creativity and Inclusive Society”, for gender studies and intersectional research. Foreseen budget for 2021: EUR 9.9 Million for a dedicated topic. Foreseen budget for 2022: EUR 9 Million for a dedicated topic.
- Under Cluster 4 on “Digital, Industry and Space”, for tackling gender, race and other biases in Artificial Intelligence. Foreseen budget for 2021: EUR 10 Million for one specific topic.
- Under the European Innovation Council and European Innovation Ecosystems work programmes: several activities promoting gender equality are also planned, including a new initiative to support women-led deep-tech start-ups, combining dedicated funding with mentoring and coaching activities (foreseen budget for 2021: EUR 3.75 Million), as well as monitoring of gender balance in the EIC portfolio through a specific key performing indicator.

No specific gender expenditure tracking mechanism is envisaged at this stage. However, the upgraded Horizon Dashboard will include the new approach allowing to better identify the gender composition of researchers applying or benefiting from the EU R&I support, success rates of female researchers, their networks as well as career progression. It will also allow to identify female led companies supported by the Horizon Europe Framework Programme and better understand the impact of the programme on their company growth.

#### Key achievements and performance

##### Gender as a cross-cutting issue in Horizon 2020

Horizon 2020 was the first Framework Programme for Research and Innovation (R&I) to include specific articles relating to gender equality in its Regulation, setting gender as a cross-cutting issue with three distinct objectives:

- gender balance in research teams at all levels, in order to close the gaps in the participation of women;

- gender balance in decision-making bodies, in order to reach the target of 40% of the under-represented sex in panels and groups and of 50% in advisory groups;
- integration of the gender dimension into R&I content, i.e. taking into account as relevant biological characteristics as well as social and cultural features of both women and men in the design and content of R&I (sex and gender analysis).

These objectives are implemented through a series of Commission provisions which are integrated, as relevant, at various stages of the Research and Innovation cycle.

#### Gender balance in research teams

- In Work Programmes, applicants are encouraged to promote equal opportunities in the implementation of the funded action and to ensure a balanced participation of women and men at all levels in teams. Up to January 2021, the share of women participants in Horizon 2020 projects was 41% of the total workforce, including non-researchers, while women represented 27% of projects coordinators.
- In Marie Skłodowska-Curie Actions (MSCA) specifically, women represent an overall share of 41% of the entire MSCA fellow population under Horizon 2020, 43% of Individual Fellowships, and 44% ITNs (i.e. for doctoral candidates). From the budget spent so far on the four main Marie Skłodowska-Curie Actions under Horizon 2020, EUR 2.4 billion have been dedicated to women researchers.

#### Gender balance in decision making

Targets have been fully reached: the share of contracts with women experts participating in evaluation panels is 42%, while women's participation in Horizon 2020 advisory groups was 55%.

#### Gender dimension in research and innovation content

The integration of the gender dimension in R&I content has been increasingly mentioned in topics for calls for proposals across the different Horizon 2020 Work Programme parts, and applicants' attention is drawn to the relevance of sex and gender analysis in the content of their planned actions, which is evaluated under the 'Excellence' criterion. Across the 2020 Work Programmes, 125 out of 343 topics (36.4%) for calls for proposals (including the emergency Coronavirus calls for Expression of Interest) integrate an explicit gender dimension in their content. Moreover, an increasing number of bottom-up projects funded under the "Excellent Science" pillar of Horizon 2020, through the European Research Council (ERC) and the MSCA programme, have been integrating sex and gender analysis in their research designs, and in some cases, have been fully dedicated to gender-equality related themes.

#### Funding to projects dedicated to gender equality issues

- Gender equality projects are funded under the [Science-with-and-for-Society \(SwafS\) Work Programme](#), which has specific calls on supporting gender equality in R&I. Among these, support is offered to implement gender equality plans (GEPs) in research performing and funding organisations.
- We also fund under SwafS policy-related projects to support a coherent framework of activities, including: trans-national policy networks, communities of practice on GEP implementation, a gender equality training academy to support the implementation of GEPs, addressing gender bias in allocation of funds, integrating a gender perspective in international cooperation, addressing gender-based violence including sexual harassment in academia.
- For the whole of the Horizon 2020 SwafS work programme, over EUR 83 Million will have been allocated to over 40 collaborative projects and other actions on gender equality in R&I, benefitting to around 300 organisations.
- In addition, other SwafS-funded projects, e.g. on responsible research and innovation as well as science education, have also been addressing gender equality issues specifically.

As a result of these provisions, R&I is already considered to be among the 'best in class' with respect to EU policies for the promotion of gender equality.

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

#### ***SDG 1 End poverty in all its forms everywhere***

SDG 1 is one of the least addressed Goals by the EU R&I Framework Programme. The highest share of potential No Poverty related investment is identified in the 'top-down' parts of Horizon 2020, the Societal Challenges (up to 21% of Horizon 2020 investment in this pillar potentially relates to SDG 1). Significantly lower share of investment is observed in the bottom-up pillars (Excellent Science and Industrial Leadership). Based on the most frequent key words analysis, the projects seem diverse. A group of them mentions energy poverty and disaster risk reduction. Four out of five projects are also relevant for Climate Action (SDG 13), Sustainable Cities and Communities (SDG 11) and Reduced Inequalities (SDG 10). Based on the latest Global Sustainable

Development Report 2019<sup>11</sup> the main known trade-offs lie with the SDG 06 on Clean Water and Sanitation and SDG 15 Life on Land.

### ***SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture***

SDG 2 Zero Hunger is moderately addressed by the EU R&I Framework Programme. The highest share of potential zero hunger related investment is identified in the ‘top-down’ parts of Horizon 2020, the Societal Challenges (up to 27% of Horizon 2020 investment in this pillar potentially relates to SDG 2). Based on the most frequent key words analysis, projects seem to focus on nutrition security and food systems. Four out of five projects are also relevant to Climate Action (SDG 13). Based on the latest Global Sustainable Development Report 2019<sup>12</sup> the main currently known trade-offs lie with the SDG 11 Sustainable Cities and Communities, SDG 14 Life Below Water, SDG 15 Life On Land and SDG 6 Clean Water and Sanitation – every other Zero Hunger related project in Horizon 2020 potentially tackles these interlinkages.

### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

SDG 3 Good Health and Well-Being is one of the most well addressed Goals by the EU R&I Framework Programme. Almost one out of two Horizon 2020 projects is potentially related to Good health and well-being, both in top-down and bottom-up parts of the programme. Based on the most frequent key words analysis, projects seem to focus on middle and low income countries and infectious diseases in particular the Zika virus. Every second Good health and well-being project is potentially related also to Climate Action goals (SDG 13). Based on the latest Global Sustainable Development Report 2019<sup>13</sup> there are almost no currently known trade-offs when tackling this Goal apart from the Affordable and Clean Energy (SDG 7). However, major co-benefits are observed with SDG 8 Decent Work and Economic Growth.

### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

SDG 4 Quality Education is moderately addressed by the EU R&I Framework Programme. The highest share of potential Quality Education related investment is identified in the top-down parts of the Horizon 2020 Programme related to Societal Challenges and Other priorities such as widening and including society. Based on the most frequent key words analysis projects seem to focus on early childhood education, science education and teachers. More than half of the projects interlink with the SDG 3 on Good Health and Well-Being. Based on the latest Global Sustainable Development Report 2019<sup>14</sup> tackling Quality Education targets have no currently known trade-offs with other SDGs and co-benefits are observed across all the other Goals.

### ***SDG 5 Achieve gender equality and empower all women and girls***

SDG 5 Gender Equality Goal is one of the least addressed Goals by the EU R&I Framework Programme. The highest share of gender equality related investment is identified in the ‘other’ parts of the Horizon 2020 including society and widening (up to 12% of Horizon 2020 investment in this programme part potentially relates to SDG 5). Based on the most frequent key words analysis projects seem to focus on feminism and gender violence. Every three out of five gender equality related projects also interlink with Peace, Justice and Strong Institutions. Based on the latest Global Sustainable Development Report 2019<sup>15</sup> tackling Gender Equality targets has almost no currently known trade-offs with other SDGs and co-benefits have been observed across all the other Goals.

### ***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

SDG 6 Clean Water and Sanitation is moderately addressed by the EU R&I Framework Programme. The highest share of clean water and sanitation projects is identified in the ‘top-down’ and ‘other’ parts of the Horizon 2020 Programme. Based on the most frequent key words analysis, projects relate to wastewater treatment and water reuse. Every four out of five projects seem to interlink with the Climate Action (SDG 13). Linkages with Good Health and Well-Being Goal are also frequent. Clean Water and Sanitation Goal is one of the most commonly assessed Goals for potential trade-offs and cobenefits. Based on the latest Global Sustainable Development Report 2019<sup>16</sup> trade-offs were found with the Zero Hunger Goal (SDG 2) and Affordable and Clean Energy (SDG 07). Co-benefits are observed with all the other SDGs.

### ***SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all***

SDG 7 Affordable and Clean Energy is one of the most well addressed Goals by the EU R&I Framework Programme. The highest share of affordable and clean energy related projects is identified in Pillar 2 Industrial Leadership (up to 60% of Horizon 2020 investment in this pillar potentially relates to SDG 7). Based on the most frequent key words analysis, projects often refer to renewable energy systems and storage solutions. Every four out of five projects interlink with Climate Action (SDG 13). Links with the Sustainable Cities and Communities are also frequent. Based on the latest Global Sustainable Development Report 2019<sup>17</sup> affordable and clean energy has many trade-offs across the SDGs namely SDG 6 Clean Water and Sanitation, SDG 2 Zero Hunger, SDG 10 Reduced Inequalities and SDG 15 Life on Land. Co-benefits were identified with SDG 12 Responsible Consumption and Production, SDG 4 Quality Education and SDG 5 Gender Equality.

### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

SDG 8 Decent Work and Economic Growth is moderately addressed by the EU R&I Framework Programme. All parts of the Horizon 2020 Programme, with the exception of the Excellent Science pillar, seem to equally support decent work and economic growth (between 25% to 27% of investment in Pillar 2, 3 and ‘Other’ parts of Horizon 2020 potentially relates to SDG 8). Based on

the most frequent key words analysis, several projects relate to labour market and youth unemployment. Many projects interlink with SDG 11 Sustainable Cities and Communities and SDG 12 Climate Action. Based on the latest Global Sustainable Development Report 201918 the main trade-offs have been so far identified with the SDG 12 Responsible Consumption and Production, SDG 13 Climate Actions and SDG 14 Life Below Water.

#### ***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

SDG 9 Industry, Innovation and Infrastructure is moderately addressed by the EU R&I Framework Programme. The highest share of industry, innovation and infrastructure related projects is identified in the Industrial Leadership and Societal Challenges part of the Horizon 2020 Programme (around 40% of Horizon 2020 investment in this pillar potentially relates to SDG 9). Based on the most frequent key words analysis many projects seem related to transport. The majority of projects also interlink with Climate Action (80%), Sustainable Cities and Communities (72%) and Affordable and Clean Energy (70%). Based on the latest Global Sustainable Development Report 201919 the main trade-offs have been so far identified with Reduced Inequalities (SDG 10), Life on Land (SDG 15) and Life Below Water (SDG 14).

#### ***SDG 10 Reduce inequality within and among countries***

SDG 10 Reduced Inequalities is moderately addressed by the EU R&I Framework Programme. The highest share of projects potentially related to reducing inequalities is identified in the ‘top-down’ parts of the Horizon 2020 Programme related to Societal Challenges (up to 36% of Horizon 2020 investment in this pillar potentially relates to SDG 10). Based on the most frequent key words analysis, this portfolio of projects seems to have a particular focus on migrants and refugees, political and institutional governance and social innovation. Reduced inequality labelled projects commonly link with the Goals of the Climate Action, Good Health and Well-Being and Peace, Justice and Strong Institutions. Based on the latest Global Sustainable Development Report 201920 the main trade-offs were so far identified with the Affordable and Clean Energy (SDG 7), Decent Work and Economic Growth (SDG 8) and Industry, Innovation and Infrastructure (SDG 9).

TOP

#### ***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

SDG 11 Sustainable Cities and Communities is well addressed by the EU R&I Framework Programme. A relatively high share (from 48% to 58%) of investment is potentially related to Sustainable Cities and Communities in all parts of Horizon 2020, with exception of Pillar 1 Excellence Science where the share is much lower (19%). Based on the most frequent key words analysis, these projects often refer to nature based solutions and follower cities. The majority of projects interlink with Climate Action Goal (78%). Based on the latest Global Sustainable Development Report 201921 the main trade-offs have been so far identified with SDG 14 Life Below Water and SDG 15 Life on Land.

#### ***SDG 12 Ensure sustainable consumption and production patterns***

SDG 12 Responsible Consumption and Production is moderately addressed by the EU R&I Framework Programme. From 31% to 42% of investment is potentially related to Responsible Consumption and Production in all parts of Horizon 2020, with exception of Pillar 1 Excellence Science where the share is much lower (10%). Based on the most frequent key words analysis, project reports often mention circular economy, food waste and waste management in general. The majority of projects (88%) interlink with the Climate Action Goal. Based on the latest Global Sustainable Development Report 201922 acting on Responsible Consumption and Production brings co-benefits across the other SDGs, with the exception of SDG 8 on Decent Work on Economic Growth, where some trade-offs are evidenced.

#### ***SDG 13 Take urgent action to combat climate change and its impacts***

SDG 13 Climate Action is the most well addressed Goal by the EU R&I Framework Programme. The highest share of climate action related projects is identified in the ‘top-down’ parts of the Horizon 2020 Programme related to Societal Challenges (up to 67% of Horizon 2020 investment in this pillar potentially relates to SDG 13). Based on the most frequent key words analysis, projects relate to climate science including climate projections, earth and system observations and assessment. Almost half of the Climate Action projects interlink with affordable and clean energy (SDG 07), sustainable cities and communities (SDG 11) and good health and well-being (SDG 03). Based on the latest Global Sustainable Development Report 201923 these four SDGs have a potential to harness co-benefits (i.e. by tackling one SDG positive effects are expected on the other). The trade-offs, however lie especially with the SDG 08 on decent work and economic growth and SDG 02 on zero poverty. A much lower share of current Horizon 2020 investment seems to be addressing these trade-offs.

#### ***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

SDG 14 Life Below Water is moderately addressed by the EU R&I Framework Programme. The highest share of Life Below Water related projects is identified in the ‘top-down’ parts of the Horizon 2020 Programme related to Societal Challenges (up to 42% of Horizon 2020 investment in this pillar potentially relates to SDG 14). Based on the most frequent key words analysis, these projects frequently reference marine ecosystems, coral reefs, fisheries and the overall Blue growth strategy. The majority of projects (78%) interlink with the Climate Action or Life on Land (66%). Based on the latest Global Sustainable Development Report 201924 the trade-offs lie especially with 01 No Poverty, 02 Zero Hunger, 13 Climate Action and 09 Industry, Innovation and Infrastructure.

***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

SDG 15 Life on Land is moderately addressed by the EU R&I Framework Programme. An important share of Life on Land related investment is estimated across the different parts of the Horizon 2020 Programme (from 23% of investment in Pillar 1 Excellent Science to up to 42% in Pillar 3 Societal Challenges). Based on the most frequent key words analysis, these projects frequently mention ecosystem services, forest and land management as well as biodiversity. The majority of projects (75%) interlink with SDG 13 on Climate Action. Based on the latest Global Sustainable Development Report 2019<sup>25</sup> trade-offs lie in particular with the SDG 7 Affordable and Clean Energy and SDG 1 No Poverty and SDG 2 Zero Hunger.

***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

SDG 16 Peace, Justice and Strong Institutions is moderately addressed by the EU R&I Framework Programme. The highest share of Peace, Justice and Strong Institutions related projects is identified in the ‘top-down’ parts of the Horizon 2020 Programme related to Societal Challenges (up to 42% of Horizon 2020 investment in this pillar potentially relates to SDG 16). Based on the most frequent key words analysis, these projects mention Law Enforcement Agencies (LEAs), radicalisation and organised crime. More than half of the projects interlink with the Good Health and Well-Being (SDG 03), Climate Action (SDG 13) and Sustainable Cities and Communities (SDG 11). Based on the latest Global Sustainable Development Report 2019<sup>26</sup> there is little knowledge about the co-benefits and trade-offs - trade-offs were so far identified with Good Health and Well-Being (SDG 03) and Affordable and Clean Energy (SDG 07).

***SDG 17 Strengthen the means of implementation and revitalize the global partnership***

SDG 17 Partnerships for the Goals is the least addressed Goal by the EU R&I Framework Programme. A small share of Horizon 2020 investment (2%) potentially relates to revitalising the global partnership for sustainable development which focuses on enhancing the North-South and South-South cooperation, promoting international trade and helping developing countries to increase their exports. Based on the latest Global Sustainable Development Report 2019<sup>27</sup> trade-offs are limited and were so far identified only with SDG 4 Quality Education and SDG 16 Peace, Justice and Strong Institutions.

## 6.5.2. Key achievements and performance

### Performance:

The EU is committed to development that meets the needs of the present without compromising the ability of future generations to meet their own needs. A life of dignity for all within the planet’s limits that reconciles economic prosperity and efficiency, peaceful societies, social inclusion and environmental responsibility is at the essence of sustainable development. To create from these challenges opportunities for new businesses and new jobs, a strong engagement in research and innovation is necessary. Research and innovation policy sets the direction of travel, creates knowledge and solutions for the transformation towards sustainability, while improving our well-being and ensuring long-term prosperity. It also promotes systemic approaches beyond disciplines, sectors, conversations and policy areas.

The EU Framework Programme for Research and Innovation, Horizon 2020, addresses several of the Sustainable Development Goals (SDGs). Potentially up to 84% of the Horizon 2020 investment relates to at least one of the SDGs and all pillars of Horizon 2020 appear to contribute to the SDGs to a similar degree (‘top-down’ and ‘bottom-up’ investment). The largest share of the investment relates to Climate action (SDG 13) and Good health and well-being (SDG 3). The focus of the EU R&I investment on Responsible production and Consumption is low especially when compared to the current EU performance gap to SDG targets in this area.

- A typical project in Horizon 2020 relates to three different SDGs indicating that the investments are highly interconnected across the SDG spectrum.
- Future policy choices should consider the systemic nature and interdependence of SDGs. Key opportunities lay in leveraging the synergies and minimising the potential trade-offs among the different SDGs (e.g. in Horizon 2020 some interlinkages such as climate, energy and water are expected, and others such as climate action and good health are more surprising).

### Examples of projects addressing the SDGs in Horizon 2020:

***‘SDG 1: SAVING ON HEATING ENERGY: AirEx*** is a smart ventilation control developed by a UK-based start-up focusing on the development and rapid scale-up of fabric efficiency technologies in homes to tackle energy poverty. Their solution enables significant savings on heating energy bills for residents, without compromising air quality.

***SDG 2: NEW ROBOTS TRANSFORMING FARMING: Flourish*** developed adaptable ground and aerial robots that can increase agricultural yield, reduce pesticide use and mitigate food security risks.

**SDG 3: RESEARCH TO SHIELD AGAINST ZIKA-RELATED BIRTH DEFECTS:** **ZIKAlliance** project research found out that dengue virus infection in fact offers protection against the development of Zika-related birth defects rather than enhance its development.

**SDG 4: GAMES PLATFORM TO MAKE LEARNING FUN:** The **BEACONING** worked with schools and universities from Bulgaria, France, Greece, Italy, Poland, Romania, the United Kingdom, Turkey, Israel and South Africa, to create an innovative games platform to make learning science, technology, engineering and maths (STEM) fun. Their platform lets teachers pick a narrative and choose from a series of mini games.

**SDG 5: THE GENDER EFFECTS OF CHANGES IN TAX BASES:** The Swedish **FairTax** project carried out in-depth comparative, interdisciplinary research using constitutional, legal, technical, institutional, qualitative, and quantitative methods to address more sustainable and fair tax and social policies including microsimulation results for personal income tax systems in six countries of the European Union.

**SDG 6: SCALABLE SOLUTION FOR CLEANING WASTE WATER** **iMETland** is a solution to clean polluted waste water being low-cost, eco-friendly, and scalable to an individual, a municipal, or an industrial use setting. The Spanish project is currently being commercialized by iMETfilter SL.

**SDG 7: FACILITATING SYNERGIES FOR SUSTAINABLE CONSTRUCTION:** **STORM** project developed an innovative district heating and cooling network controller, based on self-learning algorithms, deployed and tested in two demo sites. The STORM controller reduces peaks in district heating networks and interacts with the electricity market reducing operational and investment costs for network operators.

**SDG 8: WIN-WIN STRATEGIES FOR GREEN GROWTH:** The **GREEN-WIN** project applied a solution-oriented research approach to understand the links between climate action, sustainability, and overcoming implementation barriers through win-win strategies. The project critically assessed where and when win-win and green growth strategies work in practice and where fundamental trade-offs must be faced. It also produced a booklet of green-win narratives concerning sustainability finance and policies contributions for overcoming economic challenges to de-carbonization.

**SDG 9: BIOMETRIC ONE-TIME PASSWORD CARD ENABLING SECURE E-TRANSACTIONS:** **QuardCard** developed a smart card solution for encrypted communication that enables secure e-banking, e-commerce and e-government using biometric one-time passwords.

**SDG 10: INTERNATIONAL NETWORK FOR COMPARING SOCIAL INEQUALITIES:** The aim of the **INCASI** project is to create an International Network for Comparative Analysis of Social Inequalities (INCASI) with 19 universities, 10 from Europe and 9 from Latin America and impact academic and policy debates on the subject.

**SDG 11: URBAN NATURE LABS:** **UNaLab**, Urban Nature Labs, is developing a European framework of replicable, locally attuned nature-based solutions to enhance the climate and water resilience of cities together with stakeholders and citizens. In 10 cities around the world, the UNaLab project implements local solutions such as urban ecological water management, accompanied with greening measures and innovative, inclusive urban design.

**SDG 12: DISCARDED TEXTILES AS RAW MATERIAL** **RESYNTEX** project established a pilot textile recycling plant in Slovenia to create a new circular economy model for the textile and chemical industries. Recovering secondary raw materials from unwearable textile waste, the installation covers the whole value chain.

**SDG 13: REDUCING THE CARBON FOOTPRINT OF SHIPPING:** The German project **AtlantOS** is computing optimal shipping tracks in the Atlantic Ocean to achieve reduction of carbon intensity through ship route optimization.

**SDG 14: INCREASING OCEAN LITERACY:** **Respon-SEA-ble** co-designed, created, tested and assessed a range of Ocean Literacy tools and products. The project made specific suggestions to maximise opportunities in existing policies (such as the Marine Strategy Framework Directive) to strengthen Ocean Literacy of different groups.

**SDG 15: ALGAE-BASED FERTILISER:** **VegaAlga** developed a microalgae-based fertiliser to establish a sustainable agricultural ecosystem to meet the growing demand for 'green' vegetables. The team developed a smaller microalgae-fertiliser production system to allow farmers to produce fertiliser on their own land in a cost-effective and eco-friendly way.

**SDG 16: POLICIES FOR PEACE:** **POLICIES\_FOR\_PEACE** project aims to study which key institutions and policies are best suited to reduce incentives for engaging in appropriation and armed conflict.

**SDG 17: ACCELERATING OPEN IOT AND BIG DATA INNOVATION IN AFRICA:** **WAZIHUB** (in Swahili for Open-Hub) is an innovation project for Africa aiming to create an OpenHUB of IoT and Big data cutting-edge African-grade solutions, co-designed in Africa to match local service needs.

**HEADING 1: Single Market, Innovation and Digital****Euratom Research and Training Programme****Lead DG:RTD**

Associated DGs:JRC

1. Overview .....	83
1.1. Challenges .....	83
1.2. Mission (general objectives) .....	83
1.3. Specific objectives .....	83
1.4. Public intervention context .....	84
1.5. Actions .....	84
1.6. Delivery mode .....	84
1.7. Graphic overview of the programme structure .....	84
1.8. Legal basis and financial programming .....	85
1.9. Link with the 2014-2020 MFF .....	86
1.10. Relevant websites providing more information .....	86
2. Where are we in the implementation ? .....	86
2.1. Programme 2021-2027 .....	86
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	86
3. How is the programme performing ? .....	87
3.1. Performance .....	87
3.2. Key achievements .....	89
3.3. Evaluations, studies and reports .....	91
4. Programme 2021-2027 - Key monitoring indicators .....	91
Specific Objective 1 :Improve and support nuclear safety, security, safeguards, radiation protection, safe spent fuel and radioactive waste management and decommissioning, including the safe and secure use of nuclear power and of non-power applications of ionizing radiation. ....	91
Specific Objective 2 :Maintain and further develop expertise and competence in nuclear field within the Community. ....	98
Specific Objective 3 :Foster the development of fusion energy as a potential future energy source for electricity production and contribute to the implementation of the European fusion roadmap. ....	102
Specific Objective 4 :Support the policy of the Union on nuclear safety, safeguards and security. ....	103
5. Programme 2014-2020 - Key monitoring indicators .....	104
Previous Program 1 : Euratom Research and Training Programme .....	104
General Objective 1 :To pursue nuclear research and training activities with an emphasis on continuous improvement of nuclear safety, security and radiation protection, notably to potentially contribute to the long-term decarbonisation of the energy system in a safe, efficient and secure way. ....	104
Specific Objective 1 :Supporting the safety of nuclear systems (societal challenges, excellent science, industrial leadership). ....	104
Specific Objective 2 :Contributing to the development of safe, longer-term solutions for the management of ultimate nuclear waste, including final geological disposal, partitioning and transmutation. ....	104
Specific Objective 3 :Supporting the development and sustainability of nuclear expertise and excellence in the Union. ....	105
Specific Objective 4 :Supporting radiation protection and the development of medical applications of radiation, including, inter alia, the secure and safe supply and use of radioisotopes. ....	106
Specific Objective 5 :Moving towards demonstrating the feasibility of fusion as a power source by exploiting existing and future fusion facilities. ....	106
Specific Objective 6 :Laying the foundations for future fusion power plants by developing materials, technologies and conceptual design. ....	107
Specific Objective 7 :Promoting innovation and industry competitiveness. ....	107
Specific Objective 8 :Ensuring the availability and use of research infrastructures of pan-European relevance. ....	108

Specific Objective 9 :Improving nuclear safety including: nuclear reactor and fuel safety, waste management including final geological disposal as well as partitioning and transmutation; decommissioning, and emergency preparedness. The JRC will contribute to the development of tools and methods to achieve high safety standards for nuclear installations and fuel cycles relevant to Europe. ....	108
Specific Objective 10 :Improving nuclear security including: nuclear safeguards, non-proliferation, combating illicit trafficking, and nuclear forensics. ....	109
Specific Objective 11 :Increasing excellence in the nuclear science base for standardisation. ....	110
Specific Objective 12 :Fostering knowledge management, education and training. ....	111
Specific Objective 13 :Supporting the policy of the Union on nuclear safety and security. ....	112
6. The programme contribution to horizontal policies .....	113
6.1. Contribution to climate mainstreaming.....	113
6.2. Contribution to biodiversity mainstreaming.....	113
6.3. Contribution to clean air financing.....	113
6.4. Contribution to gender equality .....	113
6.5. Contribution to the sustainable development goals.....	114

## **1. Overview**

### **1.1. Challenges**

Nuclear research contributes to social well-being and economic prosperity by improving nuclear safety, security and radiation protection. Research and innovation in the nuclear field play a key role in maintaining the highest safety standards and Europe's competences in the nuclear domain. Radiation protection research leads to improvements in medical technologies as well as in other sectors such as industry, agriculture, environment from which many citizens benefit. Nuclear research also supports the Union's efforts in the transition to a climate-neutral energy system in a safe, efficient and secure way.

### **1.2. Mission (general objectives)**

The general objective of the Euratom Research and Training Programme is to pursue nuclear research and training activities, with an emphasis on the continuous improvement of nuclear safety, security and radiation protection, as well as to complement the achievement of Horizon Europe's objectives, inter alia in the context of the energy transition.

The Euratom Programme address the following research challenges:

- Reinforcement of reactor systems' safety and of spent fuel and radioactive waste management
- Radiation protection and the safe application of ionising radiation
- Safe decommissioning of and environmental remediation of nuclear installations
- Improvement of nuclear security and safeguards
- Maintaining nuclear competences and knowledge management
- A significantly expanded knowledge base for fusion energy

The Euratom Research and Training Programme will complement Horizon Europe, the EU's Framework Programme for Research and Innovation for 2021-2027. It supports nuclear research and training in areas defined by the Regulation establishing the Programme and in accordance with the Euratom Treaty, complementing Member States' actions in this field.

### **1.3. Specific objectives**

- a) (improve and support nuclear safety, security, safeguards, radiation protection, safe spent fuel and radioactive waste management and decommissioning, including the safe and secure use of nuclear power and of non-power applications of ionizing radiation;
- b) maintain and further develop expertise and competence in the nuclear field within the Community;
- c) foster the development of fusion energy as a potential future energy source for electricity production and contribute to the implementation of the European fusion roadmap;
- d) support the policy of the Union and its Member States on continuous improvement of nuclear safety, safeguards and security.

#### 1.4. Public intervention context

In accordance with the Euratom Treaty, in particular Articles 4(1) and 7, the Commission should complement nuclear research in Member States by carrying out a Community research and training programme as agreed by the Council. In 2021-2025 Euratom will support, in the interest of all Member States, joint research efforts and actions for maintaining strong competences in nuclear research and innovation in both fission and fusion.

All Member States stand to benefit from the development of a sound scientific and technical basis for the safe operation of reactors, secure management of radioactive waste, robust systems of human and environmental protection against the effects of ionising radiation and progress in fusion science and technologies. In support of all objectives, the Programme reinforces the European Research Area in the nuclear field, supports the coordination of Member States' research efforts to avoid duplication, helps retain critical mass in key areas and ensures European added value to expenditure of public funds.

In full respect of Member States' right to decide on their energy mix, the Programme's research results in fission and fusion could also contribute towards a climate-neutral energy system in a safe, efficient and secure way, in particular for those Member States using or planning to use nuclear power as part of their energy mix.

#### 1.5. Actions

In 2021-25 research for nuclear safety will remain a top priority of the Euratom Programme for direct and indirect actions, with particular emphasis on ageing, long-term operation strategies and accident management. The additional safety requirements introduced by the Nuclear Safety Directive require increased efforts in developing an understanding of degradation mechanisms of safety-relevant components and the impact on safety overall. This would support a science-based assessment of the safety margins and allow for timely implementation of safety improvements. The predictive tools and assessment methods developed by the Programme would benefit the periodic safety reviews of existing nuclear installations. They would also help the regulators in assessing new designs.

Direct actions, implemented by the Joint Research Centre (JRC), will focus on nuclear security and nuclear safeguards by developing techniques and methods aiming at reducing nuclear security risks and supporting nuclear non-proliferation efforts. In addition, the JRC will develop nuclear standards and support the implementation of Euratom policies in these areas.

Fusion energy represents a possible long-term option for large-scale, low-carbon electricity production which could help address a growing energy demand beyond 2050. During 2021-2025, the co-funded European Partnership in fusion research will build on the progress made by the EUROfusion consortium (2014-2020), focusing on the further support required for the efficient commencement of ITER's operations and, working hand-in-hand with industry, to increase the efforts on the conceptual design of a fusion power plant.

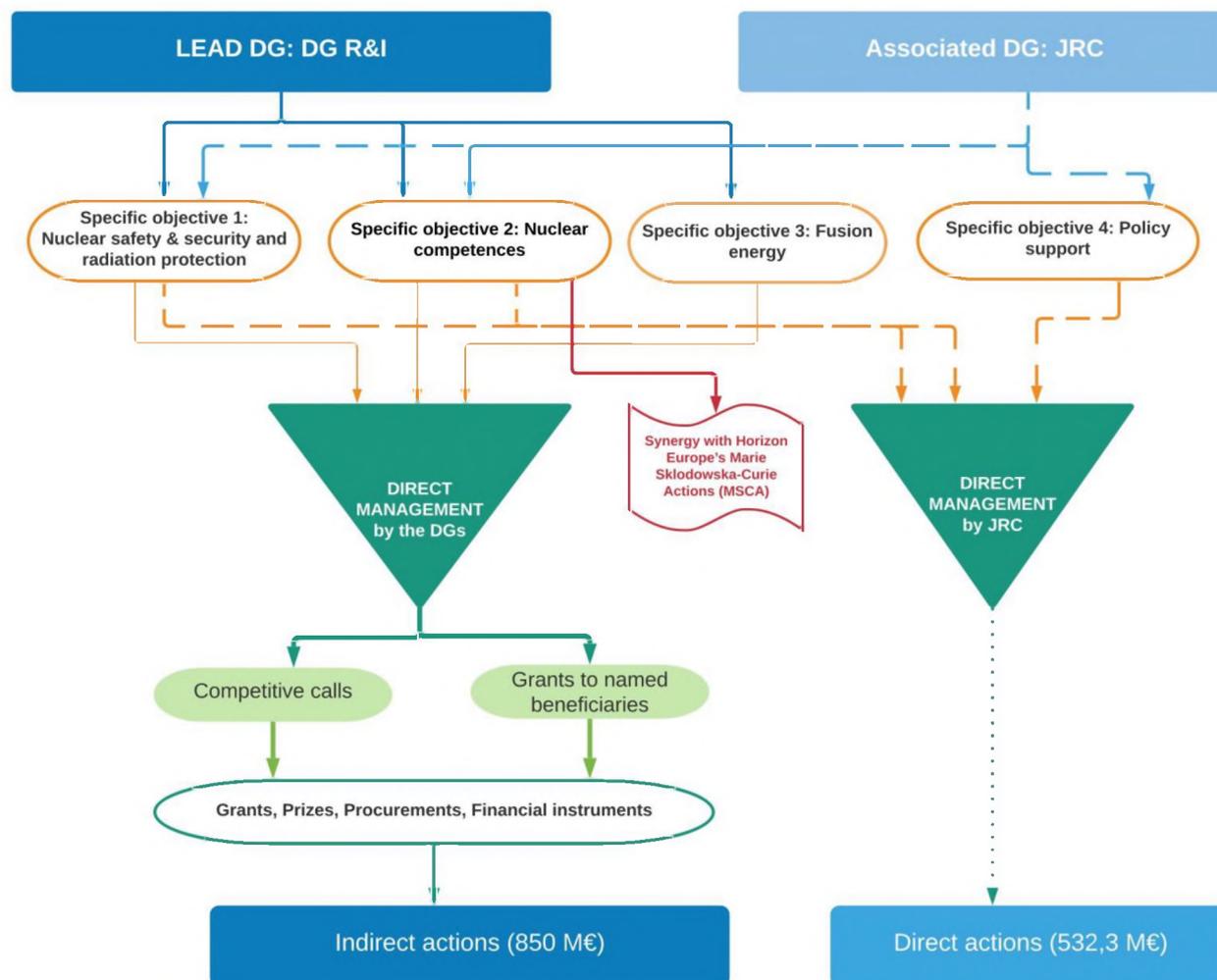
Before deployment of fusion power plants, fusion research will bring to Europe high technology innovations and, thus, a more competitive high-tech industry. Fusion research pushes many of the cutting-edge technologies to new limits and, in many cases, to innovative solutions to challenging problems beyond the bounds of fusion research. Education and training will remain an important element of the Partnership which will set ambitious targets for the training of scientists and engineers while addressing issues of excellence. To enhance the added value that fusion research provides to the economy and society, the current technology transfer programme will be continued and expanded to complement similar national activities and to link to technology transfer networks in the framework of the EIROforum initiative<sup>1</sup>.

#### 1.6. Delivery mode

The Programme is implemented in direct management or in indirect management. It may provide funding in any of the forms laid down in the Financial Regulation, in particular grants which shall be the main form of support for indirect actions in the programme. It may also provide financing in the form of prizes, procurement and financial instruments within blending operations. The Programme also supports direct actions undertaken by the JRC. Parts of the Programme may be implemented through European Partnerships.

#### 1.7. Graphic overview of the programme structure

<sup>1</sup> <https://www.eiroforum.org/wp-content/uploads/brochure-eiroforum-imktt.pdf>



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 437: Proposal for a COUNCIL REGULATION establishing the Research and Training Programme of the European Atomic Energy Community for the period 2021-2025 complementing Horizon Europe – the Framework Programme for Research and Innovation	2021 - 2027	1 382,0

### 1.8.2. Legal basis explanation

A Council Regulation establishes the Euratom Research and Training Programme for the years 2021–2025. It lays down the objectives, the budget and the forms of Euratom funding. For the rules for participation and dissemination, the Programme applies relevant provisions of the Regulation establishing the Horizon Europe Framework Programme.

In order to achieve the objectives of the Euratom Programme and to address challenges common to the Euratom Programme and to Horizon Europe, the Euratom Programme shall be implemented in synergy with Horizon Europe and other Union funding programmes in line with Annex IV of the Horizon Europe Framework Programme and specific provisions of the Euratom Regulation. It may provide a financial contribution to the Marie Skłodowska-Curie Actions (MSCAs) in order to support activities relevant for nuclear research.

Parts of the Euratom Programme shall be implemented through co-funded European Partnerships. For this purpose, it makes direct reference to Annex III of the Horizon Europe Regulation laying down the conditions and principles for establishing European Partnerships.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>265,7</b>	<b>270,7</b>	<b>276,5</b>	<b>281,2</b>	<b>287,8</b>	<b>293,8</b>	<b>304,5</b>	<b>1 980,3</b>

### 1.9. Link with the 2014-2020 MFF

Evaluations of successive Euratom programmes have shown how European support is vital for nuclear research to continuously enhance the safety and security of nuclear technologies. The interim evaluation of the 2014-2018 Euratom programme concluded that the Programme is highly relevant across all activities. For this reason, the 2021-2025 Euratom programme will continue along the main lines established by its predecessors.

In addition, the Euratom Programme 2021-2025 will further:

- improve, together with beneficiaries, the organisation and management of the European Joint Programmes in the nuclear field as European Partnerships
- reinforce Euratom education and training actions to develop competencies in the nuclear field which underpin all aspects of nuclear safety, security and radiation protection, in particular in a new generation of engineers
- exploit synergies between the Euratom Programme and thematic areas of the EU Framework Programme
- exploit synergies between direct and indirect actions of the Euratom Programme helping to ensure consistency and effectiveness throughout the Programme.

### 1.10. Relevant websites providing more information

To learn more about the Euratom Programme, you are invited to visit the relevant websites that contain information about:

Direct actions carried out by JRC:

- <https://ec.europa.eu/jrc/en/science-area/nuclear-safety-and-security>
- [https://ec.europa.eu/jrc/en/research-topics?f%5B0%5D=im\\_field\\_research\\_areas%3A2213](https://ec.europa.eu/jrc/en/research-topics?f%5B0%5D=im_field_research_areas%3A2213)
- [https://ec.europa.eu/jrc/en/research-facilities?f%5B0%5D=im\\_field\\_research\\_areas%3A2213](https://ec.europa.eu/jrc/en/research-facilities?f%5B0%5D=im_field_research_areas%3A2213)

Indirect actions carried by DG RTD:

A webpage dedicated to the Euratom Programme is available on the [https://ec.europa.eu/info/horizon-europe\\_en](https://ec.europa.eu/info/horizon-europe_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The Programme is limited by the Treaty to five years. For this reason, it will cover the years 2021-2025, to be extended in 2025 by two additional years in order to be aligned with the MFF 2021-2027. Fission research will be implemented through direct actions implemented by the JRC and indirect actions implemented in direct management (i.e. via competitive calls for proposals) by the Directorate-General for Research & Innovation. Fusion research will be implemented through direct actions in indirect management as a co-fund action by a named beneficiary.

The requested commitment and payment appropriations will allow for a call for proposals with 15 topics, addressing the key issues in nuclear safety, radioactive waste management, radiation protection and medical applications of ionising radiation in the Euratom Work Programme 2021-2022 for indirect actions (under preparation). In parallel, the European Partnership in fusion research will be launched on the basis of a co-fund grant to a named beneficiary.

A separate JRC Work Programme will fund key direct actions covering main specific objectives of the Programme, including nuclear security, non-proliferation and policy support. The programme is organised in five portfolios of projects aligned with the relevant Commission priorities.

The year 2021 will be the first year of implementation of the Euratom Programme. The late adoption of the legal base will delay the launch of calls for proposals and the co-fund grant to the named beneficiary. For this reason, only a very limited number of research projects are expected to be able to start in 2021. This limited number should include the co-funded European Partnership in fusion research. Therefore, the level of payments is expected to be low for 2021 except for fusion research. Payments for pre-financing should be postponed to 2022.

In 2022, the Commission will implement the second year of the biennial work programmes for Euratom Programme.

The pandemic might have a limited impact on the implementation of Euratom Programme.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	2 354 166 857	1 940 869 223
Implementation carry-overs	2 800 000	113 207 842
Implementation total	2 356 966 857	2 054 077 065
total envelop*	2 368 904 754	
cumulative implementation rate	99%	87%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Five calls in nuclear research closed in 2020 with 254 eligible proposals having been submitted, requesting a total Euratom financial contribution of EUR 726 million. Of these, 98 were selected for funding, with a Euratom contribution of EUR 416 million. For fusion research, following an independent evaluation, the Commission awarded a 5-year grant to the EUROfusion consortium<sup>2</sup> of national fusion laboratories and institutes<sup>3</sup> in 2014 to implement a European Joint Programme based on the fusion roadmap<sup>4</sup>. In 2019 the EUROfusion grant was prolonged until the end of 2022 following adoption by the Council of the Regulation on the Euratom Research and Training Programme 2019-2020. The total budget contribution from Euratom to the Joint Programme was EUR 678 million, representing 55% of the total budget of the consortium. The extension of the duration beyond 2020 provides for a smooth transition to a co-funded European Partnership in fusion research.

During the 2014-2020 period, direct actions of the Programmes were implemented according to the evolution of Euratom's needs. By the end of the period, the importance of activities on knowledge management, training and education and non-energy applications of ionising radiations had increased. The sharing of direct action's resources in the different fields was about 38% for nuclear safety research (including safety of nuclear fuels and materials, nuclear waste management and decommissioning, emergency preparedness and radioprotection), 33% for research on nuclear safeguards, non-proliferation and security, 10% for research in nuclear base science for standardisation and non-energy applications of ionising radiations, 11% for knowledge management, education and training activities and 8% for support provided to Euratom policies.

### 3. How is the programme performing ?

#### 3.1. Performance

##### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### 3.1.3. Previous programme performance

This section reports on the Programme's performance against planned performance based on the key performance indicators of the Euratom Programmes for the 2014-2020 period.

The key performance indicators set in the Euratom Regulation are based on quantitative performance measures. Appropriate measures have been put in place to measure and report annually the result of each indicator.

Based on cumulative results obtained during the implementation period of the programme, traffic light rating has been assigned to each expected accomplishment, (i.e. on track, moderate progress, deserves attention or no data) as follow.

Table: Performance Reporting Traffic Light Indicators

			
<b>On track</b>	<b>Moderate progress</b>	<b>Deserves attention</b>	<b>No data (or no target)</b>

<sup>2</sup> Euratom programme contributes 55% of the EUROfusion consortium funding.

<sup>3</sup> EUROfusion consortium, for more information see <https://www.euro-fusion.org/>

<sup>4</sup> 'Fusion Electricity – A roadmap to the realisation of fusion energy', <https://www.euro-fusion.org/eurofusion/the-road-to-fusion-electricity/>

It was planned to achieve 13 accomplishments (specific objectives) for the 2014-2020 measured against a total of 20 key performance indicators, including 10 and 10 under indirect and direct actions respectively.

Table: Performance Reporting against target– direct actions

				Total
<b>8 KPIS on track</b>	<b>1 KPIS Moderate progress</b>	<b>0 KPIS Deserves attention</b>	<b>1 KPIS No data (or no target)</b>	<b>10 KPIS</b>

*As shown in the table above, the results achieved for the indirect actions of the Euratom Programme, in accordance with the objectives, are very good. Eight indicators out of 10 were recorded on track, one indicator show a moderate progress, no indicator deserves attention. The result of one indicator was not recorded.*

The results detailed in section 5 show that the Euratom Programme has achieved its specific objectives as regards to support nuclear safety, to contribution to the radiation protection and the management of nuclear waste as well as to support the development of the nuclear fusion.

Data available for the ongoing nuclear safety projects launched since 2014 indicate that progress is as expected. Output from projects in other technical areas also indicates that the Euratom Programme is delivering even though delays were encountered in the case of a few projects. These delays were due to the nature and unpredictability of cutting-edge scientific research, in particular the unavailability of key and often unique research infrastructures.

In 2014-2020 the Euratom Programmes made substantial scientific and technological progress in all roadmap missions aimed at demonstrating the feasibility of fusion as a future energy source. The first priority of the Programme in this area was to provide scientific support for ITER construction and its future exploitation. This progress has been achieved thanks to the new organisational structure established in 2014 involving all national fusion labs in Europe. The joint programme is implemented in line with the European fusion roadmap, based on shared planning and exploitation of research infrastructures, mobility of researchers and competitive allocation of funds. This is a Europe-wide endeavour with strong international cooperation links, especially in view of the importance of the global ITER project. Since commercialisation of fusion energy is not expected until the second half of the century, most of the financial support today currently comes from public funds.

One of the two indicators measuring development and sustainability of nuclear expertise indicates that the number of fellows and trainees in the Euratom fusion programme was 50 in 2019 while the target is of 50 in 2020. As regards, the number of PhD students and post-doctoral researchers supported by the nuclear fission activities, the results have not yet been reported. In order to address the needs in education and training, the next Euratom Programme (2021-2025) has facilitating synergies with other EU programmes in the field such as with the Marie Skłodowska-Curie Actions (MSCA).

Performance of the five specific objectives linked to direct actions is measured through a set of two type of indicators:

- The number of occurrences of tangible specific impacts on Union policies resulting from technical and scientific policy support provided by the JRC
- The number of peer-reviewed publications

Table: Performance Reporting against target– direct actions

				Total
<b>9 KPIS on track</b>	<b>1 KPIS Moderate progress</b>	<b>0 KPIS Deserves attention</b>	<b>0 KPIS No data (or no target)</b>	<b>10 KPIS</b>

*As shown in the table above, the results achieved for the direct actions of the Euratom Programme, in accordance with the objectives, are very good. Nine indicators out of 10 were recorded as on track and only one indicator shows moderate progress. No indicator deserves attention. All KPIS were measured or recorded.*

The results detailed in the section 5 show that the Euratom Programme has achieved its specific objectives as regards to improve nuclear safety, to improve nuclear security as well as to support the policy of the Union on nuclear safety and security.

The number of scientific publications in relation to the objective “nuclear science for standardisation” exceeded the target. This is especially the case when related to medical applications such as targeted immunotherapy against cancer. The indicator measuring the JRC’s policy support in standardisation was partially achieved. This field is mainly scientific and the impact in the policy cycle is difficult to measure or is measurable only after a very long period. Therefore, it is difficult to set a target and the underperformance may be explained by a too ambitious a target.

Moreover, to fulfil the specific objective 12, fostering knowledge management, education and training in the nuclear field in the EU and enhancing the impact of the activities carried out, an agreement was reached to combine resources from direct and indirect

actions. An arrangement was signed to make possible the financial support to the external users of the JRC's open access project. This agreement couldn't be implemented because of COVID restrictions, nevertheless work carried out to develop new training tools and its planned integration in future training programmes are encouraging. In this context, synergies between the Euratom Programme and the MSCA in Horizon Europe are being planned. Another example is the agreement to improve the management of knowledge gained through the Programme's actions; the JRC will use existing tools and will develop new ones with support of the RTD indirect actions, to optimise the use of the results of both direct and indirect actions of the programme.

To increase the synergies between direct and indirect actions as well as between nuclear and non-nuclear, several working groups have been working to deliver results that can be used in the implementation of Euratom Programme 2021-2025.

In 2020, because of the restrictions on the access to the laboratories and on missions imposed by the pandemic, the results obtained have been lower than planned, more evident in some fields, as the impact in the support to policies, or planned experiments and new developments. Despite the situation, the scientific productivity in fields as science base for standardisation or targeted cancer therapy were kept at a good level.

### 3.2. Key achievements

98 Projects	95% of deliverables	3273 scientific publications	774 PhDs
funded by the Programme to support research in nuclear safety, radioactive waste management and radiation protection, medical applications.	achieved by the EUROfusion consortium in 2019, including setting of parameters for the successful start-up and safe operation of ITER	in peer-reviewed journals	including 750 PhDs in fusion physics and technology.

#### Indirect actions (grants for collaborative projects)

All Euratom Member States generate radioactive waste, with national inventories ranging from single sources or small inventories, to large- and high-activity inventories from those Member States with extensive nuclear programmes, some of them including spent nuclear fuel or large stockpiles of nuclear material from reprocessing activities. Regardless of size, they all have to manage radioactive waste safely in the long-term. While the greater part of radioactive waste comes from nuclear power plants, nuclear medicine, agriculture and industrial activities produce also nuclear wastes.

The European Joint Programme on Radioactive Waste Management (EURAD) supported with EUR 32.5 million of Euratom funding (54 % of total costs, 5 years duration) represents a step forward in European collaboration towards safe radioactive waste management, including disposal. The EURAD consortium, gathering waste management and technical support organisations and Research Entities (REs) from 21 Member States and Ukraine and Switzerland, addresses key challenges in radioactive waste management.

EURAD will support the implementation of the Nuclear Waste Directive in Euratom Member States, taking into account the various stages of advancement of national programmes. It aims at supporting Member States in developing and implementing their national R&D programmes for the safe, long-term management of their full range of different types of radioactive waste through participation in the Joint Programme. It also develops and consolidates existing knowledge for the safe start of operation of the first geological disposal facilities for spent fuel, high-level waste and other long-lived radioactive waste and supporting optimisation linked with the stepwise implementation of geological disposal. Therefore, knowledge management and transfer between organisations, Member States and generations will be enhanced.

Euratom Member States, associated countries and the European Commission are implementing the European Basic Safety Standards Directive for radiation protection. The RadoNorm project (with EUR 18 million of Euratom funding covering 82% of total costs, 5 years duration) will focus on all radiation risk management cycle levels for radon exposure, as well as situations of exposure to naturally occurring radioactive materials (NORM). The project intends to reduce scientific, technical and societal concerns by introducing research and technical developments, integrating education and training (E&T) and disseminating the results of the project through targeted actions to the public, stakeholders and related institutions. RadoNorm will direct research and development at all levels of the management cycle, combine biomedical and ecological research with mitigation development and social science research and bring together researchers from national radiation protection entities, universities and SMEs.

In fusion research, the EUROfusion consortium had achieved 95 % of deliverables pending in 2019 and 83% of its project milestones foreseen in the work plan by 2019. Examples of progress include: operation of the shattered pellet injector (SPI) in JET, theoretical studies (computer simulations) complemented by experiments on TCV which provided the first systematic assessment of possible power exhaust options for a fusion demonstration power plant (DEMO) and tests of ITER-type mono-blocks in EUROfusion devices dedicated to studying plasma wall interaction (PWI).

Operation of the SPI on JET has yielded crucial information for ITER, which has SPI as its baseline tool for mitigation of plasma disruptions. Unless mitigated, disruptions could induce harmful vessel forces and so-called runaway electrons in ITER (runaway electrons can be accelerated to the multi MeV range and can cause serious damage to plasma-facing components when they eventually impact on material surfaces). The new data from JET is important for the finalisation of the design of the ITER SPI system. In addition, the SPI experiments on JET have yielded unexpected positive results regarding mitigation of runaway electrons.

A key issue identified in the fusion roadmap is the power exhaust of DEMO. It is possible that an alternative divertor geometry to that used for ITER is needed for DEMO. A number of possibilities exist. A comprehensive assessment of the main alternatives was carried out by computer simulations and with input from the experiments carried out on the TCV tokamak. The picture is now clearer and the obtained results should be valuable for a future gate review aimed at narrowing down the options for a DEMO design.

ITER type mono-blocks, which will make up the components of the ITER divertor, were successfully tested in the linear MAGNUM-PSI facility in conditions mimicking those during planned full power operation in ITER. Furthermore, testing of such mono-blocks also took place in the WEST device under real tokamak plasma conditions. The obtained results are highly relevant for ITER.

In the area of fusion technology development, the focus of activity has been in the DEMO department, which has been preparing for a design gate review to narrow down select technologies that will pass to the Conceptual Design Activity in Euratom Programme 2021-2025. As input to the gate review, many design reviews have been carried out using external experts. This has been a very important exercise at this stage of the project as it gives a very clear state-of-play of the work and provides input and steering for the design teams. These reviews have culminated in a gate review carried out by a high-level expert panel chaired by a former CERN DG, which has identified the main priorities for the next programme, mainly, the definition of the plasma scenario for DEMO, remote handling capabilities addressing machine availability and the breeder blanket programme. Another major achievement has been the completion of the preliminary safety report for the Early Neutron Source (DONES) for which a coordination and support action is progressing for preparatory activities to inform on a construction decision in the first period of the Euratom Programme 2021-2025. The DONES materials test facility is an important milestone in the fusion roadmap and has been included in the European Strategy Forum on the Research Infrastructures (ESFRI) roadmap.

Through EUROfusion more than 1 456 researchers have had access to advanced research infrastructures. Support from the Euratom programme has led to the publication of more than 1300 articles in peer-reviewed, high impact journals and over 750 PhDs in fusion physics and technology.

### **Direct actions (research carried out by JRC)**

The direct actions of the Programme contribute to the development of codes, standards and test methods for the safety analysis of nuclear reactors and provides reference data, software tools and knowledge on the behaviour of nuclear fuel in normal and accidental conditions. An example is the operation of the Clearinghouse website and database and the issue of periodic reports to disseminate the operating experience of nuclear power plants to nuclear safety authorities. In the period 2019-2020, 32 selected events were analysed and studies on ageing-related events were issued. Using the experience gained, the JRC participated in drafting several IAEA nuclear safety technical documents.

In the context of the COVID-19 pandemic, nuclear power plants and regulatory bodies have taken measures to mitigate its consequences. Already in March, the JRC prepared a report on preparedness and response actions to ensure the continued safe operation of the nuclear power plants. This report contributed to several initiatives undertaken by Commission and OECD-NEA.

The JRC develops and produces reference materials, it is a major European provider of certified materials for the determination of radioactivity in environmental samples or for de-termination of uranium and plutonium in support of Euratom safeguards. In implementing the Programme, it provides nuclear data for nuclear energy applications and to the OECD and IAEA nuclear data libraries. It also provided certified reference materials for determination of radioactivity in metals and spikes for determination of uranium and plutonium, delivered to Euratom safeguards.

The JRC contributed to the Euratom project “Modernisation and Optimisation of the European Nuclear Supply Chain” studying the current challenges of the nuclear supply chain, in particular in relation to structures, systems and components. In 2019-2020, a post-Fukushima Stress Test Peer Review took place in Armenia and the Euratom report of the Armenian Action Plan released.

The direct actions in the nuclear safeguards area support Euratom’s strategic objective to reduce the risk of nuclear proliferation. To support the implementation of Euratom safeguards system in an effective and efficient way, the JRC provides new safeguard methods for containment and surveillance. To support the safeguards system in Europe, the JRC develops analytical techniques and operated the Euratom safeguards laboratories and supported the yearly Physical Inventory Verifications in European fuel fabrication plants. Analytical support is provided to Euratom and IAEA safeguard authorities, analysing about 600 nuclear and 100 environmental samples annually. Training courses for Euratom inspectors to ensure an effective implementation of Euratom safeguard systems are also organised. Similar support is provided to the IAEA through the Commission’s safeguard support programme. The operation of the Euratom safeguards laboratories located in reprocessing plants (France and the UK) continued nearly uninterrupted to ensure safeguarding of large flows of nuclear materials even under the demanding conditions caused by the COVID pandemic.

Despite the pandemic, in 2020 two courses were given, concentrating the efforts in developing interactive remote e-training as substitute of physical courses and to complement the physical course in post-pandemic times. The JRC has a leading role in nuclear forensics, it co-chairs the Nuclear Forensics International Technical Working Group, participating in collective exercises and sharing best practices.

The direct actions of the Programme performed research for new radioisotope applications and on alternative methods of production and allowed the assessment of challenges to the supply of medical radioisotopes to the European public. A study on the sustainable and resilient supply of medical radioisotopes for imaging in the European market (SMER1 in 2017-2018 and SMER2 in 2019-2020) was completed. These activities support other Euratom initiatives including the European Observatory on the Supply of Medical Radioisotopes, the strategic agenda for medical ionising radiation applications (SAMIRA), and the EU's Beating Cancer Plan.

In 2014-2020 JRC scientists published 1 226 articles and conference contributions in peer-reviewed periodicals, 340 articles in monographs or other periodicals, 31 books with JRC editorship and 24 PhD theses. The JRC organised 221 training courses for professionals and students from Member States and Commission services. In addition, the JRC delivered reference methods and measurements, technical systems and scientific databases. Moreover, the JRC opened access to its nuclear research infrastructures and offers complementary research possibilities to external users from Euratom Member States.

In addition, during the period 2014-2020 the JRC participated in 39 projects on nuclear fission, supported by the Euratom indirect actions of the Programme. The projects cover nuclear safety, waste management, decommissioning and environmental remediation, nuclear data, education and training and infrastructures availability. The knowledge and results provided by the related direct actions are obtaining synergies in benefit of the programme.

### 3.3. Evaluations, studies and reports

The key findings of the latest evaluation (Commission Report COM(2017) 697, (SWD (2017) 426 and 427) were presented in the Programme Statement for 2020.

The interim evaluation of the Euratom Programme concluded that the Programme is highly relevant and it is achieving its results and avoiding duplication, while providing added-value and coordination. The possible areas of improvement for indirect actions include: increasing synergies between direct and indirect actions and between the Euratom Programme and other thematic areas of the EU Framework Programme in order to address cross-cutting aspects such as medical applications of radiation, climate change, security and emergency preparedness, reinforcing Euratom education and training actions for developing competencies in the nuclear field which underpin all aspects of nuclear safety, security and radiation protection. The evaluation recommendations are already being addressed: the JRC continues providing training courses (243) and opening the access to its research facilities to EU Institutions. Other actions have been taken, as briefly described in the section 'Programme Performance'. Ex-post evaluation of the Programme is planned for 2022/2023 in accordance with the Regulation.

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :Improve and support nuclear safety, security, safeguards, radiation protection, safe spent fuel and radioactive waste management and decommissioning, including the safe and secure use of nuclear power and of non-power applications of ionizing radiation.**

**Indicator 1: Number of Euratom funded peer reviewed scientific publications**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Total Number of peer-reviewed publications [TBC]
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	In the short term, the number of peer-reviewed publications is an established metric of scientific performance and production of new knowledge in nuclear science and technology for improving nuclear safety, security, waste management and radiation protection and for development of fusion energy and non-power applications of ionising radiation (first and third specific objective of the Programme)
Link MFF 14-20 / MFF 21-27	This indicator is the continuation of an indicator of Euratom Programme 2014-2020 (Publications in peer-reviewed high impact journals), but includes external verification of the publications.

Other methodological comments	Publications are first verified in an external database and then counted. First data are expected no sooner than late 2022, as it takes time for beneficiaries to produce papers and report them.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard (tbc)
Justification of the trend	

**Indicator 2:Field-Weighted Citation Index of Euratom funded peer reviewed publications**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Field Weighted Citation Index
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	In the mid-term, the Field Weighted Citation Index is an established metric of scientific performance and production of new knowledge in nuclear science and technology for improving nuclear safety, security, waste management, radiation protection and for development of fusion energy and non-power applications of ionising radiation (first and third specific objective of the Programme).
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The Field Weighted Citation Index (FWCI) is the ratio of the observed citation rate (MOCR) with the expected citation rate (MECR) in a given research field. The MECR is calculated as an average citation rate in a given research field. If FWCI = 1, the set of Euratom funded publications has generated the same amount of citations as any other average publication in the given research field. A 3-year citation window is applied to ensure that all publications have the same time lag, and as such the same chance to get cited. First data are expected no sooner than 2024, as it takes time for beneficiaries to produce papers and report them, and there needs to be a 3 year window for citations
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 3:Number and share of peer reviewed publications from Euratom Programme that are core contribution to scientific fields**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of top 1 % most cited publications produced, field-weighted [TBC]
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	In the long-term, the share of 1 % most cited publications is an established metric of scientific performance and production of new knowledge in nuclear science and technology for improving nuclear safety, security, waste management, radiation protection and for development of fusion energy and non-power applications of ionising radiation (first and third specific objective of the Programme).
Link MFF 14-20 / MFF 21-27	new indicator
Other methodological comments	First data are expected no sooner than 2024, as it takes time for beneficiaries to produce papers and report them, and there needs to be a 3 year window for citations.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard (tbc)
Justification of the trend	

**Indicator 4:Share of research outputs (open data/ publication/ software etc.) shared through open knowledge infrastructure**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Share of Open Access research outputs in the Euratom Programme
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	Open access to publications, datasets, software, other research products (e.g., services, tools) allows researchers to build on existing work, industry to access scientific knowledge to innovate, public sector to use research results for evidence based policy making, public to be engaged and involved in the research process. Measurement of outputs related to Open Science is an appropriate measure of the short-term progress towards Euratom Programme's objective to improve nuclear safety, security, waste management, radiation protection and for development of fusion energy and non-power applications of ionising radiation (first and third specific objective of the Programme).
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	All relevant research outputs (by type: publications, datasets and software) reported by all Euratom projects (incl. DOI) are matched in an external database. The single extended list of all relevant outputs, removing the duplicates, is used to count numbers and shares. First data are expected no sooner than in 2022.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard (tbc).
Justification of the trend	

#### Indicator 5: Euratom direct actions additional indicator: Reference materials delivered and reference data incorporated to a library

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Cumulative
Cut-Off Date	
Data source	PUBSY (JRC publications database cat 3.3 and 3.4)
Link to the objective	Reference materials and reference data are essential for the measurements accuracy and therefore for the safe and secure use of nuclear energy and other radiation applications
Link MFF 14-20 / MFF 21-27	The activity is the continuation of the one in previous MFF
Other methodological comments	The yearly milestone is the number of items delivered since the MFF's beginning, the target is accumulated
Full metadata available at this address	<a href="https://pubsy.jrc.cec.eu.int/">https://pubsy.jrc.cec.eu.int/</a>
Justification of the trend	

#### Indicator 6: Share of open access research outputs actively used/cited

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Share of Open Access research outputs in the Euratom Programme
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	Open access to publications, datasets, software, other research products (e.g., services, tools) allows researchers to build on existing work, industry to access scientific knowledge to innovate, public sector to use research results for evidence based policy making, public to be engaged and involved in the research process. Measurement of outputs related to Open Science is an appropriate measure of the short-term progress towards Euratom Programme's objective to improve nuclear safety, security, waste management, radiation protection and for development of fusion energy and non-power applications of ionising radiation (first and third specific objective of the Programme).
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	All relevant research outputs (by type: publications, datasets and software) reported by all Euratom projects (incl. DOI) are matched in an external database. The single extended list of all relevant

	outputs, removing the duplicates, is used to count numbers and shares. First data are expected no sooner than in 2022
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 7: Euratom direct actions additional indicator: Number of outputs contributing to modification of international standards**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Cumulative
Cut-Off Date	
Data source	PUBSY (JRC publications database cat 3.2)
Link to the objective	International standards are a reference for the use of best practices, measurements, etc.
Link MFF 14-20 / MFF 21-27	The activity is the continuation of the one in previous MFF
Other methodological comments	The yearly milestone is the number of items delivered since the MFF's beginning, the target is accumulated
Full metadata available at this address	<a href="https://pubsy.jrc.cec.eu.int/">https://pubsy.jrc.cec.eu.int/</a>
Justification of the trend	

**Indicator 8: Share of Euratom beneficiaries having developed new transdisciplinary/ trans-sectoral collaborations with users of their open Euratom R&I outputs**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Citations of open access publications [TBC]
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	This indicator captures the effect that open access brings to fostering diffusion of knowledge by tracking the use of research outputs from the Euratom Programme. The key question addressed is whether the open access research results are cited more than the closed/embargoed ones.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	See indicator 2 for details on citations. First data are expected no sooner than 2024, as it takes time for beneficiaries to produce papers and report them, and there needs to be a 3 year window for citations.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 9: Number and share of outputs aimed at addressing specific EU policy priorities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Share of outputs aimed at addressing specific EU policy priorities
Cut-Off Date	
Data source	Project reporting
Link to the objective	In the short-term, shares of outputs indicate the societal impact of Euratom Programme
Link MFF 14-20 / MFF 21-27	no

Other methodological comments	Euratom funded projects produce variety of research results, tracked and reported under scientific and economic outputs. Most of them are also likely to have a societal impact; to trace and estimate it, the produced output needs to be measured and then classified according to the specific EU policy priorities. Where attribution of a specific innovation or scientific result is not possible, the assumption is that it contributes to the same specific EU policy priorities, as the project producing it or the outputs preceding it.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 10: Euratom direct actions additional indicator: Number of service agreements in support of EU safeguards**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Yearly results
Cut-Off Date	
Data source	(JRC agreements database)
Link to the objective	Scientific and technical support is essential to strengthen the Euratom and international safeguards
Link MFF 14-20 / MFF 21-27	The activity is the continuation of the one in previous MFF
Other methodological comments	The yearly milestone is the number of service agreements in force
Full metadata available at this address	<a href="https://apps.jrc.cec.eu.int/jpbma">https://apps.jrc.cec.eu.int/jpbma</a>
Justification of the trend	

**Indicator 11: Number and share of innovations and scientific results addressing specific EU policy priorities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of outputs aimed at addressing specific EU policy priorities [TBC]
Cut-Off Date	
Data source	Project reporting, external databases [TBC]
Link to the objective	In the medium-term, shares of verified outputs and their performance indicate the societal impact of Euratom Programme.
Link MFF 14-20 / MFF 21-27	no
Other methodological comments	Calculated as a simple count of innovations (new or significantly improved: methods, technologies and instruments / commercial goods / commercial services / scientific or industrial processes / business models) reported in all ongoing and finished Euratom projects and classified by their contribution to the specific EU policy priorities. First data are expected no sooner than 2022
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 12: Euratom direct actions additional indicator: Number of technical systems provided and in use)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Cumulative
Cut-Off Date	
Data source	PUBSY (JRC publications database cat 3.5)

Link to the objective	Technical systems provided in support of the improvement of nuclear safety, security and radiation protection
Link MFF 14-20 / MFF 21-27	The activity is the continuation of the one in previous MFF
Other methodological comments	The yearly milestone is the number of items delivered since the MFF's beginning, the target is accumulated
Full metadata available at this address	<a href="https://pubsy.jrc.cec.eu.int/">https://pubsy.jrc.cec.eu.int/</a>
Justification of the trend	

**Indicator 13: Aggregated estimated effects from use of Euratom-funded results, on tackling specific EU policy priorities, including contribution to the policy and law-making cycle**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Aggregated estimated effects from use of Euratom-funded results on tackling specific EU policy priorities, including contribution to policymaking and legislation [TBC]
Cut-Off Date	
Data source	Project reporting
Link to the objective	In the long-term, specific studies are needed to analyse the societal impact of Euratom Programme in specific areas.
Link MFF 14-20 / MFF 21-27	no
Other methodological comments	The indicator focuses on estimated and detected effects from use of Euratom-funded results on tackling specific EU policy priorities [TBC]. We expect to run studies as part of the ex-post evaluations of the Programme.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. The Horizon Europe Dashboard will include links to studies. (tbc)
Justification of the trend	

**Indicator 14: Euratom direct actions additional indicator: Number of training sessions delivered to nuclear inspectors and front-line officers**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Cumulative
Cut-Off Date	
Data source	EUSECTRA reporting
Link to the objective	The training delivered to nuclear inspectors and front-line officers builds-up the capacity of the nuclear safeguards and security systems in the EU
Link MFF 14-20 / MFF 21-27	The activity is the continuation of the one in previous MFF
Other methodological comments	The yearly milestone is the number of training sessions delivered since the MFF's beginning, the target is accumulated
Full metadata available at this address	
Justification of the trend	

**Indicator 15: Number and share of Euratom projects where EU citizens and end-users contribute to the co-creation of R&I content.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output

Unit of measurement	umber and share of Euratom projects where EU citizens and end-users contribute to the co-creation of R&I content [TBC]
Cut-Off Date	
Data source	Project reporting
Link to the objective	To measure the involvement of end-users and civil society in the research funded by the Euratom Programme, this indicator tracks the number and share of Euratom projects, where civil society and end-users contribute to the co-creation of R&I content, additionally estimating the role of such contribution (such as consultation/dissemination, co-creation, co-ownership/joint decision-making).
Link MFF 14-20 / MFF 21-27	no
Other methodological comments	Calculated based on a simple count of all ongoing and finished Euratom projects where civil society and end-users contribute to the co-creation of R&I content. First data are expected no sooner than 2023.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

### Indicator 16: Number and share of beneficiary entities with citizen and end-users engagement mechanisms after Euratom project

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number and share of Euratom beneficiaries with citizen and end-user engagement mechanisms after Euratom project [TBC]
Cut-Off Date	
Data source	Project reporting
Link to the objective	The medium-term indicator measures the effects of emphasis for co-creation in Euratom Programme through the development of end-user engagement mechanisms in beneficiary entities
Link MFF 14-20 / MFF 21-27	no
Other methodological comments	In the medium-term, the identification of presence of end-users engagement mechanisms allows estimation of number (and share) of Euratom Programme beneficiaries that possess and utilise them.
Full metadata available at this address	Calculated based on a simple count of all ongoing and finished Euratom projects where EU citizens and end-users contribute to the co-creation of R&I content. First data are expected no sooner than 2023.
Justification of the trend	

### Indicator 17: Uptake and outreach of Euratom co-created scientific results and innovative solutions

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	tbc
Cut-Off Date	
Data source	Project reporting, studies
Link to the objective	The long-term indicator focuses on uptake and outreach of Euratom Programme co-created scientific results and innovative solutions. The aim is to assess the extent of the uptake and outreach of the scientific results (e.g. in the fields of science, innovation, the economy and society) and innovative solutions originating from the programme.
Link MFF 14-20 / MFF 21-27	no
Other methodological comments	tbc
Full metadata available at this address	Methodological handbook will be published in 2021/2022. The Horizon Europe Dashboard will include links to studies. tbc
Justification of the trend	

## Specific Objective 2 :Maintain and further develop expertise and competence in nuclear field within the Community.

**Indicator 1: Number of persons having benefitted from upskilling activities of the Euratom programme (through training, mobility and access to infrastructure)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of researchers involved in upskilling activities in projects by category [TBC
Cut-Off Date	
Data source	Project reporting
Link to the objective	In the short-term, the number of upskilled researchers is the best available indicator of strengthening human capital in nuclear research and innovation
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	First data are expected no sooner than 2022.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 2: Number and share of upskilled researchers (and other persons) with more influence in their field**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Average increase of H-index of funded researchers
Cut-Off Date	
Data source	Project reporting, external bibliometric database
Link to the objective	In the medium-term, the H-index is the best available indicator of strengthening human capital in research and innovation
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The H index is based on the comparison of the number of articles written by an author to the number of citations. The H-index offers a way to compare researchers which are in a similar phase of their career, and most importantly, it is at present the only metric that combines research productivity (output volume) and impact (citation volume). First data are expected no sooner than 2023, as there needs to be a time slot to observe increases in H-indexes.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 3: Number and share of upskilled researchers with improved working conditions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	tbc
Cut-Off Date	
Data source	Project reporting, survey
Link to the objective	If Euratom funding has a positive long-term effect on researchers' skills and careers (and therefore the human capital in research and innovation) then there should be an observable effect on the researchers working conditions.

Link MFF 14-20 / MFF 21-27	no
Other methodological comments	MORE survey data is used to collect data on researchers salaries (net salaries) and contract type. Regarding data on job security, collected data includes several relevant questions, which provide data on contract type, satisfaction with pensions/social security provisions, and other aspects of working conditions. Under the MORE survey, the same data is collected for a random stratified sample of researchers who were based in European research performing organizations but did not receive EU funding. The salaries and working conditions of HE/Euratom researchers are then benchmarked against this representative sample of researchers. The availability of data depends on the planning of the MORE survey, which is expected to happen no sooner than 2023.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. The results of the survey will be described in a study, which will be referenced on the Horizon Dashboard. (tbc)
Justification of the trend	

#### Indicator 4: Number of innovative products, processes or methods from Euratom Programme (by type of innovation) & Intellectual Property Rights (IPR) applications

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of innovative products, processes or methods resulting from the Euratom (by type of innovation) & Intellectual Property Rights (IPR) applications
Cut-Off Date	
Data source	Project reporting, external patent database [TBC]
Link to the objective	In the short-term, the number of innovative products, processes or methods and IPR (esp. patents) in nuclear field is a good indicator of progress in developing expertise and competencies in nuclear field within the Community.
Link MFF 14-20 / MFF 21-27	This indicator links to Euratom Programme 2014-2020's indicator on patent applications and patents awarded, but is broader and includes links to an external database [TBC]
Other methodological comments	Calculated as a simple count of number of innovative products, processes and methods & Intellectual Property Rights (IPR) applications reported in all ongoing and finished Euratom projects. First data are expected no sooner than late 2022.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

#### Indicator 5: Number of innovations from Euratom projects (by type of innovation) including from awarded IPRs

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Patent citations, family size, scope [TBC]
Cut-Off Date	
Data source	Project reporting, external patent database
Link to the objective	In the medium-term, the patent indicators are a good indicator of progress in developing expertise and competencies in nuclear field within the Community.
Link MFF 14-20 / MFF 21-27	This indicator links to Euratom Programme 2014-2020's indicator on patent applications and patents awarded, but includes verification with an external database, distinction between patent family members, and deeper analytical insight.
Other methodological comments	One of the most robust findings of IPR-related research is the skewness of patent value distribution – few patents are valuable, while most others are worth little, if anything at all. This indicator will use external data sources to estimate the impact potential of the patents. First data are expected no sooner than late 2023, as there needs to be time for patents to be granted and reported
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

#### Indicator 6: Creation, growth & market shares of companies having developed Euratom innovations

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Growth of funded companies [TBC]
Cut-Off Date	
Data source	Project reporting, external database of companies
Link to the objective	Euratom Programme helps create reciprocal relationships between research-performing organisations and industry and SMEs. This reciprocity then leads to transfer of knowledge and exploitation of research results by the companies. If this is the case, there must be a clear and quantifiable effect on the financial performance of beneficiary companies, measurable in the long-term.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	In the first step, the companies involved in Euratom Programme are matched to an external company database. The next step is to obtain relevant data on the firms' turnover and relevant metadata. This will be reported for funded companies [TBC]. First data are expected no sooner than late 2024, as it takes time for the programme to make an effect and data to be reported
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard, which will also include links to the studies.
Justification of the trend	

#### Indicator 7: Number of FTE jobs created, and jobs maintained in beneficiary entities for the Euratom project (by type of job)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Count of FTE jobs created and maintained in all ongoing and finished Euratom-funded projects
Cut-Off Date	
Data source	Project reporting
Link to the objective	A significant share of Euratom Programme funding goes to personnel costs, which directly supports existing jobs or creates new positions at beneficiary organisations. Euratom Programme funding also supports and maintains existing jobs that would otherwise be lost if no funding was attracted. This contributes to economic impact of the Programme, and can be used as a short-term indicator
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	First data are expected no sooner than 2022.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard.
Justification of the trend	

#### Indicator 8: Increase of FTE jobs in beneficiary entities following Euratom project (by type of job)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Growth of employment in funded companies [TBC]
Cut-Off Date	
Data source	Project reporting, external database of companies
Link to the objective	Euratom Programme helps create reciprocal relationships between research-performing organisations and industry and high-tech SMEs. This reciprocity then leads to an improved transfer of knowledge and exploitation of research results by the firms. If this is the case, there must be a clear and quantifiable effect on the employment in beneficiary companies, measurable in the medium-term.

Link MFF 14-20 / MFF 21-27	No
Other methodological comments	In the first step, the Euratom funded companies are matched to an external company database. The next step is to obtain relevant data on the firms' employment and relevant metadata. This will be reported for funded companies [TBC]. First data are expected no sooner than late 2024, as it takes time for the programme to make an effect and data to be reported.
Full metadata available at this address	
Justification of the trend	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard, which will also include links to the studies.

**Indicator 9: Number of direct & indirect jobs created or maintained due to diffusion of Euratom results (by type of job)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of direct & indirect jobs created or maintained
Cut-Off Date	
Data source	Project reporting, studies
Link to the objective	Euratom Programme funding will induce technological change transforming different sectors in nuclear field. This can be estimated as a long-term indicator
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	
Full metadata available at this address	Methodological handbook will be published in 2021. The Horizon Europe Dashboard will include links to studies (tbc)
Justification of the trend	

**Indicator 10: Amount of public & private investment mobilised with the initial Euratom investment**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Amount of public & private investment mobilised with the initial investment of the Euratom Programme
Cut-Off Date	
Data source	Project reporting
Link to the objective	Beneficiaries in Euratom Programme contribute their own funds to the projects. This represents a significant co-investment of public and private investment towards achieving the Programme objectives, and can be used as a short-term indicator.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	Calculated as the amounts (in EUR) of public & private investment mobilised in all ongoing and finished Euratom projects. Data on public & private co-invested amounts are derived from the EC monitoring system. Specifically, each project participant has their EU and total contributions listed for each project application. The difference between the total and EU funding is equals to the co-investment made. First data are expected no sooner than 2022
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

**Indicator 11: Amount of public & private investment mobilised to exploit or scale-up Euratom results**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	Output
Unit of measurement	Amount of public & private investment mobilised with the initial investment of the Euratom Programme
Cut-Off Date	
Data source	Project reporting
Link to the objective	Beneficiaries in Euratom Programme contribute their own funds to the projects. This represents a significant co-investment of public and private investment towards achieving the Programme objectives, and can be used as a short-term indicator.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	Calculated as the amounts (in EUR) of public & private investment mobilised in all ongoing and finished Euratom projects. Data on public & private co-invested amounts are derived from the EC monitoring system. Specifically, each project participant has their EU and total contributions listed for each project application. The difference between the total and EU funding is equals to the co-investment made. First data are expected no sooner than 2022.
Full metadata available at this address	Methodological handbook will be published in 2021/2022. Indicator values will be available on the Horizon Dashboard. (tbc)
Justification of the trend	

### Indicator 12:EU progress towards 3% GDP target due to Euratom Programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	EU progress towards the 3% GDP target due to Euratom Programme
Cut-Off Date	
Data source	Project reporting, studies
Link to the objective	Euratom Programme funding will stimulate further R&D funding, and particularly funding attracted by industry. In the long-term, this indicator estimates the aggregate effect of Euratom Programme.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	
Full metadata available at this address	Methodological handbook will be published in 2021/2022. The Horizon Europe Dashboard will include links to studies. (tbc)
Justification of the trend	

### Specific Objective 3 :Foster the development of fusion energy as a potential future energy source for electricity production and contribute to the implementation of the European fusion roadmap.

#### Indicator 1:Progress in the implementation of the fusion roadmap – Percentage of the fusion roadmap’s milestones established for the period 2021-2025 reached by the Euratom Programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of the Fusion Roadmap's milestones established for a period 2021-2025 reached by the Euratom Programme
Cut-Off Date	
Data source	project reporting
Link to the objective	The EUROfusion roadmap forms the basis for the research actions of EUROfusion and provides a clear and structured way forward to commercial electricity from fusion.
Link MFF 14-20 / MFF 21-27	Yes, same indicator was measured in 2014-2020 Euratom Programme
Other methodological comments	Indicator shows cumulative percentage of the EUROfusion high level milestones prepared on the basis of the European Research Roadmap to the realisation of Fusion Energy ( <a href="https://www.eurofusion.org/eurofusion/roadmap/">https://www.eurofusion.org/eurofusion/roadmap/</a> ).
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :Support the policy of the Union on nuclear safety, safeguards and security.****Indicator 1: Number and share of Euratom projects producing policy-relevant findings**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Yearly results
Cut-Off Date	
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Link to the objective	Part of the projects carried out will be oriented to provide support to related EU policy items. Other part is more oriented to develop the necessary scientific background for a sound policy support
Link MFF 14-20 / MFF 21-27	Continuation
Other methodological comments	The yearly milestone is the share of projects providing direct support to EU DGs
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of outputs having a demonstrable impact on the EU policy**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Cumulated
Cut-Off Date	
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Link to the objective	Support provided with evidence of impact
Link MFF 14-20 / MFF 21-27	Continuation
Other methodological comments	Evaluation and validation of tangible impacts in the policy cycle, resulting from technical and scientific policy support provided by the JRC throughout the year
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation">https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation</a>
Justification of the trend	

**Indicator 3: Number of policy items (Directives, Instruments, actions on the basis of Euratom Treaty articles) to which JRC provided effective and essential support in any part of the policy cycle)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Cumulated
Cut-Off Date	
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Link to the objective	Support to related EU policies provided
Link MFF 14-20 / MFF 21-27	Continuation of support
Other methodological comments	Number of EU related policy items supported with the outputs delivered
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation">https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation</a>
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : Euratom Research and Training Programme

**General Objective 1 :To pursue nuclear research and training activities with an emphasis on continuous improvement of nuclear safety, security and radiation protection, notably to potentially contribute to the long-term decarbonisation of the energy system in a safe, efficient and secure way.**

#### Indicator 1:Reduction of greenhouse gas emissions at EU level compared to 1990

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
			20%							21%
	Actual Progress									Final
	23%	22%	22%	22%	23%	24%	Data not yet available			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Reduction of Green House Gases emissions (in percentage) in the EU-27 countries in given year compared to 1990
Cut-Off Date	
Data source	<a href="https://www.eea.europa.eu/data-and-maps/indicators/greenhouse-gas-emission-trends-6/assessment-3">https://www.eea.europa.eu/data-and-maps/indicators/greenhouse-gas-emission-trends-6/assessment-3</a>
Narrative	The emission decrease between 2018 and 2019 was 4 % - the steepest annual reduction seen in the last decade.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Greenhouse gas emissions in the EU-27 decreased by 24 % between 1990 and 2019, exceeding the target of a 20 % reduction from 1990 levels by 2020.

**Specific Objective 1 :Supporting the safety of nuclear systems (societal challenges, excellent science, industrial leadership).**

#### Indicator 1:The number of projects (joint research and/or coordinated actions) likely to lead to a demonstrable improvement in nuclear safety practice in Europe

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
		7				29	44			44
41	Actual Progress									Final
		9		23	28		47			

Are we on track	On track
Indicator type	Input
Unit of measurement	cumulative
Cut-Off Date	31/12/2020
Data source	Results of call for proposals
Narrative	Selected by independent experts, Euratom-funded research projects redefine state of the art in safety of nuclear installations and provide knowledge and tools
Methodology	Indicator shows number of Euratom-funded projects resulting from safety related call topics of the Euratom Work Programmes.
Link MFF 14-20 / MFF 21-27	n.a.
Other methodological comments	Target increased from 14 projects planned for 2018 due to extension of the Euratom programme (from 2014-2018 to 2014-2020) and an increased focus on the improvement of nuclear safety.
Full metadata available at this address	Cordis database ( <a href="https://cordis.europa.eu/">https://cordis.europa.eu/</a> )
Justification of the trend	Surpass the target

**Specific Objective 2 :Contributing to the development of safe, longer-term solutions for the management of ultimate nuclear waste, including final geological disposal, partitioning and transmutation.**

**Indicator 1: The number of projects contributing to the development of safe long term solutions for the management of ultimate nuclear waste**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
15		5				12	14			14
	Actual Progress									Final
		5		10	11		12			

Are we on track	On track
Indicator type	Input
Unit of measurement	cumulative
Cut-Off Date	31/12/2019
Data source	Results of call for proposals
Narrative	Set by independent experts, Euratom-funded research projects provide solutions for safe management and disposal of radioactive waste
Methodology	Total number of Euratom-funded projects resulting from call topics concerning radioactive waste management, launched by the subsequent Euratom Work Programmes
Link MFF 14-20 / MFF 21-27	n.a.
Other methodological comments	Target increased from 8 planned for 2018 due to the extension of the programme from 2014-2018 to 2014-2020.
Full metadata available at this address	Cordis database ( <a href="https://cordis.europa.eu/">https://cordis.europa.eu/</a> )
Justification of the trend	Since establishment of a European Joint Programme in Radioactive Waste Management (EURAD <a href="https://www.ejp-urad.eu/">https://www.ejp-urad.eu/</a> ) in 2019, encompassing most of stakeholders in Europe and providing funding for a comprehensive research in this field, there is no need to launch medium-size projects addressing specific issues in this field. Consequently, due to the joint programming the target of 14 cannot be reached.

**Specific Objective 3 :Supporting the development and sustainability of nuclear expertise and excellence in the Union.****Indicator 1: Training through research - the number of PhD students and postdoctoral researchers supported through the Euratom fission projects**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2013	Milestones									2020
200		500					1 000			1 000
	Actual Progress									Final

Are we on track	No data
Indicator type	Input
Unit of measurement	cumulative
Cut-Off Date	30/06/2021
Data source	Training of PhD students and post-doctoral researchers is essential for maintaining nuclear competences and expertise in Europe underlying the EU's high safety standards in all nuclear activities
Narrative	Set by independent experts, Euratom-funded research projects provide solutions for safe management and disposal of radioactive waste
Methodology	Total of PhD students and post-doctoral researchers reported by projects.
Link MFF 14-20 / MFF 21-27	n.a.
Other methodological comments	Data will be available after release of final reports from all fission projects, expected after 2020.
Full metadata available at this address	not yet available
Justification of the trend	n.a.

**Indicator 2: The number of fellows and trainees in the Euratom fusion programme**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
27		30					50			50
	Actual Progress									Final
	17	28	31	33	32	32				

Are we on track	Moderate progress
Indicator type	Output

Unit of measurement	annual
Cut-Off Date	31/12/2019
Data source	EUROfusion consortium annual reporting
Narrative	Fusion energy development requires staff with skills going beyond PhD level. EUROfusion supports education and training of scientists and engineers to operate and exploit ITER, and to ensure the right balance and competences of physicists and engineers for the fusion technology development
Methodology	Indicator calculated on the basis of results of EUROfusion calls for applications
Link MFF 14-20 / MFF 21-27	n.a.
Other methodological comments	Fellows (at post-doc level) and trainees (engineers) are selected on the basis of applications submitted following a call for proposals. Number and suitability of candidates varies from year to year.
Full metadata available at this address	EUROfusion consortium annual reporting available to the Commission services
Justification of the trend	Fellows (at post-doc level) and trainees (engineers) are selected on the basis of applications submitted following a call for proposals. Number and suitability of candidates varies from year to year. The 2020 COVID restrictions on the access to laboratories, delayed or even stopped the scientific experiments planned.

### Specific Objective 4 :Supporting radiation protection and the development of medical applications of radiation, including, inter alia, the secure and safe supply and use of radioisotopes.

**Indicator 1: The number of projects likely to have a demonstrable impact on regulatory practice regarding radiation protection and on development of medical applications of radiation**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2013	Milestones									2020
33		1				4	6			6
	Actual Progress									Final
		1		2	3		6			

Are we on track	On track
Indicator type	Output
Unit of measurement	Cumulative
Cut-Off Date	31/12/2020
Data source	Results of call for proposals
Narrative	Using the power and non-power applications of ionising radiation to benefit the general public in Europe requires an optimal radiation protection. Research into radiation protection reduce risks from low-dose exposure through the use of these technologies and provides novel solutions for new applications in medical and other sectors.
Methodology	Indicator shows number of Euratom-funded projects resulting from call topics concerning radiation protection and medical applications of ionising radiation, launched by the subsequent Euratom Work Programmes.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	Target reduced from 25 planned for 2018, due to the establishment in 2015 of the European Joint Programme (EJP) in radiation protection research ( <a href="http://www.concert-h2020.eu/">http://www.concert-h2020.eu/</a> ) with a Euratom contribution of EUR 20 million. Research projects launched within the framework of the EJP programme are not included in the statistics for this indicator, but only projects launched directly by the Commission are counted.
Full metadata available at this address	Cordis database ( <a href="https://cordis.europa.eu/">https://cordis.europa.eu/</a> )
Justification of the trend	Achieve the target

### Specific Objective 5 :Moving towards demonstrating the feasibility of fusion as a power source by exploiting existing and future fusion facilities.

**Indicator 1: The number of publications in peer-reviewed high impact journals**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
800			800	800			800			800
	Actual Progress									Final
	200	450	325	700	680	822				

Are we on track	On track
Indicator type	Result
Unit of measurement	Cumulative
Cut-Off Date	19/08/2022

Data source	EUROfusion consortium reporting
Narrative	The number of papers published by Euratom-funded scientists in high quality peer-reviewed journals demonstrates Programme's research excellence. It remains consistent with the level showed during the previous European Programme, once allowance is made for the new programme structure.
Methodology	Number of publications in peer-reviewed high impact journals from Euratom funded fusion research (journals with impact factor equal or higher than 'Fusion Science and Technology' journal <a href="https://www.ans.org/pubs/journals/fst/">https://www.ans.org/pubs/journals/fst/</a> )
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The baseline figure for the fusion peer reviewed articles published under 2007-2013 Euratom Programme cannot be directly compared to the 2020 target, nor can it be compared to the actual figures produced by the EUROfusion consortium. The 2014-2020 indicator shows only the peer reviewed articles resulting directly from the implementation of the fusion roadmap, while the old indicator (the baseline) covered all peer-reviewed articles published by fusion associations.
Full metadata available at this address	EUROfusion consortium annual reporting available to the Commission services
Justification of the trend	Surpass the target in 2019

### Specific Objective 6 :Laying the foundations for future fusion power plants by developing materials, technologies and conceptual design.

#### Indicator 1: The percentage of the Fusion Roadmap's milestones established for a period 2014-2018 reached by the Euratom Programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	0,13	0,31	0,54	0,75			0,90			0,90
	Actual Progress									Final
	0,10	0,28	0,47	0,66	0,82	0,82				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of the Fusion Roadmap's milestones established for a period 2014-2020 reached by the Euratom Programme
Cut-Off Date	19/08/2022
Data source	EUROfusion consortium reporting
Narrative	The EUROfusion roadmap forms the basis for the programmes of EUROfusion and Fusion for Energy and provides a clear and structured way forward to commercial electricity from fusion.
Methodology	Indicator showing cumulative percentage of the EUROfusion high level milestones prepared on the basis of the European Research Roadmap to the realisation of Fusion Energy ( <a href="https://www.euro-fusion.org/eurofusion/roadmap/">https://www.euro-fusion.org/eurofusion/roadmap/</a> ). Please note that the 2020 COVID restrictions on the access to laboratories, delayed or even stopped the scientific experiments planned.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The Fusion roadmap was adopted by the members of the European Fusion Development Agreement (EFDA, predecessor of EUROfusion) in 2012. 2020 results will be available in 2021
Full metadata available at this address	EUROfusion consortium annual reporting available to the Commission services
Justification of the trend	Please explain why there were not progresses in 2019 (waiting for answer from Tomek)

### Specific Objective 7 :Promoting innovation and industry competitiveness.

#### Indicator 1: The number of spin-offs from the fusion research under Euratom Programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2013	Milestones									2020
4			5				6			6
	Actual Progress									Final
	1	2	2	2	3	5				

Are we on track	On track
Indicator type	Result
Unit of measurement	Cumulative
Cut-Off Date	31/12/2019
Data source	Cumulative number of spin offs reporting
Narrative	Euratom Programme supports specific actions on technology transfer from fusion research labs to industry. This provides the short-term return on investment in fusion R&D by using, in other areas, the knowledge generated by fusion research, so-called spin offs. Examples include cooled high heat flux components in space applications, improvement of Magnetic Resonance Imaging (MRI).

	applications in brakes and clutches.
Methodology	Cumulative number of spin offs reported by EUROfusion
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The target has been reduced from 10 planned for 2018. The 2020 target is based on updated data on actual spin-offs from fusion research during 2014-2016. All figures are cumulative.
Full metadata available at this address	EUROfusion consortium annual reporting available to the Commission services
Justification of the trend	Close to the target in 2019. The target is expected to be met in 2020.

**Indicator 2: The patents applications generated and patents awarded on the basis of research activities supported by the Euratom Programme (average number per year)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2013	Milestones									2020
3		3	4				4			4
	Actual Progress									Final
	1	2	1	3	2	4				

Are we on track	On track
Indicator type	Result
Unit of measurement	Average number per year
Cut-Off Date	31/12/2019
Data source	EUROfusion consortium reporting
Narrative	Euratom Programme supports the transfer of fusion-related technology and know-how to non-fusion applications where there is a strong commercial or societal benefit. New patents may lead to the development and deployment of new hardware/software and protect European intellectual property.
Methodology	Number of patent applications emerging from EUROfusion consortium
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	No sufficient amount of meaningful data is expected for "patents awarded" before 2020, because of the time necessary for a patent to be awarded.
Full metadata available at this address	EUROfusion consortium annual reporting available to the Commission services
Justification of the trend	Target achieved in 2019 and should be surpassed by the end of the Euratom Programme 2014-2020.

**Specific Objective 8 :Ensuring the availability and use of research infrastructures of pan-European relevance.**

**Indicator 1: The number of researchers having access to research infrastructures through Euratom Programme support**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2008	Milestones									2020
800		500					1 200			1 200
	Actual Progress									Final
	872	958	1 039	909	1 350	1456				

Are we on track	On track
Indicator type	Input
Unit of measurement	Per year
Cut-Off Date	31/12/2019
Data source	EUROfusion consortium annual report
Narrative	Success of the Euratom-funded fusion research relies on joint programming and exploitation of research infrastructure in Europe, which would be impossible without support for mobility of researchers.
Methodology	Total Number of researchers who have access to fusion research infrastructures through Euratom support
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	
Full metadata available at this address	EUROfusion consortium annual reporting available to the Commission services
Justification of the trend	surpass the target – the activity attracted more students than expected.

**Specific Objective 9 :Improving nuclear safety including: nuclear reactor and fuel safety, waste management including final geological disposal as well as partitioning and transmutation; decommissioning, and emergency preparedness. The JRC will contribute to the development of tools and methods to achieve high safety standards for nuclear installations and fuel cycles relevant to Europe.**

**Indicator 1: JRC policy support indicator - The number of occurrences of tangible specific impacts on Union policies resulting from technical and scientific policy support provided by the JRC**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
13	12±1	12±1	12±1	12±2	14±2	15±3				15±3
	Actual Progress									Final
	14	16	15	9	10	8	9			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of tangible impacts on the EU policies
Cut-Off Date	31/12/2020
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Evaluation and validation of tangible impacts in the policy cycle, resulting from technical and scientific policy support provided by the JRC on the n-1 year
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation">https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation</a> Although the programme target was achieved, the overall trend is downwards.
Justification of the trend	Although the programme target was achieved, the overall trend is downwards. The staff reduction along the whole period, lead to a need to build again capacity and expertise. For the last two years of the programme, it was planned to increase the policy support provided, but the staff reorganisation have had an impact in the performance of the direct actions of the programme bigger than expected. Moreover the 2020 COVID restrictions on the access to laboratories, delayed or even stopped the scientific experiments planned.

**Indicator 2: The number of peer reviewed publications**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Average 2010-2013	Milestones									2020
72		72±4	72±4	72±4	72±8	60±8	50±8			50±8
	Actual Progress									Final
	90	80	45	62	72	36	43			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of publications in peer reviewed journals
Cut-Off Date	31/12/2020
Data source	PUBSY (JRC publications database)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Number of articles published in recognised peer reviewed journals with JRC authorship
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://pubsy.jrc.cec.eu.int/">https://pubsy.jrc.cec.eu.int/</a>
Justification of the trend	The programme evolved to address innovative fields, these areas need to build new and reinforce existing competences and skills, therefore the target for the last two years of the programme was reduced. It resulted, indeed, a temporary reduction of the achieved number of publications, as the scientific publications have a longer time cycle. Moreover the 2020 COVID restrictions on the access to laboratories, delayed or even stopped the scientific experiments planned for the last year of the programme.

**Specific Objective 10 :Improving nuclear security including: nuclear safeguards, non-proliferation, combating illicit trafficking, and nuclear forensics.**
**Indicator 1: JRC policy support indicator - The number of occurrences of tangible specific impacts on Union policies resulting from technical and scientific policy support provided by the JRC**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
15		14±1	14±1	14±1	14±2	18±3	22±4			22±4

	Actual Progress								Final
	16	22	19	11	12	11	11		

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of tangible impacts on the EU policies
Cut-Off Date	31/12/2020
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Evaluation and validation of tangible impacts in the policy cycle, resulting from technical and scientific policy support provided by the JRC on the n-1 year
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation">https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation</a>
Justification of the trend	Although the programme target was achieved, the second half of the programme was less satisfactory. The staff reduction along the whole period, lead to a need to build again capacity and expertise. For the last two years of the programme, it was planned to increase the policy support provided, but the staff reorganisation have had an impact in the performance of the direct actions of the programme bigger than expected. The 2020 COVID restrictions on the access to laboratories and on missions, delayed or even stopped the support provided.

### Indicator 2: The number of peer reviewed publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Average 2010-2013	Milestones									2020
16		16±1	16±1	16±1	16±2	19±3	22±4			22±4
	Actual Progress									Final
	20	16	21	20	11	10	10			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of publications in peer reviewed journals
Cut-Off Date	31/12/2020
Data source	PUBSY (JRC publications database)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Number of articles published in recognised peer reviewed journals with JRC authorship
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://pubsy.jrc.cec.eu.int/">https://pubsy.jrc.cec.eu.int/</a>
Justification of the trend	Although the final target was achieved, a trend downwards is observed. The reason for the trend is the same than in the previous indicator plus the need to focus the resources in providing the necessary policy support, in spite of reducing the number of publications

### Specific Objective 11 :Increasing excellence in the nuclear science base for standardisation.

#### Indicator 1:JRC policy support indicator - The number of occurrences of tangible specific impacts on Union policies resulting from technical and scientific policy support provided by the JRC

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
15		13	13	13	12	11	10			10
	Actual Progress									Final
	10	9	6	12	11	7	7			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of tangible impacts on the EU policies
Cut-Off Date	31/12/2020
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Evaluation and validation of tangible impacts in the policy cycle, resulting from technical and scientific policy support provided by the JRC on the n-1 year

Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation">https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation</a>
Justification of the trend	The number of outputs delivered having an impact on the policies are mainly related to the provision of standards, which have a longer period to be accepted. It is expected that the number of standard measurements delivered and accepted will increase, as the process is based on the scientific results obtained, which are quite high.

### Indicator 2: The number of peer reviewed publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
58		54	54	54	50	49	47			47
	Actual Progress									Final
	118	63	50	56	57	40	54			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of publications in peer reviewed journals
Cut-Off Date	31/12/2020
Data source	PUBSY (JRC publications database)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Number of articles published in recognised peer reviewed journals with JRC authorship
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://pubsy.jrc.ec.eu.int/">https://pubsy.jrc.ec.eu.int/</a>
Justification of the trend	Even though the 2020 COVID restrictions on the access to laboratories, online ways of managing data and visualisation of experiments have been developed. A lot of desk analysis has been also done. It is worthy to highlight the high record related to targeted immunotherapy against cancer.

### Specific Objective 12 :Fostering knowledge management, education and training.

#### Indicator 1: JRC policy support indicator - The number of occurrences of tangible specific impacts on Union policies resulting from technical and scientific policy support provided by the JRC

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
13		12±1	12±1	12±1	12±2	12±2	10±2			10±2
	Actual Progress									Final
	12	13	9	9	6	6	7			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of tangible impacts on the EU policies
Cut-Off Date	31/12/2020
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Evaluation and validation of tangible impacts in the policy cycle, resulting from technical and scientific policy support provided by the JRC on the n-1 year
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation">https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation</a>
Justification of the trend	The impacts on the EU policies are obtained, mainly, delivering knowledge management products and training to Commission services, IAEA or MS professionals, depending on the stakeholders needs. It is expected that the last technical developments as virtual training will allow higher impact in the future

#### Indicator 2: JRC scientific productivity indicator - The number of peer reviewed publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

Average 2010-2013	Milestones								2020
35		34±2	10±2	10±2	10±4	14±4	18±4		18±4
	Actual Progress								Final
	20	7	15	16	19	10	27		

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of publications in peer reviewed journals
Cut-Off Date	31/12/2020
Data source	PUBSY (JRC publications database)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Number of articles published in recognised peer reviewed journals with JRC authorship
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://pubsy.jrc.ec.eu.int/">https://pubsy.jrc.ec.eu.int/</a>
Justification of the trend	The programme is providing training to EU students and professionals. The expected results of the collaboration between direct and indirect actions of the programme to allow open access to JRC nuclear research infrastructures, weren't materialised in 2020 because of the COVID restrictions on the access to laboratories. Virtual training courses, online access, and open data bases were developed and will be integrated to complement presential trainings in the future.

### Specific Objective 13 :Supporting the policy of the Union on nuclear safety and security.

#### Indicator 1:JRC policy support indicator - The number of occurrences of tangible specific impacts on Union policies resulting from technical and scientific policy support provided by the JRC

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones								2020	
7		6±1	6±1	6±1	6±1	12±2	18±2			18±2
	Actual Progress								Final	
	11	7	13	7	11	10	8			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of tangible impacts on the EU policies
Cut-Off Date	31/12/2020
Data source	PRIME (internal JRC evaluation exercise carried out yearly)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Evaluation and validation of tangible impacts in the policy cycle, resulting from technical and scientific policy support provided by the JRC on the n-1 year
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation">https://webgate.ec.europa.eu/connected/community/jrc/strategic-planning-and-programming/jrc-evaluation</a>
Justification of the trend	The JRC's support to the implementation of the nuclear Directives, Euratom nuclear safeguards system, and EU cooperation instruments, between others.

#### Indicator 2:JRC scientific productivity indicator - The number of peer reviewed publications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones								2020	
			10±5	10±5	10±5	9±4	7±3			7±3
	Actual Progress								Final	
		15	7	8	4	5	9			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of publications in peer reviewed journals
Cut-Off Date	31/12/2020
Data source	PUBSY (JRC publications database)
Narrative	In the Commission proposal for a regulation establishing EURATOM
Methodology	Number of articles published in recognised peer reviewed journals with JRC authorship

Link MFF 14-20 / MFF 21-27	No
Other methodological comments	The milestones are yearly results, therefore, the target at the end of the period is the addition of the previous ones. To evaluate the progress of the indicator, the target has been updated accordingly.
Full metadata available at this address	<a href="https://pubsy.jrc.cec.eu.int/">https://pubsy.jrc.cec.eu.int/</a>
Justification of the trend	The JRC's expertise obtained through the research programme allows providing support to the related EU policies. Notwithstanding the 2020 COVID restrictions the level of achievement is satisfactory

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
124,6	129,5	134,2	137,9	143,1			669,3

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

Euratom Research and Training Programme 2021-2025 contributes to climate mainstreaming as the Programme general objective provides for complementing the achievement of Horizon Europe's objectives, inter alia, in the context of the energy transition. Research results of the Euratom Programme could be used by some Member States, exercising the right to decide on their energy mix, towards establishment of climate neutral energy system in a safe, efficient and secure way.

In this context, the Commission considers that 100% of the expenditure for fusion energy research contributes to the climate effort of the EU budget. Fusion energy represents a possible long-term option for large-scale low-carbon electricity production, which could help address a growing electricity demand towards the end of this century. To prepare Europe for fusion deployment, the research and technology development funded by the Euratom Programme today must demonstrate the scientific and technical feasibility of fusion energy, and then demonstrate its commercial and economic viability.

In view of the importance given by the Euratom Programme to non-power applications, radiation protection and waste management, the Commission considers that not all of the expenditure on fission research contributes to the climate effort of the EU budget. In this context it should be underlined that safety is a concern for all European citizens and a prime focus crosscutting all Euratom funded research activities.

According to the OECD DAC Rio Markers for Climate, an international recognized methodology to account for Climate expenditures, any activities which "contributes to the objective of stabilization of greenhouse gas (GHG) concentrations in the atmosphere" should be accounted as 100% related to climate expenditures.

The Commission considers that 100% of the Fusion Research related expenditure and 40% of the Fission Research related expenditure contribute to the climate effort of the EU budget.

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

#### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.4.2. Key achievements and performance**

Gender equality is a cross-cutting priority in Horizon Europe and concerns also Euratom Programme as stated in the recital 2 of the Council Regulation. The integration of the gender dimension into research and innovation content will be a requirement by default. Furthermore, Euratom Programme is promoting gender equality through sustainable institutional change by requesting that applicants (public bodies, research organisations and higher education establishments) have in place a gender equality plan as an eligibility criterion (requirement shared with Horizon Europe).

JRC manages the European Human Resources Observatory for the Nuclear Energy Sector (EHRO-N) in order to ensure the availability of data on human resources, including gender balance. In its Strategy 2030, the JRC declares itself as an equal opportunities employer committed to the objective of being fully gender balanced; this has been further developed by issuing a gender balance strategy. The JRC has set-up a talent management programme developed taking into consideration the specificities of JRC and the female colleagues needs.

## **6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING 1: Single Market, Innovation and Digital****European Joint Undertaking for ITER and the Development of Fusion Energy****Lead DG:ENER**

1. Overview .....	115
1.1. Challenges .....	115
1.2. Mission (general objectives) .....	116
1.3. Specific objectives .....	116
1.4. Public intervention context .....	116
1.5. Actions .....	116
1.6. Delivery mode .....	116
1.7. Graphic overview of the programme structure .....	117
1.8. Legal basis and financial programming .....	117
1.9. Link with the 2014-2020 MFF .....	117
1.10. Relevant websites providing more information .....	117
2. Where are we in the implementation ? .....	118
2.1. Programme 2021-2027 .....	118
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	121
3. How is the programme performing ? .....	121
3.1. Performance .....	121
3.2. Key achievements .....	122
3.3. Evaluations, studies and reports .....	122
4. Programme 2021-2027 - Key monitoring indicators .....	123
Specific Objective 1 :to fully support the continuation of ITER construction and to reach the operation of ITER with First Plasma by 2025, to be followed by first experimental operations as well as further installations and upgrades until 2027 and beyond, laying grounds for successful full power operation (so called Deuterium-Tritium stage) by 2035 .....	123
5. Programme 2014-2020 - Key monitoring indicators .....	123
Previous Program 1 : International Thermonuclear Experimental Reactor (ITER) .....	123
General Objective 1 :development of fusion as a potentially limitless, safe, sustainable, environmentally responsible and economically competitive source of energy .....	124
Specific Objective 1 :To provide the Euratom contribution to ITER and to the ITER related activities .....	124
Specific Objective 2 :Support to European industry and research through the ITER construction and ITER related activities .....	124
6. The programme contribution to horizontal policies .....	125
6.1. Contribution to climate mainstreaming .....	125
6.2. Contribution to biodiversity mainstreaming .....	125
6.3. Contribution to clean air financing .....	126
6.4. Contribution to gender equality .....	126
6.5. Contribution to the sustainable development goals .....	126

**1. Overview****1.1. Challenges**

ITER aims to demonstrate fusion as a viable and sustainable source of energy. It is being built in Saint Paul-Léz-Durance (France) with the support of seven international partners that represent half of the world's population (Euratom, Russia, Japan, China, India, South Korea and the United States). The key challenges for ITER for the MFF 2021-2027 will be to:

i.) Sustain the positive momentum in the project's performance and management achieved through recent improvements in management, governance and supervision/monitoring;

ii.) Ensure finalisation of the construction and assembly enabling the achievement of First Plasma and subsequent complementary construction and advancement of the post-First Plasma components; and

iii.) Retain the commitment of all ITER Parties to meeting in full their obligations thus enabling the timely and cost-efficient completion of the project.

Meeting these challenges will require sustained EU leadership in the project, which needs to be underpinned by excellent performance of F4E and full compliance of the EU with its share of funding obligations and in-kind contributions (i.e. components under European responsibility, procured and delivered by F4E).

## 1.2. Mission (general objectives)

The general objective of the ITER-related EU action in 2021-2027 is to fully support the continuation of ITER construction and to reach the operation of ITER with First Plasma to be followed by first experimental operations as well as further installations and upgrades until 2027 and beyond, laying grounds for successful full power operation (so called Deuterium-Tritium stage) by 2035.

These achievements are considered as a necessary step in the development of fusion in order for it to become a possible source of sustainable energy fostering the job, growth and innovation potential of the energy sector in the later part of the century, in accordance with the European Fusion Roadmap.

## 1.3. Specific objectives

To achieve the general objectives, the ITER five specific objectives for the MFF 2021-2027 will be as follows:

- i.) provide sufficient performance-based funding to IO for its operations, particularly the assembly of the installation from the components arriving from individual ITER members;
- ii.) ensure delivery of EU components by F4E in line with the project schedule, in particular its construction and assembly strategies, and in close adherence with performance monitoring;
- iii.) offer European high-tech industries and SMEs a valuable opportunity to innovate and develop “spin off” products for exploitation outside fusion, thereby further reinforcing the EU added value of the ITER project activities;
- iv.) secure continued EU leadership in the ITER project by ensuring timely delivery of EU components and active participation in ITER governance processes; and
- v.) continue activities with Japan (BA) on the operation of the satellite tokamak JT60SA and on the development of a full scale material testing facility (IFMIF/DONES) to ensure that together with ITER's results, all technical and scientific elements needed for the design of a fusion-based power generation device for demonstration are in place, thereby anchoring the synergetic contribution of ITER to the coherence of fusion development and fostering the common benefits of fusion research under the Fusion Roadmap.

## 1.4. Public intervention context

The ITER project aims at building and operating an experimental fusion device, a major step towards the demonstration of fusion as a sustainable energy source. Due to its important advantages, such as the availability of large fuel reserves and the lack of CO<sub>2</sub> emissions, fusion could greatly contribute to the long-term EU strategy of decarbonisation of the energy system in a safe, efficient and secure way. Europe's support to ITER and to other activities related to ITER contributes to the strategic agenda of the European Union for clean and secure energy.

The risk, costs, and long-term nature of a large research projects such as ITER puts it beyond the reach of individual EU Member States and even of the EU as such. Thus, the establishment of a global framework through an international agreement between Euratom and six other Parties: China, India, Japan, South Korea, Russia and the USA was essential to undertake this large-scale scientific experiment. ITER construction started in 2007 and Euratom provides about 45% of all components through F4E.

## 1.5. Actions

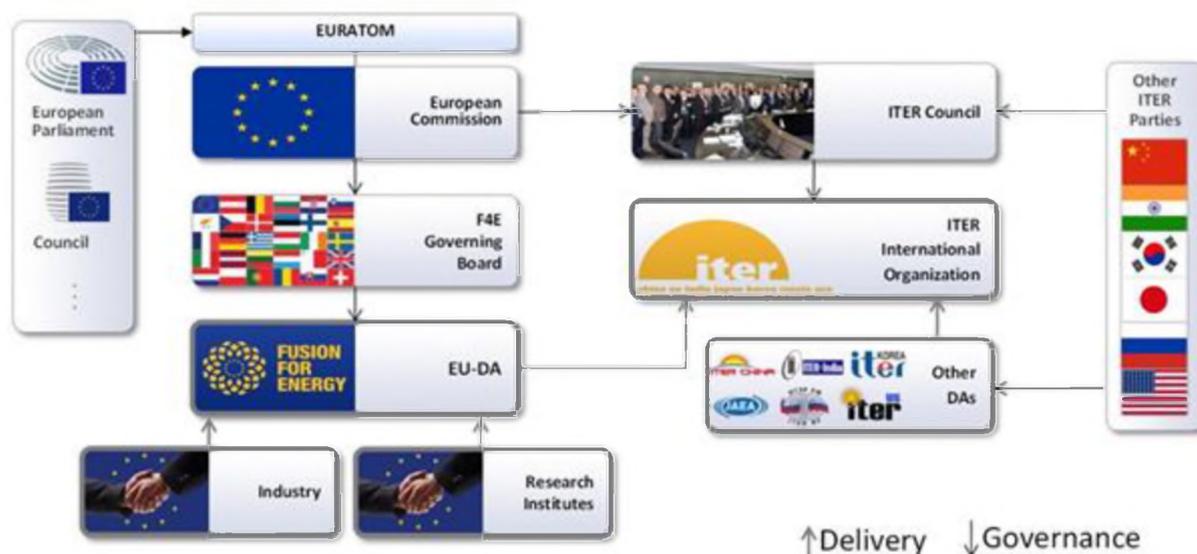
The programme covers the European contribution to the ITER International Organization (IO) for the construction of the ITER facility, which includes the procurement of equipment, installation, general technical and administrative support for the construction phase as well as the participation in commissioning and operations.

The programme also covers other ITER related activities, such as the Broader Approach activities with Japan. These contributions are channelled through a Procurement Agency, the Joint Undertaking Fusion for Energy (F4E) located in Barcelona (Spain).

## 1.6. Delivery mode

Indirect management entrusted to the Joint Undertaking Fusion for Energy (F4E). The lead Directorate General (DG) of the European Commission is DG Energy..

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 445: Proposal for a COUNCIL DECISION amending Decision 2007/198/Euratom establishing the European Joint Undertaking for ITER and the Development of Fusion Energy and conferring advantages upon it	2021 - 2027	5 614,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>864,0</b>	<b>710,1</b>	<b>1 019,8</b>	<b>806,3</b>	<b>690,1</b>	<b>856,3</b>	<b>667,3</b>	<b>5 614,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The construction and assembly of the ITER project continues in the MFF 2021-2027.

## 1.10. Relevant websites providing more information

The Europa site on Fusion Energy and ITER ([https://ec.europa.eu/energy/topics/technology-and-innovation/fusion-energy-and-iter\\_en](https://ec.europa.eu/energy/topics/technology-and-innovation/fusion-energy-and-iter_en)) is a valuable source of information of the ITER project and fusion energy in general.

The site of the Joint Undertaking Fusion for Energy (<https://fusionforenergy.europa.eu/>) presents the activities of the European Union organisation (Domestic Agency) managing Europe's contribution to ITER.

The website of the ITER Organization (<https://www.iter.org/>) provides updated information on the project addressing the needs of the public, the press, scientists and the industry.

The EUROfusion roadmap (<https://www.euro-fusion.org/eurofusion/roadmap/>) forms the basis for the programmes of EUROfusion and Fusion for Energy and provides a structured way forward to commercial electricity from fusion.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The **work programme 2021** is mostly focused on the following activities (First Plasma (FP) relevant activities are indicated):

**Magnets (FP):** All major contracts have been signed and manufacturing activities are fully underway. Major deliveries planned for 2021 include four TF Coils, one PF Coil (PFC #02) and some final components of the newly signed IO Task Agreement for the Pre-Compression Rings. The evolution of these activities is highly dependent on the impacts generated by the covid-19 outbreak. Extensions, modifications or amendments to existing contracts, some of them being triggered by IO (Project Change Requests, Non-Conformities on free issue items, etc.), may be signed. Contracts contingencies, framework contracts and/or task orders may also be signed to support the production (i.e. inspectors, other external resources, workshop materials, tests, etc.).

**Main Vacuum Vessel (FP):** All major contracts have been signed and manufacturing activities are underway. The first Sector deliveries are currently planned in 2021. Contracts for the transportation to Cadarache of the five sectors will be signed. Extensions, modifications or amendments to existing contracts, some of them being triggered by PCRs, may have to be signed to meet the schedule. Also, Specific Contracts for support activities, like Inspectors, Documentation Support, Engineering and Analysis etc. will continue to be issued depending on the project needs.

#### **In-Vessel [Blanket System and Divertor]:**

**Blanket System (non-FP):** For the Blanket First Wall project, the most important activity in 2021 is the start of the First Wall Panels production lines preparation, including the award of two contracts for the procurement of CuCrZr and beryllium raw materials respectively. In parallel, functional testing of full-scale prototypes (e.g. High Heat Flux testing) will be carried out and a contract will be awarded for the performance of Hot Helium Leak testing.

For the Blanket Cooling Manifold project, negotiations with tenderers will be completed and framework contracts will be awarded to start the first stage of the series production.

**Divertor Systems (non-FP):** For the divertor inner vertical target (IVT) project, the main activities will be devoted to the follow-up of the on-going manufacturing of the full-scale prototypes, including the delivery of the first full-scale prototype to IO for assembly trials and the high heat flux testing of second full-scale prototype. Furthermore, F4E will launch the call for tender for the IVT series production. For the divertor cassette project, the main activities will be devoted to the follow-up of the on-going manufacturing and the reopening of competition for the signature of Stage 2 of the series fabrication. For the Divertor Rails project, the Procurement Arrangement will be signed.

**Remote Handling (partly FP):** The procurement of the Remote Handling Systems (RHS) will focus mainly on the final design activities and some areas of non-first plasma component on the preliminary design. Complementary RH technology-related design activities, prototyping and qualification will be performed together with engineering support related activities and expert contracts to complement the main procurement contracts.

**Cryoplant and Fuel Cycle Vacuum Pumping (Partly FP):** The contract for Helium Leak Localization systems will be signed and design activities for Leak Detection will start. Contracts of Torus and Cryostat Cryopumping System, Front-end Cryopump Distribution system, Mitica cryopump will focus on manufacturing and assembly.

**Tritium Plant and REMS (Partly FP):** First pre-PA activities will start in support of the Hydrogen Isotope Separation system and Water Detritions System PAs. As for REMS (Radiation and Environmental Monitoring Systems), the contract for 1st plasma activities will be signed and PA activities for the signature of the PA amendment for Tokamak complex will be carried out.

**Cryoplant (FP):** End of installation and start of commissioning for LN2 Plant and Auxiliary Systems components will take place. The contract of cryogenic quench line header will be focused on installation and testing. The contract for MITICA Cryoplant will be closed.

**Antennas and Plasma Engineering (partly FP):** RF Heating & Current-Drive (FP): The tendering phase for the Electron Cyclotron (EC) system (Upper Launchers and ex-vessel waveguide systems) is planned in 2021. The output of a deep-dive, which runs in 2020, will determine the commercial strategy for the Antennas in detail. The tender will include the finalization of the design activities, manufacturing preparation and the manufacturing of the fully qualified Antennas.

**Neutral Beam Heating and EC Power Supplies and Sources (non-FP):** Electron Cyclotron (EC) Gyrotrons, Power Sources and Power Supplies (PS): The manufacturing, testing and deliveries of the Main and Body HV Power Supplies will continue, and the installation and commissioning of the first units will start. After signature of the EU Gyrotrons PA, the Call for Tender will be published and evaluation of bids will be in progress.

**Neutral Beam Test Facility (NBTF) at RFX-Padua:** For MITICA, the activities in the test bed will continue with commissioning of MITICA power supplies assembling of MITICA auxiliaries (Gas injection and Vacuum system, CODAS, Interlock, and Safety). The contracts for MITICA diagnostics, MITICA Beam Source, MITICA Beam line components will proceed with the manufacturing.

**HNB at ITER-Cadarache:** F4E will finalize the detailed and manufacturing design of the Neutral Beam power supplies systems for the ITER units, subject to the negotiations with the industrial suppliers to adapt the contractual schedule to the schedule of ITER buildings construction.

**Diagnostics** (partly FP): Manufacturing activities for several Diagnostic components and systems will continue, most of them being essential for First Plasma. Design of all remaining Diagnostics systems will progress, as well as the design of ITER port structures and the integration of Diagnostics into the ports. Several Diagnostics systems or sub-systems will complete their design activities, with approval of the final design review. Procurement activities will focus mainly on the placement of contracts (including framework contracts and task orders under framework contracts) for manufacture of remaining First Plasma components and of both contracts (including framework contracts and task orders under framework contracts) and grants for the completion of the design of less mature Diagnostics systems or sub-systems.

**Test Blanket Systems** (non-FP, non-in-kind contribution): The activities will mainly focus on the continuation of the preliminary design for TBM Sets and Ancillary Systems and of the related Safety Analysis. In parallel the ANB consultancy activities will continue. In addition, the activities concerning the proof of the TBM-sets fabrication and assembly processes feasibility will commence. If requested and approved by the TBM-PT Steering Committee, cash contribution to IO will be transferred to execute TBM activities common to several ITER Members. The collaboration with EUROfusion and the EFLs will continue. A contract for an Engineering Technical Support Service, currently under evaluation, might be put in place. If negotiations in 2020 are successful, a co-operation with the Korean DA will start in 2021.

**Site, Buildings and Power Supplies:** The focus of the buildings programme will be on the civil works to complete the Tritium Building (B14) above L2, the construction of Neutral Beam Power Supplies Buildings, Control Building and Fast Discharge Resistor Building and commencement of manufacture of the Cargo Lift. The construction design for the Tokamak Complex services (TB04) will complete with IO approval of all buildings levels. The Cryoplant Coldbox Building services installation will be completed. The design of the Emergency Power Supplies Buildings and equipment, and of the Plant Bridges, will advance.

**Technical Support Activities** including the signature of task orders for experts, Quality control inspectors for manufacturing activities, all Engineering unit domains: System Design-Mechanical Engineering, CAD Data Management, Material-Manufacturing Technologies and Processes, Analysis and Codes, Metrology, I&C-CODAC, other Domestic Agencies' components Transportation and project management activities (on QA, system engineering, PM tools, planning, risk and cost) are foreseen. F4E also plans renewal of existing Frameworks contracts and signature of new ones.

In addition, amendments, indexation and release of options of existing contracts in all areas will need to take place. Quality control inspection services will be necessary for the majority of the areas through available framework contracts.

Concerning the **Broader Approach** (BA), the EU activities are carried out in the frame of the Agreement, concluded between Euratom and Japan, consisting of activities which complement the ITER project and accelerate the realisation of fusion energy towards DEMO.

The main activities **envisaged in 2022** are outlined as follows indicating whether they are required for the ITER First Plasma (FP) or not (non-FP):

**Magnets** (FP): All major contracts have been signed and manufacturing activities are underway for the two remaining main components (i.e. TF Coils and PF Coils). In 2022, it is expected to complete the production of all 10 TF Coils. In the PF Coils Workshop, the last two Coils (PF#3 & #4) will be in full production to be delivered in the following years.

**Vacuum Vessel** (FP): All major contracts have been signed and manufacturing activities are underway. All five sectors are planned to be delivered before the end of 2022. Contracts for the transportation to Cadarache of the remaining sectors will be signed.

**In-Vessel** (non-FP) [Blanket System and Divertor]:

**Blanket System:** the series production of the Blanket First Wall panels will proceed. F4E will award task orders for the procurement of Beryllium and CuCrZr materials for the first wall panels series production, as well as a contract for the procurement of Standard Parts, scope of the Work Package 07 of the First Wall PA. Regarding the Blanket Cooling Manifold project, F4E will award the contract for the first 30 degree sector pipe bundles. F4E will use support from external resources to follow-up activities.

**Divertor Systems:** F4E will sign framework contracts for Stage 1 of the series production. Regarding the Divertor Rails project, F4E will advance in the final Technical Specifications for the procurement. Regarding the Divertor Cassettes project, F4E will continue manufacturing Cassette Bodies and will continue to deliver.

**Remote Handling** (partly FP): Design activities will continue in preliminary and final design phases depending on the system. Divertor Remote Handling systems (DRHS) will further develop the final design by already running task orders and new contracts, supported in some areas by laboratory tests. Cask & Plug RH systems (CPRHS) will continue final design development and moving towards manufacturing of FP components. Non-FP cask systems gradually moving from preliminary design to final design with existing and new contracts. Neutral Beam Remote Handling systems (NBRHS) FP components will continue final design development including prototyping and moving towards manufacturing of FP components. For the remaining items of NBRHS, the transition from preliminary design to final design will be the main area of activities through new and existing contracts, supported in some areas by laboratory tests. In-Vessel Viewing systems (IVVS) will focus on final design activities, validated by prototyping, by continuing and signing new task orders. Complementary RH technology activities will be implemented (design and tests) aiming at manufacturing of first components (e.g. rad hard cameras and electronics) to be integrated in the RH systems.

**Cryoplant** (FP) and **Fuel Cycle** (Partly FP): For Vacuum Pumping (Partly FP), contracts of Torus and Cryostat Cryopumping System, Front-end Cryopump Distribution system, Leak Detection and Localization systems will focus on manufacturing and assembly. First contract for Neutral Beam Front-end Cryopump distribution will be signed. PA signature of the Procurement for

manufacture for Heating Neutral Beam and Diagnostic Neutral Beam Cryopumps is planned. In the area of Tritium Plant and REMS (Partly FP), tendering activities for Water Detritiation system will start, PA signature for Hydrogen Isotope Separation system is planned, contract for first plasma activities of REMS (Radiation and Environmental Monitoring Systems ) will continue and contract for final Design and procurement of REMS Tokamak complex will be signed. In the area of Cryoplant (FP), commissioning for LN2 Plant and Auxiliary Systems components will take place.

**Antennas and Plasma Engineering** (partly FP): In the area of Electron Cyclotron Upper Launchers (ECUL), task order 2 for Integrator Framework including the scope for the manufacturing and assembly of ex-vessel systems will be signed in 2022. Task order for the manufacturing of the isolation valves will also be signed in 2022. In addition, contracts and task orders for support to manufacturing and industrial inspection will be signed. Regarding the EC Control scope, the EC plant Control System (ECPC) will start operation for the integrated commissioning of the ITER gyrotrons and Task orders to support ECPC operation and to design the EC Launcher local controller will be signed.

**Neutral Beam Heating and EC Power Supplies and Sources** (non-FP): F4E plans to sign contracts for NBI-1&2 tooling phase II, Vessels, Passive Magnetic Shield, and Absolute Valve. In the area of the Neutral Beam Test Facility (NBTF), F4E will sign specific contracts for PRIMA assembly as well as for MITICA CODAS and safety. To meet the schedule, F4E may need to sign extensions, modifications or amendments to existing contracts, some of them being triggered by Project Change Requests (PCRs). Sets of HV power supplies for the EC system will be delivered during the year and installation and commissioning on ITER site completed for the first sets.

**Diagnostics** (partly FP): Manufacturing activities for several Diagnostic components and systems, most of them essential for first plasma will continue and some first plasma components of the Magnetics diagnostic and the Tokamak electrical services will be delivered in 2022. F4E will launch or sign additional contracts for the manufacturing of the remaining first plasma subsystems, including supporting platforms for the in-vessel bolometer cameras, different components (in-port and ex-port) for the wide-angle viewing system, bolometer platforms and front-end components (waveguides, mirrors and horns) for the collective Thomson scattering system. The launch of a framework contract for the manufacturing of components required for subsequent plasma phases is also foreseen in 2022, as well as a framework contract for the manufacture of port structures, and the integration of the different diagnostics in the ports, assembly and testing. Design for less mature Diagnostics systems will progress mainly under ongoing design framework contracts or grants. Signature of specific contracts for the finalization of design of the core-plasma Thomson scattering and the bolometers are also foreseen in 2022.

**Test Blanket Modules** (non-FP, non-in-kind contribution): The activities for the preliminary designs of the two TBM Sets, Ancillary Systems, Safety Studies and Accidental Analyses will continue in view of the Preliminary Design Review. Analogously the activities aimed to prove the feasibility of the fabrication and assembly processes of the TBM-sets will continue. As in the previous years, support and transversal activities such as the consultancy of an Agreed Notified Body, the storage, handling and, when needed, transportation of steel materials will proceed. When needed, Task Orders will be signed to guarantee the continuity of the progress of the preliminary design of the projects. Some activities might be executed under the ITER TBM Project Team Funding scheme. The collaboration with EUROfusion is expected to continue. The need to procure additional EUROFER will be evaluated at the beginning of the year and, eventually, to this end, a supply contract will be put in place.

**Site, Buildings and Power Supplies:** The focus of the Buildings works will be to complete the last finishing works in the Diagnostic building (B74), to advance the construction of the Tritium Building civil works (B14) up to the roof and to deliver it painted until level L3, to deliver the Control building (B71 Non PIC part), the Fast Discharge Resistor building (B75), and to complete the installation of HVAC, Electrical & Handling Equipment in the Heating building (B15). Load centers LC01, LC04, LC08, LC09, LC15, LC16, MV04 and MV06 will be operational. The preliminary design for the Hot Cell Complex will be progressed. Task orders for Completion and Final Fitting works contracts, and for engineering consultancy services are also planned as well as commitments for the ITER site security services, Site Cooperation Agreement, ITER Host agreement and Health & Safety joint contract with ITER Organization. Changes and exercise of options to the ongoing services and construction contracts in relation with PCRs, input data delays, and re-allocation of scope between contracts will be implemented through amendments to the ongoing contracts.

**Cash contributions** to the ITER organization will be made.

**Technical Support Activities** include all Engineering unit domains: System Design-Mechanical Engineering, CAD Data Management, Material-Manufacturing Technologies and Processes, Analysis and Codes, Metrology, I&C-CODAC, other Domestic Agencies' components Transportation and Engineering activities. Technical Support Activities also includes Project Management (Quality Assurance and Quality Control inspectors for manufacturing activities), System Engineering, Nuclear Safety, CE Marking Assessment, PM tools, Planning, Risk and Cost), Office of the Chief Engineer, Procurement and Commercial support services activities as well provisions for processes definition and documentation management support, policy insurance and ICT, logistic, missions, and legal support to operational activities. F4E also plans renewal of existing and new Framework contracts.

In addition, amendments, indexation and release of options of existing contracts in all areas will need to take place. Quality control inspection services will be necessary for the majority of the areas through available framework contracts.

Concerning the **Broader Approach** (BA), the EU activities are carried out in the frame of the Agreement, concluded between Euratom and Japan, consisting of activities which complement the ITER project and accelerate the realisation of fusion energy towards DEMO. Activities in 2022 will be based on the Project Plans to be agreed by the BA Steering Committee.

It is still early to assess the full **impact of the covid-19 pandemic** to ITER. F4E presented to the December 2020 Governing Board an estimation of the impact as known at the cut-off date of end September. It considered a schedule delay of up to 4 months, depending on the component.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	75 616 286 638	53 821 246 280
Implementation carry-overs	0	377 284 123
Implementation total	75 616 286 638	54 198 530 403
total envelop*	75 623 564 572	
cumulative implementation rate	100%	72%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

In 2015 the ITER Council approved an action plan prepared by the ITER Organization (IO) to address the challenges faced by the project related to schedule cost and governance. One of the main actions was the revision of the baseline (long-term schedule cost and scope) in 2016. The updated schedule follows the “staged approach” which first prioritises the construction of the components essential to achieving First Plasma (FP the beginning of operation) in 2025 followed by a series of installation and testing phases before starting the full performance phase (Deuterium-Tritium operation) in 2035.

ITER continues to move towards its assembly phase. To reach the First Plasma milestone all components from the ITER members need to be available and delivered on time to the ITER Organization (IO) and assembled and installed in the Tokamak Complex.

Although the machine will begin preliminary operations in 2025 ITER construction will nevertheless continue until 2035 when testing will end and experimental operation will begin. The European in-kind contribution to the ITER project has progressed over the course of 2020 from ca. 42.90% (December 2019) to almost 49 82% (December 2020) against a planned target of 58.66%.

The budget for the period 2014-2020 has been fully implemented. The 2020 budget has been fully implemented in commitment and payment according to the revised 2020 work programme adopted by the Governing Board in December 2020. The 2020 commitment budget includes EUR 28.13 million assigned revenues perceived from Switzerland in the frame of the fusion research programme. The 2021 budget includes EUR 349.7 million payment appropriation for the payment of commitments made during the previous MFF. It is foreseen to use them fully during the year.

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

The programme’s performance must be assessed combined – the performance of the European Domestic agency Fusion for Energy (F4E) which delivers the components for ITER and the performance of ITER Organization itself, which receives the cash contributions from the programme to organise and perform assembly and installation works together with the Domestic Agencies. The Programme started back in 2007 and had rather slow pick-up during the 2007-2013 MFF period. The deficiencies (immaturity of the design and the manufacturing challenges, management deficiencies and a lack of cooperation between the Domestic Agencies and the ITER Organization, schedule and cost estimate thus perceived to be unreliable) were identified in the beginning of the 2014-2020 MFF period. They have been addressed, which improved the overall effectiveness of the project. During the 2014-2020 programming period, the ITER project has seen significant progress. The manufacturing of the main components has been launched and is progressing well, the construction of the main buildings was completed and the assembly of the experimental device has commenced. In July 2020 the ITER Organization officially launched (the launch event under the patronage of President Macron took place on 28 July) the device’s assembly phase.

#### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.3. Previous programme performance

The ITER Organization and the Domestic Agencies have continued implementing the Revised Construction Strategy. Significant progress in installation activities on the ITER site is noticeable. Uncertainties of the project have been reduced as the manufacturing of the important and technically complex first-of-a-kind (FOAK) components (VV Sector, and TF and PF Coils) proved to be feasible. On the other hand, it became clear that due to the technical complexity of the components, the design, prototyping and final manufacturing takes longer than expected. The management and administration of this multi-national project also poses significant challenges.

In 2015, the ITER Parties launched a major overhaul of the project, which included the appointment of a new senior management in the ITER Organization (IO) with an Action Plan under the leadership of a new Director-General. The action plan envisaged a complete re-organisation of the ITER Organization, a close cooperation with the Domestic Agencies the freezing of the design to allow the construction of buildings and other components and the establishment of a Reserve Fund as incentive for the ITER Organization to minimize changes as much as possible. A new reliable baseline was approved in November 2016, achieved a stabilization of the project and provides a realistic basis for its completion.

Changes in the management and organization of Fusion for Energy (F4E), that acts as EU's Domestic Agency delivering the European contribution to IO, took place in parallel to those in IO and entailed the change of the Director (in early 2016) and the majority of the top management and its organization (in 2016 and 2017).

Against this background and due to the stringent supervision and proactive management by the Commission in line with the adopted supervision strategy as of the end of December 2020, work continues to advance with the project execution to achieve First Plasma milestone of 2025 at 72.7% albeit below the planned rate of 77.3%. To reach the First Plasma milestone, all components from the ITER members need to be available and delivered on time to the ITER Organization (IO), and assembled and installed in the Tokamak Complex.

### 3.2. Key achievements

29 500	614	EUR 4 824 billion
is the total number of jobs per year directly or indirectly created by ITER between 2007 and 2019.	is the total number of the procurement contracts signed by F4E between 2007 and 2020.	is the amount paid to European companies involved in ITER between 2007 and 2019

The impact of ITER's investment in technologies and discoveries for the future ripple throughout the economy by supporting cutting-edge technologies in critical industries, creating new business and jobs, and attracting more students to science while laying the foundation for the commercial electricity generation from fusion energy.

A recent study confirmed that the economic impact of ITER on the EU economy has been positive. Incremental gross value added generated due to ITER's activities equalled EUR 1.739 billion for the period 2008 to 2019. Cumulatively, the total number of jobs per year directly or indirectly created by ITER reached nearly 29 500, with a preliminary peak being reached in the years 2018 and 2019. The same study estimated the net impact of the ITER plant on the European economy at EUR 104 million for 2008 to 2019. This net impact represents the difference of the economic impact described above relative to a hypothetical investment that reflects an identical amount of spending per year on EU member countries' economies.

An online survey was carried out in autumn 2020 to understand the repercussions of the covid-19 crisis on the companies involved in the ITER project. One third of respondents declared that their company is more resilient to the consequences of the crisis thanks to its involvement in ITER.

### 3.3. Evaluations, studies and reports

The mid-term progress report in accordance with Article 5b of the Council Decision establishing the European Joint Undertaking for ITER and the Development of Fusion Energy and conferring advantages upon it has been adopted on 21 March 2019 (COM(2019)147 final (1)). The evaluation stated that following the overhaul in management, the project was on track within its 2016 baseline, and early indicators showed positive effects of the change. However, ITER's construction and management are still under improvement; in such a long-term project, it will be important to monitor whether these positive effects continue and grow over the next few years. At present (2021), the project's expected cost and schedule remain within the contingencies specified in 2019.

(1) <https://ec.europa.eu/transparency/regdoc/rep/1/2019/EN/COM-2019-147-F1-EN-MAIN-PART-1.PDF>

Regarding ITER's place in energy policy and decarbonisation, the project remains an important part of EU energy and innovation policy, and although it does not contribute directly to energy and climate targets in the short- to medium-term, its potential role in the decarbonisation of the energy landscape post-2050 is very significant.

An ex-ante evaluation of ITER (SWD(2018)325) accompanied the MFF proposal 2021-2027. Three external studies were conducted in 2018 and 2019. The key findings of these studies were presented in the Programme Statements 2020.

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :to fully support the continuation of ITER construction and to reach the operation of ITER with First Plasma by 2025, to be followed by first experimental operations as well as further installations and upgrades until 2027 and beyond, laying grounds for successful full power operation (so called Deuterium-Tritium stage) by 2035**

##### **Indicator 1:Percentage of completion of ITER construction**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Cumulative percentage of credits completed by all Domestic Agencies.
Cut-Off Date	
Data source	Data reported by the ITER Organization in the ITER Document Management (IDM) system.
Link to the objective	ITER is a first-of-a-kind project being built with the contribution of the seven ITER Parties. The construction of the ITER facilities is carried out according to the recent 2016 baseline defining budget, scope, and schedule. This indicator demonstrates how the project execution is in line with the project baseline at the level of all ITER Members.
Link MFF 14-20 / MFF 21-27	This indicator is not a continuation of an indicator from the period 2014-2020.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

##### **Indicator 2:Percentage of Euratom's in kind obligations discharged by F4E**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Cumulative percentage of credits completed by the Joint Undertaking Fusion for Energy (F4E).
Cut-Off Date	
Data source	Data reported by the ITER Organization in the ITER Document Management (IDM) system.
Link to the objective	ITER is a first-of-a-kind project being built with the contribution of the seven ITER Parties. The construction of the ITER facilities is carried out according to the recent 2016 baseline defining budget, scope, and schedule. This indicator demonstrates how the project execution is in line with the project baseline at the level of all ITER Members.
Link MFF 14-20 / MFF 21-27	This indicator is not a continuation of an indicator from the period 2014-2020.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### **5. Programme 2014-2020 - Key monitoring indicators**

##### ***Previous Program 1 : International Thermonuclear Experimental Reactor (ITER)***

## General Objective 1 :development of fusion as a potentially limitless, safe, sustainable, environmentally responsible and economically competitive source of energy

### Indicator 1:Reduction of greenhouse gas emissions at EU level compared to 1990

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	20%	20%	20%	20%	21%	21%				18%
	Actual Progress									Final
	23%	22%	22%	21.7%	23%	26%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	<a href="https://www.eea.europa.eu/publications/trends-and-projections-in-europe-2020">https://www.eea.europa.eu/publications/trends-and-projections-in-europe-2020</a> . The latest update in November 2020 added the data for 2019.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The value for 2019 is 26% (EU-28) and 24% in the EU-27.
Full metadata available at this address	
Justification of the trend	

## Specific Objective 1 :To provide the Euratom contribution to ITER and to the ITER related activities

### Indicator 1:Percentage of Euratom's obligations discharged by the ITER Organization (IO) through the Joint Undertaking F4E

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0,06	0,13	0,19	0,27	0,36	0,46	0,57	0,63			0,63
	Actual Progress									Final
	0,13	0,17	0,24	0,31	0,35	0,41	0,45			

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	Percentage of achieved credits compared to the planned credits according to the ITER 2016 Baseline
Cut-Off Date	31/12/2020
Data source	Eurostat <a href="https://ec.europa.eu/eurostat/statistics-explained/index.php/Greenhouse_gas_emission_statistics#Trends_in_greenhouse_gas_emissions">https://ec.europa.eu/eurostat/statistics-explained/index.php/Greenhouse_gas_emission_statistics#Trends_in_greenhouse_gas_emissions</a> The study is updated every June; the latest update in June 2018 added the data for 2016.
Narrative	** The gradual slippage of this indicator's value is related to the complexity of the first of a kind nature of the components to be delivered by the F4E to the ITER project and its engineering. Moreover, the European procurement rules and requirements for the contract management ensure the sound use of the taxpayers' money, but, on the other hand, are very stringent and have not been taken into account when setting up the overall project planning and schedule.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :Support to European industry and research through the ITER construction and ITER related activities

### Indicator 1:Percentage of budget committed by F4E in procurements and grants to industry and laboratories until 2020

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	0,22	0,33	0,47	0,64	0,79	0,81	1			1
	Actual Progress									Final
	0,20	0,29	0,34	0,47	0,64	0,78	1			

Are we on track	On track
Indicator type	
Unit of measurement	Percentage of budget committed by F4E in procurements and grants to industry and laboratories until 2020.
Cut-Off Date	
Data source	Budgetary execution of the Joint Undertaking Fusion for Energy (F4E).
Narrative	The whole budget of the MFF 2014-2020 has been committed for the project even if the project is experiencing delays in deliveries. The project fully benefits to the industry and laboratories.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The milestones foreseen in this table are based on the 2010 baseline, which was revised in 2016. This revision is explained in the Commission's Communication COM(2017)319) and Staff Working Document (SWD(2017)232) of June 2017. The target is currently the achievement of First Plasma in 2025. Compared to last year information, the "Actual result" figures for years 2014, 2015 and 2016 have been updated to neutralise an error in the original calculation. The difference between the budget foreseen and the actual results is due to the revision of the ITER baseline (scope, schedule and estimated costs) in 2016.
Full metadata available at this address	
Justification of the trend	

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
864,0	710,1	1 019,8	806,3	690,1	856,3	667,3	5 613,9

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

At the time of the preparation of the MFF 2014-2020, the ITER project was facing significant delays in implementation and was lagging far behind the initial project schedule. The general reputation and status of the project did not encourage the Commission at that time to propose including the ITER budget as a potential contributor to the climate target. However, and as reported in the mid-term progress report setting out the results of the European contribution to ITER in the period 2014-2020 (COM(2019)147, 31.3.2019), the progress of the project is evident on the ITER site; in 2025, the operations are planned to be launched, which means that the fusion device will be able to generate successfully plasma (a gas of electrically-charged particles) inside its core and the experimental phase will begin.

Due to its important advantages, such as the availability of large fuel reserves and the lack of CO<sub>2</sub> emissions, fusion could greatly contribute to the long-term EU strategy of decarbonisation of the energy system in a safe, efficient and secure way. While fusion may become available for commercial power generation only in the second half of the century, its availability can help to sustain a decarbonised energy mix after 2050 on economically competitive terms and without security of supply concerns. Fusion can be a clean and virtually limitless energy source. The general potential of fusion is nowadays more widely recognised thanks to the strong advancement of fusion science in recent years.

Furthermore, the Paris Agreement binds the Union to pursue clear decarbonisation objectives both until 2050 and beyond and such an objective will require very strong commitments and substantial investments. ITER is one of these such long-term solutions. The ITER project, which is part of the Strategic Energy Technology (SET) Plan, aims at building and operating an experimental fusion device, a major step towards the demonstration of fusion as a sustainable energy source. The Commission considers that 100% of the ITER related expenditure contributes to the climate effort of the EU budget.

#### **6.1.3. Key achievements**

Not applicable. In the period 2014-2020, the ITER expenditure was not earmarked for climate objectives

#### **6.1.4. Performance**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### 6.3. Contribution to clean air financing

Not applicable

### 6.4. Contribution to gender equality

Not applicable

### 6.5. Contribution to the sustainable development goals

#### 6.5.1. Goals

##### *SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all*

The United Nations' Sustainable Development Goals are targets to be achieved by 2030. ITER and fusion development in general are on a longer timescale than this framework, but already contribute to several of these Goals at a later stage. For example, they will contribute to a clean energy transition while boosting jobs and growth in the area of energy and climate under **Sustainable Development Goal 7 ('Ensure access to affordable, reliable, sustainable and modern energy for all')** and Sustainable Development Goal 13 ('Take urgent action to combat climate change and its impacts').

ITER also falls under the category of Research and Innovation, both of which underpin the implementation of virtually all Sustainable Development Goals and in particular Sustainable Development Goal 9 ('Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation')

Finally, ITER is also an example of a global partnership for Sustainable Development Goal 17 ('Strengthen Means of Implementation and revitalise the global partnership for sustainable development').

##### *SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation*

The United Nations' Sustainable Development Goals are targets to be achieved by 2030. ITER and fusion development in general are on a longer timescale than this framework, but already contribute to several of these Goals at a later stage. For example, they will contribute to a clean energy transition while boosting jobs and growth in the area of energy and climate under Sustainable Development Goal 7 ('Ensure access to affordable, reliable, sustainable and modern energy for all') and Sustainable Development Goal 13 ('Take urgent action to combat climate change and its impacts').

ITER also falls under the category of Research and Innovation, both of which underpin the implementation of virtually all Sustainable Development Goals and in particular **Sustainable Development Goal 9 ('Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation')**.

Finally, ITER is also an example of a global partnership for Sustainable Development Goal 17 ('Strengthen Means of Implementation and revitalise the global partnership for sustainable development').

##### *SDG 13 Take urgent action to combat climate change and its impacts*

The United Nations' Sustainable Development Goals are targets to be achieved by 2030. ITER and fusion development in general are on a longer timescale than this framework, but already contribute to several of these Goals at a later stage. For example, they will contribute to a clean energy transition while boosting jobs and growth in the area of energy and climate under Sustainable Development Goal 7 ('Ensure access to affordable, reliable, sustainable and modern energy for all') and **Sustainable Development Goal 13 ('Take urgent action to combat climate change and its impacts')**.

ITER also falls under the category of Research and Innovation, both of which underpin the implementation of virtually all Sustainable Development Goals and in particular Sustainable Development Goal 9 ('Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation')

Finally, ITER is also an example of a global partnership for Sustainable Development Goal 17 ('Strengthen Means of Implementation and revitalise the global partnership for sustainable development').

##### *SDG 17 Strengthen the means of implementation and revitalize the global partnership*

The United Nations' Sustainable Development Goals are targets to be achieved by 2030. ITER and fusion development in general are on a longer timescale than this framework, but already contribute to several of these Goals at a later stage. For example, they will contribute to a clean energy transition while boosting jobs and growth in the area of energy and climate under Sustainable Development Goal 7 ('Ensure access to affordable, reliable, sustainable and modern energy for all') and Sustainable Development Goal 13 ('Take urgent action to combat climate change and its impacts').

ITER also falls under the category of Research and Innovation, both of which underpin the implementation of virtually all Sustainable Development Goals and in particular Sustainable Development Goal 9 ('Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation')

Finally, ITER is also an example of a global partnership for Sustainable Development Goal 17 ('Strengthen Means of Implementation and revitalise the global partnership for sustainable development').

**HEADING 1: Single Market, Innovation and Digital****InvestEU Programme****Lead DG: ECFIN**

1. Overview .....	128
1.1. Challenges .....	128
1.2. Mission (general objectives) .....	128
1.3. Specific objectives .....	129
1.4. Public intervention context .....	129
1.5. Actions .....	129
1.6. Delivery mode .....	129
1.7. Graphic overview of the programme structure .....	130
1.8. Legal basis and financial programming .....	130
1.9. Link with the 2014-2020 MFF .....	132
1.10. Relevant websites providing more information .....	132
2. Where are we in the implementation ? .....	132
2.1. Programme 2021-2027 .....	132
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	132
3. How is the programme performing ? .....	133
3.1. Performance .....	133
3.2. Key achievements .....	136
3.3. Evaluations, studies and reports .....	136
4. Programme 2021-2027 - Key monitoring indicators .....	138
Specific Objective 1 :Support financing and investment operations that contribute to the general objectives of the InvestEU Programme .....	138
Specific Objective 2 :Support financing and investment operations in sustainable infrastructure .....	142
Specific Objective 3 :Support financing and investment operations in research, innovation and digitisation, including support for the upscaling of innovative companies and the rolling out of technologies to market. ....	146
Specific Objective 4 :Increase the access to and the availability of finance for SMEs and for small mid-cap companies, and to enhance the global competitiveness of such SMEs .....	147
Specific Objective 5 :Increase the access to and the availability of microfinance and finance to social enterprises, support financing and investment operations related to social investment, competences and skills and develop and consolidate social investment markets .....	148
Specific Objective 6 :Under the InvestEU Advisory Hub, to provide advisory support for investment project identification, preparation and development to public and private counterparts. ....	149
Specific Objective 7 :To create a publicly available InvestEU web portal where EU based projects promoters will be given the opportunity to boost the visibility of their projects to potential international investors .....	150
5. Programme 2014-2020 - Key monitoring indicators .....	150
Previous Program 1 : European Fund for Strategic Investments (EFSI) .....	150
Specific Objective 1 :Increasing the number and volume of European Investment Bank (EIB) financing and investment operations in priority areas .....	150
Specific Objective 2 :Increasing the volume of European Investment Fund (EIF) financing for small and medium enterprises .....	152
Specific Objective 4 :To provide advisory support for investment project identification, preparation and development to public and private counterparts, not necessarily linked to EFSI operations through the European Investment Advisory Hub (EIAH ) .....	152
Specific Objective 5 :To create a publicly available, secure web portal where EU based project promoters will be given the opportunity to boost the visibility of their projects to potential international investors through the European Investment Project Portal (EIPP) .....	153

6. The programme contribution to horizontal policies .....	154
6.1. Contribution to climate mainstreaming .....	154
6.2. Contribution to biodiversity mainstreaming.....	154
6.3. Contribution to clean air financing.....	154
6.4. Contribution to gender equality .....	155
6.5. Contribution to the sustainable development goals.....	155

## **1. Overview**

### **1.1. Challenges**

The Covid-19 pandemic is a major shock to the global and Union economy. Due to the necessary containment measures, economic activity in the EU dropped significantly. Industries of strategic importance for the EU countries lost strength due to vulnerabilities such as the over-reliance on non-diversified external supply sources and other factors. In the view of enhancing the resilience of the EU economy and supporting its strategic value chains, these weaknesses need to be addressed at EU level.

Furthermore, the current investment levels and forecasts do not cover the Union's needs for structural investment to restart and sustain long-term growth in the face of technological change and global competitiveness, including needs for innovation, digital skills, infrastructure, small and medium-sized enterprises (SMEs) and the need to address key societal challenges such as sustainability or population ageing.

An intervention at EU level ensures that a critical mass of resources can be leveraged in order to maximise the impact of investment on the ground. The proposal does not replace Member State investment but, on the contrary, it is complementary to such investments, by focusing in particular on support for projects that provide EU added value. In addition, the EU level provides for economies of scale in the use of innovative financial products by catalysing private investment in the whole EU and making best use of the European institutions and their expertise for that purpose. The EU intervention also provides access to a diversified portfolio of European projects, thereby catalysing private investment, and allows for the development of innovative financing solutions, which can be scaled up or replicated, as appropriate, in all Member States.

Intervention at EU level is the only tool capable of effectively addressing investment needs linked to EU-wide policy objectives. In addition, structural reforms and an improved regulatory environment will continue to be necessary to address the remaining investment gaps in the period 2021-2027.

InvestEU will contribute to improving the competitiveness and socio-economic convergence and cohesion of the Union, including in the fields of innovation and digitisation, to the efficient use of resources in accordance with the circular economy, to the sustainability and inclusiveness of the Union's economic growth and to the social resilience and integration of the Union capital markets.

The InvestEU Fund shall provide an EU budget guarantee that will back the financing provided by implementing partners to financial intermediaries and final recipients. The InvestEU Advisory Hub shall provide support for the development of investable projects and access to financing and the InvestEU Portal shall grant visibility to EU projects seeking financing and provide investment opportunities to investors.

### **1.2. Mission (general objectives)**

In order to achieve the Union's policy objectives and to support a swift, inclusive and healthy economic recovery, support is necessary to address market failures and sub-optimal investment situations and to reduce the investment gap in targeted sectors.

The general objective of the InvestEU Programme (Article 3(1)) is to support the policy objectives of the Union by means of financing and investment operations that contribute to:

- (a) the competitiveness of the Union, including research, innovation and digitisation;
- (b) growth and employment in the Union economy, its sustainability and its environmental and climate dimension contributing to the achievement of the SDGs and the objectives of the Paris climate agreement and to the creation of high-quality jobs;
- (c) the social resilience, inclusiveness and innovativeness of the Union;
- (d) the promotion of scientific and technological advance, of culture, education and training;

- (e) the integration of the Union capital markets and the strengthening of the Single Market, including solutions addressing the fragmentation of the Union capital markets, diversifying sources of financing for Union enterprises and promoting sustainable finance;
- (f) the promotion of economic, social and territorial cohesion; or
- (g) the sustainable and inclusive recovery of the Union economy after the crisis caused by the Covid-19 pandemic, including by providing capital support for SMEs that were negatively affected by the Covid-19 crisis and were not already in difficulty in state aid terms at the end of 2019, upholding and strengthening existing its strategic value chains of tangible or intangible assets, developing new ones, and maintaining and reinforcing activities of strategic importance to the Union, including Important Projects of Common European Interest, in relation to critical infrastructure, whether physical or virtual, transformative technologies, game-changing innovations and inputs to businesses and consumers and supporting a sustainable transition.

### 1.3. Specific objectives

The InvestEU Programme has the following specific objectives:

- (a) supporting financing and investment operations related to sustainable infrastructure;
- (b) supporting financing and investment operations related to research, innovation and digitisation, including support for the scaling up of innovative companies and the rolling out of technologies to market;
- (c) increasing the access to and the availability of finance for SMEs and for small midcap companies and to enhance the global competitiveness of such SMEs;
- (d) increasing access to and the availability of microfinance and finance for social enterprises, to support financing and investment operations related to social investment, competences and skills, and to develop and consolidate social investment markets.

### 1.4. Public intervention context

The InvestEU programme aims at contributing to the necessary conditions for the competitiveness of the Union's economy and industry (in accordance with article 173 of the Treaty on the Functioning of the European Union). This is done by providing financial products designed to address Union-wide and Member State specific market failures and suboptimal investment situations and systems to spread such products, which cannot be sufficiently achieved by the Member States, but can rather be better achieved at Union level.

Furthermore, the need for public intervention addressing market failures and sub-optimal investment situations has been amplified with the significant social and economic impact of the current Covid-19 pandemic across Member States and regions. Due to the necessary containment measures, economic activity in the EU dropped significantly. The contraction in EU GDP in 2020 is expected to be around 7.4%, far deeper than during the financial crisis in 2009.

But, even before the pandemic, while a recovery in investment-to-GDP ratios in the Union could be observed, the investment levels remained below what could be expected in a strong recovery and was insufficient to compensate for years of underinvestment following the 2009 crisis. More importantly, the current investment levels and forecasts do not cover the Union's needs for structural investment to restart and sustain long-term growth in the face of technological change and global competitiveness, including for innovation, skills, infrastructure, small and medium-sized enterprises (SMEs) and the need to address key societal challenges such as sustainability or population ageing. Consequently, in order to achieve the Union's policy objectives and to support a swift, sustainable, inclusive, lasting, and healthy economic recovery, support is necessary to address market failures and sub-optimal investment situations and to reduce the investment gap in targeted sectors.

### 1.5. Actions

The InvestEU Fund shall provide for an EU guarantee to support financing and investment operations carried out by the implementing partners that contribute to objectives of the Union's internal policies. The InvestEU Advisory Hub shall provide advisory support for the development of investable projects and access to financing and related capacity building assistance. The InvestEU Portal shall boost project's visibility to a large network of international investors.

### 1.6. Delivery mode

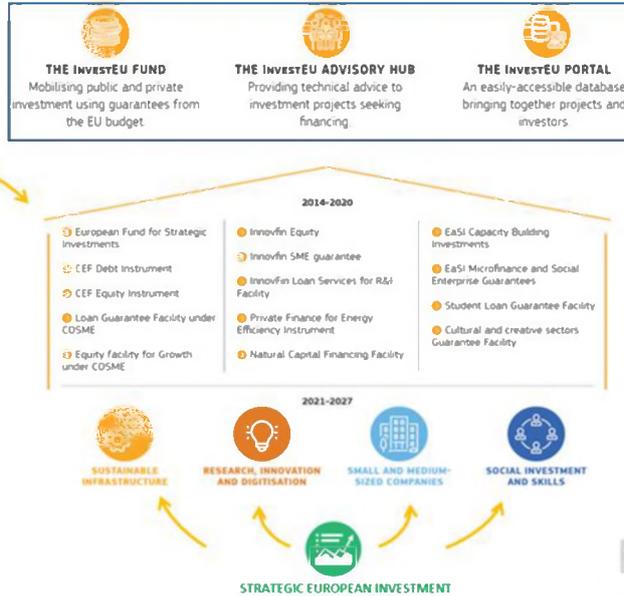
Indirect management through the EIB Group and other implementing and advisory partners. At Commission level, cross-DG cooperation under ECFIN lead.

1.7. Graphic overview of the programme structure

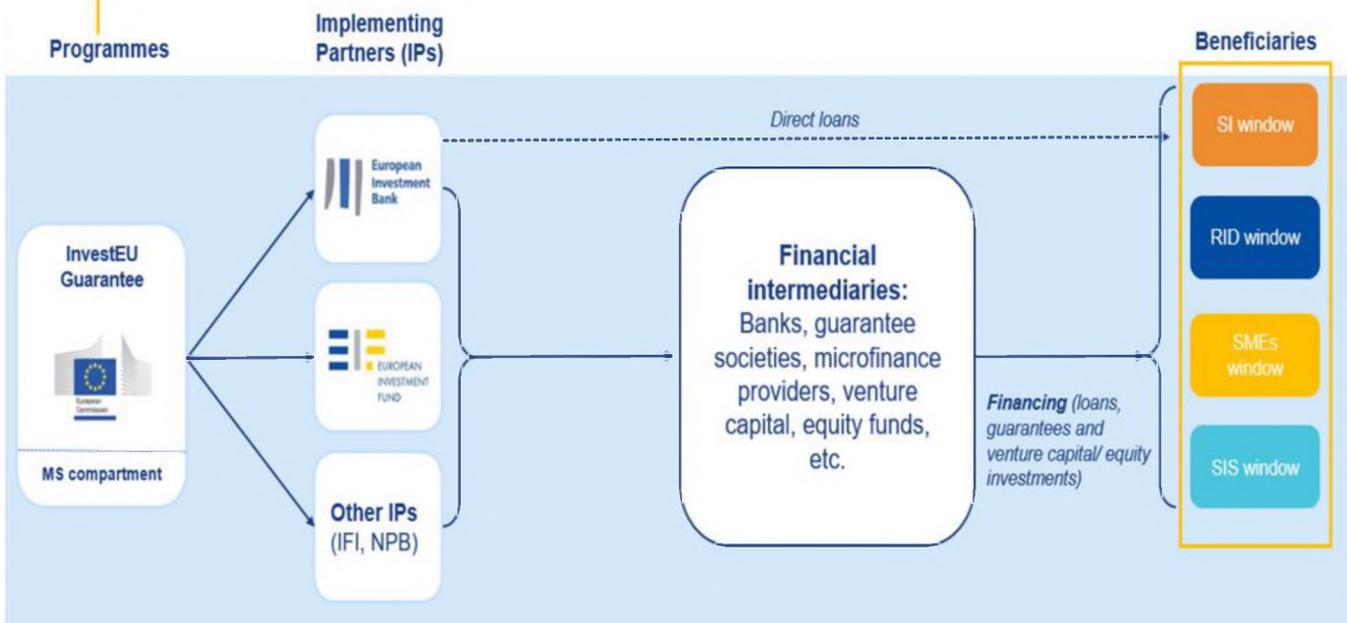
# InvestEU Programme: an overview

**InvestEU Fund:**

- Single fund bringing together the many different EU-level financial instruments
- **EUR 26 bn** EU budgetary guarantee
- Mobilise **EUR 370 billion** in additional investment across Europe, of which 30% to contribute to climate objectives
- Strategic Investments and capital support incorporated across policy windows



# General scheme



1.8. Legal basis and financial programming

1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 439: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the InvestEU Programme	2021 - 2027	3 067,7

### 1.8.2. Legal basis explanation

The legal basis: Regulation (EU) 2021/523 of the European Parliament and of the Council of 24 March 2021 establishing the InvestEU Programme and amending Regulation (EU) 2015/1017.

The InvestEU Programme consists of:

- (a) the InvestEU Fund (the successor of the EFSI and other 13 centrally-managed financial instruments),
- (b) the InvestEU Advisory Hub (the successor of the European Investment Advisory Hub (EIAH) and other 12 centrally managed advisory programmes/initiatives) and
- (c) the InvestEU Portal (the successor of the European Investment Project Portal (EIPP)).

The InvestEU Programme will therefore bring together under one roof the multitude of EU financial instruments and advisory services currently available to support investment in the EU. It will make EU funding for investment projects in Europe simpler, more efficient and more flexible.

The InvestEU Fund shall focus on addressing the large investment gaps in key areas of the future through an EU budget guarantee of EUR 26 billion. It will thus further boost job creation and support investment and innovation in the EU. It is expected to mobilise around EUR 370 billion of private and public investment across the EU by end-2027. At least 30% of the InvestEU Fund is expected to contribute to fighting climate change.

A percentage of 75 % of the EU guarantee under the EU compartment, amounting to EUR 19,6 billion, will be granted to the EIB Group. The remaining 25 % of the EU guarantee under the EU compartment shall be granted to other implementing partners.

The InvestEU Fund shall operate through the following four policy windows that shall address market failures or sub-optimal investment situations within their specific scope:

- (a) a sustainable infrastructure policy window which comprises sustainable investment in the areas of transport, including multimodal transport, road safety, including in accordance with the Union objective of eliminating fatal road accidents and serious injuries by 2050, the renewal and maintenance of rail and road infrastructure, energy, in particular renewable energy, energy efficiency in accordance with the 2030 energy framework, buildings renovation projects focused on energy savings and the integration of buildings into a connected energy, storage, digital and transport systems, improving interconnection levels, digital connectivity and access, including in rural areas, supply and processing of raw materials, space, oceans, water, including inland waterways, waste management in accordance with the waste hierarchy and the circular economy, nature and other environment infrastructure, cultural heritage, tourism, equipment, mobile assets and the deployment of innovative technologies that contribute to the environmental or climate resilience or social sustainability objectives of the Union and that meet the environmental or social sustainability standards of the Union;
- (b) a research, innovation and digitisation policy window which comprises research, product development and innovation activities, the transfer of technologies and research results to the market to support market enablers and cooperation between enterprises, the demonstration and deployment of innovative solutions and support for the scaling up of innovative companies, as well as digitisation of Union industry;
- (c) an SME policy window which comprises access to and the availability of finance primarily for SMEs, including for innovative SMEs and SMEs operating in the cultural and creative sectors, as well as for small mid-cap companies;
- (d) a social investment and skills policy window, which comprises microfinance, social enterprise finance, social economy and measures to promote gender equality, skills, education, training and related services, social infrastructure, including health and educational infrastructure and social and student housing, social innovation, health and long-term care, inclusion and accessibility, cultural and creative activities with a social goal, and the integration of vulnerable people, including third country nationals;

A just transition scheme shall be established horizontally across all policy windows. This scheme shall comprise investments which address social, economic and environmental challenges deriving from the transition process towards the achievement of the Union's 2030 climate target and its target of achieving climate neutrality by 2050, as well as benefit territories identified in a just transition plan prepared by a Member State in accordance with the Commission Proposal for a Regulation establishing the Just Transition Fund<sup>1</sup>.

<sup>1</sup> COM (2020) 22 final of 14.01.2020.

All policy windows may include strategic investments including Important Projects of Common European Interest to support final recipients whose activities are of strategic importance to the Union, in particular in view of the green and digital transitions, of enhanced resilience and of strengthening strategic value chains.

Each policy window should be composed of two compartments, that is to say an EU compartment and a Member State compartment. The EU compartment should address Union-wide or Member State specific market failures or sub-optimal investment situations in a proportionate manner.

The Member State compartment should give Member States as well as regional authorities via their Member State the possibility of contributing, on a voluntary basis, a share of their resources from the funds under shared management to the provisioning for the EU guarantee and of using the EU guarantee for financing or investment operations in order to address specific market failures or sub-optimal investment situations in their own territories.

The Member State compartment should also give Member States the possibility of contributing other additional amounts, including those supported by Regulation 2021/241 of 12 February 2021 establishing the Recovery and Resilience Facility (the RRF Regulation), to the provisioning for the EU guarantee and of using the EU guarantee. The provisioning for an EU guarantee relating to a Member State compartment underpinned by other additional amounts contributed by Member States, including those supported by the RRF Regulation, should constitute external assigned revenue.

The InvestEU Advisory Hub will provide project development advisory support and capacity building throughout the investment cycle to foster the origination and development of investment projects and access to financing. The assistance will be provided in the InvestEU Programme's policy areas and will also ensure a central point of access for project promoters and authorities.

The InvestEU Portal will continue the current EIPP, a database providing visibility to investment projects for which EU-based project promoters seek financing and providing investors with information about investment opportunities available in Europe, but with a better linkage between the projects and a possible financing by the InvestEU Fund implementing partners.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total (including NGEU)</b>	<b>2 436,6</b>	<b>3 014,6</b>	<b>2 661,2</b>	<b>194,5</b>	<b>198,4</b>	<b>202,4</b>	<b>206,4</b>	<b>8 914,2</b>

### 1.8.4. Financial programming explanation

The total InvestEU appropriations amount to EUR 11.274,4 million, which includes:

- EUR 10.460,9 million of EU Guarantee provisioning (the EU Guarantee, which is provisioned at the rate of 40%, amounts to EUR 26.152,3 million),
- EUR 8,5 million for support expenditure,
- EUR 430 million for the Advisory Hub and the Portal,
- EUR 375 million for the participation to the capital increase of the European Investment Fund (EIF).

### 1.9. Link with the 2014-2020 MFF

The InvestEU Programme is the successor of the 2014-2020 Investment Plan for Europe. It consolidates the EFSI budgetary guarantee and other 13 EU financial instruments under the 2014-2020 MFF as well as the EIAH and 12 advisory programmes in various policy areas such as sustainable infrastructure, research, innovation and digitalisation, SMEs and social investment and skills. InvestEU brings simplification, flexibility and fewer potential overlaps between EU support instruments.

### 1.10. Relevant websites providing more information

There is a dedicated InvestEU website, which provides information about InvestEU ([www.europa.eu/investeu](http://www.europa.eu/investeu)).

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The Programme implementation will start in 2021 after entry into force of the InvestEU Regulation.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

Implementation Voted budget	8 548 413 795	7 600 862 863
Implementation carry-overs		
Implementation total	8 548 413 795	7 600 862 863
total envelop*	8 548 500 367	
cumulative implementation rate	100%	89%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The legal basis: Regulation (EU) 2015/1017 of the European Parliament and of the Council of 25 June 2015 on the European Fund for Strategic Investments (EFSI), the European Investment Advisory Hub (EIAH) and the European Investment Project Portal (EIPP) – The European Fund for Strategic Investments (EU L 169, 1.7.2015, p. 1) was adopted on 25 June 2015. The Commission and the EIB signed the EFSI and the EIAH Agreements with the EIB on 22 July 2015. Moreover, the Commission Implementing Decision for the EIPP was adopted on the same date.

On 30 December 2017, the Regulation to extend and enhance the European Fund for Strategic Investments (EFSI 2.0) entered into force - Regulation (EU) 2017/2396 of the European Parliament and of the Council of 13 December 2017 amending Regulations (EU) No 1316/2013 and (EU) 2015/1017. It extends the duration of the European Fund for Strategic Investments and introduces technical enhancements for the EFSI and the EIAH.

The EFSI 2.0 Regulation reinforced the definition of "additionality" by specifying the cases where EFSI operations can be considered additional to the private sources and to existing support from other public sources, as referred to in Article 209(2) of the Financial Regulation.

At present, the scoreboard of indicators and the rationale of the Investment Committee's decisions for granting the use of the EU guarantee are made publicly available. The EFSI 2.0 also introduced that at least 40% of projects under the Infrastructure and Innovation Window shall contribute to climate action, in line with the commitments made at the COP21. Moreover, in The EFSI 2.0, the work of the EIAH was enhanced by providing more tailor-made assistance on the ground and working in close cooperation with national promotional banks and institutions. The EFSI support is provided through an EU guarantee of EUR 26 billion. A guarantee fund constitutes a liquidity cushion from which the EIB is to be paid in the event of a call on the EU guarantee. Thus, the liquidity cushion is intended to provide an appropriate safety margin avoiding exposing the Union budget to sudden guarantee calls, which could entail spending cuts or budget amendments. The EFSI Guarantee Fund is financed mainly from payments from the Union general budget and revenues originating from operations under the EU Guarantee. Total EU budget allocated for the Guarantee Fund provisioning amounts to EUR 8 425 million. It is complemented by EUR 675 million as assigned revenues from EFSI, CEF Debt instrument and Marguerite Fund, to reach EUR 9 100 million (until the end of 2022) total provisioning of the EFSI Guarantee Fund.

In 2020, EFSI continued making progress towards the objectives set by the EFSI 2.0 Regulation, in particular on the new climate target of 40% under the Infrastructure and Innovation Window, on the investment mobilised as well as the impact on jobs and growth. By end 2020, EFSI triggered EUR 545.3 billion in cumulative investment across all Member States, thus exceeding the €500 billion end-2020 target while alleviating the impact of COVID-19 on Europe's economy.

EFSI came to the end of its investment period for approvals of operations on 31 December 2020. After 2020, the focus will be on signing approved operations before the deadline for signatures of 31 December 2022. Given the long-term nature of support under the EFSI, operational monitoring will continue until repayment of all underlying financing and investment operations (until 2080). Besides, in 2021 the focus will be also on a smooth transition towards the InvestEU Fund, the proposed new investment support instrument for the next MFF.

In terms of guarantee calls, a total of EUR 217 million was called from the EU guarantee as at the end of 2020. However, due to the current economic situation caused by the COVID-19 pandemic, an increase in the number and volume of future guarantee calls can be expected.

For the EIAH implementation, annual specific grants agreements (SGAs) are concluded between the EU and the EIB for the latter to provide technical assistance to final beneficiaries aiming at developing a pipeline of investment projects. The 2020 SGA was signed in December 2020 and has an N+2 implementation period.

As to the EU's online matchmaking platform, in 2020 the EIPP continued to provide more visibility to EU-based projects enabling investors to easily find investment opportunities in Europe.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.2. Active programme performance

The implementation of the InvestEU Programme will be monitored through more than 30 key performance and monitoring indicators referring to the InvestEU Fund, the Advisory Hub and the Portal and Pillars as well as to the four policy windows of the Programme (see section 4 for further details).

### 3.1.3. Previous programme performance

#### EFSI

The European Fund for Strategic Investments (EFSI) is achieving its objectives, as set in the Regulation. It has supported investments by providing risk-bearing capacity to the EIB and has increased access to financing for SMEs and small-midcaps. The EFSI exceeded the target of unlocking additional investment of at least EUR 500 billion while alleviating the impact of COVID-19 on Europe's economy.

The EFSI has significantly increased the volume of European Investment Bank (EIB) Group financing and investment operations in priority areas. As of end-2020, the EFSI enabled the EIB Group to approve EUR 103 billion of riskier financing and investment operations, of which EUR 83 billion already signed. As of 31 December 2020, 1 549 EFSI projects have been approved by the EIB Group for a total investment value of EUR 545.3 billion: EUR 312.0 billion for Infrastructure and Innovation Window (IIW) investments (733 approved projects) and EUR 233.3 billion (816 approved projects) under the SME Window (SMEW).

The EFSI has also enabled the EIB Group to support unserved markets and clients, for example for the IIW more than three quarters of the clients are new EIB counterparts.

The EFSI is also implemented in strong cooperation with national promotional banks and institutions (NPBIs). As of 31 December 2020, cumulative EFSI investment mobilised in cooperation with NPBIs amounted to EUR 156.3 billion or 28.6 % of the EFSI total. Moreover, 63 investment platforms were approved under the EFSI to help support smaller projects in 22 Member States with sectoral focus on environment, SMEs and social infrastructure projects.

All EU Member States have received financing supported by the EFSI. At the end of 2020, the top beneficiary countries, in terms of the EFSI investments mobilised relative to GDP, were Estonia, Greece, Bulgaria, Portugal and Spain.

While the EFSI is a demand driven instrument, further efforts were ongoing with an aim to improve the geographical balance among the MS by end-2020 (see section on 'Evaluations/studies conducted'). The EFSI Strategic orientation provided that the share of investment under IIW in any three Member States together (measured by signed loans/investment amounts) should not exceed the indicative limit of 45 % of the total EFSI portfolio. As of 31 December 2020, the share of top three Member States (France, Spain and Italy) accounts for 48.5 % of signed EFSI financing and for 45.4 % of investment mobilised by signatures under the IIW. Both metrics are slightly above the indicative limit of 45 % set out in the Strategic Orientation. However, it is expected that at end of the signature period, on 31 December 2022, the actual concentration limit will be close to 45%.

Although the EFSI is neither geographically nor sector-specifically earmarked, but demand driven, it has backed projects across all eligible sectors under the programme.

Support to different sectors under EFSI is considered balanced. The three largest sectors in terms of investment mobilised are access to finance for SMEs and Mid-Caps (33 %), RDI (25 %) and Energy (16 %). As far as IIW is concerned, all the sectors are within the 30 % limit with largest share of the Energy sector (28 %).

On climate objectives, EFSI has slightly surpassed the 40 % objective for climate action under Infrastructure and Innovation Window. In fact, as of end-2020 43 % of signed operations under the Infrastructure and Innovation Window (IIW) in 2020 contributed to climate action. This was achieved through more focused support of climate related projects like renewable energy and energy efficiency.

On job creation and growth, the EIB estimated that as at 31 December 2020, the EFSI IIW operations contributed to creation of more than 1.2 million jobs. As regards intermediated operations under IIW and SMEW, the EFSI helped sustain and support about 11.6 million jobs. EIB also estimated that, by 2019, EFSI investments had increased EU GDP by 0.9 %.

#### Addressing the COVID-19 pandemic

Following the outbreak of the COVID-19 pandemic the EFSI, the available EFSI resources were redirected to existing guarantee instruments. Based on the resources unlocked from EFSI, the EIF provided guarantees worth EUR 2.2 billion to financial intermediaries, making available EUR 8 billion in available financing for businesses, including micro and social enterprises as well as SMEs in the cultural and creative sectors.

Furthermore, in order to provide support to final beneficiaries within the fastest timeframes, the EFSI Steering Board also decided in April 2020 to simplify the approval process for specific underlying operations within Covid-19 Envelopes of financing under the IIW.

Finally, EFSI supported the German BioNTech SE with EUR 100 million in debt financing for the development and manufacturing of COVID-19 vaccine. This allowed the company to expand its manufacturing capacity in order to supply the vaccine worldwide as fast as possible in response to the pandemic.

### Lessons learned

Based on the implementation of EFSI, EIAH and EIPP, some key lessons have been taken for InvestEU:

- first of all, the InvestEU Fund and InvestEU Advisory Hub will not be implemented only by EIB and EIF, but will be open to many other entities, such as international financial institutions and national promotional banks.
- secondly, InvestEU brings-in more simplification by pulling together the EFSI budgetary guarantee, 13 financial instruments and 12 advisory initiatives.
- InvestEU will be more targeted to specific policy objectives, through its 4 policy windows. It will remain a market/demand driven instrument but with a stronger policy focus.
- there will be a clearer definition of additionality, as set out in Annex V of the InvestEU Regulation, and of mobilised investment.
- finally, InvestEU includes a very comprehensive list of performance and monitoring indicators, as set out in Annex III of the InvestEU Regulation.

### European Investment Advisory Hub (EIAH)

Since its launch in September 2015 and until end-2022, the EIAH offers project promoters a single point of entry for technical assistance, guidance and advice covering the entire project lifecycle.

The EIAH is now a well-established and recognised advisory support tool for project promoters and an influential networking partner for the NPBI (national promotional banks and institutions). Thus, after a ramp-up phase that took longer than originally expected, the EIAH became a performing programme that continued to perform well in 2020, since, as of the end of 2020, 611 requests were allocated for EIAH support, and 71 of the EIAH assignments entered the EIB lending appraisal system and could potentially benefit from the EFSI guarantee (representing an estimate of investment of EUR 11,9 billion under EFSI).

The cooperation with NPBI is one of the EIAH's main tools to ensure local outreach. As of end of 2020, the EIAH concluded 29 Memoranda of Understanding (MoUs) with NPBI from 22 Member States and 4 MoUs with other institutions in order to stimulate local demand for advice.

In addition, a call for proposals to develop local advisory capacity within NPBI was launched by the EIAH in December 2017. The call offered co-funding support (EUR 7 million) in the form of grants for a wide range of programmes to support development of investable projects by participating NPBI. The types of eligible activities include: (a) delivery of investment advisory services on behalf of the EIAH, (b) establishment or developing organisational capacity and (c) knowledge transfer for the development of a local advisory capacity. As of the end of 2020, 21 NPBI have submitted their proposals under the Call and 11 funding agreements were signed.

As of end of 2020, the 'Environment and resource efficiency' EIAH sector (which includes Climate Action and Circular Economy) represented almost 20 % of the requests reaching the EIAH. 23 % of EIAH assignments (requests receiving detailed advisory support) have a climate dimension whereas 2 % of the requests have a circular economy dimension. EIAH assignments with a climate action dimension represent an envelope of EUR 16.5 million (25 % of the total EIAH assignments estimated budget) and corresponds to estimated investment costs of EUR 15.3bn.

Finally, the EIB signed an initial agreement with the EBRD on 20 March 2017 to deliver the EBRD Advice for Small Businesses (ASB) Programme in Bulgaria, Greece, Romania and Croatia under the European Investment Advisory Hub umbrella. It includes delivery of more than 390 advisory projects during the funding agreement lifetime (until end-2021), across Bulgaria, Greece, Romania and Croatia, of which at least 10 % will be carried out with international advisers, depending on market needs. As of the end of 2020, 291 requests under this programme were receiving detailed advisory support.

### European Investment Project Portal (EIPP)

The EIPP is the EU's online matchmaking platform which brings together investors and project promoters by providing an easily-accessible and user-friendly database, giving projects more visibility and helping them secure the financing they need to grow and enabling investors to find investment opportunities.

As of end of 2020, the EIPP enabled more than 80 successful matches between project promoters and investors and provided visibility to 1 163 investment opportunities with a total proposed investment of EUR 66.6 billion.

In 2020, the EIPP effectively collaborated with its partners and co-organised several events and participated at numerous events, which due to the pandemic were organised online.

The Changing Worlds Online Webinar took place on in May 2020 and was organised together with the EIPP partner the European Business Angels Network (EBAN). Four EIPP start-ups were selected to pitch to investors.

The European Angel Investment Summit took place in October 2020 and was co-organised together with EBAN, DG GROW and Enterprise Europe Network (EEN) with almost 350 attendees. During the two-day summit, 13 EIPP companies were pitching and 25 start-ups exhibiting.

A joint virtual e-pitching event co-organised with the EIPP partner EuroQuity (Bpifrance) & Blueinvest where 5 EIPP projects in the field of Blue Economy and Renewable Energy participated.

The EIPP was also promoted at various other occasions throughout the year. Nonetheless, the challenges of continuously receiving new good projects for publication as well as new quality investors' registrations remain. Therefore, further communication and promotional activities (e.g. participations to conferences and events, social media campaigns) are envisaged to achieve further visibility of the EIPP.

### 3.2. Key achievements

1.5 million	11.6 million	0.5 million	14.5 million	20 million	22 million	39 million	95 million
SMEs supported	jobs sustained and supported by help from the EFSI	affordable flats built or renovated through EFSI investments	additional households being powered by renewable energy through investments in energy generation	additional households with high-speed internet	people covered by improved health care services	people benefitting from better waste treatment	passengers benefitting from improved transport through infrastructure investments

The EFSI triggered additional investment of EUR 545.3 billion, thereby exceeding the target of EUR 500 billion.

Few examples of EFSI projects:

- EFSI supported a EUR 25 million loan to Apeiron Biologics, a private Austrian clinical stage biotech company. Apeiron has been working in the field of immune-oncology to develop new cancer treatments.
- EFSI supported a company called Azimo based in Poland with a mission to make international payments affordable to all. With its fast, simple and low-cost international payment solutions around the world, Azimo furthers the UN Sustainable Development Goals of financial inclusion and inequality reduction.
- EFSI supported a company called Olmix in France with a EUR 30 million loan. The company uses algae and clay to create better food and fertiliser that can improve the nutrition, hygiene and health of plants, animals and humans.
- EFSI supported the German BioNTech SE with EUR 100 million in debt financing for the development and manufacturing of COVID-19 vaccine. This aims to allow the company to expand its manufacturing capacity in order to supply the vaccine worldwide as fast as possible in response to the pandemic.

#### European Investment Advisory Hub (EIAH)

As of end-2020:

- the EIAH received a total of 1 837 requests of which 81 % were received directly by EIAH, whilst the remaining were sourced through partnership arrangements.
- 1 544 Requests were project-related and of those 874 came from the private sector.
- 611 Requests have been allocated to receive more detailed technical assistance from the EIAH, of which 253 are completed.

#### European Investment Project Portal (EIPP)

In 2020, more than 300 projects were received and 233 projects were published on the EIPP. In total as of end of 2020, the EIPP provided 1163 investment opportunities. In total, more than 80 projects have received financing after being published on the Portal.

### 3.3. Evaluations, studies and reports

#### Evaluations

In 2018, two EFSI evaluations were completed: an independent external evaluation contracted by the Commission and an evaluation by the Operations Evaluation Division (EV) of the EIB.

The independent evaluation assessed the extent to which the EFSI, the EIAH, and the EIPP are achieving their objectives. The EIB evaluation assessed the rationale and design of EFSI, results achieved with emphasis on additionality as well as complementarity and coordination of EFSI with other EU programmes. Both evaluations assessed operations under EFSI 1.0.

The evaluations found that that the EFSI has been relevant both in addressing investment gaps and market needs in terms of size, sector and geographical coverage. They also noted that coherence of the EFSI with other centralised financial instruments has been

ensured over time and that initial overlaps between the EFSI with other EU-level financial instruments offering similar financial products has been addressed promptly by re-focusing existing instruments on new market needs and segments.

The independent external evaluation also found that through its scale, the EFSI has contributed to the reduction of the overall investment gap.

However, the evaluations underlined that the variety of financial instruments delivered under the 2014-2020 Multiannual Financial Framework period has led to some overlaps in their scope. That variety has also produced complexity for intermediaries and final recipients who were confronted with different eligibility and reporting rules. The absence of compatible rules also hampered the combination of several Union funds, although such combinations would have been beneficial in order to support projects in need of different types of funding. Therefore, a single fund, the InvestEU Fund, which builds on the experience of the European Fund for Strategic Investments (EFSI) under the Investment Plan for Europe, should be set up in order to provide more efficiently functioning support to final recipients by integrating and simplifying the financing offered under a single budgetary guarantee scheme, thereby improving the impact of Union support while reducing the cost to the Union payable from the budget.

The evaluations also highlighted some other areas for improvement, notably on the clarification of the concepts of sub-optimal investment situations, of additionality as well as on the definition of key performance indicators. The EFSI 2.0 Regulation already addressed some of these recommendations.

The independent evaluation found that the services offered by the EIAH were highly relevant and critical in securing project development. It also confirmed the importance of the EIPP in increasing transparency of investment opportunities in the EU and render these opportunities known to a high number of stakeholders. The evaluation also highlighted some areas for improvement, in particular, to further improve the EIAH awareness and to increase cooperation between the EIAH and the EIPP.

### Audits

In January 2019, the European Court of Auditors (ECA) published a Performance Audit on the implementation of the EFSI titled '[European Fund for Strategic Investments: Action needed to make EFSI a full success](#)'. The ECA audit looked at operations under the EFSI 1.0. The ECA concluded that the EFSI has been effective in raising finance to support substantial additional investment in the EU. The report also made some recommendations for areas of improvement, which were addressed to the EIB Group, to the Commission or both. Most recommendations were already addressed by the EFSI 2.0 Regulation. The ECA main recommendations include:

- Promoting the justified use of higher-risk EIB products under the EFSI;
- Encouraging complementarity between EU financial instruments: the Commission considers this recommendation as being implemented through the legislative proposals for the post-2020 MFF. The Commission proposal is to establish a single investment programme (InvestEU Programme) in order to enhance consistency and complementarity and to avoid possible duplications and overlaps between different instruments.
- Improving the assessment of whether potential EFSI projects could have been financed from other sources: based on the EFSI 2.0 Regulation, EIB has already included qualitative assessment of additionality, including the availability of complementary and alternative sources of finance.
- Estimating better the investment mobilised: the EFSI multiplier calculation methodologies were updated by January 2019. Those methodologies are applied at approval stage ensuring that only incremental investment mobilised is accounted for towards the EFSI target.
- Improving the geographical spread of EFSI supported investment: the Commission and the EIB, through the EFSI Steering Board, conducted a study assessing the root causes of the observed geographical spread. The EFSI Steering Board also provided recommendations for actions to be taken in the remaining EFSI implementation period until end of 2020.

In 2019, the European Court of Auditors initiated a Performance Audit on the implementation of the EIAH. The final report was adopted in October 2020.

In 2020, the European Court of Auditors published a report on the performance of the EU Budget, which included a chapter on EFSI<sup>2</sup>. The Court concluded that:

- the programme was on track to reach its targets, in particular to mobilise 500 billion euros of investment;
- in a few cases EFSI has supported projects that could have been financed from other sources, although under different financing conditions and that multiplier calculations in some cases have been overstated; but that the Commission and the EIB have taken action to correct the overstatement of the multiplier calculations;
- the EFSI indicators did not fully capture the notion of the specific objective that EIB investments should increase overall, and also that important aspects such as risk level and penetration of key areas were not covered;
- financing had, to an important degree been directed towards Member States harder hit by the crisis;
- the management of the programme showed flexibility to adapt and improve over time;

<sup>2</sup> [https://www.eca.europa.eu/Lists/ECADocuments/annualreport-Performance-2019/annualreport-Performance-2019\\_EN.pdf](https://www.eca.europa.eu/Lists/ECADocuments/annualreport-Performance-2019/annualreport-Performance-2019_EN.pdf)

- a liquidity cushion has been built up progressively as the financial exposure increased, which gives room for a response when a call on the guarantee occurs without affecting the EU budget.

#### **4. Programme 2021-2027 - Key monitoring indicators**

##### **Specific Objective 1 :Support financing and investment operations that contribute to the general objectives of the InvestEU Programme**

###### **Indicator 1:Volume of operations signed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of supporting InvestEU financing and investment operations.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

###### **Indicator 2:Investment mobilised**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of mobilising investments in the InvestEU eligible areas, through the supported InvestEU operations.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

###### **Indicator 3:Amount of private finance mobilised**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of mobilising investments, in particular private investments, in the InvestEU eligible areas, through the supported InvestEU operations.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

**Indicator 4: Leverage and multiplier effect achieved**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Multiplier of the EU guarantee
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of mobilising investments in the InvestEU eligible areas through the supported InvestEU operations.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Number of countries (Member States and third countries) covered by operations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of reaching a wide geographical coverage of the supported InvestEU operations
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Number of regions covered by operations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of reaching a wide geographical coverage of the supported InvestEU operations.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7: Volume of operations per country (Member State and third country) and per region**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
----------	------	------	------	------	------	------	------	------	------	--------

Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of reaching a wide geographical coverage of the supported InvestEU operations
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 8: Number of jobs created or supported

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to sustaining and creating jobs.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 9: Investment supporting climate objectives and, where applicable, broken down by policy window

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Investment supporting climate objectives - 30% overall target										
Milestones										
Actual Progress										Final
Investment supporting climate objectives - 60% climate and environment target for the Sustainable Infrastructure Window										
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the objective of at least 30% of InvestEU operations contributing to mainstream climate objectives; This indicator is directly linked to the objective of at least 60% of Sustainable Infrastructure window operations contributing to mainstream climate objectives.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 10: Investment supporting digitalisation

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to boosting digitalisation.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 11: Investment supporting industrial transition

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to promoting industrial transition.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 12: Investment supporting just transition

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to generate investment to the benefit of just transition regions.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 13: Number and volume of operations contributing to the provision of critical infrastructure

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Number of operations contributing to the provision of critical infrastructure										
	Milestones									
	Actual Progress									Final
Volume of operations contributing to the provision of critical infrastructure										

Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number, EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to uphold and strengthen existing strategic value chains of tangible or intangible assets, to develop new ones, and to maintain and reinforce activities of strategic importance to the Union, including Important Projects of Common European Interest, in relation to critical infrastructure, whether physical or virtual.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 14: Number and volume of operations contributing to investment in cybersecurity, space and defence

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Number of operations contributing to investment in cybersecurity, space and defence										
Milestones										
Actual Progress										Final
Volume of operations contributing to investment in cybersecurity, space and defence										
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number, EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to supporting investment in order to uphold and strengthen existing strategic value chains of tangible or intangible assets, to develop new ones, and to maintain and reinforce activities of strategic importance to the Union, including Important Projects of Common European Interest, in relation to critical infrastructure, whether physical or virtual, in the areas of cybersecurity, space and defence.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Specific Objective 2 :Support financing and investment operations in sustainable infrastructure

##### Indicator 1: Additional renewable and other safe and sustainable zero and low-emission energy generation capacity installed (in megawatts (MW))

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Impact
Unit of measurement	Megawatts (MW)
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to supported InvestEU operations which contribute to expanding the

	generation, supply or use of clean and sustainable renewable and safe and sustainable other zero and low-emission energy sources and solutions.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Number of households, number of public and commercial premises with improved energy consumption classification

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to supported InvestEU operations which contribute to promote energy efficiency and energy savings (with a focus on reducing demand through demand side management and the refurbishment of buildings).
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Estimated energy savings generated by the projects (in kilowatt-hours (kWh))

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Kilowatt-hours (kWh)
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to promote energy savings.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Annual green-house gas emissions reduced/avoided in tonnes of CO2 equivalent

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Tonnes
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to the decarbonisation of: a) Energy-intensive industries and the substantial reduction of emissions in such industries and b) Energy production and distribution chain by phasing out the use of coal and oil.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

**Indicator 5: Volume of investment in the development, smartening and modernisation of sustainable energy infrastructure**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to the development, smartening and modernisation of sustainable energy infrastructure, in particular, but not only transmission and distribution level, storage technologies, electricity interconnection between Member States and smart grids.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Additional households, enterprises or public buildings with broadband access of at least 100 Mbps upgradable to gigabit speed, or number of WIFI-hotspots created**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to the development of digital connectivity infrastructure, whether physical or virtual, in particular through projects that support the deployment of very high capacity digital networks, 5G connectivity or that improve digital connectivity and access, particularly in rural areas and peripheral regions.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7: Number of cross-border and missing links projects (including projects relating to urban nodes, regional cross-border rail connections, multimodal platforms, maritime ports, inland ports, connections to airports and rail-road terminals of the TEN-T core and comprehensive network)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to the development of the trans-European transport network (TEN-T) infrastructure, including infrastructure maintenance and safety, the urban nodes of TEN-T, maritime and inland ports, airports, multimodal terminals and the

	connection of such multimodal terminals to the TEN-T networks, and telematics applications.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Number of projects contributing to the digitalisation of transport, in particular through the deployment of European Rail Traffic Management System (ERTMS), River Information System (RIS), Intelligent Transportation System (ITS), vessel traffic monitoring and information system (VTMIS)/e-maritime services and Single European Sky ATM Research (SESAR)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to the digitalisation of transport, in accordance with Union transport priorities and the commitments taken under the Paris Agreement on Climate Change.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 9: Number of alternative fuel supply points built or upgraded**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to alternative fuel infrastructure for all modes of transport, including electric charging infrastructure.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 10: Number of projects contributing to the safety of transport**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to designing and applying technologies that help to improve the safety of vehicles and road infrastructure.
Link MFF 14-20 / MFF 21-27	MFF 21/27

Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 11: Investment contributing to the implementation of plans and programmes required by the Union environmental acquis relating to air quality, water, waste and nature**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to improving air quality, water, waste and nature, as required by the Union environmental acquis.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Support financing and investment operations in research, innovation and digitisation, including support for the upscaling of innovative companies and the rolling out of technologies to market.**

**Indicator 1: Contribution to the objective of 3 % of the Union's gross domestic product (GDP) invested in research, development and innovation**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	EUR million
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to investing 3% of the Union's GDP in research and innovation, as per the Lisbon strategy.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of enterprises supported by size carrying out research and innovation projects**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the InvestEU operations which contribute to supporting financing

	and investment operations in research, innovation and digitisation.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 4 :Increase the access to and the availability of finance for SMEs and for small mid-cap companies, and to enhance the global competitiveness of such SMEs

#### Indicator 1: Number of enterprises supported by size (micro, small, medium-sized and small mid-cap companies)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to increasing the access to and the availability of finance for enterprises, from micro to small mid-cap companies.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Number of enterprises supported by stage (early, growth/expansion)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to increasing the access to and the availability of finance for SMEs and for small mid-cap companies, in various stages of development.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 3: Number of enterprises supported by Member State and region at NUTS 2 level

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to increasing the access to and the availability of finance for SMEs and for small mid-cap companies, in various countries and

	regions.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of enterprises supported by sectors by statistical classification of economic activities in the European Union (NACE) code**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to increasing the access to and the availability of finance for SMEs and for small mid-cap companies, in various sectors.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Percentage of investment volume under the SME policy window directed towards SMEs**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to the SME window focus on investments in SMEs.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 5 : Increase the access to and the availability of microfinance and finance to social enterprises, support financing and investment operations related to social investment, competences and skills and develop and consolidate social investment markets**

**Indicator 1: Social infrastructure: Capacity and access to supported social infrastructure by sector: housing, education, health, other**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners

Link to the objective	This indicator is directly linked to InvestEU operations which contribute to financing and investment related to social investment, in particular on social infrastructure.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Microfinance and social enterprise finance: Number of microfinance recipients and social enterprises supported

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to increasing access to and the availability of microfinance and finance to social enterprises
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of individuals acquiring new skills or having their skills validated and certified: formal, education and training qualification

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from implementing partners
Link to the objective	This indicator is directly linked to InvestEU operations which contribute to promoting people competences and skills.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 6 : Under the InvestEU Advisory Hub, to provide advisory support for investment project identification, preparation and development to public and private counterparts.

#### Indicator 1: Number of engagements of the InvestEU Advisory Hub by sector and Member State

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Operational reports from advisory partners

Link to the objective	This is the key indicator regarding the implementation of the InvestEU Advisory Hub.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 7 :To create a publicly available InvestEU web portal where EU based projects promoters will be given the opportunity to boost the visibility of their projects to potential international investors**

**Indicator 1:The number of project published on the InvestEU Portal**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	
Data source	Commission operational data
Link to the objective	This is the key indicator regarding the implementation of the InvestEU Portal.
Link MFF 14-20 / MFF 21-27	MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : European Fund for Strategic Investments (EFSI)*

**Specific Objective 1 :Increasing the number and volume of European Investment Bank (EIB) financing and investment operations in priority areas**

**Indicator 1:The cumulative volume of investment mobilised**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			125	245	340	420	500			500
	Actual Progress									Final
		60	164,1	256,3	375,5	458,4	545,3			

Are we on track	On track
Indicator type	
Unit of measurement	Estimated volume of funding raised (EUR billion, approved operations).
Cut-Off Date	31/12/2020
Data source	EIB operational reporting
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The EFSI 1.0 target is to mobilise by July 2018 at least EUR 315 billion of additional investment. The EFSI 2.0 target is to mobilise at least EUR 500 billion of additional investment by 2020.
Full metadata available at this address	
Justification of the trend	The indicator is on track and it even exceeded its target.

**Indicator 2:The number of projects to receive support under the EFSI initiative**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			400	600	750	900	1000			1000

	Actual Progress								Final
	172	421	717	1031	1269	1549			

Are we on track	On track
Indicator type	
Unit of measurement	Number of approved projects
Cut-Off Date	31/12/2020
Data source	EIB operational reporting
Narrative	
Methodology	Cumulative figures
Link MFF 14-20 / MFF 21-27	
Other methodological comments	IIW and SMEW
Full metadata available at this address	
Justification of the trend	The indicator is on track and it even exceeded its target.

### Indicator 3: The cumulative number of countries having received EIB financing (signed operations) under EFSI

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2018
			20	26	28	28	28			28
	Actual Progress									Final
		18	28	28	28	28	28			

Are we on track	On track
Indicator type	
Unit of measurement	Number of countries covered
Cut-Off Date	31/12/2020
Data source	EIB operational reporting
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is on track as it reached its target.

### Indicator 4: The aggregated multiplier effect

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
		15	15	15	15	15	15			15
	Actual Progress									Final
		13,3	15,18	13,53	15,6	15,66	15,46			

Are we on track	On track
Indicator type	
Unit of measurement	Multiple in number of times of the EU guarantee amount.
Cut-Off Date	31/12/2020
Data source	EIB operational reporting
Narrative	
Methodology	Multiplier effect
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The expected effective EFSI multiplier, which can only be calculated at the end of the EFSI investment period, is around 15 in terms of the use of the EU guarantee compared to the total investment raised for the projects supported under the initiative and the terms of the transactions. As at end-2020, the IIW multiplier related to operations signed was estimated at 13,55x and the multiplier related to SMEW operations signed was assessed at 20,51x. This means that a multiplier effect should be generated by means of the provision of an EU guarantee to the EIB, so that EUR 1 of the EU guarantee under this initiative could generate approximately EUR 15 investment in projects.
Full metadata available at this address	
Justification of the trend	The indicator is on track and it even exceeded its target.

### Indicator 5: The share of EFSI Financing under the IIW that supports project components that contribute to climate action

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2018
					0,4	0,4	0,4			0,4

	Actual Progress								Final
					0,359	0,402	0,431		

Are we on track	On track
Indicator type	
Unit of measurement	Share of action components (Percentage, signed operations)
Cut-Off Date	31/12/2020
Data source	EIB operational reporting
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is on track and it even exceeded its target.

## Specific Objective 2 :Increasing the volume of European Investment Fund (EIF) financing for small and medium enterprises

### Indicator 1:The cumulative number of countries having received EIF financing (signed operations) under EFSI

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 4 :To provide advisory support for investment project identification, preparation and development to public and private counterparts, not necessarily linked to EFSI operations through the European Investment Advisory Hub (EIAH )

### Indicator 1:The number of projects for which the support have been requested

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			200	200	200	200	200			200
	Actual Progress									Final
		70	271	334	416	456	290			

Are we on track	On track
Indicator type	
Unit of measurement	Number of projects (annual)
Cut-Off Date	31/12/2020
Data source	EIB operational reporting
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is on track and it even exceeded its target.

### Indicator 2:The number of projects that have received the support

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			25	70	100	100	100			100
	Actual Progress									Final
		2	11	84	187	198	175			

Are we on track	On track
Indicator type	
Unit of measurement	Number of projects (annual)
Cut-Off Date	31/12/2020
Data source	EIB operational reporting
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is on track and it even exceeded its target.

**Specific Objective 5 :To create a publicly available, secure web portal where EU based project promoters will be given the opportunity to boost the visibility of their projects to potential international investors through the European Investment Project Portal (EIPP).**

**Indicator 1:The number of projects published on the EIPP**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			150	300	450	500	500			500
	Actual Progress									Final
		0	139	238	508	956	1163			

Are we on track	On track
Indicator type	
Unit of measurement	Number of projects
Cut-Off Date	31/12/2020
Data source	Commission operational data
Narrative	
Methodology	Cumulative
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is on track and it even exceeded its target.

**Indicator 2:The number of countries covered**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			20	25	27	28	28			28
	Actual Progress									Final
			25	28	28	28	28			

Are we on track	On track
Indicator type	
Unit of measurement	Number of countries
Cut-Off Date	31/12/2020
Data source	Commission operational data
Narrative	
Methodology	Cumulative
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is on track as it reached its target.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
843,5	904,4	859,2	119,6	122,0	124,5	109,1	3 082,3

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

Actions under the InvestEU Programme are expected to contribute at least 30 % of the overall financial envelope of the InvestEU Programme to climate objectives. This will be calculated according to the Commission guidance on the InvestEU Programme climate and environmental tracking for implementing partners.

The EFSI 2.0 Regulation, while recognising the demand-driven nature of the EFSI, introduced a target of at least 40 % of the EFSI financing under the Infrastructure and Innovation Window to support projects with components that contribute to climate action, in line with the COP21 commitments. The EIB uses its internationally agreed methodology, as part of its rules and procedures, to identify climate action components or cost shares of supported operations. A Key Monitoring Indicator (KMI) referring specifically to the contribution of EFSI financing under the IIW to climate action was introduced in 2018.

Under InvestEU, implementing partners will report on a key performance indicator on investment supporting climate objectives, per policy window. The methodology for this indicator should be agreed with the implementing partners during 2021.

#### 6.1.3. Key achievements

As of December 2020, the cumulative share of climate action components under IIW was 43% for signed amounts.

Examples of achievements that were financed by the programme are:

- EFSI supported a EUR 70 million loan to Talasol Solar energy power plant based in Spain. The plant is expected to be operational in 2020 and create 500 jobs during the implementation phase.
- EFSI supported a EUR 7.5 million loan to GreenFiber International SA based in Romania to finance a recycling and circular economy project. The project will contribute to the creation of 280 full-time jobs and will increase the amount of waste collected and processed by over 50 000 tonnes per year.

#### 6.1.4. Performance

As of December 2020, the cumulative share of climate action components under IIW was 43% for signed amounts.

## 6.2. Contribution to biodiversity mainstreaming

#### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.2.2. Explanation and justification on the financial contribution

Actions under the InvestEU Programme are expected to contribute at least to the ambition of 7.5% of the EU budget reflecting biodiversity expenditures in 2024 and 10% in 2026 and 2027, while considering the existing overlaps between climate and biodiversity goals.

Under InvestEU, implementing partners will report on operations contributing to biodiversity.

#### 6.2.3. Key achievements

Not applicable

#### 6.2.4. Performance

Not applicable

## 6.3. Contribution to clean air financing

Not applicable

### 6.3.3. Key Achievements and Performance (2014-2020)

The EFSI investments in non-combustible renewable energy sources have a secondary positive impact on clean air when this replaces energy production from more polluting sources (see information on SDG 7). It is estimated that approximately EUR 6.4 billion of financing approved under EFSI as of 31 December 2020 contributed principally to clean air objectives. This is expected to help mobilise approximately EUR 31 billion of public and private investments.

### 6.4. Contribution to gender equality

#### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.4.2. Key achievements and performance

Under InvestEU, implementing partners will report on operations contributing to gender equality.

### 6.4.3. Key Achievements and Performance (2014-2020)

Not applicable

### 6.5. Contribution to the sustainable development goals

#### 6.5.1. Goals

##### *SDG 1 End poverty in all its forms everywhere*

The EFSI investment support for empowerment and economic advancement through micro-entrepreneurship, can further contribute to combatting poverty, reducing inequality and promoting peaceful and inclusive societies for sustainable development. Moreover, numerous important social housing projects have been undertaken, as for example in France, Spain, Poland, and Portugal. Over 540 000 social or affordable housing units were built or renovated with the EFSI support.

##### *SDG 3 Ensure healthy lives and promote well-being for all at all ages*

The EFSI investments is estimated to have ensured better healthcare for 22 million people, through contribution to the rehabilitation and expansion of health facilities and the support given to medical research.

##### *SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all*

The EFSI support for social entrepreneurship and social infrastructure contributes strongly to health and wellbeing and inclusive and quality education. As of 31 December 2020, approx. EUR 325.33 million of signed amounts were dedicated to education. This mainly related to social infrastructure investment for the purposes of education like schools or university campuses as well as support for SMEs active in the education sector.

##### *SDG 6 Ensure availability and sustainable management of water and sanitation for all*

The EFSI investment support has significantly contributed to sustainable water management, wastewater treatment and sanitation. As of 31 December 2020, EIB signed around EUR 2.5bn of total EFSI lending volume for projects related to water supply, sewerage and waste management. It is estimated that through EFSI support over 21 million people are benefitting from safer drinking water and 4.2 million m<sup>3</sup> of water per day capacity is ensured from constructed or rehabilitated water treatment plants.

##### *SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all*

It is estimated that the EFSI has facilitated the provision of renewable energy to approx. 14.5 million households. The EFSI investments are estimated to have helped saving over 7 150 GWh of energy per year through the energy efficiency measures of supported projects. As of 31 December 2020, the EFSI signed amounts for energy and environment and resource efficiency reached approx. EUR 18.2 billion and have mobilised an estimated EUR 93.8 billion of investment for energy capacity building from renewable energy sources, improving energy efficiency and supporting electricity network projects. It is worth noticing the promotion of major cross-border projects to increase interconnection and security of supply.

##### *SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*

EFSI investments can support meaningful advancements towards promoting sustained, inclusive and sustainable economic growth, and full and productive employment and decent work for all. EFSI investment support for empowerment and economic advancement through micro-entrepreneurship and SME support, can further contribute to combatting poverty, reducing inequality and promoting peaceful and inclusive societies for sustainable development. Due to the COVID-19 pandemic, many SMEs have faced a sharply reduced access to liquidity, which dramatically increased the threat of insolvencies. Based on the EUR 1 billion unlocked from the EFSI, the EIF provided guarantees worth EUR 2.2 billion to financial intermediaries, unlocking EUR 8 billion in available financing for businesses, including micro- and social enterprises as well as SMEs in the cultural and creative sectors.

Several employment and start-up programmes have been signed contributing to the creation of a well-qualified workforce as needed by modern economies, as well as generating employment opportunities for young people.

For IIW, EFSI operations are expected to have both temporary and permanent employment effects, related to the implementation and respective the operational phase of the EFSI projects. In addition to the direct impact of EFSI, there is also an indirect or induced employment impact to be considered (for example, a project to develop new transport infrastructure might contribute to new job opportunities in the local economy). By 31 December 2020, EFSI helped sustain and support 11.6 million jobs.

#### ***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

The EFSI's strong support for transport, social and digital infrastructure contributes to inclusive and sustainable growth. In addition, the EFSI's strong support for research, development and innovation projects helps foster innovation and contributes to sustainable industrialisation. As of 31 December 2020, investment in transport infrastructure materialised in signed amounts of approx. EUR 9.3 billion, unlocking some EUR 31.1 billion to promote transport networks, cleaner fleets, to reduce congestions and bottlenecks. These investments provided improved transport for over 95 million passengers.

The EFSI financing targeted also the development of the broadband infrastructure needed to keep different actors connected, as well as development of new technologies needed to promote Europe's long-term competitiveness. The EFSI helped deliver high speed internet for 20 million additional households.

#### ***SDG 10 Reduce inequality within and among countries***

The EIAH is providing advisory support for investment project especially in countries where the financing via the capital market is the less developed. In terms of geographical coverage, 65 % of the advisory support assignments are targeting cohesion countries.

#### ***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

The EFSI's dedicated investments in economic and social infrastructure projects supports advancement towards promoting resilient and inclusive infrastructure, and further efforts to support service-rich integrated infrastructure projects would contribute to inclusive and sustainable cities. The EFSI supported projects about water supply and sanitation, wastewater and solid waste treatment and recycling as well as sustainable urban and rural development. For example, as of end-2020, better waste treatment was made available for over 39 million people through the EFSI supported investments.

#### ***SDG 12 Ensure sustainable consumption and production patterns***

The EFSI investment support to inclusive business practices and SME growth and development could also contribute to promoting sustainable production and consumption practices. This is the case of dedicated support to SMEs active in circular economy, those using recyclable materials, and those deploying energy efficiency measures.

#### ***SDG 13 Take urgent action to combat climate change and its impacts***

EFSI 2.0 sets out a climate action target of 40% for IIW (excluding EFSI financing to SMEs and small Mid-Caps). For achieving this goal, projects such as energy efficiency and clean transport strongly contribute to combatting climate change and its impact, at the same time ensuring access to affordable, reliable and sustainable energy. As of 31 December 2020 this target was exceeded, with 43% of the financing under the IIW<sup>3</sup> dedicated to climate action. In addition, dedicated efforts are made to ensure uptake of broader sustainable growth projects beyond the climate target, and to place a stronger focus on sustainable investments across sectors.

#### ***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

EFSI is providing support to activities related to the sustainable use of marine resources, aquaculture and other elements of the wider bioeconomy. As of 31 December, EFSI has mobilised over EUR 1.0bn of signed financing in the bio-economy sectors.

#### ***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

EFSI investments have contributed to sustainable forest management. It is estimated that 4,500 hectares of new forestry area is planted and 13 m<sup>3</sup> per hectare of yearly forest growth is ensured as a result of EFSI supported projects in this sector.

<sup>3</sup> Excluding EFSI financing to SMEs and small Mid-Caps.

**HEADING 1: Single Market, Innovation and Digital****Connecting Europe Facility (CEF)****Lead DG: MOVE**

Associated DGs: CNECT, ENER

1. Overview .....	158
1.1. Challenges .....	158
1.2. Mission (general objectives) .....	158
1.3. Specific objectives .....	158
1.4. Public intervention context .....	159
1.5. Actions .....	160
1.6. Delivery mode .....	160
1.7. Graphic overview of the programme structure .....	160
1.8. Legal basis and financial programming .....	161
1.9. Link with the 2014-2020 MFF .....	161
1.10. Relevant websites providing more information .....	162
2. Where are we in the implementation ? .....	162
2.1. Programme 2021-2027 .....	162
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	162
3. How is the programme performing ? .....	166
3.1. Performance .....	166
3.2. Key achievements .....	171
3.3. Evaluations, studies and reports .....	172
4. Programme 2021-2027 - Key monitoring indicators .....	173
Specific Objective 1 :To contribute to the development of projects of common interest relating to efficient and interconnected networks and infrastructure for smart, sustainable, inclusive, safe and secure mobility (Transport strand) .....	173
Specific Objective 2 :To adapt the TEN-T networks to military mobility need (Transport strand) .....	175
Specific Objective 3 :To contribute to the development of projects of common interest relating to further integration of the internal energy market, interoperability of networks across borders and sectors, facilitating decarbonisation and the facilitation of cross-border cooperation in the area of renewable energy (Energy strand) .....	176
Specific Objective 4 :To contribute to the security of energy supply (Energy strand) .....	176
Specific Objective 5 :To contribute to sustainable development through enabling decarbonisation (Energy strand) .....	177
Specific Objective 6 :To contribute to the deployment of very high capacity digital networks and 5G systems, to the increased resilience and capacity of digital backbone networks on EU territories by linking them to neighbouring territories, as well to the digitalisation of transport and energy network (Digital strand) .....	178
5. Programme 2014-2020 - Key monitoring indicators .....	179
Previous Program 1 : Connecting Europe Facility (CEF) .....	179
General Objective 1 :Developing modern and high-performing trans-European networks and creating an environment more conducive to private, public or public-private investment .....	179
General Objective 2 :To enable the Union to achieve its sustainable development targets of a minimum 20% reduction of greenhouse gas emissions compared to 1990 levels, a 20% increase in energy efficiency and raising the share of renewable energy to 20% by 2020 .....	182
Specific Objective 1 :Removing bottlenecks, enhancing rail interoperability, bridging missing links, and improving cross-border sections .....	184
Specific Objective 2 :Ensuring sustainable and efficient transport systems in the long run, with a view to preparing for expected future transport flows, as well as enabling the decarbonisation of all modes of transport through transition to innovative low-carbon and energy-efficient transport technologies, while optimising safety .....	188
Specific Objective 3 :Optimising the integration and interconnection of transport modes and enhancing interoperability of transport services, while ensuring the accessibility of transport infrastructures .....	191

Specific Objective 4 :Increasing competitiveness by promoting the further integration of the internal energy market and the interoperability of electricity and gas networks across borders .....	196
Specific Objective 5 :Enhancing Union security of energy supply .....	198
Specific Objective 6 :Contributing to sustainable development and protection of the environment, by the integration of energy from renewable sources into the transmission network and by the development of smart energy networks and carbon dioxide networks .....	200
Specific Objective 8 :To contribute to the efficient flow of private and public investments to stimulate the deployment and modernisation of broadband networks .....	201
Specific Objective 9 :Encourage and support entities with a public mission, such as local public authorities, to offer free Wi-Fi connectivity in the centres of community life (e.g. in and around public buildings, health centres, parks or town squares) ...	202
6. The programme contribution to horizontal policies .....	203
6.1. Contribution to climate mainstreaming .....	203
6.2. Contribution to biodiversity mainstreaming .....	204
6.3. Contribution to clean air financing .....	204
6.4. Contribution to gender equality .....	205
6.5. Contribution to the sustainable development goals .....	206

## **1. Overview**

### **1.1. Challenges**

In order to achieve smart, sustainable and inclusive growth, to stimulate job creation and to respect the long-term decarbonisation commitments, the Union needs an up-to-date, multimodal high performance infrastructure to help connect and integrate the Union and all its regions in the transport, energy and digital sectors. Through the Trans-European networks, those connections should help to improve the free movement of persons, goods, capital and services. In particular, they should facilitate cross-border connections, help combating climate change, foster greater economic, social and territorial cohesion and contribute to a more competitive and sustainable social market economy, as well as to accelerate post-coronavirus recovery.

### **1.2. Mission (general objectives)**

The aim of the Connecting Europe Facility (CEF) is to accelerate investment in the field of trans-European networks and to leverage funding from both the public and the private sectors, while increasing legal certainty and respecting the principle of technological neutrality. The CEF should also enable synergies between the transport, energy and digital sectors, thus enhancing the effectiveness of the Union action and optimising implementing costs. Moreover, the programme should also contribute to the EU action against climate change, support environmentally and socially sustainable projects and, where appropriate, climate change mitigation and adaptation actions.

### **1.3. Specific objectives**

In pursuing its mission, the CEF targets the following specific objectives, which correspond to action strands:

1. In the transport sector, the CEF specific objectives aim at:
  - contributing to the development of projects of common interest relating to efficient, interconnected and multimodal trans-European transport network (TEN-T) and infrastructure for smart, interoperable, sustainable, inclusive, accessible, safe and secure mobility;
  - adapting parts of the TEN-T for a dual use of the transport infrastructure in view of improving both civilian and military mobility
2. In the energy sector, the CEF aims at:
  - developing projects of common interest relating to further integration of an efficient and competitive internal energy market, supporting interoperability of networks across border and sectors, facilitating decarbonisation of the economy, promoting energy efficiency and ensuring security of supply. Moreover, it facilitates cross-border cooperation in the area of energy, including renewable energies.
3. In the digital sector, the CEF aims at:

- contributing to the development of projects of common interest relating to the deployment of safe and secure very high capacity digital networks and 5G systems, supporting an increased resilience and capacity of the digital backbone networks on EU territories by linking them to neighbouring territories, as well as fostering the digitalisation of transport and energy networks.

#### 1.4. Public intervention context

##### CEF TRANSPORT

For the transport sector, the CEF represents one of the main spending programmes supporting the Trans European Transport Network policy and reflects the priorities included in the Sustainable and Smart Mobility Strategy<sup>1</sup>.

The policy aims at strengthening the social, economic and territorial cohesion of the Union and contribute to the creation of a single European transport area, which is efficient and sustainable, increases the benefits for its users and supports inclusive growth. The main objective is the completion of a dual layer trans-European transport network structure, developed along Europe through the Core network, including the Core Network Corridors and representing the backbone of the structure to be completed by 2030 and Comprehensive network, completing the connectivity and ensuring cohesion, to be completed by 2050. In this context, the programme will contribute to the EU goal of climate-related spending and decarbonising transport. In accordance with the European Green Deal, CEF 2021-2027 will target a contribution of 60% of its overall financial envelope to co-finance Actions supporting climate objectives and moving fast towards zero-emission mobility.

In line with articles 171 and 172 of the TFEU, Member States are responsible for implementing projects in the transport network. The EU is contributing to the development of the trans-European network by identifying and supporting projects of common interest as per article 7 of the TEN-T Guidelines<sup>2</sup>. The CEF Transport aims at supporting these key projects through grants (direct management) awarded following open competition among applicants having received the support of the concerned Member States. The Union also supports TEN-t transport infrastructure through the Cohesions Funds (Cohesion and ERDF in shared management), through the newly established Recovery and Resilience Facility part of the Next Generation EU Budget (direct management) and through the InvestEU programme (financial products within the sustainable infrastructure window).

##### CEF ENERGY

CEF Energy is an integral part of the Trans-European Networks for Energy (TEN-E) strategy. The TEN-E policy framework is focused on linking the energy infrastructure of EU countries. The TEN-E policy identifies nine priority corridors and three thematic areas in the field of cross-border energy infrastructure and establishes a biennial list of Projects of Common Interest (PCIs) that helps the EU meet its short and long-term energy and climate objectives. PCIs are chosen for their significant expected impact on energy markets and market integration (covering at least two EU countries), and expected contribution to the EU's energy security. They aim at diversifying sources, increasing competition in energy markets by offering alternatives to consumers, and contributing to the EU's climate and energy goals by integrating renewables. The European Green Deal has further emphasized the key enabling role of energy infrastructure in the transition to a climate neutral economy.

The TEN-E Regulation is based on Article 172 of the Treaty on the Functioning of the European Union which provides for the legal base to adopt guidelines covering the objectives, priorities and broad lines of measures envisaged in the sphere of trans-European networks as set out in Article 171. The guidelines also set the conditions under which the EU may financially support the PCIs. CEF Energy is one of the instruments to help reaching the policy objectives of the TEN-E strategy by providing financial support to some projects of common interest. Most PCIs are expected to be commercially viable and financed through regulated network tariffs. In December 2020, the Commission adopted a proposal to revise the TEN-E Regulation and ensure full alignment with the European Green Deal objectives.

CEF Energy includes also a new window for cross-border cooperation in the field of renewables. The new window complements the already existing support for transmission grid infrastructure and storage under the TEN-E framework. This window contributes directly to the enabling framework for cooperation on renewables as called for under Article 3 (d) of Directive 2018/2001/EC which is based on the four cooperation mechanisms: statistical transfers, joint projects between Member States, joint projects with third countries and joint support schemes.

##### CEF DIGITAL

<sup>1</sup> COM(2020) 789 final - Sustainable and Smart Mobility Strategy – putting European transport on track for the future.

<sup>2</sup> Regulation (EU) No 1315/2013 of the European Parliament and of the Council of 11 December 2013 on Union guidelines for the development of the trans-European transport Network and repealing Decision No 661/2010/EU.

Consistent deployment of fixed gigabit/terabit and mobile 5G infrastructures is needed to meet the increasing demand for the secure transfer and processing of massive amounts of geographically distributed data. By their nature, trans-European, gigabit and terabit networks enable data to flow and people to collaborate wherever they are. They connect digital capacities such as cloud and high-performance computing as well as millions of objects and data able to transform vertical sectors such as health, education, tourism, manufacturing, transport and logistics. The COVID-19 pandemic has reconfirmed the importance of very high speed, reliable, secure and affordable internet connections for all: businesses, public services, citizens. Digital connectivity infrastructures are supported at European, national, regional and local levels. By addressing projects of common interest and focusing on cross-border interconnections, CEF Digital will contribute to cross-fertilise these investments and act as a catalyst for the EU-wide digital connectivity ecosystem. The underlying goal is to bring together, in an effective manner, public support and private investment. CEF Digital will thus contribute to bridging the investment gap in the area, accelerate the achievement of EU's connectivity targets, contribute to EU's strategic autonomy and support an EU-wide digital ecosystem.

Alternative sources of public support, such as the Recovery and Resilience Facility, as well as the cohesion policy funds can complement and ensure synergies with the financing offered by CEF Digital, as well as complement the cross-border infrastructure developed under CEF Digital.

### **1.5. Actions**

The programme will provide financial support primarily in the form of grants and procurement. Moreover, it may contribute to blending operations in accordance with the InvestEU Regulation.

In principle, only actions contributing to the achievement of the above specific objectives, taking into account long-term decarbonisation commitments, are eligible for funding.

Such actions include studies, works and other accompanying measures necessary for the management and implementation of the programme and the sector-specific guidelines.

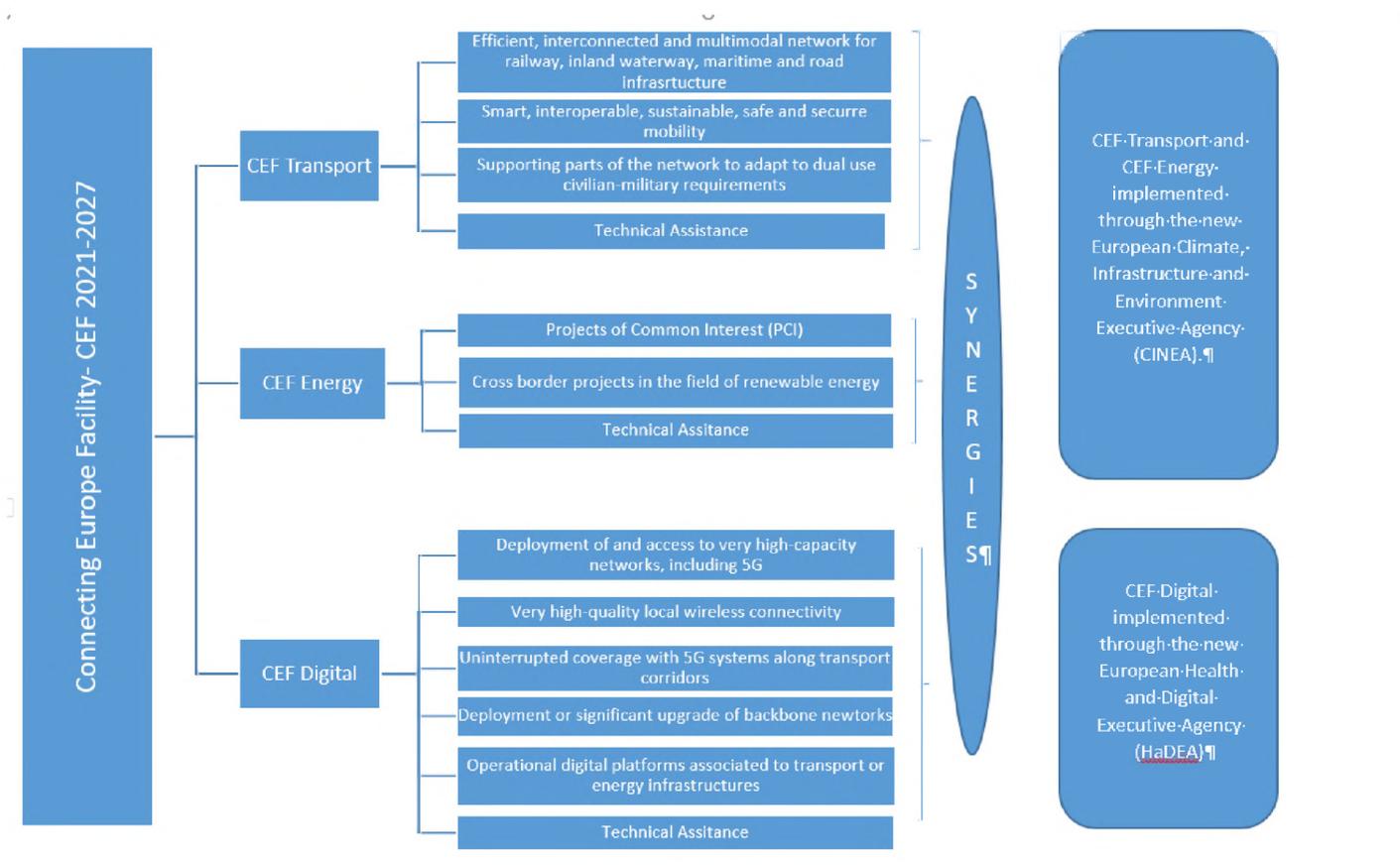
### **1.6. Delivery mode**

The programme will be implemented through direct management. On an ad-hoc basis and if justified, specific actions may be implemented in indirect management.

Three Directorates General are identified as CEF parent DGs, namely the Directorate General for Mobility and Transport (DG MOVE), the Directorate General for Energy (DG ENER) and the Directorate General for Communications Networks, Content and Technology (DG CNECT).

The programme will be implemented through Executive Agencies. The transport and energy strands shall continue to be implemented by the Innovation and Network Executive Agency (INEA), European Climate, Infrastructure and Environment Executive Agency (CINEA) as of 01 April 2021. The CEF digital programme has been delegated to the European Health and Digital Executive Agency (HaDEA)

### **1.7. Graphic overview of the programme structure**



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM(2018)438	2021 - 2027	20 733,5

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
Transport*	3 441,8	3 476,7	3 570,1	3 669,9	3 773,8	3 878,7	3 986,9	25 797,9
Energy	783,2	795,7	811,8	828,6	845,4	862,2	879,7	5 806,5
Digital	273,0	277,2	283,3	288,7	294,8	300,2	307,6	2 024,7
<b>Total *</b>	<b>4 497,9</b>	<b>4 549,6</b>	<b>4 665,2</b>	<b>4 787,2</b>	<b>4 914,0</b>	<b>5 041,1</b>	<b>5 174,1</b>	<b>33 629,1</b>

\* These amounts include Military mobility and the contribution of the Cohesion fund

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

For the transport sector, the CEF programme will continue contributing to the achievement of the TEN-T policy objectives, in particular focusing on the completion of the core network by 2030, through the support to projects of common interest. Moreover, and differently from the CEF 2014-2020 programme, a stronger focus will be put on the modernisation of the TEN-T network, with a dedicated share of investments on telematic application systems, new technologies and innovation (including alternative fuels), interoperability, road safety, infrastructure resilience, accessibility and security of transport. Moreover, the programme will reflect the priorities set in the Sustainable and Smart Mobility Strategy.

The CEF transport strand will continue contributing to the EU goal of climate-related spending and decarbonising transport. In accordance with the European Green Deal, CEF 2021-2027 will target a contribution of 60% of its overall financial envelope to co-financing Actions supporting climate objectives and moving fast towards zero-emission mobility.

For the energy sector, CEF programme will continue contributing to the implementation of projects of common interest and in turn to the achievement of the TEN-E policy objectives including the further integration of an efficient and competitive internal energy market, interoperability of networks across borders and sectors, facilitating the decarbonisation of the economy, and promoting energy efficiency and ensuring security of supply. The European Green Deal has further emphasized the key enabling role of energy infrastructure in the transition to a climate neutral economy. Hence, more focus will be put on contributing to the achievement of the goals and objectives of the Paris Agreement as well as the 2030 climate and energy targets and long-term decarbonisation objective. In addition, the CEF programme aims to enable cross-border projects in the field of renewable energy.

CEF2 digital will depart from the past CEF Telecom 2014-2020 by being fully dedicated to support, through grants or financial instruments, the deployment of high performance digital communication infrastructures. While building on the experience gained with the previous CEF, CEF2 Digital 2021-2027 will represent a step change as regards the scope, volume and intensity of the proposed EU support.

### 1.10. Relevant websites providing more information

For the Transport sector:

[https://ec.europa.eu/transport/themes/infrastructure\\_en](https://ec.europa.eu/transport/themes/infrastructure_en)

[https://ec.europa.eu/transport/themes/infrastructure/ten-t\\_en](https://ec.europa.eu/transport/themes/infrastructure/ten-t_en)

[https://ec.europa.eu/transport/themes/infrastructure/cef\\_en](https://ec.europa.eu/transport/themes/infrastructure/cef_en)

<https://ec.europa.eu/inea/connecting-europe-facility/cef-transport>

All information related to CEF Energy can be found by accessing the following link:

<https://ec.europa.eu/inea/en/connecting-europe-facility/cef-energy>

CEF Digital entails a new programme content. For this reason, information will be provided through dedicated websites to be developed.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The CEF programme 2021-2027 will start its implementation as soon as there will be an adopted basic act. It is expected that the first call for proposals under the CEF programme will be launched during second quarter of 2021.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	29 888 940 234	12 164 380 131
Implementation carry-overs	0	16 489 584
Implementation total	29 888 940 234	12 180 869 715
total envelop*	29 904 296 366	
cumulative implementation rate	100%	41%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020. These amounts take into account the Cohesion Fund contribution to CEF Transport.

The CEF 2014-2020 cumulative implementation rate reflects the progress of the projects selected for co-funding during the past 7 years of implementation of the programme. The cumulative implementation rate (41%) mirrors the specificity of the programme, where investments are mainly channelled to complex infrastructure projects implemented over a considerably long time span (e.g. CEF Transport projects are expected to be completed by end of 2024). Moreover, specific sectoral issues further delayed the implementation of the programme.

In the 2014-2020 period, CEF Transport co-funding amounting to EUR 23.03 billion was allocated to 959 actions. While addressing infrastructures along both core and comprehensive network of the Trans-European Network for Transport the Programme focuses its support on the Core network, with more than 170 sections concerned.

CEF Transport actions are usually characterised by long implementation periods as they refer to works for large and technically complex transport infrastructure projects, often entailing a risk component. In this framework, payments are disbursed during the entire project life cycle and upon request for payment by the beneficiaries of the CEF Transport Actions. As indicated in the CEF Transport model Grant Agreement, request for payments must be submitted at least every two years and must refer to eligible costs incurred during the project's reporting period.

As per assessment of the yearly reporting of 2020 (covering implementation up to end of 2019), CEF transport projects experienced some delays and their implementation rate is slower than the one indicated in the indicative spending profile within the ongoing Grant Agreements.

#### Specify objective 1- Removing bottlenecks, enhancing rail interoperability, bridging missing links and improving cross-border sections.

Actions supported under this specific objective represent the vast majority of the CEF co-funding for the transport sector. The 463 actions include main cross-border infrastructure projects (e.g. Rail Baltica, Fehmarn Belt fixed link, Brenner Base tunnel, Lyon-Turin, Seine-Scheldt and others) and are mainly implemented by public stakeholders. They represent around 83% of the total CEF co-financing. For this reason, the trends of CEF actions under this specific objective set the pace of the overall CEF Transport implementation.

According to the latest data available on the spending profile of these actions (typically as per ASR 2020), the reported financial progress by the end of 2019 corresponded to around 40%, against an expected progress (as included in the Grant Agreements) of 46%. Actions contributing to this specific objective are characterised by their very complex technical nature. They refer to technically challenging interventions (e.g. alpine crossing- Lyon-Turin and Brenner Base tunnel) often covering two or more Member States (e.g. Rail Baltica covering Estonia, Latvia, Lithuania and Poland) and important investment needs. Often, for these key projects the CEF supports both the study and the works phases.

As underlined in the Commission replies to the ECA special report 10/2010: “[...] The Commission recognises that such major infrastructure projects take a long time [to be implemented]. This is true for all transport infrastructure investments of such size, but even more understandable for the cross-border projects assessed in this audit (involvement of several Member States, budgetary discussions, technical complexity of realisation of tunnels or green-field projects, administrative complexity of permit granting procedures, etc.). As projects mature during the preparatory steps, it is normal that they evolve in terms of scope, alignment, technical parameters, etc., based also on the valuable input received during the public consultations [...]”.

As per assessment of the ongoing Grant Agreements under this specific objective, it has been observed that the main issues affecting their implementation refer to public procurement issues (e.g. complaints/appeals during tender procedures) as well as legal and environmental issues (e.g. permitting, spatial planning, other authorizations and land acquisition). Moreover, technical issues related to unforeseen events (such as landslides), issues related to the projects coordination, political support or to the securing of sufficient co-funding (national or other sources) have also occur during the implementation of these CEF Actions. Furthermore, based on the exchanges with the project promoters during 2020, the outbreak of the COVID19 pandemic has further delayed the implementation of some CEF supported actions.

#### Specific objective 2- Ensuring sustainable and efficient transport systems in the long run, with a view to preparing for expected future transport flows, as well as enabling the decarbonisation of all modes of transport through transition to innovative, low-carbon and energy-efficient transport technologies, while optimising safety.

The 194 actions supported under this specific objective, while responding to a key policy priority, represent the minor part of the CEF co-funding, accounting for around 4%. The majority of Actions relate to the deployment of alternative fuels infrastructures along the TEN-t Network and are often implemented by private stakeholders. According to the latest data available on the spending profile of these actions (typically as per ASR 2020), the reported financial progress by the end of 2019 corresponded to around 28%, against an expected financial progress (as included in the Grant Agreements) of 35%. For many of these actions delays have been accumulated during their initial phase due to the difficulty to secure appropriate locations or due to extra capital expenditure needed for electricity grid connections. In addition, in a number of cases, changes in market conditions have influenced company strategies. As an example, in the hydrogen sector, projects have evolved towards an increased attention for “green H2”. Projects have therefore been re-designed to lower H2 production cost, by installing less electrolyzers of smaller capacity and having more centralized large-scale electrolyzers serving several Hydrogen Refuelling Stations. Furthermore, in many cases, ownership of beneficiary companies has changed generating recast of projects, which delayed and/or affected the scope of the CEF Actions. Based on the exchanges with the project promoters during 2020, the outbreak of the COVID19 pandemic has further delayed the implementation of some CEF supported actions

Specific objective 3- Optimising the integration and interconnection of transport modes and enhancing interoperability of transport services, while ensuring accessibility of transport infrastructures.

The 286 actions reported under this specific objective refer to telematics applications for transport (with the exclusion of ERTMS), Motorways of the Sea, multimodal logistic platforms and actions addressing urban nodes. They represent around 13% of the overall CEF co-funding. The currently reported financial progress by the end of 2019 corresponded to around 59%, against an expected financial progress (as included in the Grant Agreements) of 65%. For the actions related to telematics applications, the delays that have been underlined relate mainly to public procurement issues and the complexity of the consortia/cooperation structures, which often involve high numbers of beneficiaries and several Member States in a single Action. Furthermore, a peculiar issue for these actions refers to the dependency of CEF actions to the deployment of projects/technologies that might in turn be delayed for external reasons. With reference to the other type of actions supported under this specific objective, it has been observed that delays mostly refer to issues comparable to those observed for actions supported under specific objective one (procurement, environmental procedures and permits and technical issues). In particular, actions under the urban nodes priority often take place in dense and complex urban environments and require additional coordination efforts from the beneficiary involving a variety of stakeholders (such as local authorities, infrastructure managers, utilities' providers, passengers and users, etc.). Furthermore, based on the exchanges with the project promoters during 2020, the outbreak of the COVID19 pandemic has further delayed the implementation of some CEF supported actions. Specifically, the aviation sector (ATM functionalities under SESAR) is one of the sectors most hit by the COVID-19 pandemic. Therefore, many beneficiaries have already reported that investments priority and human and financial resources had to be reallocated in order to fight the consequences of the crisis. These issues are likely to result in additional delays.

The overall reported financial progress by the end of 2019 for the transport sector is around 42% (compared with the expected 48% as included in the Grant Agreements) and is the result of delays experienced during the projects' implementation.. The delays described above affect the spending profiles of the Actions, shifting the expenditures to later years, in particular to year 2021 onwards. This situation is further impacted by the COVID crisis.

In this framework, the Commission, in strong cooperation with the INEA, has undertaken a series of actions to mitigate the impact of the above reported issues on the overall spending performance of the programme. These include a close monitoring of CEF Actions, providing for an optimal use of EU-funding. In particular, the agreement reached with beneficiaries for the inclusion of specific monitoring milestones for the Grant Agreements that still include tasks within the critical path of the project, will allow to possibly re-allocate unused funds to other mature projects as result of the last CEF Transport call for proposal during 2021. Furthermore, the Agency continues to implement its monitoring tools, through the assessment of reports, site visits and follow-up meetings with CEF beneficiaries, ensuring a thorough assessment and identifying the actions for which amendments are needed (use it or lose it principle).

As a reaction to the COVID-19 crisis, greater flexibility has also been demonstrated when implementing the CEF Transport programme. This allowed accommodating the needs of project promoters and national authorities to account for the delays caused by the hit of the pandemic on the transport sector. In particular, it has been agreed to extend the maximum duration of the CEF funded actions (and the related eligibility of costs) to the end of 2024, allowing 12 additional months to absorb possible delays related to the COVID-19 crisis. Other immediate administrative and financial measures have also been agreed and put into place by the INEA to cater for the needs of grants' beneficiaries experiencing difficulties (e.g. greater flexibility for reporting deadlines).

Moreover, learning from the experience of the first CEF Transport calls for proposals, the Commission has focused its attention on the careful assessment and inclusion of expected key improvements under the CEF 2021-2027 programme.

The publication of a multi-annual work programme covering the first three years of implementation and more stringent conditions for the assessment of the maturity of the works proposals, will allow to receive funding applications triggered by the readiness status of the projects and to award the CEF support to actions that are ready to deliver and less exposed to risks. These measures will also be accompanied by the future adoption of the directive on streamlining measures for advancing the completion of the Trans-European transport network, aiming at simplifying permitting and granting procedures for cross-border transport infrastructures.

Furthermore, a better integration of the Core Network Corridor Coordinators advice and specific sectoral measures, such as the identification of specific sections of the network where alternative fuels infrastructures need to be implemented, will further enhance the contribution of the programme for the achievement of the TEN-T objective and strengthen the network impact of the programme.

#### CEF Debt Instrument (Financial Instruments)

Further to the amendment of the Delegation Agreement with the EIB in mid-2019, the roll-out of the CEF debt Instrument to support green mobility projects continued and the pipeline of operations kept on growing. The CEF-DI budgetary envelope was paid in full to the EIB to cover operations signed in 2020 and others to follow in 2021. In parallel, other operations were supported by NER300 resources, thereby confirming the effectiveness of channelling these resources through CEF-DI. During 2020, and despite the delays in investment decisions due to COVID19, four new operations were signed under the high-risk "Future Mobility" product, leveraging total investments of EUR 266 million. These operations covered various sectors contributing to the transition to green and sustainable mobility, which highlights the capacity of the Future Mobility instrument to address the transition to green

mobility in an integrated manner. The operations consist of large-scale deployment of Electric Vehicles (EV) charging stations; the implementation of hydrogen refuelling stations and buses; the development of a platform for car-sharing services; and the installation of innovative facilities for modal shift from road to rail.

### **CEF ENERGY**

In the period 2014-2020, CEF Energy co-funding of a total of EUR 4.835 billion was allocated to 149 actions contributing to 102 PCIs. CEF Energy has helped to kick-off and implement key energy infrastructure investments in Europe. In 2020, in the 10th and last call for the period 2014-2020 was completed allocating a total of EUR €997 million in CEF Energy co-funding to 10 actions (see below for more details). By the end of 2020, in total 79 actions which received CEF support have been completed, i.e. 41 electricity and storage, 37 gas and 1 CO<sub>2</sub>, of which 75 studies and 4 works.

The success in awarding CEF Energy co-funding to numerous actions of the PCIs and its contribution to policy objectives of the TEN-E strategy may not be fully reflected yet in the indicators and results reported below due to the long implementation time of the grants for works for large and technically complex energy infrastructure projects. In addition to the long lead-time it takes time before actual results will be reported. Delays may occur for various reasons including securing sufficient co-funding (national or other sources), public procurement issues (e.g. complaints/appeals during tender procedures) as well as legal and environmental issues (e.g. permitting, spatial planning, other authorisations and land acquisition). The Covid19 sanitary crisis has also led to additional delays for some actions, e.g. the need to reschedule public consultations resulting in longer than expected permitting procedures. Moreover, the reporting and monitoring on actual results will only be done with some delay once the project is closed after the final report has been received and assessed, the outputs verified and the final payment (if need be) performed.

The implementation rate of 26% for CEF Energy is lower compared to the overall CEF implementation. This is due to several large multi-annual actions with long lead times due to their very complex nature and possible delays for reasons explained in the previous paragraph. Some of these projects may only be completed by 2025. CEF financial assistance for works has been critical to advance their implementation. These projects include the Baltic Synchronisation Project (PCI 4.8) which will synchronise the three Baltic States' electricity grids with the continental European network and allow the three Baltic States to gain full control of their electricity networks and to strengthen energy security, the Biscay Bay electricity interconnector (PCI 2.7) between Spain and France which will further integrate the Iberian Peninsula into the European electricity market, and the Celtic electricity interconnector (PCI 1.6) that will establish the first electricity link between Ireland continental Europe and end Ireland's energy isolation after Brexit. In addition, the Baltic Pipe project (PCI 8.3) which will establish a new, bi-directional offshore gas pipeline connecting PL and DK through the Baltic Sea as well as the Poland – Slovakia gas interconnection (PCI 6.2.1) are expected to be completed in 2022 with an important contribution to energy security and diversification of supply sources.

A provision in the grant agreements requires project promoters to submit regularly an Action Status Report (ASR) to INEA. ASRs provide an overview on the technical and financial progress of the Action. In addition, PCIs are subject to yearly monitoring by national competent authorities and the Agency for the Cooperation of Energy Regulators (ACER) pursuant to Art. 5 of the TEN-E Regulation. This allows the Commission to monitor the PCIs progress and the implementation of the PCIs.

In the energy sector, the first CEF Debt Instrument was expected to be concluded by the EIB in 2018. However, the financial closing of this operation was eventually cancelled by the project promoter. Therefore, the amount initially committed under CEF Debt Instrument for this operation (EUR 89 million) is available for other energy projects. Possible PCIs that may receive financing under the CEF Debt Instrument are currently under appraisal by the EIB.

### **CEF TELECOM**

The overall investment of almost EUR 200 million in the core service platform enables the EU-wide interoperability of specific digital services such as eHealth, Public Open Data, eID and Cybersecurity. Thanks to CEF support, by the end of 2019 the uptake of these services reached a portfolio of 500 projects in the Member States and participating countries in the European Economic Area, most of which are still being implemented. With an EU contribution of almost EUR 300 million in generic services and an overall leveraged amount of more than EUR 400 million, CEF digital services support EU citizens, businesses and public administrations in interconnecting and adapting their systems to become interoperable across borders.

The **Connecting Europe Broadband Fund**, established under the CEF Equity Instrument with EFSI support, was launched in June 2018, raising EUR 420 million at first closing, through commitments from the European Commission (EUR 100 million) as well as the EIB, three national promotional banks, and one private investor. A second closing took place in July 2020, with two new private investors joining in for EUR 50 million additional commitments. To date, the CEBF has invested into 7 companies across Europe and is on track to raise targeted funds from private investors to reach EUR 550-600 million on final close<sup>3</sup>, which is to be held before June 2021.

<sup>3</sup> terminology used in financial markets referring to closing out, or completing, a deal or transaction. The final close comes at the end of the “due diligence” process applied to the assessment of new investors or project companies

Regarding the **CEF Debt Instrument** (CEF DI), the EIB signed a loan agreement with a project promoter for fibre rollout for a total amount of EUR 100 million, of which EUR 70 million guaranteed by the Commission's commitment to the CEF DI. Total project costs are estimated at EUR 241 million. The EIB has estimated that, upon completion of the project in Slovenia in 2023, an additional 225,000 households (about 25% of the country) will have access to very high-capacity networks.

Regarding WiFi4EU for the period of 2018-2020, more than 8.800 vouchers have been awarded through the programme, with a budget of €130 million spread over four calls. A voucher of €15,000 is granted to municipalities to install free public Wi-Fi in parks, squares, public buildings, libraries, health centres, and museums throughout Europe. Despite the pandemic environment, the network installations are steadily increasing, reaching almost 4.000 in the first quarter of 2021, exceeding expectations.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

The performance of the CEF 2021-2027 programme will be assessed as soon as the programme will start its implementation period. As indicated above, the first calls for proposals are expected to be launched during second quarter of 2021.

##### **3.1.3. Previous programme performance**

In general, the approach of the Connecting Europe Facility 2014-2020 is good and will be kept in the next multiannual financial framework. In particular, CEF is an effective and targeted instrument for investment in trans-European infrastructure (TEN) in transport, energy and the digital sector, it is expected to strongly contribute to the Commission's priorities on jobs, growth and investment, the internal market, Energy Union and climate and the Digital Single Market. The direct management of CEF grants has proven very efficient, with a strong project pipeline and a competitive selection process, a focus on EU policy objectives, coordinated implementation and the full involvement of Member States.

It is currently too early to conclude whether the programme's goals will be achieved as the nature of large-scale infrastructure projects makes it difficult to already present results. Nevertheless, the close monitoring of the projects provided by the Innovation and Networks Executive Agency (INEA) ensures the identification of actions for which amendments are needed, making the instrument very reactive to new needs and constraints, and allowing, when possible, for swift re-allocations of the funds in case of need.

Furthermore, the CEF parent DGs and the INEA have worked and will continue working to improve the programme's performance. In particular, following the mid-term evaluation of CEF and in line with the recommendations of some ECA special reports, areas for improvement were identified. Notably, due to differences in the sectoral legal frameworks, the programme faced the limitations for cross-sectoral synergies. In addition, it was found that the programme would benefit from more transparency and predictability (see point 2.2 above).

#### ***CEF TRANSPORT***

Projects co-funded under the CEF Transport aim at supporting the completion of the Core and Comprehensive Transport Networks, with a specific focus on the nine Core Network Corridors (CNC). Moreover, the CEF co-financed projects back the achievement of a decarbonised and digitalised transport sector in Europe. In this framework, the CEF actions foster the completion of a smart, high-performance and sustainable transport network, allowing seamless mobility for passengers and freight around Europe. This contributes to the overall EU policy goals of a complete single market, boosting jobs and supporting a smart, sustainable and inclusive growth in the EU

Up to now, the 943 Actions signed within the CEF transport, support more than EUR 23 billion CEF contribution and trigger almost EUR 50 billion of private and public investments. These have strongly contributed to pave the way for the achievement of the key policy objectives for the CEF transport sector. In particular, the CEF is one of the front running EU spending programmes supporting sustainable and digital transition. In line with the European Green Deal, transport investments for infrastructures strongly contributed to climate objectives, feeding the EU long-term decarbonisation commitments. Around 80% of the CEF support has been allocated to the rail and inland waterways sectors and to the support to the acceleration of the deployment of alternative fuels facilities, fostering a new mobility paradigm (please see point 6.1.3 below). Moreover, data and digital infrastructure backing the ecological transition for all sectors, including for transport; have received targeted support, enhancing the deployment of digital solutions for all transport modes.

Over the years the selection of CEF Transport projects has always contributed to the achievement of the TEN-T objectives, ensuring the selection of relevant projects of common interest having an important impact when addressing the removal of

bottlenecks and enhancing interoperability, ensuring sustainable and efficient transport systems and optimising the integration and interconnection of transport modes.

Moreover, the efficient management of CEF funds and the mitigating measures adopted by the Commission services and its Executive Agency (as described under point 2.2), allowed to channel additional re-allocated funds to mature projects that responded to the same key goals, feeding the TEN-t policy objectives.

In detail, as a result, additional calls for proposals could be launched in order to allow for mature projects to benefit from CEF support. In particular, in 2020, the 2019 Multi Annual Call for proposals was successfully completed, selecting 125 projects with an overall contribution of more than EUR 2 billion. More than 90% of the CEF contribution has been allocated to projects expected to address climate related objectives and in particular railway, inland waterways (IWW) and maritime ports infrastructures. More in detail, for these latter, the 19 selected actions foresee the deployment of alternative fuels infrastructures in Core ports of the TEN-T Network. They received more than EUR 105 million of CEF co-funding, triggering investments for more than EUR 380 million. An illustrative project refers to the provisioning of the Baltic seaports of Aarhus, Copenhagen/Malmö, Stockholm and Helsinki with Onshore Power Supply (OPS) to vessels.

Several actions supported as result of the 2019 MAP call concern digitalisation, especially for road and railway transport. In particular, for road, two selected actions relate to the C-roads initiative, contributing to the development of sustainable digital data-infrastructures enabling the roll-out of Day1 and Day1.5 C-ITS applications. Such projects aim at improving road safety and traffic efficiency through applications and dedicated hardware, such as [Intelligent Traffic Light Controllers \(iTLC\)](#) and [the interaction and information exchange between road operators' infrastructure and vehicles](#). These infrastructures also paves the way for the introduction of autonomous vehicles.

In the railway sector, 12 actions related to European Rail Traffic Management System (ERTMS) have been supported through 2020, both under the 2019 MAP call and the CEF Transport Blending Facility. A total CEF support of more than EUR 100 million has been allocated to the development of [on-board prototypes](#) with most technological advanced standard (ECTS Baseline 3) and the consequent [retrofitting](#) of on-board equipment or upgrade of the existing on-board devices (implemented through Blending Facility). These projects will actively contribute to the deployment of the ERTMS technology along the TEN-T network, improving interoperability, sustainability, safety and security of railway operations. Moreover, elements of digitalisation are present in some other actions supported through the 2019 MAP call for proposals, such as for the Inland Waterway sector, for example through projects supporting automation and remote lock operations.

In addition, as per result of the 2019 MAP call for proposal, studies and works for key infrastructural projects expecting to contribute to bridging missing links and cross border sections along the Core Network Corridors have been further secured, such as [Rail Baltica](#), the [northern access to the Brenner Base tunnel](#) and to the [Fehmarn Belt fixed link](#). Furthermore, projects with an awaited focus on the improvement of railway cross border sections have been allocated important CEF co-funding. These projects encompass works to improve interoperability between Czech Republic and Slovakia, Germany and the Netherlands, Hungary and Austria and studies to enhance cross-border connections between Germany and the Czech Republic and between France and Luxembourg. Overall, 53 actions have been selected for the railway sector, with a comprehensive CEF contribution of more than EUR 1.5 billion and triggering an investments of more than EUR 2.7 billion.

For the Inland waterways sector, the 2019 MAP call resulted in 21 selected projects and a CEF support of more than EUR 100 million. The projects mainly concern planned interventions to improve navigability, with works at locks and gates and improvement of Inland waterway ports to enhance the capacity of this transport mode. The CEF contribution is expected to trigger investments to the level of EUR 350 million. An illustrative action relates to the [upgraded infrastructure for waterborne operations along the Meuse and Albert canal](#), contributing to improvement of IWW network in the south of the Netherlands and the Belgian province of Limburg, playing an important role in connecting the European hinterland with maritime ports.

Leveraging on the last remaining budget of the CEF 2014-2020 programme, a final Multi-Annual work programme has been adopted, leading to the publication of the [2020 CEF Transport MAP call for proposals](#) in December 2020. The call, to be awarded in 2021, will keep the focus on the completion of the TEN-T Core Network, through the support of study actions along the Core Network Corridors paving the way to mature infrastructural works to be implemented during the next programming period.

Furthermore, also benefitting from additional available funds, the CEF Transport Blending Facility has achieved important progress. While contributing to the sustainable and digital challenges, the facility has boosted the participation of private sector investors and financial institutions. As of today, four cut-off dates of the facility have been completed. As a result, grants worth EUR 266 million have been awarded and complemented with the Implementing partners support (public financial institutions) will allow an overall investment of more than EUR 1.6 billion. These projects address the uptake of alternative fuels (around 70% of the grants disbursed) and the deployment of European Rail Traffic Management Systems (ERTMS). In continuation with the Blending Facility experience and implementing important lessons learned, a dedicated Alternative Fuels Facility is expected to be implemented within the CEF II framework.

To interpret CEF transport indicator results, it is important to have in mind that their targets are based on the on-going actions selected, and therefore increase every time a new action is selected. In addition, there is a time lag of approximately one year and a half between the actual completion of a project and its registration as a result: this delay corresponds to the administrative closure of the projects.

At the same time, as underlined under section 2.2 above, the implementation pace of the programme and the performance against its related indicators has been delayed by issues not always under the direct control of the Commission. Moreover, the COVID pandemic has further jeopardised the achievement of the expected results during year 2020, delaying the projects implementation and triggering the decision to further extend the programme's duration until the end of 2024<sup>4</sup>.

At this day and for the above-mentioned reasons, around 42% of Actions within the CEF Transport portfolio have undergone an amendment to extend their duration, with an average extension request of 18 months. This led to the postponement of the actual end date of many projects and generated a situation by which 75% of the Actions within the CEF Transport portfolio are expected to be completed between 2021 and 2024.

In the light of above, it can be confirmed that the long-term success and performance of the CEF Transport programme cannot be currently reflected in the indicators reported below. In fact, the majority of the CEF Transport actions signed as outcome of past calls for proposals are still ongoing and their results (outputs) will be achieved up to end of 2024.

## CEF ENERGY

CEF Energy funded actions have significantly contributed to a better integrated EU energy market through strengthening cross-border connections aiming to end energy isolation and eliminate bottlenecks. CEF Energy also supports projects increasing security of supply in Member States where this issue is most pressing. Examples include the Estonia-Latvia third electricity interconnection that will increase the security of supply in the Baltic region by reinforcing north-south electricity connections (see also below), the Gas Interconnector Poland-Lithuania, the first gas interconnector between the eastern Baltic Sea region and continental Europe, and Balticconnector, the first gas interconnector between Finland and Estonia.

In 2020, the 10<sup>th</sup> and last call for the period 2014-2020 was completed and the European Commission allocated a total of EUR 997 million in CEF grants to 10 actions (relating to 9 PCIs), 6 for CO<sub>2</sub>, 2 in the electricity sector, 1 smart electricity grid, and 1 action in the gas sector. Four of these actions relate to construction works and 6 to studies. Key actions that were funded include:

- **Baltic Synchronisation Project, Phase II** (€720 million): Following a previous investment, this new funding will go to the construction of Harmony Link – an electricity cable connecting Poland and Lithuania through the Baltic Sea. The cable will become a building block for the future offshore grid in the Baltic Sea. This funding will also cover investments such as synchronous condensers in Estonia, Latvia and Lithuania.
- **Danube Ingrid** (€102 million): This smart electricity grid project in Hungary and the Slovak Republic will improve network management and increase the quality and security of supply for all market participants. It will also support the efficient integration of renewables.
- **The Porthos CO<sub>2</sub> transport network project** (€102 million): This project between the Netherlands and Belgium will develop an open access CO<sub>2</sub> transport network in three of Europe's main ports (Rotterdam, Antwerp and North Sea Port) leading to an offshore storage site in the North Sea.

The Transparency Platform provides for an interactive map with up-to-date information for each PCI: [http://ec.europa.eu/energy/infrastructure/transparency\\_platform/map-viewer/main.html](http://ec.europa.eu/energy/infrastructure/transparency_platform/map-viewer/main.html).

An indicator screening exercise was carried out in 2017 and showed that some indicators initially proposed for CEF Energy were too difficult and/or lacked sufficient clarity. Therefore, it was proposed already in previous Programme Statements to discontinue these few indicators. Building on this experience, improved and better tailored indicators for CEF Energy have been developed for the Connecting Europe Facility 2021-2027.

For **specific objectives 4 to 6**<sup>5</sup>, it is to be noted that the initial list of 248 energy infrastructure projects that are Projects of Common Interest (PCIs) is updated every two years. The selection of PCIs is an on-going process in order to cater for emerging projects geared to fulfil future needs. It is therefore of prime importance to indicate to which edition of the list indicator values refer to. On 31 October 2019, the Commission published its fourth Union list of PCIs<sup>6</sup>, which contains 149 projects (of which 85 received CEF support), i.e. 100 electricity transmission and storage, 6 smart grid deployment, 32 gas, 6 oil and 5 cross-border carbon dioxide networks. Electricity and smart grids account for more than 70% of the projects, mirroring the increasing role of renewable electricity in the energy system and the need for network reinforcements enabling the integration of renewables and more cross-border trade.

The Actions supported by CEF Energy are overall progressing well with several actions/PCIs completed in 2020 for which CEF Energy provided co-funding for works and/or studies (see below for further details). Only 5 Actions have been terminated since the beginning of the programme. The majority of the closed Actions demonstrated full technical completion and made an important

<sup>4</sup> Information note to the CEF Transport Committee of 11 June 2020- Ares (2020) 3101743-  
[https://ec.europa.eu/inea/sites/inea/files/cefpub/new\\_info\\_note\\_to\\_the\\_cef\\_committee\\_on\\_extension\\_policy.pdf](https://ec.europa.eu/inea/sites/inea/files/cefpub/new_info_note_to_the_cef_committee_on_extension_policy.pdf)

<sup>5</sup> **Specific Objective 4:** Increasing competitiveness by promoting the further integration of the internal energy market and the interoperability of electricity and gas networks across borders;

**Specific Objective 5:** Enhancing Union security of energy supply;

**Specific Objective 6:** Contributing to sustainable development and protection of the environment, by the integration of energy from renewable sources into the transmission network and by the development of smart energy networks and carbon dioxide networks.

<sup>6</sup> Commission Delegated Regulation (EU) 2020/389 of 31 October 2019 amending Regulation (EU) No 347/2013 of the European Parliament and of the Council as regards the Union list of projects of common interest, OJ L 74, 11.3.2020, p. 1 [http://data.europa.eu/eli/reg\\_del/2020/389/oj](http://data.europa.eu/eli/reg_del/2020/389/oj)

contribution to the PCI implementation. In some cases, delays affecting the end date of the Action are however observed. Main reasons for the delays relate to procurement, permitting, public acceptance, regulatory and political issues (see also above). Despite many key projects still on-going, as explained above, some important PCIs could be completed in 2020 and previous years contributing to the specific objectives. A recent study supporting the evaluation of the TEN-E Regulation concluded that commissioned PCIs have increased market integration, security of supply and supported the integration of renewable energy sources into the energy system.<sup>7</sup>

Concerning the specific objective 4 Increasing competitiveness by promoting the further integration of the internal energy market and the interoperability of electricity and gas networks across borders, the completion of the Estonia-Latvia third electricity interconnection will increase the market integration in the Baltic region by reinforcing north-south electricity connections and alleviate the congested Estonian-Latvian border. The additional 600 MW in transmission capacity at the border between Estonia and Latvia will further facilitate the integration of renewable energy sources into the grid. In addition, the completion of BRUA (Bulgaria-Romania-Hungary-Austria pipeline corridor), 1st phase, will enable 1.75 bcm/a firm capacity at the RO-HU border and 1.5 bcm/a at the RO-BG border (Giurgiu-Ruse IP).

Indicators 1<sup>8</sup> and 2<sup>9</sup> are based on the number of PCIs effectively contributing to the specific objectives. These have been monitored during the Programme implementation based on formal monitoring requirements for PCIs set out in the TEN-E Regulation (Art. 5, monitoring and implementation). Although their evolution is only partly related to the CEF budget, these two indicators are kept until the end of the Programme and can be used ex-post.

Indicator 3<sup>10</sup> lists the Member States that are above the 10% interconnectivity target as mentioned in Recital 2 of the TEN-E Regulation. Although its evolution is only partly related to the CEF budget, this indicator has been monitored during the programme implementation. It measures the ratio of the cross-border transmission capacity and the installed generation capacity in a Member State. It can also be used ex-post. In 2020, 19 Member states are at or above the 10% electricity interconnection.

PCIs contributing to this specific objective are progressing, but some face significant delays. Mostly external factors outside CEF Energy are the reasons for these delays. In particular, delays in the permitting phase, often due to public opposition, prevent timely completion. In addition, in some cases it was not possible to implement the projects with the originally envisaged route which required the identification of alternative routes making additional studies and assessments necessary.

In the indicator screening exercise carried out in 2017, indicator 4<sup>11</sup> has been ranked low by DG ENER in terms of relevance to the budget, relevance to the programme, results and data accessibility. For example, price convergence in the electricity or gas sector is not only determined by the level of cross-border capacity changes but also by market design issues for electricity whereas for gas it depends on diversification and access to liquid markets as well as on third-party access to major pipelines. Moreover, the contribution of each specific project cannot be singled out without in-depth network modelling analysis. DG ENER has also expressed that indicator 5<sup>12</sup> relates more to security of supply and in addition is extremely difficult to measure. Notably the indicator in its current definition is not smart enough, as it lacks precision, is severely affected by seasonal changes in gas demand and would need to be applied to more than one pair of Member States, thereby resulting in many different values. Therefore, it is proposed to discontinue indicator 4 and 5.

By the early 2020s, when the gas PCIs currently under implementation will be in operation, Europe should achieve a well-interconnected and shock-resilient gas grid and all Member States will have access to at least three gas sources or the global liquefied natural gas (LNG) market. 23 Member States will have access to the global LNG market with increasing liquidity which is a key element to improve the Union's energy security through the diversification of gas sources. With the completion of the LNG terminal in Krk (Croatia) which comprises a Floating Storage and Regasification Unit (FSRU), a jetty and a connecting high-pressure pipeline, for an approximate send-out capacity of 2 bcm/year, an important milestone was achieved to enhance the diversification and security of natural gas supply for the region. Moreover, the completion of the gas pipeline from Greece to Italy via Albania and the Adriatic Sea [currently known as "Trans-Adriatic Pipeline" (TAP)] project contributes significantly to diversification of supply sources with an additional gas supply capacity of 10 bcm/a to the south east European region.

Concerning the specific objective 5 Enhancing Union security of energy supply, it is important to note, that with the adoption of the third and fourth PCI lists, the number of gas PCIs has changed. On the current PCI list the number of gas PCIs has considerably decreased.

Indicator 1<sup>13</sup> refers to the number of PCIs still to be commissioned supporting the objectives. The indicator has been monitored during the Programme implementation and it can also be used ex-post.

Indicator 2<sup>14</sup> refers to natural gas storage only. Although its evolution is only partly related to the CEF budget, the indicator has been monitored during the programme implementation on the basis of the formal monitoring requirements for PCIs set out in the TEN-E Regulation (Art. 5, monitoring and implementation). The indicator can be also used ex-post.

<sup>7</sup> Ecorys et al. (2021): Support to the evaluation of Regulation (EU) No 347/2013 on guidelines for trans-European energy infrastructure. Final report, <https://op.europa.eu/en/publication-detail/-/publication/19bec11f-5f86-11eb-b487-01aa75ed71a1>

<sup>8</sup> The number of projects effectively interconnecting Member States' networks and removing internal constraints

<sup>9</sup> The reduction or elimination of Member States' energy isolation

<sup>10</sup> The percentage of electricity cross-border transmission power in relation to installed electricity generation capacity in the relevant Member States

<sup>11</sup> Price convergence in the gas and/or electricity markets of the Member States concerned

<sup>12</sup> The percentage of the highest peak demand of the two Member States concerned covered by reversible flow interconnections for gas

<sup>13</sup> The number of projects allowing diversification of supply sources, supplying counterparts and routes

Indicator 3<sup>15</sup> is based on monitoring requirements set out in Regulation No (EU) 2017/1938 on the security of supply for gas, under which Member States have to report every two years to the Commission. The progress of the indicator is based on PCIs which are implemented. Although its evolution is only partly related to the CEF budget, it has been monitored during the Programme implementation. It can also be used ex-post.

Indicator 4<sup>16</sup> contribute to the specific objective 6 only, not relevant for specific objective 5. The indicator is discontinued under the specific objective 5, but kept under the specific objective 6.

The progress of the indicator 5<sup>17</sup> is related to the number of PCIs actually being implemented which allow diversification of supply sources. Although its evolution is only partly related to the CEF budget, the indicator 5 is monitored during the Programme implementation and was kept until the end of the Programme. It can also be used ex-post.

Indicator 6<sup>18</sup> is a “meta-level” indicator and it is not smartly defined to refer to the policy objectives of the TEN-E Regulation, as it is being affected mainly by market design issues. Additionally, there is no definition of what is “optimal use”, which anyway will be seen differently for electricity and gas infrastructure. It is therefore proposed to be discontinued.

Regarding the specific objective 6 Contributing to sustainable development and protection of the environment, by the integration of energy from renewable sources into the transmission network and by the development of smart energy networks and carbon dioxide networks, indicator 1<sup>19</sup> is based on network modelling analysis rather than on actual progress of PCIs for which no intermediate data over the years are available (only 2020). It can only be measured ex-post.

Indicator 2<sup>20</sup> is based on network modelling analysis rather than on actual progress of PCIs for which no intermediate data over the years are available. It can only be measured ex-post.

Indicator 3<sup>21</sup> was changed during the implementation of the programme. The demand response enabled by smart grid projects can be measured only ex- post and should not be mixed up with the number of PCIs supported by CEF. This part of the indicator has been discontinued. The number of smart grid projects supported by CEF, and that will be commissioned by 2020 was monitored during the Programme implementation.

Indicator 4<sup>22</sup> is based on network modelling analysis rather than on actual progress of PCIs for which no intermediate data over the years are available (only 2020). It can only be measured ex-post.

Overall, it is important to note that CEF Energy is a strong catalyst in bringing together project promoters, National Regulatory Authorities and government representatives to solve issues so that cross-border infrastructure projects can be realised. Its grants component is making the difference in promoting cooperation between countries to develop and implement energy interconnection PCIs that otherwise would not happen. This is especially the case for cross-border projects located in countries with smaller population sizes or in a more remote location, where energy tariffs would need to be increased substantially to cover the investment needs. The Celtic electricity Interconnector between Ireland and France and the Gas Interconnector Poland-Lithuania are examples of projects that could not have been funded in a purely national context.

In addition to CEF financial assistance, four High-Level Groups set-up by the Commission in different regions of the EU with a scope of providing high-level political support and direction to assist infrastructure development in these regions, have made an important contribution to the successful completion of action/PCIs. These four groups are the Central and South-Eastern European Connectivity (CESEC) Initiative, the North Sea Energy Cooperation (NSEC), the Baltic Energy Market Interconnection Plan (BEMIP) and the High-Level Group on Interconnections for South-West Europe (HLG SWE). For instance, CESEC has been important to advance the completion of BRUA phase 1, TAP, and the Krk LNG terminal, whereas BEMIP plays an important role in ensuring good progress with the Baltic Synchronisation project.

## **CEF TELECOM**

For the objective of contributing to the efficient flow of private and public investments to stimulate the deployment and modernisation of broadband networks, CEF Telecom invested into two complementary actions: WiFi4EU and the Connecting Europe Broadband Fund (CEBF).

Extensive, but small, ground-level, schemes like WiFi4EU bring significant impact in terms of raising awareness of the importance of connectivity and supporting digital inclusion, especially in rural areas. However, in order to efficiently manage the thousands of beneficiaries it was essential to put in place an adequate IT infrastructure to support the execution of the programme from the

<sup>14</sup> The number of projects increasing storage capacity

<sup>15</sup> System resilience, taking into account the number of supply disruptions and their duration

<sup>16</sup> The amount of avoided curtailment of renewable energy

<sup>17</sup> The connection of isolated markets to more diversified supply sources

<sup>18</sup> The optimal use of energy infrastructure assets

<sup>19</sup> The amount of renewable electricity transmitted from generation to major consumption centres and storage sites

<sup>20</sup> The amount of avoided curtailment of renewable energy

<sup>21</sup> The number of deployed smart grid projects which benefited from the CEF and the demand response enabled by them

<sup>22</sup> The amount of CO<sub>2</sub> emissions prevented by the projects which benefited from the CEF

outset. The experience gained in WiFi4EU is a precious start point for any future similar scheme. In the future CEF Digital, WiFi4EU will evolve to support 5G deployment and take up by local communities.

The CEBF is the first investment platform ever created in Europe to boost investments in broadband infrastructures. The investors are the European Commission, the European Investment Bank (EIB), and three National Promotional Banks and Institutions (NPBIs). The mandate is to finance broadband infrastructure “greenfield” projects, in order to contribute achieving the objectives set forth in the Digital Agenda for Europe (DAE) and the European Gigabit Society (EGS) communication.

The CEBF is supporting deployment projects focusing mostly in remote or rural areas, where population density is low and there is a strong risk of a 'digital divide'. It is contributing to closing the funding gap in the market via direct financing to private sector (focusing on mid-caps and SMEs), publicly owned companies, public and private partnerships, and via financial intermediaries.

The private sector is involved at two levels: 1) at Fund level, to facilitate private investments, by using public funds (first loss piece contributed by CEF Telecom) to absorb part of the risks; 2) at investment level (project promoters), CEBF financing complements private sector funding, as well as public sector support, to cover the financial needs of broadband deployment projects.

At Fund level, CEBF has raised €470 million of financial commitments, including three private investors for a total of €75 million. At project level, CEBF has funded 7 projects, with contributions totalling €195 million and expected private investments of €501 million.

Due to the nature of the projects (“greenfield”, rural areas, market-failure), the CEBF is de-facto acting as a “business angel” for most of those projects. This allows projects to go beyond the stage after which it will be able to raise additional funding from private banks. The role of the Commission’s first loss piece is therefore essential to lower the risk exposure of projects and closing the deal with private investors.

One lesson learnt is that future financial vehicles should have a broader and more flexible scope for strategic investments so as to address policy needs as they emerge. This flexibility is needed to support a sector like digital, which is evolving very rapidly in terms of technologies and markets.

### 3.2. Key achievements


#### **TRANSPORT achievements in 2020<sup>23</sup>**

In 2020, despite the difficulties related to the COVID pandemic, few projects selected under previous calls for proposals (between 2014 and 2017) were opportunely completed, contributing to the achievement of climate and digitalisation objectives for the transport sector:

307	3	2
Pilot multi-standards fast chargers deployed across <a href="#">Belgium</a> , <a href="#">Germany</a> , the <a href="#">Czech Republic</a> and <a href="#">Slovakia</a> in view of future roll-out..	<a href="#">Remote tower services</a> deployed for low traffic airports in Sweden paving the way for future EU deployment	Sections of the German Inland Waterway network improved along the <a href="#">Lower-Havel Waterway</a> and the <a href="#">Elbe-Havel Canal</a> enabling the passage of fully loaded, large self-propelled barges and push barges with double-layered container loads

#### **ENERGY achievements in 2020**

In 2020, the following PCIs were completed and supported by CEF grants for works in previous years include:

- PCI 4.2.1: The Estonia-Latvia third electricity interconnection will increase the security of supply in the Baltic region by reinforcing north-south electricity connections and alleviate the congested Estonian-Latvian border. The additional 600 MW in transmission capacity at the border between Estonia and Latvia will further facilitate the integration of renewable energy sources into the grid. At the same time, the connection is an important prerequisite for the synchronisation of the three Baltic States with the continental European network (CEN).

<sup>23</sup> The achievements mentioned in this section refer to projects closed during 2020. It is anyhow to be noted that the achievements in term of KPIs have been attributed to the year of the CEF supported Action end date.

- PCI 6.24.1: the first phase of the BRUA (Bulgaria-Romania-Hungary-Austria) gas pipeline corridor has been achieved in 2020. It corresponds to the Romanian section, which is the main part of the project, enabling 1.75 billion cubic metres of natural gas capacity at the border Romania-Hungary, and 1.5 at the border Romania-Bulgaria. (Giurgiu-Ruse IP).
- PCI 6.5.1: in 2020, the LNG terminal in Krk (Croatia) has been achieved. It comprises a Floating Storage and Regasification Unit (FSRU), a jetty and a connecting high-pressure pipeline, for an approximate send-out capacity of 2 bcm/year. The terminal will enhance the diversification and security of natural gas supply for the region.

In addition, other PCIs, which received the CEF support for studies on earlier implementation stages, were completed in 2020 include:

- PCI 3.11.2: Internal line between Vitkov and Prestice (CZ): building of a new 400 kV AC double-circuit OHL.
- PCI 5.10: Reverse flow interconnection on TENP pipeline in Germany: construction of the first industrial-scale deodorisation plant in Europe, the new plant will allow the import of gas from France via Switzerland into Germany.
- PCI 7.1.3: Gas pipeline from Greece to Italy via Albania and the Adriatic Sea [currently known as “Trans-Adriatic Pipeline” (TAP)] project completed in November 2020 and gas flows started at the end of December 2020. The pipeline links Turkey to Italy passing through Greece and Albania and, including through connections to neighbouring countries, it can supply 10 bcm/a gas to the south east European region.

## TELECOM

CEBF has proved to be a successful pilot instrument which, based on a Commission’s contribution of EUR 100 million from CEF, has so far raised €470 million capital through other public and private financial commitments.

WiFi4EU delivered on the political promise to attribute connectivity vouchers (of EUR 15.000 each) to about 8.800 municipalities. In March 2021, more than 4.200 networks have been installed by the municipalities and are currently used by European citizens. The initiative also succeeded to establish a direct link with local entities (municipalities, local and regional administrations, etc.), create an active and dedicated community, and raise awareness of connectivity policies.

### 3.3. Evaluations, studies and reports

The key findings of the latest evaluations have been presented in the Programme Statement 2019 <sup>(24)</sup>.

Transport:

At the end of 2019, the Commission has also started the process for the review of the TEN-T Regulation (EU) N° 1315/2013. The evaluation of the existing regulation has been assessed by the Regulatory Scrutiny Board (RSB) on 18 November 2020 and 2 March 2021. The Staff Working Document on the evaluation shall be published by April 2021. In the meanwhile, the impact assessment exercise supporting the revision has been launched with a view to allowing for the preparation of a proposal for the revision of the TEN-T Guidelines by September 2021. An open public consultation for the impact assessment has been launched on 10 February and remains open until 5 May 2021. **Specific studies:**

- **TEN-T Core Network Corridor studies:** Corridor studies for 2018-2019 (4<sup>th</sup> version) have been finalised and published during 2020. The studies provide an updated overview of the TEN-T completion along the 9 Core Network Corridors and for the 2 horizontal priorities of European Railway Traffic Management System (ERTMS) and Motorways of the Sea (MoS).

Energy:

The Commission reported on the latest performance of the TEN-E framework in the Commission Staff Working Document (SWD(2019)395) accompanying the Commission Delegated Regulation amending TEN-E Regulation <sup>(25)</sup> (i.e. 4th PCI list; C(2019)7772). In June 2019 the Commission launched an evaluation of the TEN-E Regulation <sup>(26)</sup>.

In 2020, the Commission carried out an evaluation of the TEN-E Regulation back-to-back with an impact assessment for the revision of the TEN-E Regulation. The evaluation concluded that the TEN-E Regulation has effectively improved integration of Member States’ networks, stimulated energy trade and hence contributed to EU competitiveness, as shown in the evidence on interconnection targets and energy prices and their convergence across the EU. More specifically, PCIs in electricity and in particular in gas have strongly contributed to security of supply as a main contextual driver to the design of the TEN-E Regulation. For gas, the infrastructure is now well connected and supply resilience has improved substantially since 2013. Regional cooperation in Regional Groups and through cross-border cost allocation is an important enabler for project implementation. While permitting procedures have been shortened, long permitting procedures persist in some cases. While the underlying reasons are mainly related to national implementation and outside the scope of the TEN-E Regulation and need to be addressed through an increased focus on implementation and enforcement, there are elements that can be improved also at Union level. CEF financial assistance was an

<sup>(24)</sup> <https://ec.europa.eu/transport/sites/transport/files/legislation/swd-2018-0044-mid-term-evaluation-cef-ia-part2.pdf>

<sup>(25)</sup> [https://ec.europa.eu/energy/sites/ener/files/c\\_2019\\_7772\\_1\\_commission\\_delegated\\_regulation.pdf](https://ec.europa.eu/energy/sites/ener/files/c_2019_7772_1_commission_delegated_regulation.pdf)

<sup>(26)</sup> [https://ec.europa.eu/info/law/better-regulation/initiatives/ares-2019-3443380\\_en](https://ec.europa.eu/info/law/better-regulation/initiatives/ares-2019-3443380_en)

important factor, grants for studies helped projects to reduce risks in the early stages of development while grants for works supported projects addressing key bottlenecks that market finance could not sufficiently address. While the objectives of the current Regulation remain largely valid, it was concluded that their focus on 2020/30 targets must be upgraded to reflect the new political context and the 2050 climate neutrality objective under the European Green Deal<sup>27</sup>

In December 2020, the Commission published a proposal for a revised TEN-E Regulation to fully align the regulatory framework with the European Green Deal contributing to the Union's 2030 climate and energy targets and the climate neutrality objective by 2050<sup>28</sup>

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :To contribute to the development of projects of common interest relating to efficient and interconnected networks and infrastructure for smart, sustainable, inclusive, safe and secure mobility (Transport strand)**

**Indicator 1: Number of cross-border and missing links addressed with the support of CEF**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	CINEA
Link to the objective	The indicator aims at monitoring and measuring the CEF programme, fulfilling the specific objective of contributing to the development of projects of common interest related to efficient interconnected and multimodal networks and infrastructure for smart, interoperable, sustainable, inclusive, accessible, safe and secure mobility (art. 3.2. a. i) of CEF II draft Regulation) In particular, it refers to eligible actions relating to efficient, interconnected, interoperable and multimodal networks for the development of railway, road, inland waterway and maritime infrastructure (art. 9.2.a) of the CEF II draft Regulation).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of CEF supported actions contributing to the digitalisation of transport, in particular through the deployment of ERTMS, RIS, ITS, VTMS/e-maritime services and SESAR**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Input
Unit of measurement	Units
Cut-Off Date	
Data source	CINEA
Link to the objective	The indicator aims at monitoring and measuring the CEF programme, fulfilling the specific objective of contributing to the development of projects of common interest related to efficient interconnected and multimodal networks and infrastructure for smart, interoperable, sustainable, inclusive, accessible, safe and secure mobility (art. 3.2. a. i) of CEF II draft Regulation) In particular, it refers to eligible actions relating to smart, interoperable, sustainable, multimodal, inclusive, accessible, safe and secure mobility and supporting telematics application systems in accordance with article 31 of Regulation (EU) No 1315/2013 for the respective transport modes (art. 9.2.b) ii) of the CEF II draft Regulation).
Link MFF 14-20 / MFF 21-27	

<sup>27</sup>

<sup>28</sup>

Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of alternative fuel supply points built or upgraded with the support of CEF**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	CINEA
Link to the objective	The indicator aims at monitoring and measuring the CEF programme, fulfilling the specific objective of contributing to the development of projects of common interest related to efficient interconnected and multimodal networks and infrastructure for smart, interoperable, sustainable, inclusive, accessible, safe and secure mobility (art. 3.2. a. i) of CEF II draft Regulation) In particular, it refers to eligible actions relating to smart, interoperable, sustainable, multimodal, inclusive, accessible, safe and secure mobility and supporting alternative fuels infrastructure for all modes of transport, in accordance with article 33 of the Regulation (EU) 1315/2013 (art. 9.2.b) iv) of the CEF II draft Regulation).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of CEF supported actions contributing to the safety of transport**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Input
Unit of measurement	Units
Cut-Off Date	
Data source	CINEA
Link to the objective	The indicator aims at monitoring and measuring the CEF programme, fulfilling the specific objective of contributing to the development of projects of common interest related to efficient interconnected and multimodal networks and infrastructure for smart, interoperable, sustainable, inclusive, accessible, safe and secure mobility (art. 3.2. a. i) of CEF II draft Regulation) In particular, it refers to eligible actions relating to smart, interoperable, sustainable, multimodal, inclusive, accessible, safe and secure mobility and supporting safe and secure infrastructure and mobility for road, in accordance with Article 34 of the Regulation (EU) 1315/2013 (art. 9.2.b) vi) of the CEF II draft Regulation).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Number of CEF actions contributing to transport accessibility for persons with reduced mobility**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Input
Unit of measurement	Units
Cut-Off Date	

Data source	CINEA
Link to the objective	The indicator aims at monitoring and measuring the CEF programme, fulfilling the specific objective of contributing to the development of projects of common interest related to efficient interconnected and multimodal networks and infrastructure for smart, interoperable, sustainable, inclusive, accessible, safe and secure mobility (art. 3.2. a. i) of CEF II draft Regulation) In particular, it refers to eligible actions relating to smart, interoperable, sustainable, multimodal, inclusive, accessible, safe and secure mobility and improving transport infrastructure accessibility in all modes of transport and for all users, especially users with reduced mobility , in accordance with Article 37 of the Regulation (EU) 1315/2013 (art. 9.2.b) viii) of the CEF II draft Regulation).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 6: Number of CEF supported actions contributing to reduce rail freight noise

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Input
Unit of measurement	Units
Cut-Off Date	
Data source	CINEA
Link to the objective	The indicator aims at monitoring and measuring the CEF programme, fulfilling the specific objective of contributing to the development of projects of common interest related to efficient interconnected and multimodal networks and infrastructure for smart, interoperable, sustainable, inclusive, accessible, safe and secure mobility (art. 3.2. a. i) of CEF II draft Regulation) In particular, it refers to eligible actions relating to smart, interoperable, sustainable, multimodal, inclusive, accessible, safe and secure mobility and supporting the reduction of rail freight noise (art. 9.2.b) iii) of the CEF II draft Regulation).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 2 :To adapt the TEN-T networks to military mobility need (Transport strand)

#### Indicator 1: Number of transport infrastructure components adapted to civilian-military dual-use requirements

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	CINEA
Link to the objective	The indicator aims at monitoring and measuring the CEF programme, fulfilling the specific objective of contributing to the adaptation of parts of the trans- European transport network for a dual use of the transport infrastructure in view of improving both civilian and military mobility (art. 3.2. a. ii) of CEF II draft Regulation)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :To contribute to the development of projects of common interest relating to further integration of the internal energy market, interoperability of networks across borders and sectors, facilitating decarbonisation and the facilitation of cross-border cooperation in the area of renewable energy (Energy strand)**

**Indicator 1: Number of CEF actions contributing to projects interconnecting MS networks and removing internal constraints**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	The data will be collected after grant agreement signature and will be available as of that moment. The first grant agreements are expected to be signed in 2022.
Link to the objective	One of the specific objectives of the CEF Energy is to contribute to the development of the projects of common interest relating to further integration of an efficient and competitive internal energy market. The indicator shows the contribution of actions supported by CEF to this specific objective in electricity and gas sectors.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :To contribute to the security of energy supply (Energy strand)**

**Indicator 1: Number of CEF actions contributing to projects ensuring resilient gas network**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	The data will be collected after grant agreement signature and will be available as of that moment. The first grant agreements are expected to be signed in 2022.
Link to the objective	The projects of common interest in the gas sector are aimed to develop missing or enhance existing interconnections to increase security of gas supply, cross-border trade and competition. The indicator shows the contribution of the actions supported by CEF to the trans-European energy networks policy objective to ensure the security of supply.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of CEF actions contributing to the smartening and digitalisation of grids and increasing energy storage capacity**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	Output
Unit of measurement	Unit
Cut-Off Date	
Data source	The data will be collected after grant agreement signature and will be available as of that moment. The first grant agreements are expected to be signed in 2022.
Link to the objective	Developing a smart and efficient energy system including storage and demand response solutions that help balance the grid significantly contributes to the ambitious EU long-term decarbonisation objectives, ensures efficiency and security of energy supply. Smart grid projects play key role in energy transition by integrating electricity generation, distribution or consumption using real time system management and influencing cross-border energy flows. The indicator shows the contribution of the CEF funded actions to achievement of these specific objectives.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 5 :To contribute to sustainable development through enabling decarbonisation (Energy strand)

#### Indicator 1: Number of CEF actions contributing to projects enabling increased penetration of renewable energy in the energy systems

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	The data will be collected after grant agreement signature and will be available as of that moment. The first grant agreements are expected to be signed in 2022.
Link to the objective	The focus of the TEN-E policy is shifting towards the accelerated integration of increasing amounts of renewable energy in line with the ambitious energy and climate targets, related energy security and the completion of the internal energy market by addressing remaining bottlenecks. Deployment of electricity interconnectors and storage facilities, development of the smart grids is crucial for integrating energy markets and enabling more renewables in the system. At the same time, biogas and renewable hydrogen are expected to play an important role in the future EU energy mix. The indicator will show the number of the CEF supported actions contributing to the projects of common interest enabling the increased penetration of renewable energy in the energy systems.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Number of CEF actions contributing to cost efficient reaching of the EU shared RES target on the basis of cross-border cooperation in the area of renewables

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	The data will be collected after grant agreement signature and will be available as of that moment. The first grant agreements are expected to be signed in 2021.
Link to the objective	The RED II Directive establishes a share EU target for RES by 2030. To create opportunities for reducing the cost of meeting the EU target and to give flexibility to Member States to comply with their obligation not to fall below their 2020 national targets after 2020, it is allowed the consumption in Member States of energy produced from renewable sources in other Member States and Member

	States are allowed to count energy from renewable sources consumed in other Member States towards their own renewable energy share. Bilateral or multilateral cooperation agreements (statistical transfers, joint projects between Member States or joint support schemes) and the voluntary opening of support schemes to projects located in other Member States are supported under CEF actions.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 6 :To contribute to the deployment of very high capacity digital networks and 5G systems, to the increased resilience and capacity of digital backbone networks on EU territories by linking them to neighbouring territories, as well to the digitalisation of transport and energy network (Digital strand)**

**Indicator 1:New connections to very high capacity networks for socio-economic drivers and very high quality connections for local communities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									
	0	30	43	17						
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	Project promoter /Monitoring data
Link to the objective	Contribution to the objective of increasing coverage with gigabit networks and 5G systems.
Link MFF 14-20 / MFF 21-27	No direct link with CEF 2014-2020
Other methodological comments	The figures represent the number of socio-economic drivers having access to 5G systems for new, innovative, use cases, as a result of the call for proposals of the previous year, assuming the deployment is realised in one year
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Number of CEF actions enabling 5G connectivity along transport paths**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									
	0	2	4							
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	Implementing agency HaDEA
Link to the objective	Contribution to specific objective 6 of increasing coverage with 5G systems, in particular along transport corridors, thus contributing to achieving the 2025 gigabit society connectivity target “5G coverage along major transport paths” and the "5G for Europe: an action plan” and the 3rd mobility package Communication - On the road to automated mobility: an EU strategy for mobility of the future (COM(2018)283)
Link MFF 14-20 / MFF 21-27	No direct link with CEF 2014-2020 (new topic)
Other methodological comments	Milestone figures related to the first Multiannual Work Programme 2021-23; First call for deployment projects only in 2022. Inception studies foreseen for 2021
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Number of actions enabling new connections to very high capacity networks**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									

	0	19	2							
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	
Data source	Implementing agency HaDEA
Link to the objective	Direct relevance for the objective of increasing resilience and capacity of digital backbone networks in the EU (art. 3.2.c of the CEF Regulation). The co-funded actions will address, under different topics, the deployment of new, or significant upgrade of cross-border backbone networks.
Link MFF 14-20 / MFF 21-27	No direct link with CEF 2014-2020, as it is a new topic/programme.
Other methodological comments	The number of actions reported will integrate projects developed under the topics, to be set out in the Workprogramme, such as quantum communication infrastructures, terabit interconnection of high performance computers, interconnection of cloud centers, submarine cables. The assumption is that the first actions will be launched (grant agreements signed) only in 2022.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Number of CEF actions contributing to the digitalisation of energy and transport sectors

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									
	0	0	1							
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Unit
Cut-Off Date	
Data source	Future implementing Agency HaDEA
Link to the objective	Will contribute to the digitalisation of transport and energy networks
Link MFF 14-20 / MFF 21-27	No direct link with CEF 2014-2020 projects, new topic.
Other methodological comments	One dedicated call for proposals for one action is intended to be launched in 2023 (a study will be executed in the meantime).
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : Connecting Europe Facility (CEF)

#### General Objective 1 :Developing modern and high-performing trans-European networks and creating an environment more conducive to private, public or public-private investment

#### Indicator 1:Volume of private, public or public-private partnership investment in projects of common interest

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Transport										
	Milestones									2023
							31343,3	41441,5	49500,1	53009
	Actual Progress									Final
	835,6	2195,2	5354,5	9937	15586,5	21785,5	31343,3			
Energy										
	Milestones									2023
							3304,3	4618,9	5768,6	9577,1
	Actual Progress									Final
	19,3	170,3	354,5	595,4	1061,1	1933,5	3304,3			
Telecom										
	Milestones									2023
							492,6	492,6	492,6	492,6
	Actual Progress									Final

	22,1	88,2	171,1	261,2	387	443,7	492,6			
Total										
	Milestones									2023
							35140,1	46553	55761,3	63078,6
	Actual Progress									Final
	876,9	2453,6	5880,1	10799,3	17034,5	24162,6	35140,1			

Are we on track	Moderate progress
Indicator type	Input
Unit of measurement	EUR million
Cut-Off Date	17/02/2021
Data source	INEA - Costs correspond to the latest available information (grant agreements and Action Status Reports) for CEF Transport/Energy actions. Costs are attributed to the year in which they have been, or are expected to be, incurred. For CEF Telecom no yearly split is available, costs have been assigned to the year of signature of the grant agreement. For CEF Telecom lump sum actions, the EU contribution was considered as costs. For CEF Synergy the costs have been allocated under Transport and Energy sector based on the activity sectors. The costs are indicated in EUR million and cumulated over the years.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Transport: The data measure total investment (i.e. eligible costs) for all signed CEF grant agreements (i.e. data do not measure overall investments in the entire TEN-T network, to which various other actors - including Member States, structural funds and private sector – contribute).
Full metadata available at this address	
Justification of the trend	The Indicator simply describes the CEF portfolio of projects. It follows a good trend as majority of the CEF funds have been already allocated to Grant Agreements and triggered additional private and/or public investments contributing to the CEF objectives.

## Indicator 2: Volume of private investments in projects of common interest achieved through the financial instruments under the CEF Regulation

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Transport										
2013	Milestones									2022
0				400	500	1 700	2 600			2 600
	Actual Progress									Final
	0	0	37,5	61,1	61,1	165,8	206,35			
Energy										
2013	Milestones									2022
0							up 2 100			5 000-10 000
	Actual Progress									Final
	0	0		700	5 000	5 000	5000			
Telecom										
2013	Milestones									2022
0				100-205	200-340	100	800-1 500			800-1 500
	Actual Progress									Final
	0	0		0	25	25				

Are we on track	No data
Indicator type	Input
Unit of measurement	EUR million
Cut-Off Date	31/12/2020
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	CEF Transport: the data on the actual progress correspond to the payments made to the EIB in the framework of the CEF DI instrument. It is to be noted that total investment generated for operations signed since 2014 amount to around EUR 5.900 million. Detailed reporting DG BUDG will be provided in working document X, in line with the provisions of article 41 (4) of the Financial Regulation. CEF Energy: This includes the projected CEF Debt operation in the energy sector and TEN-E projects completed with the financing mobilised under EFSI to which CEF contributed financially [e.g. BRUA project, TAP]. It is to be noted that for the CEF 2021-2027 all financial

Instruments will be managed through the InvestEU programme.
---

**Indicator 3: Volume of private investment in fast and ultra-fast broadband internet**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
										At least a third of the expected 1 000-1 700
	Actual Progress									Final
						26	501			

Are we on track	Moderate progress
Indicator type	Input
Unit of measurement	EUR million
Cut-Off Date	31/12/2020
Data source	Report by the Fund Manager
Narrative	Target: Projection of private investment between 2011 and 2020
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	At Fund level, CEBF has raised €470 million of financial commitments, including three private investors for a total of €75 million. The figures for the total private investment in fast and ultrafast broadband will only be known when the whole fund is invested
Full metadata available at this address	
Justification of the trend	The fund started to invest into projects only in 2019 with a significant increase in 2020.

**Indicator 4: Volume of public and private investment in projects of common interest for fast and ultra-fast broadband internet funded by CEF**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Private investments										
2013	Milestones									2020
0	0	0	0		Telecom: 200-340 private investor contribution at Fund or at project level (CEBF)	26	501			390
	Actual Progress									Final
	0	0	0	100 CEF contribution committed to the fund, whose launch is foreseen for 2018.	Fund launched only in June 2018 with first project financed in January 2019.	3 projects signed for commitments up to EUR 90 million	7 projects signed for commitments up to EUR 310 million			
Public investments										
2013	Milestones									2020
0	0	0	0	Expected 100 CEF contribution next to 290 other public funds to create an Equity Fund		26	195			189
	Actual Progress									Final
	0	0	0	100 CEF contribution committed to the fund, whose launch is	Fund launched only in June 2018 with first project financed in	3 projects signed for commitments up to EUR 90 million	7 projects signed for commitments up to EUR 310 million			

				foreseen for 2018.	January 2019.					
--	--	--	--	-----------------------	------------------	--	--	--	--	--

Are we on track	Moderate progress
Indicator type	Input
Unit of measurement	EUR million
Cut-Off Date	31/12/2020
Data source	Report by Fund Manager
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The fund started to invest into projects only in 2019 with a significant increase in 2020.

**General Objective 2 :To enable the Union to achieve its sustainable development targets of a minimum 20% reduction of greenhouse gas emissions compared to 1990 levels, a 20% increase in energy efficiency and raising the share of renewable energy to 20% by 2020**

**Indicator 1:Reduction of greenhouse gas emissions**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Transport										
2008	Milestones									2030
1 101							883			881
	Actual Progress									
	1 020	1 051	1 079	1 093	1 097	1103				
Energy										
2013	Milestones									Long term target
19%							20%			20%
	Actual Progress									
	23,30%	22,50%	23%	22,60%	20,3%	20%				

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Transport: Million tonnes CO2 equivalent Energy: percentage of greenhouse gas emission reduction compared to 2008
Cut-Off Date	31/12/2019
Data source	Transport: European Environment Agency. <a href="https://www.eea.europa.eu/data-and-maps/indicators/transport-emissions-of-greenhouse-gases-7/assessment">https://www.eea.europa.eu/data-and-maps/indicators/transport-emissions-of-greenhouse-gases-7/assessment</a> Energy: European Environment Agency. <a href="https://www.eea.europa.eu/data-and-maps/indicators/greenhouse-gas-emission-trends-7/assessment">https://www.eea.europa.eu/data-and-maps/indicators/greenhouse-gas-emission-trends-7/assessment</a>
Narrative	Transport: Target: 881 Mt of CO2 eq (level in 2030) (20% reduction by 2030 compared to 2008). For year 2019 value is a preliminary estimate based on approximated GHG inventories reported by Member States under the MMR Regulation (EU) No 525/2013. This does not include shipping (assumed unchanged) and it refers for the first time to EU-27.Energy: Milestones Commission's Report on Member States' progress towards their indicative targets for 2020 (COM(2017) 687) published in November 2017; In 2014 the EU was already 2.2% below the final energy consumption target of 1 086 Mtoe for 2020, but still 1.6% above the 2020 target for primary energy consumption of 1 483 Mtoe.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Transport: the indicator shows that CO2 emissions in the transport sector are increasing and that a particular attention should be paid to this issue. Despite the efforts towards green transport solutions, including through the support of infrastructure for sustainable transport modes (e.g. more than 70% of CEF investments into railway infrastructure), the main transport operations still impact on the level of greenhouse gas emissions. The European Green Deal aims at addressing this issues, including for the transport sector. In the period 2021-2027 CEF will continue contributing to sustainable and digital infrastructure supporting the green transition. Trends show that if important and consequent measures are taken, the level of CO2 equivalent emissions could drop to the level of 970 Mt by 2030. Transport: <a href="https://www.eea.europa.eu/data-and-maps/indicators/transport-emissions-of-greenhouse-gases-7/assessment">https://www.eea.europa.eu/data-and-maps/indicators/transport-emissions-of-greenhouse-gases-7/assessment</a> Energy: According to recent estimates, GHG emissions in the EU-27 countries were 24 % lower in 2019 than in 1990. The emission decrease between 2018 and 2019 was 4 % - the steepest

annual reduction seen in the last decade.
---

**Indicator 2: Increase in energy efficiency**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Transport										
	Milestones									2020
										1087
	Actual Progress									Final
		0.4% below the final energy consumption target of 1 086 Mtoe	2% above the final energy target of 1 086 Mtoe for 2020	3.3% above the final energy consumption target of 1 086 Mtoe	4.2% above the final energy consumption target of 1 087 Mtoe	5% above the final energy consumption target of 1 087 Mtoe				
Energy										
2013	Milestones									2020
							1483			1483
	Actual Progress									Final
		3.1% above the 2020 target for the primary energy consumption of 1 483 Mtoe	4% above the target for the primary energy consumption of 1483 Mtoe	5.3% above the target for the primary energy consumption of 1 483 Mtoe	5% above the target for the primary energy consumption of 1 483 Mtoe	3% above the target for the primary energy consumption of 1 483 Mtoe				

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Transport and Energy: Million of tonnes oil equivalent Mtoe
Cut-Off Date	31/12/2018
Data source	Transport: <a href="https://appsso.eurostat.ec.europa.eu/nui/submitViewTableAction.do">https://appsso.eurostat.ec.europa.eu/nui/submitViewTableAction.do</a> Energy : <a href="https://ec.europa.eu/eurostat/statistics-explained/index.php/Energy_saving_statistics">https://ec.europa.eu/eurostat/statistics-explained/index.php/Energy_saving_statistics</a>
Narrative	Transport: Please note that both target and achievement refer to EU 28. Figures for 2019 are based on EEA estimates. There is no specific target for transport sector in the EU Regulation. Energy: The European Union (EU) has committed itself to a 20 % reduction of energy consumption by the year 2020 compared to baseline projections. This objective is also known as the 20 % energy efficiency target. In other words, the EU has committed itself to have a primary energy consumption of no more than 1 483 Mtoe and a final energy consumption of no more than 1 086 Mtoe in 2020
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Transport: as indicated by the European Environment Agency (EEA): Final energy consumption (FEC) in the 27 EU Member States remained largely stable between 2018 and 2019, according to early EEA estimates (EEA, 2020). The FEC value reached in 2019 (990 million tonnes of oil equivalent (Mtoe)) was the highest in almost a decade, and far from the minimum achieved in 2014. T Increasing energy consumption in the transport sector is slowing down overall progress. In this framework the CEF related investments in sustainable transport infrastructure are not sufficient to trigger a change in the trend and additional measures, especially with reference to operations should be adopted. Energy: In 2019, primary energy consumption in the European Union (EU) of 27 Member States reached 1 352 million tonnes of oil equivalent (Mtoe), which is 3.0% above the efficiency target for 2020 and 19.9% away from the 2030 target. Final energy consumption reached 984 Mtoe: 2.6% above the efficiency target for 2020 and 16.3% away from the 2030 target. Compared with 2018, primary energy consumption decreased by 2% at EU level and final energy consumption by 1%.

**Indicator 3: Share of renewable energy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Transport										
2010	Milestones									2020
							10%			10%
4,8%	Actual Progress									Final
	5,9%	6%	6,9%	7,1%	8%	8,4%				
Energy										

2014	Milestones								2020
16%							20%		20%
	Actual Progress								Final
		16,40%	17,04%	17,50%	18,0%	19,7%			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Transport: Shares of energy from renewable sources used in transport in Europe.
Cut-Off Date	31/12/2019
Data source	Transport: European Environment Agency (EEA). <a href="https://www.eea.europa.eu/data-and-maps/daviz/share-of-renewable-energy-7#tab-googlechartid_chart_71">https://www.eea.europa.eu/data-and-maps/daviz/share-of-renewable-energy-7#tab-googlechartid_chart_71</a> Energy: <a href="https://ec.europa.eu/eurostat/statistics-explained/index.php/Renewable_energy_statistics">https://ec.europa.eu/eurostat/statistics-explained/index.php/Renewable_energy_statistics</a>
Narrative	The use of renewable energy sources is seen as a key element in energy policy, reducing the dependence on fuel imported from non-EU countries, reducing emissions from fossil fuel sources, and decoupling energy costs from oil prices. Directive 2009/28/EC on promotion of the use of energy from renewable sources established accounting criteria for the 2020 targets on renewable energy sources. To be noted that figures for years 2016,2017 and 2018 have been updated in line with the information provided by the EEA. Data for 2019 are based on estimates by the EEA.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Transport: the figures clearly indicate a positive trend for the use of renewable energy for the transport sector. Investments in clean transport infrastructure and in particular the deployment of alternative fuels infrastructure along the transport network, actively contribute to this trend. Energy: The 2020 indicator will be clear next year. The milestone for 2020 is 20%.

### Specific Objective 1 :Removing bottlenecks, enhancing rail interoperability, bridging missing links, and improving cross-border sections

#### Indicator 1:The number of new or improved cross-border connections

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of bottlenecks on cross-border connections (new or improved) which are expected to be addressed by the actions for which CEF grants were awarded										
2013	Milestones								End of programme	
0				1	2	6	24	37	62	93
	Actual Progress								Final	
	0	0	0	1	2	3	3			
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for achieving this indicator										
2013	Milestones								End of programme	
							10 081,49	11282,6	14385,3	15697,8
	Actual Progress								Final	
	228,7	413,8	1159,5	2373,1	3805,1	5411,6	7953,2			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of bottleneck and in EUR million respectively.
Cut-Off Date	31/12/2020
Data source	
Narrative	The bottleneck is considered to have been addressed in the year during which the action was/is expected to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2020, the “real” milestone (i.e. considering a 15 months gap to administratively closed the action,

	ultimate end date of the actions considered is hence September 2019) is estimated to be 3. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). Cross-border projects are exposed to greater risks in terms of issues related to the projects coordination and political support. DG MOVE mitigates these risks also through soft policy means outside the framework of the CEF Regulation. In particular, the Core Network Corridor Coordinators play a key role in anticipating and addressing project coordination and political issues related to cross-border projects.
--	--

### Indicator 2: Km of lines in service equipped with the European Railway Traffic Management System (ERTMS), linked to TEN-T

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Km of track-side to be equipped with ERTMS through actions funded by CEF grants (double-track equivalent)										
2013	Milestones									2024
5000						30	434	559	2387	5971
	Actual Progress									Final
	0	0	0	0	30	30	30			
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
2013	Milestones									2024
							719,1	5044,2	6049,6	6459,7
	Actual Progress									Final
	36	118,5	292,9	686,4	1388,7	2206,7	3752,5			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Km and EUR million respectively
Cut-Off Date	31/12/2020
Data source	INEA
Narrative	Km are reported for the year during which the action was/is expected to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2020, the “real” milestone (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) is estimated to be 31. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). Changes of the national deployment plans, long procurement procedures, dependence on other rail projects conditioning its deployment and technical difficulties are the main delay factors observed. These factors are not under the direct control of the Commission.

### Indicator 3: The number of removed bottlenecks and sections of increased capacity for all modes on core network corridors which have received funding from the CEF

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of bottlenecks addressed/to be addressed by CEF grants										
2013	Milestones									2024
			2	8	17	38	93	156	239	350
	Actual Progress									Final
	0	0	2	8	17	27	31			
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
2013	Milestones									2024
							24389,4	29072,3	35179,7	37819,3
	Actual Progress									Final

	618,6	1467,3	3522,5	6543,5	10477,8	14941,6	21753		
Are we on track	Moderate progress								
Indicator type	Output								
Unit of measurement	Number of bottleneck and in EUR million respectively.								
Cut-Off Date	31/12/2020								
Data source	INEA								
Narrative	The bottleneck is considered to have been addressed in the year during which the action was/is expected to be completed.								
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.								
Link MFF 14-20 / MFF 21-27									
Other methodological comments									
Full metadata available at this address									
Justification of the trend	In 2020, the “real” milestone (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) is estimated to be 22. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). The implementation pace of the programme and the performance against this indicator has been delayed by issues not always under the direct control of the Commission. Moreover, the COVID pandemic has further jeopardised the achievement of the expected results during year 2020, delaying the projects implementation, allowing for more flexible reporting deadlines and triggering the decision to further extend the programme’s duration until the end of 2024.								

**Indicator 4: The length of the inland waterway network by class in the Union**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Km by Inland Waterway (IWW) class to be upgraded by CEF grants										
2013	Milestones									End of programme
95,2				1	2	180	186	186	2080	3782
	Actual Progress									Final
	0	0	0	1	2	101	101			
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
2013	Milestones									End of programme
							1312,6	1858	2206,1	2249,9
	Actual Progress									Final
	17,5	82,6	255,9	434	625,9	884,3	1375,4			

Are we on track	Moderate progress								
Indicator type	Output								
Unit of measurement	Km and EUR million respectively.								
Cut-Off Date	31/12/2020								
Data source	INEA								
Narrative	Km are reported for the year during which the action was/is expected to be completed.								
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.								
Link MFF 14-20 / MFF 21-27									
Other methodological comments									
Full metadata available at this address									
Justification of the trend	In 2020, the “real” milestone (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) is estimated to be 86. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of								

	the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). For IWW sector, the achievement for year 2019 (closed in 2020) demonstrate a good trend for the finalisation of projects. The COVID pandemic has slightly jeopardised the achievement of the expected results for 2020.
--	--

**Indicator 5: The length of the railway network in the EU-28 upgraded following the requirements set out in Article 45 (2) of Regulation (EU) No 1315/2013**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total Gauge										
2013	Milestones									End of programme
-Freight only: 18 073km	0	0	0	9	37	57	446	697	859	1363
	Actual Progress									Final
	0	0	0	9	37	37	37			
Total Electrification										
2013	Milestones									End of programme
-Freight only: 18 073km					51	80	723	1005	1411	2104
	Actual Progress									Final
	0	0	0	0	51	53	53			
Total Freight										
2013	Milestones									End of programme
-Freight only: 18 073km				9	22	133	683	1019	1919	2 943
	Actual Progress									Final
	0	0	0	9	22	42	42			
Total of currently estimated costs										
2013	Milestones									End of programme
-Freight only: 18 073km							11 759,7	15531	19372,6	20863,4
	Actual Progress									Final
	339,7	733,4	1550,8	2944,5	4834	7014,6	11096			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	KM and EUR million respectively.
Cut-Off Date	31/12/2020
Data source	INEA
Narrative	Km are reported for the year during which the action was/is expected to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2020, the “real” milestones (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) are estimated to be 48 km for the gauge, 74 km for the electrification and 53 km for freight . The indicator is hence moderately on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). In particular, railway actions feeding to this indicator have been mainly affected by refer to public procurement issues (e.g. complaints/appeals during tender procedures) as well as legal and environmental issues (e.g. permitting, spatial planning, other authorizations and land acquisition). Moreover, technical issues related to unforeseen events (such as landslides) and COVID affected timely completion.

**Indicator 6: Setting up of the core network corridors structures with designation of Coordinators, creation of Corridor Forums and approval of work plans**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

Core network corridors									
Milestones									2020
				3rd Work Plans (Compliance & Mapping and decarbonisation and climate change adaptations)			4th Work Plans (Compliance & Mapping and decarbonisation and climate change adaptations)		4th work plan
Actual Progress									Final
		1st Work Plans agreed (May 2015)	2nd Work Plans adopted and approved by all Member States	Preparation of 3rd Work Plans	3rd Work Plans adopted and approved by all Member States	preparation of 4th work plan	4th Work Plans adopted and approved by all Member States		
Approval of work plans									
Milestones									2020
				3rd Work Plans (Compliance & Mapping and decarbonisation and climate change adaptations)			4th Work Plans (Compliance & Mapping and decarbonisation and climate change adaptations)		4th work plan
Actual Progress									Final
		1st Work Plans agreed (May 2015)	2nd Work Plans adopted and approved by all Member States	Preparation of 3rd Work Plans	3rd Work Plans adopted and approved by all Member States	preparation of 4th work plan	4th Work Plans adopted and approved by all Member States		

Are we on track	On track
Indicator type	Input
Unit of measurement	Generation of Core Network Corridors work plans
Cut-Off Date	31/12/2020
Data source	European Commission- Directorate General for Mobility and Transport- MOVE B.1
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The 4th generation of Core Network Corridors work plans have been adopted by all Member States as presented by the Core Network Corridor Coordinators supported by their team and DG MOVE.

**Specific Objective 2 :Ensuring sustainable and efficient transport systems in the long run, with a view to preparing for expected future transport flows, as well as enabling the decarbonisation of all modes of transport through transition to innovative low-carbon and energy-efficient transport technologies, while optimising safety**

**Indicator 1: The number of supply points for alternative fuels for vehicles using the TEN-T core network for road transport in the EU-28**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total										
2013	Milestones									2024
	0	0	9	254	615	1040	1618	3406	13331	20757
	Actual Progress									Final
	0	0	9	254	615	706	706			

LPG										
2013	Milestones									2024
	0	0	0	0	9	49	49	49	49	49
	Actual Progress									Final
	0	0	0	0	9	9	9			
CNG										
2013	Milestones									2024
2800	0	0	0	3	4	15	59	139	639	809
	Actual Progress									Final
	0	0	0	3	4	6	6			
LNG										
2013	Milestones									2024
23	0	0	0	4	10	29	94	147	181	247
	Actual Progress									Final
	0	0	0	4	10	14	14			
Hydrogen										
2013	Milestones									2024
90	0	0	0	0	0	3	38	43	75	129
	Actual Progress									Final
	0	0	0	0	0	0	0			
Electric										
2012	Milestones									2024
29800	0	0	9	247	592	944	1378	3028	12387	19523
	Actual Progress									Final
	0	0	9	247	592	677	677			
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
2013	Milestones									2024
							1644	2271,7	2704,3	2918,7
	Actual Progress									Final
	0,5	13,5	73,2	182,1	488	783,2	1450,3			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of supply points and EUR million respectively.
Cut-Off Date	31/12/2020
Data source	INEA
Narrative	Foreseen milestones are expected results by still ongoing CEF actions. Each supply point is assumed to be operational in the year in which the CEF funded action has been completed. A CEF-funded action can include several supply points. The number of supply points is attributed to the year when the full action defined in the grant agreement has been completed (e.g. if a grant stipulates the creation of 100 supply points, the action is only considered as completed in the year when all 100 supply points have been set up. All the 100 supply points are then attributed to that year, even if most of them had already been set up in previous years).
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2020, the “real” milestone (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) is estimated to be 982 supply points. The indicator is hence moderately on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). In particular, for alternative fuels infrastructures, issues related to securing appropriate locations and changing market conditions have had important impacts. During the implementation period it also appeared clear that more efforts will be needed to ensure the network effect of these Actions. For this reason, a new Alternative Fuels Facility has been developed for the CEF II programme to boost the use of financial instruments. The facility will also contribute to better allocate the investments according to the needs along the network through the update of a dedicated deployment map.

**Indicator 2: The number of inland and maritime ports of the TEN-T core network equipped with supply points for alternative fuels in the EU-28**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Maritime port equipped with alternative fuel supply points by CEF grants										
2013	Milestones									End of programme
1	0	0	0	0	2	6	9	16	23	32
	Actual Progress									Final
	0	0	0	0	2	2	2			
Inland port equipped with alternative fuel supply points by CEF grants										
2013	Milestones									End of programme
1	0	0	0	0	0	1	1	4	7	7
	Actual Progress									Final
	0	0	0	0	0	0	0			
Maritime ports: estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
2013	Milestones									End of programme
							575	742,9	892,6	973,8
	Actual Progress									Final
	0,6	7,9	36,3	67,6	140	310,8	549,1			
Inland port: estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
2013	Milestones									End of programme
							88,7	72,6	93,8	93,8
	Actual Progress									Final
	0	0	0,5	1,3	6,7	17,5	45,7			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of ports and inland ports and EUR million respectively.
Cut-Off Date	31/12/2020
Data source	INEA
Narrative	Number of maritime ports and inland ports is reported for the year during which the action was/is expected to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2020, the “real” milestones (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) are estimated to correspond to 0 inland ports and 3 maritime ports equipped with alternative fuels supply points. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). Similarly to indicator on alternative fuels infrastructures, issues related to securing appropriate locations and changing market conditions have had important impacts. Also for this indicators, the improvements indicated above will aim at better tackling the experienced challenges.

**Indicator 3: Number of fatalities in road transport accidents**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
31 500				19 000			≤ 15 750			≤ 15 750
	Actual Progress									Final
	26 000	26 100	25 600	25 300	25 100	22800				

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of road fatalities in the EU.
Cut-Off Date	31/12/2019
Data source	EC DATA <a href="https://ec.europa.eu/commission/presscorner/detail/en/QANDA_20_1004">https://ec.europa.eu/commission/presscorner/detail/en/QANDA_20_1004</a>
Narrative	Data for 2019 refer to EU 27, while for previous years the reference is EU 28. While this inevitably leads to a smaller total number of fatalities in the Union, the rate per million inhabitants has increased due to the fact that the UK has a comparatively good road safety record, e.g., the EU figure of 51 deaths per million inhabitants in 2019 would be 48 if the UK were included. Data for 2020 will be available in 2022.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	CEF is not directly contributing to this target.
Full metadata available at this address	
Justification of the trend	The trend shows that there is a slow but continuous progress for the indicator with fewer fatalities along the EU road network.

### Specific Objective 3 :Optimising the integration and interconnection of transport modes and enhancing interoperability of transport services, while ensuring the accessibility of transport infrastructures

#### Indicator 1:The number of multimodal logistic platforms, including inland and maritime ports and airports, connected to the railway network

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Entire TEN-T network: Maritime ports connections										
2012	Milestones									End of programme
	Actual Progress									Final
CEF grants: Airports connections										
2012	Milestones									End of programme
0	0	0	0	3	5	7	9	10	11	13
	Actual Progress									Final
	0	0	0	3	5	7	7			
CEF grants: inland port										
2012	Milestones									End of programme
0	0	0	0	0	1	1	1	3	3	3
	Actual Progress									Final
	0	0	0	0	1	1	1			
CEF grants: maritime port										
2012	Milestones									End of programme
0	0	0	0	0	2	4	4	11	16	19
	Actual Progress									Final
	0	0	0	0	2	3	3			
Total of currently estimated costs										
	Milestones									End of programme
							654,1	979,8	1240,1	1369,2
	Actual Progress									Final
	13,8	42,2	138,5	270,3	426	522,4	675,2			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of inland and maritime ports and airports connected to the railway network and EUR million respectively.
Cut-Off Date	31/12/2020
Data source	INEA
Narrative	Number of inland and maritime ports and airports connected to the railway network is reported for the year during which the action was/is expected to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The

	milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The part of the indicator referring to Maritime ports connections of the entire TEN-t network is to be discontinued. Data can be provided only for CEF not for the entire TEN-T network.
Full metadata available at this address	
Justification of the trend	In 2020, the “real” achievement (i.e. expected administratively closed actions) is estimated to be 9 airport connections, 1 inland port and 4 maritime ports connected to the railway network. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). For the connection of inland and maritime ports and airports to the railway network, the achievement for year 2019 (closed in 2020) demonstrate a good trend for the finalisation of projects.

**Indicator 2: The number of new or improved rail-road terminals**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Improved rail-road terminals										
	Milestones									End of programme
	0	0	0	0	0	2	5	7	7	10
	Actual Progress									Final
	0	0	0	0	0	1	2			
New rail-road terminal										
	Milestones									End of programme
	0	0	0	0	0	1	3	5	6	6
	Actual Progress									Final
	0	0	0	0	0	0	0			
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
	Milestones									End of programme
							241,9	401,4	609	725,1
	Actual Progress									Final
	0,3	1,1	21,5	79,9	114,2	148,6	224,4			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of rail road terminals and EUR million respectively.
Cut-Off Date	31/12/2020
Data source	INEA
Narrative	Rail road terminals to be connected to the rail network (new or improved) by CEF grants. The terminals are considered to have been realised in the year in which the CEF funded action is expected to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2020, the “real” milestones (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) are estimated to be 1 new rail road terminal and 2 improved terminals. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). For rail-road terminals, issues mainly related to public procurement and coordination of the planned intervention with the operations in the terminals.

**Indicator 3: Number of improved or new connections between ports through motorways of the sea**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of connections to be improved or newly created by CEF grants										
	Milestones									2024
	0	0	4	11	13	14	20	26	27	31
	Actual Progress									Final
	0	0	4	11	13	13	13			
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator										
	Milestones									2024
							798,2	824,7	865,2	886
	Actual Progress									Final
	35,3	129,6	238,1	379,7	469,9	592,2	748,8			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of connection between ports through MoS and EUR million respectively.
Cut-Off Date	31/12/2020
Data source	INEA
Narrative	Number of of connections between ports is reported for the year during which the action was/is expected to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2020, the “real” milestone (i.e. considering a 15 months gap to administratively closed the action, ultimate end date of the actions considered is hence September 2019) is estimated to be 13 MoS connections. The indicator is hence on track if the additional administrative time-frame is considered. It is to be noted that the COVID pandemic has further delayed the submission of reports and hence the achievement of the expected results for year 2020. Milestones and target reflect the current programme portfolio, following amendments and terminations due to implementation issues (use it or lose it principle). For Motorways of the Sea, the portfolio has considerably progressed in 2019. Most actions get implemented as planned or with only minor delays.

**Indicator 4: The number of kilometres of inland waterways fitted with RIS**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of kilometres of inland waterway financed with CEF grants										
	Milestones									End of programme
	0	0	0	192	570	1174	1174	1174	1174	1174
	Actual Progress									Final
	0	0	0	192	570	1174				1174
Coverage with ENC for Class Va+ waterways										
	Milestones									End of programme
										To be discontinued
	Actual Progress									Final
Coverage of class Va+ waterways equipped with shore based inland AIS infrastructure										
	Milestones									End of programme
										To be discontinued
	Actual Progress									Final
										End of programme
Commercial vessels equipped with inland AIS										

Milestones									End of programme
									To be discontinued
Actual Progress									Final
Electronic reporting for BtA and AtA Communication									
Milestones									End of programme
									To be discontinued
Actual Progress									Final
Estimated total private, public or public-private partnership investment (i.e. eligible costs) triggered by CEF funding in a given year for actions achieving this indicator									
Milestones									End of programme
							19		20,1
Actual Progress									Final
0	0,5	6,1	15,3	18,7	20,1	20,1			20,1

Are we on track	On track
Indicator type	Output
Unit of measurement	Km and EUR million respectively.
Cut-Off Date	17/02/2021
Data source	
Narrative	KM of IWW fitted with RIS by CEF grants. Results are attributed to the year in which the CEF funding action is due to be completed.
Methodology	Data shown cumulative. The target 2024 is the cumulative outputs for projects signed until 2020. Other projects are expected to be signed in 2021 and the final target will only be known after. The milestones are expected results by actions still ongoing while actual results correspond to outputs achieved by closed CEF Transport actions. To be also noted that CEF supported actions contribute to the reporting only once assessed by the INEA and closed. In this framework, beneficiaries have 12 months after the final end date of implementation of the Action to submit their final report. To this, the additional time for INEA to assess the report and close the Action shall be considered.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Subindicators: Coverage with ENC for Class Va+ waterways, Coverage of class Va+ waterways equipped with shore based inland AIS infrastructure, Commercial vessels equipped with inland AIS, Electronic reporting for BtA and AtA Communication are discontinued as CEF did not support such investments
Full metadata available at this address	
Justification of the trend	All actions including a contribution to River Information Services (RIS) have been completed and have contributed to the digitalisation of Inland Waterway Navigation along the TEN-t network. No additional actions are expected to be supported under the last CEF Transport call for proposals.

### Indicator 5: Synchronisation of the deployment process of SESAR related technology

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									End of programme
Adoption of the first common project	Awarding of grants to 1st batch SESAR implementation projects	Awarding of grants to 2nd batch of SESAR implementation projects	Approval of revised Deploy. Programme - Awarding of grants to SESAR implementation projects.	Approval of revised Deployment programme - Awarding of grants to of SESAR implementation projects	Finalisation of the Commission's assessment	Deployment of SESAR ATM solutions included in the Pilot Common Project				Deployment of SESAR ATM solutions included in the Pilot Common Project
Actual Progress										Final
Pilot common project adopted	DM coordinates proposals under 2014 CEF call - EUR 318 million awarded	DM coordinates proposals under 2015 CEF call	proposal for an update of the Deployment Programme. CEF grants awarded to SESAR	2018 Edition of the SESAR Deployment Programme approved	finalised the review of the pilot common project	The Deployment of SESAR ATM solutions has continued during 2020				

		from CEF to SESAR		implementat ion						
Are we on track	No data									
Indicator type	Input									
Unit of measurement										
Cut-Off Date	31/12/2020									
Data source										
Narrative	The SESAR development phase is delivering essential ATM solutions that require a synchronised deployment in the European ATM network. A SESAR deployment framework was established in 2013 (Reg. (EU)409/2013) to ensure the timely and synchronised deployment of SESAR Solutions. The framework and its instruments shall be set up and activated throughout the 2014-2020 timeframe.									
Methodology										
Link MFF 14-20 / MFF 21-27										
Other methodological comments	A SESAR deployment framework was established in 2013 (Reg. (EU)409/2013) to ensure the timely and synchronised deployment of SESAR Solutions. The framework and its instruments shall be set up and activated throughout the 2014-2020 timeframe. Indicator number 5 as foreseen by article 4.2 (c) (iv) of the CEF Regulation has been divided in three table to facilitate reading by sector. Work is undertaken to complement by 2017 this indicator with a numerical indicator corresponding to the percentage of "SESAR ATM solutions (included in the Pilot Common Project) deployed", based on the reported progress by the implementing stakeholders of the SESAR Deployment Programme.									
Full metadata available at this address										
Justification of the trend	It will be possible to assess the deployment of ATM functionalities during the 2014-2020 period as soon as the related Grant Agreements will be completed and the expected outputs assessed.									

**Indicator 6: Kilometres of roads covered by (real-time) Traffic Information Services or equipped for (dynamic) Traffic Management, including speed related ITS services (Variable Message Signs or equivalent means)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									End of programme
	Actual Progress									Final

Are we on track	No data									
Indicator type	Output									
Unit of measurement										
Cut-Off Date	31/12/2020									
Data source	DG MOVE									
Narrative	DG MOVE has been working with Member States over the past two year to identify new KPIs for ITS. An external study was conducted to identify the most promising KPIs, followed by consultations with Member States' experts and discussion in the ITS Committee in 2016, to finalise a list of deployment and benefit KPIs, as well as financial indicators. A list of KPIs has been drawn up, which Member States have been asked to use in their reporting exercise under the ITS Directive. The first national ITS reports including these KPIs, on a voluntary basis, were delivered in 2017-2018. Only part of the Member States (40% of MS + Norway) provided figures for KPIs, at least partially. Although not optimal, this allows to draw some conclusions for the contributing countries, at least regarding deployment.									
Methodology										
Link MFF 14-20 / MFF 21-27										
Other methodological comments	The Commission published on 8th October 2019 the analysis of the Member States' reports, including a detailed analysis of the KPIs provided (see pp. 34-39 as well as individual figures in Annex I, of the report <a href="https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52019SC0373&amp;from=EN">https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52019SC0373&amp;from=EN</a> ). Next national ITS reports are due by end of August 2020.									
Full metadata available at this address										
Justification of the trend	It is not possible to judge if the indicator is on track as the reporting of the Member States on the different ITS functionalities is not homogeneous. While a common set of KPIs has been identified, Member States reports include different methodologies that cannot be compared. The information on the number of Km concerned is hence not solid.									

**Indicator 7: The level of deployment of VTMISS**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									End of programme
100 000 000		Nearly all		VTMISS			VTMISS			VTMISS:

		commercial vessels equipped with inland AIS (app. 11.750 vessels)		Increase by 10%			Increase by 20%			Increase by 20%
Actual Progress										Final

Are we on track	No data
Indicator type	Output
Unit of measurement	AIS (Automatic Identification System) positions recorded per month
Cut-Off Date	31/12/2020
Data source	PLATINA 7RFP research project.
Narrative	This indicator is no longer relevant. It confuses AIS and VTMS. AIS is stipulated in the VTMS Directive in two main ways – Carrier requirement (implementing the IMO requirements) and receiver requirements. The latter has been fulfilled for years as all MS with a coast have set up receivers and hence coverage along the EU coasts. The carrier requirements of AIS is based on the level of new vessels entering the market and sailing on EU ports. This in turn depends on overall economic factors and the world economy (imports/exports). For the moment there is a stagnation in new vessels entering the market due to the economic downturn. VTMS use, meaning the use of the Integrated Maritime Services and the 2 new reporting messages into the system, Security and Waste, apart from the already required Port plus message, has brought about an increase in the use of the reporting going into the system, probably exceeding 10%.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Indicator discontinued.

#### Specific Objective 4 :Increasing competitiveness by promoting the further integration of the internal energy market and the interoperability of electricity and gas networks across borders

##### Indicator 1:The number of projects effectively interconnecting Member States' networks and removing internal constraints

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2019	Milestones									2020
149					30	38	40			40
	Actual Progress									Final
				12	30	38	40			

Are we on track	On track
Indicator type	
Unit of measurement	PCIs
Cut-Off Date	
Data source	
Narrative	Under the 4th PCI list there are 149 projects (102 electricity transmission and storage, 6 smart grid deployment, 32 gas, 6 oil and 5 cross-border carbon dioxide networks).
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	PCIs completed
Full metadata available at this address	
Justification of the trend	In 2020, two PCIs were completed. Until the end of 2021, when the 5th PCI list is scheduled to be adopted, 8 PCIs are expected to be completed in the Electricity sector and 6 gas PCIs are expected to be completed by the end of 2021

##### Indicator 2:The reduction or elimination of Member States' energy isolation

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
9					9	8	6			6
	Actual Progress									Final
					9	8	6			

Are we on track	On track
-----------------	----------

Indicator type	
Unit of measurement	PCIs
Cut-Off Date	
Data source	
Narrative	While the challenge remain important for peripheral or isolated Member States, by implementation of several projects of common interest the isolation is reduced in several parts of the EU (The Commission Staff working Document (C(2019)7772))
Methodology	The indicator is related to the number of PCIs to be commissioned to reduce or eliminate energy isolation.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Number of PCIs contributing to the reduction or elimination of Member States' energy isolation to be commissioned.
Full metadata available at this address	
Justification of the trend	Despite the completion of PCIs which received CEF financial assistance in the form of grants for works and/or studies, there are still 6 PCIs to be commissioned, also as a consequence of Brexit and the implications for Ireland.

### Indicator 3: The percentage of electricity cross-border transmission power in relation to installed electricity generation capacity in the relevant Member States

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
16					17		24			24
	Actual Progress									Final
	17			17	17	17	19			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Member States
Cut-Off Date	
Data source	ENTSO-E
Narrative	The Member States that are above the 10% interconnectivity target as mentioned in Recital 2 of the TEN-E Regulation.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	PCIs contributing to this specific objective have been completed and are progressing. However, some PCIs that contribute to the achievement of this indicator face significant delays in particular at the permitting phase.

### Indicator 4: Price convergence in the gas and/or electricity markets of the Member States concerned

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	To be discontinued
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 5: The percentage of the highest peak demand of the two Member States concerned covered by reversible flow interconnections for gas

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									



Are we on track	On track
Indicator type	
Unit of measurement	Number of Member States
Cut-Off Date	
Data source	
Narrative	Baseline: Gas: 3 MS do not meet the N-1 formula (as defined in Regulation (EU) No 994/2010) – Bulgaria, Greece and Portugal Target: Gas: N-1 is met by 22 MS (all except Cyprus, Malta as long as they do not have gas system and Luxemburg, Slovenia, Sweden which have a derogation). For consistency over time, the milestones were not changed to take account of new provisions in the Regulation No (EU) 2017/1938 and the end of the derogation for Malta and Slovenia in 2019.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator is based on monitoring requirements set out in Regulation No (EU) 2017/1938 on the security of supply for gas, under which Member States have to report every two years to the Commission (last report: 2019). The progress of the indicator is based on PCIs which are implemented. Although its evolution is only partly related to the CEF budget, it can be monitored during the Programme implementation and can be kept until the end of the Programme. It can also be used ex-post.
Full metadata available at this address	
Justification of the trend	Under the new criteria under Regulation No (EU) 2017/1938 which take also into account demand side measures, only one Member State does not meet the new target of 24 Member States.

**Indicator 4: The amount of avoided curtailment of renewable energy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Data not relevant to the specific objective 5
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: The connection of isolated markets to more diversified supply sources**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
19				22	23		26			26
	Actual Progress									Final
				23	23	26	25			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of Member States
Cut-Off Date	
Data source	ENTSO-G
Narrative	The number of Member States having access to at least two sources of gas
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator measures the number of Member States which have market and/or physical access to at least two sources of gas. Although progress is only partly related to the CEF budget, the indicator can be monitored during the Programme implementation and it can be kept until the end of the Programme. It can also be used ex-post.
Full metadata available at this address	
Justification of the trend	The progress of the indicator is related to the number of PCIs actually being implemented which allow diversification of supply sources. Some PCIs contributing to the progress made received CEF financial assistance in the form of grants for works and/or studies. As a consequence of Brexit, Ireland

has not longer direct access to the European gas network.
---

**Indicator 6: The optimal use of energy infrastructure assets**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Indicator is not smartly defined to refer to the policy objectives of the TEN-E Regulation. Therefore, it is proposed to discontinue this indicator
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 6 :Contributing to sustainable development and protection of the environment, by the integration of energy from renewable sources into the transmission network and by the development of smart energy networks and carbon dioxide networks****Indicator 1: The amount of renewable electricity transmitted from generation to major consumption centres and storage sites**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
							90			90
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Data non relevant to the specific objective
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: The amount of avoided curtailment of renewable energy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
							70			70
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	

Other methodological comments	Data not relevant to the specific objective
Full metadata available at this address	
Justification of the trend	

**Indicator 3: The number of deployed smart grid projects which benefited from the CEF and the demand response enabled by them**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
2					1		1			1
	Actual Progress									Final
							1			

Are we on track	
Indicator type	
Unit of measurement	Smart grid projects
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	There is 1 project supported by CEF.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: The amount of CO2 emissions prevented by the projects which benefited from the CEF**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
							5000			5000
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data not relevant to the specific objective
Full metadata available at this address	
Justification of the trend	

**Specific Objective 8 :To contribute to the efficient flow of private and public investments to stimulate the deployment and modernisation of broadband networks**

**Indicator 1: Level of fast broadband coverage (e30 Mbs)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2023
										1356400
	Actual Progress									Final
						4539	92900			

Are we on track	On track
Indicator type	Result
Unit of measurement	Units
Cut-Off Date	30/06/2023
Data source	Implementing fund manager (CUBE)
Narrative	Indicator describes households or businesses having access (passed) with a very high capacity network (fibre) as a result of a CEBF supported project
Methodology	Reporting from the Fund Manager, based on information from project promoters funded by the Connecting Europe Broadband Fund (CEBF)
	Connecting Europe Facility (CEF)

Link MFF 14-20 / MFF 21-27	
Other methodological comments	The target figure of 1.36 million is the estimated total coverage for households/enterprises having access to very high capacity networks and results from the targets set by the projects funded by the CEBF, to be achieved once all of them are finalised.
Full metadata available at this address	N/A
Justification of the trend	

**Indicator 2: Level of subscription to broadband connections above 100 Mbs**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Units
Cut-Off Date	
Data source	Implementing Fund Manager (CUBE) of the Connecting Europe Broadband Fund
Narrative	
Methodology	Data on entities actually connected to a very high capacity network (i.e. having a subscription) still to be received from the project promoters (not to be confused with specific indicator 1, referring to entities having access to (passed by) a VHC network).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data on subscriptions will be available as projects progress (networks become operational). First figures expected by mid-2021.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 9 : Encourage and support entities with a public mission, such as local public authorities, to offer free Wi-Fi connectivity in the centres of community life (e.g. in and around public buildings, health centres, parks or town squares)****Indicator 1: The number of operational free Wi-Fi access points supported by CEF**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2023
	Actual Progress									Final
							32000	48000	55000	60000

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of access points
Cut-Off Date	31/12/2022
Data source	WiFi4EU portal
Narrative	
Methodology	The municipalities report the Access Points created in the WiFi4EU networks.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The KPIs are being validated and in the process of implementation by the implementing executive Agency (INEA). The proposed numbers are indicative only.
Full metadata available at this address	
Justification of the trend	Network installations are increasing steadily and the trend observed in 2020, if confirmed, will lead to at least 85% of projects completed by end of 2022. The trend could decrease as of 2022 due to the expected completion of most of Call 2 and 3 rollouts.

**Indicator 2: The number of daily connections generated on free Wi-Fi access points supported by CEF in a given year**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
	Actual Progress									Final
							50000-100000	TBD	TBD	

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Units
Cut-Off Date	31/12/2025
Data source	WiFi4EU portal
Narrative	
Methodology	Number of users connecting to a WiFi4EU network, on a daily average of one calendar year. Unique user per day (one user might have multiple connection per day, but only counts once)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The KPIs are being validated and in the process of implementation by the executive Agency (INEA). The proposed numbers are indicative only. The cut-off date is end of 2025 as there will be a three year monitoring after implementation.
Full metadata available at this address	
Justification of the trend	The use of the network was at an average rate of 60.000 daily connections. With the end of the lockdown, it is expected that the trend will grow significantly.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
4 284,0	4 323,0	4 340,0	4 358,0	1 225,0	1 242,0	1 262,0	21 034,0

(\*) Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

CEF II common understanding, under recital 4, includes clear references of climate tracking per sector. Reflecting the importance of tackling climate change in line with Union's commitments to implement the Paris Agreement, and the commitment to the United Nations Sustainable Development Goals, the Regulation should therefore mainstream climate action and lead to the achievement of an overall target of at least 30% of the EU budget expenditures supporting climate objectives. Actions under this Programme should contribute 60% of the overall financial envelope of the Programme to climate objectives, based inter alia on the following coefficients:

- i) 100% for the expenditures relating to railway infrastructure, charging infrastructure alternative and sustainable fuels, clean urban transport, electricity transmission, electricity storage, smart grids, CO<sub>2</sub> transportation and renewable energy;
- ii) 40% for inland waterways and multimodal transport, and gas infrastructure - if enabling increased use of renewable hydrogen or bio-methane.

As indicated under recital 4 of the CEF II draft regulation, “[...] the detailed climate expenditure tracking coefficients applied are consistent with those set at Annex 1 of Regulation EU 2021/XXX [CPR Regulation] where applicable. Relevant actions will be identified during the Programme's preparation and implementation, and reassessed in the context of the relevant evaluations and review processes. In order to prevent that infrastructure is vulnerable to potential long term climate change impacts and to ensure that the cost of greenhouse gas emissions arising from the project is included in the project's economic evaluation, projects supported by the Programme should be subject to climate proofing in accordance with guidance that should be developed by the Commission coherently with the guidance developed for other programmes of the Union where relevant [...]”.

For the Transport sector, the estimation follows a conservative approach and is based on the indicative draft call planning and include the contribution from the Cohesion Fund. Under CEF Transport it is expected that an important part of the budget will be front-loaded (almost 70% of the budget is expected to be allocated under the first CEF Transport Multi-Annual programme covering the period 2021-2023).

For years from 2021 to 2024 the estimation it is based on the assumption that:

- 70% of the funding attributed to the support to projects on the Core and Comprehensive network will be focused to sustainable modes (e.g. rail or inland waterway), hence contributing at 100%. The remaining 30% will be at 0 %.
- For projects co-financed under smart and interoperable mobility, the average climate tracking will be at 40%
- All projects supported under the Alternative Fuels Infrastructure Facility (AFIF) will contribute at 100%
- Co-financing provided under the safe and secure mobility and the military mobility will have a 0% tracking.

For years from 2025 to 2027 the estimation is based on the assumption that all remaining budget will be allocated to actions supporting the deployment of alternative fuels infrastructures along the TEN-T, hence contributing at 100% to climate objectives.

For CEF Energy it is expected that the climate mainstreaming contribution will increase significantly in the period 2021-2027 due to a higher share of electricity projects, the on-going revision of the TEN-E Regulation, and the new window for cross-border renewable projects. However, the estimate is based on a conservative approach building on the climate mainstreaming contribution under CEF I taking into account the new window for cross-border renewable projects.

For both the Transport and the Energy sectors, an accurate calculation of the contribution to climate objectives can only be presented ex-post. The outcome is dependent to the nature, the number and the final co-financing amount of projects awarded as result of CEF calls for proposals and their successful completion.

### 6.1.3. Key achievements

Using as a reference the above listed tracking methodology and considering that the CEF II programme set itself in continuation with the 2014-2020 implementation (at least for the transport and energy strands), it has been possible to develop the below methodology assessing the climate target contribution of the CEF I programme. The below table also includes the amounts of the Cohesion Fund managed through CEF (Transport).

OVERVIEW PER CEF SECTOR						
CEF SECTOR	CLIMATE TRACKING %	NUMBER OF ACTION	ACTUAL CEF FUNDING	Sum of Climate tracking and CEF funding	% OF TOTAL	
Energy	0%	66	1.506.972.240	-		
Energy	100%	83	3.193.960.995	3.193.960.995		
<b>Energy Total</b>		<b>149</b>	<b>4.700.933.235</b>	<b>3.193.960.995</b>		<b>68%</b>
Synergy	40%	4	8.510.072	3.404.029		
Synergy	100%	3	12.291.140	12.291.140		
<b>Synergy Total</b>		<b>7</b>	<b>20.801.212</b>	<b>15.695.169</b>		<b>75%</b>
Telecom	0%	650	335.647.214	-		
<b>Telecom Total</b>		<b>650</b>	<b>335.647.214</b>	<b>-</b>		<b>-</b>
Transport	0%	200	3.054.570.472	-		
Transport	40%	310	3.496.159.415	1.398.463.766		
Transport	100%	433	16.474.215.537	16.474.215.537		
<b>Transport Total</b>		<b>943</b>	<b>23.024.945.424</b>	<b>17.872.679.303</b>		<b>78%</b>
<b>Grand Total</b>		<b>1.749</b>	<b>28.082.327.086</b>	<b>21.082.335.466</b>		<b>75%</b>

### 6.1.4. Performance

It is expected that the CEF programme will strongly contribute to the climate performance of the EU spending programmes. As an example, in the transport sector, for Rail Baltica it is estimated that the project will create CO<sub>2</sub> emission reduction benefits worth 3.0 billion EUR – contributing greatly to the EU's global leadership in environmental sustainability.<sup>29</sup>

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

The programme will contribute to the ambition of 7.5% of annual spending under the MFF to biodiversity objectives in the year 2024 and 10% of annual spending under the MFF to biodiversity objectives in 2026 and 2027 while considering the existing overlaps between climate and biodiversity objectives.<sup>30</sup>

## 6.3. Contribution to clean air financing

### 6.3.1. Tracking and estimates

<sup>29</sup> <https://www.railbaltica.org/rail-baltica-global-cost-benefit-analysis/>

<sup>30</sup> Recital 4 of the Proposal for a Regulation of the European Parliament and of the Council establishing the Connecting Europe Facility and repealing Regulations (EU) No 1316/2013 and (EU) No 283/2014

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
1 628,0	1 631,0	1 636,0	1 641,0	494,0	499,0	505,0	8 034,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.3.2. Explanation and justification on the financial contribution

For the Transport sector, the estimation follows a conservative approach and is based on the indicative draft call planning and includes the contribution from the Cohesion Fund. Under CEF Transport it is expected that an important part of the budget will be front-loaded (almost 70% of the budget is expected to be allocated under the first CEF Transport Multi-Annual programme covering the period 2021-2023).

For years from 2021 to 2024 the estimation it is based on the assumption that:

- 70% of the funding attributed to the support to projects on the Core and Comprehensive network will be focused to sustainable modes (e.g. rail or inland waterway), hence contributing at 40%. The remaining 30% will be at 0%.
- For projects co-financed under smart and interoperable mobility, the average climate tracking will be at 0%
- All projects supported under the Alternative Fuels Infrastructure Facility (AFIF) will contribute at 40%
- Co-financing provided under the safe and secure mobility and the military mobility will have a 0% tracking.

For years from 2025 to 2027 the estimation is based on the assumption that all remaining budget will be allocated to actions supporting the deployment of alternative fuels infrastructures along the TEN-T, hence contributing at 40% to climate objectives.

For CEF Energy the estimate is based on a conservative approach building on the climate mainstreaming contribution under CEF I.

For both the Transport and the Energy sectors, an accurate calculation of the contribution to climate objectives can only be presented ex-post. The outcome is dependent to the nature, the number and the final co-financing amount of projects awarded as result of CEF calls for proposals and their successful completion.

During the period 2014-2020 the CEF programme has contributed to clean air objectives through investments in the transport and energy sectors. In particular:

#### CEF Transport

TRANSPORT SECTOR	Actual Funding	%	Result
Inland Waterways	1.174.431.984	40%	469.772.794
Maritime	1.226.954.404	40%	490.781.761
Rail	14.519.607.439	40%	5.807.842.975
Alternative fuel infrastructure	932.382.444	40%	372.952.978
Nodes of the Core Network Priority	177.107.330	100%	177.107.330
<b>TOTAL CEF TRANSPORT</b>	<b>18.030.483.601,10</b>		<b>7.318.457.838,48</b>

#### CEF Energy

ENERGY SECTOR	Actual Funding	%	Result
CO2	9.696.215	0%	-
Electricity	2.083.019.906	40%	833.207.962,32
Gas	1.513.149.948	40%	605.259.979
Smart Grid	134.543.582	40%	53.817.433
<b>TOTAL CEF ENERGY</b>	<b>3.740.409.650,67</b>		<b>1.492.285.374,27</b>

The amounts in the above tables refer to signed Grant Agreements. Additional grant agreements contributing to clean air objectives are expected to be signed during year 2020 and 2021. The above table (Transport) also includes the amounts of the Cohesion Fund managed through CEF.

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

## 6.4.2. Key achievements and performance

The CEF programme supports the deployment of infrastructures, which per se are gender neutral. Nevertheless, during the implementation of the programme, the Commission will constantly strive to ensure gender equality, for instance when selecting the experts that support the dedicated services during the evaluation of the call for proposals launched in the framework of the CEF programme.

In this sense, a new recital on gender has been included in the legal base of the CEF II: “According to Article 8 of the Treaty on the Functioning of the European Union, in all its activities, the Union shall aim to eliminate inequalities and to promote equality between men and women. Gender equality, as well as rights and equal opportunities for all, and the mainstreaming of those objectives should be taken into account and promoted throughout the assessment, preparation, implementation and monitoring of the programme”.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

#### *SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all*

CEF Energy supports SDG7 by promoting investments contributing to further integration of the internal energy market and to sustainable development, in particular, by the integration of energy from renewable sources into the transmission network and by the development of smart energy networks. In particular, CEF Energy shall contribute to supporting energy infrastructure projects of common interest that have significant socio-economic benefits and ensure greater solidarity among Member States, but which do not receive adequate financing from the market. For instance, the Baltic Synchronisation Project (PCI 4.8) will synchronise the three Baltic States’ electricity grids with the continental European network and allow the three Baltic States to gain full control of their electricity networks and to strengthen energy security (CEF financial assistance: €1 052 million).

#### *SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation*

The CEF transport programme aims at contributing to the Sustainable Development Goals (SDG). In particular, CEF Transport supports SDG 9 through investments for building transport infrastructures that are resilient, including the necessary technology to ensure a proper monitoring of the newly built infrastructures in case of natural catastrophes.

Under CEF I programme, the support to this goal has been ensured through dedicated activities within co-funded projects. As an example, as part of the modernisation of the railway infrastructure between Athens and Thessaloniki, in a highly seismic and flood interested region, the monitoring of newly constructed and upgraded bridges has been supported, as well as hydraulic works to protect the railway from floods<sup>31</sup>.

In this context, the CEF II programme will include a dedicated topic related to actions improving transport infrastructure resilience, in particular to climate change and natural disasters, through infrastructure upgrades.

As regards the energy strand, CEF Energy supports SDG 9 through the investments aiming to increase the interoperability of electricity and gas networks across borders. For example, the Baltic Pipe project (PCI 8.3, CEF financial assistance: 753 M EUR) will establish a new, bi-directional offshore gas pipeline connecting PL and DK through the Baltic Sea with an important contribution to energy security and diversification of supply sources.

Actions that receive CEF grants for works need to provide evidence concerning the existence of significant positive externalities such as security of supply, solidarity or innovation.

#### *SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable*

CEF Transport programme will continue promoting infrastructural investments for road safety, notably by allowing an optimal use of public transport, with special attention to the needs of those in vulnerable situations and co-funding the improvement of multimodal passenger hubs, improving accessibility for all users, especially for passengers with reduced mobility, allowing for the connection with available long-distance transport modes including safe connection with cycle infrastructure and allowing safe connections with shared mobility solutions.

Under the CEF I programme, CEF has supported such infrastructure projects, for instance through studies contributing to the 'Grand Paris Express' Global Project (new high capacity metro network, linking up the main centres of the metropolitan area of Paris and Ile de France), contributing to improved connectivity, reduced travel time and sustainability<sup>32</sup>.

<sup>31</sup> <https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/2014-el-tmc-0651-w> and [https://www.ergose.gr/project/tithorea\\_domokos/?lang=en](https://www.ergose.gr/project/tithorea_domokos/?lang=en)

<sup>32</sup> <https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/2014-fr-tm-0266-s>

***SDG 13 Take urgent action to combat climate change and its impacts***

CEF Transport aims at promoting the de-carbonisation of transport with a specific focus on alternative fuels infrastructures. The programme aims at contributing to the EU goal of climate-related spending and decarbonising transport. In accordance with the European Green Deal, CEF 2021-2027 will target a contribution of 60% of its overall financial envelope to co-financing Actions supporting climate objectives and moving fast towards zero-emission mobility. In particular, the programme will contribute to this SDG supporting infrastructures related to sustainable transport modes (in particular railways and inland waterways) data and digitalisation backing the ecological transition for transport and accelerating the take-up of alternative fuels solutions for all transport modes. Under the CEF I programme, the support to sustainable transport modes has been wide. In this framework, the allocation CEF funds to alternative fuels infrastructures represents one of the most direct investments for to tackle climate related challenges. As an example, through one single Action, the programme allocated its support to the deployment of 6458 electrical supply points in 3169 electric charging stations on 6 TEN-T Core Network Corridors. The Action aims to deploy and operate a network of Normal, Fast and Ultra-Fast Charging Stations (up to 350 kW) for electric vehicles in Europe, providing linked coverage for long-distance travels and enabling cross-border trips towards Italy, Spain and Romania in order to support these Member States to speed up in terms of electric vehicle infrastructure<sup>33</sup>.

CEF Energy support SDG 13 by financing actions that contribute to the decarbonisation of the energy system, inter alia through the integration of renewable energy into the grid and the transmission of renewable generation to major consumption centres and storage site. For example, the Celtic electricity interconnector (PCI 1.6, CEF financial assistance: €530.7 million EUR) will establish the first electricity link between Ireland continental Europe, end Ireland's energy isolation after Brexit, and help the integration of variable renewable energy sources. The European Green Deal has further emphasized the key enabling role of energy infrastructure in the transition to a climate neutral economy. The Commission proposal for a revised TEN-E Regulation of December 2020 aims to fully align the TEN-E Regulation to the European Green Deal objectives.

**6.5.2. Key achievements and performance**

CEF I and CEF II contribute to the SDGs 7, 9, 11, 13.

<sup>33</sup> <https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/2017-it-tm-0110-w>

**HEADING 1: Single Market, Innovation and Digital****Digital Europe Programme****Lead DG:CNECT**

Associated DGs:DIGIT

1. Overview .....	209
1.1. Challenges .....	209
1.2. Mission (general objectives) .....	209
1.3. Specific objectives .....	209
1.4. Public intervention context .....	211
1.5. Actions .....	211
1.6. Delivery mode .....	212
1.7. Graphic overview of the programme structure .....	212
1.8. Legal basis and financial programming .....	212
1.9. Link with the 2014-2020 MFF .....	213
1.10. Relevant websites providing more information .....	213
2. Where are we in the implementation ? .....	213
2.1. Programme 2021-2027 .....	213
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	213
3. How is the programme performing ? .....	214
3.1. Performance .....	214
3.2. Key achievements .....	215
3.3. Evaluations, studies and reports .....	218
4. Programme 2021-2027 - Key monitoring indicators .....	218
Specific Objective 1 :Make Europe a world-leading region in high-performance computing, improving our scientific potential and industrial competitiveness .....	218
Specific Objective 2 :Boost the development of artificial intelligence and use it to respond to critical issues of our time .....	219
Specific Objective 3 :Invest in cybersecurity to guarantee the resilience, integrity and trustworthiness of the Digital Single Market, including critical networks, infrastructures and services .....	220
Specific Objective 4 :Promote advanced digital skills to address the shortage of digital experts, particularly in key technological areas .....	221
Specific Objective 5 :Widen the adoption and best use of digital technologies in all regions and sectors to make Europe more competitive and address major societal challenges .....	222
5. Programme 2014-2020 - Key monitoring indicators .....	223
Previous Program 1 : Connecting Europe Facility (CEF) .....	223
Specific Objective 7 :To contribute to the interoperability, connectivity, sustainable deployment, operation and upgrading of trans-European digital service infrastructures and coordination at European level .....	223
Previous Program 2 : Interoperability Solutions and common frameworks for European public administrations, businesses and citizens (ISA2) .....	224
Specific Objective 1 :to facilitate efficient and effective electronic cross-border or cross-sector interaction between European public administrations and between them and citizens and businesses, in order to enable the delivery of electronic public services supporting the implementation of Union policies and activities .....	224
6. The programme contribution to horizontal policies .....	226
6.1. Contribution to climate mainstreaming .....	226
6.2. Contribution to biodiversity mainstreaming .....	226
6.3. Contribution to clean air financing .....	226
6.4. Contribution to gender equality .....	226
6.5. Contribution to the sustainable development goals .....	226

## **1. Overview**

### **1.1. Challenges**

Europe faces many challenges in the digital arena.

To begin with, there is the increasingly fierce global competition to control the digital technologies, which will shape the world of tomorrow. Today, businesses, the public sector and researchers often have to look outside the Union to access the computing, data or artificial intelligence resources they need. At the same time, hundreds of thousands of jobs in crucial digital areas go unfilled, hampering investment and innovation. Unless Europe can step up its efforts to develop key digital infrastructures, industries and skills, it risks losing out this race, which could threaten Europe's strategic autonomy and competitiveness.

Relatedly, cyberattacks become increasingly more frequent, complex, and disruptive. Europe's vital infrastructure and data are at risk unless it improves its cybersecurity.

Finally, the take-up of digital technologies by businesses - in particular SMEs - and public administrations remains very uneven, requiring determined action at the Union's level to ensure that no region or sector is left behind by the digital transformation. Given the network effects in the digital area (e.g., the need to promote interoperability at the EU level and/or reaching critical mass to build state-of-the-art capacities) the EU is uniquely placed to act decisively on these challenges. The Digital Europe programme and together with co-investments with Member States and the private sector will achieve a real impact and generate a virtuous circle.

### **1.2. Mission (general objectives)**

The Digital Europe Programme will ensure that Europe drives the digital transformation of the economy and society and brings its benefits to all citizens and businesses. It will focus on:

- Building essential capacities and advanced skills in key digital technology areas, contributing to Europe's technological sovereignty;
- Accelerating their deployment and best use in areas of public interest and the private sector.

### **1.3. Specific objectives**

[The text inserted here below might still be changed in when the Legal-linguistic checks are finished.]

#### **Specific Objective 1 - High Performance Computing (HPC)**

The financial contribution from the Union under this Specific Objective shall pursue the following operational objectives:

- (a) deploy, coordinate at Union level and operate an integrated demand-oriented and application-driven world-class exascale supercomputing and data infrastructure that shall be easily accessible to public and private users, in particular SMEs, irrespective of the Member State in which they are located, and easily accessible for research purposes, in accordance with Regulation (EU) 2018/1488;
- (b) deploy ready to use operational technology resulting from research and innovation in order to build an integrated Union HPC ecosystem, covering various aspects in the scientific and industrial value chain segments, including hardware, software, applications, services, interconnections and digital skills, with a high level of security and data protection;
- (c) deploy and operate post-exascale infrastructure, including integration with quantum computing technologies and research infrastructures for computing science and encourage the development within the Union of the hardware and software necessary for such deployment.

#### **Specific Objective 2 - Artificial Intelligence**

The financial contribution from the Union under this Specific Objective shall pursue the following operational objectives:

- (a) build up and strengthen core AI capacities and knowledge in the Union, including building up and strengthening quality data resources and corresponding exchange mechanisms, and libraries of algorithms, while guaranteeing a human-centric and inclusive approach that respects Union values.
- (b) make the capacities referred to in point (a) accessible to businesses, especially SMEs and start-ups, as well as civil society, not-for-profit organisations, research institutions, universities and public administrations, in order to maximise their benefit to the European society and economy;

- (c) reinforce and network AI testing and experimentation facilities in Member States; (d) develop and reinforce commercial application and production systems in order to facilitate the integration of technologies in value chains and the development of innovative business models and to shorten the time required to pass from innovation to industrial production and foster the uptake of AI-based solutions in areas of public interest and in society.
- (d) AI-based solutions and data made available shall respect the principle of privacy and security by design and shall fully comply with data protection legislation.

#### Specific Objective 3 - Cybersecurity and Trust

The financial contribution from the Union under this Specific Objective shall pursue the following operational objectives:

- (a) support the building-up and procurement of advanced cybersecurity equipment, tools and data infrastructures, together with Member States, in order to achieve a high common level of cybersecurity at European level, in full compliance with data protection legislation and fundamental rights, while ensuring the strategic autonomy of the Union;
- (b) support the building-up and best use of European knowledge, capacity and skills related to cybersecurity and the sharing and mainstreaming of best practices;
- (c) ensure a wide deployment of effective state-of-the-art cybersecurity solutions across the European economy, paying special attention to public authorities and SMEs;
- (d) reinforce capabilities within Member States and private sector to help them comply with Directive (EU) 2016/1148 of the European Parliament and of the Council<sup>1</sup> including through measures supporting the uptake of cybersecurity best practices;
- (e) improve resilience against cyberattacks, contribute towards increasing risk-awareness and knowledge of cybersecurity processes, support public and private organisations in achieving basics levels of cyber security, for example by deploying end-to-end encryption of data and software updates;
- (f) enhance cooperation between the civil and defence spheres with regard to dual-use projects, services, competences and applications in cybersecurity, in accordance with a Regulation establishing the European Cybersecurity Industrial, Technology and Research Competence Centre and the Network of National Coordination Centres (the 'Cybersecurity Competence Centre Regulation').

#### Specific Objective 4 - Advanced Digital Skills

The financial contribution from the Union under this Specific Objective shall support the development of advanced digital skills in areas covered by the Programme in order to contribute to increasing Europe's talent pool, bridge the digital divide and foster greater professionalism, especially with regard to high performance and cloud computing, big data analytics, cybersecurity, distributed ledger technologies (e.g. blockchain), quantum technologies, robotics, AI, while taking gender balance into account. In order to tackle skills mismatches and to encourage specialisation in digital technologies and applications, the financial contribution shall pursue the following operational objectives:

- (a) support the design and delivery of high-quality, long-term training and courses, including blended learning, for students and for the workforce;
- (b) support the design and delivery of high-quality, short-term training and courses for the workforce, in particular in SMEs and in the public sector;
- (c) support high-quality on-the-job training and work placements for students, including traineeships, and the workforce, in particular in SMEs and in the public sector.

#### Specific Objective 5 - Deployment and Best Use of Digital Capacities and Interoperability

The financial contribution from the Union under this Specific Objective shall pursue the following operational objectives:

- (a) support the public sector and areas of public interest, such as health and care, education, judiciary, customs, transport, mobility, energy, environment, cultural and creative sectors, including relevant businesses established within the Union, to effectively deploy and access state-of-the-art digital technologies, such as HPC, AI and cybersecurity;
- (b) deploy, operate and maintain trans-European interoperable state-of-the-art digital service infrastructures across the Union, including related services, in complementarity with national and regional actions;

---

<sup>1</sup> Directive (EU) 2016/1148 of the European Parliament and of the Council of 6 July 2016 concerning measures for a high common level of security of network and information systems across the Union (OJ L 194, 19.7.2016, p. 1).

- (c) support the integration and use of trans-European digital service infrastructures and of agreed European digital standards in the public sector and in areas of public interest to facilitate cost-efficient implementation and interoperability;
- (d) facilitate the development, update and use of solutions and frameworks by citizens, public administrations and businesses, including of open-source solutions and the re-use of interoperability solutions and frameworks;
- (e) offer the public sector and Union industry, in particular SMEs, easy access to testing and piloting of digital technologies and increase the use thereof, including their cross-border use;
- (f) support the uptake by the public sector and the Union industry, in particular SMEs and start-ups, of advanced digital and related technologies, including in particular HPC, AI, cybersecurity, other leading edge and future technologies, such as distributed ledger technologies (e.g. blockchain);
- (g) support the design, testing, implementation, and deployment and maintenance of interoperable digital solutions, including digital government solutions, for public services at Union level which are delivered through a data-driven reusable solutions platform aiming to foster innovation and establish common frameworks in order to unleash the full potential of the public administrations' services for citizens and businesses;
- (h) ensure the continuous capacity at Union level to lead digital development, in addition to observing, analysing and adapting to fast-evolving digital trends, and share and mainstream best practices;
- (i) support cooperation towards achieving a European ecosystem for trusted data sharing and digital infrastructures using, inter alia, distributed ledger services and applications, including support for interoperability and standardisation and by fostering the deployment of Union cross-border applications based on security and privacy by design, while complying with consumer and data protection legislation;
- (j) build up and strengthen the European Digital Innovation Hubs and their network.

#### 1.4. Public intervention context

The Digital Europe programme, is based on the following provisions of the Treaty on the Functioning of the European Union (TFEU): Article 173(3) TFEU, focused on the EU's industrial competitiveness, with regard to most of activities undertaken under this Programme; Article 172 TFEU, notably with regard to the digital transformation of areas of public interest. The COVID-19 crisis has highlighted the critical role of digital technologies and infrastructures. In light of the exponential development of digital technologies, the constant geopolitical shifts and the large public investments of global competitors in key digital technologies, such as artificial intelligence, supercomputing and cybersecurity, and in digital skills, no Member State acting alone can make critical investments in digital capacities at the scale required. Given the challenges ahead and the level of investments needed, the intervention at EU level is necessary in order to improve the competitiveness of Europe in the digital economy and reinforce its strategic autonomy.

The Digital Europe programme's actions are complemented by an array of regulatory measures aiming to eliminate barriers in several critical technological areas, with regard, for instance, to the incentivise business to business and business to government (B2B and B2G) data sharing in across the EU (Data Governance Act, Data Act), the creation of a safer and fairer online environment for users and businesses (Digital Services Act, Digital Markets Act) and the improvement of the level of security of network and information systems across the Union (NIS2 Directive).

#### 1.5. Actions

**High-performance computing:** DEP will deploy world-class exascale and post-exascale supercomputing capacities and ensure the widest access to and use of these capacities;

**Artificial intelligence:** DEP will unleash the potential of data with EU-wide common data spaces based on a cloud-to-edge federated infrastructure and promote the testing and adoption of AI technologies with a European AI platform and world-class testing and experimentation facilities;

**Cybersecurity and trust:** DEP will build up advanced cybersecurity equipment, tools and data infrastructures. It will support the development and best use of European knowledge, capacity and skills related to cybersecurity, promote the sharing of best practices and ensure a wide deployment of the state of the art cybersecurity solutions across the European economy (including a quantum secure communication infrastructure for Europe- EuroQCI).

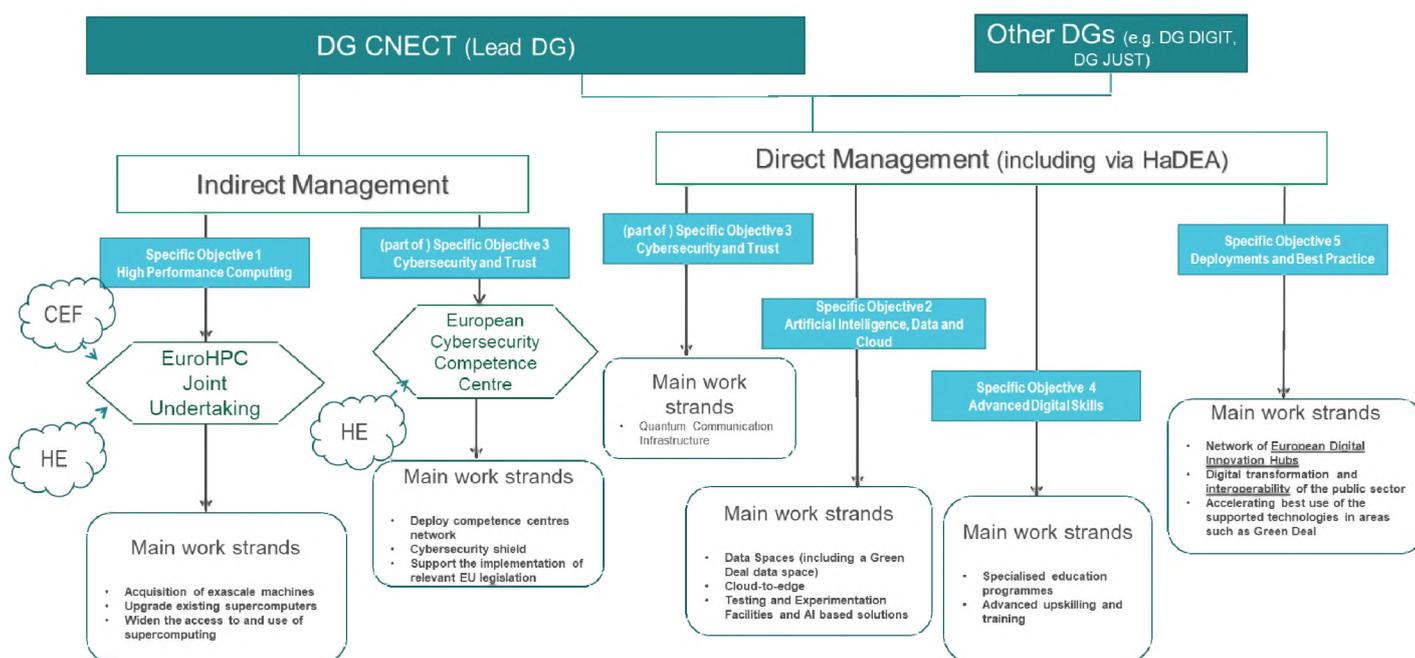
**Advanced digital skills:** DEP will boost academic excellence in digital, by increasing the education offer in technologies, such as HPC, cybersecurity and AI. Training in these areas will be implemented through cooperation among tertiary education institutions, world-class research centres and innovative businesses.

**Adoption and best use:** DEP will deploy a network of European Digital Innovation Hubs offering public and private organisations all across Europe access to technology testing and support in their digital transformation. It will contribute to address challenges such as protecting the environment and fighting climate change through high impact deployments, for example, the Destination Earth initiative and the digital twins for smart communities. It will build capacities to reinforce the European blockchain ecosystem through the European Blockchain Services Infrastructure (EBSI). It will enable cross border interoperable digital public services centred on users, facilitating the sharing of data in areas like, justice and promote an inclusive and trustworthy digital space.

### 1.6. Delivery mode

For the ‘artificial intelligence’, ‘advanced digital skills’ and ‘widening the best use of digital technologies’ specific objectives, the Commission directly manages the programme. The high-performance computing specific objective is implemented primarily through the EuroHPC joint undertaking and the cybersecurity specific objective will be implemented primarily through the European Cybersecurity Industrial, Technology and Research Competence Centre and the Cybersecurity Competence Network. The lead DG is CNECT, with other DGs also involved, in particular DG DIGIT for the actions focused on the interoperability of the public administrations.

### 1.7. Graphic overview of the programme structure



### 1.8. Legal basis and financial programming

#### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 434: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Digital Europe programme for the period 2021-2027	2021 - 2027	7 588,0

#### 1.8.2. Legal basis explanation

#### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>1 129,6</b>	<b>1 247,8</b>	<b>1 268,4</b>	<b>962,3</b>	<b>981,4</b>	<b>1 000,4</b>	<b>1 020,2</b>	<b>7 610,1</b>

#### 1.8.4. Financial programming explanation

#### 1.9. Link with the 2014-2020 MFF

Although DEP is a new programme, some of its activities target the sustainability and continuation of actions deployed under the previous MFF. The Digital Europe programme clearly builds on the successes of the H2020 programme making it possible to move technologies such as high performance computing and artificial intelligence into large-scale deployments. The European High Performance Computing strategy was implemented using funding from both Horizon 2020 and CEF programmes. Horizon 2020 supported artificial intelligence but focused on research and innovation and not on large-scale deployments. The deployment of Digital Service Infrastructures facilitating cross-border interoperability between public administrations, businesses and citizens was funded under the CEF Telecom programme, while the actions in the ISA<sup>2</sup> programme focussed on interoperability in public administration applications.

#### 1.10. Relevant websites providing more information

<https://ec.europa.eu/digital-single-market/en/europe-investing-digital-digital-europe-programme>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The implementation of Digital Europe Programme can only start after the adoption by the co-legislator of the Digital Europe Programme Regulation. Following the adoption of the legal basis, the Commission will adopt the first multi-annual Work Programmes, and subsequently will launch the first calls. Following the corresponding evaluations, the first contracts will be signed, and the implementation of the programme will start.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

#### CEF

With an overall investment of almost EUR 280 million in the core service platforms, the Commission is enabling the EU-wide interoperability of specific digital services such as eHealth, Public Open Data, eID and Cybersecurity. The uptake of these services with CEF support reached a portfolio of 571 projects in the Member States and participating countries in the European Economic Area by the end of 2020, most of which are still being implemented. The last set of calls will expand the portfolio of projects with additional 88 projects approximately. With an EU contribution of almost EUR 350 million in generic services and an overall leveraged amount of more than EUR 450 million, CEF digital services support EU citizens, businesses and public administrations in interconnecting and adapting their systems to become interoperable across borders.

#### ISA2

	Commitments	Payments
Implementation Voted budget	532 403 385	431 421 057
Implementation Carry-overs	87 078	343 511
Implementation total	532 490 464	431 764 568
total envelop*	532 501 555	
cumulative implementation rate	100%	81%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The implementation of ISA<sup>2</sup> has been efficient. The 2020 work programme has been performed as envisaged and Covid-19 crisis has not impacted the delivery on programme's objectives. ISA<sup>2</sup> funding was mainly channelled to development of key and generic

interoperability enablers (4,7 millions), the support of instruments for public administrations (EUR 4 million) and EU Policies (EUR 7,5 million). The final payments under the ISA<sup>2</sup> are planned to be processed by the end of 2023.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

#### **Performance of ISA<sup>2</sup> - Interoperability solutions for public administrations, businesses and citizens 2014-2020**

The programme's key performance indicators confirm that it has performed well. Some key interoperability enablers have shown even better performance than expected, which is explained by better-than-anticipated government interoperability acceptance and by faster-than-expected technological progress. Member States' positions have evolved from hesitant to very actively involved and requesting intensified common investment in interoperability enablers. In 2020, the programme was able to adapt to the Covid-19 crisis with no major negative impact on the programme implementation. In fact, the outreach of the programme increased due to larger stakeholder participation in online meetings and events, which may potentially boost the [ISA<sup>2</sup> solutions](#)' uptake.

The Commission report on the 'results of the interim evaluation of the ISA<sup>2</sup> programme' – [COM\(2019\) 615 final](#) – confirmed that ISA<sup>2</sup> performed well in all evaluation criteria, that the objectives pursued by ISA<sup>2</sup> remained pertinent, and that the programme results achieved so far are in line with its objectives. ISA<sup>2</sup> has played a central role in improving the interoperability landscape in the EU and discontinuing its activities would have jeopardised the efforts of European public administrations to improve interoperability and to foster the ICT-based modernisation of the public sector in Europe. Possible improvements had been suggested in the areas of raising awareness, user-centricity and sustainability. All these points have been addressed while preparing and implementing the last ISA<sup>2</sup> work programme. They have also been duly taken into account for the transition from ISA<sup>2</sup> to the Digital Europe Programme.

**Raising awareness:** ISA<sup>2</sup> has increased its outreach to all levels of public administrations and businesses, focusing on SMEs and start-ups. Its involvement in the [Join, Boost, Sustain initiative](#) is a great example of interlinking with related initiatives reaching stakeholders in cities and communities. Also, to expand the role of interoperability a draft of European Interoperability Framework for Smart Cities and Communities (EIF4SCC) has been developed together with DG CNECT in the framework of Living-in.eu movement. In 2020, the Interoperability Academy went online as part of the EU Academy (the corporate e-learning platform) reaching multiplayers directly and opening new cooperation avenues. So far, over 100 students have completed the online training modules on the European Interoperability Framework and Access to Base Registries; more online training courses are being prepared. Furthermore, various online webinars have been organised via the platform. The action on European Interoperability Architecture has closely cooperated with DGs REFORM, SANTE and TAXUD to support Member States, especially those lagging behind in digitalisation. This cooperation also included on Reform and Resilience Plans to make them "interoperable by design", and developing national taxation and health digital public services.

The ISA<sup>2</sup> programme has also intensified its cooperation with other EU programmes and projects such as Connecting Europe Facility (CEF), Structural Reforms Programme (SRSP), and Horizon 2020. This included organising joint events, sharing results and content, providing advice and support as well as identifying synergies between Member States' requests under the SRSP 2020 work programme and ISA<sup>2</sup> actions. ISA<sup>2</sup> solutions have provided direct support to several EU initiatives, i.e. the Single Digital Gateway, the EU Business Registers Interconnection System (BRIS), or the TOOP project. . For example, the Core Vocabularies have provided the basis for the data models which will be made available in the semantic repository of the Single Digital Gateway and the repository of links. Also, synergies have been identified both with the TOOP and the Digital Europe for All (DE4A) projects, for example in the context of the revision of the Core Criterion and Core Evidence Vocabulary (CCCEV) and the development of application profiles.

**User-centricity:** It was a key aspect for the 2020 ISA<sup>2</sup> Work Programme with dedicated workshops for EU regions or work on the central interoperability user platform Joinup. Potential users of future solutions have increasingly participated in their design phase (e.g. the Legal Interoperability ISA<sup>2</sup> action on better legislation).

**Sustainability:** The Digital Europe programme builds on achievements and lessons learnt from the ISA<sup>2</sup> programme (including the importance of continuous awareness raising and the need for user-driven approach) integrating CEF building blocks and ISA<sup>2</sup> solutions under the same Programme, and strengthening dedicated interoperability expertise and support.

## Performance of CEF Telecom - 2014-2020

CEF Telecom supported from 2014 to 2020, the deployment of an ecosystem of trusted cross-border digital service infrastructures (DSIs)<sup>2</sup> essential to trigger the digital transformation of public sector services in the Member States all for the benefits of citizens and businesses.

In 2020, the programme was able to adapt to the Covid-19 crisis with no major negative impact other than an extension of the call deadline for the first set of calls. In order to mitigate potential risks of a lower participation in the first call for grants, the deadline for submission of the applications was delayed with 2 months. In essence this measure enabled a successful oversubscription despite the difficult conditions.

The CEF mid-term evaluation<sup>3</sup> concluded that in the Telecom sector, the dual focus of CEF on digital cross-border services of public interest has an important impact on achieving the EU digital single market goals, enabling citizens and businesses to access high quality digital services across Europe. As such, it was acknowledged already in 2018 that by that time it had helped develop and implement common policies to address societal challenges including the digital transformation of healthcare, cybersecurity and digitisation of governments. These good results are proportionate to the level of funding that the programme counted on, by supporting the very first steps towards a full cross border digital infrastructure in areas of public interest. The mid-term evaluation also concluded that the programme proved to be an effective and targeted instrument for investment in trans-European infrastructure (TEN) in the digital sector, it strongly contributes to the Commission's priorities on jobs, growth and investment, and the Digital Single Market. The direct management of CEF grants has proven very efficient, with a strong project pipeline and a competitive selection process, a focus on EU policy objectives, coordinated implementation and the full involvement of Member States.

The CEF mid-term evaluation also highlighted that in the case of some DSIs, like Electronic Exchange of Social Security Information or Online Dispute Resolution (where EU Regulations and Directives require their deployment), CEF Telecommunications is providing an essential incentive for speeding up this process and important financial support for the Member States to become compliant. Other DSIs, like Cybersecurity, enable mechanisms to be used by Member States on a voluntary basis, by promoting actions that most likely would have not been carried out at EU scale without CEF support.

Concretely, what does that mean? If we take Cybersecurity as an example, the DSI contributes to EU preparedness to deal with cyber threats and incidents by supporting the implementation of the [Directive on security of network and information systems \(NIS Directive, 2016/1148\)](#) and the cybersecurity certification framework through the Cybersecurity Act (Regulation (EU) 2019/881). The Directive provides legal measures to boost the overall level of cybersecurity in the EU, encompassing the need for well-resourced Member State computer security incident response teams (CSIRTs) and swift and effective operational cooperation between them. CSIRTs have received funding to create, maintain or expand national capacities to run cybersecurity services and to co-operate across borders. Their operational cooperation is facilitated by interacting with the Core Service Platform co-operation mechanism of the Cybersecurity DSI, MeliCERTes, which supports information sharing and maturity development for CSIRTs. MeliCERTes provides CSIRTs under the NIS Directive with a common baseline set of tools so as to facilitate a shared understanding of artefacts, threats and incidents, provide secure communications and enhance data exchange between them. As from 2019, an additional cooperation mechanism to facilitate the creation of European-level Information Sharing and Analysis Centers (ISACs) has been created.

The deployment of DSIs has been marked by a considerable expansion of the ecosystem, passing from 8 to 20 DSIs supported in the last Work Programme. In effect, the programme started supporting the interoperability in a limited set of areas such as e-government, Cybersecurity and cultural sector. Over the years, the programme started enabling through various solutions the interoperability also in other areas such as health, justice, social security, education and skills to name a few. In practice this meant that CEF has supported and enabled the interoperability of EU businesses, citizens and public administrations in more and more sectors.

An overview of the performance of the actions deployed with the support of the CEF Telecommunications Programme is available [here](#). This data will feed into the ex-post evaluation of the programme.

## 3.2. Key achievements

---

<sup>2</sup> Europeana, eIdentification, eSignature, eDelivery, eInvoicing, eArchiving, Public Open Data, Automated Translation, Cybersecurity, eProcurement, Business Registers Interconnection System (BRIS), eHealth, Electronic Exchange of Social Security Information (EESSI), the European e-Justice portal, European Digital Media Observatory, European Platform on Digital Skills and Jobs, Online Dispute Resolution (ODR), Safer Internet, EU Student eCard and Blockchain.

<sup>3</sup> See the Report from the European Commission to the European Parliament, The Council, the European economic and social Committee and the Committee of the regions on the mid Term evaluation of the Connecting Europe Facility (CEF ) and annexed Staff Working Documents COM(2018) 66 final

**ISA<sup>2</sup> - Interoperability solutions for public administrations, businesses and citizens 2014-2020**

54	955	2	4
actions have been supported that focus on developing digital solutions in the interoperability area.	EU initiatives have been screened since 2016 for potential information and communications technology and interoperability impact using the legal interoperability screening methodology.	EU-wide initiatives (European Interoperability Framework & Digital Public Administration) have been supported by ISA <sup>2</sup> aiming at a holistic interoperability approach in the EU.	pillars of 'location interoperability solutions for e-government' action (studies, frameworks and solutions, reports and events) benefit the EU through effective and usable public digital services, improved spatial awareness and analytical skills, and better support for the policy life cycle.
430	4	28	4
events in which ISA <sup>2</sup> have participated in or organised to increase its outreach.	core vocabularies have been developed by ISA <sup>2</sup> to facilitate efficient and effective electronic cross-border or cross-sector interaction between (a) EU public administrations and (b) public administrations and businesses and citizens.	interoperable digital solution have been developed under ISA <sup>2</sup> ; they are operational and can be reused free of charge.	observatories have been run under ISA <sup>2</sup> to: 1) help foster the interoperability, capacity building policy and modernisation of public administrations; 2) support the adoption of open source and 3) foster one domain-specific interoperability (location); 4) support innovation and interoperability in the public sector

By systematically supporting Member States in implementing the European Interoperability Framework (EIF) along with monitoring such undertake, ISA<sup>2</sup> has effectively delivered on its objective to develop, maintain, and promote a holistic approach to interoperability in the Union and reduce fragmentation in the Union's interoperability landscape. The primary and secondary indicators of the updated National Interoperability Framework Observatory (NIFO) methodology are used to check fundamental areas where member states need to pursue in their efforts such as openness, transparency, reusability, technological neutrality and data portability, user-centricity, inclusion and accessibility, data semantics or integrated public service delivery through the EIF conceptual model. The aggregated view of all NIFO indicators will also be included as one of the Digital Europe Programme (DEP) indicators, showing in a holistic manner the extent of implementation of the Member State's interoperability frameworks or strategies with the EIF.

There has been a very active engagement with stakeholders from all levels of public administrations, businesses, SMEs and start-ups with increased awareness of and demand for reinforced EU interoperability support. Cooperation on interoperability with Member States CIOs has intensified, with increased demand for continued engagement around DEP and the future interoperability policy. North Macedonia joining ISA<sup>2</sup> has demonstrated that the interoperability policy and related support are attractive to close EU partners. The country is part of the digital and interoperability hub of NIFO participating in the annual reporting and monitoring activities on the state-of-play of digitalisation and interoperability (including the EIF implementation).

ISA<sup>2</sup> piloted experimenting with and supporting emerging EU GovTech cooperation between public sector actors at national regional and local levels and between them and innovative (small) tech companies, in particular as part of the action on Innovative Public Services IPS. Market studies and a nascent observatory of IPS across Europe pave the way to the GovTech incubator funded by DEP and also support drafting and assessing Member States projects to be funded under the Resilience and Recovery Fund and the Technical Support Instrument.

Developing common vocabularies and data models (semantic interoperability) is essential for efficient and effective electronic cross-border and cross-sector interaction between European public administrations and between them and businesses and citizens. It also contributes to the emergence of a more effective, simplified, and user-friendly e-administration at the national, regional, and local levels of public administration – exemplified by the Once-Only Principle that reuses ISA<sup>2</sup> semantic assets. Members States use solutions such as Interoperability Maturity Assessment of a Public Service, European Interoperability Reference Architecture, and European Legislation Identifier in digitalising their public administrations and ensuring interoperability.

Core vocabularies provided by ISA<sup>2</sup> programme support many EU policies and their implementation in the Member States. The EU Open Data Portal and National Portals benefit from Asset Description Metadata Schema (ADMS) in uniformly describing their assets (i.e., their name, their status, theme, version, etc.) and their location on the Web. ISA<sup>2</sup> also supports major policy domains, such as the Single Digital Gateway Regulation, as well as technical solutions and frameworks to the Member States to meet the legal and technical requirements, and foster the interoperability of the IT systems to be rolled-out by the Commission and Member States.

In addition, the impact of ISA<sup>2</sup> can be illustrated by intensive cooperation with other EU programmes and projects such as Connecting Europe Facility (CEF), Structural Reforms Programme (SRSP), and Horizon 2020. Some ISA<sup>2</sup> actions and pilot solutions have evolved into CEF Telecom-funded building blocks (e.g. Big Data test infrastructure), which has led to designing a development pipeline from experimental interoperability action (under the Interoperability Knowledge and Support Centre) to mature, reusable interoperability solutions (under the Common Support Platform) in the DEP (chapter EDGES under strategic objective 5).

By systematically screening upcoming EU legislative initiatives for possible ICT and interoperability impacts, ISA<sup>2</sup> effectively delivers on its objective 'to identify, create and operate interoperability solutions supporting the implementation of Union policies and activities.' Such "digital-ready legislation" checking is amongst the EU government CIOs' most requested functions of a future EU interoperability policy. The programme's legal interoperability team has continued fine tuning its 'legal interoperability screening methodology' and helped redesign Tool #27 of the Commission's Better Regulation Toolbox, with support sources available for policymakers and ICT specialists such as the 'ICT Impact Assessment Guidelines'. These guidelines stress the importance of timely assessment of ICT impacts in order to identify and deploy reusable components, thus saving the efforts linked to new developments, and to ensure thorough planning of IT implementation.

#### CEF Telecom - 2014-2020

20 <sup>4</sup>	80	571
Trusted cross-border digital service infrastructures (DSIs) have been deployed. Together with the Member States, they have been identified as essential to trigger the digital transformation of public sector services in the Member States all for the benefits of citizens and businesses.	Calls for grants have been launched, mobilising stakeholders in all Member States and EFTA associated countries for the deployment of Digital service infrastructures	Actions have been funded to promote the uptake of an ecosystem of 20 Digital Services Infrastructures fully interoperable cross-border across the EU for citizens, businesses and public administrations.

The Connecting Europe Facility – Telecommunications (2014-2020) supported the deployment and promotion of 20 interoperable Digital Service Infrastructures (DSIs). DSIs are based on mature technical and organisational solutions to support exchanges and collaboration between citizens, businesses and public administrations. The vision is to create a European ecosystem of interoperable digital services that will allow all citizens, businesses and administrations across the EU to fully benefit from living in a Digital Single Market.

Two examples of achievements are reported below:

The **Cybersecurity Digital Service** Infrastructure (DSI) contributes to the EU preparedness to deal with cyber threats by facilitating the implementation of the EU Cybersecurity strategy. The funding increases the cybersecurity capabilities and the cooperation of key European cybersecurity players, in particular, but not only, those addressed by the Directive on security of network and information systems (NIS Directive, 2016/1148) and the Cybersecurity Act (Regulation (EU) 2019/881). These are operators of essential services (OESs), single points of contact (SPOCs), national competent authorities (NCAs), as well as National Cybersecurity Certification Authorities (NCCAs) and national Computer Security Incident Response Teams (CSIRTs). As a result of the funding received, OESs are boosting their own internal cybersecurity capabilities and engage with relevant Information Sharing and Analysis Centres (ISAC) involving industry peers and public authorities. National bodies mainly focus on the take-up of the obligations deriving by European legislation. For example, they exchange best practices, train their staff and set-up incident reporting mechanisms. CSIRTs are expanding their capacities to run cybersecurity services and to co-operate across borders. Such cooperation is further facilitated by MeliCERTes, a platform set up by the European Commission with a common set

<sup>4</sup> Europeana, eIdentification, eSignature, eDelivery, eInvoicing, eArchiving, Public Open Data, Automated Translation, Cybersecurity, eProcurement, Business Registers Interconnection System (BRIS), eHealth, Electronic Exchange of Social Security Information (EESSI), the European e-Justice portal, European Digital Media Observatory, European Platform on Digital Skills and Jobs, Online Dispute Resolution (ODR), Safer Internet, EU Student eCard and Blockchain.

of tools for information sharing and maturity development for CSIRTs. Through the projects concluded so far, governmental/national CSIRTs in 9 Member States received funding to increase their capacities, for example through training and acquisition of specialised tools. To date, 78 projects for Cybersecurity are being deployed in 25 Member States with an overall funding of 36,5 million EUR.

The **eHealth Digital Service** Infrastructure facilitates the movement of health data across national borders, ensuring the continuity of care and the safety of citizens seeking healthcare outside their home country, and enabling the pooling of EU-wide medical expertise to treat rare diseases. The actions supported by the eHDSI aim at setting up the necessary Member State infrastructure for such data exchange. They also support infrastructures enabling sustainable patient access to highly specialised care. Moreover, they ultimately contribute to the Digital Single Market through the provision of EU-wide interoperable eHealth services, thus boosting competitiveness and supporting an inclusive e-society. The DSI covers 3 services. Firstly, the cross-border ePrescription/eDispensation (eP) service allows a patient who is abroad to receive the equivalent medication that he/she would receive in his/her home country. Secondly, the Patient Summary (PS) services provides a health professional access to the verified key health data of a patient needing unplanned cross-border healthcare. Finally, the European Reference Networks (ERN) are virtual networks bringing together healthcare providers and centres of expertise across Europe to tackle complex or rare medical conditions that require specialised treatment and a concentration of knowledge and resources. To the moment, 93 projects for eHealth are being deployed in 26 Member States with an overall funding of 27 million EUR.

### 3.3. Evaluations, studies and reports

The key findings of the latest evaluation - interim evaluation of the ISA<sup>2</sup> programme - [[SWD\(2019\) 1615 final](#)] were presented in the Programme Statement for the financial year 2019. The final evaluation of the ISA<sup>2</sup> programme (PLAN/2020/7027) is ongoing and will bring results by end 2021.

There is also an evaluation of the implementation of the European Interoperability Framework (EIF) ongoing (PLAN/2020/7507). It will evaluate the current EIF and assess its support in setting up interoperable digital public services. It will also elaborate the proposal on the EU governments interoperability strategy, announced in the Commission's Communication 'Shaping Europe's digital future'. The aim is to ensure coordination and common standards for secure and borderless innovative public sector data flows and services.

The key findings of the mid-term evaluation of the CEF Telecom programme - (see SWD(2018) 44 final) were presented in the Programme Statement for the financial year 2019.

## 4. Programme 2021-2027 - Key monitoring indicators

### **Specific Objective 1 :Make Europe a world-leading region in high-performance computing, improving our scientific potential and industrial competitiveness**

#### **Indicator 1:HPC infrastructures jointly procured**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
										Final
	Actual Progress									

Are we on track	
Indicator type	Output
Unit of measurement	Absolute number
Cut-Off Date	
Data source	EC monitoring
Link to the objective	Acquire and deploy advanced supercomputing capabilities to upraise Europe's scientific capabilities and industrial competitiveness
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Usage of the exascale and post-exascale computers in total and by various stakeholder groups (universities, SMEs etc.)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	% of totally available computing time in minutes (expressed as fraction)
Cut-Off Date	
Data source	Measured by the machines themselves
Link to the objective	Ensure the widest access to high-performance computing infrastructures
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 : Boost the development of artificial intelligence and use it to respond to critical issues of our time****Indicator 1: Co-investment in sites for experimentation and testing**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	
Data source	EC monitoring (part of the projects reporting requirements)
Link to the objective	Deploy world class reference sites for experimentation and testing in real setting focusing on the applications of AI in essential sectors
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Usage of common European libraries or interfaces to libraries of algorithms, usage of Common European Data Spaces and usage of sites for experimentation and testing related to activities under this regulation**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Absolute numbers
Cut-Off Date	
Data source	EC monitoring (part of the projects reporting requirements)
Link to the objective	Ensure wide access to artificial intelligence capacities for businesses and public administrations
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Cases for which organisations decide to integrate artificial intelligence in their product, processes or services, as a result of the Programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Unique entities
Cut-Off Date	
Data source	EC monitoring (e.g. survey sent to users of the capacities offered by the programme)
Link to the objective	Support the integration of artificial intelligence by businesses and public administrations
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Invest in cybersecurity to guarantee the resilience, integrity and trustworthiness of the Digital Single Market, including critical networks, infrastructures and services**

**Indicator 1: Cybersecurity infrastructure and/or tools jointly procured**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Infrastructures, services and tools (see definition)
Cut-Off Date	
Data source	EC monitoring
Link to the objective	Deploy advanced cybersecurity equipment, tools, services and data infrastructures
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Users and communities getting access to European cybersecurity facilities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Unique companies/organisations/entities
Cut-Off Date	
Data source	EC monitoring
Link to the objective	Ensure wide access to and usage of cybersecurity capacities to strengthen the resilience, integrity and trustworthiness of the Digital Single Market, including critical networks, infrastructures and services
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 4 :Promote advanced digital skills to address the shortage of digital experts, particularly in key technological areas

#### Indicator 1:Persons who have received training to acquire advanced digital skills

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Absolute number
Cut-Off Date	
Data source	EC monitoring
Link to the objective	Contribution of the DEP to strengthen advanced digital skills, by increasing the education offer and the number of experts trained (art. 7.1 of the proposed Regulation)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Enterprises having difficulty recruiting ICT specialists

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	Eurostat
Link to the objective	Contribution of the DEP to bridge the gap of experts needed to operate key digital technologies and tackle skills mismatches (art. 7.1 of the proposed Regulation)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 3:People reporting improved employment situation after the end of the training supported by the Programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Absolute number
Cut-Off Date	
Data source	Survey data (self-assessment by the participants in the Master's programmes supported by the DEP)
Link to the objective	Contribution of the DEP to bridge the gap of experts needed to operate key digital technologies and tackle skills mismatches (art. 7.1 of the proposed Regulation)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 5 :Widen the adoption and best use of digital technologies in all regions and sectors to make Europe more competitive and address major societal challenges

### Indicator 1:Take-up of digital public services

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Normalised 0-1 progress scale
Cut-Off Date	
Data source	EC monitoring
Link to the objective	Modernise public services through the use of interoperable, citizen-centric digital solutions in order to increase citizen welfare and EU competitiveness.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Enterprises with high digital intensity score

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	% of EU enterprises (expressed as a fraction)
Cut-Off Date	
Data source	Eurostat
Link to the objective	Support the integration of digital technologies by European businesses, notably SMEs
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3:Extent of alignment of the National Interoperability Framework with the European Interoperability Framework

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	1-4 continuous scale
Cut-Off Date	
Data source	The indicator is calculated from the current European Interoperability Framework (EIF) monitoring mechanism. The data is collected via an online survey covering the 27 Member States, combined with existing measurements from existing EC secondary data sources such as DESI indicators.
Link to the objective	Modernise public services through the use of interoperable, citizen-centric digital solutions in order to increase citizen welfare and EU competitiveness.
Link MFF 14-20 / MFF 21-27	This indicator is part of the monitoring of specific objective 5 of DEP: Widen the adoption and best use of digital technologies in all regions and sectors to make Europe more competitive and address major societal challenges
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Businesses and public sector entities which have used the European Digital Innovation Hubs' services**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Unique entities
Cut-Off Date	
Data source	EC monitoring
Link to the objective	Ensure wide access to European Digital Innovation hubs by businesses and public administrations
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**5. Programme 2014-2020 - Key monitoring indicators***Previous Program 1 : Connecting Europe Facility (CEF)***Specific Objective 7 :To contribute to the interoperability, connectivity, sustainable deployment, operation and upgrading of trans-European digital service infrastructures and coordination at European level****Indicator 1:Facilitating digital interaction between public administration and citizens/ businesses**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Citizens using public services on-line										
2014	Milestones									2020
0,549						0,60	0,673			0,673
	Actual Progress									Final
	0,549	0,548	0,574	0,56	0,614	0,641	0,673			
Businesses using public services on-line										
2011	Milestones									2020
							1			1
	Actual Progress									Final
	0,466	0,73								

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of internet users needing to submit forms to the public administrations who chose the online channel
Cut-Off Date	26/01/2021
Data source	Eurostat - Community survey on ICT usage in Households and by Individuals- Digital Agenda scoreboard
Narrative	The KPI measures the percentage of citizens who sent filled forms to public authorities, over the internet in the previous 12 months
Methodology	Eurostat - Community survey on ICT usage in Households and by Individuals The data collected on the household, is reported by 'the household'. In general, one individual in the household will answer the household related questions having the household perspective in mind. The survey is performed annually and the individuals consulted are between 16 to 74 years old.
Link MFF 14-20 / MFF 21-27	The Digital Agenda scoreboard and the Community survey on ICT usage in Households and by Individuals will continue to be monitored in the following years. However, the Commission will not continue to report on this indicator in the MFF 2021-2027 for the purpose of the Digital Europe Programme Statement. This is due to the fact that new indicators created in the context of the Digital Europe programme will give a more accurate measurement of the programme implementation than this indicator.
Other methodological comments	As of 2020, the data reported covers EU27 instead of EU28. As a consequence the target was also adjusted (from 70% to 67%) as compared to the previous Programme Statement in view of the transition from EU28 to EU27.

Full metadata available at this address	
Justification of the trend	Until 2019 the data reported was applicable to EU 28. 2020 marks a break in the trend due to this change in the data collection.

**Indicator 2: Availability of cross-border public services**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
0,662					0,8		1			1
	Actual Progress									Final
	0,662	0,65	0,695	0,72	0,733	0,777	0,796			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Score on a scale from 0-100 reflecting the average of the national and cross-border online availability for basic and extended services. Services provided through a portal receive a higher score, services which provide only information (but have to be completed offline) receive a lower score. More details on methodology available through the e-government Benchmark
Cut-Off Date	26/01/2021
Data source	e-government Benchmark report
Narrative	Digital technologies increasingly place new demands and expectations on the public sector. Realising the full potential of these technologies is a key challenge for governmental organisations. Effective e-government can provide a wide variety of benefits including more efficiency and savings for both governments and businesses. It can also increase transparency and openness. This dimension measures both the demand and supply sides of digital public services as well as open data. The indicator measures the degree to which public services for citizens and businesses are interoperable and work cross-border. It is calculated as the average of the national and cross-border online availability for basic and extended services.
Methodology	2020 marked an improvement in the methodology, where both basic and extended services are taken into account for both citizens and businesses. The average of two sub-indicators provides the final score. The change affects the sub-indicators that until 2019 were e-government Services for Businesses (DESI indicator) and Citizens mobility – online availability (Digital scoreboard). As of 2020, the basis for its calculation are instead 2 DESI indicators: Digital public services for citizens and Digital public services for businesses. The first one reflects the share of public services needed for services related to family, career and studying life events that are available online for domestic as well as for foreign users. The second one reflects the share of public services needed for starting a business and for conducting regular business operations that are available online for domestic and foreign users. More details on methodology available through the e-government Benchmark.
Link MFF 14-20 / MFF 21-27	The e-government Benchmark report will continue to be updated. However, the Commission will not continue to report on this indicator in the MFF 2021-2027 for the purpose of the Digital Europe Programme Statement. This is due to the fact that new indicators created in the context of the Digital Europe programme will give a more accurate measurement of the programme implementation than this indicator.
Other methodological comments	It is a composite indicator that comprises: eGovernment Services for Businesses (DESI indicator) and Citizens mobility – online availability (Digital scoreboard). The data presents a break in the series that seems to point to a regression. However this is due to the change in the methodology as well as the shift from EU28 to EU27.
Full metadata available at this address	
Justification of the trend	Until 2019 the data reported was applicable to EU 28. 2020 marks a break in the trend due to this change in the data collection, as well as some minor changes in the methodology as reported above.

**Previous Program 2 : Interoperability Solutions and common frameworks for European public administrations, businesses and citizens (ISA2)****Specific Objective 1 :to facilitate efficient and effective electronic cross-border or cross-sector interaction between European public administrations and between them and citizens and businesses, in order to enable the delivery of electronic public services supporting the implementation of Union policies and activities****Indicator 1:the number of key interoperability enablers**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
3			9	9	9	10	10			10
	Actual Progress									Final
			9	9	11	11	11			11

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of “key interoperability enablers” produced
Cut-Off Date	31/12/2020
Data source	European Commission, DIGIT D2
Narrative	“Key interoperability enablers” are actions that develop key generic interoperability solutions to help public administrations provide services. This type of solution is essential to facilitate efficient and effective electronic cross-border or cross-sector interaction between European public administrations as well as between them and citizens and businesses in order to enable the delivery of interoperable electronic public services, which is one of the ISA2 programme objectives.
Methodology	The value of the indicator reflects the number of the ISA2 programme actions that identify, develop and implement interoperability solutions that are considered essential to facilitating interoperability in Member States. The quantity of such solutions depends on the number and type of proposals submitted by the Member States and Commission services and accepted for implementation in each annual work programme following the positive opinion of the comitology committee.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will discontinue in the MFF 2021-2027
Other methodological comments	The number mentioned in the baseline for the indicator corresponds to the major actions that were carried over from the previous programme ISA to the new programme ISA2 and should not be confused with the amount of outputs created by the previous programme (ISA)The indicator value for the years 2017-2020 could only be estimated at the beginning of the programme. This is because the number and type of the solutions produced by the ISA2 actions depends on the number and the type of proposals submitted by the Member States and Commission services, and then accepted for implementation in each annual work programme. As a result of proposals received in 2017 for the WP2018, the number of key interoperability enablers produced in 2018 was already higher than estimated in 2015.
Full metadata available at this address	
Justification of the trend	For most of the monitored period, the indicator has been on track except when it over-performed in 2018 and as a result exceeded the target value. This is explained by rates of government interoperability acceptance and technological progress exceeding initial expectations. There has been an increasing demand in Member States for intensified common investment in interoperability enablers.

### Indicator 2: the number of supporting instruments for public administrations delivered to and used by European public administrations

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
4			9	9	11	13	13			13
	Actual Progress									Final
			9	9	12	13	13			13

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of supporting instruments used by EU public administrations
Cut-Off Date	31/12/2020
Data source	European Commission, DIGIT D2
Narrative	“Supporting instruments for public administrations” are actions to develop support solutions that can help public administrations build interoperable services and that contribute to the development of more effective, simplified, and user-friendly e-administration at all levels. Delivering such supporting instruments to EU public administrations has been prerequisite to meeting main objectives of the ISA2 programme.
Methodology	The value of the indicator reflects the number of the ISA2 programme actions that identify, develop, and implement support solutions that can help EU public administrations build interoperable state-of-the-art services. The number of such solutions depends on the number and type of proposals submitted by the Member States and Commission services and accepted for implementation in each annual work programme following the positive opinion of the comitology committee.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will discontinue in the MFF 2021-2027
Other methodological comments	The number mentioned in the baseline for the indicator corresponds to the major actions that were carried over from the previous programme ISA to the new programme ISA2 and should not be confused with the amount of outputs created by the previous programme (ISA).The value of the indicator for the years 2017-2020 could only be estimated at the beginning of the programme. This is because the number and type of the solutions produced by the ISA2 actions depends on the number and the type of proposals submitted by the Member States and Commission services, and then accepted for implementation in each annual work programme. As a result of proposals received in 2017 for the WP 2018, the number of supporting instruments for public administrations delivered in 2018 was already higher than estimated in 2015.
Full metadata available at this address	

Justification of the trend	In general, the indicator has been on track except when it over-performed in 2018, which is explained by the increased need of Member States to modernise their public services and to improve electronic interaction among Member States as well as between Member States public administrations, individuals and companies. The target value has been reached as planned.
----------------------------	---

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

By bringing European human centred AI-solutions as set out in white paper on AI and by unleashing the powers of digital, the Digital Europe Programme is expected to contribute to Europe's common goal of being climate neutral in 2050 as set out in the European Green Deal.

Several actions in the first Work Programme are expected to contribute directly to this target. Such is the case of selected actions contributing to the creation of a European Green Deal data space, the Urban Digital twins or the Destination Earth initiative.

Other actions might also marginally contribute with positive externalities although the climate action is not their main objective. Such is the case of the requirements of energy efficiency in the build-up of the cloud-to-edge capacities.

The tracking will be performed ex –post based on the financial system of the Commission.

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

##### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

The Digital Europe programme is expected to contribute to this SDG through the support provided for the digitalisation of the health sector in particular through the uptake of digital health solutions and services.

Several actions in the first Work Programme are expected to contribute directly to this goal. Such is the case of selected actions such as the deployment of the Data spaces for Health or the Testing and Experimentation facility for Health.

Other topics might also marginally contribute with positive externalities although healthcare is not their main objective. Such is the case of support to specialised education programmes in key digital technologies for professionals in various areas, including the health sector.

##### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The Digital Europe programme will promote learning opportunities in advanced digital skills in key capacity areas like data and AI, cybersecurity, quantum and HPC. The support will target training opportunities for the future experts as well as upskilling of the existing workforce through short trainings reflecting the latest developments in the above mentioned key capacity areas.

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

The Digital Europe programme is expected to contribute in bridging the investment gap in Europe and to generate jobs and economic growth. It will support the deployment of innovative technologies in key capacity areas and boost their market uptake through high impact deployments. The programme aims also to support the promotion of the advanced digital skills needed for the deployment of the technologies deployed by the programme. The Digital Europe Programme and the legacy actions (i.e. ISA2 and CEF Telecommunications) are expected to contribute also to the economic productivity through technological upgrading and innovation. The public sector contributes 20 % to the EU GDP through procurement, making it a key factor of the European and global economy. A modernised digital public sector means better public services, less bureaucracy and consequently more time for citizens and businesses to be productive in their core professional activities.

***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

The Digital Europe programme will contribute to the broader digital transformation of areas of public interest and of industry. The acquisition and deployment of advanced supercomputing capabilities aim to enhance Europe's industrial competitiveness. Moreover, the reinforced network of European Digital Innovation Hubs will contribute to the digitisation of industry and address issues of technological accessibility, ensuring that businesses, including SMEs, have access to cutting-edge technologies and finance for adapting to digital change. The deployment of cross border interoperable digital solutions, will enhance collaboration between European Public administration.

***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

Selected actions under the Digital Europe Programme as well as the legacy solutions deployed in the context of the ISA2 and CEF Telecommunications Programmes aim to enlarge and maximise the benefits of the digital transformation for citizens and businesses. Contribution to this SDG is expected from selected topics that aim to support the digitalization and interoperability of public administrations, piloting of AI applications in law enforcement domain, as well as the digital transformation of Justice and consumer protection. The digital transformation of public administrations shall foster trust in online services, improve the service delivery and the convenience of services for European businesses and citizens, and reduce digital administrative barriers.

***SDG 17 Strengthen the means of implementation and revitalize the global partnership***

Selected legacy actions in the framework of ISA<sup>2</sup> contribute to SDG 17.6 by promoting collaboration with third countries, international organisations or bodies, and pursuing public reuse of interoperability solutions. International cooperation with Uruguay, Ukraine, the Western Balkans, Japan, Australia, Vietnam, etc. in the areas of semantic interoperability and solutions' reuse allows improving frameworks and specifications.

**HEADING 1: Single Market, Innovation and Digital****Single Market Programme, including COSME, ISA2, ESP, consumer involvement in fin. Services, financial reporting, Food and Feed, consumer programme****Lead DG: GROW**

Associated DGs: TAXUD, FISMA, SANTE, COMP, ESTAT, JUST

1. Overview .....	230
1.1. Challenges .....	230
1.2. Mission (general objectives) .....	230
1.3. Specific objectives .....	230
1.4. Public intervention context .....	230
1.5. Actions .....	232
1.6. Delivery mode .....	233
1.7. Graphic overview of the programme structure .....	233
1.8. Legal basis and financial programming .....	234
1.9. Link with the 2014-2020 MFF .....	235
1.10. Relevant websites providing more information .....	235
2. Where are we in the implementation ? .....	235
2.1. Programme 2021-2027 .....	235
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	237
3. How is the programme performing ? .....	242
3.1. Performance .....	242
3.2. Key achievements .....	248
3.3. Evaluations, studies and reports .....	257
4. Programme 2021-2027 - Key monitoring indicators .....	261
Specific Objective 1 : Making the internal market more effective, facilitating the prevention and removal of obstacles, supporting the development, implementation and enforcement of the Union law .....	261
Specific Objective 2 : Market Surveillance .....	262
Specific Objective 3 : Improving the competitiveness of enterprises with special emphasis on SMEs .....	263
Specific Objective 4 : Ensuring the effective functioning of the internal market through standardisation processes .....	264
Specific Objective 5 : Promoting the interests of consumers and ensuring a high level of consumer protection and product safety .....	265
Specific Objective 6 : Contributing to a high level of health for humans, animals and plants along the food chain and in related areas .....	266
Specific Objective 7 : Producing and communicating high quality statistics on Europe .....	267
5. Programme 2014-2020 - Key monitoring indicators .....	267
Previous Program 1 : Programme for the Competitiveness of Enterprises and small and medium-sized enterprises (COSME) .....	267
General Objective 1 : to strengthen the competitiveness and sustainability of the Union's enterprises, particularly SMEs .....	267
General Objective 2 : to encourage entrepreneurial culture and to promote the creation and growth of SMEs .....	268
Specific Objective 1 : to improve framework conditions for the competitiveness and sustainability of Union enterprises, particularly SMEs, including in the tourism sector .....	270
Specific Objective 2 : to promote entrepreneurship and entrepreneurial culture .....	273
Specific Objective 3 : to improve access to finance for SMEs in the form of equity and debt .....	274
Specific Objective 4 : to improve access to markets, particularly inside the Union but also at global level .....	276
Previous Program 2 : European statistical programme (ESP) .....	279
General Objective 1 : The European Statistical System to be the leading provider of high-quality statistics on Europe. ....	279

Specific Objective 1 :To provide statistical information, in a timely manner, to support the development, monitoring and evaluation of the policies of the Union properly reflecting priorities, while keeping a balance between economic, social and environmental fields and serving the needs of the wide range of users of European statistics, including other decision-makers, researchers, businesses and European citizens in general, in a cost-effective manner without unnecessary duplication of effort.	279
Specific Objective 2 :To implement new methods of production of European statistics aiming at efficiency gains and quality improvements.	281
Specific Objective 3 :To strengthen the partnership within the European Statistical System and beyond in order to further enhance its productivity and its leading role in official statistics worldwide	282
Specific Objective 4 :To ensure that delivery of statistics is kept consistent throughout the whole duration of the programme, provided that this does not interfere with the priority-setting mechanisms of the ESS.	283
Previous Program 3 : Specific activities in the field of financial reporting and auditing	284
Specific Objective 1 :to improve the conditions for the efficient functioning of the internal market by supporting the transparent and independent development of international financial reporting and auditing standards	284
Previous Program 4 : Food and Feed	284
General Objective 1 :contributing to a high level of health for humans, animals and plants along the food chain and in related areas, by preventing and eradicating diseases and pests and by ensuring a high level of protection for consumers and the environment, while enhancing the competitiveness of the Union food and feed industry and favouring the creation of jobs	284
Specific Objective 1 :to contribute to a high level of safety of food and food production systems and of other products which may affect the safety of food, while improving the sustainability of food production	285
Specific Objective 2 :to contribute to achieving a higher animal health status for the Union and to support the improvement of the welfare of animals	286
Specific Objective 3 :to contribute to the timely detection of pests and their eradication where those pests have entered the Union	288
Specific Objective 4 :to contribute to improving the effectiveness, efficiency and reliability of official controls and other activities carried out with a view to the effective implementation of and compliance with the Union rules	289
Previous Program 5 : Consumer Programme	289
General Objective 1 :To ensure a high level of consumer protection, to empower consumers and to place the consumer at the heart of the internal market, within the framework of an overall strategy for smart, sustainable and inclusive growth	289
Specific Objective 1 :Safety: to consolidate and enhance product safety through effective market surveillance throughout the Union	290
Specific Objective 2 :Consumer information and education, and support to consumer organisations: to improve consumers' education, information and awareness of their rights, to develop the evidence base for consumer policy and to provide support to consumer organisations, including taking into account the specific needs of vulnerable consumers	291
Specific Objective 3 :Rights and redress: to develop and reinforce consumer rights in particular through smart regulatory action and improving access to simple, efficient, expedient and low-cost redress including alternative dispute resolution	292
Specific Objective 4 :Enforcement: to support enforcement of consumer rights by strengthening cooperation between national enforcement bodies and by supporting consumers with advice	293
Previous Program 6 : Enhancing consumers involvement in EU policy making in the field of financial services	295
Specific Objective 1 :To further enhance the participation and involvement of consumers and other financial services end-users in Union and relevant multi-lateral policy-making in the area of financial services	295
Specific Objective 2 :To contribute to the information of consumers and other financial services end-users about issues at stake in the financial sector	296
6. The programme contribution to horizontal policies	296
6.1. Contribution to climate mainstreaming	296
6.2. Contribution to biodiversity mainstreaming	297
6.3. Contribution to clean air financing	297
6.4. Contribution to gender equality	297
6.5. Contribution to the sustainable development goals	298

## **1. Overview**

### **1.1. Challenges**

The single market programme will improve the functioning of the internal market and help protect and empower citizens, consumers and businesses, including small and medium-sized enterprises (SMEs). The programme will support the design, implementation and enforcement of Union legislation underpinning the proper functioning of the single market for goods and services. It will also assist the digitalisation of services and business operations, facilitate market access and international co-operation especially in the areas of company law and contract and extra-contractual law, anti-money laundering, free movement of capital, financial services and competition, for the area of plants, animals, food and feed. Overarching and contributing to all areas, the programme will support the development, production and dissemination of European statistics on all EU policies.

The programme will contribute to a range of Commission priorities including a European Green Deal, a Europe fit for the digital age and an economy that works for people, as well as a stronger Europe in the world. Further improvements to the functioning of the internal market can help develop the competitiveness of the European economy and thereby support the effective recovery following the COVID-19 pandemic. The Commission's Industrial Strategy for Europe announced a focus on industrial "ecosystems" to lead the transition towards a green and digital economy. A well-functioning Single Market, as Europe's competitiveness driver, should be the basis of effective economic recovery of each ecosystem after the crisis.

The Single Market Programme should moreover provide a more flexible and agile financing framework to support the functioning of the internal market in the most cost-efficient way through. It will facilitate synergies, help prevent duplication and fragmentation, and help to focus action on priorities essential for the recovery.

### **1.2. Mission (general objectives)**

The programme brings together six predecessor programmes from different policy areas: the grants and contracts part of COSME (support to SMEs); the programme on consumer protection; the programme for enhancing the involvement of consumers and other financial services end-users in Union policymaking in the area of financial services; the programme to support specific activities in the field of financial reporting and auditing; the programme for a high level of health for human, animals and plants along the food chain and in related areas; and European statistics. It includes several previously independent budgetary lines connected to the functioning of the internal market, concerning, market surveillance, company law, contract and extra-contractual law, standardisation and support for competition policy, customs and taxation and financial services, financial stability and the Capital Markets Union. These previous programmes and budget lines are now brought under the SMP banner.

The impact assessment of the SMP showed that one programme could create synergies for a more agile and efficient budgetary spending. The activities are united by shared objectives to regulate, implement, facilitate, enforce and protect various activities and actors within the internal market; and to preserve an internal market that continues to function without interruption. All these activities have shared objectives of implementing, facilitating and regulating activities within the internal market and thereby empowering and protecting stakeholders.

### **1.3. Specific objectives**

The Programme-specific objectives concern:

- making the internal market more effective, especially in the light of the digital transformation by supporting:
  - the development, implementation and enforcement of Union law covering the internal market in goods and services, including the free movement of capital and financial services; and
  - effective market surveillance throughout the Union;
- Improving the competitiveness of businesses, especially SMEs;
- Ensuring the effective functioning of the internal market through standardisation and supporting the development of high-quality financial and non-financial reporting and auditing standards;
- Promoting the interests of consumers and ensuring a high-level of product safety and consumer protection, including by enhancing the participation of consumers and other end users of financial services in financial services policy making, promoting a better understanding of the financial sector and the different forms of commercialised financial products;
- Contributing to a high level of health for humans, animals and plants throughout the food chain; and
- Producing and communicating high-quality statistics on Europe.

### **1.4. Public intervention context**

The SMP will help facilitate a well-functioning Single Market as the basis of an effective economic recovery after the crisis.

**“The Internal Market”** pillar aims at making the internal market more effective, especially in the light of the digital transformation, by supporting the development, implementation and enforcement of Union law covering the internal market in

goods and services, including the free movement of capital and financial services; and effective market surveillance throughout the Union. This should ensure that citizens and businesses enjoy the benefits of the internal market and, through a range of tools, ensure they are aware of and can exercise their rights. Through this pillar, the SMP will implement, enforce and develop rules in areas including company and contract law, anti-money laundering, the free movement of capital and financial services. This pillar will support effective market surveillance, to ensure only safe and compliant products are made available. The SMP will ensure financial services meet the needs of consumers, civil society and end-users and enhance tools and expertise of the Commission to enforce effectively competition rules in the digital economy.

**Competitiveness (particularly of SMEs):** The SME Strand of the SMP will provide various forms of support to businesses in particular SMEs in order to foster a favourable business environment and entrepreneurial culture, facilitate access to markets, reduce administrative burden, support uptake of innovation and address global and societal challenges.

**Effective standards:** The SMP will provide financial support to organisations that develop European wide standards to ensure that products and services meet an agreed level of quality and safety.

**Financial Reporting and Auditing Standards:** The SMP will also provide financial support for the development of international financial reporting and auditing standards. Those international standards underpin the EU's own legal framework on financial reporting (accounting and auditing) and are an essential element of the legislation regulating EU capital markets and the strengthening of the Capital Markets Union. The SMP will also contribute to the development of European and, thereby, global standards on sustainability reporting standards, which will be fundamental for the achievement of the Commission's priorities set out in the European Green Deal. Co-financing will be provided to:

- the IFRS Foundation, which develops international financial reporting standards (IFRSs) via its International Accounting Standards Board (IASB),
- the European Financial Reporting and Advisory Group (EFRAG) which provides the European Commission with endorsement advice on new or modified standards and monitors the standard setting activities undertaken by the IASB to ensure that European interests are safeguarded,
- the Public Interest Oversight Board (PIOB) which oversees three Standard Setting Boards supported by the International Federation of Accountants (IFAC) in the areas of audit and assurance, education, and ethics.

**Protect consumers:** The SMP helps make sure products on the market are safe, consumers know the rules, and national authorities can work efficiently together and communicate swiftly. The Consumer strand 2021-27 is conceived under a reinforced synergy with EU consumer policy. The new Consumer Agenda adopted on the 13 November 2020 presents a vision for EU consumer policy from 2020-2025, addressing consumers' immediate needs in the face of the on-going pandemic and increasing their resilience in the longer term. The Agenda covers five key priority areas: 1) green transition; 2) digital transformation; 3) redress and enforcement of consumer rights; 4) specific needs of certain consumer groups; and 5) International cooperation. Each area will be prominently reflected in the SMP Consumer pillar's activities. The Agenda will act as a guide for the implementation of the consumer pillar, instrumental in promoting a greener, more digital and fairer single market. By boosting trust among consumers (consumer spending represents 54% of the EU's GDP), the programme will stimulate demand side economic growth.

***Enhancing consumers involvement in the EU policy making in the field of financial services:***

The SMP will provide continued financial support for enhancing the participation of consumers, other financial services end-users and civil society in financial services policy-making as well as for promoting a better understanding of the financial sector. By doing so the SMP will contribute a main Commission priority for 2019-2024, i.e. "An economy that works for people" and shall help the Commission in its efforts to shape an economy that can fully respond to the needs of the EU's citizens.

The programme identifies two not-for-profit organisations that may be awarded grants to undertake activities to these ends. As well as together reinforcing the voice of consumers in relation to financial services policymaking, the organisations also have complementary strengths and expertise:

- Finance Watch<sup>[1]</sup> strives to address also the bigger societal challenges related to finance, focusing on financial inclusion and sustainable finance;
- Better Finance<sup>[2]</sup> grew into a centre of financial expertise, advocating for an open, transparent and efficient financing of the real economy, served by financial institutions that keep in mind the interests of customers and the public.

An evaluation of the predecessor programme conducted in 2020 found that "there are currently no alternative organisations at EU level covering a similar range of topics in financial services and in the same depth." However, were other potential beneficiaries to emerge, having as among their primary objectives representing the interests of consumers and end-users at Union level and that have, through their membership a broad geographical coverage and range of interests, then a call for applicants should be open to them.

<sup>[1]</sup> <http://www.finance-watch.org/>

[2] <http://www.betterfinance.eu/>

**Food Safety:** Through the Food Strand, the SMP will prevent, control and eradicate animal diseases and plant pests, support sustainable food production and consumption, and the improvement of animal welfare, and improve the effectiveness, efficiency and reliability of official controls.

The SMP will cover veterinary and phyto-sanitary programmes, emergency measures and official controls related activities. From 2021 on, under the new MFF and the SMP, the EU will be able to financially support measures and actions related to animal welfare, to the prevention of food waste and fraudulent practices, the fight against antimicrobial-resistance (AMR) and to promote a sustainable food production and consumption.

The Single Market programme includes a food chain strand with a total budget of EUR 1.68 billion for the MFF 2021-2027 period, showing that food safety remains very high on the EU's agenda and representing 41% of the overall SMP allocation.

**European statistics:** The SMP will provide funding to national statistics institutes for the development, production and dissemination of high-quality statistics to monitor the economic, social, environmental and territorial situation, thereby providing for evidence-based decision making in the EU and measuring the impact of EU initiatives. This will be done in a timely, impartial and cost-efficient manner, through a strengthened European Statistical System (ESS) and enhanced partnerships within that system and with all relevant external parties. Multiple data sources, advanced data analytics methods, smart systems and digital technologies will be used and a national breakdown, and where possible, a regional one, will be provided.

Eurostat will continue to provide statistics and data to support the recovery from the COVID-19 crisis. The **European Statistical Recovery Dashboard**, containing monthly and quarterly indicators from a broad range of statistical areas that are highly relevant for monitoring economic and social recovery from the COVID-19 pandemic, was launched in December 2020 and will be published monthly in the course of 2021. Furthermore, under the **Trusted Smart Statistics** initiative, Eurostat will continue seizing the opportunities provided by new technologies and new data sources, especially those originating from the digitalisation of society and the economy. This will result in improving official statistics portfolio along key quality dimensions: better timeliness, finer granularity, improved cost-effectiveness, and more transparency. This initiative is gradually providing European Statistical System with capabilities that are essential for adapting the official statistics to the digital era. Eurostat will also better communicate and better promote European statistics and facilitate their use by different stakeholders by **increasing its presence across different dissemination channels** (Eurostat website, social media), by **disseminating flagship publications** (Key figures on Europe, SDGs, Regional Yearbook) and also by **producing new interactive digital publications**. Moreover, it will **expand the range and reach of the statistical products**, such as Statistics Explained articles and new Statistics 4 beginners articles.

In 2021, **actions in the competition policy area** are guided by twin green and digital transformation needs of the economy, to contribute to a resilient EU recovery and a well-functioning Internal Market. Actions will contribute particularly to the Commission policy priorities set out in “A European Green Deal”, “A Europe fit for the digital age” and “An economy that works for people”. Actions under this part of the SMP foster enforcement of competition rules and ensure that regulation takes competition duly into account. An unprecedented review of competition policy continues, encompassing many key block exemption regulations, guidelines and notices, alongside progress on initiatives to ensure fair competition in the Single Market. Moreover, engagement with stakeholders will intensify to ensure, for example, that competition rules support the green transformation. Competition policy actions will also play a key role in stabilising the economy. State aid decisions under a Temporary Framework for State aid will continue to help Member States alleviate the economic effects of the COVID-19 pandemic, while limiting negative effects on the internal market. Competition policy will also support efforts to implement the first pillar of the Next Generation EU, the Recovery and Resilience Facility (RRF), assisting Member States in the preparation of the Recovery and Resilience Plans (RRPs) in compliance with competition rules, especially with the State aid rules.

## 1.5. Actions

The main activities include:

- Support for the effective enforcement and modernisation of the Union legal framework through data-gathering and analyses;
- Studies, assessments, analyses and evaluations;
- Capacity-building activities and facilitation of joint actions between Member States and between their competent authorities and the Commission and the decentralised Union agencies;
- Financing of mechanisms allowing individuals, consumers and business representatives to contribute to decision-making processes;
- Support for bodies involved in developing high-quality international financial and non-financial reporting and auditing standards, facilitating their integration into the Union law, and promoting the innovation and development of best practices in corporate reporting;
- Support for actions enhancing the participation of consumers and other end-users of financial services in financial services policy making, promoting a better understanding of the financial sector and of the different categories of commercialised

financial products and ensuring that the interests of consumers in the area of retail financial services are protected; Strengthening the exchange and dissemination of expertise and knowledge.

This is complemented by very specific and targeted types of actions in a number of areas including: improvement of competitiveness, notably of SMEs; standardisation and emergency measures along the food chain and protection of human, animal and plant health, as well as animal welfare.

The SMP also includes specific activities for implementing the framework for financing the development, production and dissemination of European statistics within the meaning of Article 13 of Regulation (EC) No 223/2009.

### **1.6. Delivery mode**

The Programme will mainly be implemented through direct management using in particular (but not exclusively) grants and procurement. The participating DGs are COMP, ESTAT, FISMA, GROW, JUST, SANTE, TAXUD.

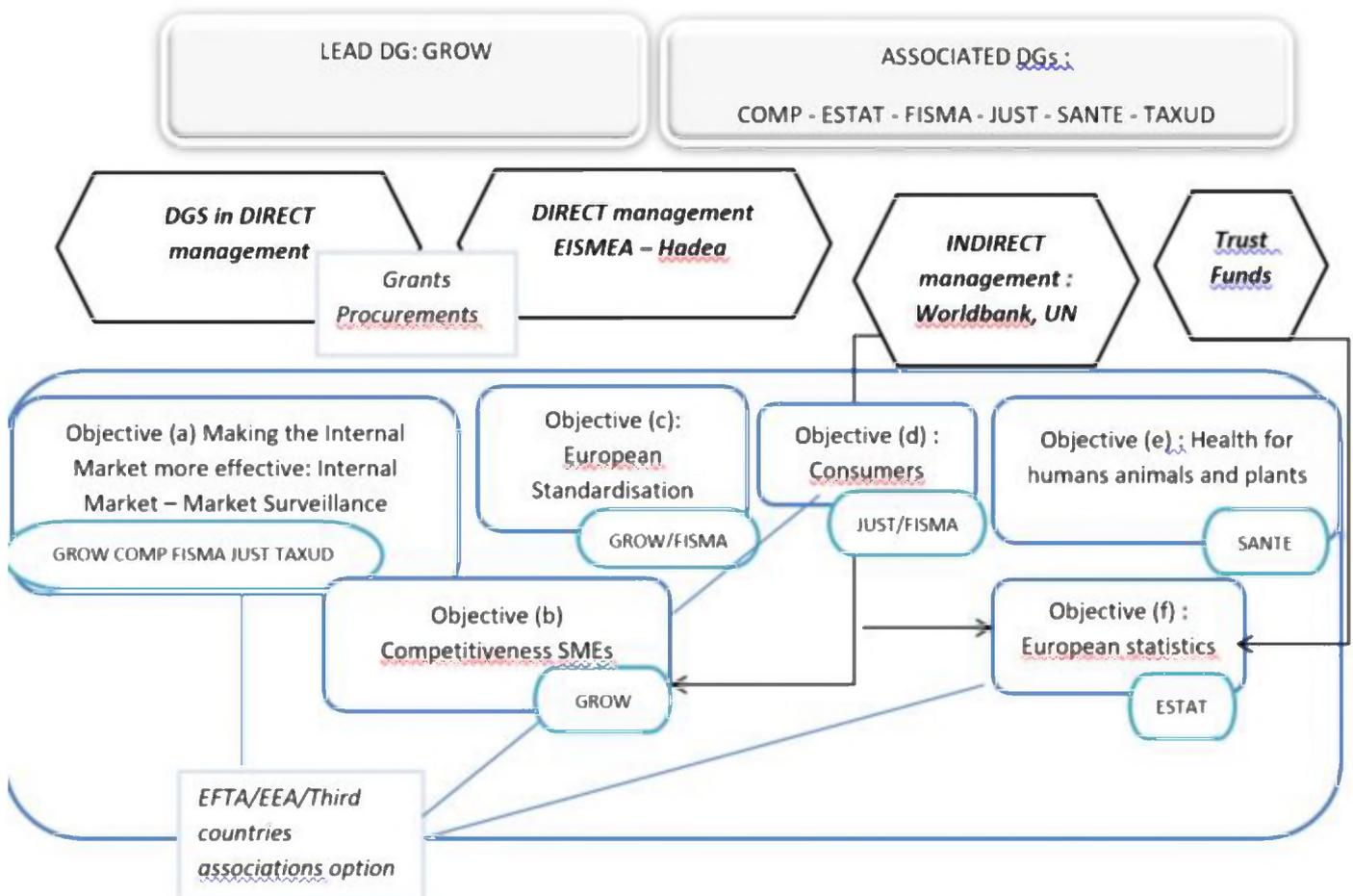
Parts of the Programme are expected to be implemented by two executive agencies. These concern in particular activities with regard to the competitiveness of businesses and SMEs, promoting the interests of consumers, activities relating to the protection of the health of humans, animals and plants along the food chain, and to the support of the welfare of animals. The majority of the actions under the Food strand of the SMP will be delegated for implementation to the newly established Health and Digital Executive Agency (HaDEA). The programme is coordinated along the lines set out in a Memorandum of Understanding signed by the seven participating Directorate-Generals, with the provision of a coordination secretariat provided by DG GROW.

### **1.7. Graphic overview of the programme structure**

# THE SMP STRUCTURE AND OBJECTIVES

GENERAL OBJECTIVES	SPECIFIC OBJECTIVES
Improve the functioning of the Internal Market	Improving the Internal Market and market surveillance
	Support to SMEs
	Standardisation
	Promoting the interests of Consumers
	High level of health and safety for humans, animals and plants
High quality Statistics	European Statistics (covering all EU policies)

2



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 441: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Programme for single market, competitiveness of enterprises, including small and medium-sized enterprises, and European statistics and repealing Regulations (EU) No 99/2013, (EU) No 1287/2013, (EU) No 254/2014, (EU) No 258/2014, (EU) No 652/2014 and (EU) 2017/826	2021 - 2027	4 208,0

### 1.8.2. Legal basis explanation

Regulation of the European Parliament and of the Council, establishing the Programme for single market, competitiveness of enterprises, including small and medium-sized enterprises, and European statistics and repealing Regulations (EU) No 99/2013, (EU) No 1287/2013, (EU) No 254/2014, (EU) No 258/2014, (EU) No 652/2014 and (EU) 2017/826 (COM (2018) 441).

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>575,0</b>	<b>583,5</b>	<b>592,2</b>	<b>601,1</b>	<b>610,2</b>	<b>619,6</b>	<b>626,3</b>	<b>4 208,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The programme brings together six predecessor programmes from different policy areas. It also includes several previously independent budgetary lines connected to the functioning of the internal market.

The Commission proposal for the Multiannual Financial Framework (MFF) for 2021-2027 (the MFF proposal) sets the budgetary framework and main orientations for the Single Market Programme (SMP) for the period 2021-2027.

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/info/publications/single-market-programme-legal-texts-and-factsheets\\_en](https://ec.europa.eu/info/publications/single-market-programme-legal-texts-and-factsheets_en)

### Consumer strand

[https://ec.europa.eu/info/topics/consumers\\_en](https://ec.europa.eu/info/topics/consumers_en)

Food chain: [https://ec.europa.eu/food/funding/food-chain-funding\\_en](https://ec.europa.eu/food/funding/food-chain-funding_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The SMP reached political agreement in Trilogue between Commission, Council and Parliament in December 2020. Legal revision in the Council came to an end by early March. The Council aims for an adoption through its first-reading position in April. Adoption by the European Parliament will follow in plenary at end April. Work Programmes for the full SMP, alongside the draft 2021 Financing Decision was under inter-service consultation within the Commission until 9 March.

**Competitiveness of enterprises (SME) strand:** The SME strand has a voted budget of EUR 117.4 million in 2021. The first work programme provides for continuity of proven concepts such as the Enterprise Europe Network (EEN), Erasmus for Young Entrepreneurs, IPR SME helpdesks, EU-Japan Business Centre, SME Envoy Network, SME Performance Review, Single Digital Gateway, & Public Procurement for Innovation. It also supports the new Joint Cluster Initiative (Euroclusters), the tourism sector and backs the implementation of the SME strategy, and ensures the rollout of new tasks in EEN such as those linked to sustainability and digitalisation.

### Financial Reporting and Auditing Standards:

Across the new multiannual financial framework (MFF) period 2021-2027, the SMP will continue Union support for high-quality international financial and auditing standards, facilitating their integration into the Union law. Building on the success of support during the period 2014-2020, over the course of the new MFF increased support will be provided for the development of

companies' non-financial reporting. The development, monitoring and oversight of financial and non-financial reporting and auditing standards will promote efficient European capital markets, help ensure the stability of financial markets and facilitate investment decisions that better account for environmental, social and governance concerns. It will help protect the interests not only of investors and other providers of funding to companies, but also of those with a stake in the success of companies: employees, consumers, local populations and society at large.

In particular, the IASB's work plan lists many projects focused on improving the content and delivery of financial information to investors. It contains numerous technical projects in the different phases of the development of a standard such as research, standard setting, and maintenance. In 2021, the IASB will launch its next agenda consultation, which will help to determine the IASB's standard setting priorities from 2022 to 2026. In early 2021, the IASB envisages to publish a request for information.

EFRAG's work in relation to financial reporting standards will remain largely driven by the IASB's standard setting agenda. In 2021, EFRAG will provide its final endorsement advice and a comprehensive impact analysis to the European Commission on the revised IFRS 17, as well as on endorsement advice on several non-major amendments. Outreach with stakeholders will be part of the EFRAG due process. Over the course of the coming years it is expected that, in light of the new Commission's priorities set out in the European Green Deal and in particular the review of the Non-Financial Reporting Directive, EFRAG will significantly increase its activities in the area of non-financial reporting including in supporting the development of non-financial reporting standards. Building on work already started, EFRAG's Corporate Reporting Laboratory will continue a project about reporting of non-financial risks and opportunities and links to the business models. A review of the future governance and finance of EFRAG may also be undertaken in the second half of 2021 to take into account development in EFRAG's role in non-financial reporting.

It is expected that throughout the period, the core task of the PIOB will continue to be the oversight of the International Auditing and Assurance Standards Board (IAASB) and the International Ethics Standards Boards for Accountants (IESBA) so that audit-related standards are responsive to the public interest.

**Consumer strand:** The Consumer objective Work Programme under SMP is foreseen as biennial work programme, and will therefore cover 2021 and 2022. It will have a total budget of 46,3 million EUR, with the following types of actions:

1. Grants
  - Support to Member States' authorities (CPCs, Presidency grants,...)
  - Support to Consumer organizations and other bodies at Member States' and EU level (ADR, debt advice,...)
  - Joint actions with European Consumer Centres (ECCs)
2. Procurement actions
  - Market surveillance and enforcement actions
  - Capacity building and education actions
  - Studies, analyses and surveys
  - IT systems and information support structures
  - Events and external communication actions

**Enhancing consumers involvement in the EU policy making in the field of financial services:** Across the new MFF, the SMP will continue Union support to enhance the participation of financial services end-users in the financial policy making and ensuring that the interest of consumers in the area of retail financial services are protected. In addition, for the period 2021-2027, the SMP will support promoting a better understanding of the financial sector and of the different categories of commercialised financial products. In the first instance, the focus will be on a number of key topics such as sustainable finance (the Renewed Sustainable Finance Strategy), financial inclusion, Capital Markets Union, digitalisation (the Digital Finance Package), financial stability, the impact and consequences of the Covid-19 pandemics, and other emerging priorities. As the world of finance is subject to rapid change, these priorities may be subject to adjustment over the course of the seven-year period 2021 to 2027. The beneficiaries of the programme would be encouraged to engage in activities that not only lead to substantive achievements in relation to the objectives of the SMP but also to broaden the outreach and impact on EU policy-making in the area of financial services of organisations representing the interests of consumers and end-users of financial services. In general terms, such activities include:

- publication of research and policy papers;
- contribution to public consultations;
- communication and outreach activities, including organisation of high-level conferences, participation in hearings, good press coverage and social media activities, and financial education and training;
- increasing the representation of consumer and end-user interests in the Union policy-making through regular meetings with EU policymakers and participation in expert or stakeholder groups and European Supervisory Authorities (ESAs);
- increasing and diversifying the membership of organisations representing the interests of consumers and end-users of financial services, in particular covering more Union Member States.

Attention will be paid to continuously developing methodology and best practices on how to increase the engagement of consumers and financial services end-users in order to identify issues relevant for Union policy-making and ensure that the interests of consumers in the area of financial services are protected.

## Food strand

Under the SMP umbrella, a common single Financing Decision and Work Programme will be adopted. All Food chain related activities will be included in an Annex to the Financing Decision (i.e. veterinary programmes, phyto-sanitary programmes, EURLs and Food and Feed activities that include the new activities: animal welfare, AMR, food sustainability, food fraud, food waste, etc.). The formal adoption of the Financing Decision is likely to take place by April/May 2021. Member States will then submit their veterinary and phyto-sanitary programmes, up to one month later. The timing for grants preparation and finalisation could then go to September/October 2021.

Transitional provisions under the current SMP Regulation will allow the measures implemented from 1/1/2021 to be eligible for financing, even if the grants are signed later, in order to avoid disruption on the fight against animal diseases and pests.

By letters sent to contracting authorities end of December 2020, beneficiaries (MS and EURL/EURCs) have been informed of the above timing and on the step to be taken to insure continuity of the actions to be implemented.

In its first year of implementation, of a total budget in commitment appropriations of around EUR 220 million, the initial approximate allocation designated to the different food chain programmes within the SMP will be as follows:

- Veterinary programmes – 49,5 %
- Phyto-sanitary programmes – 9%
- Veterinary and phyto-sanitary emergency measures – 9 %
- Official controls : European Reference Laboratories/European Reference Centres – 9,5 %
- Better Training for Safer Food – 4,5%
- Animal welfare, food waste and fraud, AMR, sustainable food production and consumption – 6,4%
- Other expenses (communication, IT, contingency, ...) – 10%

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

### *Programme for the Competitiveness of Enterprises and Small and Medium-Sized Enterprises (COSME)*

	Commitments	Payments
Implementation Voted budget	2 358 709 993	1 556 916 061
Implementation Carry-overs	0	14 118 483
Implementation total	2 358 709 993	1 571 034 544
total envelop*	2 358 951 395	
cumulative implementation rate	100%	67%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

**COSME Financial Instruments:** At the end of 2020, all commitment appropriations as authorised by the European Parliament and the Council of the EU for the period 2014-2020 were used in line with the planned operational implementation. The implementation rate of payment appropriations vis-à-vis commitment appropriations varies between the two COSME financial instruments.

Whereas, the Loan Guarantee Facility has a rather accelerated budgetary implementation ratio (e.g. 74% budgetary execution rate of payments vis-à-vis commitments as of 31 December 2020), the respective ratio for the Equity Facility for Growth is lower (i.e. 32% budgetary execution rate of payments vis-à-vis commitments as of 31 December 2020) due the implementation specificities.

In the case of the Loan Guarantee Facility, payment appropriations are needed to allow the implementation partner (the European Investment Fund) to honour guarantee calls from financial intermediaries for defaulting loans, to hedge currency exposures (as a large number of financing is made available to SMEs in countries which are not part of the EUR zone) and to pay implementation fees. Furthermore, the Loan Guarantee Facility was additionally reinforced by the SME window of the European Fund for Strategic Investments. Since 2015, it has enhanced the Loan Guarantee Facility by adding additional risk-taking capacity and doubling the available resources in terms of commitment appropriations. It is expected that already by the end of 2022 the budgetary implementation ratio would reach 100%, i.e. payment appropriations would match almost in full commitment appropriations.

In the case of the Equity Facility for Growth, payment appropriations are needed to allow the implementation partner (the European Investment Fund) to honour cash-calls from fund managers, who will use the cash to invest into portfolio companies. Since it is industry standard that venture capital fund managers have up to 5 years to make the first initial investments into SMEs following the creation of the venture fund, there is a significant delay between the time of signature of a fund agreement by the EIF and the respective cash calls by the fund managers. And following the initial investment by the fund manager, funds can hold on to

their portfolio companies for up to 10-years during which they can undertake follow-on investments to grow the companies. This pattern of activity explains why there is a significant time delay between commitment and payment appropriations in the case of venture capital investments.

In any case both COSME financial instruments are planned to last until 31 December 2034 when the last guarantee and equity operations are wound down by the EIF. All details are available in Working Document Part X dedicated to the financial instruments.

#### **Financial Reporting and Auditing Standards**

	<b>Commitments</b>	<b>Payments</b>
Implementation Voted budget	<b>55 307 969</b>	<b>48 819 949</b>
Implementation carry-overs	<b>0</b>	<b>0</b>
Implementation total	<b>55 307 969</b>	<b>48 819 949</b>
total envelop*	<b>55 307 970</b>	
cumulative implementation rate	<b>100%</b>	<b>88%</b>

\*\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Over the period 2014-2020 commitment appropriations of EUR 55 307 969 had been used for the programme's operational implementation.

However, a total decommitment of budget appropriations amounting to EUR 2.9 million took place over the same period. This represents 5.4% of the total budget appropriations initially committed. The decommitment was mainly due to a beneficiary underspending the awarded Union funds for particular reasons. Arrangements have been put in place to mitigate the likelihood and impact of recurrence and the most information available to Commission services indicate that these measures have been successful in alleviating the problem whilst allowing the objectives of the programme to be achieved.

The payments executed over the period 2014-2020 amount to EUR 48 819 949 and represent 88% of the total commitment appropriations for the same period. The operating grants implementation period runs from 1 January to 31 December and balance payments are due to the beneficiaries the following year. Therefore, the difference between the cumulative commitment appropriations (taking into account the aforementioned decommitment) and the cumulative payment appropriations represents the potentially outstanding payments for 2020 that are only due in 2021.

#### **Consumer Programme :**

The implementation rate is based on the total financial programming 2014-2020 (cumulative total of annual last adopted budgets 2014-2020).

	<b>Commitments</b>	<b>Payments</b>
Implementation Voted budget	<b>187 809 925</b>	<b>140 806 441</b>
Implementation Carry-overs	<b>0</b>	<b>2 248 812</b>
Implementation total	<b>187 809 925</b>	<b>143 055 253</b>
total envelop*	<b>188 432 000</b>	
cumulative implementation rate	<b>100%</b>	<b>76%</b>

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The 100% implementation of Commitment appropriations rate concerns the commitments made at a more general level (commitment Level 1 or otherwise called "global commitment"), which are made for part of the Programme's actions, to be implemented in the following year (year N+1). It slightly differs with the commitments rates for operational budget mentioned here below due to the fact that it can sometimes happen that a small proportion of the global commitment is not translated into legal (level 2) commitments by the end of the year N+1.

The payment appropriations will continue to be executed in the coming years (estimated until 2023) to allow for finalisation of on-going projects both regarding grants and procurement activities. They concern activities that are still on-going, that are in the finalisation stage (the final payment is pending) and some that have not yet started. For instance, information and awareness raising campaigns have a duration of 2-3 years.

**Implementation Status**

The implementation of the Consumer Programme 2014 – 2020 is well on track to meet its multiannual objectives. Most of the related performance indicators expected have been achieved.

The annual work programmes (commitments) related to operational budget:

- 2014 (EUR 21.9 million) executed at 98.3 %
- 2015 (EUR 22.5 million) executed at 99 %
- 2016 (EUR 23.7 million) executed at 99 %
- 2017 (EUR 24.7 million) executed at 94,5%
- 2018 (EUR 25.7 million) executed at 100 %
- 2019 (EUR 27.2 million) executed at 99,28%
- 2020 (EUR 27.6 million) executed at 55,91% (data from December 2020). Global commitments for the remaining already defined actions (legal commitments to be concluded during the first half of 2021) were done at the end of 2020.

In 2020, following the impact of the Covid-19 crisis on some of the procurement activities (cancellation of meetings, conferences and study visits), the budget allocated to grants was slightly increased (within the 20% flexibility foreseen in the Financing Decision), which helped to improve the overall implementation rate and limit the need to conclude global commitments.

**Enhancing consumers involvement in the EU policy making in the field of financial services:**

	Commitments	Payments
Implementation Voted budget	5 532 382	4 828 690
Implementation Carry-overs	0	0
Implementation total	5 532 382	4 828 690
total envelop*	5 532 382	
cumulative implementation rate	100%	87%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Over the period 2017-2020 commitment appropriations of EUR 5 532 382 had been used for the programme's operational implementation.

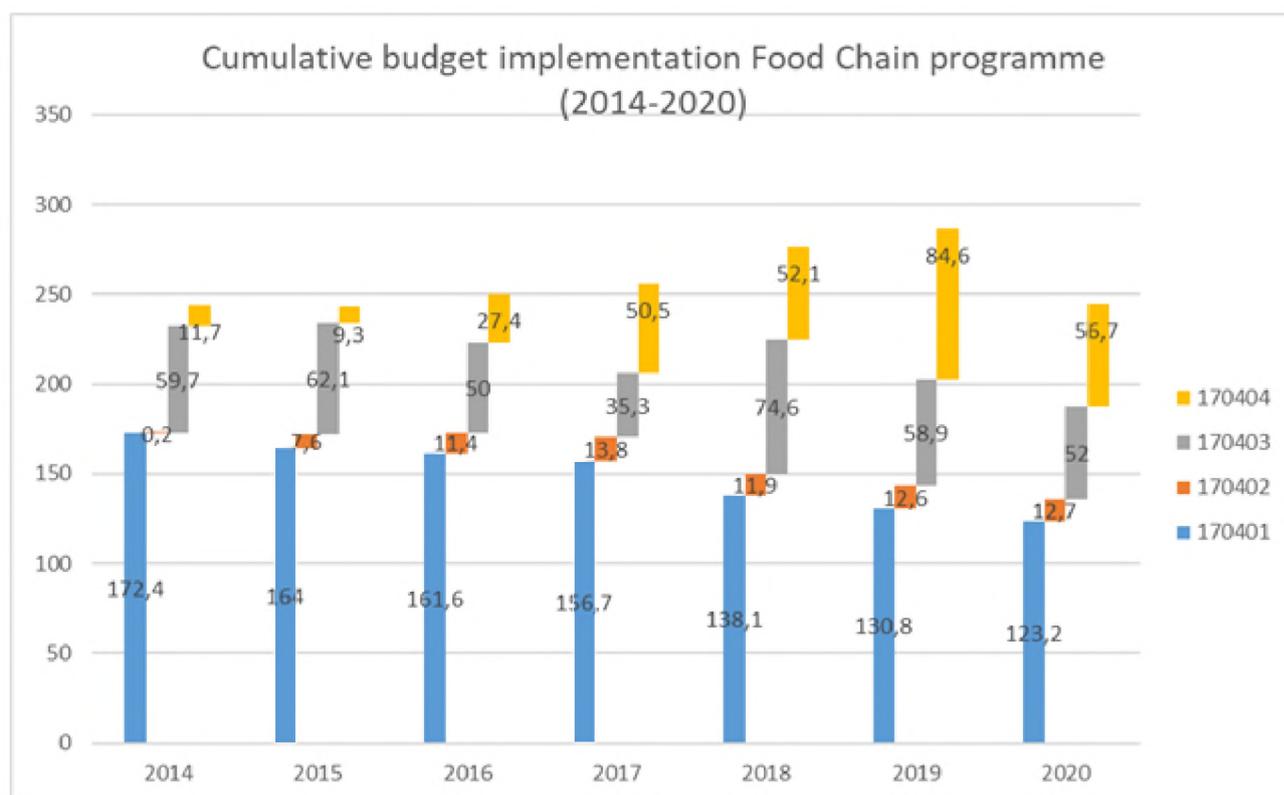
However, a total decommitment of budget appropriations amounting to EUR 0.3 million took place over the same period. This represents 5.4% of the total budget appropriations initially committed. The decommitment was mainly due to a beneficiary underspending the awarded Union funds for particular reasons. Arrangements have been put in place to mitigate the likelihood and impact of recurrence and the most information available to Commission services indicate that these measures have been successful in alleviating the problem whilst allowing the objectives of the programme to be achieved.

The payments executed over the period 2017-2020 amount to EUR 4 828 690 and represent 87% of the total commitment appropriations for the same period. The action grants implementation period runs from 1 January to 31 December and balance payments are due to the beneficiaries the following year. Therefore, the difference between the cumulative commitment appropriations (taking into account the aforementioned decommitment) and the cumulative payment appropriations represents the potentially outstanding payments for 2020 that are only due in 2021.

**Food and Feed**

	Commitments	Payments
Implementation Voted budget	1 820 388 942	1 379 342 745
Implementation Carry-overs	6 836 700	5 496 962
Implementation total	1 827 225 642	1 384 839 707
total envelop*	1 827 335 200	
cumulative implementation rate	100%	76%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020



The above graphic shows the gradual increase of budget implementation of the Food Chain programme since 2014 which follows the increase of the budget allocated under the MFF (2014-2020). In 2020 the trend was bended and the total budget consumed in 2020 (EUR 244.6 million) was considerably lower than in 2019 (EUR 287 million).

Within the Food Chain budget, the significant reduction of the budget used for veterinary programmes (budget line 17.0401) is mainly due to the phasing-out of the funding of bovine tuberculosis eradication programmes since 2018, with a progressive reduction in the cofinancing rate applied (from 50% in 2017 to 35% in 2020) together with an overall capping of the budget allocated to this disease in order to reallocate additional budget to higher priority diseases (ASF, LSD, etc). This reduction is compensated by the increase in budget consumed for emergency measures for which the severe outbreaks of avian Influenza (2016-2017-2018 and 2020) and African swine fever (2018-2019-2020) necessitated the use of the flexibility clause to raise the maximum EU contribution.

Since 2016, annual work programmes have been implemented as foreseen. These work programmes include national programmes for the eradication, control, and surveillance of animal diseases and zoonoses (veterinary programmes); national survey programmes for pests; training in the field of food and feed safety, animal health, animal welfare and plant health; IT tools in the field of food safety, animal health, animal welfare, and plant health; the European Union Reference Laboratories. Co-funding for emergency measures related to outbreaks of animal diseases and pests was covered through the adoption of one common financing decision.

The **national veterinary programmes** target transmissible, often epidemic animal diseases. They have a direct impact on public health because of food safety issues and because some animal borne diseases are transmissible to humans. Furthermore, animal disease outbreaks can trigger significant economic costs through loss of internal EU and export markets and the direct cost of disease control on the EU and Member States' budgets. In 2020, 146 national veterinary programmes covering the monitoring and eradication of 11 diseases and implemented by 28 Member States, have been approved and implemented in accordance with pre-defined priorities; their final report is due at the end of April 2021. Around EUR 117,2 million was allocated to co-fund them which accounts for the largest proportion of spending under the Food and Feed budget.

The **national survey programs for organisms harmful to plants** ensure early detection and eradication of pest outbreaks. The programme covered 62 different plant pests of which *Xylella fastidiosa*, *Bursaphelenchus xylophilus*, *Ralstonia solanacearum* and *Clavibacter michiganensis*, consume the major budget share (50% of the total budget of EUR 13,73 million). In 2020, 24 programmes were implemented for which the final report is due at the end of April 2021. Whereas the programme started in 2015 with 17 MS participating, the number of MS implementing these programmes is since 2017 stabilised at 24. Over the full period of implementation (2015-2020) the increase is indicative of the growing importance of this relatively new activity. As regards plant health, phytosanitary emergency measures aim to timely cope with emergency situations related to plant health to eradicate or to

contain pest outbreaks and have been implemented by several years. To be effective, phytosanitary eradication measures need to be implemented at the very initial stage of the outbreak, which requires a rapid and proper response at EU level, especially for some devastating pest such as *Xylella fastidiosa*, *Anoplophora glabripennis* & Pine wood nematode. Early and decisive intervention can prevent devastating costs that would arise if such diseases are only contained and/or become established. Results achieved in the last years and the emergence of new pest such as *Xylella fastidiosa* or Pine wood nematode have had an impact on the increasing EU budget allocated to plant health measures from EUR 5 million in 2017 to EUR 20 million in 2018 and 2019.

As far as **emergency measures** are concerned, a system was put in action in 2016 to contain the outbreaks of lumpy skin disease in Greece, Bulgaria, and the Balkan countries through coordinated vaccination campaigns shielding the Union from further disease spread. In addition, preventive vaccination has also taken place in Croatia. These EU co-funded emergency measures have continued in 2020, with vaccination gradually replaced by surveillance as the disease has been successfully eradicated, thanks to the EU co-funded vaccination campaigns. The implementation of the measures led to the containment of the disease in Bulgaria, Greece, Croatia, and a number of third countries, which also benefitted from EU financial aid (Serbia, Bosnia & Herzegovina, Kosovo, Montenegro, North Macedonia and Albania).

The large scale Avian Influenza outbreak which started in 2016 requested extensive efforts through 2017 and 2018 to limit its spread across the European territory. As a consequence of the measures implemented, such as the slaughter of the affected animals and the disinfection of holdings, the disease did not spread across vast territories and serious damages to the farming community and the export capacity of the Union were thus avoided. The avian influenza virus is propagated by movement of wild birds; its spread, therefore, needs quick reaction. In 2018, the Union signed grant decisions, on top of the EUR 100 million already agreed in 2017, to co-fund the further immediate implementation of emergency measures against avian influenza for an additional amount of EUR 29 million. Also in 2020 several new outbreaks occurred across the EU and grants were awarded for a total budget of EUR 58,76 million. In the framework of ex-ante on the spot audits, for some Member States the financial settlement of the crisis of 2017-2018 is continuing in 2021, which in combination with payments for the 2020 grants will result in further substantial payments in 2021 and 2022.

African swine fever (ASF) is a devastating viral disease which in Europe affects both domestic pigs and European wild boar. The disease is not a zoonosis but represents a serious economic threat due to the mortality in pig holdings and to export restrictions imposed by third countries. It presents also challenges for animal welfare. Since its introduction into four Member States in the Eastern part of the EU in 2014, ASF has spread and is currently present in eleven Member States (in Italy the disease has been present since 1978 but only in Sardinia and this is not related to other Member States). The disease can be transmitted in various ways: directly through contact between sick and healthy animals (most prominently through the wild boar population and subsequent transmission of the disease to domestic pigs), and indirectly. The latter occurs through infected material (vehicles, clothes, boots etc.), contaminated food (e.g. feeding with garbage/swill containing infected meat) and biologic vectors (soft ticks). The virus is very resistant to inactivation even under harsh environmental conditions, and currently there is no vaccine available. The “human factor” is closely related to long distance “jumps” of the disease. These issues, coupled with wildlife involvement, contribute to difficulties in ASF control and eradication.

Since 2014, the EU has allocated a total of EUR 221,94 million for the prevention and eradication of the disease, which includes EUR 74,88 million for eradication programmes and EUR 147,06 million for emergency measures. In 2020, nineteen Member States had EU-approved national programmes in place for control and eradication of ASF with a total allocation of EUR 12,87 million while for co-funding of emergency measures EUR 38,5 million were allocated in total. In addition, EUR 5,24 million have been awarded for agreements for EU co-financing of measures against ASF with seven neighbouring non-EU countries (Albania, Moldova, Montenegro, North Macedonia, Serbia and Ukraine) and Kosovo. Payments for ASF emergency dossiers will continue to have an important impact on the 2021 and 2022 budget.

Over the past years, credits were transferred to the emergency measures budget line through internal re-deployment of funds (in 2017, 2018, 2019 and 2020) and a transfer of credits. In 2020 the total credits initially allocated for emergency measures under the EU budget were EUR 20 million whereby the total budget committed by the end of 2020 to cover the EU’s payment obligations exceeded EUR 55 million. As from 2021, if necessary, additional credits may be requested on the basis of Article 11 of the MFF (2021-2027) concerning the Crisis Reserve.

In 2019, the Food and Feed programme also co-funded emergency measures to fight against plant pest outbreaks. The combat against the Asian long horn beetles (*Anoplophora glabripennis*), pinewood nematode and *Xylella fastidiosa* took up the largest portion.

Better training for safer food (BTSF) activities with the objective to improve the effectiveness, efficiency, and reliability of **official controls** could not be implemented as planned in 2020 due to the COVID 19 pandemic, as the vast majority of the planned courses involved face-to-face training in small breakout groups from multiple origins. There were 43 contracts to provide training in January 2020, operating until March 2020 when face-to-face training (F2F) was suspended until September 2021. A number of contracts were amended to allow training by virtual classrooms (VC) starting January 2021. However, as there was no contractual obligation to provide virtual classrooms, many contractors chose to extend contracts by a year and suspended their services. Eight new calls for tender (EUR 7 million) were published in 2020 requiring VCs alongside face-to-face courses. SANTE provided nine e-learning courses used by more than 5000 officials worldwide during 2020. It is currently updating these nine courses, developing a further six courses, and has ten more planned for 2021 in line with the Commission priority “A Europe fit for the digital age”.

An EU dimension to training plays an important role in spreading knowledge and awareness of EU legislation in sanitary and phytosanitary fields within and outside the EU. BTSF training contributes to ensure high level of competence amongst control staff, improve the ability to detect fraud and non-compliance on the EU market and at its borders, make official controls more uniform, objective and efficient throughout the EU, maintain high levels of consumer protection, animal health and plant health, provide economic benefits by creating a level playing field for food businesses and facilitating fair cross-border trade within the EU, reduce the number of rejections at the EU borders and ease controls at import leading to reduced burdens on EU importers, ensure a greater uniformity of control procedures between EU and non-EU partners in order to guarantee a parallel competitive position of EU businesses with their non-EU counterparts, build confidence in the EU regulatory model with competent authorities of other international trade partners and pave the way for new food market opportunities and increased competitiveness for EU operators.

There were 44 EU funded European Reference Laboratories (EURLs) in 2019; the laboratories helped ensuring the proper functioning of the internal market, the protection of human health, and the maintenance of consumers' confidence. Furthermore, two European Reference Centres were funded, respectively for animal welfare and zootechnics. The Centres provide technical support and coordinated assistance to the EU countries in carrying out official controls in their respective fields.

Activities of the EURLs provide high EU added value, ensuring high quality and uniform testing in the EU, and providing trainings to hundreds of National Reference Laboratories (NRL) in a number of food safety priority areas. This ensures a consistent and uniform work of all Member States. The activities performed by the EURLs have contributed, inter-alia, to the continuous update of diagnostic tools for the timely identification of pathogens.

In 2020, COVID-19 had a significant impact on the implementation of programme of audits carried out by the Health and Food audits and analysis Directorate of DG SANTE. Planned controls had to be postponed to later in the year or cancelled. Of the 167 audits and similar controls initially planned in the food and feed area, 97 were eventually carried out with the participation of 8 national experts. Out of these, 61 were carried out remotely. Audit reports are public and available on the dedicated Commission website: [http://ec.europa.eu/food/audits-analysis/audit\\_reports/index.cfm](http://ec.europa.eu/food/audits-analysis/audit_reports/index.cfm).

### *European Statistical programme*

	Commitments	Payments
Implementation Voted budget	446 687 982	338 176 437
Implementation carry-overs	0	2 018 112
Implementation total	446 687 982	340 194 549
total envelop*	449 130 000	
cumulative implementation rate	99%	76%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.3. Previous programme performance**

### ***Programme for the Competitiveness of Enterprises and Small and Medium-Sized Enterprises (COSME)***

The COSME programme addresses the challenges of SMEs in their entirety. Access to finance does not just provide financial support to numerous SMEs that have difficulties in finding such support. The implementation of this objective related to access to finance is found to positively affect also the SMEs' assets, share of intangible assets, sales, employment rates and even to lower SMEs' probability of default. This is empirically demonstrated by the econometric work carried out from various studies on the COSME predecessor activities related to access to finance<sup>[1]</sup>.

Under the general objective of 'strengthening the competitiveness and sustainability of the Union's enterprises, particularly SMEs' several activities of the COSME programme indirectly contribute. Looking at the time and cost to establish a business, the updated methodology<sup>[2]</sup> shows a reduction from 2014 of 15 days to 12 days in 2020, while the cost (expressed in % of income per

capita) has reduced from 4.8% to 3.2% in 2020 (EU-28). While this is a positive trend, it shows there is still work to do in improving the business environment.

The work of the SME envoys and SME Performance Review ensure a flow of information for businesses and policy-makers, contributing indirectly to improve the business framework and the competitiveness of SMEs. The SME Performance Review reports contributed to the Commission's analyses of SME relevant issues at European and national level in the context of the European Semester, and in 2020 in the context of the Recovery and Resilience Facility.

The second general objective is to encourage entrepreneurial culture and to promote the creation and growth of SMEs. EU-28 SMEs in the 'non-financial business economy' followed a solid growth path up to 2019. In 2014-2018, SME value added increased by 16.2%, and SME employment increased by 8.2%. The main drivers of growth in SME value added were micro firms, generating value-added growth of 18.3% in this period. Nevertheless, the growth in value added of large firms was even higher, at 19.5%. More recently, in 2019, all enterprise size classes recorded growth in the number of enterprises, value added and employment, and EU-27 SMEs posted stronger growth than in large enterprises, especially in terms of growth in value added. Moreover, within the EU-27 SME population, micro-SMEs outperformed by far small and medium-sized SMEs in 2019.

In 2019, SMEs accounted for over 60% of the increase in EU-27 value added, and 70% of the increase in EU-27 employment. In both cases, SMEs' contribution was driven by micro-SMEs, which accounted for 31% and 56% of the total growth in value added and employment respectively.

However, in 2020, the COVID-19 crisis brought to an abrupt halt or even reversed the gains made by the EU SME sector over the past decade. Many industries, especially in the SME-intensive services sector, experienced large declines in sales as result of the various lockdowns and other measures introduced by Member States, while some other industries saw their sales increase. The various business support measures implemented by Member States during the pandemic limited the employment impact of the decline in economic activity. Preliminary estimates from the SME Performance Review suggest that across the EU, the number of SMEs has fallen by -1.3% in 2020. Employment in SMEs is estimated to have fallen by -1.7% in 2020 (representing 1.4 million jobs lost in SMEs) and SME value added by -7.6%. SME value added is unlikely to reach 2019 levels even by the end of 2021.

Specific projects showed continued success and growth although some adjustments were necessary in 2020. The Erasmus for Young Entrepreneurs mobility scheme (active since 2009 as a pilot action and continued under COSME) demonstrates the need for entrepreneurial exchange whereby would-be or newly established entrepreneurs receive practical support from experienced entrepreneurs. Experienced entrepreneurs in return increase their knowledge and access to other markets as well as gain new ideas and techniques for their business. The programme was strongly hit by COVID19 and the number of matched entrepreneurs has reduced significantly. Measures to react to the situation were taken and remote exchanges to start with were offered. However, the programme has maintained its broad geographical spread, implemented by a network of 194 local intermediary organisations in 37 countries (out of 39 participating), including in Kosovo\* and in Martinique (EU outermost region).

Around 225 000 SMEs receive support from the Enterprise Europe Network services on a yearly basis (up to end 2019), with specific actions initiated in 2020 to help SMEs overcome the COVID crisis, helping them for example finding alternative business partners and access to finance. According to a survey by the Enterprise Europe Network, about 74% of the responding companies were strongly or moderately affected by the crisis, forcing them to deal with supply chain disruptions, employee absences and temporary shutdowns among others. The most obvious reasons were delays due to transport and logistics problems, border closings and national lockdown measures.

Financial Instruments: until September 2020, the Loan Guarantee Facility under the COSME Financial Instruments allowed more than 600 000 SMEs to receive more than EUR 35 billion financial support in 2014-2020. In reaction to the 2020 COVID crisis, EUR 714 million from the European Fund for Strategic Investments (EFSI) were redirected to the COSME Loan Guarantee Facility to allow the European Investment Fund (EIF) to incentivise banks to provide liquidity to SMEs affected by the COVID crisis. More flexibility was given to users of the Facility, and the guarantee rate was increased from 50 to 80%. Until September 2020, this helped more than 38 000 European SMEs to access around EUR 1.9 billion of liquidity finance under the COSME COVID measure.

Until September 2020, the funds supported by the Equity Facility for Growth had invested more than EUR 1.2 billion into more than 140 companies. Out of this amount, more than EUR 0.4 billion were invested into more than 50 SMEs in their growth and expansion stage. The latter two indicators (EUR 0.4 billion and 50 SMEs) were below the initially foreseen long-term targets for 2020. Some of the drivers behind that performance were:

- Signing agreements for the Equity Facility for Growth continued to take longer, as equity entails more complex due diligence and fund-raising processes.
- The Equity Facility for Growth prioritised funds focused on investments in COSME third countries participating in the programme, whereas these third countries cannot be supported under the SME window of the European Fund for Strategic Investments, however, demand from these jurisdictions continues to be limited.
- The COVID crisis in 2020-2021 impacted the equity markets.

Based on lessons learned from audits and also other assessments highlighted in the Programme Statements of operational expenditure for the previous financial years, the Commission proposed to set up one single programme (InvestEU Programme

2021-2027) establishing one single fund (InvestEU Fund). It builds on the successful model of the European Fund for Strategic Investments. The InvestEU will ensure a streamlined approach towards the management and reporting on financial instruments/budgetary guarantees. Under the InvestEU fund, financial products catering towards the Commission's policy priorities, including the financing of SMEs, will be established.

All details are available in Working Document Part X dedicated on the financial instruments.

**Challenges and conclusion:** The most recent evaluation<sup>1</sup> found that COSME actions are highly relevant in addressing the challenges related to fostering economic growth and jobs. The Programme has a good proximity to SMEs thanks to an extended network of intermediaries, a high multiplier effect and shows EU added-value. It supports all types of SMEs (e.g. Loan Guarantee Facility and Enterprise Europe Network). The programme is small but has shown flexibility in adapting quickly to new priorities.

However, 20 % of the budget is fragmented in a number of small actions with a low potential for effectiveness and cost-efficiency. In relation to monitoring, the evaluation points out to a lack of centralised data about implementation and indicators are mostly based on outputs rather than on long-term effects. Some efforts are still needed to centralise the data that at present is dispersed between the coordinating team, the units managing individual actions and the delegated entities. The programme delivers in terms of jobs and growth creation but it does not address directly global and societal challenges. The programme is coherent and works without big overlaps with other EU programmes and national/regional SMEs' support schemes, however there is scope for improving synergies, mainly at national and regional level.

The fragmentation into smaller actions has been gradually addressed in the last two years of the work programme, ensuring that the larger actions have been reinforced where appropriate, and the amount of smaller supporting actions reduced. This has also fed into the preparation of actions under the Single Market Programme where the most impactful actions are being reinforced. However the programme should retain its ability to launch smaller pilot actions to meet the changing landscape of SMEs.

<sup>[1]</sup> [https://www.eif.org/news\\_centre/publications/EIF\\_Working\\_Paper\\_2019\\_56.pdf](https://www.eif.org/news_centre/publications/EIF_Working_Paper_2019_56.pdf)

<sup>[2]</sup> Data is now measured using World Bank Doing Business <https://www.doingbusiness.org/en/doingbusiness>

### *European statistical programme*

The implementation of the European statistical programme progressed well, producing significant results under the programme's different objectives.

The general objective of the programme was for the European Statistical System to be the leading provider of high-quality statistics on Europe. Its performance indicator, measuring the Eurostat impact on Internet, shows the general good performance of the programme. The number of times that Eurostat is mentioned on the Internet is slightly lower compared to the previous year, which can be explained by the fact that an increased number of websites are blocking the access to paid content by automated tools. The percentage of negative opinion is extremely low, showing trust in and satisfaction with the data produced.

The programme has four specific objectives.

The first one is to provide statistical information, in a timely manner, to support the development, monitoring and evaluation of the policies of the Union properly reflecting priorities, while keeping a balance between economic, social and environmental fields and serving the needs of the wide range of users of European statistics, including other decision-makers, researchers, businesses and European citizens in general, in a cost-effective manner without unnecessary duplication of effort. The very good performance of Eurostat for such indicator is shown by the three related performance indicators. The statistical coverage, measured as the number of different statistics published on the Eurostat website, has increased by around 5%. This demonstrates that demands for new statistics are being satisfied, thanks also to improvements in the production processes, as the available resources are not increasing. The second indicator shows that the statistics keep being relevant and used, as indicated by the increase of the number of data extractions made by external users from the Eurostat reference databases, which has reached 21.48 million, representing an increase by 17%. Finally, the effectiveness of the work made under the objective is also on track, reaching a share of 94 % of all planned outputs, which were achieved or are on target.

The second specific objective is to implement new methods of production of European statistics aiming at efficiency gains and quality improvements. The first related performance indicator shows the improvements in quality. The timeliness of the main quarterly and monthly statistics shows a very slight increase (half a day). The effectiveness of the work made under the objective slightly increased, reaching a share of 97% of all planned outputs, which were achieved or are on target.

The third specific objective is to strengthen the partnership within the European Statistical System and beyond in order to further enhance its productivity and its leading role in official statistics worldwide. It is thanks to such partnership that the production of complex statistics like the Principle European Economic Indicators (PEEIs) is possible. The related indicator shows that the publication of the PEEIs slightly went down, probably due to the outbreak of COVID-19 pandemic at the beginning of the year. The production of the statistics on foreign trade with countries outside the EU is constantly in advance compared to the legal target.

The fourth specific objective is to ensure that delivery of statistics is kept consistent throughout the whole duration of the programme, provided that this does not interfere with the priority-setting mechanisms of the ESS. The consistency is shown by the indicator measuring the percentage of the statistics, for which time series that cover 10 or more consecutive years are available. The indicator has increased compared to the baseline in 2017, but not compared to the last two years. However, the absolute number (which should be the correct indicator, used for the next MFF) has increased.

### ***Specific Activities in the Field of Financial Reporting and Auditing***

As previously noted for these activities included in Working Document No.1 for the draft 2021 Union budget, in 2019 the Commission assessed<sup>[1]</sup> the achievements resulting from the funding programme established by Regulation (EU) 258/2014, an assessment which confirmed the relevance and the benefit of the EU funding programme. The same conclusion can be drawn for 2020, the last year of the funding programme. In particular, Union support strengthens the legitimacy of the three beneficiaries (the International Financial Reporting Standards (IFRS) Foundation, the European Financial Reporting Advisory Group (EFRAG) and the Public Interest Oversight Board (PIOB)) to serve the European public interest by developing and promoting European views in the field of financial reporting and auditing and ensuring these views are properly considered in the IASB and IFAC standard-setting processes. In terms of achievements, the funding programme has enabled the three beneficiaries to develop standards, which enhance the transparency and comparability of financial information about financial instruments, revenue recognition, and lease contracts.

Over 2017-2020 the progress made by IFRS Foundation was in line with its work programme. Four major standards were issued: IFRS 9 - *Financial Instruments*, IFRS 15 - *Revenue from Contracts with Customers*, IFRS 16 - *Leases* and IFRS 17 - *Insurance Contracts*. The IASB also published its updated *Conceptual Framework for Financial Reporting* to describe the objective of and concepts for general purpose financial reporting. In 2018, the focus of the IASB agenda evolved from major standard-setting projects towards research projects, maintenance-type activity and initiatives aimed at improving the communication through financial statements. In 2019, the IASB also started to revise its new standard IFRS 17 at the request of major stakeholders including the EU, as well as starting to work on a project to enhance the presentation of *Primary Financial Statements*.

Over 2017-2020 EFRAG fulfilled its work programme in a satisfactory manner, and in line with the recommendations from the Maystadt Report (October 2013). On financial reporting EFRAG's work was largely driven by the IASB work programme, the IFRS Interpretations Committee, and the IFRS Foundation. Throughout the period, EFRAG provided substantial comment letters to all new draft standards issued by the IASB at an early stage of the IFRS Foundation's due process. To support decision making on endorsement, EFRAG issued timely advice on whether the final IFRS standards issued by the IASB complied with the technical criteria of the IAS Regulation, including the true and fair view principle, and were conducive to the EU public good. In 2020, EFRAG worked on research projects that will be continued in 2021: Discounting with low interest rates; Better information on Intangibles; Crypto Assets; and Variable and Contingent Considerations. EFRAG also published a Discussion Paper on the Accounting for crypto-assets (liabilities) with a deadline of 31 July 2021, on which the outreach will be undertaken in 2021.

EFRAG has also widened the scope of its work in recent years and established a European Corporate Reporting Laboratory ("the Lab"), which became operational in February 2019, when the Lab's Task Force on climate-related reporting started its work, the report on which was published in February 2020. A second project about reporting of non-financial risks and opportunities, and linkage to the business model started in September 2020.

The PIOB continued to carry out its oversight function of the International Auditing and Assurance Standards Board (IAASB) and the International Ethics Standards Boards for Accountants (IESBA), whereas the International Accounting Education Standards Board (IAESB) ceased to exist in 2019 with the completion of its work plan.

Since March 2020 the global COVID-19 pandemic has influenced the work of the IFRS Foundation, EFRAG and PIOB in several ways. The three entities not only adapted by changing the way they worked (crisis meetings were conducted as on-line meetings, outreaches have been cancelled, postponed or turned into webinars) but also deadlines were extended to recognise the circumstances of stakeholders and to allow them to provide input and where applicable seek input from their constituents. The IASB supported stakeholders with some COVID-19 related amendments that provide targeted accounting relief, and by adjusting the Board's work plan including postponing less critical consultations. One example of this is the amendment to IFRS 16 to facilitate the accounting by entities for COVID-19-related lease concessions such as rental holidays and temporary rent reductions. On the other hand, the IASB prioritised time-sensitive projects such as those related to IBOR reform and the IFRS 17.

In March 2020, EFRAG called on the IASB to extend their consultation periods of non-time critical projects and the IASB extend the consultation periods of several of its projects. EFRAG also revisited the timelines of its projects in light of the IASB decisions and the particular circumstances of the pandemic recognising the priorities of its stakeholders. Although the COVID-19 crisis had an impact on EFRAG's working methods in 2020, it does not seem to have influenced the implementation of their work programme. For example, EFRAG has been able to meet fully the deadlines, including the extensive preparation process of the endorsement advice of IFRS 17 and the outreach and field test of the IASB Exposure Draft General Presentation and Disclosures and the IASB Discussion Paper Business Combinations and Disclosures, Goodwill and Impairment.

Overall, the funding programme supported reliable corporate reporting by companies. This in turn facilitates the allocation of savings and the reduction of the cost of capital for companies in the EU. As regards the financial independence of the beneficiaries,

<sup>1</sup> Single Market Programme, including COSME, ISA2, ESP, consumer involvement in fin. Services, financial reporting, Food and Feed, consumer programme 245/134

their funding diversification has increased their credibility and technical capacity. The EU financing of the PIOB has helped to attract other public sponsors and to ensure a minimum level of independency from IFAC and the auditing profession. The implementation of the Maystadt reform has also broadened the constituency of EFRAG and contributed to better coordination between European stakeholders in the field of financial reporting. The objective of having national financing of the IFRS Foundation that is proportionate to a country's gross domestic product has, however, not been achieved. Further diversification of the funding of PIOB is also needed.

[1] See COM(2019) 549 final - <https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1572432361115&uri=COM:2019:549:FIN>

### ***Enhancing consumers involvement in the EU policy making in the field of financial services***

Since the launch of the programme in 2017, Better Finance and Finance Watch, have been successfully working towards the achievement of the programme's objectives. They have further developed the knowledge and expertise needed to participate in EU and other relevant multilateral policy-making in the area of financial services, in line with the objectives of Regulation (EU) 2017/826. In parallel, the two organisations built up a network and implemented a number of dissemination activities that enabled them to inform consumers and other financial services end-users as well as stakeholders representing their interests, about issues at stake in the regulation of the financial sector.

The 2019 evaluation<sup>[1]</sup> of the programme's implementation and its achievements concluded that the objective of further enhancing the involvement of consumers and financial services end-users in Union policy-making in the area of financial services was achieved. The two organisations also largely achieved the objective of informing consumers and other financial-services end-users on issues at stake in the regulation of the financial sector.

The study further confirmed that the two organisations have provided important input to the financial policymaking process, in particular through their contributions to public consultations, participation in important Commission and European Supervisory Authorities expert groups, and various publications. Based on their research activities, the beneficiaries helped fill gaps in the overall understanding of certain financial phenomena.

While the two beneficiaries have worked on most of the consumer- or user-related topics in the EU policy debate on financial services each of them prioritised some policy aspects and pursued them in line with the objective of Regulation 2017/826. The study showed that the activities implemented by both organisations in relation to the programme are largely appreciated by stakeholders, and considered to be of high quality. However, some stakeholders argued that the beneficiaries could have covered certain topics in greater depth, e.g. the review of the European Supervisory Authorities Regulations and credit assessment.

The study also concluded that advocacy at EU level on behalf of non-industry stakeholders continues to be necessary to ensure that the perspective of consumers and end-users is taken into consideration. The Union programme allows these organisations to maintain the necessary expertise and independence to effectively represent the interests of consumers and end-users in financial policy-making.

Since March 2020 the global COVID-19 pandemic has hampered the beneficiaries' physical participation (including as speakers) in a number of events as many have been cancelled or postponed. Instead, both organisations organised 13 virtual events, provided speakers to 66 online conferences and webinars and attended another 105 on-line events. Thus ensured that the voice of financial service users was heard.

[1] <https://op.europa.eu/en/publication-detail/-/publication/686d2aa1-4053-11eb-b27b-01aa75ed71a1/language-en/format-PDF/source-189452768>

### ***Consumer programme***

The Consumer Programme 2014 – 2020 achieved progress towards meeting the programme's specific objectives in the areas of safety, consumer information and education, rights and redress and enforcement, with a high EU added value in particular in a highly inter-connected economy.

#### **Product safety**

In the field of product safety, the Commission has promoted and facilitate cooperation among enforcement authorities by financing joint sampling and testing activities on specific products, which eventually feed the Safety Gate: the rapid alert system for dangerous non-food products, as well as knowledge sharing activities on a variety of market surveillance issues.

Cooperation between national authorities through the Safety Gate: the rapid alert system for dangerous non-food products has significantly increased over time, since the system's creation in 2003. The feedback ratio of reports of other authorities to 'serious risk' notifications increased from 0.90 in 2013 to 2.69 in 2020 (these very good statistics can also be explained by the fact that a notification can trigger several reactions from authorities of other Member States). The number of notifications has now stabilised at a regular rate with around 2 000 per year.

To ensure a much closer cooperation between the European Commission and Member States market surveillance authorities, in 2019 the Commission switched from a grant to a tender procedure. The CASP (Coordinated Activities on the Safety of Products) objective is to foster cooperation by implementing a package of product specific and horizontal activities with flexibility and

efficiency. The current CASP 2020 reached its final phase where the testing activities finished and market surveillance authorities work on the risk assessment and follow-up measures according to the test results. To further support Member States during the pandemic, a project for ad-hoc testing activity of COVID19 related products was also financed. In parallel, the CASP 2021 started, focusing on product categories and horizontal activities like online market surveillance and crisis management based on lessons learnt from COVID-19.

Since 2019, the exchanges of product safety enforcement officials have also been integrated within CASP activities, with the name 'VisitUs'. During an initial period of 6 months (October 2019 – March 2020), 26 officials participated to the exchange in this new form. The scheme had to be suspended after March 2020 due to Covid-19 restrictions.

The exchanges of Consumer Protection Cooperation (CPC) officials (55 in 2019; 7 in 2020 – they also had to be suspended after March 2020) continue under the previous scheme (special indemnities).

### **Consumer information and education**

The Consumer Programme has funded several communication and information campaigns, to promote consumer rights while travelling and shopping (including online shopping), to promote and inform about the Online Dispute Resolution (ODR) platform.

Thanks to an annual operating grant of EUR 2 million, awarded in 2020 in the framework of the Framework Partnership Agreement 20018-2021, the European Consumer Organisation BEUC could carry out various activities in favour of defending the interests of all Europe's consumers.

### **Rights and redress and enforcement**

The programme has supported the National Consumer protection cooperation. In 2020 intense work took place to ensure that national authorities are ready to implement efficiently the new CPC Regulation (Regulation 2017/2394, entering into force on 17 January 2020) and have a modern IT system to support their cooperation. In 2020 the Consumer Programme supported a digital communication for the consumer protection co-operation.

Thanks to the support provided from the Consumer Programme, the second phase of the e-enforcement academy, set up to boost the CPC network and the ability of product safety networks to conduct online investigations, started in March 2021.

The Consumer Programme has provided funding for the European Consumer Centres Network (ECC Net). The 15th anniversary of the ECC Net was marked by a virtual event held in November 2020. The ECC-Net helps consumers with cross-border purchases, explaining their rights when shopping internationally and, where necessary, helping them seek redress against a trader in another EU country, Iceland or Norway. In 2020 the amount of grants for the Network was increased by 450.000 EUR (to almost 7 million EUR) to better respond to increased needs related to some aspects of the Covid-19 crisis and its impact on consumers in the EU. During 2020, the ECCs answered consumer queries on travel disruptions due to COVID-19 and published FAQs on the cancellation of some travel services. In order to boost tourism from third countries and to regain consumer confidence in travelling to the EU, the ECCs are working on developing shared tools covering various forms of help offered to tourists from third countries (e.g. setting up a helpline, translating relevant information into languages spoken in third countries).

In the same spirit, the amount of grants for the co-operation between national authorities responsible for the enforcement of the consumer protection laws (CPC grants) was also slightly increased (by 100.000 EUR). These additional amounts came from unspent procurement funds (due to cancellation or delay in implementation of some actions such as expert meetings and conferences), and were transferred within the flexibility provided in the Financing Decision. The Online Dispute Resolution (ODR) platform, launched in 2016, is today also a modern way to register consumer complaints, replacing other systems such as the European Consumer Complaints Registration system (ECCRS). In 2020, the number of cases dealt with by a Union-wide online dispute resolution system reached almost 147.000 and overpassed the target set. On the basis of the available data, it is estimated that about 40 % complaints are resolved, either bilaterally between the consumer and the trader following the contact from the ODR platform, or by ADR bodies accessible via ODR platform.

### **Rights, Equality and Citizenship: Consumer rights strand**

*Specific objective 9: to enable individuals in their capacity as consumers or entrepreneurs in the internal market to enforce their rights deriving from Union law, having regard to the projects funded under the Consumer Programme.*

The REC Programme contributed to the design of the legislative proposals in the context of the New Deal for Consumers package, adopted in April 2018, aiming at better consumer redress, enforcement and modernisation of EU consumer protection rules so that all European consumers fully benefit from their rights under Union law.

The Programme also contributes to raise awareness of EU consumer law, including by SMEs through a dedicated training project ConsumerLawReady2. Thanks to this training scheme, the developed lessons (including on-line), have been carefully tailored to consumer legislation in the countries of origin and made available in 28 EU languages.

The Programme makes compliance easier and enhances enforcement by financing the content update of the Consumer Law database (part of the e-Justice Portal)<sup>3</sup>. The tool concretely helps lawyers, judges, as well as businesses and consumers, to quickly check rights and obligations arising from consumer law, including for instance past legal rulings from Member States and from the

<sup>3</sup> Single Market Programme, including COSME, ISA2, ESP, consumer involvement in fin. Services, financial reporting, Food and Feed, consumer programme 247/134

European Court of Justice, alongside and relevant national administrative practice. The Consumer Law database regroups 9 key EU directives in the field of consumer law and provides information on enforcement systems for each of these Directives.

The Programme supported an expert group which helped the Commission to analyse the safety and liability implications of AI, Internet of Things, robotics and other emerging digital technologies. The Programme funded a second group of governmental experts on digital contracts directives in 2019. The group assists the Commission in the coordination and support of the preparatory work by Member States in view of the transposition of the digital content directive and sales of goods directive in national law by July 2021.

### Food and Feed

The Commission (DG SANTE) considers that the Food and Feed programme is performing well and has been effectively implemented, contributing to a high level of health for humans, animals and plants by preventing and eradicating diseases and pests. The programme ensures a high level of protection for consumers and the environment, while enhancing the competitiveness of the Union food and feed industry and favouring the creation of jobs. It focuses on national programmes for the eradication, control, and surveillance of animal diseases and zoonoses; national survey programmes for pests; training in the field of food and feed safety, animal health, animal welfare and plant health; IT tools in the field of food safety, animal health, animal welfare, and plant health; the European Union Reference Laboratories. In 2019, the Food and Feed programme also co-funded emergency measures to fight against plant pest outbreaks. The combat against the Asian long horn beetles (*Anoplophora glabripennis*), pinewood nematode and *Xylella fastidiosa* took up the largest portion.

The performance indicators linked to the programme's specific objectives are relevant, measurable and realistic. Since 20 March 2019 the entire Union is declared free of swine vesicular disease, therefore the corresponding indicator is not relevant anymore because the disease has been eradicated.

In the period 2014-2020, the Court of Auditors published several reports assessing the implementation of the Food and Feed Programme. In the SR 2019/02 of the Court of Auditors on Food Safety, it is emphasized that the EU's food safety model in respect of chemicals is considered a point of reference and it is soundly based and respected. On 26 April 2016, the Court published its Special Report (SR 28/2016) on a performance audit on animal disease eradication programmes and drew positive conclusions on DG SANTE's management of the programmes. All recommendations of the Court referred to actions that were already ongoing and all of them have been already finalised. The Food and Feed programme has contributed to the improvement of animal welfare through the financial support for BTSF trainings in this area in several countries. This has led to improvements in this sector as stated by ECA that emphasized in its report SR 2018/31 that the EU actions on animal welfare have improved compliance with the EU requirements and supported higher standards with a clear positive impact on animal welfare. DG SANTE proposes to launch an external study to prepare the evaluation of the 2012-2015 animal welfare strategy and based on the results of the study will elaborate the evaluation on the strategy through a Commission staff working document. A contract for the one-year study was signed on 10 October 2019.

In 2019 the Internal Audit Services have requested DG SANTE to further improve and simplify the financial management of the veterinary and phytosanitary programmes. In the light of this process DG SANTE signed an Administrative Arrangement with the Joint Research Centre of the Commission to develop new methodologies for the calculation of unit costs in both areas. In line with the IAS recommendations this exercise is conducted in collaboration with DG BUDG and the Legal Service in view of the formal adoption of a decision by the AOSD authorizing the use of such unit costs or even lump sums on the basis of these unit costs. The work has suffered slight delays because of the COVID-19 situation but the final report for the review of the methodology for unit costs in the veterinary area was submitted by JRC to SANTE in March 2021. At the same time the report for phase 1 concerning a new methodology for the calculation of unit costs for sampling activities in the phytosanitary area (where no such approach existed) was also submitted by the JRC. SANTE intends to apply both methodologies for its 2021 programmes.

The challenges of the programme:

- The Commission agrees on the existence of backlogs especially in the area of regulated food ingredients and is working to enhance its procedures for the monitoring and enforcement of all food and health legislation which will cover the follow up to recommendations arising from Commission audits.
- See mid-term evaluation report <sup>(1)</sup>.

Following the evaluation of Regulation (EU) No 652/2014 (Common Financial Framework - CFF) and in order to follow up on a Court's recommendation, the JRC was asked to carry out a study to establish the cost-effectiveness methodology in the food chain area. The report published in 2018 provides a methodological guidance on cost-effectiveness analysis in the view of future evaluations of the EU interventions currently funded under the CFF of the food chain area. In addition, a methodology was proposed to develop a set of indicators in order to evaluate the different levels of intervention in the spending areas covered by the CFF. As a follow up, a set of indicators for monitoring and evaluation purposes are under identification in the framework of the Single Market Programme, food strand part, covering the financial period 2021-2027 (MFF).

<sup>(1)</sup> [https://ec.europa.eu/food/sites/food/files/safety/docs/cff\\_food-chain\\_mid-term-eval\\_reg-2014-652.pdf](https://ec.europa.eu/food/sites/food/files/safety/docs/cff_food-chain_mid-term-eval_reg-2014-652.pdf)

### 3.2. Key achievements

#### *Programme for the Competitiveness of Enterprises and Small and Medium-Sized Enterprises (COSME)*

70 000	600 000	8.2 million	16 500	118
SMEs availed of EEN advisory services on access to finance, IP rights and single market	SMEs in 32 countries have received financing from the Loan Guarantee Facility	visits to the business section of the Your Europe portal	entrepreneurs have been involved in the Erasmus for Young Entrepreneurs mobility scheme	Transnational public-private Tourism partnerships covering 31 countries

Thanks to the reinforcement of the COSME Loan Guarantee Facility resources from the SME window of the European Fund for Strategic Investments <sup>(1)</sup> (doubling the available resources), it was possible to achieve the targets set for the overall programming period (2014-2020) already in the course of 2018. In 2020<sup>19</sup>, the high performance continued to benefit SMEs in need of finance. As of September 2020, more than 600,000 SMEs in 32 countries already received financing for more than EUR 35 billion <sup>(2)</sup>. Especially start-ups and smaller SMEs which find it hardest to access finance due to their perceived higher risk or lack of sufficient collateral, continued to benefit from the enhanced Loan Guarantee Facility. It continues making financial support available to SMEs with more than 88 % of SMEs having less than 10 employees. All details are available in Working Document Part X dedicated to the financial instruments.

The Enterprise Europe Network's services range from information on EU matters and awareness-raising campaigns to specialised advisory services, company missions and matchmaking and technology brokerage events. Some 3,000 network staff have been active in organising local events and providing specialised advisory services to 70,000 SMEs on access to finance, intellectual property rights and Single Market issues. They provided business and technology reviews, resource efficiency services and individual partnering and internationalisation support. About 80,000 meetings between SMEs were organized in matchmaking events on a yearly basis (final numbers for 2020 not available yet). Since its renewal in 2015, the Network reached 19,450 partnership agreements between SMEs thanks to Network partnering services. The recently started Network advisory support services gave 9,641 clients a significant impetus to improve their competitiveness and innovation at European level. In addition, Enterprise Europe Network put Scale-Up Advisors in place to help start-ups overcome the barriers to growth and to fully support their ambition to scale, and started building up capacities for their Sustainability Advisors to be put in place in the next MFF. Enterprise Europe Network helped SMEs find business opportunities in 41 countries outside the EU with a focus on neighbouring countries and third countries with whom free trade or economic partnership agreements were signed (including 11 COSME associated countries).

At the end of 2019 about 8,300 matches have taken place under the Erasmus for Young Entrepreneurs mobility scheme, involving over 16,500 entrepreneurs. 95 % of host entrepreneurs consider their exchange successful, while the satisfactory rate of new entrepreneurs reaches 97 %. New entrepreneurs participating in the programme between 2014 and 2016 have created 251 new companies so far, and over 1 000 new jobs. Host entrepreneurs also confirmed the positive effects – as well as over 1 100 new jobs created on their side, 58 % of experienced entrepreneurs have seen an increase in turnover and 41 % in increased employment <sup>(3)</sup>.

The business section of the **Your Europe portal (YEB)** continued its growth in 2020, reaching a record high number of visits (8.2 million, +6.5% compared to 2019). Although growth was slower than expected, it was still remarkable in a difficult year, in which for the first time the Your Europe portal as a whole saw less visits than in the previous year. Demand for information on doing business across borders stayed stable, and new content added on Your Europe Business (esp. on product requirements) contributed to growth in visits. It should be noted that the record high number of visits in 2020 was reached with less investment in paid promotion; more organic visits are a sign the work done on search engine optimisation is paying off.

From 2014 to 2020, the three international (China, Southeast Asia and Latin America) Intellectual Property SME Helpdesks have achieved most of their objectives, in particular exceeding their targets for the Enquiry helpline (+ 7600 questions from EU SMEs were answered within the contractual three-day period). In 2020, they have implemented adequately the training task despite the challenges posed by the COVID-19 pandemic but had to convert many onsite trainings into e-learning. They have launched a new website on Europa in December 2020 and a new Intellectual Property SME Helpdesk started in India in November 2020.

COSME has also contributed successfully to strengthening the competitiveness of the European tourism sector and its enterprises. It covered a wide range of actions to support tourism e.g. transnational cooperation projects, capacity building of tourism SMEs, improving socio-economic knowledge, awarding sustainable and smart tourism destinations, events, studies, evaluations etc. Direct results include, amongst others, the creation of new strategic partnerships across borders and an increased visibility in international markets. (118 transnational public-private tourism partnerships involving over 150 SMEs and 200 tourism stakeholders from 31

European countries - ca €17m). New tourism products and services have been developed and there are high expectations among the participants on the possibilities to enter new markets.

To improve the direct support to tourism SMEs through the tourism actions under the COSME programme from 2019 the focus was shifted from co-financing transnational tourism products into co-financing capacity building of tourism SMEs in sustainable tourism (call for proposals 2019) or in digitalisation uptake (call for proposals 2020). Under those recent calls for proposals, each co-financed project implemented by a transnational consortium needs to support at least 60 tourism SMEs. As result, we expect to support directly at least around 425 tourism SMEs in 25 countries, following the 2019 COSME call for proposals on boosting tourism sustainability.

Tourism is among the most affected ecosystems by the COVID-19 pandemic. Tourism enterprises will need a targeted support though Single Market Programme, amongst others, for their recovery and green and digital transition.

### European statistical programme

<a href="https://ec.europa.eu/eurostat/cache/recovery-dashboard/">https://ec.europa.eu/eurostat/cache/recovery-dashboard/</a>	Beta release of the Web Intelligence Hub Platform
Publication of the new statistical information tool the European Statistical Recovery Dashboard	Implementation of the Trusted Smart Statistics initiative

Providing the European Union with statistics at European level that enable comparisons between countries and regions is a key task. Democratic societies do not function properly without a solid basis of reliable and objective statistics. On the one hand, decisionmakers at EU level, in Member States, in local government and in businesses need statistics to make those decisions. On the other hand, the public and media need statistics for an accurate picture of contemporary society and to evaluate the performance of politicians and others. National statistics are important for national purposes in Member States, but European statistics are essential for decisions and evaluation at both national and European level. Statistics can answer many questions: Is society heading in the direction promised by politicians? Is unemployment up or down? Are there more CO2 emissions compared to ten years ago? How many women go to work? How is your country's economy performing compared to other EU Member States? Furthermore, international statistics are a way of getting to know your neighbours in Member States and countries outside the EU. They are an important, objective and down-to-earth way of measuring how we all live.

The performance indicators are mostly well on track, although some of them do not follow the positive trend that was expected, probably as a consequence of COVID-19 pandemic and the need to face unexpected problems, as well as some methodological issues not related to the pandemic.

The statistical coverage, measured as the number of different statistics published on the Eurostat website, has increased by around 5%, while the human resources available to produce them have not increased. This shows a rise in efficiency in the production processes, which is necessary to cover new demands for statistics, especially during the COVID-19 pandemic. The statistics published by Eurostat are used more – the number of data extractions made by external users from Eurostat reference databases (EuroBase and Comext) via the Eurostat website increased by more than 3 million and reached 21,48 million. The percentage of negative opinion concerning Eurostat continued to be extremely low, showing trust in and satisfaction with the data.

Examples of the programme success stories:

- The year 2020 was exceptional, with Covid-19 pandemic causing emergency in European countries and throughout the world and putting the European Statistical System (ESS) and its production processes under significant pressure. Eurostat and the NSIs have turned to **innovative methods and new data sources** in order to respond to the emerging new demands for information and overcome the difficulties related to limited availability or even missing primary data. In this period, Eurostat not only continued to be the trusted reference point of statistics for policy-making and published all statistics with deadlines and required quality, but it also **expanded the production of statistics into newly emerging fields as a response to the Covid-19 pandemic** (e.g. monitoring the health conditions; weekly deaths statistics; monthly excess mortality indicators).
- At the end of April 2020, Eurostat introduced a **dedicated section on Covid-19 on its website**, containing all relevant information and providing easy access in one place. The information presented covered a range of topics related to the economy, society and work, population and health as well as agriculture, energy, transport and tourism. The section also included **guidance for official statisticians on how to address methodological issues** triggered by the crisis.
- A **new statistical information tool** has been developed and disseminated in a very short amount of time. The **European Statistical Recovery Dashboard** responds to the needs of policy-makers at national and European

levels in the Covid-19 context. It brings together 23 monthly and quarterly indicators and covers all statistics areas, which are relevant for tracking the economic and social recovery from the Covid-19 pandemic. The Dashboard is built around an **interactive visual tool**, linked to the Eurostat database, from which data can be downloaded. It was designed by Eurostat in collaboration with the Federal Statistical Office of Germany and was launched in December 2020.

- In response to emerging needs in the analysis of the **labour market effects of the Covid-19** crisis, Eurostat focused on **innovation in statistical products**. The lockdown measures for business and population affected the traditional measurement of employment. In response, Eurostat developed a **new approach to adapt to the evolution of the labour market**. Eurostat used the information available from the EU Labour Force Survey (LFS) and provided additional seasonally adjusted indicators (labour market slack, absence from work by reasons, working time) as well as better information on the transitions between different labour market conditions. The data were published faster than in the past, and Eurostat is currently working with Member States in order to improve even further its timeliness. In the longer run, it is planned to collect robust labour data on a monthly basis.
- The adoption of the Commission Implementing Regulation 2020/1197, laying down the technical specifications of the **European Business Statistics (EBS) Regulation**, was a key milestone for its implementation process. **Additional data** will become available in this statistical domain, particularly information on the services sector, international trade and globalisation.
- Eurostat also provided high quality and timely business and trade statistics, in particular, the **Principal European Economic Indicators (PEEIs)**. The PEEIs provide detailed insights into the **impact of the Covid-19 crisis on the European Union’s industry, construction, retail trade and services activities, as well as international trade in goods**. In the autumn 2020, the dissemination of **experimental statistics** on quarterly registrations of businesses and declarations of bankruptcies further completed the data provided to users on the impact of the crisis on European businesses.
- Within the Commission priority ‘European Green Deal’, there were a number of important achievements. Concerning the **Sustainable Development Goals (SDG)**, the Eurostat **SDG monitoring report** and the accompanying communication package (including a digital publication and a summary brochure) are key sources of information for a wide range of users. Furthermore, reducing the risk and dependency on pesticides is one of the headline 2030 targets of the European Commission’s Farm-to-Fork and Biodiversity 2030 strategies. The harmonised indicator based on **European statistics on pesticides** sales was adapted to suit the monitoring needs linked to the Farm-to-Fork strategy and was published for the first time. Finally, in relation to the new **EU budgetary own resource on nonrecycled plastic packaging waste**, which was confirmed to apply from January 2021, Eurostat launched a new data collection on packaging and packaging waste.
- The **Trusted Smart Statistics** initiative is a major development that Eurostat initiated together with its partners in the ESS. It aims at providing the ESS with capabilities to embrace the opportunities provided by new technologies and data originating from the digitalisation of society and the economy. Eurostat, together with DG DIGIT and the European centre for vocational training (Cedefop), laid down the foundations of **Web Intelligence Hub** to collect and process Internet data to better assess labour market developments on a timely basis, using advanced technologies.
- Eurostat also made significant progress in the modernisation of its data and metadata platform (**EDAMIS**) used as a single entry point for all data exchanges between Eurostat and data providers at both national and international level. The new EDAMIS 4 application offers functionalities to enable the secure exchange of sensitive data within the ESS and to provide better upfront validation of data transmitted to Eurostat.
- Finally, the Commission's **Demography Report** was prepared and published **based almost exclusively on Eurostat data** and presents the main drivers of demographic change and the impact they are having across Europe.

The achievements listed above demonstrate the value added that Eurostat brings to public debate and to the design, monitoring and evaluation of Union policies, by providing comparable and high-quality data and statistics on Europe. **The Member States alone could not achieve a similar level of harmonisation, comparability and quality.**

#### *Specific Activities in the Field of Financial Reporting and Auditing*

166	98%
countries using International Financial Reporting Standards (IFRS) in 2020	of the IFRS standards are endorsed in the EU in 2020

In terms of progress, the international application and acceptance of IFRS in individual countries has increased. The analysis of 166 jurisdictions shows that IFRS Standards are required for all or most domestic publicly accountable entities (listed companies and financial institutions) in 144 jurisdictions, whilst a further 12 jurisdictions permit its use. In addition, 87 of the 166 jurisdictions either require or permit the *IFRS for SMEs* Standard. The European Union's commitment to IFRS has provided an impetus to the international acceptance of IFRS, which ultimately fosters the ability of European companies to trade, raise capital and expand internationally while benefiting from administrative savings.

For 2020, the IFRS Foundation's main achievements include: (i) the publication of targeted amendments to IFRS 17; (ii) the publication of the amendments to IFRS 4 *Insurance Contracts* - Extension of the Temporary Exemption from Applying IFRS 9 until 2023; and (iii) the publication of the revised *Due Process Handbook*. Other work priorities included amendments to various IFRSs to address undesirable consequences of the reform of interest rate benchmarks such as interbank offered rate (IBOR).

In 2020, EFRAG completed its work on the consequences of IFRS 9 on long-term investment and delivered its final advice to the Commission about the accounting treatment of equity instruments in January 2020. EFRAG continued to carry out important technical analyses on the amendments to IFRS 17 and on the IBOR reform (Phase 2) and on their effects on financial reporting. In addition, EFRAG provided endorsement advices on Accounting Policies and Accounting Estimates (Amendments to IAS 8); Disclosure Initiative-Accounting Policies (amendments to IAS 1 and IFRIC 2); and Lease Liability in a Sale and Leaseback Amendments to IFRS 16). Following the 2018 Action Plan on Financing Sustainable Growth, EFRAG has also developed its capacity in relation to wider corporate reporting. It established a project task force on climate-related reporting, which published its report in February 2020 and has appointed a new project task force on reporting of non-financial risks and opportunities and linkage to the business model.

During 2019, the PIOB actively supported the Monitoring Group – of which the European Commission is a member – which is developing a comprehensive reform package in the field of standard setting in audit and ethics for accountants. In order to increase transparency, the PIOB is now consistently publishing its recommendations and has launched a new website on 13 December 2019.

#### *Enhancing consumers involvement in the EU policy making in the field of financial services*

12 477	177
Total number of Twitter followers	Total number of position papers and responses to public consultations in the field of financial services for the period 2017-2020

This small but important programme received a modest budget of EUR 1.5 million per annum. The beneficiaries raised the profile of the interests of consumers and other financial services end-users in EU policy-making through intensified advocacy actions with increased influence on policy-making and a better outreach to users of financial services (including a wider geographical coverage in the EU).

In the period 2017 – 2020 Better Finance has established itself as a specialised EU non-industry association with a primary focus on retail investments. Better Finance researched, published and advocated on its main topics, e.g.9 Pan-European Pension Product (PEPP), Sustainable Finance, Packaged retail and insurance-based investment products, Key Information Document (PRIIPS KID), and Collective Redress. Amongst their numerous publications since 2017 are the flagship research studies “The Pension Savings: Real Returns (annual report) and “Robo-advice study 2020” as well as reports on sustainable investment funds, securities lending and European long-term investment funds. In the period 2017 – 2020 they have provided 69 responses to public consultations/feedbacks, as well as many own-initiative publications and open letters on the above mentioned topics.

Finance Watch continued to develop and utilise its comprehensive expertise in financial services policy. It was particularly active in the area of financial stability, sustainable finance and financial inclusion / retail. In this context, in the period 2017 – 2020, Finance Watch published 35 papers and reports and responded to 40 public consultations. Amongst their numerous publications since 2017 are the reports “Nature's Return” on integrating economic and environmental governance, “Breaking the climate-finance doom loop”, and “Financial Exclusion: Making the invisible visible”.

Both beneficiaries actively engaged in discussions, consultations and research in the area of sustainable finance.

Better Finance published a report on sustainable investment funds & sustainability ratings, and co-organised an online seminar on “Sustainable Finance & Consumer Protection”. Other achievements in the area included multiple recommendations and position papers, as well as responses to the Consultation on the Development of EU Ecolabel criteria for Retail Financial Products, to the joint ESAs Consultation Paper on Environmental Social and Governance (ESG) disclosures, to the Consultation Review of the Non-Financial Reporting Directive (NFRD), to the EC Consultation on EU Green Bond Standards, and to the consultation to on Sustainable Corporate Governance.

In 2020, Finance Watch created a new long-term working group on sustainable finance involving their members' organisations. Finance Watch responded to the consultations on the Non-Financial Reporting Directive, on the implementation of Basel 3 at European level (including the need to integrate climate risk), and on the Renewed Sustainable Finance Strategy. Regarding the latter, Finance Watch contributed, through cooperation with the Change Finance Coalition, to the increased number of citizens' responses. Other achievements included publications on the impact of the short-term bias of the financial system on its ability to allocate capital to a sustainable economy, and to manage climate and environmental risks, and on the EU action plan on sustainable finance.

### Consumer programme

Over 2 000	9%	1/3	7 million EUR	147 000
Number of notifications of dangerous products that are received every year through the Rapid Alert System for dangerous non-food products (RAPEX) / 'Safety Gate'	% of all Rapex alerts in 2020 that concerned products related to COVID-19	Consumer scams (dubious offers and advertisements) related to the COVID-19 pandemic were found in almost one third (1/3) of the checked online platforms	Annual funding for the European Consumer Centres Network (ECC Net) / since 15 years	Number of consumers who since the launch of the ODR platform in 2016 decided to lodge a complaint

#### I. Safety: to consolidate and enhance product safety

Product safety in single market is a key concern of the EU and it is one of the main focus of the activities funded by the programme in particular through a EU-wide alert system to notify dangerous product and awareness-raising activities.

##### *Rapid Alert System (RAPEX) becomes Safety Gate*

The Rapid Alert System for dangerous non-food products (RAPEX) underwent in 2019 a revamping of its website, renamed 'Safety Gate'. It has become more user friendly and is available in all EU official languages. The system has continued during the last years to support the exchange of information between Member States and the Commission on measures taken against dangerous products. In 2020<sup>49</sup> Member States' authorities communicated through the system more than 2.000 notifications of dangerous products. 9% of all alerts raised in 2020 concerned products related to COVID-19, mostly masks meant to protect but failing to do so. Other examples for dangerous COVID-19 related products notified in the Safety Gate are disinfectants containing toxic chemicals, such as methanol that can lead to blindness or even death if swallowed, or UV sanitizers that exposed users to strong radiation causing skin irritations.

##### *EU Product Safety Award*

In 2019 the Commission launched a new initiative: the EU Product Safety Award to showcase best business practices in consumer protection that can serve as an inspiration for other companies. The winners of the first edition were announced in September 2019. In 2020, the second edition of the Award was prepared; it will be launched at the beginning of 2021.

#### II. Consumer information and education and support to consumer organisations

Informed consumers, aware of their rights, are at the centre of EU consumer policy: the programme pursues this objective through targeted information and education campaigns.

The Consumer Programme has funded several communication and information campaigns, to promote consumer rights while travelling and shopping (including online shopping), to promote and inform about the Online Dispute Resolution (ODR) platform.

Thanks to an annual operating grant of EUR 2 million, awarded in 2020 in the framework of the Framework Partnership Agreement 20018-2021, the European Consumer Organisation BEUC could carry out various activities in favour of defending the interests of all Europe's consumers. In 2020 BEUC included in its work programme a new activity: Consumer organisations reaction and work to support consumers in the Covid-19 pandemic. Together with its members, BEUC analysed the consequences of the pandemic for consumers in the EU such as increase of unfair commercial practices, especially artificially high prices for high-demand essential products and aggressive selling, misleading information and unsubstantiated claims regarding the medicinal or healing properties of certain products, problems with travel cancellations and tourism services, difficulties linked to the economic situation of households. BEUC then shared these findings with the Commission. In 2021 seminars, networking with the objective to increase the use of representative actions for infringements with cross-border implications are also foreseen.

##### *Consumer Classroom*

This project is a multilingual pan-European community website for teachers. It brought together an extensive library on consumer education from across the EU and provided interactive and collaborative tools to help prepare and share lessons with students as well as with other teachers (2014 – 2018).

### **Consumer PRO**

This capacity-building project started in July 2019 (budget: 5 million EUR) with the objective to make consumer organisations and other actors in consumer policy stronger and better equipped to protect consumers in their country. The “Consumer PRO” project, which will run until July 2021, will include training and other capacity building activities in all EU member states as well as Iceland and Norway. In 2021, the project might be renewed for a further 2 years.

Some data on the outputs until now:

- Train the trainer: 30 (national) trainers have been trained (on the topics: 1. General Consumer Law, 2. Digital Rights and Data Protection, 3. Finance, Food, Housing, Mobility and Product Sustainability & Enforcement),
- Around 30 national (mostly online) training sessions in all EU member states as well as Iceland and Norway with each 20-30 participants on the topics: 1. General Consumer Law, 2. Digital Rights and Data Protection, 3. Finance, Food, Housing, Mobility and Product Sustainability & Enforcement
- 6 European Workshops (with each around 30 participants) on the topics: strategic planning, consumer advice, fundraising and grant management, consumer education
- 1 online best practice seminar (with around 100 participants)

As regards Consumer PRO, the COVID-19 crisis had even a positive impact: all capacity building activities (train the trainer, national training sessions, European workshops, best practice seminar) had to go online. As a result an important amount of budget savings were realised (no travel, no subsistence costs) which were used to improve the quality of online sessions (with graphic animators, more external experts, co-facilitators animating and following up the chat, etc.) and a higher number of participants/people trained (some sessions were repeated and the virtual format allowed for a participation of maximum 30 people per session whereas the original classroom format allowed for maximum 20 participants per session).

**Educational videos:** in 2021, the Consumer programme will support, via a service contract, the production and promotion of four educational videos on consumer topics. The overall objective of the project is to raise awareness of specific consumer rights among both young consumers and general public and empower them to become more informed buyers. This will be done through the production and the promotion of four short videos on the following topics: financial literacy, data protection, sustainability, internet safety. Currently the videos are under production (all EU languages) and the dissemination will start on 15 March 2021 at the occasion of the European Consumer Summit.

**Green Consumption:** work on a legislative initiative aimed at empowering consumers for the green transition intensified in 2020. Initially foreseen to be adopted mid-2020, the proposal was subsequently postponed to 2021 to account for the COVID-19 crisis. To feed into the development of the proposal, the Consumer programme supported an external study and a public consultation which took place between July and October 2020. The proposal is expected to be adopted by the Commission in 2021.

**Debt Advice:** on debt-advice, a project formed of three different tasks is being carried out and will be finalised by the end of the year. The tasks are: 1 – a study on funding of debt-advice, 2 – the organisation of two sets of events for the exchange of best practices on debt-advice, and 3 – a set of capacity building events with possible future debt-advisors, selected in 6 countries where debt-advice is not adequately developed. The project will be finalised by the end of 2021.

### **III. Rights and redress: to develop and reinforce consumer rights**

#### **Online Dispute Resolution platform**

The Online Dispute Resolution platform became more efficient and user friendly by adding new functionalities, including – a self-assessment for the consumers, a useful tool to help people to find the most appropriate means of redress.

### **IV. Enforcement: to support enforcement of consumer rights**

*Having good EU consumer legislation in place is alone not enough: its enforcement remains a key aspect to which the programme devotes part of the funding each year.*

#### **Support for the Consumer Protection Cooperation- EU-wide screening**

In 2020 the Consumer programme supported the implementation of 2 EU-wide screenings (“sweep” 4):

- sweep on misleading sustainability claims

CPC authorities from 27 countries (24 EU Member States, 2 EEA countries and the United Kingdom) took part in the sweep during November 2020. They assessed 344 sustainability claims, primarily made by EU traders, aimed at consumers mainly on web

stores, but also on traders' websites. The sweep looked at various business sectors (textiles/garments/shoes were the most common, followed by cosmetics/personal care goods and household equipment).

- sweeps on consumer scams related to the COVID-19 pandemic

With the spread of the new virus across the EU, rogue traders advertise and sell products, such as protective masks, caps and hand sanitizers to consumers, which allegedly prevent or cure an infection, it is in the general interest to guarantee a safe online environment where consumers, in particular in the context of distress caused by the sanitary crisis, feel well protected against illegal practices that potentially put their health at risk.

On 30 April 2020, the CPC network, under the coordination of the Commission, launched a broad screening ("sweep") of coronavirus related products advertised on websites and online platforms. The main findings show that rogue traders continue to mislead consumers with a variety of illegal practices but online platforms are taking measures to address this.

Consumer protection authorities from 17 countries participated in this high-level screening of online platforms and concluded their assessment in 73 cases. In almost one third of these cases, CPC authorities found that the checked platforms contained a significant number of dubious offers and advertisements.

The high-level sweep of online platforms was repeated by the CPC network in June 2020 and its latest results show that CPC authorities, in a number of instances, still found a significant number of potentially misleading offers and advertisements related to COVID-19 on platforms. While reports from the major platform operators suggest that the number of such offers has declined, CPC authorities continue the close dialogue with these online platforms and remain on guard.

#### ***Rights, Equality and Citizenship: Consumer rights strand***

28
Within Consumer Law Ready project - EU-wide consumer law training programme for SMEs, lessons have been developed in 28 languages and carefully tailored to consumer legislation in the countries of origin

*Specific objective: to enable individuals in their capacity as consumers or entrepreneurs in the internal market to enforce their rights deriving from Union law, having regard to the projects funded under the Consumer Programme.*

The Programme contributed to awareness-raising about the EU consumer law. In particular, a dedicated to SMEs training project ConsumerLawReady4 developed lessons (including on-line), which have been carefully tailored to consumer legislation in the countries of origin and made available in 28 EU languages.

#### ***Food and Feed***

	0	97
Rabies almost eradicated in the EU in wildlife with the number of cases falling from 1602 in 2009 to only 8 in 2018 (in 3 MS), 5 in 2019 (in 2 MS) and 12 in 2020 (in the same 2 MS);	Since 20 March 2019 the entire Union is declared free of swine vesicular disease, therefore the disease has been eradicated.	97 audits in the food and feed area carried out in 2020 with participation of 8 national experts (despite the COVID situation)

Main key achievements of the Food and Feed programme:

- Rabies has been almost eradicated in the EU in wildlife and the number of cases has fallen from 1602 in 2009 to only 8 in 2018 (in 3 MS), 5 in 2019 (in 2 MS) and 12 in 2020 (in the same 2 MS);

- Programmes implemented on poultry flocks to decrease the incidence of *Salmonella* infections proved successful as the number of human cases decreased (more than 100,000 confirmed human cases of salmonellosis in 2010 to 92,000 in 2019).
- Thanks to the measures implemented at EU level to fight against bovine spongiform encephalopathy, from more than 2000 classical BSE case detected in 2001, only one was detected in 2018, and in 2019, only atypical cases were found (7 in three member states).
- Positive trend in bovine tuberculosis and brucellosis eradication: from 16 MS officially free from bovine brucellosis in 2013 to 20 MS in 2018 and 2019. For bovine tuberculosis, in 2013, 15 MS were officially free, and 17 in 2018 and 2019;
- Concerning the African swine fever, the number of Member States with EU co-financed ASF programmes has increased from nine in 2018 to 13 and 19 in 2019 and 2020, respectively, and the situation is closely monitored.
- Efficient controls were implemented: Even though, COVID-19 had a significant impact on the implementation of the work programme of the Health and Food audits and analysis Directorate of DG SANTE, the Directorate managed to carry out 97 audits in the food and feed area in 2020 with participation of 8 national experts.

Emergencies were in general addressed timely and effectively by MS and EU financial support was allocated in order to achieve the objectives. A good example of successful emergency measures put in place is the way the Union dealt with the Lumpy Skin Disease crisis in Greece and Bulgaria through the creation of an EU vaccine bank and co-financing of vaccines purchased by the Member States. The disease was contained and effectively controlled in the EU (last outbreak in the EU was in 2017).

For all veterinary programmes, including the few examples given below, the EC provides a major contribution to the success achieved by Member States through the technical advice given to each Member States by the experts from the Commission and supported by national experts assessing each programme, asking for modifications and improvements when needed and checking its full compliance with EU rules. In addition, the financial support given through these programmes is a key incentive for the Member States, as explained above in Part I ('EU added value'). The external factors that can have an impact on the achievements of these programmes, such as increased epidemiological risks linked to globalisation, climate change, neighbouring third countries, or wildlife, are taken into account in the initial assessment of each specific programme before approval, and during the final report evaluation before payment.

### Rabies

A significant achievement has been gained by the EU Programmes addressing rabies: this disease has been almost eradicated in the EU in wildlife and the number of cases has fallen from 1602 in 2009 to only 8 in 2018 (in 3 MS), 5 in 2019 (in 2 MS) and 12 in 2020 (in the same 2 MS), hugely reducing a significant risk to **public** health and enabling free movement of cats and dogs within the EU. This result has been achieved through Union targeted technical and financial support for the implementation of vaccination against rabies in the Member States and certain neighbouring non-EU countries. The success of the EU co-financed rabies programmes is also illustrated by the fact that no indigenous cases of rabies in humans have been reported in the EU since 2016 (reported cases are imported cases).

### Bovine tuberculosis and brucellosis

Diseases such as bovine tuberculosis and brucellosis require medium-to-long term eradication actions so that Member States and regions are granted an officially free status. Thanks to MSs efforts implementing EU co-financed programmes, in the last few years, the progression of eradication of these diseases shows a positive trend: in 2013 16 MS were officially free from bovine brucellosis, 18 in 2015, 19 in 2016, 20 in 2017, 20 in 2018 and 2019. For bovine tuberculosis, 15 MS were officially free in 2013, 17 in 2015, 18 in 2016 and 2017 and 17 in 2018 and 2019 (Malta suspended). In addition, the implementation of EU co-financed bovine brucellosis and tuberculosis eradication programmes has protected human health as these diseases are zoonoses. It should also be noted that the progress in the number of officially-free Member States or regions does not fully reflect the actual progress achieved in that area because there is currently no formal obligation for the Member States to request official freedom status. This will be corrected as from 2021 with the new rules stemming from the animal health law, which should lead to an increase in those numbers in the coming years.

### African swine fever (ASF)

African swine fever (ASF) was introduced in the Eastern part of the EU by wild boar movement from Belarus and Ukraine – into the four Member States initially affected (Estonia, Latvia, Lithuania and Poland). In 2017, there have been new incursions of the disease in new areas of Poland and in two newly infected Member States (Czechia and Romania). The long-distance spread has been mainly linked to human activities and not to the natural way of disease spread by wild boar movement. In 2018, there was a dramatic increase in ASF outbreaks in domestic pigs, mostly in Romania and three Member States became newly infected (Hungary, Bulgaria and Belgium); the occurrence of ASF in wild boar in Belgium demonstrated a possible range for long-distance transmission of the disease (from the East of the EU) related to human activity. In 2019, Czechia became ASF-free while another Member State (Slovakia) became newly infected and the disease further spread in Bulgaria and Poland, coming very close to Germany. In 2020, Greece became newly infected so the disease is currently present in eleven Member States (including Italy where ASF is present since 1978 but this is not epidemiologically related to the rest of the EU). In 2020 the disease was confirmed

for the first time in wild boar in Germany, while Belgium became the second affected MS to restore disease freedom. Most of these Member States had EU co-financed ASF programmes in place for several years, and Bulgaria, Belgium and Greece submitted their first programmes in 2019 (for 2020). In addition, they have received or will receive substantial EU financial support for outbreaks/cases-related emergency measures such as slaughtering or culling of pigs and compensations to owners for the value of their animals. Overall, the number of Member States with EU co-financed ASF programmes has increased from nine in 2018 to 13 and 19 in 2019 and 2020, respectively, and the situation is closely monitored.

The EU well-targeted and multifaceted response to ASF outbreaks continued to keep the negative effects limited while the epidemics could have had devastating effects on animal health and on the sustainability of the sector (e.g. €34.3 million were allocated to Romania in 2018 for co-financing of emergency measures). The extension of the geographic area affected by ASF in the EU has been mostly geographically limited to the Eastern part of the EU.

### **Lumpy Skin Disease**

This exotic disease, transmitted by insect vectors, is endemic in Turkey and entered the EU for the first time ever in 2015 in Greece. From there it spread quickly to Bulgaria and an additional 5, non-EU countries in the Balkan region in 2016. Through the technical and financial support provided by the EU, including the swift setting up of an EU LSD vaccine bank, an efficient coordination was immediately put in action to contain the outbreaks of Lumpy skin disease in the EU and in the Balkan countries in South East Europe, including EU and non-EU Member States, through coordinated vaccination campaigns, shielding the Union from further disease spread. The implementation of the measures led to the containment of the disease in the EU and the Balkans as from end of 2017, with no new case of Lumpy Skin disease in South East Balkans since 2018. Vaccination and/or surveillance of the disease is continuing in 2020 to restore the free status of the EU towards this disease in the affected region and the EU in general. The containment and eradication of this very contagious exotic disease is a clear success in protecting the health status of the EU and neighbouring countries and illustrates the EU added value in the field of contagious diseases

### **Classical Swine Fever**

Last report of Classical Swine Fever (CSF) in the EU, in wild boar or domestic pigs, was in 2015. The EU continues to support systematic surveillance of CSF in MS along the northern EU border, to address the possible risk of disease introduction in neighboring TC. Thanks to this surveillance CSF restrictions were lifted from Latvia in 2020.

### **Avian Influenza**

The large scale Avian Influenza epidemic which started in 2016 requested extensive efforts through 2017 and 2018 to limit its spread across the European territory. Eighteen Member States were infected by the Avian Influenza virus propagated by the migration movements of infected wild birds. As a consequence of the measures implemented, such as the slaughter of the affected animals and the disinfection of holdings, the disease was eradicated swiftly in the affected areas and did not spread across vast territories and serious damages to the farming community and the export capacity of the Union were thus avoided. The technical and financial support from the EU enabled the Member States to implement those measures as quickly as possible.

### **Salmonella programmes on poultry flocks**

Programmes implemented on poultry flocks to decrease the incidence of Salmonella infections proved successful as the number of human cases decreased (more than 100,000 confirmed human cases of salmonellosis in 2010 to 92,000 in 2019).

### **Bovine spongiform encephalopathy**

Thanks to the measures implemented at EU level to fight against bovine spongiform encephalopathy, from more than 2000 classical BSE case detected in 2001, only one was detected in 2018, and in 2019, only atypical cases were found (7 in three member states).

## **3.3. Evaluations, studies and reports**

### ***Programme for the Competitiveness of Enterprises and Small and Medium-Sized Enterprises (COSME)***

The latest programme evaluation was presented in the previous Programme Statement.

An evaluation of the COSME cluster support actions was launched in early 2021 to identify the best practices, but also synergies with other upcoming programmes, with a view to the scaling-up of the best performing actions in the future Joint Cluster initiatives, especially to support the sustainable green transition of European SMEs. An assessment will be carried out of the overall EU Open for Business communication campaign and the final report is expected by mid-2021.

The quality and efficiency of Enterprise Europe Network services was reflected in the analysis of surveyed<sup>[1]</sup> SMEs on the expected outcomes of EEN delivered services; nearly 90% of SME served expect their market situation to improve thanks to Network support and 92 % would recommend its services to others. Earlier findings on the impact evaluation of the Network (2008-2014)<sup>[2]</sup> concluded that the average net of effect for SMEs participating in the Network was approximately three percentage points increased annual growth (compared to SMEs not receiving EEN services).

<sup>[1]</sup> monitoring and reporting data surveyed from the Executive Agency

<sup>[2]</sup> <https://publications.europa.eu/en/publication-detail/-/publication/d4cf03ed-972c-11e5-983e-01aa75ed71a1>

### ***European statistical programme***

Two mid-term evaluations of the ESP were performed<sup>5</sup>, covering the years 2013-2014 and 2015-2017. Furthermore, a progress report on the implementation of the ESP, covering 2018 and the first half of 2019, was produced in 2019. The two evaluations and the progress report demonstrated that: (i) the delivery mechanism worked effectively; (ii) the programme run efficiently; and (iii) the programme reached its objectives. The ESP provided clear EU added value thanks to the harmonised provision of comparable and high-quality data for the EU. However, the evaluations also show the need to ensure adequate resources in the future for the modernisation of the statistical production processes. In addition, Eurostat needs to be able to respond to users' growing needs, especially concerning timeliness and coverage of new data for emerging policy needs, while becoming more agile and taking advantage of new technologies.

The key findings of the latest evaluation<sup>6</sup> have been presented in the Programme Statement 2020.

The final evaluation started in 2020 to be concluded by end of 2021, as requested in Article 15 of the amended ESP Regulation.

### ***Specific Activities in the Field of Financial Reporting and Auditing***

The key findings of the European Commission report on the Evaluation<sup>[1]</sup> of the IAS Regulation N°1606/2002 of 18 June 2015 and on the assessment of the achievement of the funding Programme in accordance with Regulation (EU) No 258/2014 in October 2019<sup>[2]</sup> were presented in the Programme Statement for these activities included in Working Document No.1 for the draft 2021 Union budget.

The European Commission reports to the European Parliament and the Council of 23 November 2017, 19 October 2018, 29 October 2019 and 14 December 2020<sup>[3]</sup> on the activities of the IFRS Foundation, EFRAG and PIOB in respectively 2016, 2017, 2018 and 2019, confirmed: 1) the overall pertinence and coherence of the Programme, 2) the effectiveness of its execution, and 3) the overall and individual effectiveness of the beneficiaries' work programmes. All reports concluded the Union funding programme remains fully justified in the context of the EU's efforts to establish a Capital Markets Union and to safeguard financial stability.

<sup>[1]</sup> COM (2015) 301 final - <https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1584716393734&uri=CELEX:52015DC0301>

<sup>[2]</sup> COM/2019/549 final - <https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1572432361115&uri=COM:2019:549:FIN>

<sup>[3]</sup> COM(2020) 807 final - <https://eur-lex.europa.eu/legal-content/fr/TXT/?uri=CELEX:52020DC0807>

### ***Enhancing consumers involvement in the EU policy making in the field of financial services***

A thorough evaluation of the programme took place in 2019-2020. The Commission's evaluation report<sup>[4]</sup> of the Union programme to support specific activities enhancing the involvement of consumers and other financial services end-users in Union policy-making in the area of financial services for the period of 2017-2020 pursuant to Regulation (EU) 2017/826 of the European Parliament and of the Council concluded that the objectives of the programme had generally been met.

The objective of further enhancing the involvement of consumers and financial-services end-users in Union policy-making in the area of financial services was achieved. The work of Finance Watch and Better Finance has enriched the policy debates and both organisations offered an alternative point of view that policy-makers might have otherwise missed or neglected. The two organisations delivered important expertise through their contributions to public consultations and their participation in many important Commission and European Supervisory Authorities (ESAs) expert groups. They also presented their views to policy-makers in other ways, including hearings, meetings, papers, workshops, roundtables and conferences, etc.

The objective of informing consumers and other financial-services end-users about issues at stake in the regulation of the financial sector was also generally achieved. Both Finance Watch and Better Finance have informed consumers through campaigns, press releases, etc. Some stakeholders did indicate that the beneficiaries could have covered certain topics in greater depth, e.g. the Review of the European Supervisory Authorities Regulations and the credit assessment.

The evaluation report concluded that Finance Watch and Better Finance would be unable to provide the same level of support for the interests of users of financial services without EU funding, and would thus be unable to represent consumer interests in the same way. EU funding therefore continues to be necessary to increase the participation of consumers in EU policy-making in the area of financial services.

[h https://op.europa.eu/en/publication-detail/-/publication/686d2aa1-4053-11eb-b27b-01aa75ed71a1/language-en/format-PDF/source-189452768](https://op.europa.eu/en/publication-detail/-/publication/686d2aa1-4053-11eb-b27b-01aa75ed71a1/language-en/format-PDF/source-189452768)

### **Consumer programme**

#### **Supporting sustainable consumption:**

In 2020 a study to evaluate fitness of EU and national consumer law and policies for supporting sustainable consumption, including durability and reparability of products and fight against premature obsolescence, and envisage options to overcome identified needs, was carried out.

#### **Behavioural studies:**

The behavioural study on product recalls carried out in 2020 led to the following conclusions:

- A significant minority of EU consumers are not aware that manufacturers are obliged to recall dangerous products and that this obligation applies to all sectors. The levels of awareness are considerably lower in some Member States.
- Consumer awareness of the responsibilities that different actors, sellers in particular, have in the recall of dangerous products can be improved.

Therefore, in countries with low awareness of product recall obligations, national authorities should consider targeted awareness campaigns. Exchanges between national authorities to gain a better understanding of the reasons behind these differences and help close the awareness gap should thus be encouraged. Finally, consumers should be made more aware of the product recall process, particularly what the responsibilities of manufacturers are and how they differ from those of sellers.

The objective of the second behavioural study, conducted at the end of 2020, was to illustrate the impact the COVID-19 crisis on consumption patterns, with consumers shopping closer to home or supporting local businesses. The findings of the study also shown that, at the same time, the consumers made 'greener' choices: they were willing to pay more for a product that is more durable.

Some of the main findings:

- 71% of consumers shopped online in 2020.
- On average 38% of Europeans were concerned about paying their bills the following month. The difference between Member States was significant: Citizens' financial concerns ranged from 7% to 71%. More information is available [here](#).
- 42% of consumers considered postponing a major purchase and 80% would not make any travel plans until the situation was back to normal in their country.
- 56% of consumers said environmental concerns influenced their purchasing decisions and 67% said that they bought products that were better for the environment, even if such products were more expensive. Another 81% shopped closer to home and supported local businesses.
- Other variables were not impacted by the crisis compared to previous surveys. For example, the level of consumer trust in retailers remained high (at 80%), extensive knowledge of consumer rights remained low (at 27%) and the share of consumers confronted with a purchasing problem for which they felt they could legitimately complain remained low (at 23%).

#### **Consumer Credit Directive Evaluation:**

The study supporting the Consumer Credit Directive Evaluation was published in November 2020, together with a Staff Working Document and a Report to the co-legislators outlining the results of the Evaluation<sup>6</sup>. Due to the COVID-19 disruption and the need to focus on tasks related to the crisis (e.g. mapping of measures to help borrowers to the crisis), the publication was delayed of some months.

This evaluation provided evidence on whether the current legal framework of Directive 2008/48/EC (Consumer Credit Directive - CCD) is still fit for purpose, via an assessment of its effectiveness, efficiency, relevance, coherence, EU added value and potential for simplification and burden reduction. The evaluation assessed the overall functioning and practical application of the CCD and continued relevance of the original objectives, and established the extent to which the CCD is still relevant in view of new developments. For the evaluation relevant stakeholders were consulted (ministries, enforcement authorities, consumer associations and industry representatives), both consumers and creditors were surveyed and results from the Open Public Consultation were incorporated. The evaluation has also made use of quantification approaches, a mystery shopping exercise and extensive literature review. It finds that the CCD has been partially effective in ensuring high standards of consumer protection and fostering the development of a single market for credit in the context of a regulatory landscape showing significant fragmentation across the EU-

28. While the CCD has a number of possible shortcomings, a number of important obstacles are due to the application, implementation and enforcement of the Directive as well as wider market developments not foreseen at the time it was drawn up in 2008.

### *Evaluation of the Programme*

In November 2019 the Commission published its report on the mid-term evaluation of the Consumer Programme 2014-2020<sup>8</sup>. It was prepared following an external study on Ex-post evaluation of the Consumer Programme 2007-13 and mid-term evaluation of the Consumer Programme 2014-2020 launched in October 2017. The report showed that the Consumer Programme 2014 – 2020 achieved progress towards meeting the programme’s specific objectives in the areas of safety, consumer information and education, rights and redress and enforcement. The costs are assessed as being proportional to the benefits achieved and the EU added value is considered high. The results of this study show a general satisfaction of the stakeholders in terms of relevance and effectiveness of the activities.

Overall, the objectives and priorities of the Consumer Programme were so far assessed as being still very relevant. The evaluation concludes that in the future, the programme’s ability to react to new challenges related to market developments, digitalisation and new policy demands should be strengthened. Additional priorities could be given to sustainable consumption, to activities that contribute to a uniform and high level of consumer protection throughout the EU, and to support to consumer organisations at the Member State level (e.g. jointly with the Member States in their role as consumer watchdogs).

In terms of coherence, there seems to be little overlaps with other programmes, but quite a significant potential for increasing synergies with activities in other areas, for example, it was suggested to involve national consumer organisations into consumer information and education campaigns, to increase synergies between the actions, and at the same time strengthen the capacity of these organisations. Representatives of ECCs suggested increasing the synergy with the CPC Network by increasing the number and scope of joint activities.

In terms of efficiency, there seems to be significant room for improvement regarding administrative burdens related to the programme delivery and scope for simplification as regards grants for joint actions and exchange of officials.

In the future, the programme’s ability to react to new challenges related to market developments, digitalisation and new policy demands should be strengthened. Additional priorities could be given to sustainable consumption, to activities that contribute to a uniform and high level of consumer protection throughout the EU, and to support to consumer organisations at the Member State level (e.g. jointly with the Member States in their role as consumer watchdogs).

### ***Rights, Equality and Citizenship: Consumer rights strand***

In 2020 a study to support the analysis of the Package Travel Directive transposition was carried out. The results were published in a report<sup>8</sup>. It takes stock of the application of the Directive since it has entered into force in July 2018. The report looks into how Member States transposed the Directive into national law and assesses it in the context of the 2019 Thomas Cook bankruptcy and the challenges that have emerged during the COVID-19 crisis given that the coronavirus pandemic has led to massive travel disruptions worldwide, demonstrating how important it is to have rules in place that protect travellers in all circumstances. In such circumstances it is particularly important to ensure that our rules remain protective, effectively enforced, and fit for the times we live in. As announced in its New Consumer Agenda, and building on the findings of the report, the Commission will carry out a deeper analysis by 2022.

### ***Food and Feed***

The key findings of the latest evaluation are published on DG SANTE’s webpages<sup>(6)</sup>. On 26 April 2016, the European Court of Auditors published its Special Report on a performance audit on animal disease eradication programmes. The Court examined whether the national veterinary programmes adequately contained animal diseases by assessing the approach taken by the Commission (DG SANTE) and the Member States’ programmes’ design and implementation. The special report entitled ‘Eradication, control and monitoring programmes to contain animal diseases’ concluded that the approach taken by the Commission was sound and was supported by good technical advice, risk analysis, and a mechanism for prioritising resources. The Court acknowledged that there have been some notable successes, for example, decrease in the cases of bovine spongiform encephalopathy (BSE) in cattle, salmonella in poultry, and rabies in wildlife. Overall, the Court concluded that the audited animal disease programmes adequately contained animal diseases. However, the Court stressed that, as disease outbreaks can always occur, the Commission and the Member States should continue the efforts.

Four recommendations issued by the Court are taken forward by the Commission:

- facilitate the exchange of epidemiological information between Member States;
- examine whether the existing set of indicators should be updated to provide better information on veterinary control activities and the cost-effectiveness of programmes;
- systematically include, when relevant, the wildlife aspect in the veterinary programmes;
- support the availability of vaccines for use by the Member States when epidemically justified.

Three out of the four recommendations (b,c and d) have already been implemented and the recommendation a is expected to be implemented in 2021. The Commission is working together with the OIE on the merging of different notification systems (ADNS and WAHIS into ADIS).

ADIS will be launched on 21 April 2021 in conjunction with the AHL using the new legal basis recently adopted by the Commission (Commission Implementing Regulation (EU) 2020/2002). This will centre the notification process on priority diseases which went through the risk assessment and categorisation exercise carried in the framework of the AHL (Regulation (EU) 2016/429 of the European Parliament and of the Council). The work on interoperability with the OIE-WAHIS continues and the two systems already performed connection tests in 2020; the actual exchange of data between ADIS and OIE-WAHIS will occur between the second and third quarter of 2021.

In the second half of 2016, DG SANTE launched an external evaluation exercise in support to the Commission's effort to conduct the interim evaluation of Regulation (EU) No 652/2014, which lays down provisions for the management of the food chain expenditure under the Multiannual Financial Framework 2014-2020. The final report of the external evaluation was delivered by the selected contractor in July 2017, while the Commission mid-term evaluation report was established and presented to the European Parliament and to the Council in September 2017.

Overall, the mid-term evaluation revealed that the CFF Regulation is functioning well within its policy context. All activities receiving EU financial support in this area have proven to serve the CFF objectives, namely the improvement of human, animal and plant health, as well as the overall Commission's priorities, including the functioning of an effective internal market and the support to trade with non-EU countries. The EU financial provisions on food safety, animal and plant health have been recognised as uniform and consistent in their application and enforcement in all EU Member States. This ensures in turn that both citizens and businesses are confident that this financial framework is fair and effective in promoting high safety standards in a key sector of the EU economy. The activities funded under the CFF Regulation contribute to an EU which is safe and secure, prosperous and sustainable, social, and stronger on the global scene. These findings were used as a basis for the proposal for the food chain programme incorporated in the SMP.

To further complement the evaluation of Regulation (EU) No 652/2014, and to follow up on a Court's recommendation, a targeted study to perform cost-effectiveness analysis in the food chain area is being carried out by the JRC. The study was published in 2019 (<https://ec.europa.eu/jrc/en/publication/cost-effectiveness-analysis-methodology-food-chain-area>). This report provides a methodological guidance on cost-effectiveness analysis in the view of future evaluations of the EU interventions currently funded under the Common Financial Framework of the food chain area.

Concurrently, an external study focused on data gathering and analysis in the food chain area was launched in October 2017. The report was published in 2019 (<https://publications.europa.eu/s/k19k>). It covers all policy areas under the food chain funding, consisting of two assignments: the first one on gathering and analysing data on the cost-efficiency, benefits and EU added-value of the actions performed under the Food Chain Programme, including the projection of those elements under different budgetary scenarios; the second one, based on relevant budgetary and policy indications made available, on designing detailed programme indicators for future monitoring and evaluation purposes, in relation to the actions that will be retained for the Food Chain Programme post-2020. Its intermediate and final findings were feed into the preparatory works towards the presentation of a Commission's proposal for a post-2020 Food Chain Programme.

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :Making the internal market more effective, facilitating the prevention and removal of obstacles, supporting the development, implementation and enforcement of the Union law**

**Indicator 1:No. of new complaints and cases of non-compliance in the area of free movement of goods and services, as well as Union legislation on public procurement**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Composite indicator 0 to 1
Cut-Off Date	
Data source	Data extraction from CHAP, ICSMS and Rapex systems
Link to the objective	Functioning of the internal market: Striving to avoid unfair competition induced by unfair products
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Indicator yet to be fully defined and likely developed with the help of the JRC. It could be a weighted or composite indicator from components extracted from the sources below. Number of complaints (>

	CHAP). Complaints registered in CHAP can be searched by: - Status: open cases AND/OR closed cases - Origin: DG/Directorate/unit - Time: cases registered as from a specific date or within specific dates Number of cases Number of infringement cases (> NIF). Cases registered in NIF can be search by: - Status: open cases AND/OR closed cases - Origin: DG/Directorate/unit - Legal basis - 4 types of infringement: non-communication of directives, incorrect transposition of directives, incorrect application of directives, incorrect application of Treaty articles, Regulations & Decisions - Time: cases registered as from a specific date or within specific dates AND/OR by type of decision (ex. from the sending of LFN 258 to the sending to the Court or the closure). Number of cases of non-compliance
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Services Trade Restrictiveness Index.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
										1
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Composite indicator: indice with value from 0 to 1. Complete openness to trade and investment = zero, completely closed to foreign services providers = one.
Cut-Off Date	
Data source	OECD National legislation from public websites
Link to the objective	Free movement of services
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The OECD STRI is a unique, evidence-based tool that collects information on services trade restrictions across 19 major services sectors. The project has two distinct but complementary instruments: a services trade regulatory database and a services trade restrictiveness index. These instruments provide a rich source of information for trade policy makers, trade negotiators and researchers, and an instrument for impact assessment of trade liberalisation. The STRI further allows individual countries to benchmark their services market regulations against the global best practice, identify outlier restrictions and current bottlenecks.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: N. of visits to the Your Europe portal and to the national pages included in Your Europe; user satisfaction**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	35 million visits									+20%
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	No. of visits to the Your Europe Portal
Cut-Off Date	
Data source	Single digital gateway data repository / Matomo (Your Europe Portal)
Link to the objective	improving competitiveness of business and promote interests of citizens by making aware of rights and obligations within the single market
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Increase in the number of visits is clearly an indicator of success; however, it is very difficult to pin down growth to any specific reason, or to assess how different factors contribute to growth. A decrease in visits is not necessarily a mark of decrease quality (the coronavirus crisis meant a big drop in the number of visits to the portal with unchanged content / quality)
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :Market Surveillance****Indicator 1: Number of cases of non-compliance in the area of goods, including online sales**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Number of Joint market surveillance campaigns.

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of campaigns
Cut-Off Date	
Data source	DG GROW
Link to the objective	"The activities reflected by this indicator contribute to the following Programme-specific objectives: • improving the competitiveness of businesses, especially SMEs, by striving to avoid unfair competition induced by non-compliant products available on the Single Market • promoting the interests of consumers, by controlling that the products available on Single Market are compliant with EU legislation • contributing to a high level of health for humans, animals and plants throughout the food chain, by controlling that the products available on the Single Market are safe "
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 :Improving the competitiveness of enterprises with special emphasis on SMEs

#### Indicator 1: Number of SMEs, clusters and business network organisations, and business support organisations receiving support from the programme, in particular for internationalisation, digitalisation and sustainability.

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
280.000 SMEs and other beneficiaries receiving direct and indirect support yearly*	Milestones									
	Actual Progress									320,000 at mid-term
										Final

Are we on track	
Indicator type	Result
Unit of measurement	Gross numbers: an SME that benefitted from concrete support from a COSME funded action.

Cut-Off Date	
Data source	EASME partnership agreement database
Link to the objective	Increasing SME competitiveness
Link MFF 14-20 / MFF 21-27	continuation of COSME indicator.
Other methodological comments	The definition of the support received by SMEs can be wide. Some intermediaries have the potential to reach a great number of SMEs. The indicator should measure concrete direct support and should not measure the potential number.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:N. of companies supported having concluded business partnerships.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	2500 business partnerships per year (EEN)			EEN: 2700 partnership agreements per year in 2024						18,500 agreements over the 7 year period
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	an SME that signed a partnership agreement thanks to the EEN partnership services
Cut-Off Date	
Data source	EASME
Link to the objective	stimulate and provide support to SMEs to increase their competitiveness in the Single Market and beyond, , supporting them in addressing global and societal challenges and business internationalisation, and strengthening Union industrial leadership in global value chains
Link MFF 14-20 / MFF 21-27	
Other methodological comments	EASME provides clear guidelines on partnership agreements, in addition, they are verified and validated by EASME as part of the monitoring and evaluation process.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of entrepreneurs benefitting from mentoring and mobility schemes, including young, new and female entrepreneurs, as well as other specific target groups.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
3.000 entrepreneur s matched per year	Milestones									
										22.000 entrepreneur s matched over the 7 years
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Participating entrepreneur (new and host) engaged in a business exchange
Cut-Off Date	
Data source	EYE IT tool, Executive Agency
Link to the objective	Competitiveness of SMEs
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 4 :Ensuring the effective functioning of the internal market through standardisation processes

**Indicator 1:Share of implementation of European standards as national standards by Member States in total amount of active European standards.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	90%									95%
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	Measure how many of the European standards are available in all Member States. Percentage of numbers of standards
Cut-Off Date	
Data source	European standardisation organisations (CEN, CENELEC and ETSI)
Link to the objective	European standards should be transposed without delay at national level to allow for the smooth and harmonised functioning of the Single market
Link MFF 14-20 / MFF 21-27	
Other methodological comments	After the adoption of a EU standard, the members of CEN and CENELEC are invited to fill in electronically in the common IT system a Form declaring the date that the standard has been transposed at national level (implementation). CEN and CENELEC actively monitor the number of transposed standards compared to the catalogue of active standards and report the ratio in percentage per national member to the Commission. ETSI has a very limited number of European standards -its core business is technical IT specifications. Therefore ETSI has a limited number of cases to report e.g. radio equipment directive 2014/53/EU , which can be handled manually and reported to the Commission. All other ETSI publications do not need for trasposition at national level.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Percentage of international financial reporting and auditing standards endorsed by the Union.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	96% (2018)									100%
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage indicating the endorsement level each year.
Cut-Off Date	
Data source	Data provided by grant beneficiaries
Link to the objective	The indicator is relevant to the policy objectives as it provides a snapshot of the endorsement level of the IFRS by the EU per year, allows comparison with its baseline value, ensures continuous monitoring of its trend and helps assessing the progress towards a single set of high quality global accounting standards.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The Programme should also aim to support the development of high-quality international standards that underpin the implementation of Union legislation. This includes standard setting in the field of financial reporting and audit, thereby contributing to the transparency and well-functioning of the Union's capital markets and to enhancing investor protection.
Full metadata available at this address	
Justification of the trend	

## Specific Objective 5 :Promoting the interests of consumers and ensuring a high level of consumer protection and product safety

**Indicator 1:Consumer condition index.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	63.2% (2018)									
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	The 17 CCI indicators are broken down into 3 pillars; each having an equal weight (33.3%) as follows: Pillar I - Knowledge and Trust, measuring the consumers and retailers knowledge of consumer rights and trust in organisations (including public authorities) and in redress mechanisms; Pillar II - Compliance and Enforcement, measuring retailers' compliance (through the reported incidence of specific unfair commercial practices) and the effectiveness of public enforcement of consumer and product safety legislation; and Pillar III - Complaints and Dispute Resolution measuring problems faced by consumers, their complaints and satisfaction with complaint handling, as well as the participation of the retailers in alternative dispute resolution mechanisms. For further information on the CCI and its components and the weightings see pp. 16-18 of the 2019 Consumer Conditions Scoreboard available here: <a href="https://ec.europa.eu/info/sites/info/files/consumers-conditions-scoreboard-2019_en_1.pdf">https://ec.europa.eu/info/sites/info/files/consumers-conditions-scoreboard-2019_en_1.pdf</a>
Cut-Off Date	19/08/2022
Data source	survey of consumers and retailers.
Link to the objective	As the EU cooperation and the regulatory efforts for consumer protection evolve, so do the tools used for monitoring these policies. The two main measuring tools employed by the European Commission for the monitoring of consumer outcomes across the Single Market over the past decade have been the Consumer Conditions Scoreboard and the Consumer Market Scoreboard (the latter has been discontinued). The Consumer Conditions Scoreboard monitors the quality of the consumer environment at EU and national level. It also tracks progress in the development of e-commerce by looking at attitudes and experiences of consumers and businesses in the digital single market. The indicator relates to the specific objective "promoting the interests of consumers and ensuring a high level of consumer protection and product safety"
Link MFF 14-20 / MFF 21-27	The Consumer Conditions Scoreboard has been published every 2 years since 2013 (annually in 2011 and 2012) and offers a comparison with the state of play in the previous years.
Other methodological comments	The CCI shows how the single market is performing for EU consumers. The index attempts at gauging: 1) the sentiment of consumers' trust toward several market agents (i.e. public authorities, retailers, consumer organisations, and existing consumer protection measures); 2) the presence of illicit commercial practices (i.e. as experienced by survey respondents); 3) the consumers' propensity to complain; 4) the perceived ease of redress; and 5) the perceived safety of non-food products on the market.
Full metadata available at this address	
Justification of the trend	

### Indicator 2:N. of position papers and responses to public consultations in the field of financial services from beneficiaries.

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	47 (2019)									maintain positive trend
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	The indicator is measured annually at absolute value. This allows comparison with its baseline value and enables monitoring trends.
Cut-Off Date	
Data source	Data provided by grant beneficiaries
Link to the objective	The SMP should support the creation of the right conditions to empower all participants in the internal market: businesses, citizens including consumers, civil society and public authorities. To that end, the Programme should aim to ensure the competitiveness of businesses, notably SMEs, but also support the enforcement of consumer protection and safety rules and raise the awareness of businesses and individuals by providing them with the right tools, knowledge and competence to make informed decisions and strengthen their participation in Union's policy-making.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The data mainly draws from the activity reports provided by the beneficiaries of the Programme - organisations active in the field of strengthening the position of consumers and end-users of financial services and defending their interests in the financial sector; and advocating for an open, transparent and efficient financing of the real economy, in the interest of investors, shareholders and financial

	services users who are independent from the financial industry.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 6 :Contributing to a high level of health for humans, animals and plants along the food chain and in related areas

**Indicator 1:N. of successfully implemented national veterinary and phytosanitary programmes.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of national programmes successfully implemented (%) = Number of national programmes successfully implemented / Total number of programmes approved
Cut-Off Date	
Data source	Information provided by the MSs through the online IT Tools used for data collection (MSs cofinancing applications, intermediate and final reports).
Link to the objective	a high level of health and welfare for humans, animals and plants along the food chain will ensure a high level of protection for consumers, enhance the competitiveness of the EU food and feed industry and favour the creation of jobs, improve the effectiveness, efficiency and reliability of official controls related activities along the food supply chain, carried out with a view to implement and enforce EU rules in this area and the free movement of goods
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator measures the success of the activities carried out in different policy areas (e.g. plant health: prevention, detection, eradication and containment). The results confirm the presence/status of those pests and diseases in the Union territory, allowing to take quick actions in the interest of the EU agriculture and forestry. For veterinary programmes, MS present one programme per disease whereas for plant health, each MS presents one consolidated programme.
Full metadata available at this address	"All the public information concerning the national veterinary and phytosanitary programmes are published on the dedicated DG SANTE webpages:vet programmes: <a href="https://ec.europa.eu/food/funding/animal-health_enphyto">https://ec.europa.eu/food/funding/animal-health_enphyto</a> phyto programmes: <a href="https://ec.europa.eu/food/funding/plant-health_en">https://ec.europa.eu/food/funding/plant-health_en</a> "
Justification of the trend	

### Specific Objective 7 :Producing and communicating high quality statistics on Europe

**Indicator 1:N. of web mentions and positive/negative opinions.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number (of mentions) and percentage (of negative mentions)
Cut-Off Date	
Data source	Eurostat Digital Dissemination Unit
Link to the objective	The message given by the indicator is how much the statistics published by Eurostat are relevant for the users and used, expressed by the number of mentions, and how satisfied the users are with the quality of the statistics, which is inversely proportional to the share of negative comments.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	A 'mention' is an online text referring to Eurostat. It may be an article written by a journalist of the Financial Times, a post by a blogger, or a tweet by a news agency. An online tool, called Brandwatch, analyzes mentions in seven languages (English, German, French, Italian, Spanish, Portuguese and Swedish).
Full metadata available at this address	ESTAT-INTERNET-TEAM@ec.europa.eu;
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

*Previous Program 1 : Programme for the Competitiveness of Enterprises and small and medium-sized enterprises (COSME)*

**General Objective 1 :to strengthen the competitiveness and sustainability of the Union's enterprises, particularly SMEs**

**Indicator 1:Performance of SMEs as regards sustainability**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
26%							Increase			Increase
	Actual Progress									Final
		26%		24%			30%			

Are we on track	On track
Indicator type	Output
Unit of measurement	Share of Union SME producing green products
Cut-Off Date	
Data source	
Narrative	Share of EU SMEs producing green products (goods and services): 2013 = 20.5%
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data up to 2017 from the Flash Eurobarometer 456 on SMEs, Resource Efficiency and Green Markets, December 2017. Next Eurobarometer scheduled for Q32/20210. Data for 2020 has been taken from Flash Eurobarometer 486 on SMEs, start-ups, scale-ups and entrepreneurship, Q24: the share of SMEs developing sustainable products or services. This figure is EU-27 share.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Changes in unnecessary administrative and regulatory burdens on both new and existing SMEs**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
days										
2012	Milestones									2020
5,4	4			4			Marked reduction of number of days to set-up a new SME			Marked reduction of number of days to set-up a new SME
	Actual Progress									Final
	15.63	14.05	12.93	12.43	12.07	12.96				
EUR										
2012	Milestones									2020
372	313			300			Marked reduction of number of days to set-up a new SME			Marked reduction of number of days to set-up a new SME
	Actual Progress									Final
	4.84%	4.43%	4.1%	4.05%	3.55%	3.42%	3.09%			
within EU										
	Milestones									
	Actual Progress									Final
outside EU										
	Milestones									
	Actual Progress									Final

Are we on track	On track
Indicator type	
Unit of measurement	Days and EUR respectively (baseline). This has now been revised. As from 2019 data is calculated using World Bank Doing Business- the data for cost to set up a new SME is expressed in % of income per capita.
Cut-Off Date	
Data source	World Bank Doing Business
Narrative	
Methodology	New methodology from 2019 (looks not only at the legal “perfect” case but talks to experts about how long it takes in practice). Absolute numbers are therefore larger and cannot be directly compared to the previous figures given.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In some countries there is a possibility to have a simplified or on-line registration to set up an SME under certain conditions. Taking electronic/simplified registration into account, the results are 2.7 days, EUR 271. Original baseline of 5.4 days had reduced to 3.1 in 2017. Original baseline of EUR 372 for cost had reduced to EUR 300 in 2018. However, as from 2019, data comes from “World Bank Doing Business” with a different methodology. Data for Cost to set up a new SME is expressed in % of income per capita. Up to 2018 only the EU-28 value is available. Table shows EU-28. For 2019 and 2020, data for EU-27 days are 13.28 and 12.17 respectively. For cost EU-27 is 3.54% for 2019 and 3.20% for 2020.
Full metadata available at this address	<a href="https://www.doingbusiness.org/en/doingbusiness">https://www.doingbusiness.org/en/doingbusiness</a>
Justification of the trend	

## General Objective 2 :to encourage entrepreneurial culture and to promote the creation and growth of SMEs

### Indicator 1:Changes in SME growth: Total EU turnover (Gross Value Added)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
5,8%	4%	4%	4%	4%	4%	4%	Increase of SME output (value added)			Increase of SME output (value added)
	Actual Progress									Final
	4%	5%	2%	4%	4%	3.84% <sup>b</sup> (updated)	-7.6			

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	percentage of value added
Cut-Off Date	31/12/2020
Data source	Up to 2018, these are Eurostat figures. For 2019 and 2020, these are estimates from the SME Performance Review produced by DIW Econ, based on 2008-2018 figures from the Eurostat Structural Business Statistics Database as well as provisional data for 2019-2020 from the National Accounts database and the Short-Term Business Statistics Database (EUROSTAT).
Narrative	
Methodology	Data is based on forecasts, figures updated according to current data.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data up to 2018/2019 concerns EU-28, data for 2020 (and updated figure for 2019) concerns EU-27. In 2018, there was a break in methodology for Eurostat on the number of SMEs (switch from legal unit to statistical unit) so the timeline is not directly comparable on absolute numbers.
Full metadata available at this address	
Justification of the trend	Many industries, especially in the SME-intensive services sector, experienced large declines in sales as result of the various lockdowns linked to the COVID 19 pandemic.

### Indicator 2:Changes in SME growth: Employees

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total number of employees in SMEs										
2010	Milestones									2020
87,50							96			96
	Actual Progress									Final
	90	91	94	96	98	99 EU-27	83.40			

						(updated 84.88)				
The annual growth of employees in SMEs										
2010	Milestones									2020
	1%	1%	1%	1%	1%	1%	0%			
-0,40%	Actual Progress									Final
	2,10%	0,54%	2,30%	1,97%	1,50%	1,39% (updated)	-1.7%			

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	see other methodological comments.
Cut-Off Date	
Data source	Figures from the SME performance review 2015: <a href="http://ec.europa.eu/growth/smes/business-friendly-environment/performance-review/index_en.htm">http://ec.europa.eu/growth/smes/business-friendly-environment/performance-review/index_en.htm</a>
Narrative	The annual growth of employees in SMEs: 2011: 0.2%
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data from the SME Performance Review 2019 <sup>2118</sup> based on figures for up to 2018 <sup>16/17</sup> . SME's value added grew in 2015 by 5.5% and employment by 0.54%. Data up to 2018/2019 concerns EU-28, data for 2020 (and updated figure for 2019) concerns EU-27. NB: data has been revised back in time by Eurostat, and in 2018 Eurostat introduced a methodological break to collect enterprises as statistical units instead of legal units; this has revised the numbers of SMEs downwards.
Full metadata available at this address	
Justification of the trend	Downward trend in line with the difficulties associated with the COVID-19 pandemic.

### Indicator 3: Changes in the proportion of Union citizens who wish to be self-employed

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
37%							Increase in share of EU citizens			Increase in share of EU citizens
	Actual Progress									Final

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	<a href="http://www.gemconsortium.org/report">http://www.gemconsortium.org/report</a> - please note that no aggregated results for the EU as a whole are available.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No Eurobarometer on Entrepreneurship has been performed since 2012. To note that the Global Entrepreneurship Monitor measures every year the percentage of the adult population between the ages of 18 and 64 years who believe that entrepreneurship is a good career choice. According to the GEM report (2018) EU countries have in general a low belief in entrepreneurship as a good career with a few exceptions such as Cyprus, Poland and the Netherlands where more than 70% of adults interviewed considered entrepreneurship as a good choice.
Full metadata available at this address	
Justification of the trend	Without a specific Eurobarometer to measure the trend we cannot say that the indicator is on track. The Global Entrepreneurship Monitor shows that there is no upward trend apart from the exceptions mentioned.

### Specific Objective 1 :to improve framework conditions for the competitiveness and sustainability of Union enterprises, particularly SMEs, including in the tourism sector

#### Indicator 1: Activities to improve competitiveness - Number of simplification measures adopted

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
3	4						At least 7			At least 7
	Actual Progress									Final

	5	4			5				
Are we on track	Deserves attention**								
Indicator type									
Unit of measurement									
Cut-Off Date									
Data source	<a href="https://ec.europa.eu/growth/industry/intellectual-property/patents/supplementary-protection-certificates_en">https://ec.europa.eu/growth/industry/intellectual-property/patents/supplementary-protection-certificates_en</a>								
Narrative									
Methodology									
Link MFF 14-20 / MFF 21-27									
Other methodological comments	The indicator refers to the number of simplification measures adopted and accompanied by an impact assessment, and in 2018 this was carried out for Supplementary Protection Certificates in the area of patents and intellectual property. No further progress								
Full metadata available at this address									
Justification of the trend	Only formal procedures are measured								

### Indicator 2: Activities to improve competitiveness - Making the regulatory framework fit for purpose

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
5	6	8	6	4	5		20			20
	Actual Progress									Final
	8	6	6	4	5	4				

Are we on track	No data									
Indicator type	Output									
Unit of measurement	Number of procedures.									
Cut-Off Date										
Data source	DG GROW									
Narrative	to improve framework conditions for the competitiveness and sustainability of Union enterprises, particularly SMEs, including in the tourism sector									
Methodology										
Link MFF 14-20 / MFF 21-27	Competitiveness of SMEs									
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

### Indicator 3: Activities to improve competitiveness - Number of Member States using the competitiveness proofing test

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0	1						Marked increase			Marked increase
	Actual Progress									Final
	6									

Are we on track	No data									
Indicator type	Output									
Unit of measurement	Number of Member States using the competitiveness proofing test.									
Cut-Off Date										
Data source										
Narrative										
Methodology										
Link MFF 14-20 / MFF 21-27	competitiveness of SMEs									
Other methodological comments	Data from SBA Fact sheets and DG GROW internal sources, Q1 2015.									
Full metadata available at this address										
Justification of the trend	no data									

### Indicator 4: Activities to improve competitiveness - Resource efficiency (which may include energy, materials or water, recycling, etc.) actions taken by SMEs

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
At least one action										
2013	Milestones									2020

93%							Increase			Increase
	Actual Progress									Final
		87%		90%				91%		
Planning additional resource efficiency										
2013	Milestones									2020
80%							Increase			Increase
	Actual Progress									Final
		71%		81%						

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Target: Increase in the share of Union SMEs that are taking at least one action to be more resource efficient (which may include energy, materials or water, recycling, etc.) compared to baseline (initial measurement).
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data for 2020 has been taken from the Flash Eurobarometer 486 on SMEs, start-ups, scale-ups and entrepreneurship, Question 24: the share of SMEs taking at least one sustainability action. This figure concerns the EU-27 share. Next Eurobarometer scheduled for late 2021.
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Developing SME policy - Number of Member States using SME test

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
	18			19			Marked increase in the number of Member States using SME test			Marked increase in the number of Member States using SME test
	Actual Progress									Final
	20			27						

Are we on track	On track
Indicator type	
Unit of measurement	Member states
Cut-Off Date	
Data source	2015 Report "EU member states reporting about their SME test", May 2015, <a href="http://www.eurochambres.eu/custom/Report_-_EU_member_states_reporting_about_their_SME-test-2015-00224-01.pdf">http://www.eurochambres.eu/custom/Report_-_EU_member_states_reporting_about_their_SME-test-2015-00224-01.pdf</a> ; 2017 Report "EU Member States about their SME-test 2017", December 2017, <a href="http://ec.europa.eu/transparency/regexpert/index.cfm?do=groupDetail.groupMeeting&amp;meetingId=2270">http://ec.europa.eu/transparency/regexpert/index.cfm?do=groupDetail.groupMeeting&amp;meetingId=2270</a>
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 6: Tourism - Participation in transnational cooperation projects

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Countries covered										
2011	Milestones									2020
3	4			5	4	4	Increase			Increase
	Actual Progress									Final
	4	5		4	5	5	5			
Projects awarded										
2011	Milestones									2020
			5-7	5-7	2-10	Increase				Increase
	Actual Progress									Final

				6	7	6				
Are we on track	On track									
Indicator type										
Unit of measurement	Countries covered per project and number of projects.									
Cut-Off Date										
Data source										
Narrative	Target: Increase in the number of Member States participating in transnational cooperation projects and in the number of the transnational projects funded by the programme									
Methodology										
Link MFF 14-20 / MFF 21-27										
Other methodological comments	Complementary information for the above indicator: Baseline target in 2013 of 33 projects support under calls for proposals for transnational partnerships. In 2014, 42 transnational cooperation projects supported involving SMEs, 52 in 2015, 58 in 2017 and 65 in 2018. The call in 2019 will support 425 SMEs in 25 countries. The 2020 call on digitalisation is expected to reach 60 SMEs per project with an estimated 8-10 projects to be awarded.									
Full metadata available at this address										
Justification of the trend										

### Indicator 7: Tourism - Number of destinations adopting the sustainable tourism development models promoted by the European Destinations of Excellence

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
98	119						200			200
	Actual Progress									Final
	120	140	140	158	158	175	175			

Are we on track	On track									
Indicator type										
Unit of measurement	Number of destinations									
Cut-Off Date										
Data source										
Narrative	Baseline: On average 20 per year									
Methodology	Cumulative number of new destinations (initial measurement)									
Link MFF 14-20 / MFF 21-27										
Other methodological comments	From 2011 the selection of EDEN destinations by national authorities took place every second year in alternation with a year dedicated to the promotion of the awarded destinations. As of 2020, change of the implementation mode. EDEN will be implemented as one EU centrally managed selection competition, which will result in selecting 1 European Destination of Excellence per edition. The winning destination, as a sustainable tourism pioneer will serve as a model in sustainable tourism development for other European destinations.									
Full metadata available at this address										
Justification of the trend										

### Indicator 8: New Business Concepts - Number of new products/services in the market

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				5	15		Increase			Increase
	Actual Progress									Final
	10 projects under the call for proposals design-based consumer goods (published twice)	150 partnerships under the call for tender WORTH	40 start-ups under call for proposals European Incubator Networks for Creativity-driven innovation				200 partnerships expected under the WORTH II call			

Are we on track	On track									
Indicator type										
Unit of measurement										

Cut-Off Date	
Data source	
Narrative	
Methodology	Cumulative number of new products/services (initial measurement)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For 2018 30 partnerships planned under the call for tender "Light industries (textile/clothing, leather and footwear sectors) Innovation and Technology project". For 2019 40 partnerships planned under the call "Accelerate and scale-up innovation applications for a sustainable and circular fashion industry". Worth is an acceleration programme which provide mentoring, coaching and visibility to business partnerships between designers, manufacturers/craftsmen and tech providers to develop new, innovative business ideas. The second Worth project call is currently under evaluation.
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :to promote entrepreneurship and entrepreneurial culture

### Indicator 1: Number of Member States implementing entrepreneurship solutions based on good practice identified through the programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
22	Actual Progress									All MSs
	28	28	28	28	28	28	27			Final

Are we on track	On track
Indicator type	
Unit of measurement	Number of countries
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	All EU Member States have specific measures in place to increase the number of entrepreneurs and new companies, with most also having a strong focus on entrepreneurial education for both teachers and students. During 2018-Q1/2019, over 60 policy measures were adopted/implemented under the entrepreneurship principle. This is a lower level of policy activity compared with the previous reference period (2017-Q1/2018). As in previous years, most of the measures aimed to promote an entrepreneurial mind-set.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Number of Member States implementing entrepreneurship solutions targeting potential, young, new and female entrepreneurs, as well as other specific target groups

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
12 Member States in the European Network of Mentors for Women		New data on entrepreneurship education anticipated in 2015		12 MS implementing new initiatives in this area			Marked increase in number of Member States			Marked increase in number of Member States
Entrepreneurs	Actual Progress									Final

Are we on track	On track
Indicator type	
Unit of measurement	Number of countries
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	2016: 6 COSME countries and 4 regions have a specific strategy for Entrepreneurship Education

	while 18 countries/regions have a broader strategy that is related to entrepreneurship education. All MS join the European e-platform for women entrepreneurs that the Commission launched in 2016, providing links to national/ regional one stop shops to assist women to start-up and grow their enterprises as well as to mentor and network. The new EU Women Business Angels Network covers 14 MS. 2017:11 MS participate in projects to improve and extend support programmes for migrant entrepreneurs 2020: Data on entrepreneurship education and on women entrepreneurship from 2016 remain valid & data on migrant entrepreneurs from 2018 remain valid.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 :to improve access to finance for SMEs in the form of equity and debt

#### Indicator 1: Number of firms benefiting from debt financing

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Expressed in volume: Loan Guarantee Facility										
2013	Milestones									2020
16,1							14,3			14,3
	Actual Progress									Final
		1	6	13	23	32				
Expressed in numbers: Loan Guarantee Facility										
2013	Milestones									2020
312000							220000			220000
	Actual Progress									Final
		53433	143344	274964	414739	553925	645988			

Are we on track	On track
Indicator type	Result
Unit of measurement	EUR billion / number of SMEs
Cut-Off Date	
Data source	The European Investment Fund
Narrative	The Loan Guarantee Facility – as supported by the European Fund for Strategic Investments – continues its high performance for the benefit of SMEs in need of finance.
Methodology	The European Investment Fund collects the data from the financial intermediaries and transmits it in aggregated format to the Commission.
Link MFF 14-20 / MFF 21-27	Invest EU
Other methodological comments	The data for the baseline is based on the latest EIF quarterly report as of 31 December 2013 for the High Growth and Innovative SME Facility (GIF) under the 2007-2013 Competitiveness and Innovation Programme (CIP). No results were available for 2014 and 2015 because the COSME Delegation Agreement was signed on 22/07/2014, the call for expression of interest was published on 04/08/2014 and the first fund agreements were signed end of 2015. The result data for 2015-2019 is based on the latest European Investment Fund (EIF) quarterly operational report for the COSME Equity Facility for Growth as of 31 December of the respective reporting year, whereas the data for 2020 have a cut-off date of September 2020.
Full metadata available at this address	n/a
Justification of the trend	Thanks to the reinforcement of the COSME Loan Guarantee Facility resources from the SME window of the European Fund for Strategic Investments (doubling the available resources), it was possible to achieve the targets set for the overall programming period (2014-2020) already in the course of 2018.

#### Indicator 2: Number of venture capital investments from the COSME programme and overall volume invested

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
COSME Equity Facility for Growth										
2013	Milestones									2020
2,80							2,60 to 3,90			2,60 to 3,90
	Actual Progress									Final
			0,06	0,20	0,30	0,40				
SMEs financed COSME Equity Facility for Growth										
2013	Milestones									2020
334							360 to 540			360 to 540
	Actual Progress									Final
			12	28	38	51				

Are we on track	Deserves attention**
Indicator type	Result

Unit of measurement	EUR Billion/number of SMEs finance
Cut-Off Date	
Data source	The European Investment Fund
Narrative	The Equity Facility for Growth continues its performance continued for the benefit of SMEs in need of alternative finance despite all factors challenging its implementation.
Methodology	The European Investment Fund collects the data from the financial intermediaries and transmits it in aggregated format to the Commission.
Link MFF 14-20 / MFF 21-27	InvestEU
Other methodological comments	The data for the baseline is based on the latest EIF quarterly report as of 31 December 2013 for the High Growth and Innovative SME Facility (GIF) under the 2007-2013 Competitiveness and Innovation Programme (CIP). No results were available for 2014 and 2015 because the COSME Delegation Agreement was signed on 22/07/2014, the call for expression of interest was published on 04/08/2014 and the first fund agreements were signed end of 2015. The result data for 2016-2019 is based on the latest European Investment Fund (EIF) quarterly operational report for the Equity Facility for Growth of 31 December of the respective reporting year, whereas the data for 2020 are with cut-off date September 2020.
Full metadata available at this address	N/A
Justification of the trend	Complex due diligence and fund-raising processes, accompanied by prioritisation in jurisdictions with limited demand and challenged by the impact of the 2020-2021 COVID crisis confirms the initial trend for this indicator of the Equity Facility for Growth. All details are available in Working Document Part X dedicated to the financial instruments.

**Indicator 3: Leverage ratio**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Leverage COSME Loan Guarantee Facility										
2012	Milestones									2020
1:32							1:20 - 1:30			1:20 - 1:30
	Actual Progress									Final
			1:9	1:15	1:18	1:20	1:18			
Leverage COSME Equity Facility for Growth										
2012	Milestones									2020
1:6.7							1:4 -1:6			1:4 -1:6
	Actual Progress									Final
			1:0.4	1:0.5	1:1	1:1.1	1:1.2			

Are we on track	On track
Indicator type	Result
Unit of measurement	Natural numbers
Cut-Off Date	
Data source	The European Investment Fund
Narrative	The fluctuation in 2020 for the Loan Guarantee Facility is mainly due to the significant increase in the total amount of guarantee agreements signed with increased guarantee rates as a mitigation measure for the COVID impact.
Methodology	The European Investment Fund collects the data from the financial intermediaries and transmits it in aggregated format to the Commission.
Link MFF 14-20 / MFF 21-27	InvestEU
Other methodological comments	Loan Guarantee Facility: No results were available for 2014 and 2015, because the COSME Delegation Agreement was signed on 22/07/2014 and the call for expression of interest was published on 04/08/2014. The result data for 2016-2019 is based on the latest European Investment Fund (EIF) quarterly operational report for the COSME Loan Guarantee Facility as of 31 December of the respective reporting year; whereas the data for 2020 are with cut-off date September 2020. The result data is the expected actual leverage. It is the actual amount of financing made available to SMEs divided by the total amount of guarantee agreements signed. However, the total amount of guarantee agreements signed is higher than the total EU Contribution Committed, because the latter is increased by the actual European Fund for Strategic Investments exposure (the enhancement of the COSME Loan Guarantee Facility backed by the European Fund for Strategic Investments).
Full metadata available at this address	N/A
Justification of the trend	The trend follows naturally the implementation cycle of the E ntervention as designed.

**Indicator 4: Additionality of the EFG and LGF**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Additionality COSME Loan Guarantee Facility										
2012	Milestones									2020
64%							Increase			Increase

							share			share
	Actual Progress									Final
			63%							
Equity Facility for Growth and GIF										
2012	Milestones									2020
							Increase share			Increase share
62%	Actual Progress									Final
			Not available							

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	16/08/2022
Data source	COSME mid-term evaluation (December 2017)
Narrative	The target is to achieve an Increase in the share of final beneficiaries that consider the Equity Facility for Growth or the Loan Guarantee Facility to provide funding that could not have been obtained by other means compared to baseline.
Methodology	Contractor performed anonymised survey with some of the final recipients within the mid-term evaluation.
Link MFF 14-20 / MFF 21-27	InvestEU
Other methodological comments	COSME additionality will be measured in the context of the COSME final evaluation.
Full metadata available at this address	<a href="https://ec.europa.eu/docsroom/documents/28084">https://ec.europa.eu/docsroom/documents/28084</a>
Justification of the trend	

### Specific Objective 4 :to improve access to markets, particularly inside the Union but also at global level

#### Indicator 1:International Industrial Cooperation - Number of cases of improved alignment between Union and third countries' regulations for industrial products

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
2			Regulatory co-operation with 3 of our main trading partners(China, Japan and USA)	3 relevant areas	More than 4 relevant areas		4			4
	Actual Progress									Final

Are we on track	No data
Indicator type	
Unit of measurement	Relevant areas of significant alignment of technical regulations
Cut-Off Date	
Data source	
Narrative	Baseline: It is estimated that in regulatory cooperation with main trading partners (US, Japan, China, Brazil, Russia, Canada, India) there is an average of 2 relevant areas of significant alignment of technical regulations
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator "Number of cases of improved alignment between Union and third countries" regulations for industrial products" should be measured with caution as we cannot require a third country - US, Japan, China, Canada - to align with our EU technical regulations. Actually, neither party can impose its system on the other. What we do with some of these countries is to have a regulatory cooperation/dialogue in view of seeking more convergence or compatibility in technical regulations and conformity assessment procedures. With respect to standards we promote greater acceptance of international standards.Thus when it comes to specific results requested by the indicator there are not any specific achievements. Regulatory co-operation with trade partners have been more relevant with China, Taiwan, Japan.In the case of Japan, our regulatory dialogues have contributed, in addition to previous sectors such as automotive, medical devices, cosmetics and chemicals to further alignment of techni
Full metadata available at this address	
Justification of the trend	no data

**Indicator 2:Enterprise Europe Network - Number of partnership agreements signed**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
2295				2500			2500			2500
	Actual Progress									Final
	2636	2924	2924	2397	2611	3279	2679			

Are we on track	On track
Indicator type	
Unit of measurement	Number of SMEs per year
Cut-Off Date	
Data source	EEN final reports submitted by the 92 consortia that have signed a framework partnership agreement
Narrative	2012: 2 475 Target: 2 500 per year
Methodology	Encoding partnership agreements in EASME database
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Results beyond target even with negative impact of COVID in 2020

**Indicator 3:Enterprise Europe Network - Recognition of the Network amongst SME population**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015-2016	Milestones									2020
		Milestone to be determined once baseline has been set in 2015-2016					Increase in the recognition of the Network amongst SME population compared to baseline.			Increase in the recognition of the Network amongst SME population compared to baseline.
	Actual Progress									Final
		8%	0							

Are we on track	No data
Indicator type	
Unit of measurement	Percentage of SMEs
Cut-Off Date	31/12/2019
Data source	
Narrative	Baseline from Eurobarometer Survey n° 421 (October 2015) of 13,000 SMEs as presented in the Final Evaluation of the Enterprise Europe Network 2008-2014.
Methodology	
Link MFF 14-20 / MFF 21-27	to improve access to markets, particularly inside the Union but also at global level
Other methodological comments	
Full metadata available at this address	
Justification of the trend	no data

**Indicator 4:Enterprise Europe Network - Clients satisfaction rate (% SMEs stating satisfaction, added-value of specific service provided by the Network)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
86%				80%			> 82%			> 82%
	Actual Progress									Final
				86%		88%				

Are we on track	On track
Indicator type	
Unit of measurement	Percentage of SMEs who rated services as Good/Very good
Cut-Off Date	
Data source	Survey amongst SMEs that received EEN services

Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Next survey planned in 2021
Full metadata available at this address	
Justification of the trend	

**Indicator 5:Enterprise Europe Network - Number of SMEs receiving support services**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
435 700							500			500 000/year (original calculation method) 275 000/year(revised calculation method)
	Actual Progress									Final
	522 725	254 057	254 057	226 908	222332	221425				

Are we on track	On track
Indicator type	
Unit of measurement	Number of SMEs
Cut-Off Date	31/12/2019
Data source	EEN final reports submitted by the 92 consortia that have signed a framework partnership agreement; final numbers for 2020 to be received when final reports are received and evaluated by EASME (May 2021)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	A lot of effort has been put on increasing the impact for SMEs (increased number of partnership agreements), rather than a high number of served SMEs not necessarily leading to impact

**Indicator 6:Enterprise Europe Network - Number of SMEs using digital services (including electronic information services) provided by the Network**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
2				2			2			2
	Actual Progress									Final
		7.7	7.7	8.4	8.4	8.5				

Are we on track	On track
Indicator type	
Unit of measurement	Number of SMEs
Cut-Off Date	
Data source	EEN final reports submitted by the 92 consortia that have signed a framework partnership agreement; final numbers for 2020 to be received when final reports are received and evaluated by EASME (May 2021)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Encoding partnership agreements in EASME database.
Full metadata available at this address	
Justification of the trend	

**Previous Program 2 : European statistical programme (ESP)**

## General Objective 1 :The European Statistical System to be the leading provider of high-quality statistics on Europe.

### Indicator 1:Eurostat impact on Internet

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of mentions										
2017	Milestones									2020
					increase	increase	increase			increase
264 932	Actual Progress									Final
				264 932	390 207	388 662	365 340			
Percentage of negative opinions										
2017	Milestones									2020
				< 2%	< 2%	< 2%	< 2%			< 2%
0%	Actual Progress									Final
				0%	0%	0%	0%			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of mentions and percentage of negative opinions
Cut-Off Date	31/12/2020
Data source	Monthly report on Eurostat's impact on the web.
Narrative	The indicator measures the impact on the internet of the statistics published by Eurostat, as the number of mentions and the percentage of those mentions which are negative. An increase shows that there is growing interest in the statistics published by Eurostat. A very low share of negative opinion shows that the statistics are appreciated by the users.
Methodology	A 'mention' is an online text referring to Eurostat. It may be an article written by a journalist of the Financial Times, a post by a blogger, or a tweet by a news agency. An online tool , called Brandwatch, analyses mentions in seven languages (English, German, French, Italian, Spanish, Portuguese and Swedish). Number of mentions and share of negative ones are calculated each month. The indicator uses the total over the year.
Link MFF 14-20 / MFF 21-27	Yes, it is defined as a core performance indicator for the MFF 21/27.
Other methodological comments	New indicator as identified in ESTAT's Strategic Plan 2018-2020.
Full metadata available at this address	They are available in the section on the new MFF.
Justification of the trend	An increased number of web sites are blocking the access to paid content by automated tools, which causes a decrease in the measured total number of mentions. The system used may be changed in future because of the evolution of technology during the life cycle of the new programme and for possible privacy concerns. For those reasons, Eurostat is assessing if alternative tools available at Commission level give useful alternative results.

## Specific Objective 1 :To provide statistical information, in a timely manner, to support the development, monitoring and evaluation of the policies of the Union properly reflecting priorities, while keeping a balance between economic, social and environmental fields and serving the needs of the wide range of users of European statistics, including other decision-makers, researchers, businesses and European citizens in general, in a cost-effective manner without unnecessary duplication of effort.

### Indicator 1:Statistical coverage (measured as number of indicators, sub-indicators and all their breakdowns)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2017	Milestones									2020
					increase	increase	increase			increase
328 489 272	Actual Progress									Final
				328 489 272	366 260 359	423 110 043	446 063 473			446 063 473

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of statistical indicators
Cut-Off Date	31/12/2020
Data source	Report on the content of Eurostat's public databases.
Narrative	It measures the number of indicators, sub-indicators and all their breakdowns included in Eurostat's reference database (Eurobase). Indicators differing only by the time dimension are not counted. An increase shows that Eurostat is enlarging its offer by producing more statistics to meet increasing users' demands.
Methodology	A programme goes through the entire database and counts the number of different statistical

	indicators.
Link MFF 14-20 / MFF 21-27	Yes, it will be used also in the MFF 21/27 as a monitoring indicator.
Other methodological comments	New indicator as identified in ESTAT's Strategic Plan 2018-2020.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of data extractions made by external users from Eurostat reference databases (EuroBase and Comext) via the Eurostat website (using the Data Explorer or Easy Comext) - Millions**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
7,87	8,1	8,3	8,5	8,7			8,7			8,7
	Actual Progress									Final
	7,79	8,3	11,34	13,33	16,49	18,34	21,48			21,48

Are we on track	On track
Indicator type	Result
Unit of measurement	Million extractions
Cut-Off Date	31/12/2020
Data source	Monitoring reports on Eurostat electronic dissemination.
Narrative	It counts the number of data extractions made by external users from Eurostat reference databases (EuroBase and Comext) via the Eurostat website. An increase shows that the statistics published by Eurostat are used more.
Methodology	It is the count of the extractions made by all users from the Eurostat reference databases. It is made automatically in the databases.
Link MFF 14-20 / MFF 21-27	Yes, it will be used also in the MFF 21/27 as a monitoring indicator.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Degree of achievement of the Specific Objective 1 measured as percentage of the achievement of the Outputs related to it**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
	1	1	1	1	1	1	1			1
	Actual Progress									Final
	0,92	0,94	0,93	0,95	0,96	0,974	0,94			0,94

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	ESTAT end of year monitoring reports.
Narrative	The indicator shows the percentage of planned outputs for the year, which are "On target" or "Achieved". A high percentage shows a high degree of effectiveness. However, it does not imply that the outputs, which are not declared in the two categories, have not been achieved. Outputs may be revised as being incorporated in other activities or showing limited difficulties but being substantially done. The importance of the outputs is also not taken into account in the counting. The 100% target is ideal but actually unreachable. Therefore, the indicator gives a rough indicator but needs to be complemented by qualitative information.
Methodology	It is the percentage of activities, related to Specific Objective 1, for which the status at the end of the year is marked as "On target" or "Achieved" in the planning and monitoring tool of Eurostat.
Link MFF 14-20 / MFF 21-27	No.
Other methodological comments	Twice a year, DG ESTAT's units give a mark to each of the outputs under their responsibility. The marks are the following: "Achieved", "On target", "Difficulties", "Revised", "Cancelled". The percentages given in the table include "Achieved" and "On target" at the end of the year. The "ideal" target is 100% every year.
Full metadata available at this address	
Justification of the trend	The minor decrease is due to very few activities which were slightly delayed, due to COVID-19 and to the difficulty to recruit people with some specific skills in Luxembourg.

**Specific Objective 2 :To implement new methods of production of European statistics aiming at efficiency gains and quality improvements.**

**Indicator 2: Timeliness of a sub-set of the statistics provided by Eurostat measured as number of days between the last day of the statistics' reference period and the release day of the related news release**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Quarterly										
2017	Milestones									2020
85,7	decrease									decrease
	Actual Progress									Final
				85,7	85,4	83,3	83,8			83,8
Monthly										
2017	Milestones									2020
35,9	decrease									decrease
	Actual Progress									Final
				35,9	36,0	35,6	35,8			35,8

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of days
Cut-Off Date	31/12/2020
Data source	Eurostat's news releases.
Narrative	It shows the timeliness of the statistics published by Eurostat, based on the releases of monthly and quarterly statistics. A decrease shows that the timeliness is improving.
Methodology	It is calculated as the average number of days between the last day of the statistics' reference period and the release day of the related news release, for monthly and quarterly statistics.
Link MFF 14-20 / MFF 21-27	Yes, it will be used also in the MFF 21/27 as a monitoring indicator.
Other methodological comments	New indicator as identified in ESTAT's Strategic Plan 2018-2020.
Full metadata available at this address	
Justification of the trend	The very limited increase in 2020 was due to the outbreak of the Covid-19 pandemic in the first quarter 2020, when NSIs had to face unexpected problems, which were solved in the following months.

**Indicator 3: Degree of achievement of the Specific Objective 2 measured as percentage of the achievement of the Outputs related to it**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
	1	1	1	1	1	1	1			1
	Actual Progress									Final
	0,86	0,89	0,91	0,89	0,954	0,958	0,97			0,97

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	ESTAT end of year monitoring reports.
Narrative	The indicator shows the percentage of planned outputs for the year, which are "On target" or "Achieved". A high percentage shows a high degree of effectiveness. However, it does not imply that the outputs, which are not declared in the two categories, have not been achieved. Outputs may be revised as being incorporated in other activities or showing limited difficulties but being substantially done. The importance of the outputs is also not taken into account in the counting. The 100% target is ideal but actually unreachable. Therefore, the indicator gives a rough indicator but needs to be complemented by qualitative information.
Methodology	It is the percentage of activities, related to Specific Objective 2, for which the status at the end of the year is marked as "On target" or "Achieved" in the planning and monitoring tool of Eurostat.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	Twice a year, DG ESTAT's units give a mark to each of the outputs under their responsibility. The marks are the following: "Achieved", "On target", "Difficulties", "Revised", "Cancelled". The percentages given in the table include "Achieved" and "On target" at the end of the year. The "ideal" target is 100% every year.
Full metadata available at this address	
Justification of the trend	The trend is positive and approaches the 100% target, which is ideal and not realistic.

**Specific Objective 3 :To strengthen the partnership within the European Statistical System and beyond in order to further enhance its productivity and its leading role in official statistics worldwide**

**Indicator 2:Punctuality of statistics: average number of days in advance (positive) or delay (negative), in comparison to the legal target**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Principle European Economic Indicators (PEEIs): Euro Area – monthly series										
2012	Milestones									2020
-0,1	> 0	> 0	> 0	> 0	> 0	> 0	> 0			> 0
	Actual Progress									Final
	-1,2	-1,8	-0,7	0,0	-1,1	-0,4	-1,0			-1,0
Principle European Economic Indicators (PEEIs): Euro Area – quarterly series										
2012	Milestones									2020
-10,2	> 0	> 0	> 0	> 0	> 0	> 0	> 0			> 0
	Actual Progress									Final
	-10,5	-10,3	-10,3	-11,2	-8,5	-5,0	-5,9			-5,9
Foreign trade with countries outside the EU: Comext-Extra: data sent by MS to Eurostat										
2012	Milestones									2020
3	> 0	> 0	> 0	> 0	> 0	> 0	> 0			> 0
	Actual Progress									Final
	2	3	2	3	2	2	3			3

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of days
Cut-Off Date	31/12/2020
Data source	PEEIs: annual Status report on information requirements in EMU to the Economic and Financial Committee. The list of PEEIs is defined in the Communication of the Commission to the European Parliament and the Council on Eurozone statistics COM/2002/661. Source for Comext-Extra: Eurostat internal report on Comext database: More detailed information is available on demand.
Narrative	It shows if the legal targets fixed for the production of the monthly and quarterly series of the PEEIs and for data sent for external trade statistics by MSs to Eurostat are respected. A positive number shows that statistics are available in advance of the targets, a negative number a delay.
Methodology	It is calculated as the average number of days in advance (positive) or delay (negative), in comparison to the legal target, for the PEEIs and statistics on external trade.
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	New indicator as identified in ESTAT's Strategic Plan 2018-2020. The worsening of the average delay in the monthly statistics in 2018 was due to delays in March 2018 of two indicators related to short term business statistics, which were caused by the implementation of the change of the base year from 2010 to 2015. The value has improved in 2019.
Full metadata available at this address	
Justification of the trend	The slight worsening for the PEEIs in 2020 is probably due to the outbreak of the COVID-19 pandemic at the beginning of 2020, similar to what registered in the indicator 1 of specific objective 2. The value for Comext Extra is above the target and at the highest level in the series.

**Indicator 3:Degree of achievement of the Specific Objective 3 measured as percentage of the achievement of the Outputs related to it**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
	1	1	1	1	1	1	1			1
	Actual Progress									Final
	0,93	0,94	0,93	1	0,86	0,96	0,85			0,85

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	ESTAT end of year monitoring reports
Narrative	The indicator shows the percentage of planned outputs for the year, which are “On target” or “Achieved”. A high percentage shows a high degree of effectiveness. However, it does not imply that the outputs, which are not declared in the two categories, have not been achieved. Outputs may be revised as being incorporated in other activities or showing limited difficulties but being substantially done. The importance of the outputs is also not taken into account in the counting. The 100% target is ideal but actually unreachable. Therefore, the indicator gives a rough indicator but needs to be complemented by qualitative information.
Methodology	It is the percentage of activities, related to Specific Objective 3, for which the status at the end of the year is marked as “On target” or “Achieved” in the planning and monitoring tool of Eurostat.

Link MFF 14-20 / MFF 21-27	No
Other methodological comments	Twice a year, DG ESTAT's units give a mark to each of the outputs under their responsibility. The marks are the following: "Achieved", "On target", "Difficulties", "Revised", "Cancelled". The percentages given in the table include "Achieved" and "On target" at the end of the year. The "ideal" target is 100% every year.
Full metadata available at this address	
Justification of the trend	The value of the indicator in 2020 has been impacted by problems caused by the Covid-19 pandemic.

**Specific Objective 4 :To ensure that delivery of statistics is kept consistent throughout the whole duration of the programme, provided that this does not interfere with the priority-setting mechanisms of the ESS.**

**Indicator 1:Percentage of the time series that cover 10 or more consecutive years**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
4.1a										
	Milestones									2020
	Actual Progress									Final
4.1b										
2017	Milestones									2020
37,35%				do not decrease	do not decrease	do not decrease	do not decrease			do not decrease
	Actual Progress									Final
				37,35%	48,5%	51,8%	47,6%			47,6%

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	Report on the content of Eurostat's public databases
Narrative	The indicator should show if the delivery of statistics is maintained over the time by an increase in the percentage of long time series (>10 years) in the reference database. However, in years when there is a sudden need to produce new statistics, as in 2020 for those linked to the Covid-19 crisis, there may be a big increase in new time series and so a decrease in the percentage of long ones.
Methodology	It calculates the percentage of time series longer than 10 years on the total number of time series in the Eurostat reference database (Eurobase).
Link MFF 14-20 / MFF 21-27	No
Other methodological comments	New indicator as identified in ESTAT's Strategic Plan 2018-2020. It can present an issue in years in which a big number of new statistics and so new time series is produced, which is why it has been replaced by a similar one, based on the number of long time series instead of their percentage.
Full metadata available at this address	
Justification of the trend	The indicator has increased compared to the baseline in 2017 but not compared to the last two years. It has appeared that this indicator presents a methodological issue, which is why it has been modified for the next MFF. The absolute number (which should be the correct indicator, used for the next MFF) has increased even if not the percentage.

**Previous Program 3 : Specific activities in the field of financial reporting and auditing**

**Specific Objective 1 :to improve the conditions for the efficient functioning of the internal market by supporting the transparent and independent development of international financial reporting and auditing standards**

**Indicator 1:number of countries using International Financial Reporting Standards (IFRS)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
128	130		130	140	150	155	159			159
	Actual Progress									Final
	130	130	133	140	159	159	166			

Are we on track	On track
-----------------	----------

Indicator type	Result
Unit of measurement	Absolute number of countries using International Financial Reporting Standards (IFRS)
Cut-Off Date	31/12/2020
Data source	Data provided by grant beneficiaries
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	The indicator has been monitored since 2014 and we will continue monitoring it over the 2021-2027 programming period
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:percentage of standards endorsed in the EU compared to the number of standards issued by the IASB

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0,89	0,96		0,96	0,96	0,96	0,96	0,96			1
	Actual Progress									Final
	0,96	0,95	0,96	0,97	0,96	0,96	0,98			

Are we on track	On track
Indicator type	Output
Unit of measurement	Ratio between the standards endorsed in the EU and the total number of standards issued by the IASB
Cut-Off Date	31/12/2020
Data source	Data provided by grant beneficiaries
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	The indicator has been monitored since 2014 and will be monitored over the 2021-2027 programming period. No change of methodology is foreseen.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The percentage of standards endorsed in the EU compared to the number of standards issued by the IASB could not reach 100% target because of the constant updates and developments of the standards and the time necessary for their endorsement by the EU.

### Previous Program 4 : Food and Feed

**General Objective 1 :contributing to a high level of health for humans, animals and plants along the food chain and in related areas, by preventing and eradicating diseases and pests and by ensuring a high level of protection for consumers and the environment, while enhancing the competitiveness of the Union food and feed industry and favouring the creation of jobs**

### Indicator 1:Incidence of main food-borne disease in the EU (BSE and Salmonella)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Classical BSE cases										
2012	Milestones									2020
11	less than 5									0
	Actual Progress									Final
	3	2	1	0	1	0				
Salmonella										
2012	Milestones									2020
90 000	67 000									60 000
	Actual Progress									Final
	92 012	94 477	94 425	91 590	91 857	87923				

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	Total BSE Cases (classical and atypical): 2015: 3, 2016: 5, 2017: 6, 2018: 4, 2019: 7
Methodology	

Link MFF 14-20 / MFF 21-27	
Other methodological comments	The final reports of the Member States for 2020 programmes will be submitted by 30/04/2021. See Specific Objective 1 – Indicator 1 for explanation on the trend. 2020 EFSA-ECDC report for zoonoses is not yet available (the latest available report is the 2019 one, published on 19 Jan 2021: EFSA Journal 2021;19(2):6406 )
Full metadata available at this address	
Justification of the trend	We are on track for BSE; for Salmonella, improvements are stagnating, indicating that measures currently implemented, drafted years ago, may be reviewed and updated.

### Specific Objective 1 :to contribute to a high level of safety of food and food production systems and of other products which may affect the safety of food, while improving the sustainability of food production

**Indicator 1:the reduction in the number of cases of diseases in humans in the Union which are linked to food safety or zoonoses**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
90 883					67 000		60 000			60 000 cases, continuous reduction of 3 to 5% per year/no eradication possible
	Actual Progress									Final
	92012	94477	94425	91590	91857	87923				

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	Confirmed cases of human salmonellosis
Cut-Off Date	
Data source	2020 EFSA-ECDC report for zoonoses is not yet available (the latest available report is the 2019 one, published on 19 Jan 2021: EFSA Journal 2021;19(2):6406 )
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The baseline is data from the year 2012, source 2013 report. The reduction of the number of human cases is not as good as expected mainly because of the multi country outbreak caused by Polish eggs. In order to improve the current set of legal measures related to Salmonella in certain poultry populations, the Commission also requested EFSA to provide a scientific opinion on Salmonella control in poultry flocks and its public health impact. The outcome of this EFSA work is currently considered by the relevant Commission services
Full metadata available at this address	
Justification of the trend	For Salmonella, improvements are stagnating, indicating that measures currently implemented, drafted years ago, may be reviewed and updated. It should be noted that the reduction of salmonellosis case in human is not only linked to satisfactory implementation of control programmes in poultry but other sources of infection should be taken into account (food cold chain broken ect).

### Specific Objective 2 :to contribute to achieving a higher animal health status for the Union and to support the improvement of the welfare of animals

**Indicator 1:the increase in the number of Member States or their regions which are free from animal diseases in respect of which a financial contribution is granted**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Bovine Brucellosis: MS and regions officially free										
2013	Milestones									2020
16		19			25					25
	Actual Progress									Final
	19	20	20	20	20	20	20			
Bovine Brucellosis: MS and regions Eradication										

2013	Milestones								2020
									27
	Actual Progress								Final
Bovine tuberculosis: MS and regions officially free									
2013	Milestones								2020
		16			23		23		23
15	Actual Progress								Final
	18	18	17	17	17	17	17		
Bovine tuberculosis: MS and regions Eradication									
2013	Milestones								2020
									26
	Actual Progress								Final
Melitensis: MS and regions officially free									
2013	Milestones								2020
		22			25				25
19	Actual Progress								Final
	20	20	20	20	20	20	20		
Melitensis: MS and regions Eradication									
2013	Milestones								2020
									27
	Actual Progress								Final

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	2020 EFSA-ECDC report for zoonoses is not yet available (the latest available report is the 2019 one, published on 19 Jan 2021: EFSA Journal 2021;19(2):6406 )
Narrative	
Methodology	Number of officially-free Member States as per Directive 64/432/CEE
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The officially free regions are not reflected in this indicator which takes only entirely officially free Member States into account
Full metadata available at this address	
Justification of the trend	The request for officially free status granting is currently not compulsory for the Member States. This will be modified with the new rules under the Animal Health Law as from April 2021

## Indicator 2: an overall reduction of disease parameters such as incidence, prevalence and number of outbreaks

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Bluetongue outbreaks										
2013	Milestones								2020	
				Eradication			Eradication			Eradication subject to vector, climate change, and vaccination
6 196	Actual Progress								Final	
	9 435	653	2 919	5056	865	437	693			
Classical swine fever outbreaks in domestic pigs										
2013	Milestones								2020	
				0			0			0
0	Actual Progress								Final	
	1	0	0	0	0	0	0			
Classical swine fever outbreaks in wild boar										
2013	Milestones								2020	
42	Actual Progress								Final	
	27	5	0	0	0					
African swine fever: outbreaks in domestic pigs										
2013	Milestones								2020	

109		10			0		0			0
	Actual Progress									Final
	80	58	71	141	1 360	1 852	1206			
African swine fever: outbreaks in wild boar										
2013	Milestones									2020
		2								
67	Actual Progress									Final
	334	1751	2466	3965	5388	6445	11101			
Swine vesicular disease outbreaks in domestic pigs										
2013	Milestones									2020
				0			0			0
25	Actual Progress									Final
	5	1	0	0						
BSE positive animals										
2013	Milestones									2020
		Less than 5			Less than 5 positive animals (long incubation period)					Less than 5 (long incubation period)
7	Actual Progress									Final
	5	6	4							
Scrapie (sheep and goats) prevalence										
2013	Milestones									2020
		14%			8%					8%
17%	Actual Progress									Final
Rabies outbreaks in wild animals										
2013	Milestones									2020
		80			0					0
679	Actual Progress									Final
	298	129	31	6	8	5	12			
Avian influenza outbreak in poultry (domestic animals) of HPAI										
2013	Milestones									2020
		0			0					0
	Actual Progress									Final
	10	70	391	820	34	8	453			
Avian influenza outbreak in wild birds of HPAI										
2013	Milestones									2020
	Actual Progress									Final
	0	6	312	1145	81	2	815			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Numbers of outbreaks / MS affected
Cut-Off Date	
Data source	ADNS reports – MS reports
Narrative	Rabies is closing eradication at EU level (only 2 EU MS affected in 2020), however risk remains due to neighboring third countries. CSF is practically eradicated in the EU. Surveillance needs to remain in place due to the risk posed by neighboring 3rd countries. Official freedom status pending for a few MS. Target for ASF is to reduce outbreaks in domestic pigs and prevent spread to non-affected MS (no specific target can be set at this stage for wild boar). Similarly, a target for HPAI in wildlife cannot be set.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Given the positive results in 2014 and 2015, the milestone for 2016 has been reduced from 200 to 80 outbreaks, and the target for 2020 from 100 to 0 outbreaks.
Full metadata available at this address	
Justification of the trend	Even if MS implement the programmes effectively it is not always possible to control/eradicate animal diseases when these involve wildlife (ASF, HPAI, Rabies) or insect vectors (BT, ASF). In the case of ASF in particular, the absence of an effective vaccine, combined with wild boar involvement and possible human induced spread, makes disease control in wildlife even more challenging. Similar challenges are present for ASF control in domestic pigs, in countries with large numbers of backyard pigs (e.g. RO, BG). Nevertheless, there are already 2 MS that have managed to eradicate the disease

	(CZ, BE) and without the programmes implemented the impact of the disease would be even more dramatic, even if this not reflected in the numbers of outbreaks reported.
--	---

### Specific Objective 3 :to contribute to the timely detection of pests and their eradication where those pests have entered the Union

#### Indicator 1:the coverage of the Union territory by surveys for pests, in particular for pests not known to occur in the Union territory and pests considered to be most dangerous for the Union territory

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of EU territory covered by surveys for pests, in particular known to occur in the Union territory										
2012	Milestones									2020
0,05	0,60	0,70	0,80	0,90	1	0,90	1			1
	Actual Progress									Final
	0,7850	0,8570	0,8570	0,8570	0,8570	0,8570	0,9			
Percentage of EU territory covered by surveys for pests considered to be most dangerous										
2012	Milestones									2020
1	1	1	1	1	1	1	1			1
	Actual Progress									Final
	1	1	1	1	1	1	1			

Are we on track	On track
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	30/04/2020
Data source	For all the data above, source of information is the annual report submitted by MS to Commission/ADNS notification DG SANTE by 30 April of each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:the time and success rate for the eradication of those pests

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Time to eradicate pests not know to occur in the Union, number of days between finding and notification: days										
2015	Milestones									2020
42 days		20	20	20	20		8			8
	Actual Progress									Final
		22	14	22	14	13	18			
Success rate in eradication of pests not known to occur in the Union										
2015	Milestones									2020
					95%					95%
	Actual Progress									Final

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :to contribute to improving the effectiveness, efficiency and reliability of official controls and other activities carried out with a view to the effective implementation of and compliance with the Union rules**

**Indicator 1:a favourable trend in the results of controls in particular areas of concern carried out and reported on by Commission experts in the Member States**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0,60	0,70				0,95					0,95
	Actual Progress									Final
	0,74	0,49	0,49	0,74	0,71					

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	For all the data above, source of information is DG SANTE
Narrative	Milestone for 2016: Percentage of all recommendations from these reporting years (N-2, N-3, N-4) are addressed by Member States.
Methodology	Percentage of DG SANTE recommendations following audits that have satisfactorily addressed with corrective action.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This indicator is a rolling indicator based on a three year rolling cycle. Therefore, indicator for year N = Average Year N-2+N-3+ N-4. Indicator for year 2019 is based on the verification of follow up actions by Member States in response to audit recommendations issues following audits carried out in years 2015-2017. Indicator for year 2020 is based on the verification of follow up actions by Member States in response to audit recommendations issues following audits carried out in years 2016-2018. Data for 2020 will be available at the end of the year.
Full metadata available at this address	
Justification of the trend	

**Previous Program 5 : Consumer Programme**

**General Objective 1 :To ensure a high level of consumer protection, to empower consumers and to place the consumer at the heart of the internal market, within the framework of an overall strategy for smart, sustainable and inclusive growth**

**Indicator 1:Consumer conditions index**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Knowledge and Trust										
2014	Milestones									2020
55,06			56		58					60
	Actual Progress									Final
	55,06		59,3		55,87		55,8			
Compliance and Enforcement										
2014	Milestones									2020
71,91			73		74					75
	Actual Progress									Final
	71,91		74,99		73,81		74,35			
Complaints and Dispute Resolution										
2014	Milestones									2020
58,97			60		61					63
	Actual Progress									Final
	58,97		60,34		59,45		58,26			

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage (%)
Cut-Off Date	31/12/2020
Data source	Consumer and retailer surveys for the Consumer Conditions Scoreboard (biennial frequency).
Narrative	A possible explanation for a decrease in figures in 2018 is linked to a combination of factors and

	different hypotheses are quoted. The decline in the UK has been particularly marked, but even the EU27 aggregate (without the UK) shows a sizeable decrease. The decline is mostly due to decreases in some large Western EU Member States (our EU aggregates are weighted by population). As the methodology for the computation of the indicators related to the CCI and its components has been revised in 2016, the 2014 values for the indicators are not directly computable (data between 2014 and 2016 are not directly comparable). Therefore, the values for 2014 have been back-estimated by applying to the 2016 values the changes in percentage points observed between 2016 and 2014 (computed on indicators based on the same methodology). By doing that, the values for 2014 have been slightly revised with respect to the initial baseline.
Methodology	Measurement out of 100. The methodology for the Consumer Conditions Index is being revised. For the purpose of this report, the comparison of the 2020 result with the previous value (2018) is done only based on the fully comparable indicators.
Link MFF 14-20 / MFF 21-27	DG JUST is currently working on a new Consumer Agenda and is considering revamping the Consumer Conditions Index to update it in line with policy priorities and with the latest market and regulatory developments. Therefore the baseline is 2018 data. This data is for EU27 (without the UK). The baseline may be revised and the milestones and target will be defined once the framework has been updated, depending on how the new indicator will shape up and when it will be measured.
Other methodological comments	Result indicator: “pillars” of the consumer conditions index (data available every two years). This indicator is related to the Specific objective 4.1 “Consolidate and improve the rights of consumers when purchasing in the Single Market”, within the General objective “A Deeper and Fairer Internal Market with a Strengthened Industrial Base” as adopted in the Strategic Plan 2016-2020 of DG Justice and Consumers. The Consumer Condition Index provides an overview of the key indicators describing the consumer environment at national level, as measured through surveys of perceptions, attitudes and experiences of consumers and of retailers.
Full metadata available at this address	<a href="https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy_en">https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy_en</a>
Justification of the trend	The pandemic has created a large number of consumer issues and this has impacted on indicators. In these circumstances, one could argue that this result is already an achievement. Due to the pandemic in 2020, consumers have been subjected to a lot of issues: no reimbursement of travel and leisure activities, drastic increase of on-line scams, increase of product safety issues (masks, disinfectant liquid for hands, etc.). The European Commission has coordinated response of Member States to the pandemic and has integrated this dimension in the New Consumer Agenda.

### Specific Objective 1 :Safety: to consolidate and enhance product safety through effective market surveillance throughout the Union

#### Indicator 1: % of RAPEX (rapid alert system for dangerous consumers products) notifications entailing at least one reaction (by other Member States)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
0,43										0,475
	Actual Progress									Final
	0,42	0,40	0,46	0,46	0,56	0,49	0,72			0,72

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage (%)
Cut-Off Date	31/12/2020
Data source	Rapex / Safety Gate: the EU rapid alert system for dangerous non-food products
Narrative	Target: Increase of 10% (to 47.5%), compared to the 2010 value.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	<a href="https://ec.europa.eu/safety-gate-alerts/screen/search?resetSearch=true">https://ec.europa.eu/safety-gate-alerts/screen/search?resetSearch=true</a>
Justification of the trend	

#### Indicator 2: Ratio number of reactions / number of notifications (serious risks)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
1,07										1,23
	Actual Progress									Final
	1,28	1,56	1,8	1,66	1,97	2,16	2,69			2,69

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage (%)
Cut-Off Date	31/12/2020
Data source	Rapex / Safety Gate: the EU rapid alert system for dangerous non-food products
Narrative	Target: Increase of 15% compared to 2010 (to 1.23)
Methodology	This indicator indicates the ratio number of reactions divided by the number of RAPEX notifications received under Art. 12 of the General Product Safety Directive 2001/95/EC, serious risks.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The ratio should be 1% to be good, if it is > 1%, it means that Member States carry out market surveillance also when they do not have the legal obligation. A notification can trigger several reactions from authorities of other Member States.
Full metadata available at this address	<a href="https://ec.europa.eu/safety-gate-alerts/screen/search?resetSearch=true">https://ec.europa.eu/safety-gate-alerts/screen/search?resetSearch=true</a>
Justification of the trend	

**Specific Objective 2 :Consumer information and education, and support to consumer organisations: to improve consumers' education, information and awareness of their rights, to develop the evidence base for consumer policy and to provide support to consumer organisations, including taking into account the specific needs of vulnerable consumers**

**Indicator 1: Number of complaint bodies and number of countries submitting complaints to the European Consumer Complaints Registration system (ECCRS).**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Complaint bodies										
2012	Milestones									2020
				90						100
33	Actual Progress									Final
	37	73	77	77	N/A ECCRS system discontinued *	N/A ECCRS system discontinued *	N/A ECCRS system discontinued *			
Countries										
2012	Milestones									2020
				22						25
7	Actual Progress									Final
	13	20	24	24	N/A ECCRS system discontinued *	N/A ECCRS system discontinued *	N/A ECCRS system discontinued *			

Are we on track	No data
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	*After a consultation with the Member States' representatives, a decision to discontinue the maintenance of the ECCRS system was taken in 2018, due to competing priorities and resource limitations. Complaint data are in any case already gathered through various tools owned by the Consumer enforcement and redress unit (newly launched ECC-Net compliant platform, ODR and the legally binding IT tool of the Committee on Consumer Protection Cooperation (CPCS), covering all relevant data except national off-line complaints).
Methodology	This indicator is not suited for assessing the performance of ECCs. The proportion of referrals of unresolved cases to ADR depends on the performance of ADR/ODR and the traders' engagement in the alternative dispute resolution system. The choice to refer the cases to ADR by consumer centres depends on their experience with traders being ready to submit to ADR and the efficiency of the ADR bodies in any particular jurisdiction. Consequently, ECCs will decrease the number of cases referred to ADR if they perceive that other means of redress (courts, EPO, ESCP, enforcement bodies or the police) are more likely to help the consumer. Moreover, with the launch of ODR the consumers can attempt alternative dispute resolution entirely online.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Since the launch of the ODR platform, 147 000 consumers decided to lodge a complaint. On the basis of the available data, it is estimated that about 40% complaints are resolved, either bilaterally between the consumer and the trader following the contact from the ODR platform, or by ADR bodies accessible via ODR platform. It is therefore necessary to re-evaluate the target setting methodology to

	adapt it for monitoring the performance of ADR/ODR and develop new indicators which would be better suited for assessing the performance of ECCs.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 :Rights and redress: to develop and reinforce consumer rights in particular through smart regulatory action and improving access to simple, efficient, expedient and low-cost redress including alternative dispute resolution

**Indicator 1:% of those cases dealt with by European Consumer Centres (ECCs) and not resolved directly with traders which were subsequently referred to Alternative Dispute Resolution (ADR).**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
9%	Actual Progress									75%
	16,20%	16%	18%	11,15%	14%	19%	24%			Final

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Percentage (%)
Cut-Off Date	31/12/2020
Data source	
Narrative	
Methodology	This indicator is not suited for assessing the performance of ECCs. The proportion of referrals of unresolved cases to ADR depends on the performance of ADR/ODR and the traders' engagement in the alternative dispute resolution system. The choice to refer the cases to ADR by consumer centres depends on their experience with traders being ready to submit to ADR and the efficiency of the ADR bodies in any particular jurisdiction. Consequently, ECCs will decrease the number of cases referred to ADR if they perceive that other means of redress (courts, EPO, ESCP, enforcement bodies or the police) are more likely to help the consumer. Moreover, with the launch of ODR the consumers can attempt alternative dispute resolution entirely online.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Since the launch of the ODR platform, 147 000 consumers decided to lodge a complaint. On the basis of the available data, it is estimated that about 40% complaints are resolved, either bilaterally between the consumer and the trader following the contact from the ODR platform, or by ADR bodies accessible via ODR platform.It is therefore necessary to re-evaluate the target setting methodology to adapt it for monitoring the performance of ADR/ODR and develop new indicators which would be better suited for assessing the performance of ECCs.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of cases dealt with by a Union-wide online dispute resolution system**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
17500	Actual Progress									100000
	25384		20176	52735	97762	129456	147000			147000

Are we on track	On track
Indicator type	Result
Unit of measurement	Complaints received by ECCs related to e-commerce.
Cut-Off Date	31/12/2020
Data source	ODR Platform
Narrative	
Methodology	The ODR platform enables the consumers to attempt alternative dispute resolution entirely online.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	ODR platform became operational in February 2016.
Full metadata available at this address	
Justification of the trend	

**Indicator 3:% of consumers who took action in response to a problem encountered in the past 12 months.**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
83%			80%		85%					90%
	Actual Progress									Final
	75%		69%		77,49%		67,35%			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Percentages for data up to 2018. Difference between 2020 and 2018 in pp (percentage points) for the figure on 2020.
Cut-Off Date	31/12/2020
Data source	Consumer Conditions Scoreboard (Survey on consumer attitudes towards cross border trade and consumer protection).
Narrative	Survey based indicator. Consumers who took action in response to a problem encountered in the past 12 months (as % of those who experienced the problem).
Methodology	Telephone survey covering all the EU MS, plus IS, No and UK.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The methodology was slightly revised as of 2016. Data until 2018 are on the EU28 (including the UK). Conversely, the difference 2020-2018 (in percentage points) is on the EU27 (without the UK).
Full metadata available at this address	The 2020 edition of the consumer conditions scoreboard has not been published yet. The final report for the 2018 edition of the survey on consumers is available here: <a href="https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en">https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en</a>
Justification of the trend	

### Specific Objective 4 :Enforcement: to support enforcement of consumer rights by strengthening cooperation between national enforcement bodies and by supporting consumers with advice

#### Indicator 1:Level of information flow and cooperation within the Consumer Protection Cooperation (CPC) Network

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of requests to exchange information between CPC authorities										
2007-2010	Milestones									2020
129				156						167
	Actual Progress									Final
	132	122	68	80	44	39	25			
Number of requests for enforcement measures between CPC authorities										
2007-2010	Milestones									2020
142				172						185
	Actual Progress									Final
	130	138	194	198	109	127	113			
Number of alerts within the CPC network										
2007-2010	Milestones									2020
63				76						82
	Actual Progress									Final
	35	45	57	78	53	25	78*			

Are we on track	
Indicator type	Result
Unit of measurement	Number of requests / alerts within the CPC network
Cut-Off Date	31/12/2020
Data source	CPC IT tool
Narrative	Target: a - Increase of 30% (to 167) b - Increase of 30% (to 185) c – Increase to 82
Methodology	The issue of decreasing trend has been addressed through the adoption of the new CPC Regulation (Regulation 2017/2394), based on which the Commission has a stronger monitoring role on all CPC activities, and especially in order to ensure the respect of deadlines by CPC authorities (Article 14(5)). Moreover, under the new CPC Regulation, the Commission is currently developing a new electronic database replacing the current CPCs IT tool, which will serve the cooperation needs better.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Previously, mutual assistance requests were predominant means to address cross-border consumer issues, while now we have a list of other cooperation tools (various types of alerts, external alerts and also coordinated actions) put at disposal of CPC authorities. Therefore, CPC authorities might opt more a more convenient solution if the infringement is suspected to concern more than 2 MS which is often the case considering that the trend of cross-border trade in goods and services is increasing. Furthermore, in 2020 a few MS were delayed with the technical implementation of the

	CPC Regulation and their CPC authorities were either registered late, or only completed the registration early 2021. In addition, the UK authority is no longer a member of the CPC network as of 1 January 2021 and their activity was rather limited throughout 2020 due to obvious reasons related to Brexit.
Full metadata available at this address	
Justification of the trend	* The result for Number of alerts within the CPC network for 2020 includes 17 alerts sent by the Commission and 27 external alerts sent by entities pursuant to Article 27 of the CPC Regulation – new elements under the CPC Reg. 2017/2394.

**Indicator 2: % of enforcement requests handled within 12 months within the CPC Network**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2010	Milestones									2020
50%										60%
	Actual Progress									Final
	51%	46%	26,3%	14,23%	23,3%	28%	Not relevant anymore			

Are we on track	
Indicator type	Result
Unit of measurement	Percentage (%)
Cut-Off Date	31/12/2019
Data source	CPC IT tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The issue of decreasing trend has been addressed through the adoption of the new CPC Regulation (Regulation 2017/2394) based on which the Commission has a stronger monitoring role on all CPC activities, and especially in order to ensure the respect of deadlines by CPC authorities (Article 14(5)). The new CPC regulation requires CPC authorities to deal with request for enforcement measures with no delay and at the latest within 6 months, unless justified in exceptional circumstances. Regulation 2017/2394 is applicable from 17 January 2020. This indicator is, therefore, no longer relevant as a clear new timeframe has been introduced by the new CPC Regulation.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: % of information requests handled within 3 months within the CPC Network**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2010	Milestones									2020
33%										50%
	Actual Progress									Final
	34%	38%	25,37%	22,78%	28,89%	36%	Not relevant anymore			

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage (%)
Cut-Off Date	31/12/2019
Data source	CPC IT tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The issue of decreasing trend has been addressed through the adoption of the new CPC Regulation (Regulation 2017/2394) based on which the Commission has a stronger monitoring role on all CPC activities, and especially in order to ensure the respect of deadlines by CPC authorities (Article 14(5)). The new CPC regulation requires CPC authorities to deal with information requests with no delay and at the latest within 30 days, unless agreed otherwise in exceptional circumstances. Regulation 2017/2394 is applicable from 17 January 2020. This indicator is, therefore, no longer relevant as a clear new timeframe has been introduced by the new CPC Regulation.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of contacts with consumers handled by the European Consumer Centres (ECC).**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

2010	Milestones								2020
71000				88750			106500		106500
	Actual Progress								Final
	83425	93964	111563	99201	124054	120443	167833		

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of contacts with consumers
Cut-Off Date	31/12/2020
Data source	ECCs annual reports
Narrative	Target: Increase of 50% (to 106500), compared to 2010
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Number of visits to the website of the ECCs.

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones								2020	
3000000				3900000			5100000			5100000
	Actual Progress								Final	
	3868979	4.908.989	4.958.938	5.059.506	5.616.743	6.702.905	results not available yet			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of visits
Cut-Off Date	31/12/2019
Data source	ECCs annual reports
Narrative	Target: Increase of 70% (to 5100000), compared to 2013
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	2020 results not available yet: CHAFEA confirmed that ECC reports for 2020 should be available by end April.
Full metadata available at this address	
Justification of the trend	

#### Previous Program 6 : Enhancing consumers involvement in EU policy making in the field of financial services

#### Specific Objective 1 :To further enhance the participation and involvement of consumers and other financial services end-users in Union and relevant multi-lateral policy-making in the area of financial services

#### Indicator 1: Number of position papers and responses to public consultations for both beneficiaries (both a tangible output of advocacy activities)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones								2020	
56				30	30	30	30			120
	Actual Progress								Final	
				39	51	46	41			177

Are we on track	On track
Indicator type	Output
Unit of measurement	Absolute value - yearly
Cut-Off Date	31/12/2020
Data source	Data provided by grant beneficiaries
Narrative	
Methodology	Absolute yearly values allow to observe trend as well as fluctuations
Link MFF 14-20 / MFF 21-27	The indicator has been monitored since 2017 and we will continue monitoring it over the 2021-2027 programming period.
Other methodological comments	

Full metadata available at this address	
Justification of the trend	The value of the indicator is above the milestone value throughout the 2017-2020 period. The decrease observed in 2020 could be explained with the impact of the COVID-19 pandemic.

## Specific Objective 2 :To contribute to the information of consumers and other financial services end-users about issues at stake in the financial sector

**Indicator 1: Number of Twitter followers - Twitter is an efficient means to distribute information and to link followers to websites or Facebook pages where more material can be retrieved**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
					2100	2300	2500			2500
1740	Actual Progress									Final
					9624	11207	12477			12477

Are we on track	On track
Indicator type	Result
Unit of measurement	The indicator is measured annually at absolute cumulative value.
Cut-Off Date	31/12/2020
Data source	Data provided by grant beneficiaries
Narrative	
Methodology	Absolute cumulative result allows to observe trend
Link MFF 14-20 / MFF 21-27	The indicator has been monitored since 2017 and we will continue monitoring it over the 2021-2027 programming period.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Significant increase in the number of the social media followers in 2020

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

#### 6.1.3. Key achievements

##### *Programme for the Competitiveness of Enterprises and Small and Medium-Sized Enterprises (COSME)*

The programme has contributed around EUR 130 million during the period 2014-20. Of this, EUR 25,7 million is via the Equity Facility for Growth. In addition, climate related activities have contributed up to EUR 15 million annually principally via the Enterprise Europe Network, but also through some smaller sector specific actions such as those linked to sustainable construction. For example, the COSME Equity Facility for Growth has invested EUR 6.7 million as of 31 December 2020 in a Venture Capital fund focusing its activities on clean technologies. Details available at

[https://www.eif.org/what\\_we\\_do/equity/single\\_eu\\_equity\\_instrument/cosme\\_efg/intermediaries.pdf](https://www.eif.org/what_we_do/equity/single_eu_equity_instrument/cosme_efg/intermediaries.pdf).

Overall, the COSME Equity Facility for Growth has facilitated EUR 19 million of investments in SMEs operating in the 'Energy and Environment' sector. Details available at

[https://www.eif.org/what\\_we\\_do/equity/single\\_eu\\_equity\\_instrument/cosme\\_efg/cosme-efg-implementation-update.pdf](https://www.eif.org/what_we_do/equity/single_eu_equity_instrument/cosme_efg/cosme-efg-implementation-update.pdf).

Other examples that demonstrate how COSME financial instruments contribute to green activities are:

- Scale-up of intelligent energy efficiency services: [https://www.eif.org/what\\_we\\_do/guarantees/case-studies/efsi-cosme-energis-lithuania.htm](https://www.eif.org/what_we_do/guarantees/case-studies/efsi-cosme-energis-lithuania.htm)
- Energy-efficiency: [https://www.eif.org/what\\_we\\_do/guarantees/case-studies/efsi-cosme-bul-greece.htm](https://www.eif.org/what_we_do/guarantees/case-studies/efsi-cosme-bul-greece.htm)

- Energy efficiency sustainability: [https://www.eif.org/what\\_we\\_do/guarantees/case-studies/cosme\\_sonnen\\_germany.htm](https://www.eif.org/what_we_do/guarantees/case-studies/cosme_sonnen_germany.htm)

## 6.2. Contribution to biodiversity mainstreaming

Not applicable

## 6.3. Contribution to clean air financing

Not applicable

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming					Total
	2022	2023	2024	2025	2026	
0,0	0,0					0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

#### *Programme for the Competitiveness of Enterprises and Small and Medium-Sized Enterprises (COSME)*

While no specific objective/target is available in the COSME legal basis, COSME actions take the gender dimension into account. For example, this dimension was tracked for the last time in 2020. It demonstrates that as of 2019 (i) almost every 4 out of 10 SMEs – that have received a debt financial support thanks to the COSME Loan Guarantee Facility – have either female Chief Executive Officer, General Manager or Company Director and (ii) almost 1 out of 10 SMEs – that received an equity investment thanks to the COSME Equity Facility for Growth – has at least one female in an executive position.

Concerning Erasmus for Young Entrepreneurs, the programme is open equally to men and women. The statistics for applicants shows that since the beginning of the programme:

- New entrepreneurs – 50.49 % of applied NEs are women (49.51 % men)
- Host Entrepreneurs – 27.22 % of applied HEs are women (72.78 men).

Out of 175 active Intermediary organisations (IO), 4 IOs have specific focus on support of women Entrepreneurs.

COSME also supports women entrepreneurs with specific entrepreneurship activities, for example via the WeGate project:- the platform WEgate creates a network where women entrepreneurs and would-be entrepreneurs can do business together and also benefit from services that can help their businesses grow, such as access to finance, mentoring and coaching, including on financial literacy. At the moment, WEgate has more than 2000 members.

#### *European statistical programme*

Eurostat is giving special attention to the gender perspective in its programme by systematic collection, provision and dissemination of gender and discrimination statistics as well as analysis on gender related aspects. Gender and discrimination statistics do not necessarily entail the collection of additional statistics from existing surveys but rather make full use of existing data to illustrate possible gaps e.g. between men and women. The main purpose of the activity is to extend the visibility of equality statistics available in the European Statistical System. In 2020 Eurostat disseminated gender pay gap data for 2018 and many detailed gender disaggregations and discrimination statistics.

#### *Consumer programme*

In the market monitoring surveys, consumer condition surveys, retailers surveys, consumer market studies and behavioural studies, the data is structured based on the socio demographic characteristics including gender. The structure of the population by socio-demographic characteristics is based on official statistics (EUROSTAT). Therefore, all the final results of these studies take into consideration the gender distribution and all the data is analyzed from the gender perspective.

The European Consumer Centres also analyse the results of surveys among the users of their services from the gender perspective. For example, in 2020 the Portuguese ECC made a survey among its consumers about the effective - successful or not - closure of their cases (questions and complaints).

The number of total “cases resolved” in 2020 was 1.927 and the total number of responses to the satisfaction survey received was 200, representing a 10% response rate. The respondents were 65% male and 33% female (2% didn’t answer).

### ***Rights, Equality and Citizenship: Consumer rights strand***

As gender mainstreaming is enshrined in EU-level funded actions, the REC Programme envisaged specific actions to advance gender equality and was committed to promoting a gender mainstreaming approach.

In the period 2014-2020 the Programme’s total contribution to the specific objective of gender equality has been of EUR 50 million, including grants and procurement activities (training seminars, studies and evaluations). It includes operating grants provided to the European Women’s Lobby (€ 1 million per year).

The principles of gender mainstreaming were consistently referred to in the Annual Work Programmes, calling for all activities funded to support gender mainstreaming. In the description of the calls for proposals, the gender dimension was mentioned primarily in relation to the specific objective on gender equality as well as the specific objectives on non-discrimination and combatting violence against women. All the applicants had to demonstrate how they would mainstream gender equality perspective in the design, implementation, monitoring and evaluation of projects’ activities. Similarly, gender mainstreaming was considered amongst the sub-criteria leading to the award of the grants. Finally yet importantly, during the process of evaluating proposals, the gender dimension was also considered to the extent of having an equal representation of women and men as evaluators.

### ***Food and Feed***

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

#### ***SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture***

##### **Food strand:**

The proposed activities related to Food Contact Materials will contribute to a higher level of safety, especially regarding the recycled materials used in their production. They will also help to a better enforcement of the applicable safety rules.

The proposed activities related to sustainable consumption and production (including food waste prevention) will contribute to improved resource efficiency, thereby helping to close the gap between supply and growing demand for food. In particular, the recovery and redistribution of surplus food from the supply chain to help feed those in need contributes to addressing hunger in our communities.

#### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

##### **Food strand:**

The proposed activities related to sustainable consumption also aim to facilitate the shift of dietary patterns towards healthy diets, thereby helping to reduce the negative impact of low quality diets on obesity and non-communicable diseases (NCDs).

#### ***SDG 12 Ensure sustainable consumption and production patterns***

##### **Food strand:**

The proposed activities related to Food Contact Materials will contribute to their more sustainable production and use, ensuring in particular a better recyclability of these materials, and the use of more natural and sustainable materials.

This proposed activities related to pesticides and biocides will ensure the timely removal of unsafe products and that all products on the market are safe, and that consumers are fully protected from residues in food.

As part of the European Green Deal, the ‘Farm to Fork’ strategy will design a fair, healthy and environmentally friendly food system. This includes the fight against animal diseases and pests in order to prevent, contain and eradicate animal diseases (especially zoonosis such salmonellosis) and pests in EU to provide safer foods for more people. These activities will support the scaling up of food waste prevention efforts by Member States and stakeholders in order to accelerate the EU’s progress towards Sustainable Development Goal Target 12.3 calling for halving food waste by 2030 and reducing food losses along the production and supply chain.

### 6.5.2. Key achievements and performance

#### *Programme for the Competitiveness of Enterprises and Small and Medium-Sized Enterprises (COSME)*

##### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

Continuing work to encourage entrepreneurship, provide mentoring and best practice review. Support to the Single Market Strategy and the Single Digital Gateway. Social economy projects work to strengthen the links between traditional and social economy enterprises.

##### ***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

Examples of projects include those improving digital skills, facilitating public procurement of innovation and the co-financing by innovation consortia. Other projects aim to accelerate the take up of sustainable and innovative applications in industry (in 2019 the focus will be on the fashion industry), and results of the previous WORTH partnership projects continue to provide impetus to new applicants <sup>(1)</sup>. The programme also continues to provide targeting financing for SMEs, and work on Cluster partnerships.

The Enterprise Europe Network advisors have long and rich history in helping SMEs increase their competitiveness and create growth and jobs in a wide range of sectors of activities. As an example, the EEN runs 17 sector groups that organize business matchmaking and R&I partnering events. This is in particular the case for the sector groups on sustainable construction, intelligent energy and environmental technologies. EEN advisors provide innovation management capacity assessments and guidance for about 4.000 SMEs per year. In addition, EEN helps SMEs obtain financing and bring them in contact with potential investors. In 2020, as announced in the SME Strategy, the EEN started with the capacity building and training for sustainability advisors to be put in place in all regions of the EU in the next MFF. EEN also started preparing its cooperation with the European Digital Innovation Hubs to help SMEs with their digital transformation and adaptation to more resilient business processes.

#### *European statistical programme*

##### ***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

Eurostat is called to regularly monitor progress towards the UN Sustainable Development Goals (SDGs) in an EU context. For this purpose, it coordinated the development of the EU SDG indicator set, which consists of around 100 indicators. The indicator set is reviewed every year to ensure the highest quality and that the most policy relevant indicators are included. About two thirds of these indicators are produced by the European Statistical System (ESS). Against this background, it is of key importance to train the National Statistical Institutes (NSIs) in order to produce harmonised and comparable statistics in various fields (social statistics, environmental statistics, national accounts etc.). The ESP programme also offers courses to further the understanding of indicator frameworks and the monitoring of the UN Agenda 2030 for Sustainable development.

Based on the EU SDG indicator set, Eurostat produces an annual monitoring report (<https://ec.europa.eu/eurostat/web/sdi>) assessing the progress of the EU towards the UN SDGs. The report is complemented by various communication products (website, data tables, digital publication, brochure) to target different user groups.

#### *Specific Activities in the Field of Financial Reporting and Auditing*

##### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

The funding programme contributes to improving the conditions for the efficient functioning of the Single Market by supporting the transparent and independent development of international financial reporting (including in relation to the interaction between and interdependencies of financial reporting and broader corporate reporting requirements) and auditing standards. This in turn facilitates the optimal allocation of funds by investors and the reduction of the cost of capital for EU companies. EFRAG endorsement advices to the Commission assess whether IFRSs are conducive of the European public good. EFRAG's work programme has also been increasingly shaped by the most recent Commission's Action Plan on *Financing Sustainable Growth* (2018). Recognising the importance of ensuring that accounting standards do not discourage sustainable and long-term investments, the Commission requested, as part of the 2018 Action Plan, that EFRAG explored potential alternative accounting treatments to fair value measurement for long-term investment portfolios of equity and equity-type instruments. On 30 January 2020 EFRAG issued its advice to the Commission. EFRAG recommended the Commission to follow-up with the IASB to consider the re-introduction of re-cycling through the Profit or loss statement of profits or losses realised upon the disposal of equity instruments measured at fair value through other comprehensive income (FVOCI)<sup>(15)</sup>. On 13 March 2020, EVP Dombrovkis requested the IASB to consider the issue<sup>(16)</sup>. This is an example that the funding programme is in line with SDG 8, as it directly helps to promote sustained inclusive and sustainable economic growth, full and productive employment and decent work for all.

<sup>(1)</sup> <https://www.worthproject.eu/zero-waste-productsnew-copy/>

**Consumer programme*****SDG7 Ensure access to affordable, reliable, sustainable and modern energy for all***

The Consumer Programme contributed via its dedicated energy efficiency awareness raising actions.

***SDG 12 Ensure sustainable consumption and production patterns***

The Consumer Programme contributed via awareness raising actions targeting consumers promoting green transitions and circular economy.

It also financed a study to evaluate fitness of EU and national consumer law and policies for supporting sustainable consumption, including durability and reparability of products and fight against premature obsolescence, and envisage options to overcome identified needs.

**Food and Feed*****SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture***

The proposed activities related to Food Contact Materials will contribute to a higher level of safety, especially regarding the recycled materials used in their production. They will also help to a better enforcement of the applicable safety rules.

The proposed activities related to sustainable consumption and production (including food waste prevention) will contribute to improved resource efficiency, thereby helping to close the gap between supply and growing demand for food. In particular, the recovery and redistribution of surplus food from the supply chain to help feed those in need contributes to addressing hunger in our communities.

***SDG 3 Ensure healthy lives and promote well-being for all, at all ages***

The proposed activities related to sustainable consumption also aim to facilitate the shift of dietary patterns towards healthy diets, thereby helping to reduce the negative impact of low quality diets on obesity and non-communicable diseases (NCDs).

***SDG 12 Ensure sustainable consumption and production patterns***

The proposed activities related to Food Contact Materials will contribute to their more sustainable production and use, ensuring in particular a better recyclability of these materials, and the use of more natural and sustainable materials.

This proposed activities related to pesticides and biocides will ensure the timely removal of unsafe products and that all products on the market are safe, and that consumers are fully protected from residues in food.

The proposed activities related to sustainable consumption and production will contribute to improved resource efficiency, and reducing the environmental and climate pressure of food systems. Activities related to food waste prevention specifically aim to accelerate the EU's progress towards SDG Target 12.3 to halve food waste by 2030 and reduce food losses along the production and supply chains.

**HEADING 1: Single Market, Innovation and Digital****EU Anti-Fraud Programme****Lead DG:OLAF**

1. Overview .....	301
1.1. Challenges .....	302
1.2. Mission (general objectives) .....	302
1.3. Specific objectives .....	302
1.4. Public intervention context .....	302
1.5. Actions .....	302
1.6. Delivery mode .....	303
1.7. Graphic overview of the programme structure .....	303
1.8. Legal basis and financial programming .....	303
1.9. Link with the 2014-2020 MFF .....	304
1.10. Relevant websites providing more information .....	304
2. Where are we in the implementation ? .....	304
2.1. Programme 2021-2027 .....	304
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	304
3. How is the programme performing ? .....	305
3.1. Performance .....	305
3.2. Key achievements .....	307
3.3. Evaluations, studies and reports .....	309
4. Programme 2021-2027 - Key monitoring indicators .....	309
Specific Objective 1 :Preventing and combatting fraud, corruption and any other illegal activities affecting the financial interests of the European Union .....	310
Specific Objective 2 :Supporting the reporting of irregularities, including fraud, with regard to the shared management and pre-accession assistance funds of the Union budget .....	310
Specific Objective 3 :Providing tools for information exchange and support for operational activities in the field of mutual administrative assistance in customs matters .....	311
5. Programme 2014-2020 - Key monitoring indicators .....	311
Previous Program 1 : Programme to promote activities in the field of the protection of the financial interests of the European Union (Hercule III) .....	311
Specific Objective 1 :To prevent and combat fraud, corruption and any other illegal activities affecting the Union's financial interest .....	311
Previous Program 2 : Anti-Fraud Information System (AFIS) .....	312
Specific Objective 1 :To support Mutual Assistance in Customs Matters through the provision of secure information exchange tools for Joint Operations and specific Customs anti-fraud information exchange modules and databases such as the Customs Information System .....	312
Specific Objective 2 :To facilitate secure electronic communication tools for the Member States to fulfil their obligation to report irregularities detected in agricultural, structural, cohesion and fisheries funds as well as pre-accession aid .....	314
6. The programme contribution to horizontal policies .....	315
6.1. Contribution to climate mainstreaming .....	315
6.2. Contribution to biodiversity mainstreaming .....	315
6.3. Contribution to clean air financing .....	315
6.4. Contribution to gender equality .....	315
6.5. Contribution to the sustainable development goals .....	315

**1. Overview**

## 1.1. Challenges

The Union's financial interests are impacted by both fraudulent activities and financial irregularities, both on the side of EU revenues and EU expenditure. Every year, the Commission's annual report on the protection of the EU's financial interest demonstrates that the level of such irregularities and fraudulent behaviour requires continuous and enhanced action on the part of the Union. The aim of the programme is therefore to provide the necessary coordination of antifraud activities and financial, technical and information support to Member States in their efforts and actions to protect the Union's financial interests. This coordination and support role is particularly obvious when the fraud or the irregularity has a cross border dimension or is impacting several Member States.

## 1.2. Mission (general objectives)

Article 325 of the Treaty on the Functioning of the European Union (TFEU) provides for a shared obligation of the Member States and the EU to protect the latter's financial interests. Irregularities and fraud are by definition a Union-wide phenomenon which is not limited to an individual Member State. The intervention at Union level on the protection of the Union financial interests is justified in terms of subsidiarity where it facilitates cooperation between the Union and the Member States or between Member States, without impinging on Member States' responsibilities. The new Anti-Fraud Programme (PAF) is designed to support and complement Member States in preventing and fighting fraud affecting the financial interests of the EU, and supporting mutual assistance in customs and agricultural matters. The single Programme merges three different instruments, which so far were implemented separately (the "Hercule" spending programme, and the financing basis of two anti-fraud activities, namely the Anti-Fraud Information System (AFIS) supporting Member States in mutual assistance in customs and agricultural matters, and the Irregularity Management System (IMS) put at the disposal of Member States and candidate countries by the Commission for the reporting of irregularities, including fraud, in cases related to the shared management and pre-accession assistance funds). All the three strands will contribute to the achievement of the political objective to support Member States in countering fraud and other illegal activities, ensuring that no taxpayer's money is being diverted from its intended goal.

## 1.3. Specific objectives

The general objective described above is spelled out in three specific objectives, one for each strand of the Programme:

- a) Preventing and combating fraud, corruption and any other illegal activities affecting the financial interest of the Union;
- b) Supporting the reporting of irregularities, including fraud, with regard to the shared management and pre-accession funds of the Union Budget; and,
- c) Providing tools for information exchange and support for operational activities in the field of mutual administrative assistance in customs and agricultural matters.

## 1.4. Public intervention context

Article 325 of the Treaty on the Functioning of the European Union (TFEU) provides for a shared obligation of the Member States and the EU to protect the latter's financial interests. Article 33 TFEU provides for strengthening of customs cooperation between Member States and between the latter and the Commission. The implementation of the past Union multi-annual budgets has been accompanied by a set of measures to support the Member States and the Union as a whole in preventing and fighting fraud affecting the Union's financial interests, and supporting mutual administrative assistance and cooperation in customs and agriculture matters. These measures included: (i) the Hercule III spending programme which supports activities against fraud, corruption and any other illegal activities affecting the financial interests of the Union, (ii) the Anti-Fraud Information System (AFIS) which is an operational activity consisting essentially in a set of customs IT applications operated under a common information system managed by the Commission, set up to perform the tasks entrusted to the Commission by Regulation 515/97, and (iii) the Irregularity Management System (IMS) which is a secure electronic communications tool which facilitates the Member States' obligation to report detected irregularities, including fraud, and which supports the management and analysis of these.

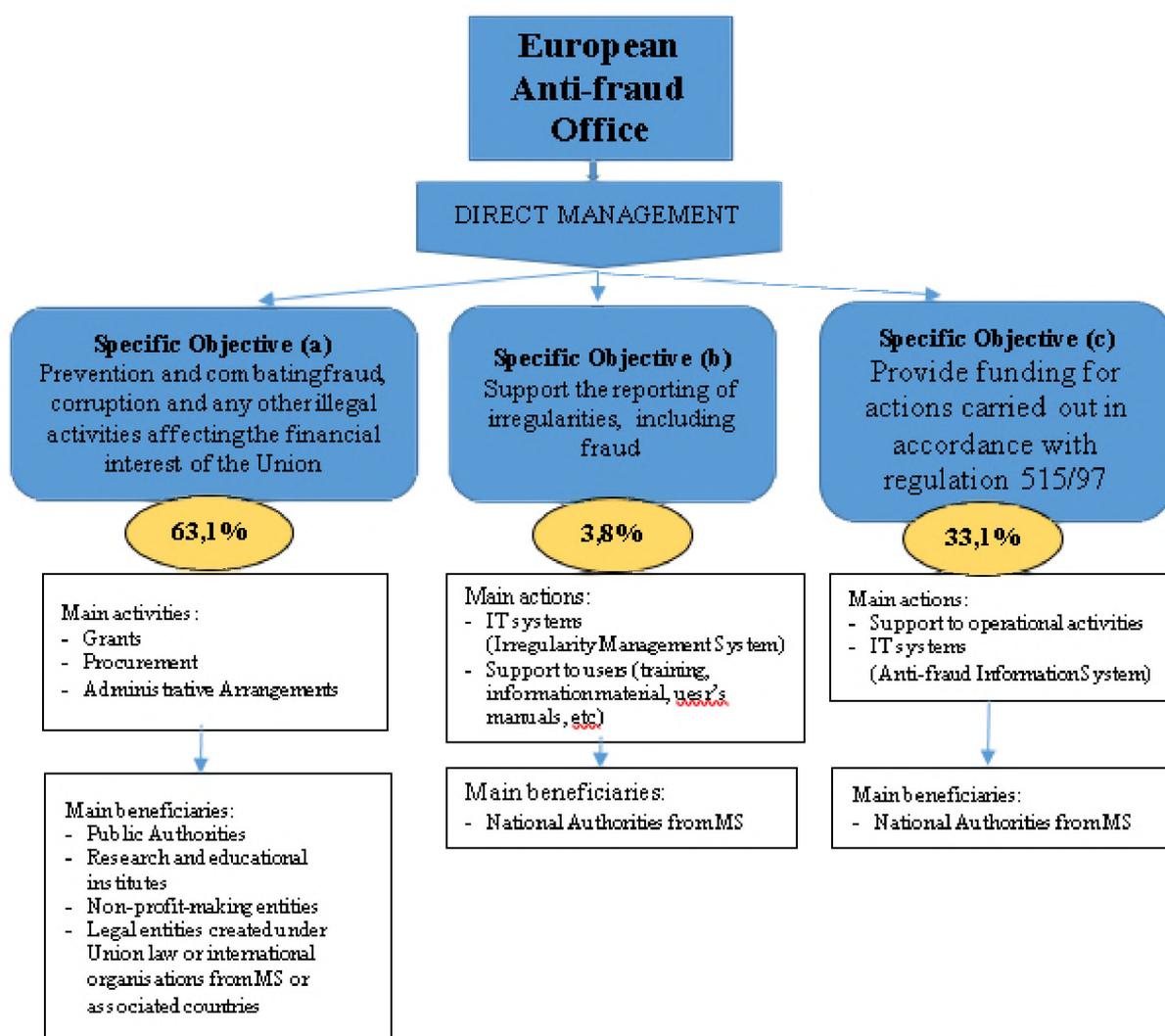
## 1.5. Actions

The first component of the programme provides the Member States with targeted assistance in achieving their obligations to protect the Union's financial interests. This will be carried out by means of support for the purchase of specific antifraud equipment, specific trainings, targeted conferences and studies. Concerning the second component, the Commission puts at disposal and maintains the Irregularity Management System (IMS) to facilitate the compliance of Member States with the obligation (laid down in various sectorial pieces of legislation) to report detected irregularities. Concerning the third component, the activity will consist on the one hand of the operation and maintenance of the AFIS platform for the exchange of Mutual Assistance Information, and on the other hand of supported activities, such as Joint Customs Operations, training courses, preparatory or evaluation meetings for operational actions.

## 1.6. Delivery mode

The programme is implemented through direct management. The European Anti-Fraud Office (OLAF) is the lead service for the programme implementation.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 386: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the EU Anti-Fraud Programme	2021 - 2027	181,2

### 1.8.2. Legal basis explanation

In the context of the Multiannual Financial Framework 2021-2027, the Commission proposed the establishment of a Programme to continue the support for the protection of the EU's financial interests as well as for the mutual administrative assistance between customs authorities.

The Union Anti-Fraud Programme will ensure the continuity of EU support for activities carried out by the Member States and the Commission in the defence of the Union's financial interests and in support of mutual administrative assistance between Member States and cooperation between the latter and the Commission in customs and agricultural matters.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>24,1</b>	<b>24,4</b>	<b>24,9</b>	<b>25,5</b>	<b>26,4</b>	<b>27,4</b>	<b>28,7</b>	<b>181,2</b>

### 1.8.4. Financial programming explanation

### 1.9. Link with the 2014-2020 MFF

The Union Anti-Fraud Programme is a threefold programme: it is, on one hand, a successor of the Hercule III spending programme, supporting activities preventing and combating fraud, corruption and any other illegal activities affecting the financial interests of the Union, and includes also the financing basis for the IMS (Irregularity Management System) and for AFIS (Anti-Fraud Information System), which are operational activities performed by the Commission. AFIS is a set of customs IT applications operated under a common information system managed by the Commission, set up to perform the tasks entrusted to the Commission by Regulation 515/97 on mutual administrative assistance in customs and agriculture matters. IMS is a secure electronic communications tool which facilitates the Member States' obligation to report detected irregularities, including fraud, and which supports their management and analysis.

### 1.10. Relevant websites providing more information

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The programme is implemented on the basis of bi-annual work programmes, through Calls for proposals, public procurement and administrative arrangements.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

Hercule III

	Commitments	Payments
Implementation Voted budget	104 182 459	68 935 732
Implementation Carry-overs	0	1 984 696
Implementation total	104 182 459	70 920 428
total envelop*	104 918 900	
cumulative implementation rate	99%	68%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The Hercule III commitment appropriations were implemented with high rate of 99%. The available appropriations were closely monitored and the unused amounts under any specific sub-category of activities were shifted towards the other ones.

For the payment appropriations, the rate of implementation of 68% is explained by:

- The majority of grant contracts awarded in 2018 and 2019 were extended at the request of the beneficiaries. The exceptional pandemic situation led to important delays in the implementation of projects (especially in relation to the training and conferences activities planned for 2020); therefore, the final reports, and the final payments, are still pending (expected for 2021);
- The lower actual costs declared by grant beneficiaries in the submitted final reports, compared to the foreseen costs at the moment of the application submission; this is mainly related to the training and conferences grants, where the beneficiaries encounter some cost savings (such as participant travel and subsistence costs); in technical assistance grants, there were instances where the beneficiary manages to obtain a better price for the specific equipment, following the public tendering, compared to the budgeted amounts;
- Some costs savings were registered for the procured activities, mainly on the organised conferences.

## AFIS

	Commitments	Payments
Implementation Voted budget	49 097 785	42 500 787
Implementation Carry-overs		
Implementation total	49 097 785	42 500 787
total envelop*	49 437 500	
cumulative implementation rate	99%	86%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The AFIS programme had consistently over the last years a very high usage of available commitments, and the cumulative implementation rate is well above 99%. For payment appropriations, the cumulative implementation rate is 99%.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

#### **Provide funding for actions carried out in accordance with regulation 515/97**

The programme has achieved all but one of the targets of its indicators.

The specific objective 'to support Mutual Assistance in Customs Matters through the provision of secure information exchange tools for Joint Operations and specific Customs anti-fraud information exchange modules and databases such as the Customs Information System' has three indicators:

1. The number of active customs fraud cases for which information is available in the Mutual Assistance databases,
2. The number of Joint Customs Operations (JCOs) (including EU wide and regional operations) supported/year, and
3. The coverage of the Anti-Fraud Transit Information System (A-TIS).

The first indicator has not met its 2020 target of 24 000 cases. At the end of 2020, the Mutual Assistance databases contained 19 125 active customs fraud cases.

The target was based on the main assumption that relevant IPR infringements, which are reported via DG TAXUD's anti-counterfeit and piracy system (COPIS), would significantly contribute to the number of cases. However, at the end of 2020 only 971 cases (5%) were IPR infringements reported via COPIS. This had two reasons:

- The main reason is that the Member States' customs services are not publishing the majority of these draft cases of IPR infringements available to them in the Customs Information System (CIS+), one of AFIS' main Mutual Assistance databases.
- The interface with DG TAXUD's COPIS only went live in 2019, with five years of delay. The start of the development of this interface, which was originally foreseen for 2014, was delayed to 2017, due to the late go-live of COPIS itself and the

need for a following stabilisation phase for this system. Due to this delay, relevant IPR infringements, which are reported in COPIS, are only available since 2019 as draft fraud cases in CIS+ for completion and publication by Member States' customs services.

2. However, thanks to the efforts made by the Commission services, such as the on-going development of additional web services for CIS+ allowing the connection of national customs systems, it is envisaged that the 2020 target will be achieved in 2024.

The evaluation reports of the participants to these JCOs show that this physical structure and AFIS application strongly facilitate the coordination tasks associated to JCOs with a large number of participants. The use of these facilities is frequently recommended during the evaluation of these operations by the participants. The fact that these facilities are also frequently used for operational activities in the area of law enforcement cooperation (free of charge for the participants), even though other institutions and organisations, like Europol or the World Customs Organisation, offer alternative solutions, is an additional proof of Member States' appreciation.

Following Member States' recommendations in previous years, OLAF has strengthened in the reporting period the involvement of Member States during all stages of development of new or updated AFIS applications, aiming at improving their usage and user satisfaction. Special workshops were organised for the new versions of AFIS Mail, CIS+ and IMS, which involved a large number of participants from the Member States. As a result, Member States acceptance and usage of the mentioned applications has significantly improved, along with the enlargement of their user base, as usage statistics and satisfaction reports demonstrate.

The last satisfaction survey from 2019 demonstrates that the majority of the users is satisfied with the AFIS applications. 84 % of the respondents agreed or slightly agreed that the AFIS applications they use most frequently, respond to their professional needs. Only less than 5 % of the respondents disagree to a certain extent (disagree: 1.5 % and slightly disagree: 3.3 %). 10 % of the users remain neutral.

## **Preventing and combatting fraud, corruption and any other illegal activities affecting the financial interests of the EU**

The fulfilment of its specific objective to “prevent and combat fraud, corruption and any other illegal activities affecting the Union's financial interest” is measured through two performance indicators:

1. The added value and effective use of co-financed technical equipment, expressed by the direct users of the equipment in their final technical reports submitted – for the final reports received in 2020, the beneficiaries assessed that the use of Hercule funded equipment added a high value to their activities, expressing an overall satisfaction rate of 93%. The rate is significantly higher than the 75% target set for 2020.
2. The number and type of trainings activities funded under the programme, including the amount of specialised training, and the satisfaction rate as expressed by the participants. In 2020, the programme awarded 24 grants for training-related activities. Due to the global sanitary situation, most of the trainings and conferences planned for 2020 (both grant and procurement contracts) were postponed and few of them were organised in a virtual mode.

Regarding the grant contracts finalised during 2020, the participants and trainees considered the events financed by the Programme very well suited to their needs– more than 800 participants that replied to the surveys expressed a satisfaction rate of more than 93%.

Each of the programme's five operational objectives have been addressed through specific forms of funding and relevant co-financed activities.

The exceptional pandemic circumstances of 2020 had an important impact on the general implementation of the Programme in its last year, especially in terms of training and conferences activities. The granting cycle was impacted by the prolongation of the 2020 Calls for proposals' deadlines, by the virtual nature of the evaluation procedure and by the numerous requests for amendments and extensions received from the grant beneficiaries. The beneficiaries of the previous years' grants were, in most cases, not able to continue with the implementation of their projects as foreseen (both the purchase of technical equipment and the training, conferences and staff exchanges were in many cases delayed). OLAF offered its support in postponing the project's implementation and amending the contracts.

Most of the training activities (funded via both grants and procurement instruments) foreseen for taking place in 2020 were either postponed to 2021, or delivered virtually, where feasible. Following a successful publication and evaluation of the 2020 Calls for proposals, unused amounts earmarked for procured activities in the 2020 budget were transferred grants (EUR 2 million were transferred from procured activities to grants, representing approximately 12% of the total budget for the year), ensuring an efficient implementation of available operational funds and allowing a grant award to the best-ranked applications across the three Calls.

The access to commercial databases and analytical IT tools continued to be provided to the Member States authorities, by signing specific contracts under the existing framework contracts with suppliers.

### 3.2. Key achievements

10 000	1 340	45	285	8
Participants attended specialised training and conference activities co-financed by the Programme between 2014 and 2020, via grants	Law enforcement officials from all Member States participated in the specialised digital forensic and analyst training, procured by OLAF (2014-2020)	High-level events focused on the protection of the Union's financial interests were organised by OLAF during the duration of the Hercule III Programme	Grants were awarded, mainly to competent authorities in the Member States, strengthening their operational and technical capacity to carry out investigations into activities detrimental to the Union's financial interests	Commercial databases and specific IT tools were made available each year to Member States authorities, enabling substantial economies of scale

#### *Provide funding for actions carried out in accordance with regulation 515/97*

1 000	100	8	84%	
Tons of dangerous counterfeit pesticides were seized in 2020	Tons of illicit refrigerant gases were seized in 2020	Joint Customs Operations were supported in 2020	of users agree that AFIS respond to their needs	

AFIS was always fully operational and accessible during the COVID-19 pandemic and the related lockdown. In the past, all AFIS-related activities – be it infrastructure management, end-user support, or application development and testing – were always performed on-site, and the AFIS infrastructure was not designed and prepared to be administrated and supported remotely. However, just before the first COVID-19 related lockdown mid-March 2020, the AFIS set-up was changed to ensure that the aforementioned services could be provided remotely.

This allowed the programme to deliver the following key achievements in 2020:

- Implementation of a web service connecting CIS+ with the Customs Enforcement Network (CEN) system of the World Customs Organisation (WCO) to facilitate the automated transfer of tobacco anti-fraud cases.<sup>1</sup>
- Creation of a Data Warehouse for the Container Status Message directory (CSM). This will enable the determination of a complete trip of a container from the physical movements reported in CSM, using a machine learning algorithm. A new version of CSM, which will provide this trip information, will go live at the beginning of 2021.
- Performing a training and pilot with Member States' users for the new Mutual Assistance System (MAS) application, which will go live in 2021.
- Changing various AFIS applications, such as AFIS Mail, the Anti-Fraud Transit Information System (ATIS), CIS as well as the Import Export and Transit (IET) directory to perform the necessary amendments for the Brexit and the implementation of the Protocol on Ireland/Northern Ireland.
- Despite the COVID-19 pandemic, 8 JCO were performed by Member States and OLAF with the support of AFIS applications in 2020. During one of the operations, which was coordinated by Europol with the support of OLAF, over a thousand tons of dangerous counterfeit pesticides were seized<sup>2</sup>.
- Furthermore, information from AFIS enabled the seizures of about 100 tons of illicit refrigerant gases, with a potential global warming impact.<sup>3,4,5</sup>

#### *Preventing and combatting fraud, corruption and any other illegal activities affecting the financial interests of the EU*

--	--	--	--	--

<sup>1</sup> [https://ec.europa.eu/anti-fraud/media-corner/news/06-05-2020/wco-and-olaf-one-seizure-one-report\\_en](https://ec.europa.eu/anti-fraud/media-corner/news/06-05-2020/wco-and-olaf-one-seizure-one-report_en)

<sup>2</sup> [https://ec.europa.eu/anti-fraud/media-corner/news/05-06-2020/olaf-plays-major-role-seizure-over-thousand-tons-dangerous-counterfeit\\_en](https://ec.europa.eu/anti-fraud/media-corner/news/05-06-2020/olaf-plays-major-role-seizure-over-thousand-tons-dangerous-counterfeit_en)

<sup>3</sup> [https://ec.europa.eu/anti-fraud/media-corner/news/03-07-2020/14-tonnes-illicit-climate-damaging-gases-seized-thanks-olaf\\_en](https://ec.europa.eu/anti-fraud/media-corner/news/03-07-2020/14-tonnes-illicit-climate-damaging-gases-seized-thanks-olaf_en)

<sup>4</sup> [https://ec.europa.eu/anti-fraud/media-corner/news/05-08-2020/76-tonnes-illicit-refrigerant-gases-detained-romania-thanks-olaf\\_en](https://ec.europa.eu/anti-fraud/media-corner/news/05-08-2020/76-tonnes-illicit-refrigerant-gases-detained-romania-thanks-olaf_en)

<sup>5</sup> [https://ec.europa.eu/anti-fraud/media-corner/news/24-09-2020/olaf-helps-italian-authorities-seize-37-tonnes-illicit-refrigerant\\_en](https://ec.europa.eu/anti-fraud/media-corner/news/24-09-2020/olaf-helps-italian-authorities-seize-37-tonnes-illicit-refrigerant_en)

--	--	--	--	--

- Several key achievements of the Programme can be highlighted:
- Improved operational efficiency and effectiveness reported by the beneficiaries of technical assistance grants:
- Technical Assistance beneficiaries are requested to submit a final implementation report one year after the closing date of the grant contract. This report contains information on the results achieved following the usage of the equipment as well as the organisation's assessment of the contributions made towards the achievement of the Programme's objectives. The results reported illustrate how the purchased technical equipment, such as detection tools, enabled the grant beneficiaries to seize substantial amounts of smuggled cigarettes, counterfeit goods and tobacco products. In addition, the national authorities reported that investigation support equipment, such as communication equipment, cameras, IT-tools and forensic soft- and hardware, facilitated the lawful gathering of evidence during operations in support of investigations aimed at protecting the Union's revenues, expenditures and assets. Examples of results reported during 2020:
- The mobile intelligence center purchased by the Polish Police has significantly improved the technical and operational capacity of its investigations, by a faster collection and transfer of data, improved quality of obtained evidence and a timely detection of criminal activities. The beneficiary reported that the equipment (operating since August 2018) was used in operations that led to seizures of 20 million pieces of illegal cigarettes, 4 500 kg of tobacco and an illegal cigarette-making machinery, while 62 persons were charged following the operations.
- The Latvian State Forensic Science Bureau (SFBSB) set up, with financial support from the Programme, advanced forensic examination tools and methods, facilitating the handling and analysis of collected evidence. The enhanced capacity of SFBSB allows the provision of a better forensic examination services to many other law enforcement institutions – Police, Courts, Corruption Prevention and Combating Bureau, Prosecutors office, Border-guard, State Revenue Service, etc. The beneficiary reported that the examined pieces of evidence were related to around 1.5 million illegally produced goods (mainly cigarettes) as well as fraudulent documents.
- The Romanian Directorate for Investigating Organised Crime and Terrorism has acquired special investigation tools and methods in tackling the high-profile organised-crime smuggling at the EU Eastern border. The purchased technology, including audio-video covert equipment and a mobile workshop van, led, among others, to the successful investigation of 15 cases of cigarette smuggling with seizures in value of more than EUR 250 000. The mobile workshop van helped building the cases that lead to the dismantling of complex organised criminal groups involved in smuggling of cigarettes and drugs, as well as corruption, money laundering and documents forgery activities.
- Increased cross-border cooperation and exchange of information:
- The beneficiaries reported that the Programme enabled long-lasting cooperation across borders. The training activities and staff exchanges contributed to the creation of networks and exchange of best practices:
- During 2018 and 2019, the German General Directorate of Customs organised a series of events on the topic of "International fight against water pipe tobacco smuggling". The workshops gathered more than 50 officials from several Member States (Germany, Austria, Belgium, Czech Republic, Denmark, France, Italy, Netherlands, Poland and Sweden) and offered the platform for the strengthening of the networking at EU level and the exchanging of national experiences and best practices. The activities created a new basis for an effective fight against water pipe tobacco smuggling at the international level.
- The National Revenue Agency from Bulgaria implemented in 2019 a project aimed at enhancing the cooperation and the control models in the field of prevention of fraud, related to specific customs regimes, affecting the EU system of own resources. Six workshops were organised in Sofia between representatives of the National Revenue Agency and the revenue administrations of Romania, Greece and Turkey (194 participants over the six workshops). The participants proposed and discussed optimised anti-fraud measures related to the customs regimes, by ensuring a rapid and high-quality exchange of information. The events promoted the exchange of experiences in relation to good practices and national legislative frameworks of the participating revenue administrations.
- The events of the Anti-corruption National Directorate of Romania (November 2019) gathered around 120 participants from 18 Member States as well as representatives from Ukraine and Republic of Moldova. The project led to sharing experiences concerning current fraud systems and trends identified in the approval and implementation of activities financed from European funds. Several case studies presented the opportunity to the participants to debate on modern techniques and tactics for investigating corruption and fraud in projects funded by European funds. The events highlighted the importance of a strong inter-institutional and multi-national cooperation and enabled the networking among the institutions with responsibilities in combating frauds that affect the financial interests of the European Union, where the cross-border nature of the phenomenon is constantly expanding.
- Efficient use of resources generating cost savings and economies of scale:

- The programme provides funds for the procurement of subscriptions to commercial databases, on behalf of law enforcement authorities in Member States, to support operations and investigations. The Commission manages this access, enabling substantial economies of scale. Training is also ensured for an optimal usage by the relevant staff. During 2017-2020, the Programme has ensured Member States with access to commercial databases, such as worldwide trade statistics, company information and maritime and vessel movements. The databases were highly used by customs authorities in supporting both investigations and risk analysis activities, identifying potentially suspicious trade, etc.
- The trade statistics database made available through the Programme has been used to assist identification of traffic diversions or transshipment of goods, which are being moved via an intermediate third country to disguise the real origin of goods imported into the EU, usually to avoid anti-dumping duty or to evade a prohibition/restriction. In addition, it provides the basis to cross-check information on exports from third countries with information on imports into a Member State from other sources.
- The database with information on companies has contributed to investigations led by Member States' customs authorities related to fraud affecting the Union's financial interests. In one instance, a Member State customs service was able to perform a mapping analysis, formulating new profiles to target fraud-related controls. In another instance, searches were run on a company's shareholders to determine whether company's imports were the result of an intra-group sale and to analyse risks of undervaluation.
- Specific IT and operational tools have been developed in collaboration with the Joint Research Centre, widely used by the Member States' authorities, such as: Automated Monitoring Tool – used for risk analysis by customs authorities, a tobacco analysis laboratory and a data analysis project facilitating transnational cooperation and the sharing of best practices (INTEL4CUSTAF).
- The use of the AMT tool has considerably increased in recent years: for example, in 2019, the tool received more than 80 000 data queries from almost 600 customs officers.
- Five pilot workshops of INTEL4CUSTAF project in 2019 brought together 44 experts from 18 Member States and colleagues from JRC and OLAF.
- High level of participants' and beneficiaries' satisfaction related to the projects co-financed by the Programme:
- The mandatory surveys filled in by the participants to conferences, trainings or seminars in order to assess the relevance of the project and to measure their satisfaction levels reveal that a very large majority of users (more than 93 %) express a satisfactory or very satisfactory opinion on the event. The results of the surveys are included by the beneficiary in the project's final report and show that the networking opportunities and the sharing of skills and best practices are particularly highly valued by the trainees and participants.
- The beneficiaries of technical assistance grants must indicate, as part of their final reporting, their assessment of the added-value of the purchased equipment/tools and related training. The feedback received for implemented projects is very positive – for example, the beneficiaries of grants finalised during 2020 evaluated that the equipment responds to the organisation's operational and professional needs with a rate of 4.7 on 5 (93% satisfaction rate).

### 3.3. Evaluations, studies and reports

#### *Provide funding for actions carried out in accordance with regulation 515/97*

The underlying legal base for AFIS, Council Regulation (EC) No 515/97 of 13 March 1997 on mutual assistance between the administrative authorities of the Member States and cooperation between the latter and the Commission to ensure the correct application of the law on customs and agricultural matters <sup>(6)</sup>, as lastly amended by Regulation (EU) No 2015/1525 of the European Parliament and of the Council of 9 September 2015 <sup>(7)</sup> has been evaluated in 2020 and the results will be available in 2021.

#### *Preventing and combatting fraud, corruption and any other illegal activities affecting the financial interests of the EU*

The key findings of the latest evaluation <sup>(8)</sup> have been presented in the Programme Statements 2020.

The Commission will present to the European Parliament and to the Council, by 31 December 2021, a report on the programme's final evaluation.

## **4. Programme 2021-2027 - Key monitoring indicators**

<sup>(6)</sup> OJ L 82, 22.3.1997, p. 1.

<sup>(7)</sup> OJ L 243, 18.9.2015, p. 1.

<sup>(8)</sup> Commission Staff Working Document SWD(2018) 3 final of 10 January 2018 accompanying the Commission report to the European Parliament and the Council COM(2018) 3 final

## Specific Objective 1 :Preventing and combatting fraud, corruption and any other illegal activities affecting the financial interests of the European Union

### Indicator 1:Satisfaction rate of activities organised and (co-) financed through the programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
80	Milestones									
	90	92	92	94	94	95	95			
	Actual Progress									Final

Are we on track	No data
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	Final reports submitted by the beneficiaries of the Programme.
Link to the objective	Measuring the added value of the financed actions in relation to the Programme's specific objective, as expressed by beneficiaries (users of the funded equipment) and participants in the co-financed events.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Percentage of Member States receiving support each year of the programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									81
80	81	82	83	84	85	86	87			
	Actual Progress									Final

Are we on track	No data
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	Desk analysis on the number of MS receiving support via the various activities financed by the Programme (procured trainings and conferences, granted training and staff exchanges, technical assistance grants, Databases and IT-Tolls, etc.).
Link to the objective	Enabling and supporting the prevention and fight against fraud, corruption and any other illegal activities affecting the financial interests of the European Union in as many MS as possible.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :Supporting the reporting of irregularities, including fraud, with regard to the shared management and pre-accession assistance funds of the Union budget.

### Indicator 1:User satisfaction rate for the use of Irregularities Management System.

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
80	Milestones									
	90	90	92	94	95	95	95			
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage (yearly)
Cut-Off Date	
Data source	EU survey
Link to the objective	In order to measure the satisfaction of IMS users, a survey will be launched yearly via the EU survey platform, addressed to all UMS users.
Link MFF 14-20 / MFF 21-27	

Other methodological comments	The satisfied users will be counted as percentage of respondents (valid responses) having provided an appreciation of the system of at least 6 on a scale of 10.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 :Providing tools for information exchange and support for operational activities in the field of mutual administrative assistance in customs matters.

**Indicator 1: Number of mutual assistance information made available and number of supported mutual assistance-related activities.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2019	Milestones									2024
				24000	24000	24000	24000			24000
18639	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of entries with information for mutual assistance.
Cut-Off Date	
Data source	AFIS and supported mutual assistance-related activities.
Link to the objective	Supporting the information exchange and operational activities in the field of mutual administrative assistance in customs matters by providing related information and supporting related activities. Successor of the AFIS programme in MFF 2021-2027
Link MFF 14-20 / MFF 21-27	Successor of the AFIS programme in MFF 2021-2027
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

*Previous Program 1 : Programme to promote activities in the field of the protection of the financial interests of the European Union (Hercule III)*

### Specific Objective 1 :To prevent and combat fraud, corruption and any other illegal activities affecting the Union's financial interest

**Indicator 1: The added value and effective use of co-financed technical equipment, expressed by the users of the equipment in their final technical report and final implementation report of the action (percentage of users that considered the use of Hercule funded equipment added value to their activities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				0,70	0,75	0,75	0,75			0,75
	Actual Progress									Final
						0,96	0,93			

Are we on track	On track
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	The information for this indicator is submitted by the beneficiaries in their final technical report as well as in the implementation report (one year after the closing date of the action for which the grant was awarded, where the added-value is detailed with concrete examples).
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The beneficiaries of Hercule co-financed equipment and tools continued to be highly satisfied with the added-value of the purchased technology in relation to their activities.

**Indicator 2: The number and type of trainings activities funded under the Hercule III programme, including the amount of specialised training, and the satisfaction rate as expressed by the participants**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Training activities (with specialised trainings)										
	Milestones									2020
25	25	25	25	25	25	25	25			25
	Actual Progress									Final
	29	30	22	30	24	33	4			
Satisfaction rate										
	Milestones									2020
0,60	0,65	0,67	0,69	0,70	0,72	0,74	0,75			0,75
	Actual Progress									Final
	0,90	0,90	0,90	0,90	0,90	0,90	0,94			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	Values in Baseline, Target in Milestones include 2 specialised trainings (except in 2014: only 1 specialised training)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This indicator has been elaborated for OLAF's Annual Management Plan 2014 in the light of the operational objectives in the Hercule III Regulation.
Full metadata available at this address	
Justification of the trend	Most of the trainings and conferences planned for 2020 were postponed, due to the sanitary circumstances. Few of them (organised by grant beneficiaries) took place in a virtual mode, the actual number will be known at the moment of the submission of final reports from grant beneficiaries. The nature of the targeted participants (mainly law enforcement officials), together with the sensitivity of the topics to be discussed and the hope that the sanitary situation would improve, made the virtual option not fully pursued by the event organisers

**Previous Program 2 : Anti-Fraud Information System (AFIS)**

**Specific Objective 1 : To support Mutual Assistance in Customs Matters through the provision of secure information exchange tools for Joint Operations and specific Customs anti-fraud information exchange modules and databases such as the Customs Information System**

**Indicator 1: Number of active customs fraud cases for which information is available in the Mutual Assistance databases**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
8000		12000		17000		21500	24000			24000
	Actual Progress									Final
	10000	12000	13800	16324	18340	18639	19125			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Cases
Cut-Off Date	31/12/2020
Data source	AFIS Mutual Assistance database
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Milestone for 2017 reduced from 20 000 to 17 000 in 2016. New Milestone for 2019 added in 2016. Target reduced to 24 000 in 2016 (cfr. the programme performance update section).
Full metadata available at this address	
Justification of the trend	The indicator has not fully achieved its target, as Member States' customs services publish only a small percentage of IPR infringements. However a moderate positive evolution is expected for the coming years.

**Indicator 2: Number of Joint Customs Operations (JCOs) (including EU wide and regional operations) supported/year**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
3	4			5			5			5
	Actual Progress									Final
	6	7	11	11	5	13	8			

Are we on track	On track
Indicator type	Output
Unit of measurement	Joint Customs Operations
Cut-Off Date	31/12/2020
Data source	AFIS applications
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In 2016, 4 JCOs were co-organised by OLAF and a Member State and in total 12 JCOs were supported by OLAF. The Virtual Operations Coordination Unit (VOCU) module of AFIS was used in 11 of these JCOs. (One JCO was organised by the World Customs Organisation with intelligence support of OLAF, but without VOCU usage.) In 2017, 3 JCOs were co-organised by OLAF and a Member State and in total 11 JCOs were supported by OLAF. In 2018, 2 JCOs were co-organised by OLAF and a MS and in total 5 JCOs were supported by OLAF. The VOCU module of AFIS was used in 4 of these JCOs. (One JCO was coordinated by Europol with support of OLAF using AFIS applications, but without VOCU usage.) In 2019, 2 JCOs were led and additional 11 supported by OLAF.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Coverage of A-TIS (Anti-fraud transit information system)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
A-TIS holds 16.5 million transit declarations (600 000/month) covering 70% of the transit regime.		Entry into force of the reform of Regulation 515/97.	A-TIS to cover 100% of transit declarations. New repository of export declarations developed.	New repository of import declarations developed.	New repository of Container Status Messages (CSMs) developed.	Statistical analysis tools for operational coveting all repositories.	A-TIS to cover 100% of transit declarations.			A-TIS to cover 100% of transit declarations.
	Actual Progress									Final
		Regulation 2015/1525 amending Council Regulation 515/97 entered into force on 8 October 2015	Repository of export declarations available 1 Sept. 2016. A-TIS covers 78.32% of the transit decla	A-TIS covers 78.32% of the transit declarations.	Repository of import declarations developed and scheduled to go live in Q1/2018.	Repository of CSM in production. Repository of import declarations went live.	A-TIS covers all transit declarations			

Are we on track	On track
Indicator type	Output
Unit of measurement	Declarations
Cut-Off Date	31/12/2020
Data source	A-TIS and IET
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	At the end of 2014, A-TIS holds 23.1 million transit declarations. The percentage refers to the period since the application of the new legal base for transit declarations. Not covered are transit declarations for common transit countries which did not consent to their usage (11.28%), declarations for transit within a Member State which did not consent (4.02%), technically malformed declarations which could not be processed (3.84%) and declarations for common transit countries which gave their consent only after 1 September 2016 (2.54%).
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :To facilitate secure electronic communication tools for the Member States to fulfil their obligation to report irregularities detected in agricultural, structural, cohesion and fisheries funds as well as pre-accession aid.**

**Indicator 1:Availability of new irregularities reporting modules for the new programming period 2014-2020**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
Development of new single harmonised module on-going.		Operational launch of new IMS version ready for reporting regulations for the MFF 2014-2020.	Online reporting and analysis system extended			Online analysis system to be extended	IMS system fully oper. in all MS candidate countries with reporting and analysis tools.			IMS system fully oper. in all MS candidate countries with reporting and analysis tools.
	Actual Progress									Final
	IMS 5 is scheduled to go in production on 1 April 2016.	IMS5 went in production on 1 April 2016.	Extension of online analysis tool, which will be made available in 2018, started.	Online analysis tool ready for testing in production.	Online analysis tool went live for all MS and candidate countries.	Online analysis tool upgraded				IMS system fully oper. In all MS and candidate countries with reporting and analysis tools.

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	IMS5 replaced IMS4, the previous operational system. IMS4 was used to fulfil the reporting obligations of MFF2014-2020. The alpha-release of IMS5 was made accessible to all IMS-users in February 2016. The extended online reporting system IMS5 facilitates the reporting of irregularities for the following competences: agriculture, cohesion, fisheries, pre-accession, asylum and most deprived. The IMS online analysis tool has been ready for testing in production in 2018 but a recent release of the underlying software, on which the tool is based, made it necessary to perform additional checks before testing the tool in production. Therefore the launch of the online analysis tool had to be rescheduled by one year to 2019. The tool was further upgraded in 2020 and put at the disposal of users on 3 February 2021. By 2020, the system was fully operational in all Member States, with all the necessary reporting and analysis tools foreseen.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of Member States complying with obligations for reporting of fraudulent irregularities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
Some Member States / Candidate Countries do not yet fully comply with their reporting obligations.	IMS refreshment training provided to MS		MS have been trained and set up to use IMS	MS and candidate countries use actively IMS reporting and analysis tools	MS and candidate countries perform proactive quality control on the data provided		Can guarantee that the MS have all means and tools to comply with the reporting obligations			Can guarantee that the MS have all means and tools to comply with the reporting obligations
	Actual Progress									Final
	IMS 5 training was provided to all Member	IMS manual revised and updated. IMS 5	IMS manual split into booklets. All MS and	The data quality differs per country	Data quality is regularly checked and MS are	MS have all means and tools to comply with				MS have all means and tools to comply with

		States.	training was provided to all (potential) candidate countries.	candidate countries use actively IMS for reporting	which is caused by a difference in the level of impl. of Quality	informed of and guided on manifest data quality issues	the reporting obligations			the reporting obligations
--	--	---------	---	--	--	--	---------------------------	--	--	---------------------------

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING 1: Single Market, Innovation and Digital****Cooperation in the field of taxation (FISCALIS)****Lead DG: TAXUD**

1. Overview .....	316
1.1. Challenges .....	316
1.2. Mission (general objectives) .....	317
1.3. Specific objectives .....	317
1.4. Public intervention context .....	317
1.5. Actions .....	317
1.6. Delivery mode .....	318
1.7. Graphic overview of the programme structure .....	318
1.8. Legal basis and financial programming .....	318
1.9. Link with the 2014-2020 MFF .....	318
1.10. Relevant websites providing more information .....	318
2. Where are we in the implementation ? .....	319
2.1. Programme 2021-2027 .....	319
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	319
3. How is the programme performing ? .....	319
3.1. Performance .....	319
3.2. Key achievements .....	321
3.3. Evaluations, studies and reports .....	323
4. Programme 2021-2027 - Key monitoring indicators .....	324
Specific Objective 1 :To support tax policy and the implementation of Union law relating to the field of taxation; to foster tax cooperation, including exchange of tax information; and to support administrative capacity building, including human competency and the development and operation of the European electronic systems .....	324
5. Programme 2014-2020 - Key monitoring indicators .....	330
Previous Program 1 : Action programme for taxation in the European Union (Fiscalis 2020) .....	330
General Objective 1 :to improve the proper functioning of the taxation systems in the internal market by enhancing cooperation between participating countries, their tax authorities and their officials .....	330
Specific Objective 1 :to support the fight against tax fraud, tax evasion and aggressive tax planning and the implementation of Union law in the field of taxation by ensuring exchange of information, by supporting administrative cooperation and, where necessary and appropriate, by enhancing the administrative capacity of participating countries with a view to assisting in reducing the administrative burden on tax authorities and the compliance costs for taxpayers .....	331
6. The programme contribution to horizontal policies .....	332
6.1. Contribution to climate mainstreaming .....	332
6.2. Contribution to biodiversity mainstreaming .....	332
6.3. Contribution to clean air financing .....	332
6.4. Contribution to gender equality .....	332
6.5. Contribution to the sustainable development goals .....	332

**1. Overview****1.1. Challenges**

The Union and the national tax authorities still suffer from insufficient capacity and insufficient cooperation – both within the EU and with third countries – to carry out effectively and efficiently their missions. They need to provide quick and joint responses to emerging problems such as tax fraud, tax evasion and tax avoidance, digitalisation and new business models, while at the same time preventing unnecessary administrative burden for citizens and businesses in cross-border transactions. These trends raise continuously new challenges for the functioning and performance of national tax authorities. They call for better and innovative

ways to carry out their core task i.e. collecting taxes that directly feed the national and indirectly the Union budget. The vast majority of the programme's budget will continue to focus on the development and operation of the European electronic systems.

In the coming years, emphasis will continue to be put on further improving the administrative capacity of Member States, be it through IT capacity building, traditional and innovative forms of cooperation or human competency building initiatives. The capacity of tax administrations is indeed instrumental to ensure they run efficiently their tax systems within the internal market and to address cross-border tax fraud and evasion. In the medium-term, the implementation of the following programme's main outcomes will be pursued to achieve the EU tax policy objectives and ensure business continuity of existing European IT systems and development of new ones.

In the field of Indirect Taxation, the major activities will include the launch of the VAT e-Commerce package on 1 July 2021, consisting of the Extension of MOSS (OSS), the Distributed Registry of IOSS VAT IDs (IOSS-DR), as well as updates of the electronic Forms Central Application and the Tax on Europa Database. Also in the area of VAT, major updates are foreseen for the Transaction Network Analysis tool (TNA) that provides Member States tax administrations with a platform enabling them to develop and run algorithms to detect VAT carousel fraud networks: in fact, Member States have recently decided to rely entirely on TNA for this exchange of information.

On February 2020, the Council approved new measures to transmit and exchange payment data, to fight e-commerce VAT fraud by launching the Central Electronic System of Payment information (CESOP). As of 2024, CESOP will keep records of cross-border payment information within the EU, as well as payments to third countries or territories, for a period of five years. This will reinforce the capacity of Member States to fight against e-commerce VAT fraud, by allowing them to properly control the correct fulfilment of VAT obligations on cross-border Business to Consumer supplies of goods and services.

Different forms of IT collaboration, such as expert teams or project groups in the area of IT systems, increase the number of shared IT activities and reusable components among Member States. This approach should reduce the costs for deploying EU wide tax IT systems, both at EU and national level while responding in a more agile way to EU tax policy needs. Strengthening operational cooperation through the use of expert teams further allows for pooling expertise to perform tasks in specific domains, mainly for the European electronic systems.

## **1.2. Mission (general objectives)**

The Fiscalis programme has the general objectives of supporting tax authorities and taxation to enhance the functioning of the single market, of fostering Union competitiveness and fair competition in the Union, of protecting the financial and economic interests of the Union and its Member States, including protecting those interests from tax fraud, tax evasion and tax avoidance, and of improving tax collection.

## **1.3. Specific objectives**

The Programme has the specific objective to support tax policy and the implementation of Union law relating to the field of taxation; to foster tax cooperation, including exchange of tax information; and to support administrative capacity building, including human competency and the development and operation of the European electronic systems.

## **1.4. Public intervention context**

The legal base of the Fiscalis Programme is defined in the Treaty on the Functioning of the European Union, and in particular its rules on the approximation of laws (Articles 114) and administrative cooperation (Article 197). Both collecting taxes and combating tax fraud and evasion are competences of EU Member States. However, in an increasingly globalised world, the EU provides a framework and offers instruments to effectively handle cross-border tax issues. Through IT and other means, the EU allows for co-operation and exchange of information among its Member States on all sorts of taxes. EU legislation enables collaboration between national tax authorities in various ways.

The Fiscalis Programme supports European electronic systems and related applications in operation for taxation. These systems allow information to be exchanged rapidly and in a common format that can be recognized by all Member States. The Fiscalis Programme also funds activities to support the automatic exchanges of information. Further, the Fiscalis Programme supports meetings, trainings and other events and capacity building actions for tax officials to fight against tax fraud, tax evasion and aggressive tax planning.

## **1.5. Actions**

The Fiscalis programme offers Member States a Union framework to develop activities through IT cooperation and capacity building, on the one hand, and cooperation amongst national taxation officials, on the other hand. In this regard, it provides financial sustainability of the interoperable and interconnected European electronic systems, which allow the electronic exchange of tax-related information between Member States. Additionally, the collaborative actions give the administrations unequalled opportunities for cooperation, communication and networking, ultimately building trust and leading to greater convergence of

approaches and practices. The Fiscalis programme also funds human competency and capacity building actions, including training and exchange of best practices.

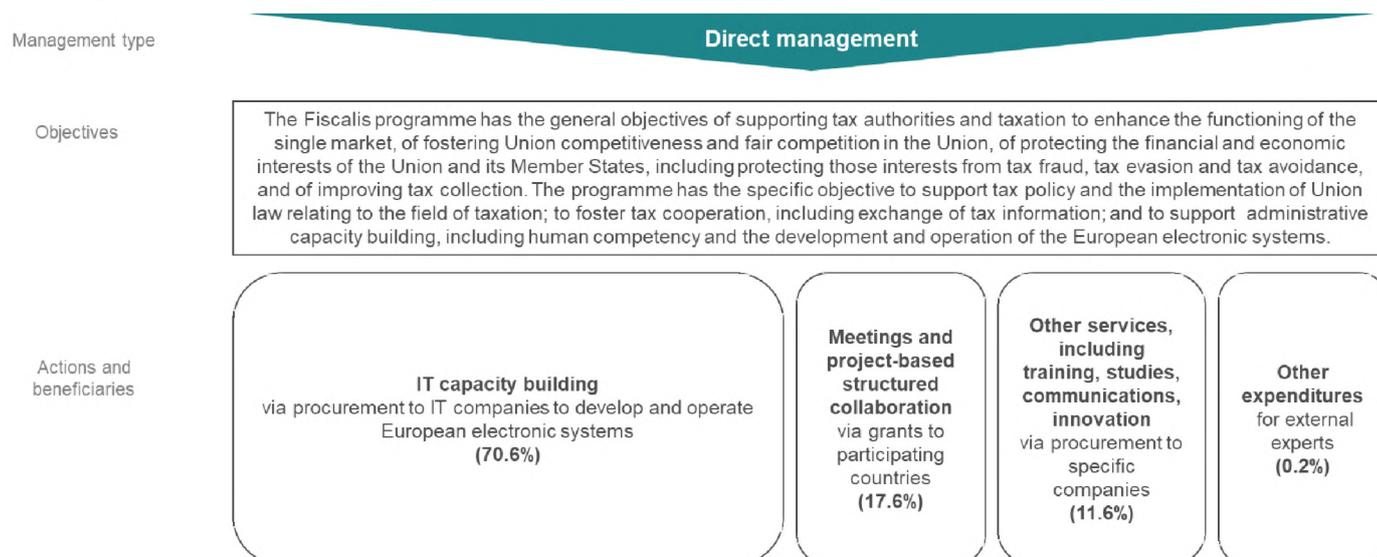
## 1.6. Delivery mode

The Fiscalis programme will be implemented in direct management by DG TAXUD through:

- Procurement contracts: for the European Information Systems expenditure, training activities and studies.
- Grant agreements with the participating countries: for collaborative actions and expert teams.

Work programmes will be established – together with the stakeholders – stipulating the priorities for a specific period.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 443: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the 'Fiscalis' programme for cooperation in the field of taxation	2021 - 2027	269,2

### 1.8.2. Legal basis explanation

The legal base of the Fiscalis programme is the Regulation (EU) 2021/XXX of the European Parliament and of the Council establishing the 'Fiscalis' programme for cooperation in the field of taxation and repealing Regulation (EU) No 1286/2013. Further, the Multiannual Work Programme constitutes the framework for the implementation of the programme. At the time of writing, the Fiscalis programme Regulation has not yet been adopted.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>36,2</b>	<b>36,9</b>	<b>37,7</b>	<b>38,4</b>	<b>39,2</b>	<b>40,0</b>	<b>40,8</b>	<b>269,2</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The Fiscalis Programme is a continuation of the current programme, but it will entail greater intensity in the way cooperation will take place and as regards the number of electronic systems.

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/taxation\\_customs/fiscalis-2021-2027\\_en](https://ec.europa.eu/taxation_customs/fiscalis-2021-2027_en)

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

NB: at the time of writing, the Fiscalis programme Regulation has not been adopted and so the new programme has not started yet.

2021-2027 programme	2021	2022
Commitment appropriations	35.915.550	36.639.861
Payment appropriations	8.545.655	28.387.974

The budget for the new Fiscalis programme is in line with its predecessor programme (EUR 267.136.664 vs 223.683.213). Approximately 25% of expenditure committed in 2021 will be paid in 2021, 45% will be paid in 2022.

COVID-19 pandemic has affected programme grant activities in the absence of travels and therefore of costs related to them as activities have been held virtually. Nevertheless, grants only represent approximately 17,6% of the Fiscalis programme and not all eligible costs are linked to travels. As a result, we may conclude that the impact on the programme is relatively low.

In 2021, we foresee a gradual increase of the consumption by the end of the year due to the rollout of the vaccines, and a better scenario for 2022.

### **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

	Commitments	Payments
Implementation Voted budget	223 622 528	183 863 111
Implementation Carry-overs	58 052	404 671
Implementation total	223 680 580	184 267 781
total envelop*	223 683 213	
cumulative implementation rate	100%	82%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

As can be seen from the above financial performance table, 100% of the programme's total commitment appropriations (EUR 223 683 213) have been consumed. To date, 82% has been paid. The remaining payments will be finalised in the 2021-2023 period.

2014-2020 programme	2020	2021	2022
Commitment appropriations	32.993.000	NA	NA
Payment appropriations	30.843.095	24.000.000	8.200.530

COVID-19 pandemic has affected programme grant activities in the absence of travels and therefore of costs related to them as activities have been held virtually. Nevertheless, grants only represent approximately 17,6% of the Fiscalis programme and not all eligible costs are linked to travels. As a result, we may conclude that for 2020 the impact of covid-19 on the programme is relatively low.

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.3. Previous programme performance

The data collected in the performance measurement of the programme from 2014 (first year of the programme's implementation) until 2019 (latest complete measurement of performance indicators), together with the results of the Mid-Term Evaluation, shows that the Fiscalis 2020 programme progressed towards obtaining its objectives and towards achieving the expected results of the projects planned in the Annual Work Programmes for this period. The results measured within the programme's performance measurement framework in the last five years indicate that the overall implementation of the programme is on track, without delays. The programme is a successful and firmly established programme that regularly takes stock of its performance and improves over time. It provides invaluable support to national tax administrations and economic operators, in turn supporting the fight against tax evasion, tax fraud and aggressive tax planning.

Fiscalis 2020 generates benefits over and above what would have resulted from interventions at local, regional or national level, especially in terms of contributions to policy objectives and reduced administrative costs and burdens, complementing the activities and policies of the Member States and making achievements that are sustainable. By supporting, in the service of EU law and policy, fora for all kinds of exchange between administrations, the programme identifies potential solutions for problems with a clear EU dimension. These lead to benefits from economies of scale and improving coordination that would be difficult or impossible to achieve without the programme. The benefits were also found to be long-lasting, though to a large extent dependent on future funding, especially regarding maintenance of the IT systems that administrations rely on every day.

The main conclusions of the Mid-Term Evaluation can be found below:

- **RELEVANCE:** the evaluators identified clear needs for secure and rapid exchanges of information, cooperation between tax administrations and enhancement of administrative capacity. These needs stem from the growing scope of EU law and initiatives, cross-border nature of problems and persistent need for convergence between countries. There has been universal agreement among the stakeholders consulted that the programme is needed to facilitate this exchange and cooperation, and that ambitious EU policies would not be possible without such support. Thus, the programme's role in fostering convergence of approaches, administrative procedures and rules is highly relevant.
- **EFFECTIVENESS:** the programme has been effective in reinforcing cooperation between tax authorities in the EU Member States and other participating countries. The programme has provided the framework and technological means necessary to work together and share information in the service of implementing EU tax law and fighting tax evasion, fraud and aggressive tax planning in an increasingly mobile Europe. Evidence of this was most compelling in the field of indirect taxation (particularly VAT and excise) where the EU competence is strongest, and the level of programme activity is correspondingly high.
- **EFFICIENCY:** the programme's overall structure and processes for taking decisions and setting priorities are time-tested and broadly appropriate in the eyes of stakeholders both in the European Commission and in participating countries' administrations. While the programme's benefits cannot be monetised, holding up the findings on effectiveness alongside spending data and the positive findings on operational efficiency makes a strong case that the programme overall is cost effective. The joint actions, IT systems and training activities clearly generate value for the EU and national tax administrations, by helping them to pool resources (and thereby generate economies of scale), increase revenue collection and compliance and function more effectively.
- **EU ADDED VALUE:** the programme has been effective in providing solutions for problems with a clear EU dimension. In particular, the programme adds value by providing a forum for discussion, exchange of experiences and networking between Member States that would not be possible without Commission support. Fiscalis 2020 also supported the creation of a framework for the exchange of information through a variety of IT systems and activities. These lead to both tangible and intangible benefits of scale and coordination. The clear EU component, and the fact that the same results would be difficult or impossible to achieve without the programme to support them, in particular in terms of necessary maintenance of the IT tax systems, also leads the evaluation to conclude that continued support through funding of the programme is relevant and advantageous.

The COVID-19 pandemic largely affected the numbers of collaborative actions and events since March 2020: almost all the face-to-face meetings after April 2020 were cancelled, and many of them have been replaced by online meetings. The total numbers of meetings however dropped, in particular during the Q2 2020, when the physical meetings, cancelled due to the pandemic, were not automatically replaced by virtual ones, due to late notice, technical difficulties, or uncertainty of the confinement. After the summer 2020, however, the number of virtual meetings increased, allowing business owners and national administrations to perform the planned and new programme activities: the total number of events for 2020 is 278, with 73 face-to-face meetings and 205 virtual meetings.

The core outcomes of the Fiscalis 2020 programme are the European Information Systems (EIS), which allow the electronic exchange of tax-related information between Member States. Ensuring the business and IT systems' continuity is a major responsibility under the programme since disruptions in the operation of the EIS would affect national administrations, citizens and businesses across the entire EU and hamper the functioning of the internal market. The underlying infrastructure (Common Communications Network/Common Systems Interface CCN/CSI) developed, managed and maintained by the Commission was available during the period 2014-2020 more than 99 % of the time during working hours. In particular during 2020, the availability of this platform was 99.97 %, which represents 0.5 percentage points more than in 2019 and in line with the target (99.9 %). All the main centralised IT tax systems– developed, managed and maintained by the Commission – were available in the 2014-2020 period as scheduled, with more than 99 % of the time meeting the expected targets.

The feedback from participants in joint actions collected under the Performance Measurement Framework of the programme shows that the collaboration robustness between programme stakeholders is overall progressing in the desired direction. Over the last three years, an average of 96 % of the responding participants declared that the programme provided them with a good opportunity to expand their network of (and contacts with) officials abroad, well above the target (90 %). However, in 2020, the rate has dropped to 85 %, most likely due to the COVID pandemic. Additionally, in the same period, the number of respondents who declared that they have been in contact for work purposes with the officials they met during programme activities (lasting networking effect) has reached 56 % in 2020, again due to the COVID pandemic. It has to be highlighted that the figures on network opportunity and lasting networking effect show some fluctuations over the years, but overall the rates are above/close the baseline and there is a progress towards the targets (already achieved in relation to network opportunity). In order to improve the lasting networking effect, work continues on improvements in the area of communication and to facilitate online collaboration and sharing between the participants of programme activities after the events end. In addition, the decrease in the long-lasting network effect rate may be the result of an unclear understanding of the different possibilities to ‘be in contact’, which more often includes collaborative tools beyond the traditional contacts (such as physical meetings or direct phone calls). Additional explanations have been included in the form requesting feedback from participants where this information is extracted from.

### 3.2. Key achievements

8 373 000 000	14 193	27	5	99.96%
messages were exchanged in 2020 on the Common Communication Network / Common Systems Interface (CCN/CSI, shared with Customs), i.e. close to 1 million messages exchanged every hour on average.	officials were trained by using EU common training material in 2020.	European Information Systems were in operations at the end of 2020.	operational expert teams in the taxation area.	of the time on average, the Vies-on-the-Web system was available.

Throughout 2020, DG TAXUD worked intensively on managing the UK’s withdrawal from the EU and on the negotiations for a future relationship. This work spanned the entire DG, covering customs, preferential access, VAT, excise duties, direct taxation and IT systems. DG TAXUD was central to the work on the implementation of the Withdrawal Agreement and Ireland/Northern Ireland Protocol, notably the establishment of a strong Union Presence in Northern Ireland. To ensure that EU businesses were informed and prepared for the end of the transition period, DG TAXUD carried out a successful communications campaign, while also working closely with Member States, traders, businesses and other stakeholders to explain and clarify the upcoming changes in tax and customs due to Brexit.

DG TAXUD delivered rapid, well-targeted actions in response to the health crisis due to Covid-19 pandemic. Tax initiatives were swiftly implemented to facilitate smooth supply chains of vital medical and protective equipment, while new proposals were put forward to support crisis-struck businesses. These included the temporary suspension of VAT and customs duties payable on imports of vital goods, such as PPE and other medical equipment, needed to combat Covid-19; temporary measures that allowed Member States to grant VAT relief on Covid-19 vaccines and testing kits; guidance to ensure the harmonised interpretation of EU legislation on VAT in COVID times; a postponement of the entry into force of the VAT e-commerce package, to enable businesses and Member States to focus their resources on fighting the crisis.

At EU level, the fight against tax fraud, tax evasion and aggressive tax planning is materialised by setting-up IT systems and other mechanisms of cooperation such as joint audits. The European Information Systems (EIS) allow tax administrations to exchange information by secure electronic means. The information exchange is enabled by a closed and secure Common Communication Network/Common Systems Interface (CCN/CSI) – one of the main outcomes of the programme. This platform has performed, since the launch of the programme, with high availability and reliability. The CCN/CSI network registered over 8 373 million messages exchanged during the period January 2020 – December 2020, compared to 6 902 million messages exchanged during 2019. This represents a 21.3 % growth of the number of messages. In terms of traffic, the CCN Network registered around 42.21 TB during the period January 2020 – December 2020, compared to around 32.23 TB during 2019. This represents an increase of 31 % of traffic volume. At the end of 2020, there were a total of 27 European Information Systems and related applications in operation for taxation. In the observed period, they allowed information to be exchanged rapidly and in a common format that can be recognized by all Member States. The high volume of information channelled via CCN/CSI and the other tax related IT systems (e.g. VAT Information Exchange System-VIES, Excise Movement Control System-EMCS) shows that the programme is a solid and robust enabler for the information exchange amongst tax (and customs) authorities.

The use of IT systems, such as the CCN/CSI platform, EMCS, VAT Refund, SEED-on-Europa, VIES-on-the-web and e-forms builds towards the development of an e-administration. They limit the resource-extensive paper-based procedures. For example, due to VIES-on-the-web, economic operators no longer have to use the intermediary national administration to validate the VAT

numbers of their trading partners, directly reducing the lead-time and the administrative burden and compliance costs for traders and national administrations. In 2020 the availability of VIES-on-the-Web has been 99.96 % of time on average.

Taxes in Europe Database (TEDB), which provides access to harmonised and comparable information on legal basis, assessment base, main exemptions, applicable rates, economic and statistical classification as well as revenue generated by the main taxes in the European Member States, was updated to cope with some new business requests, especially for e-Commerce directive.

Mini One Stop Shop (MOSS), which contributes to reducing the administrative burden on tax administrations and compliance costs for those taxpayers active in the telecommunications, broadcasting and electronic services, was updated to comply with the Withdrawal Agreement and Northern Ireland Protocol (WA/NI).

One Stop Shop (OSS), an extension of MOSS to all types of services as well as to distance sales of goods, both intra-EU and from third territories or third countries to the EU, entered conformance testing in preparation for the postponed launch date of the VAT eCommerce Package on 1 July 2021. Distributed Registry of IOSS VAT IDs (IOSS-DR), a high-performance/high-availability solution allowing national customs import systems to validate IOSS VAT IDs, entered conformance testing in preparation for the postponed launch date of the VAT eCommerce Package on 1 July 2021.

The Excise Movement and Control System (EMCS) is a computerised system for monitoring and controlling in real-time the movement of excise goods (alcohol, tobacco and energy products) under excise duty suspension. It consists of EMCS Core business and EMCS Administrative cooperation and has a lifecycle in Phases. In particular Phase 3.4 was successfully deployed in operations on February 2020. EMCS Converter was developed by DG TAXUD and provided to late runner MSs to ensure the business contingency of EMCS. Implementation of WA/NI Protocol took place during 2020, activities included coordination, specifications, development, Conformance Testing with MSAs and national and central deployment.

The electronic Form Central Application (eFCA) is the key system for the administrative cooperation among MSs as it enables and fully supports the spontaneous exchange of information. In 2020, 20 new types of electronic forms have been implemented, along with a statistical module aimed to support MSs in producing yearly statistics on exchanges, and many enhancements and improvements of the application. Moreover, work was done and a Fiscalis Project Group was created leading to the requirements for the extension of the system in order to support e-commerce, call-off stock and implement the new implementing regulation on VAT e-forms, to be implemented in 2021.

The VIES-on-the-Web (VoW) allows persons involved in the intra-Community supply of goods or of services to obtain confirmation of the validity of the VAT identification number of any specified person, in accordance to article 31 of Council Regulation (EC) No. 904/2010 of 7 October 2010. VoW is a key system (approx. 5 millions of requests per day) allowing economic operators to validate the VAT numbers of their trading partners, directly reducing the lead-time and the administrative burden and compliance costs for traders and national administrations. The most important activity in 2020 was related to implement EU/UK Withdrawal Agreement and IE/NI Protocol, for which a specific version 5.8 was implemented and put in production at the end of the transition period.

The “EU/UK Withdrawal Agreement and IE/NI Protocol” implied a detailed impact assessment on all systems involved: VIES, VIES-on-the-Web, VAT Refund, MOSS, e-Commerce, TSS, TIC, TEDB, SURV-RECAPP. Based on it, the artefacts of those systems, along with the infrastructure, have been modified/adapted. Moreover, conformance testing campaigns were launched and executed by MSs for VIES, VAT Refund and MOSS, while the campaign for United Kingdom in respect of Northern Ireland was set up for VIES and VAT Refund only

During 2020, in the taxation area, three expert teams were continuously operational, one group renewed its activities and one team started to cooperate. The Managed IT Collaboration (MANITC 4) continued to promote, support and coordinate Member States’ collaborative initiatives in IT taxation area. Two expert teams constantly developed IT applications amongst Member States in parallel: the expert team for Excise Duty Calculator (EDC), and the expert team for Mobile Application on Excise Movement and Control System (m-EMCS). The objective of the m-EMCS is to build a mobile app for helping the Member States to check the duty-suspended excise goods (tobacco, petrol, alcohol, etc.) during road controls. The EDC objective is to create an Excise Duty Calculator at EU level to help the citizens, traders and administrations to calculate the excise duty in each individual Member State. The tool is using data from the Taxes on Europa Database, managed by the Commission. The Transaction Network Analysis expert team (TNA), renewed its activities under the second phase, TNA 2, in order to group Member States’ resources to assist the Commission in the development of the Transaction Network Analysis software. This is a custom built tool to facilitate information exchange and data analysis within the Eurofisc network, for enhance capability to use VIES and Eurofisc data to build networks around known risky traders and detect fraudsters. Finally, at the end of 2020, a new group started to operate to leverage EU Member States’ expertise and resources to assist the Commission in the implementation and operation of the Central Electronic System of Payment information (CESOP) and the relevant national components that are needed for the successful implementation of the specific legal package.

The tax officials exchange views and best practices to fight against tax fraud, tax evasion and aggressive tax planning in the joint actions organised under the programme. For example, in 2020, DG TAXUD continued to support the informal network of the Tax Administration EU Summit of the Heads of Tax Administration (TADEUS), through which heads of EU tax administrations cooperate on strategic tax matters. TADEUS-driven projects last year included setting up a new governance structure and strategy for Eurofisc and developing a human resources management (HRM) maturity model.

Accelerated exchange of information between VAT anti-fraud units continued to be supported via Eurofisc <sup>(1)</sup>. The programme also finances multilateral controls actions (MLC), coordinated controls of the tax liability of one or more related taxable persons, organised by two or more Member States with common or complementary interests. Approximately EUR 3,26 billion of tax amount due was identified through multilateral controls under Fiscalis 2013. This amount is very significant compared with the programme investment (EUR 2,41 million actually spent on MLCs under Fiscalis 2013). Due to COVID-19 pandemic only 70 multilateral controls actions (MLC) have been registered during 2020, a huge drop compared to 180 MLCs in 2019. Activities under the programme were also organised to secure an effective methodological, financial and organisational set-up for the presences in the administrative offices and participation in administrative enquiries (PAOE): in 2020, 19 of such activities were registered.

Fiscalis 2020 continued to support throughout 2020 a coherent implementation and application of tax policies (tax compliance/tax competency building). This happened specifically through the realisation of a major technical up-grading and content-updating project of the EU Excise Movement Control system (EMCS), that resulted by end 2020 in the availability of a multi-modulated eLearning programme composed of 6 process-specific eLearning modules, the majority of them targeting advanced skills building of tax professionals – public and private sector - on EMCS. By end 2020, this further enlarged EU eLearning portfolio was available in a content-updated, technically innovated format (also allowing for use on mobile devices) as well as fully compliant with BREXIT. In 2020 – and based on the findings provided through an EU-wide survey on Human Capacity Building Maturity in national tax administrations in 2019 – part 1 of the first common EU TAX Competency Framework (TaxCompEU) was further complemented by a Common Tax Training Curricula (part 2 of TaxCompEU) and the full package got translated into all EU languages and released for MS use by end November 2020. It will provide national tax administrations with a common reference standard for optimal staff performance, based on identified common tax values, operational tax competencies, professional and management competencies and tax career paths and further provide optimal tax training reference standards. The TaxCompEU's further implementation in national tax administrations' HR structures will be further accompanied and supported in the coming years, mainly through a series of common and/or country-specific implementation training events as of 2021 (e.g. Common Learning events, Communication support) as well as through the further developed tax-specific Competency Assessment Tool (CAT), available for national use in all EU languages since end 2020.

### 3.3. Evaluations, studies and reports

In the framework of the Commission Action Plan of April 2016 'Towards a single EU VAT area', the studies under Fiscalis 2020 mainly focus on VAT and cross-border issues such as studies on VAT aspects of cross-border e-commerce, the provision of effective tax rates and the measurement of aggressive tax planning. Two important evaluations have been adopted by the College in 2017: Evaluation of VAT administrative cooperation and fight against fraud (Nov-2017) and Evaluation of Directive 2011/16/EU on the administrative cooperation in the field of taxation (Dec-2017).

The evaluation of the taxation of tobacco in the EU (published in February 2020) assessed the performance of the Directive against the evaluation criteria set out in the Better Regulation Guidelines. The report highlights that while the current rules work well in terms of predictability and stability for Member State fiscal revenue, it is no longer as effective in deterring consumption. The evaluation also highlights that the emergence of new products, such as e-cigarettes, heated tobacco products and new addictive products reveal the limits of the current legal framework. The evaluation notes that a more comprehensive approach, taking on board all aspects of tobacco control including public health, taxation, the fight against illicit trade and environmental concerns, is needed.

The Performance Measurement Framework (PMF) study was finalised (in December 2020) by an external contractor for both Customs 2020 and Fiscalis 2020 programmes. The study confirmed the Mid-Term Evaluation conclusions on the current PMF by the criteria of its effectiveness, efficiency, coherence, relevance and alignment with the Better Regulation Guidelines' principles. The study team identified the PMF strengths (i.e. elements to retain) and weaknesses (i.e. areas for improvement): in particular, it identified weaknesses with the quality of indicators to meaningfully assess the performance of the programmes across the activities supported, but also its limited utility and visibility among stakeholders. Most importantly, the report presented a proposal for a new PMF and new tools for its implementation. These include updated intervention logics, lists and definitions for proposed indicators, suggested roles and responsibilities for stakeholders within DG TAXUD, data collection tools, and PMF management and reporting tools. The new framework is currently a work in progress.

In addition to technical studies and evaluations, the mid-term evaluation of Fiscalis 2020 was published in 2019 ([SWD\(2019\)59 final](#))<sup>2</sup>. The key findings of that evaluation have been presented in the Programme Statement DB2020. The final evaluation of Fiscalis 2020 was launched in the second half of 2020, with a report to be prepared by the end of 2021.

The studies and evaluations financed under the programme Fiscalis 2020 can be found on the TAXUD EUROPA website: [https://ec.europa.eu/taxation\\_customs/calls-tenders-grants-calls-expression-interest\\_en](https://ec.europa.eu/taxation_customs/calls-tenders-grants-calls-expression-interest_en) and on the EU Bookshop on <https://bookshop.europa.eu/en/home/> (author: Directorate-General for Taxation and Customs Union).

<sup>(1)</sup> Network for the swift exchange of targeted information between Member States to enhance multilateral administrative cooperation in combating organised VAT fraud and especially VAT carousel fraud. Eurofisc legal base is under Chapter X of Council Regulation EU No.904/2010 on administrative cooperation and combating fraud in the field of VAT.

<sup>2</sup> Evaluations of Fiscalis 2020 are conducted in accordance with Ar. 18.1 of Regulation 1286/2013.

#### 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :To support tax policy and the implementation of Union law relating to the field of taxation; to foster tax cooperation, including exchange of tax information; and to support administrative capacity building, including human competency and the development and operation of the European electronic systems.**

**Indicator 1:Union Law and Policy application and implementation index. - Number of actions under the programme organised in this area**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of actions
Cut-Off Date	
Data source	Activity Reporting Tool (ART) managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Union Law and Policy application and implementation index. – Number of recommendations/guidelines issued following those actions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of recommendations/guidelines
Cut-Off Date	
Data source	Surveys managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Learning index - Number of tax officials trained by using common training material**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Annual value equal or superior

											to 13,300
	Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of tax officials trained
Cut-Off Date	
Data source	Data provided by national administrations and Activity Reporting Tool (ART) (managed by DG TAXUD)
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Average of 2014-2020, without 2019 figures as they strongly diverged from other years due to exceptional circumstances.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Learning index – Number of times eLearning tax modules were downloaded

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the 2014-2020 average (130 per year)
	Actual Progress									
										Final

Are we on track	
Indicator type	Output
Unit of measurement	Unit of measurement Number of e-learning modules used
Cut-Off Date	
Data source	Data provided by national administrations
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF, but we count the number of eLearning Customs modules used and not only downloaded
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Average of 2014-2020. We count the number of eLearning Customs modules used and not only downloaded
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Learning index – Quality scored by participants in training activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									>70%
	Actual Progress									
										Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage %
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF.
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Average of 2018-2020. Target: Corresponds to a 'very good' score using the applied methodology (Kirk Patrick quality score)
Full metadata available at this address	
Justification of the trend	

#### Indicator 6: Availability of European electronic systems

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Will correspond to a value close to 100%, taking into account historical data
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage of time
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC, it will correspond to a value close to 100%, taking into account data from previous years
Full metadata available at this address	
Justification of the trend	

#### Indicator 7: Availability of the Common Communication Network

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage of time
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC, it will correspond to a value close to 100%, taking into account data from previous years
Full metadata available at this address	
Justification of the trend	

#### Indicator 8: IT simplified procedures for the national administrations and economic operators – Number of economic operators registered

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Value corresponding to a significant percentage of the benchmark provided by past data.
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of economic operators registered

Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC Value corresponding to a significant percentage of the baseline. As these indicators are subject to strong fluctuations, the target will correspond to a lower bound under which the variation could be considered abnormal.
Full metadata available at this address	
Justification of the trend	

#### Indicator 9: IT simplified procedures for the national administrations and economic operators – Number of applications

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Value corresponding to a significant percentage of the benchmark provided by past data.
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of applications
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC Value corresponding to a significant percentage of the baseline. As these indicators are subject to strong fluctuations, the target will correspond to a lower bound under which the variation could be considered abnormal.
Full metadata available at this address	
Justification of the trend	

#### Indicator 10: IT simplified procedures for the national administrations and economic operators – Number of messages exchanged

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Value corresponding to a significant percentage of the benchmark provided by past data.
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	DG TAXUD is working on a solid methodology for a new Performance Measurement Framework including a new intervention logic and new indicators. The new PMF will be available in Q2 2021.

Full metadata available at this address	
Justification of the trend	

**Indicator 11: IT simplified procedures for the national administrations and economic operators – Number of consultations carried out**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Value corresponding to a significant percentage of the benchmark provided by past data.
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of consultations carried out
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC Value corresponding to a significant percentage of the baseline. As these indicators are subject to strong fluctuations, the target will correspond to a lower bound under which the variation could be considered abnormal.
Full metadata available at this address	
Justification of the trend	

**Indicator 12: Collaboration Robustness index - Number of face-to-face meetings held under the programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of meetings
Cut-Off Date	
Data source	Activity Reporting Tool (ART) managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Will be determined based on the first year of measurement
Full metadata available at this address	
Justification of the trend	

**Indicator 13: Collaboration Robustness index - Number of on-line collaboration groups**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two

										years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of groups
Cut-Off Date	
Data source	Programmes Information and Collaboration Space (PICS) and CIRCABC managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year: Baseline: Will be determined based on the first year of measurement
Full metadata available at this address	
Justification of the trend	

#### Indicator 14: Collaboration Robustness index - Degree of networking generated

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									>90%
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage %
Cut-Off Date	
Data source	Surveys managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: 2020 value
Full metadata available at this address	
Justification of the trend	

#### Indicator 15: Best Practices and Guideline index – Number of actions under the programme organised in this area

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of actions
Cut-Off Date	
Data source	Activity Reporting Tool (ART) managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year
Full metadata available at this address	
Justification of the trend	

#### Indicator 16: Best Practices and Guideline index - Percentage of participants that made use of a working practice / guideline developed with the support of the programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									>70%
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage %
Cut-Off Date	
Data source	Surveys managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Every 18 months as from June 2021
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

*Previous Program 1 : Action programme for taxation in the European Union (Fiscalis 2020)*

**General Objective 1 :to improve the proper functioning of the taxation systems in the internal market by enhancing cooperation between participating countries, their tax authorities and their officials**

**Indicator 1:ease of paying taxes**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
MS within the top 50										
2010	Milestones									2020
10	13	Improve the ranking of individual Member States	No member State below the rank of 120	No member State below the rank of 120	No member State below the rank of 120	No member State below the rank of 120	All Member within the top 100, Member which are already in top 100 in 2010 move to the top 50			All Member within the top 100, Member which are already in top 100 in 2010 move to the top 50
	Actual Progress									Final
	11	14	20	17	19	18	17			
MS between the ranks 51-100										
2010	Milestones									2020
10	13	Improve the ranking of individual Member States	No member State below the rank of 120	No member State below the rank of 120	No member State below the rank of 120	No member State below the rank of 120	Those Member States which are already in top 100 in 2010 move to the top 50			Those Member States which are already in top 100 in 2010 move to the top 50
	Actual Progress									Final
	12	12	7	10	8	9	9			
MS between the ranks 101-120										
2010	Milestones									2020
2	1	Improve the ranking of individual Member States	No member State below the rank of 120	No member State below the rank of 121	No member State below the rank of 122	No member State below the rank of 123	All Member States within the top 100			All Member States within the top 100
	Actual Progress									Final
	2			1	1					
MS below 120										
2010	Milestones									2020
5	1	Improve the ranking of individual	No member State below the rank of	All Member States within the top 100			0			

		Member States	120	121	122	123				
	Actual Progress									Final
	2	2	1			1	1			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of countries
Cut-Off Date	
Data source	<a href="https://www.pwc.com/gx/en/services/tax/publications/paying-taxes-2020/overall-ranking-and-data-tables.html">https://www.pwc.com/gx/en/services/tax/publications/paying-taxes-2020/overall-ranking-and-data-tables.html</a>
Narrative	This indicator measures the time necessary to prepare and pay taxes for the tax payer. A decrease in the time taken to prepare and pay taxes would show a reduction in compliance costs for tax payers.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This indicator is a composite indicator which is developed by the World Bank Group, IFC and PwC (own methodology). The indicator is usually calculated for countries world-wide in a manner which facilitates international comparison.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 1 :to support the fight against tax fraud, tax evasion and aggressive tax planning and the implementation of Union law in the field of taxation by ensuring exchange of information, by supporting administrative cooperation and, where necessary and appropriate, by enhancing the administrative capacity of participating countries with a view to assisting in reducing the administrative burden on tax authorities and the compliance costs for taxpayers**

**Indicator 1:the Common Communication Network for the European Information Systems**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0,9994	0,999	0,999	0,999	0,999	0,999	0,999	0,999			0,999
	Actual Progress									Final
	0,9989	0,9995	0,9998	0,99984	0,99976	0,9947	0,9997			

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage terms of the availability (time) of the Common Communication Network and Common System Interface (CCN/CSI)
Cut-Off Date	
Data source	IT statistics produced by TAXUD.
Narrative	The Common Communication Network and Common System Interface (CCN/CSI), are indispensable for the running of the taxation related European Information Systems (EIS). The taxation EIS constitute interoperable and cost-effective IT solutions to support tax authorities in implementing EU legislation. The uniform implementation of tax policy is a key element to enhance the functioning of the single market, foster Union competitiveness and protect the financial and economic interests of the Union and its Member States. This indicator provides a measurement of the programme's results on the effective operation of the CCN/CSI.
Methodology	Timeliness: for the purpose of monitoring programme's objectives, the frequency is annual. However, availability can be also measured on weekly, monthly or quarterly basis, if needed for specific IT monitoring.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:the feedback from participating countries on the results of actions under the programme (collaboration robustness)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Network opportunity										
2012	Milestones									2020
	0,95	0,90	0,90	0,90	0,90	0,90	0,90			0,90
	Actual Progress									Final
	0,9515	0,9666	0,9700	0,9700	0,95	0,96	0,85			

Lasting network effect (at least one contact after the end of the programme activity)									
2012	Milestones								2020
	0,68	0,80	0,80	0,80	0,80	0,80	0,80		0,80
	Actual Progress								Final
		0,7261	0,69	0,75	0,62	0,67	0,56		
Cooperation: Number of face to face meetings									
2012	Milestones								2020
295	295	295	500	500	500	500	500		500
	Actual Progress								Final
	247	632	586	563	556	590	73		
Number of online groups (taxation and joint groups)									
2012	Milestones								2020
30									
	Actual Progress								Final
	109	126	174	152	177	227	270		

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Relevant for each sub indicator (top to bottom of the table):a) Degree of networking expressed in percentage terms of positive replies.b) Degree of networking expressed in percentage terms of positive replies.c) Number of face-to-face meetings held under the programme.d) Number of ongoing on-line collaboration groups on the Programme Information and Collaboration Space (PICS).
Cut-Off Date	
Data source	Relevant for each sub indicator (top to bottom of the table):a) Relevant question on the Event Assessment Form (EAF).b) Relevant question on the Event Assessment Form (EAF).c) Activity Reporting Tool (ART). ART is an IT tool used to manage activities carried out under the Customs and Fiscalis programmes.d) Programmes Information and Collaboration Space (PICS). PICS is DG TAXUD's online collaboration tool for tax and customs professionals working in administrations across Europe.
Narrative	
Methodology	Relevant for each sub indicator (top to bottom of the table):a) EAFs are filled in online via EUSurvey by participants to an event. Timeliness: annual frequency; data collection for year X takes place between March X and March X+1.b) EAFs are filled in online via EUSurvey by participants to an event. Timeliness: annual frequency; data collection for year X takes place between March X and March X+1.c) Query in ART: total number of meetings, minus virtual meetings. Timeliness: annual query.d) Query in PICS: on-line groups (total); filter results by programme.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data on networking effect can be obtained from the EAF and from the programme's poll. The networking data for 2020 are not available yet, as the collection of data is performed during the month of February 2021. The data will be analysed on the first week of March and available by mid of March. Next year, the collection of data will be anticipated in January, in order to have them available for the programme statements exercise.
Full metadata available at this address	
Justification of the trend	The network indicators and number of face-to-face meetings in 2020 have been hugely impacted by the Covid-19 pandemic due to travel restrictions.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

### 6.5.1. Goals

#### *SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*

The Commission's general objective is to ensure that tax policy supports wider EU policy objectives for smart, sustainable and inclusive growth in the EU. The Fiscalis 2020 programme through its activities contributes to the achievement of the following Sustainable Development Goals: Goal 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all, Goal 10 Reduce inequality within and among countries, Goal 12 Ensure sustainable consumption and production patterns (one of the targets includes restructuring of taxation).

Example: the One Stop Shop (OSS), an extension of the 'Mini One Stop Shop' (MOSS) to all types of services as well as to distance sales of goods, both intra-EU and from third territories or third countries to the EU, entered conformance testing in preparation for the postponed launch date of the VAT eCommerce Package on 1 July 2021. OSS will allow companies that sell goods online to their customers to deal with their VAT obligations in the EU through one easy-to-use online portal in their own Member State and their own language. Without the portal, VAT registration would be required in each EU Member State into which they want to sell – a situation cited by companies as one of the biggest barriers for small businesses trading cross-border.

**HEADING 1: Single Market, Innovation and Digital****Cooperation in the field of customs (CUSTOMS)****Lead DG: TAXUD**

1. Overview .....	334
1.1. Challenges .....	334
1.2. Mission (general objectives) .....	335
1.3. Specific objectives .....	335
1.4. Public intervention context .....	335
1.5. Actions .....	335
1.6. Delivery mode .....	335
1.7. Graphic overview of the programme structure .....	336
1.8. Legal basis and financial programming .....	336
1.9. Link with the 2014-2020 MFF .....	336
1.10. Relevant websites providing more information .....	336
2. Where are we in the implementation ? .....	336
2.1. Programme 2021-2027 .....	336
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	337
3. How is the programme performing ? .....	337
3.1. Performance .....	337
3.2. Key achievements .....	339
3.3. Evaluations, studies and reports .....	341
4. Programme 2021-2027 - Key monitoring indicators .....	342
Specific Objective 1 :Support the preparation and uniform implementation of customs legislation and policy as well as customs cooperation and administrative capacity building, including human competency and the development and operation of European electronic systems. ....	342
5. Programme 2014-2020 - Key monitoring indicators .....	347
Previous Program 1 : Action programme for customs in the European Union (Customs 2020) .....	347
General Objective 1 :to support the functioning and modernisation of the customs union in order to strengthen the internal market by means of cooperation between participating countries, their customs authorities and their officials .....	348
Specific Objective 1 :to support customs authorities in protecting the financial and economic interests of the Union and of the Member States, including the fight against fraud and the protection of intellectual property rights, to increase safety and security, to protect citizens and the environment, to improve the administrative capacity of the customs authorities and to strengthen the competitiveness of European businesses .....	348
6. The programme contribution to horizontal policies .....	353
6.1. Contribution to climate mainstreaming .....	354
6.2. Contribution to biodiversity mainstreaming .....	354
6.3. Contribution to clean air financing .....	354
6.4. Contribution to gender equality .....	354
6.5. Contribution to the sustainable development goals .....	354

**1. Overview****1.1. Challenges**

Customs help safeguarding the financial interests of the Union and of the Member States and, in their role as guardians of the external EU border for goods, also protect the public against terrorist, health, environmental and other threats. The implementation of the digitalisation supported by different electronic systems touching upon all customs procedures can only be achieved through intense operational cooperation between customs administrations of the Member States, between them and other authorities, with trade and other third parties. The proposed programme supports information technology (IT) capacity building actions and human

networking and competency building actions. The digitalisation will enhance the competitiveness of European businesses and rebalance the important equilibrium between customs controls and facilitation of the legitimate flow of goods transiting or moving in and out of the Union.

For EU customs to be fit for the future, it needs to exploit the advantages of digitalisation, data and new technologies to a much greater extent. This will allow for faster, better and more streamlined controls and procedures at the EU border. DG TAXUD is focussed on developing a digitalised and data-rich EU customs through a series of complementary projects over the coming years. In 2020, DG TAXUD commenced work on EU Joint Analytics Capabilities. This is essentially an EU hub for the collection and analysis of data from a vast number of customs and non-customs sources. The Joint Analytics Capabilities is intended to complement Member States' own information capabilities, allowing them to undertake more focused, efficient and cost effective risk management and customs controls and to rationalise the use of scarce resources. These improvements will ensure better protection of the financial interests of the Union and greater security and safety of the Single Market. They will also contribute to the fight against fraud, management of prohibitions and restrictions, control of illicit cash movements, drug precursors or intellectual property rights, customs policy formulation and crisis responses.

The vast majority of the programme's budget will continue to focus on the development and operation of the European electronic systems. The IT related expenditure is projected to rise further in the future, as the new systems connected to the Union Customs Code (UCC) continue to be developed. A number of projects are planned to deliver new IT systems/applications or evolutions in the period of 2021-22, including: NCTS Phase 5, AES, CS/MIS2, ieCA, ICS2, CRMS2, REX Specific Trader Portal (REX3), COPIS eAFA implementation, evolution of SURV-RECAPP and Surveillance3 for the implementation of VAT eCommerce project, first iterations of CUP-MIS, evolutions of Single Window and the phase 1 of UCC Centralised Clearance for import (CCI).

## **1.2. Mission (general objectives)**

Many of the activities in the customs area are of a cross-border nature, involving and affecting all 27 Member States, and therefore cannot be effectively and efficiently delivered by individual national administrations. The Programme has the general objective to support the customs union and customs authorities working together and acting as one to protect the financial and economic interests of the Union and its Member States, to ensure security and safety within the Union and to protect the Union from unfair and illegal trade, while facilitating legitimate business activity.

## **1.3. Specific objectives**

The Programme has the specific objective to support: the preparation and uniform implementation of customs legislation and policy; customs cooperation; administrative and IT capacity building, including human competency and training, as well as the development and operation of European electronic systems; innovation in the area of customs policy.

## **1.4. Public intervention context**

The legal base of the Customs Programme is defined in the Treaty on the Functioning of the European Union, and in particular its rules on customs cooperation (Article 33), the approximation of laws (Articles 114) and the common commercial policy (Article 207). The basis for managing the customs union is the Union Customs Code, which is agreed by the European Parliament and the Council of the European Union. As new processes are implemented and new challenges arise, the Commission and national customs authorities work together to revise the various implementing procedures of the code.

Responsibility for customs policy is at the level of the European Union. However, implementing the customs union relies on close partnerships with and between Member States. The European Commission proposes EU customs legislation and monitors its implementation. It also works to ensure that the customs union is fully equipped with modern, effective and interconnected customs administrations to face both current and future challenges.

The Customs Programme enables national customs administrations to create and exchange information and expertise. The Customs Programme allows joint development and operating major trans-European IT systems together, as well as establishing networks by bringing together national officials from across Europe.

## **1.5. Actions**

The Customs programme offers Member States a Union framework to develop activities through cooperation amongst national customs officials, on the one hand, and IT cooperation and capacity building, on the other hand. In this regard, it provides financial sustainability of the interoperable and interconnected European Information Systems, which implement with greater economies of scale and efficiency inter alia the requirements behind the Union Customs Code (UCC). Additionally, the joint actions give the administrations unequalled opportunities for cooperation, communication and networking, ultimately building trust and leading to greater convergence of approaches and practices. The Customs programme also funds human competency building initiatives.

## **1.6. Delivery mode**

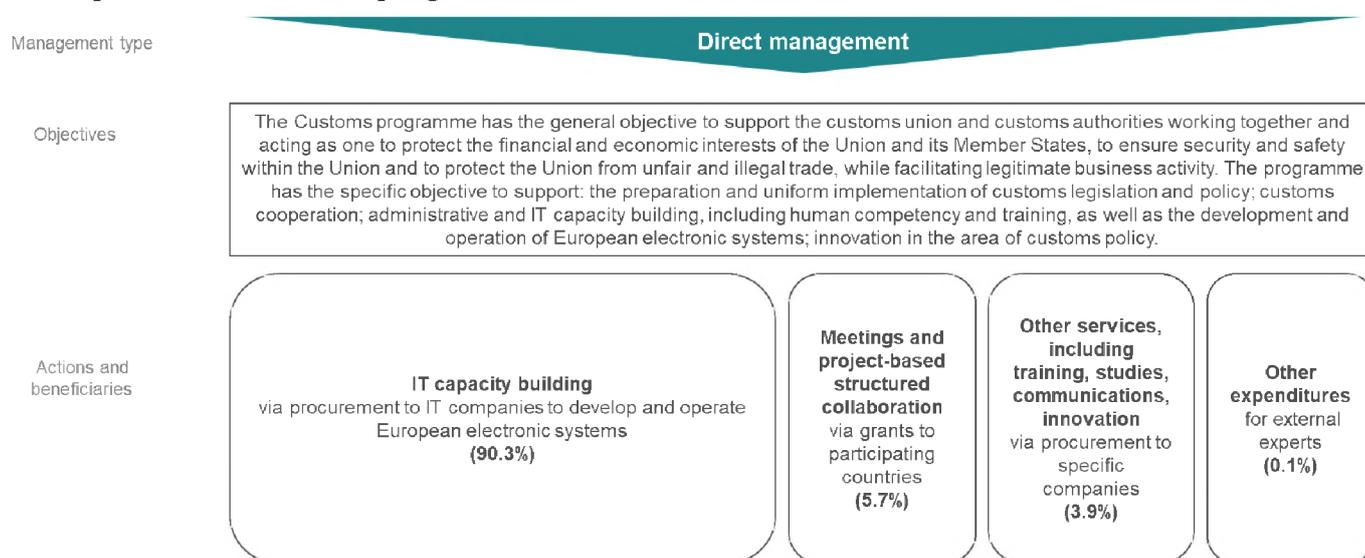
The Customs programme will be implemented in direct management by DG TAXUD through:

- Procurement contracts: for the European Information Systems expenditure, training activities and studies.

- Grant agreements with the participating countries: for collaborative actions and expert teams.

Work programmes will be established – together with the stakeholders – stipulating the priorities for a specific period.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 442: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the 'Customs' programme for cooperation in the field of customs	2021 - 2027	950,0

### 1.8.2. Legal basis explanation

The legal base of the Customs programme is the Regulation (EU) 2021/444 of the European Parliament and of the Council establishing the 'Customs' programme for cooperation in the field of customs and repealing Regulation (EU) No 1294/2013. Further, the Multiannual Work Programme constitutes the framework for the implementation of the programme.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>126,9</b>	<b>130,4</b>	<b>133,1</b>	<b>135,7</b>	<b>138,4</b>	<b>141,2</b>	<b>144,3</b>	<b>950,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The Customs programme is a continuation of the Customs 2020 programme, but it will entail greater intensity in the way cooperation will take place and as regards the number of electronic systems, as well as the possibility to take on board a certain level of innovation.

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/taxation\\_customs/customs-2021-2027\\_en](https://ec.europa.eu/taxation_customs/customs-2021-2027_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The plan is to start the new Customs programme in Q2 2021.

2021-2027 programme	2021	2022
Commitment appropriations	126.587.000	130.144.000
Payment appropriations	25.000.000	87.528.568

The new Customs programme represents a significant increase (78%) in budget compared to the predecessor programme, mainly due to the increased needs for trans-European Customs IT systems. Approximately 20% of expenditure committed in 2021 will be paid in 2021, 45% will be paid in 2022.

COVID-19 pandemic has affected programme grant activities in the absence of travels and therefore of costs related to them as activities have been held virtually. Nevertheless, grants only represent approximately 5,7% of the Customs programme and not all eligible costs are linked to travels. As a result, we may conclude that the impact on the programme is relatively low. In 2021, we foresee a gradual increase of the consumption by the end of the year due to the rollout of the vaccines, and a better scenario for 2022.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	532,403,385	431,421,057
Implementation Carry-overs	87,078	343,511
Implementation total	532,490,464	431,764,568
total envelop*	532,501,555	
cumulative implementation rate	100%	81%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

As can be seen from the above financial performance table, 100% of the programme's total commitment appropriations (EUR 532 501 555) have been consumed. To date, 81% has been paid. The remaining payments will be finalised in the 2021-2023 period.

2014-2020 programme	2020	2021	2022
Commitment appropriations	75.164.000	NA	NA
Payment appropriations	93.498.094	61.000.000	25.841.760

COVID-19 pandemic has affected programme grant activities in the absence of travels and therefore of costs related to them as activities have been held virtually. Nevertheless, grants only represent approximately 5,7% of the Customs programme and not all eligible costs are linked to travels. As a result, we may conclude that the impact on the programme is relatively low. In 2021, we foresee a gradual increase of the consumption by the end of the year due to the rollout of the vaccines, and a better scenario for 2022.

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.3. Previous programme performance

The data collected in the performance measurement of the programme from 2014 (first year of implementation) until 2019 (latest complete measurement of performance indicators), together with the results of the Mid-Term Evaluation show that Customs 2020 is on course to fulfilling its objectives and that it plays an important role in facilitating the implementation and development of Union customs policy. The programme has been effective in providing solutions for problems with a clear EU dimension. This is anchored in its role as facilitator of cooperation between participating countries, including their national administrations and economic operators. Many of the joint actions were directly supporting implementation of a policy or a plan. By providing

mechanisms for discussions, exchange of information, networking between participating countries, Customs European Information Systems and common training, the programme ensures a harmonised approach to the implementation of customs legislation, procedures and rules. Efficiency gains and costs savings are among the key elements of EU added value when it comes to the IT systems. They help the national administrations save time and resources, particularly for participating countries with smaller customs administrations and fewer resources. The interoperability and interconnectivity provided through the central systems would be highly impractical and costly to produce through other means. Thanks to the programme, these results have been achieved more effectively and efficiently, saving significant resources for national administrations. The same is true for the common training activities, which provide access to standardised and comprehensive information on the various aspects of the functioning of the Customs Union. The functioning of the customs union and the further integration of the national customs authorities that run it remain entirely dependent on Customs 2020. In view of the rapid changes and challenges ahead the EU customs union, the programme's continuous support is considered essential.

The main conclusions of the Mid-Term Evaluation can be found below:

- **RELEVANCE:** the programme has been highly relevant to meet the needs of the customs administrations, the economic operators, the citizens and ultimately the customs union as a whole. Throughout the years, it has engrained in the national and European customs landscape, policies, processes and procedures, providing interoperable, interconnected and reliant European Information Systems. As the Member States are dependent on each other in pursuing their customs functions well, they need effective and efficient tools for communication, exchange of information and overall cooperation, all of which are the programme's objectives.
- **EFFECTIVENESS:** the programme was effective in the achievement of its objectives and contributing significantly to the good functioning of the customs union and its modernisation. It fostered cooperation and exchange of information, ranging from facilitating convergence at the strategic level to approximating approaches, interpretation of law, administrative procedures, best practice and rules at the operation level. The secured platform for information exchange helped Member States and economic operators to overcome their reluctance of sharing sensitive data and built trust. Further exchanges of best practices and learning were possible thanks to the programme's joint actions. The value of human networks and personal contacts were amongst the programme's most appreciated benefits.
- **EFFICIENCY:** the most resource-intensive component – the European Information Systems – were also the most useful, bringing an array of benefits in all areas of customs activities including harmonisation of customs procedures, uniform implementation of the customs law, sharing of information and generating economies of scale, particularly through the centralised systems. Different benefits stem from the joint actions and training activities, which provide framework for broad and inclusive continuous collaboration, increasing understanding, knowledge and capacity, creating professional bonds and acting as catalysts.
- **EU ADDED VALUE:** the programme's greatest EU added value lies in supporting all the aspects of the implementation of the UCC, which demand EU solutions for EU problems, and close cooperation of the Member States, which need to apply the same rules and assist each other in pursuing the customs union's objectives.
- **COHERENCE:** Customs 2020 has become an integral part of the EU's broader policies and coherent with the EU's goal of creating a modern, paperless environment for customs and trade, while preserving the EU's financial, economic and societal interests and wellbeing. By supporting the implementation of the UCC, the programme contributes to facilitation of trade and reduction of costs for businesses, increasing their productivity and competitiveness.

The COVID-19 pandemic largely affected the numbers of collaborative actions and events since March 2020: almost all the face-to-face meetings after April 2020 were cancelled, and many of them have been replaced by online meetings. The total numbers of meetings however dropped, in particular during Q2 2020, when the physical meetings, cancelled due to the pandemic, were not automatically replaced by virtual ones, due to late notice, technical difficulties, or uncertainty of the confinement. After the summer 2020, however, the number of virtual meetings increased, allowing business owners and national administrations to perform the planned and new programme activities: the total number of events for 2020 is 282, with 85 face-to-face meetings and 197 virtual meetings. In 2014, a score of 3.2 was achieved on the extent to which programme activities achieved their expected results, on a scale from 0 to 4 (fully). Over the last three years, this value has remained above 3.3 (to be confirmed as the data for 2020 are still in the process of collection at the time of writing), which shows the consolidation in the achievement of results over the course of the programme's implementation.

Ensuring the business and IT systems' continuity is a major responsibility under the programme since disruptions in the operation of the European Information Systems would affect customs national administrations, citizens and businesses across the entire EU, and hamper the functioning of the internal market. The underlying infrastructure (Common Communications Network/Common Systems Interface CCN/CSI) developed, managed and maintained by the Commission was available during the period 2014-2020 more than 99 % of the time during working hours. In particular during 2020, the availability of this platform was 99.97 %, which represents 0.5 percentage points more than in 2019 and in line with the target (99.9 %). All the centralised IT customs applications remained available 99.82 % of the time, which represents an increase of 3.55 percentage points more than in 2019 and well above the target (97 %).

The collaboration between customs officials is a key sustainable success factor for the customs policy in Europe. This collaboration improves the understanding and the implementation of the customs law. The feedback from participants in joint actions financed from the Customs programme shows that the collaboration robustness between programme stakeholders (customs national administrations) is progressing in the desired direction. In 2014, more than 95 % of the responding participants declared that the

programme provided a good opportunity for them to expand their network of customs officials abroad; similar outcome has been maintained in the following years, well above the target of 90 %. However, in 2020, the rate has dropped to 81 %, most likely due to the COVID pandemic. Additionally, in the same period, the number of respondents who declared that they have been in contact for work purposes with the officials they met during programme activities (lasting networking effect) has reached 55 % in 2020, again due to the COVID pandemic. The figures on network opportunity and lasting networking effect show some fluctuations over the years, but overall the rates are above/close the baseline and there is a progress towards the targets (already achieved in relation to network opportunity). In order to improve the lasting networking effect, work continues on improvements in the area of communication and to facilitate online collaboration and sharing between the participants of programme activities after the events end. In addition, the decrease in the long-lasting network effect rate may be the result of an unclear understanding of the different possibilities to 'be in contact', which more often includes collaborative tools beyond the traditional contacts, such as physical meetings or direct phone calls. Additional explanations have been included in the form requesting feedback from participants, where this information is extracted from.

In relation to training activities, we can observe a very positive trend overall throughout the period. In particular for 2016, there was a high number of releases of training modules dedicated to the Union Customs Code (UCC), which resulted in exceptionally large increases in both the number of officials trained by using common training material of the Union and the number of times Programme eLearning modules were downloaded. Figures in 2017, 2018 and 2019 remained at very high levels in comparison with the baseline given the EU-wide relevance of the topics on which EU eLearning materials are currently developed, e.g. supporting the UCC-based IT systems roll-out (like the REX system, CDS system, trader portal for AEO and for EBTI and similar). A similar positive use tendency has been confirmed also in 2020 where 34 347 eLearning modules have been downloaded with 125 436 reported traders trained on them. The number of officials trained in 2020 reached more than 18 000, which represents a result aligned with previous years.

### 3.2. Key achievements

8 373 000 000	18 109	56	99.51%	39
messages were exchanged in 2020 on the Common Communication Network / Common Systems Interface, i.e. close to 1 million messages exchanged every hour on average.	officials were trained by using EU common training material in 2020.	European Information Systems were in operations at the end of 2020.	of the time, the main Customs systems (NCTS, ICS and ECS) were available.	e-learning courses on customs topics were available by the end of 2020 in multiple EU languages, resulting in 355 language versions.

Throughout 2020, DG TAXUD worked intensively on managing the UK's withdrawal from the EU and on the negotiations for a future relationship. This work spanned the entire DG, covering customs, preferential access, VAT, excise duties, direct taxation and IT systems. DG TAXUD was central to the work on the implementation of the Withdrawal Agreement and Ireland/Northern Ireland Protocol, notably the establishment of a strong Union Presence in Northern Ireland. To ensure that EU businesses were informed and prepared for the end of the transition period, DG TAXUD carried out a successful communications campaign, while also working closely with Member States, traders, businesses and other stakeholders to explain and clarify the upcoming changes in tax and customs due to Brexit. DG TAXUD also ensured the necessary adaptations to the electronic customs and taxation systems impacted by Brexit. This work was prepared and performed in collaboration with EU Member States and the UK. The smooth operation of the trans-European systems as of 1 January 2021 is proof of the success of this work.

DG TAXUD delivered rapid, well-targeted actions in response to the health crisis due to Covid-19 pandemic. Customs initiatives were swiftly implemented to facilitate smooth supply chains of vital medical and protective equipment, while new proposals were put forward to support crisis-struck businesses. These included the temporary suspension of customs duties payable on imports of vital goods, such as PPE and other medical equipment, needed to combat Covid-19; the creation of specific nomenclature codes, in order to monitor the trade flows of certain Covid-19 related goods (such as vaccines, masks, test kits, etc.); a recommendation to facilitate the import of personal protection equipment and medical devices; information sharing with all national customs authorities on dangerous, counterfeit or substandard medical devices and medical supplies, to ensure that those goods were stopped at the border; guidance to ensure the harmonised interpretation of EU legislation on customs in pandemic times.

Strengthening security and protection of citizens while facilitating legitimate international trade, pursuing customs modernisation as well as developing and managing an effective and efficient EU customs union have been part of the Union's priorities for Customs Policy. Those priorities are implemented largely through the Customs 2020 programme.

The achievement of these priorities is enabled under the programme, mainly through setting-up of a paper-less customs environment. This environment improves both the trade facilitation and the effective enforcement of rules for protection of EU financial, safety and security interests. Mainly, the European Information Systems supported by Customs 2020 play a vital role in interconnecting customs authorities. The functioning of these IT systems is enabled by the closed and secure Common

Communication Network/Common Systems Interface (CCN/CSI) infrastructure, which since the launch of the programme in 2014 has performed with high availability and reliability (see Indicator 3). The CCN/CSI network registered over 8 373 million messages exchanged during the period January 2020 – December 2020, compared to 6 902 million messages exchanged during 2019. This represents a 21.3 % growth of the number of messages. In terms of traffic, the CCN Network registered around 42.21 TB during the period January 2020 – December 2020, compared to around 32.23 TB during 2019. This represents an increase of 31 % of traffic volume. The high volume of information channelled during the year via CCN/CSI and EIS, shows that the programme is a solid and robust enabler for the paper-less environment and information exchange amongst customs and tax authorities.

The correct calculation of tariffs and the fight against fraud are crucial to the protection of EU's financial interests. In this sense, TAXUD continued to ensure during 2020 the daily update of the TARIC system (Integrated Tariff of the EU), that provides the required data for the customs clearance systems of the Member States and gives economic operators a comprehensive view of all the measures applicable when importing or exporting goods into/from the EU. Other EIS such as NCTS (New Computerised Transit System) allow to monitor the movement of goods within the EU territory and to identify cases of fraud or non-payment of customs duties. NCTS has created traceable records for each transit transaction reducing the deviation from standard procedures. The Import Control (ICS) and the Export Control (ECS) systems are two of the main systems that contribute to increased interconnectivity among Member States and with economic operators. In 2020, the systems (NCTS, ICS and ECS) have maintained the highest availability rate over the last 3 years (99.51 %).

Since the launch of the programme, IT developments and adaptations of the IT environment to the UCC have been carried out, bringing the total number of EIS in operations to 56. These developments were essential for a well-functioning and modern customs union. During 2020, the Customs 2020 programme continued to finance the development of new EIS projects, in close cooperation with national customs authorities and in line with the deadlines agreed with the Member States and trade. DG TAXUD progressed in 2020 in the development of the Import Control System 2 (ICS2) and of the reshaped Customs Risk Management System (CRMS2). The two systems are core Union customs instruments aimed to protecting the external borders of the EU internal market from risks linked to the international movement of goods, including those associated to terrorism and crime. ICS2 is a large-scale system and underpins customs pre-arrival safety and security programme. It provides a new platform for collection of advance electronic data on all goods and shipments prior to their arrival to the Union customs territory and from different trade sources.

In 2020 DG TAXUD completed the deployment of all central components of ICS2 and got ready for the conformance testing activities with Member States with a view to rendering the first phase of the system into operation on 15 March 2021 as per the revised UCC Work Programme. Under this programme, the UCC Automated Export System (AES) project and the UCC NCTS Phase 5 have made significant progress during 2020 and will be starting the operations in 2021. The AES aims to develop the existing trans-European Export Control System to enable full automation of export procedures and exit formalities in accordance with the business requirements for processes and data brought about by the UCC. NCTS Phase 5 aims to align the NCTS system with the new UCC requirements except in safety and security data elements in transit customs declarations of goods brought into the customs territory of the Union.

On 1 June 2020, the European Commission launched the electronic system for INF (replacing the previously paper-based Information sheets for special procedures), a new trans-European system required by the UCC to support the standardised electronic handling of INF data in the domain of Special Procedures. The INF system is integrated in the EU Customs Trader Portal, which enables traders to submit electronically the information from their inward and/or outward processing activities to the customs authorities for the processing of the data in relation to the associated import and export modalities.

In 2020, customs officials continued to exchange views and best practices in the joint actions organised under the programme. Working practices, administrative procedures and guidelines were developed and shared among the national administrations following the joint actions. These outcomes assist countries to increase the performance, effectiveness and efficiency of the customs administration. Guidelines and recommendations were also produced to support the implementation of Union law in the national administrations. They identify and address outstanding technical issues and constitute background information for Union law preparation and review. The number of guidelines and recommendations issued in 2020 further to a programme joint action (indicator 4) and in the national administrations following participation in programme activities (indicator 2) are still unknown at the time of publication. More than 74 % of the responding participants in these joint actions declared that from a professional point of view, the activities were very useful or useful for them. In the coming years, it is intended to maintain a similar high level of relevance perception.

In 2020, the expert teams remained the flagships of the programme toolkit helping to reach the goals of the Customs 2020 programme. The expert team approach allows customs experts of Member States to have in depth cooperation on operational issues which go beyond the traditional means of cooperation to realise the pre-identified objectives of a common long term project (expert teams are active between 12 and 36 months). This approach gives the chance to involve more the participants and make their administration more committed to the projects. In the customs domain, all the ongoing expert teams continued their activities or renewed their committed work under a new grant agreement. Customs Laboratories (CLET), Binding Tariff Information (BTI) and the Customs IT Collaboration (ETCIT) continued their work throughout 2020; meanwhile the EU Eastern and South-Eastern Land Border Expert Team (CELBET) started the next phase for 3 years. This latter expert team, the CELBET 3, constantly improve the collaboration at the level of the customs experts at the Eastern and South-Eastern EU land frontier by producing analysis on Border Crossing Points, scanners, tactical and strategical methodology, and risk management. The CLET 2 also further maintained their targeted analysis by continuing to pool expertise and equipment in a network (meta-laboratory) to analyse samples and share analytical results. The BTI 2 expert team also managed to go on with supporting all Member States in the analysis of the complex

cases of divergent classification of goods and in proposing an expert opinion on the result. The ETCIT 2 expert team continued to explore and identify new approaches for customs IT systems development and operation, including the realisation of a pilot project among Member States.

The Customs 2020 programme finances also the development of eLearning courses on topics of common interest in collaboration with customs administrations and representatives of trade. Such courses support the implementation of EU legislation and ensure the dissemination of good customs practices throughout the European Union. As in the previous year, in 2020, TAXUD continued to support in particular the implementation of the UCC, by supporting its related IT systems for public and private customs users with eLearning modules, namely through producing new EU eLearning modules for MS supporting the release of new UCC IT system, such as on UCC Information Sheets for Special Procedures (UCC INF) and on the Classification Information System (UCC CLASS). Two further technically very enhanced EU eLearning modules were produced in 2020 on Customs Radiation and Nuclear detection (EUSECTRA).

In 2020, multiple further language versions of the recent UCC IT systems were produced, such as for the EBTI-3 IT system (for public sector), the EU Trader Portals on EBTI and on AEO (for private sector and economic operators) and the UCC Customs Decision Systems (CDS IT System). In total, by end 2020 the EU eLearning portfolio contains 39 eLearning courses in the customs area (compared to 30 by end 2019), each available in a multitude of national languages, all of which support customs professionals from both public and private sector with the application of the UCC and related common customs legal, operational and technical requirements. By end 2020, this further enlarged EU eLearning portfolio was available in a content-updated, technically innovated format (also allowing for use on mobile devices) as well as fully compliant with BREXIT.

Furthermore, Customs 2020 continued to support national customs administrations with the national implementation and/or introduction of competency-based staff development and training, based on the EU Customs Competency Framework (CustCompEU), through a series of common and/or country-specific implementation training events in 2020 (e.g. Common Learning events, Communication support) as well as through the further development of a customs-specific Competency Assessment Tool (CAT), available for national use in all EU languages since end 2020.

In 2020 the European Commission further awarded 5 more Universities for their high quality academic customs study programmes (MA/BA level), acknowledging their leading role in raising Customs performance and professionalism. As in the previous year, cross-country expertise sharing/-building was provided throughout 2020, e.g. in form of multiple CLEP events (Common Learning Events Programme), held predominantly virtual in 2020, in adaptation to the COVID-19 situation. Similarly, innovative common knowledge building and/or – sharing formats were further explored throughout 2020, such as targeted training delivery in form of nano-learning (EU nano-learning concept developed and first pilot nano-module developments started). This provides the foundation for a further enhanced structured EU Customs Training cooperation strand for the years to come.

Regarding economic operators, the aims and activities of the programme are consistent with needs to minimise administrative burdens and maximise legal certainty. Most of the programme activities allow the national customs administrations to work and share information in a better way resulting in indirect benefits for the economic operators in the form of more efficient customs processes. Similarly, the eLearning modules support a harmonised application of EU law. More directly, economic operators can use certain Customs Information Systems as part of simplified and standardised customs procedures, take part in some joint actions and participate in certain eLearning modules. Although the programme does not involve European citizens directly, it addresses issues related to safety, security and trade facilitation that are important to them, such as fighting smuggling and fraud and protecting citizens from security threats.

### 3.3. Evaluations, studies and reports

The Customs programme finances the procurement of studies, evaluations and comparative analysis in the customs area by external contractors, covering mainly technical issues as the ones mentioned below as examples:

- 2018: evaluation of the European Customs Inventory of Chemical Substances (ECICS) to assess the effectiveness, efficiency, relevance, EU added value and sustainability of the ECICS database. The ECICS database allows economic operators and national customs authorities to clearly and easily identify chemicals; classify them correctly and easily in the Combined Nomenclature and name them in all EU languages for regulation purposes.
- 2019: study to provide scientific and technical assistance in the field of scientific customs, in particular expertise in pharmaceutical science and botany. The study analysed scientific literature, databases and regulations, on plants and the alike (parts and extracts of plants, vitamins, minerals, traditional medicine and pharmaceuticals) in order to support the work of DG TAXUD and the Customs Code Committee when facing difficulties in the classification or naming of these products.

The evaluation of the drug precursors regulations was published in November 2020. Drug precursors have primarily large and varied legitimate uses, for example in the production of pharmaceuticals, cosmetics, plastics and perfumes – but they are also used for the production of illicit drugs such as heroin, cocaine and most importantly amphetamines. The evaluation found that implementation of the regulations varies substantially between Member States. Diversion from licit trade continues to occur and that the real scale of diversion and smuggling far outmatches the volume of seizures, indicating that the prevention of diversion has not been effective. Also, it appears that the current control and monitoring regime is not able anymore to address the overall needs. The evaluation also provided recommendations to improve efficiency, and in terms of coherence the need to keep the EU drug precursor policy fully aligned with the EU Drugs Agenda and Action Plan.

The Performance Measurement Framework (PMF) study was finalised (in December 2020) by an external contractor for both Customs 2020 and Fiscalis 2020 programmes. The study confirmed the Mid-Term Evaluation conclusions on the current PMF by the criteria of its effectiveness, efficiency, coherence, relevance and alignment with the Better Regulation Guidelines' principles. The study team identified the PMF strengths (i.e. elements to retain) and weaknesses (i.e. areas for improvement): in particular, it identified weaknesses with the quality of indicators to meaningfully assess the performance of the programmes across the activities supported, but also its limited utility and visibility among stakeholders. Most importantly, the report presented a proposal for a new PMF and new tools for its implementation. These include updated intervention logics, lists and definitions for proposed indicators, suggested roles and responsibilities for stakeholders within DG TAXUD, data collection tools, and PMF management and reporting tools. The new framework is currently a work in progress to be finalised in Q2 2021.

In addition to technical studies and evaluations, the mid-term evaluation of Customs 2020 was published in 2019 ([SWD\(2019\)14 final](#))<sup>1</sup>. The key findings of that evaluation have been presented in the Programme Statement DB2020. The final evaluation of Customs 2020 was launched in the second half of 2020, with a report to be prepared by the end of 2021.

The studies and evaluations financed under the programme Customs 2020 can be found on the TAXUD EUROPA website: [https://ec.europa.eu/taxation\\_customs/calls-tenders-grants-calls-expression-interest\\_en](https://ec.europa.eu/taxation_customs/calls-tenders-grants-calls-expression-interest_en) and on the EU Bookshop on <https://bookshop.europa.eu/en/home/> (author: Directorate-General for Taxation and Customs Union).

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :Support the preparation and uniform implementation of customs legislation and policy as well as customs cooperation and administrative capacity building, including human competency and the development and operation of European electronic systems.**

**Indicator 1:Union Law and Policy application and implementation index - Number of actions under the programme organised in this area**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of actions
Cut-Off Date	
Data source	Activity Reporting Tool (ART) managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Union Law and Policy application and implementation index – Number of recommendations/guidelines issued following those actions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

<sup>1</sup> Evaluations of Customs 2020 are conducted in accordance with Art. 18.1 of Regulation 1294/2013

Are we on track	
Indicator type	Output
Unit of measurement	Number of recommendations/guidelines
Cut-Off Date	
Data source	Surveys managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Learning index - Number of customs officials trained by using common training material**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Annual value equal or superior to 17,900
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of customs officials trained
Cut-Off Date	
Data source	Data provided by national administrations and Activity Reporting Tool (ART) (managed by DG TAXUD)
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Average of 2014-2020, without 2019 figures as they strongly diverged from other years due to exceptional circumstances.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Learning index - Number of times eLearning customs modules were downloaded**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the benchmark, i.e. the 2014-2020 average (275 per year)
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of e-learning modules used
Cut-Off Date	
Data source	Data provided by national administrations
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF, but we count the number of eLearning Customs modules used and not only downloaded
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Average of 2014-2020. We count the number of eLearning Customs modules used and not only downloaded
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Learning index - Quality scored by participants in training activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									>70%
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	% percentage
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF.
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Average of 2018-2020. Target: Corresponds to a 'very good' score using the applied methodology (Kirk Patrick quality score)
Full metadata available at this address	
Justification of the trend	

### Indicator 6: Availability of European electronic systems

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Will correspond to a value close to 100%, taking into account data from previous years
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	percentage of time
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC, it will correspond to a value close to 100%, taking into account data from previous years
Full metadata available at this address	
Justification of the trend	

### Indicator 7: Availability of the Common Communication Network

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Will correspond to a value close to 100%, taking into account data from previous years
	Actual Progress									Final

Are we on track	
Indicator type	Output

Unit of measurement	percentage of time
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC, it will correspond to a value close to 100%, taking into account data from previous years
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Use of key European electronic systems aimed at increasing interconnectivity and moving to a paper-free Customs Union - Number of messages exchanged on the key EES/system components**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of messages exchanged
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC Value corresponding to a significant percentage of the baseline. As these indicators are subject to strong fluctuations, the target will correspond to a lower bound under which the variation could be considered abnormal.
Full metadata available at this address	
Justification of the trend	

**Indicator 9: Use of key European electronic systems aimed at increasing interconnectivity and moving to a paper-free Customs Union - Number of records consulted in key databases**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of consultations carried out
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: To be confirmed. Target: TBC Value corresponding to a significant percentage of the baseline. As these indicators are subject to strong fluctuations, the target will correspond to a lower bound under which the variation could be considered abnormal.
Full metadata available at this address	
Justification of the trend	

**Indicator 10: Union Customs Code completion rate**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Approximately 75%	Milestones									100% by 2025
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	Output
Unit of measurement	Percentage %
Cut-Off Date	
Data source	DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Approximately 75% UCC completion rate at the end of 2020 (ECA report). Target: TBC 100% by 2025
Full metadata available at this address	
Justification of the trend	

**Indicator 11: Collaboration Robustness index - Number of face-to-face meetings held under the programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of meetings
Cut-Off Date	
Data source	Activity Reporting Tool (ART) managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Will be determined based on the first year of measurement
Full metadata available at this address	
Justification of the trend	

**Indicator 12: Collaboration Robustness index - Number of on-line collaboration groups**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									Stable value or increase compared to the first two years of measurement
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of groups
Cut-Off Date	
Data source	Programmes Information and Collaboration Space (PICS) and CIRCABC managed by DG TAXUD
Link to the objective	
Link MFF 14-20 / MFF 21-27	Indicator already present in 2014-2020 MFF
Other methodological comments	Timeliness: Yearly as from the first year. Baseline: Will be determined based on the first year of measurement
Full metadata available at this address	
Justification of the trend	

**Indicator 13: Collaboration Robustness index – Degree of networking generated**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
0	Milestones									>90%



**General Objective 1 :to support the functioning and modernisation of the customs union in order to strengthen the internal market by means of cooperation between participating countries, their customs authorities and their officials**

**Indicator 1:International Logistics Performance Index (LPI)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Within the top 30										
2010	Milestones									2020
15	15		No Member State below the rank 60		No Member State below the rank 60		All Members States within top 50			All Members States within top 50
	Actual Progress									Final
	15		15		16					
Between the ranks 31-50										
2010	Milestones									2020
7	12 (rank 31-60)		No Member State below the rank 60		No Member State below the rank 60		All Members States within top 50			All Members States within top 50
	Actual Progress									Final
	9		8		10					
Between the ranks 51-60										
2010	Milestones									2020
3			No Member State below the rank 60		No Member State below the rank 60		All Members States within top 50			All Members States within top 50
	Actual Progress									Final
	3		4		2					
Below the rank 60										
2010	Milestones									2020
3	1		No Member State below the rank 60		No Member State below the rank 60		All Members States within top 50			All Members States within top 50
	Actual Progress									Final
	1		1		0					

Are we on track	
Indicator type	Impact
Unit of measurement	Number of countries
Cut-Off Date	
Data source	<a href="https://lpi.worldbank.org/">https://lpi.worldbank.org/</a>
Narrative	The LPI is an interactive benchmarking tool created to help countries identify the challenges and opportunities they face in their performance on trade logistics and what they can do to improve their performance. The composite elements of this indicator are not exclusively related to the performance of the customs administrations. There are equally subjective elements in it, namely the opinions of traders and economic operators. For these reasons, it is difficult to rely solely on this indicator when assessing the impacts of the customs performance and, in particular, of the Customs programme.
Methodology	World Bank own methodology
Link MFF 14-20 / MFF 21-27	TBD
Other methodological comments	No data available, the LPI is measured once every 2 years
Full metadata available at this address	
Justification of the trend	

**Specific Objective 1 :to support customs authorities in protecting the financial and economic interests of the Union and of the Member States, including the fight against fraud and the protection of intellectual property rights, to increase safety and security, to protect citizens and the environment, to improve the administrative capacity of the customs authorities and to strengthen the competitiveness of European businesses**

**Indicator 1:the feedback from participants in actions under the Programme and users of the Programme index (Collaboration robustness)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Network opportunity										
2013	Milestones									2020
	0,96	0,9	0,9	0,9	0,9	0,9	0,9			0,90
	Actual Progress									Final
	0,97	0,96	0,96	0,96	0,96	0,96	0,81			
Lasting network effect (at least one contact after the end of the programme activity)										
2013	Milestones									2020
	0,70	0,80	0,80	0,80	0,80	0,80	0,80			0,80
	Actual Progress									Final
	0,72	0,73	0,70	0,78	0,73	0,70	0,55			
Cooperation: Number of face to face meetings										
2013	Milestones									2020
	380	380	380	380	380	380	380			380
	Actual Progress									Final
	265	547	552	448	473	570	85			
Number of online group (taxation and joint groups)										
2013	Milestones									2020
	Actual Progress									Final
	117	124	465	147	186	237	326			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Relevant for each sub indicator (top to bottom of the table):a) Degree of networking expressed in percentage terms of positive replies. b) Degree of networking expressed in percentage terms of positive replies.c) Number of face-to-face meetings held under the programme.d) Number of ongoing on-line collaboration groups on the Programme Information and Collaboration Space (PICS).
Cut-Off Date	
Data source	Relevant for each sub indicator (top to bottom of the table):a) Relevant question on the Event Assessment Form (EAF) and programme polls.b) Relevant question on the Event Assessment Form (EAF) and programme polls.c) Activity Reporting Tool (ART). ART is an IT tool used to manage activities carried out under the Customs and Fiscalis programmes.d) Programmes Information and Collaboration Space (PICS). PICS is DG TAXUD's online collaboration tool for tax and customs professionals working in administrations across Europe
Narrative	
Methodology	Relevant for each sub indicator (top to bottom of the table):a) EAFs are filled in online via EUSurvey by participants to an event. Timeliness: annual frequency; data collection for year X takes place between March X and March X+1. Programme polls are done via EUSurvey every 18 months. b) EAFs are filled in online via EUSurvey by participants to an event. Timeliness: annual frequency; data collection for year X takes place between March X and March X+1. Programme polls are done via EUSurvey every 18 months. c) Query in ART: total number of meetings, minus virtual meetings. Timeliness: annual query.d) Query in PICS: on-line groups (total); filter results by programme.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data on networking effect can be obtained from the EAF and from the programme's poll. In order to ensure comparability of results across years and consistency with figures reported in the AAR, the results for 2017 and 2018 have been modified to those obtained from the EAF. The data on networking for 2020 are not available yet, as the collection of data is performed during the month of February 2021. The data will be analysed on the first week of March and available by mid of March. Next year, the collection of data will be anticipated in January, in order to have them available for the programme statements exercise.
Full metadata available at this address	
Justification of the trend	The drop on above network indicators and number of face-to-face meetings in 2020 is due to the Covid-19 pandemic.

**Indicator 2: number of guidelines and recommendations issued by MS in their national administrations following activities under the Programme relating to modern and harmonised approaches to customs procedures**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0	94%	Improve the level of 2014			Improve the level of 2014					
	Actual Progress									Final
	108	151	82	186	66	236				

Are we on track	On track
Indicator type	
Unit of measurement	Recommendations and guidelines are counted individually, rather than by the number of documents containing them.
Cut-Off Date	
Data source	Relevant questions on the Event Assessment Form (EAF) and Action Follow up Forms (AFF).
Narrative	This indicator measures the extent to which participation in a programme's activity relating to modern and harmonized approaches to customs procedures led national administrations to develop their own guidelines and recommendations.
Methodology	EAFs and AFFS are filled in online via EUSurvey by participants to an event. Timeliness: annual frequency; definitive data for year X available in March year X+1.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The recommendations and guidelines are counted here individually, rather than by the number of documents containing them. Fluctuations in this indicator, however, need to be interpreted carefully, as not every recommendation or guideline is equally important and is dependent on its actual business value. Typically the collection of data is performed during the month of February / March and analysed on the month of March. The data for 2020 are not available yet, due to a technical issue with the survey, so a new survey needs to be relaunched and the data will be possibly available in May 2021. Next year, the collection of data will be anticipated in January, in order to have them available for the programme statements exercise.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: the Common Communication Network for the European Information Systems

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	0,999	0,999	0,999	0,999	0,999	0,999	0,999			0,999
	Actual Progress									Final
	0,9989	0,9995	0,9998	0,9998	0,99976	0,9947	0,9997			

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage terms of the availability (time) of the Common Communication Network and Common System Interface (CCN/CSI).
Cut-Off Date	
Data source	IT statistics produced by TAXUD.
Narrative	The Common Communication Network and Common System Interface (CCN/CSI), are indispensable for the running of the customs related European Information Systems (EIS). In accordance with the Union Customs Code and the e-Customs Decision, the customs EIS lie at the heart of the Customs Union, which is one of the elements supporting the smooth running of the Single Market by allowing the free circulation of goods. This indicator provides a measurement of the programme's results on the effective operation of the CCN/CSI.
Methodology	Timeliness: for the purpose of monitoring programme's objectives, the frequency is annual. However, availability can be also measured on weekly, monthly or quarterly basis, if needed for specific IT monitoring.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4: the Union Law and Policy Application and Implementation Index

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of actions under the Programme organised in this area										
2013	Milestones									2020
	67	Improve the level of 2014	Improve or stable	Improve or stable	Improve or stable	Improve or stable	Improve in the average score			Improve in the average score
	Actual Progress									Final
	67	65	123	122	114	132	88			
Number of recommendations issued following those actions										
2013	Milestones									2020
0		Improve or stable	Improve or stable	Improve or stable	Improve or stable	Improve or stable	Improve in the average score			Improve in the average score
	Actual Progress									Final

	312	290	225	267	133	163				
Are we on track	Moderate progress									
Indicator type										
Unit of measurement										
Cut-Off Date										
Data source										
Narrative	The Union Law and Policy application and implementation index measures the progress in the preparation, application and uniform implementation of customs legislation and policy inter alia on the basis of: number of actions under the programme organised in this area and number of recommendations/guidelines issued following those actions. The uniform implementation of customs legislation and policy is the pillar of the Customs Union, which is one of the elements supporting the smooth running of the Single Market by allowing the free circulation of goods.									
Methodology										
Link MFF 14-20 / MFF 21-27										
Other methodological comments	When counting the number of actions that are operational in a year under a specific objective, it should be taken into account that the indicator only counts the actions for which the objective in question was chosen as primary objective. This is done so to avoid counting twice the same action under different objectives. However, it should be noticed that there are many actions having "Support the preparation, coherent application and effective implementation of Union law/policy" as secondary objective that are not counted under this indicator. Content-wise, the projects are usually multi-annual rather than annual. The nr of recommendations for 2020 are not available yet, as the collection of data is performed during the month of February/March 2021. The data will be analysed available by end of March. In the following years, the collection of data will be possibly anticipated in January, in order to have them available for the programme statements exercise.									
Full metadata available at this address										
Justification of the trend	We should also take into account that, while earlier years had more actions in total, and more actions specifically addressing concrete issues, in the last years many actions were to a greater extent organised in broader projects covering themes rather than specific interventions. Content-wise, the projects are usually multi-annual rather than annual, as the actions and processes they cover stretch over more than one year. This may lead to less new initiatives and in a decrease in the total number. COVI-19 pandemic may have impacted the figures for 2020.									

### Indicator 5: the European Information System Availability

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Centralised IT customs applications (including tariff systems): business hours										
	Milestones									2020
	0,99	0,97	0,97	0,97	0,97	0,97	0,97			0,97
	Actual Progress									Final
	0,99	0,99	0,98	0,987	0,9944	0,9627	0,9982			
Centralised IT customs applications (including tariff systems): otherwise										
	Milestones									2020
	0,95	0,95	0,95	0,95	0,95	0,95	0,95			0,95
	Actual Progress									Final
	0,99	0,99	0,98	0,987	0,9944	0,9627	0,9982			

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage terms of the availability (time) of specific Union components of the European Information Systems during business hours or outside business hours respectively.
Cut-Off Date	
Data source	IT statistics produced by TAXUD.
Narrative	In accordance with the Union Customs Code and the e-Customs Decision, the customs European Information Systems (EIS) lie at the heart of the Customs Union, which is one of the elements supporting the smooth running of the Single Market by allowing the free circulation of goods. This indicator provides a measurement of the availability of specific Union components of the EIS that are in operation, namely centralised IT customs applications (including tariff systems).
Methodology	Timeliness: for the purpose of monitoring programme's objectives, the frequency is annual. However, availability can be also measured on weekly, monthly or quarterly basis, if needed for specific IT monitoring.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 6: Best Practices and Guideline Index

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of actions under the Programme organised in this area										
2013	Milestones									2020
	84	Improve the level of 2014	Improve or stable	Improve or stable	Improve or stable	Improve or stable	Improve compared to 2014			Improve compared to 2014
	Actual Progress									Final
	85	200	191	92	133	121	77			
Percentage of participants that made use of working practice/administrative procedure/guideline developed/shared with Programme support										
2013	Milestones									2020
0%	88%	Improve the level of 2014	Improve	Improve	Improve	Improve	Improve compared to 2014			Improve compared to 2014
	Actual Progress									Final
	50,42%	81,01%	68,25%	75%	81%	82,66%	74,39%			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	ART and Event Assessment Forms (EAFs)
Narrative	The Best Practices and Guideline index measures the evolution in the identification, development, sharing and application of best working practices and administrative procedures, inter alia on the basis of: number of actions under the programme organised in this area; percentage of participants that made use of a working practice/guideline developed with the support of the programme. The uniform implementation of customs legislation and policy is the pillar of the Customs Union, which is one of the elements supporting the smooth running of the Single Market by allowing the free circulation of goods.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	When counting the number of actions that are operational in a year under a specific objective, it should be taken into account that the indicator only counts the actions for which the objective in question was chosen as primary objective. This is done so to avoid counting twice the same action under different objectives. However, it should be noticed that there are many actions having "Identify, develop, share and apply best working practices and administrative procedures" as secondary objective that are not counted under this indicator. Content-wise, the projects are usually multi-annual rather than annual. The % of participants for 2020 are not available yet, as the collection of data is performed during the month of February/March 2021. The data will be analysed and available by end of March. In the following years, the collection of data will be possibly anticipated in January, in order to have them available for the programme statements exercise.
Full metadata available at this address	
Justification of the trend	We should also take into account that, while earlier years had more actions in total, and more actions specifically addressing concrete issues, in the last years many actions were to a greater extent organised in broader projects covering themes rather than specific interventions. Content-wise, the projects are usually multi-annual rather than annual, as the actions and processes they cover stretch over more than one year. This may lead to less new initiatives and in a decrease in the total number. COVI-19 pandemic may have impacted the figures for 2020.

### Indicator 7: Learning Index

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of officials trained by using common training material of the Union										
2013	Milestones									2020
	4 112	Improve the level of 2014	Improve	Improve	Improve	Improve	Improve compared to 2014			Improve compared to 2014
	Actual Progress									Final
	4 776	3 092	23 685	19 234	17 547	37 796	18 109			
Number of times Programme eLearning modules were downloaded										
2013	Milestones									2020
0	3 219	Improve the level of 2014	Improve	Improve	Improve	Improve	Improve compared to 2014			Improve compared to 2014
	Actual Progress									Final
	3 219	3 202	12 920	12 291	12 612	9 978	34 347			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	The Learning index measures the progress resulting from actions under the programme aiming to reinforce skills and competences of customs officials, inter alia on the basis of: number of customs officials trained by using common training material and number of times eLearning customs modules were downloaded. Human capacity building will support the customs authorities to reinforce their capacities in fulfilling their role in the Customs Union.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Timeliness: annual frequency.
Full metadata available at this address	When counting the number of actions that are operational in a year under a specific objective, it should be taken into account that the indicator only counts the actions for which the objective in question was chosen as primary objective. This is done so to avoid counting twice the same action under different objectives. However, it should be noticed that there are many actions having "Cooperation with third parties" as secondary objective that are not counted under this indicator. The data for 2020 are not available yet, as the collection of data is performed during the month of February 2021. The data will be analysed on the first week of March and available by mid of March. Next year, the collection of data will be anticipated in January, in order to have them available for the programme statements exercise.
Justification of the trend	We should also take into account that, while earlier years had more actions in total, and more actions specifically addressing concrete issues, in the last years many actions were to a greater extent organised in broader projects covering themes rather than specific interventions. Content-wise, the projects are usually multi-annual rather than annual, as the actions and processes they cover stretch over more than one year. This may lead to less new initiatives and in a decrease in the total number.

#### Indicator 8: Cooperation with third parties Indicator: Number of actions under the Programme aiming at authorities other than Member States' customs authorities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0	23	Improve the level of 2014	Improve or stable	Improve or stable	Improve or stable	Improve or stable	Improve or stability over programme lifetime			Improve or stability over programme lifetime
	Actual Progress									Final
	22	26	39	30	18	24	19			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of actions under the programme organised in this area.
Cut-Off Date	
Data source	Activity Reporting Tool (ART). ART is an IT tool used to manage activities carried out under the Customs and Fiscalis programmes.
Narrative	The Cooperation with third parties indicator measures the number of actions under the programme aiming at improving cooperation between customs authorities of the EU and international organisations, third countries or other governmental authorities.
Methodology	Query in ART: total number of actions ongoing for year X; filter by operational objective. Timeliness: annual query.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	When counting the number of actions that are operational in a year under a specific objective, it should be taken into account that the indicator only counts the actions for which the objective in question was chosen as primary objective. This is done so to avoid counting twice the same action under different objectives. However, it should be noticed that there are many actions having "Cooperation with third parties" as secondary objective that are not counted under this indicator.
Full metadata available at this address	
Justification of the trend	We should also take into account that, while earlier years had more actions in total, and more actions specifically addressing concrete issues, in the last years many actions were to a greater extent organised in broader projects covering themes rather than specific interventions. Content-wise, the projects are usually multi-annual rather than annual, as the actions and processes they cover stretch over more than one year. This may lead to less new initiatives and in a decrease in the total number.

## 6. The programme contribution to horizontal policies

## 6.1. Contribution to climate mainstreaming

Not applicable

## 6.2. Contribution to biodiversity mainstreaming

Not applicable

## 6.3. Contribution to clean air financing

Not applicable

## 6.4. Contribution to gender equality

Not applicable

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

#### *SDG 3 Ensure healthy lives and promote well-being for all at all ages*

The pandemic has highlighted the importance of customs in assisting Member States in times of crisis. From the start of the covid-19 crisis, EU customs ensured that imports of important medical and protective equipment could flow freely, while keeping unsafe products off our markets. Moreover, the Commission took immediate measures to temporarily suspend customs duties payable upon importation on vital goods needed to combat the effects of the COVID-19 outbreak.

#### *SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*

The Customs Union is a foundation of the European Union and an essential element in the functioning of the single market. The single market can only function properly when there is a common application of common rules at its external borders. To achieve that, the 27 national customs administrations of the EU act as though they were one. These common rules they apply go beyond the Customs Union as such with its common tariff and extend to all aspects of trade policy, such as preferential trade, health and environmental controls, the common agricultural and fisheries policies, the protection of our economic interests by non-tariff instruments and external relations policy measures.

For this reason, one can establish a link between the Customs 2020 programme's activities and several Sustainable Development Goals, such as Goal 8 (Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all) and Goal 15 (Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss).

DG TAXUD's long term objective is to ensure the full implementation of the Union Customs Code legal package while adapting customs rules to modern trade realities and communication tools. The envisaged end result is a paperless and fully automated customs environment. In autumn 2020, DG TAXUD presented specific actions for the next five years, in an Action Plan to take the Customs Union to the Next Level, which will focus on four areas of intervention: risk management, e-commerce, compliance, and the Customs Union acting as one.

Example: Export and external demand are among the main sources of growth in the EU. Therefore, the fast release of goods upon entry and the facilitation of the use of simplifications and special procedures are key to fostering trade and increasing competitiveness. In an important step towards a smarter and paperless customs environment, in June 2020 DG TAXUD launched the electronic system for traders for the Standardised Exchange of Information (INF, Special Procedures). This is a new trans-European system, required by the UCC to support the standardised electronic handling of traders' information from their inward and/or outward processing activities. The INF system is integrated in the EU Customs Trader Portal, which enables traders to electronically submit the relevant information to the customs authorities

**HEADING 1: Single Market, Innovation and Digital****European Space Programme****Lead DG:DEFIS**

1. Overview .....	356
1.1. Challenges .....	356
1.2. Mission (general objectives) .....	356
1.3. Specific objectives .....	356
1.4. Public intervention context .....	357
1.5. Actions .....	357
1.6. Delivery mode .....	357
1.7. Graphic overview of the programme structure .....	357
1.8. Legal basis and financial programming .....	358
1.9. Link with the 2014-2020 MFF .....	359
1.10. Relevant websites providing more information .....	359
2. Where are we in the implementation ? .....	359
2.1. Programme 2021-2027 .....	359
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	359
3. How is the programme performing ? .....	361
3.1. Performance .....	361
3.2. Key achievements .....	368
3.3. Evaluations, studies and reports .....	369
4. Programme 2021-2027 - Key monitoring indicators .....	369
Specific Objective 1 :To provide long term, state-of-the-art and, secure positioning, navigation and timing services whilst ensuring service continuity and robustness .....	369
Specific Objective 2 :To deliver accurate and reliable Earth Observation data, information and services integrating other data sources, supplied on a long-term sustainable basis, to support the formulation, implementation and monitoring of the Union and its Member States' policies, and actions based on user requirements .....	371
Specific Objective 3 :To enhance Space Surveillance and Tracking (SST) capabilities to monitor, track and identify space objects and space debris, with the aim to further increase the performance and autonomy of SST capabilities at Union level, to provide space weather services and to map and network Member States Near-Earth Objects (NEO) capacities .....	374
Specific Objective 4 :To ensure the long-term availability of reliable, secure and cost-effective satellite communications services for GOVSATCOM users .....	375
Specific Objective 5 :To support an autonomous, secure and cost-efficient capability to access space, taking into account the essential security interests of the Union .....	375
Specific Objective 6 :To foster the development of strong Union, space economy including by supporting space ecosystem and by reinforcing the competitiveness, innovation, entrepreneurship, skills and capacity building in all Member States and Union, with particular regard to small and medium-sized enterprises and start-ups or legal and natural persons from the Union active or wishing to become active in that sector. ....	376
5. Programme 2014-2020 - Key monitoring indicators .....	377
Previous Program 1 : Implementation and exploitation of European satellite navigation systems (EGNOS and Galileo) .....	377
General Objective 1 :Supporting European presence in space and the development of satellite-based positioning, navigation and timing services .....	377
Specific Objective 1 :To develop and provide global satellite-based radio navigation infrastructures and services (Galileo) by 2020 .....	377
Specific Objective 2 :To provide satellite-based services improving the performance of GPS to gradually cover the whole ECAC (European Civil Aviation Conference) region by 2020 (EGNOS) and European neighbouring countries .....	379
Previous Program 2 : European Earth Observation Programme (Copernicus) .....	380
General Objective 1 :Monitoring the Earth to support the protection of the environment and the efforts of civil protection and civil security .....	381

General Objective 2 :Maximising socio-economic benefits, thus supporting of the Europe 2020 strategy and its objectives of smart, sustainable and inclusive growth by promoting the use of Earth observation in applications and services .....	381
General Objective 3 :Fostering the development of a competitive European space and services industry and maximising opportunities for European enterprises to develop and provide innovative Earth observation systems and services .....	382
General Objective 4 :Ensuring autonomous access to environmental knowledge and key technologies for Earth observation and geoinformation services, thereby enabling Europe with independent decision-making and action .....	382
General Objective 5 :Supporting and contributing to European policies and fostering global initiatives, such as GEOSS .....	383
Specific Objective 1 :Delivering accurate and reliable data and information to Copernicus users, supplied on a long term and sustainable basis enabling the services referred to in Article 4(1) and responding to the requirements of Copernicus Core Users .....	384
Specific Objective 2 :Providing sustainable and reliable access to spaceborne data and information from an autonomous European Earth observation capacity .....	385
Specific Objective 3 :Providing a sustainable and reliable access to in-situ data, relying, in particular, on existing capacities operated at European and national levels, and on global observation systems and networks .....	385
6. The programme contribution to horizontal policies .....	386
6.1. Contribution to climate mainstreaming.....	386
6.2. Contribution to biodiversity mainstreaming.....	387
6.3. Contribution to clean air financing.....	389
6.4. Contribution to gender equality .....	389
6.5. Contribution to the sustainable development goals.....	389

## **1. Overview**

### **1.1. Challenges**

In order to establish a coherent space policy and effective governance to support the EU's political priorities, the Commission's proposal brings all existing and new space activities under the umbrella of a single EU Space Programme.

The EU Space Programme enables solutions to tackle global challenges such as sustainability and climate change, safety and security, natural disasters and mobility and strengthens the EU's role on the international scene as a global space power. The EU's space flagships foster innovative services that can meet the needs of users whilst guaranteeing European competitiveness. It will support security and defence capabilities relying on space-based services, and enhance safety, the security of the Union and its Member States, and reinforce autonomy in areas of strategic importance.

The EU Space Programme, by reason of scale, exceeds the financial and technical capacities of a single Member State and encompasses a pan-European capacity. Furthermore, it depends on the provision of data and services throughout all the Member States, requiring coordination at Union level. In addition, given the requirements in terms of security, all Member States must be involved. Taking the above into account, and given that the programme components fully fall within EU competence, action at EU level is necessary.

### **1.2. Mission (general objectives)**

The mission of the EU Space Programme (Galileo/EGNOS, Copernicus, SSA and GOVSATCOM) is to develop, maintain and operate the necessary infrastructure to support the policies of the Union and the Member States. In particular, it contributes to Union's strategic autonomy and its space industry and ensures the delivery of high quality services to users in a continuous and reliable manner (Copernicus and Galileo/EGNOS). The EU Space Programme comprises the following components: Galileo and EGNOS (European Geostationary Navigation Overlay Service) for satellite navigation, Copernicus for Earth Observation, the Space Surveillance and Tracking (SST) capacity and in the near future the reinforced Space Situational Awareness (SSA), and GOVSATCOM to provide the critical means of communication, even in times of crisis.

### **1.3. Specific objectives**

The EU Space Programme pursues the following objectives:

1. to provide long-term, of state-of-the-art and, where appropriate, secure positioning, navigation and timing services whilst ensuring service continuity and robustness;

2. to deliver accurate and reliable Earth Observation data, information and services integrating other data sources, supplied on a long term sustainable basis, to support the formulation, implementation and monitoring of the Union and its Member States' policies, and actions based on user requirements;
3. to enhance Space Surveillance and Tracking (SST) capabilities to monitor, track and identify space objects and space debris, with the aim to further increase the performance and autonomy of SST capabilities at Union level, to provide space weather services and to map and network Member States Near-Earth Objects (NEO) capacities;
4. to ensure the long-term availability of reliable, secure and cost effective satellite communications services for GOVSATCOM users;
5. to support an autonomous, secure and cost-efficient capability to access space, taking into account the essential security interests of the Union;
6. to foster the development of strong Union, space economy including by supporting space ecosystem and by reinforcing the competitiveness, innovation, entrepreneurship, skills and capacity building in all Member States and Union with particular regard to small and medium-sized enterprises and start-ups or legal and natural persons from the Union active or wishing to become active in that sector.

#### 1.4. Public intervention context

The EU's action is based on Article 189 of the Treaty on the Functioning of the European Union. The EU Space Programme can support and transform many areas of EU legislation in the fields of environment, civil protection, security, climate change, internal market, transport, energy, agriculture, cooperation with third countries and humanitarian aid and many more.

Under the same Article, EU action for space research under Horizon Europe, the EU research and innovation framework programme, is supporting technological development and the competitiveness of European upstream and downstream space sectors, including support to space entrepreneurship.

#### 1.5. Actions

The EU Space Programme is implemented through each of its components. In addition to maintaining continuity of the existing infrastructure and services from its flagship components (Copernicus and Galileo/EGNOS), the EU Space Programme introduces a number of new features, such as the Copernicus security and emergency services, and the Galileo Public Regulated Service that can be used for emergency services, peacekeeping operations, crisis and border management, or military operations. New initiatives include secure satellite communications and Space Situational Awareness to preserve assets of the EU Space Programme to reinforce links between space, security and defence. GOVSATCOM will provide reliable, secured, and cost-effective satellite communication services for EU and national public authorities managing security critical missions and infrastructures. The underlying secure satellite communication capacity and services will be provided by Member States and by security-accredited commercial private companies, while future space assets could be developed after 2024.

#### 1.6. Delivery mode

Directorate-General for Defence Industry and Space (DG DEFIS) is the lead DG for the programme implementation. The EU space components are implemented mainly through indirect management with the European GNSS Agency (EU SPA), the European Space Agency (ESA), EUMETSAT, whereas, a part of the budget is implemented through direct management by the Commission (grants and procurement).

The EU Space Programme enables a wide range of EU policies, including climate, environment, security, and mobility. As a consequence, extensive collaborations exist between DG DEFIS and other services such as DG HOME, DG AGRI, EEAS, EAC, DG CLIMA, DG CNECT, DG GROW, DG ENVI, DG INTPA, DG ECHO, DG JRC, DG MARE, DG TAXUD and DG MOVE.

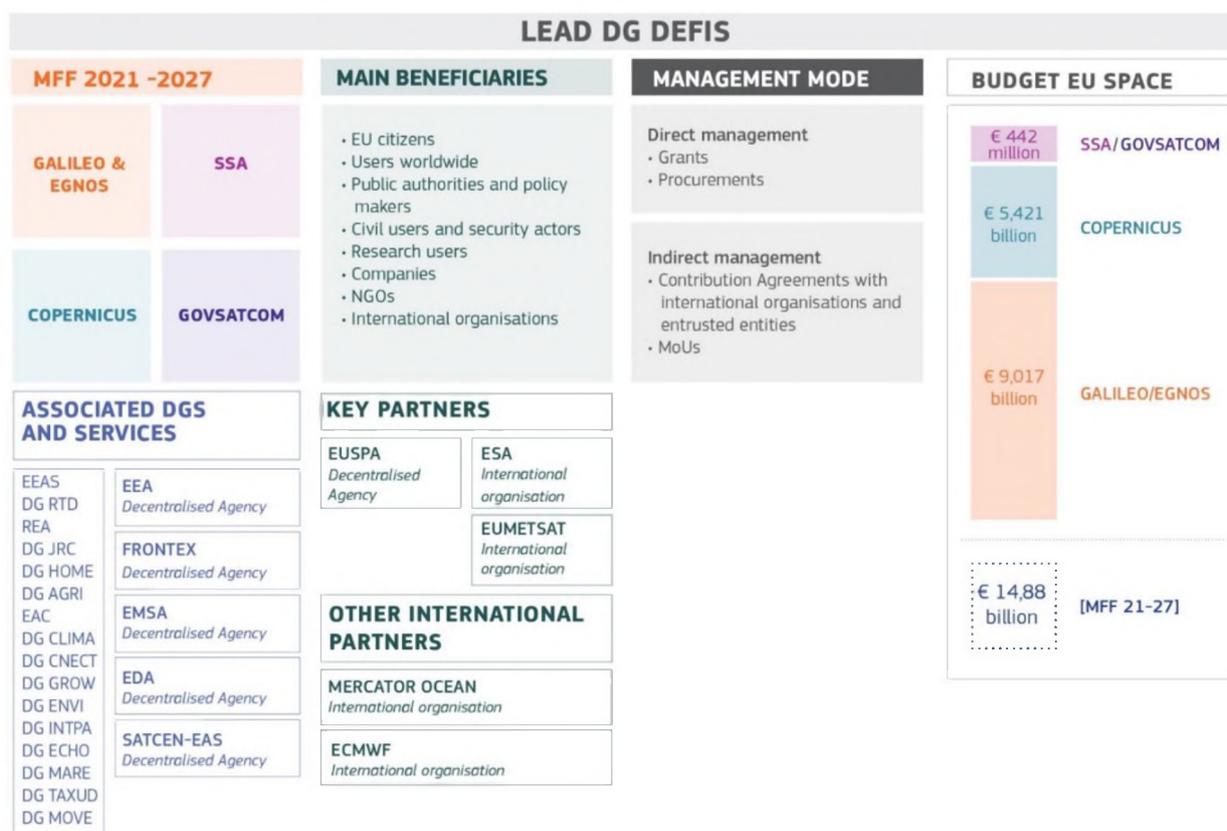
For the research actions, DG DEFIS closely collaborates with DG RTD which is in lead for Horizon 2020 and Horizon Europe. A special and long-term relation exists with DG JRC, active in operational research for Galileo/ EGNOS and Copernicus, and potentially for other space and defence industry aspects in the future.

DG DEFIS coordinates the EU efforts on countering hybrid threats and Military Mobility, and in that capacity, co-operates with services in the Security Union family as well as with the European External Action Service.

The EU Space Programme and its partners, within their respective roles and responsibilities, support Europe to remain a leading international actor, in addressing various societal challenges and in strengthening the competitiveness of the European space industry through the whole value chain. In particular, by mapping critical technologies dependence and supply chains of the defence, aeronautics and space ecosystem in fast evolving markets, informed policy actions will result, to enhance strategic autonomy and technological sovereignty in Europe, whilst promoting investments and reinforcing support to SME's.

#### 1.7. Graphic overview of the programme structure

## EU SPACE PROGRAMME



### 1.8. Legal basis and financial programming

#### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 447: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the space programme of the Union and the European Union Agency for the Space Programme and repealing Regulations (EU) No 912/2010, (EU) No 1285/2013, (EU) No 377/2014 and Decision 541/2014/EU	2021 - 2027	14 880,0

#### 1.8.2. Legal basis explanation

The European Parliament and the Council reached a political agreement on the Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the space programme of the Union and the European Union Agency for the Space Programme and repealing Regulations (EU) No 912/2010, (EU) No 1285/2013, (EU) No 377/2014 and Decision 541/2014/EU in December 2020. The Regulation will bring together the existing EU activities in this domain (Galileo, Copernicus and EGNOS) and will provide the basis for the new initiatives on GOVSATCOM and SSA. The entry into force of the Regulation is foreseen for spring this year.

#### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>1 997,4</b>	<b>2 008,2</b>	<b>2 045,4</b>	<b>2 088,5</b>	<b>2 131,4</b>	<b>2 175,3</b>	<b>2 221,8</b>	<b>14 668,0</b>

#### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The EU Space Programme is building on the success of its predecessor components that will be continued with more focus on synergies with other EU policy areas. For the next programming period, the Commission proposed to maintain and further enhance the EU's leadership in space. The proposal brings all existing and new space activities under the umbrella of a single EU Space Programme. The latter maintains existing infrastructure and services and introduces a number of new features, e.g. fostering a strong and innovative space industry in Europe, maintaining Europe's autonomous access to space and a unified system of governance.

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/growth/sectors/space\\_en](https://ec.europa.eu/growth/sectors/space_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

For the EU Satellite Navigation programmes (Galileo and EGNOS), the new contribution agreements with ESA and EUSPA (European Union Agency for the Space Programme) are expected to be signed by the end of Q2 2021, after the formal adoption of the [draft] EU Space Regulation. Most of implementation is delegated to these entrusted entities and it is expected to consume fully the total of commitment appropriations of the year 2021.

For the EU Earth Observation programme (Copernicus), the new contribution agreements with nine entities (EUMETSAT, MERCATOR OCEAN, ECMWF, EEA, FRONTEX, EMSA, EDA, SATCEN-EAS and ESA) are expected to be signed by the end of Q2 2021, after the formal adoption of the [draft] EU Space Regulation. Most of the implementation is delegated to these entrusted entities and it is expected to consume fully the total of commitment appropriations of the year 2021.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

Galileo and EGNOS

	Commitments	Payments
Implementation Voted budget	6 841 411 042.13	5 827 451 513.17
Implementation Carry-overs	0.00	13 267 941.51
Implementation total	6 841 411 042.13	5 840 719 454.68
total envelop*	6 841 418 300.00	
cumulative implementation rate	100%	85%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

During the MFF 2014-2020, the EU Satellite Navigation programmes (Galileo and EGNOS) committed EUR 6.841 million, making full use of the appropriations made available and reaching 100% execution in terms of commitment appropriations. In terms of payment appropriations, payments made during that same period amounted to EUR 5.841M, which represented 85% rate of payment execution. The COVID-19 crisis-related restrictions led to delays of several months in achieving key milestones of the Galileo and EGNOS programme but also by other issues resulting from the lessons learned exercise following a Galileo service incident (in particular the July 2019 service incident). The milestones affected were the following:

- The Open Service Full Operational Capability (OS FOC) milestone was delayed due to delays in the ground segment development and deployment activities stemming from the implementation of the July 2019 incident recommendations in terms of robustness improvements on the systems, and slowed down by the COVID-19 crisis which has led to travel restrictions, constraints in accessing the sites of the control centres, etc. Delays in the satellites development activities resulted due to the COVID-19 crisis but also due to issues on satellites clocks. The initial schedule for OS FOC was end of 2020. The new milestone is now planned for end of 2022 with a high level of confidence. The delay in the OS FOC is not to be considered as a major issue for the Programme, as Galileo is already delivering services and very accurate signals to two billion users through signals sent by 22 operational satellites in orbit. The coming satellite launch (in 2021) is expected to improve and reinforce the OS service (i.e. improve commitment in terms of service availability).

- The Public Regulated Service (PRS) milestones, in particular Service Initial Operational Capability milestone has been delayed for similar reasons as the OS FOC, as it relies on the deployment of appropriate ground infrastructure and satellites. The COVID-19 crisis has had an important impact and amplified due to the classified nature of activities linked to PRS which require physical meetings to a large extent. This milestone was initially planned for end-2021 and is now planned for end-2023. This delay is more of a concern than OS FOC delays, as Member States need to plan defence investments associated to the use of PRS. The Commission is working with Member States to inform them continuously on risks associated to this calendar.

The main improvements for Galileo and EGNOS which are introduced through the [draft] EU Space Regulation can be summarised as follows:

- streamline the overall programme governance with the introduction of a linear governance between Commission that will oversee the overall responsibility and oversight of the programme, the EUSPA that will be in charge of managing the exploitation of EGNOS and Galileo, and ESA with the responsibility of the system design and procurement of long term evolutions of the EGNOS and Galileo systems. This linear governance is expected to allow for a more efficient decision-making and a clarified chain of command.
- transfer of responsibility to GSA for all aspects related to service delivery and maintenance of the system in operation. Compared to the current situation where maintenance and minor improvement of the system are delegated to ESA, this should ensure better reactivity in case of anomaly to be fixed by changes to the design to secure service continuity.
- Contracting authority retained on the side of EU. This is the target scenario for the implementation of the Financial Framework Partnership Agreement (FFPA) which is currently under negotiation. This should enable a good control of contract tendering and execution for all elements of the programme compared to the current situation where ESA is procuring in its own name all activities related to the ground segment of Galileo and to EGNOS.

#### Copernicus

	Commitments	Payments
Implementation Voted budget	4 251 388 081	3 647 651 454
Implementation Carry-overs	0	10 077 040
Implementation total	4 251 388 081	3 657 728 494
total envelop*	4 251 510 000	
cumulative implementation rate	100%	86%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

During the MFF 2014-2020 the EU Earth Observation programme (Copernicus) committed EUR 4.251 million, making full use of the appropriations made available and reaching 100% execution in terms of commitment appropriations. In terms of payment appropriations, payments made during that same period amounted to EUR 3.657M, which represent 86% rate of payment execution. There were no disruption in the Copernicus programme implementation thanks to excellent cooperations with the entrusted entities and overall business continuity the could be ensured.

Concrete improvements have been introduced to the design of the Copernicus programme in order to address areas for improvement and challenges identified but also to transpose lessons learnt from the 2014-2020 implementation of the Copernicus programme. These can be summarised as follows:

- Data distribution and access issues, as also highlighted in the mid-term evaluation which led to the launch of (5) Data and Information Access Services;
- Integration of Earth Observation data into European Data Spaces, such as the Green Data Space;
- the Copernicus programme has anticipated the digital transition and will partner with Destination Earth and the Digital Twin Earth driven by Commission and ESA;
- Copernicus is preparing to be ready for the Cloud Paradigms: cloudification of the ground segment (ESA), integrated data management task force to deal with the ground segment evolution (ESA, EUMETSAT) and dissemination infrastructure including the DIAS;
- User uptake strategy and market uptake to be improved and facilitate further the coordination with national user uptake and downstream activities: coordination at programme level (EUSPA, KCEO);

In order to support the space industry during the COVID-19 crisis, DG DEFIS decided to agree with measures implemented by ESA and GSA to increase the cash flow of industry when possible within the legal boundaries of the contracts. The COVID-19 crisis lead to some delays in the implementation of the industrial contracts but overall had no impact on the budgetary implementation of the space programmes.

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.3. Previous programme performance**

##### ***EGNOS and Galileo***

Over the past years, the key priority has been ensuring the continuity of Galileo and EGNOS services, continuing preparations for full operational capability of Galileo services and promotion of market uptake of Galileo and EGNOS services.

##### ***Galileo programme***

Galileo is Europe's state-of-the-art global navigation satellite system, providing a highly accurate global positioning service under civilian control. Galileo consists of a satellite constellation and the necessary ground infrastructure to control the satellites and enable the provision of positioning, navigation and timing services. Galileo offers autonomous navigation and positioning services, but is also compatible with the US GPS satellite navigation system. Galileo is one of the European large infrastructure projects and is entirely financed by the EU budget. Galileo ensures Europe's autonomy in an area that is of strategic importance to both its economy and security. Galileo is already used, among others, in mobile phones and car navigation. Galileo could be used for a large number of purposes, including critical business processes that require uninterrupted navigation, and timing services needed for example for critical applications such as the synchronisation of electricity grids and telecommunication networks.

Galileo Initial Services were declared operational on 15 December 2016. Since then, the performance has gradually improved due to enhancements both in the space segment (number of satellites in orbit) as well as the ground segment. The positioning and timing performance is better than for any other Global Navigation Satellite System (GNSS) system. Galileo Initial Services are fully interoperable with GPS, and their combined use is bringing more accurate and reliable positioning for end users. Navigation in cities, where tall buildings can often block satellite signals, particularly benefits from the increased positioning accuracy of Galileo and GPS combined. In addition, Galileo's accurate timing contributes to enabling more resilient synchronisation of banking and financial transactions, telecommunication and energy distribution networks to help them operate more efficiently.

With regard to the Galileo services, several important developments have taken place in 2020. The new Search and Rescue (SAR) functionality called the Return Link Service (RLS) was declared operational in January 2020 and has delivered excellent service since then as reported in the Galileo SAR Quarterly Performance Reports<sup>1</sup>. Galileo's Search and Rescue service reduces drastically the time to detect emergency distress beacons from up to three hours to less than ten minutes. As the location of the distress beacon is determined more accurately, people lost at sea or in the mountains can be rescued more quickly. It takes less than 10 minutes with the Galileo's Search and Rescue service to detect emergency distress beacons and locate people in distress when compared to up to 3 hours previously required. With the new functionality, the Galileo SAR RLS service, an automatic acknowledgement message is provided back to the user informing them that their request for help has been received. Further SAR functionality is being defined, in particular Remote Beacon Activation (RBA) and 2-Way Communication. RBA will allow to remotely activate the alert beacons in case the beacon user cannot do so (main use case for aviation is the aircraft disappearance Malaysian airline MH370 and for maritime, it can be a sailor in distress who could not switch on the alert beacon). This service will be uniquely provided by Galileo (no other RLS provider is working on this). The service declaration is scheduled at the beginning of 2023. The 2-Way Communication service will allow collection of information from the distress area using the RLS. It will allow exchanging messages between the Rescue Coordination Centre and the people in distress. The service declaration will not happen before 2024 and is targeting second generation beacons only.

In addition, a new version of the Open Service Signal In Space Interface Control Document, (SIS ICD) was prepared and approved for publication early in 2021. This issue incorporates improved signal features for increasing robustness and improving the acquisition time, especially in difficult environments. All modifications are backwards compatible, so legacy receivers are not impacted. These improvements will be implemented in the Signal in Space by end of 2023, in the meantime publication of the SIS ICD allows manufacturers to adapt their products accordingly.

Significant steps were made with the development and testing of a number of new services – the OSNMA (Open Service Navigation Message Authentication) test phase started live in November 2020, and on for the High Accuracy Service (HAS), which will provide 20cm positioning accuracy over Europe, the service concept was consolidated and the first phase of testing has begun. The Commercial Authentication Service (CAS) concept has been further developed and the roadmap for implementation has been defined. Requirements and concept for an Emergency Warning Service are being finalised in collaboration with civil protection authorities of EU Member States.

<sup>1</sup> Available on <https://www.gsc-europa.eu/>

However, service disruptions have occurred. To recall, in July 2019, the entire system was unavailable for use for 6 days before recovery. This led to a major review of many elements including the operational procedures, and the lessons learned in turn led to technical and operational improvements to increase the robustness of the system, with improvements to the ground segment to ensure that this type of incident will not happen again. On 14 December 2020, a service outage of a few hours occurred, which was due to an anomaly on the ground segment and was quickly recovered. Overall service commitment was not impacted and the root cause of the incident has been found and fixed. The Galileo Open Service has been delivered with excellent quality and availability, and performance of the Galileo Search and Rescue (SAR) service, including the Return Link Service has also been excellent during 2020. For the longer term, these incidents improve and ensure the resilience of the Galileo system. An operational Galileo gives the Union a strong position on the world stage of satellite navigation where the US and Russian systems are being modernised and the Chinese system is rapidly being developed.

The space segment has been stable with 22 operational satellites providing full services. There are also two additional satellites in space, which were originally injected into a wrong orbit due to a launcher failure in 2014. These satellites have been to a large extent recovered and although they are still occupying a non-nominal orbit, their Search and Rescue (SAR) payloads have been operational and contributing to Galileo SAR service, helping to save lives since early 2016. In addition, the navigation payloads have been tested extensively for their use in positioning and timing applications. These two satellites were introduced formally into the operational Galileo constellation on November 30 2020, for a further observation period of 2 months, with no commitments on their availability.

The manufacturing of additional satellites to complete the constellation and provide sufficient spares for ensuring its continuity has continued, but with delays in the schedule due to the COVID situation. The first satellites shall become available by the first quarter of 2021 for a launch date planned in Q4 2021, as soon as all conditions are met including on ground segment and operations side. The target of 30 satellites (24 operational satellites plus 6 in-orbit spares) requires the launch of an additional 8 satellites, and is now planned for Q4 2024. In the meantime, the system is already providing full service with the performance as expected once the full constellation is deployed. As the programme intends to use the Ariane-6 launcher in the near future, development of a specific dispenser to carry the Galileo satellites on-board Ariane-6 was initiated in 2019 and will be completed by end 2021.

With regard to the ground infrastructure, despite delays incurred due to the COVID-19 crisis, significant progress was made on the new system release SB1.7 which will be deployed in advance of the next satellite launch in 2021 and will meet all requirements related to the deployment and operation of those and the other 6 “so called Batch 3” satellites. Work has also continued in parallel on the next System Builds, which will support advanced features and improved resilience of the system.

The overall performance of the Galileo programme to develop and provide global satellite-based radio navigation infrastructures and services progressed during 2020 but was impacted in terms of delays by two major factors: i) implementation of recommendations stemming from the Galileo service incident of July 2019 aiming to improve the resilience of the Galileo services by means of contracting new system evolutions (these include technical improvements to the system as well as management and governance improvements) and ii) severe restrictions on travel and working procedures imposed by the ongoing COVID-19 crisis.

While the programme has focused on ensuring the continuity of service provision and related operations, these restrictions have led to delays of several months in achieving key milestones of the programme, such as the next Galileo Launch (L11) and the deployment of ground infrastructure. Taking these constraints into account and despite the COVID-19 situation, the programme remains on track and in particular, the key services are already being delivered according to expectations.

The Programme has also made major progress on the preparation of the Galileo Second Generation (G2G). A Commission implementing Act was adopted in December 2020<sup>2</sup> and the overall schedule for G2G including the procurement of the first G2G satellites has been accelerated to allow for a first launch of second generation satellites will take place in 2024. The technical requirements have been consolidated and the first of two industrial contracts was signed in Q1 2021.

### ***EGNOS programme***

EGNOS, the European Geostationary Navigation Overlay Service, is a fully operational regional satellite navigation system, monitoring and correcting open signals emitted by the US GPS and in the future Galileo. It consists of several transponders installed on geostationary satellites and a network of ground stations. By improving the accuracy and reliability of the US GPS signal over the territory of Europe, EGNOS allows users in Europe to use GPS signals, for instance, for safety-critical applications such as operating aircraft. It allows users in Europe and beyond to determine their position to around 1 metre.

The performance of the EGNOS programme to provide satellite-based services improving the performance of GPS to gradually cover all EU Member States, has steadily improved and just a few territories remain uncovered. The coverage of these territories is envisaged to be achieved with the launch of the EGNOS V3 technology around 2025.

The continuous delivery of EGNOS services was successfully achieved by efficient implementation of recurrent activities and preparation of system updates. To guarantee the continuity of services beyond 2020, work has continued on the development of two major EGNOS evolutions, V2.4.2-A and V2.4.2-B, which will solve obsolescence issues and improve the coverage of European Member States' territories respectively. The former evolution will be in operations in 2021 while the latter in 2023.

---

<sup>2</sup> Commission Implementing Act C(2020)8969 of 17 December 2020

The update of the EGNOS Safety of Life Service Definition Document improving the coverage over Cyprus, was finally not published in 2020 and is planned for end-2021.

EGNOS has successfully managed the transition to supporting a new generation of GPS satellites<sup>3</sup> and activities for the development of a new generation of EGNOS, the EGNOS version 3, continued.

Finally, a new EGNOS GEO transponder was procured in 2020 (so-called GEO-4) which is planned to be launched in orbit in 2022.

### *Market uptake*

Since the declaration of Galileo Initial Services in 2016, the market uptake of Galileo-enabled smartphones has been very rapid. **In 2020, the estimated number of Galileo-enabled smartphones in use worldwide has reached almost two billion.** In 2020, there were 608 Galileo-enabled smartphone and tablet models available on the market. The full overview of Galileo-enabled devices is available online: <https://www.usegalileo.eu/> Other activities supporting the market uptake of Galileo included Galileo acceleration and hackathon initiatives to foster the developments of applications that use Galileo signals and standardisation activities to ensure that Galileo is properly considered in standardisation bodies. When it comes to European GNSS downstream standardisation, the Commission aims to facilitate the development and promote the inclusion of Galileo and EGNOS in the ongoing relevant work of the standardisation organisations, in particular with voluntary measures.

A major achievement is the adoption in November 2020 of ICAO (International Civil Aviation Organization) standards by the **ICAO Navigation System Panel for Galileo and EGNOS v3**, allowing to use Galileo signals in aviation by enabling the development and certification of Galileo-compatible receivers. This means that the aviation industry will be able to build and equip with avionics compatible with Galileo, bringing additional benefits to air navigation. The outcome reflects the many years of effort of the Commission and GSA teams, as well as excellent cooperation with DG MOVE, EASA and Eurocontrol

**Another key achievement is the use of satellite signals for locating people during emergency communication from their smartphones.** Location information based on Galileo provides an accuracy of only a few meters in contrast to the network-based location (Cell ID) where the accuracy varies from 2 km to 10 km. In December 2018, the Commission adopted Delegated Regulation 2019/320 which requires that from March 2022 onwards all new smartphones sold in the EU internal market will need to be Galileo-enabled. In parallel, the Commission supported the Member States through the Help 112 II project, completed in July 2020, which enabled the successful deployment of the Advanced Mobile Location technology that uses Galileo-based information to establish the location of the emergency caller in seven Member States: Denmark, Sweden, France, Germany, Portugal, Hungary, and Croatia.

The key market segment for EGNOS is civil aviation. **Today, EGNOS is used at more than 370 airports in Europe and its usage is increasing.** This is also thanks to the requirements of Regulation 2018/1048 mandating the publication of Localizer Performance with Vertical guidance (LPV procedures) delivered by EGNOS in all instrument runway ends before January 2024. Beyond the aviation sector, EGNOS improves and extends the scope of such GNSS applications as precision farming, on-road vehicle management and navigating ships through narrow channels.

With regard to the Key Monitoring Indicators (2014-2020), the general objective of supporting European presence in space and the development of satellite-based positioning, navigation and timing services has been measured by the number of **Galileo and EGNOS receivers in the total number of receiver models worldwide.** The receiver's database was improved in 2020, when new companies were added to the baseline (in 2020 there were 40+ companies) in order to reflect the changes on the market, but also to include new segments (such as drones) and to reflect some significant changes in manufacturer's product offerings.

There is a **positive trend of the increasing production of Galileo-enabled receivers** that Galileo enabled and the actual progress is going towards the milestones set. In 2020, the presence of Galileo in receiver models was at 62 % of the total number of receiver models worldwide. There has been a tremendous uptake of Galileo-enabled smartphones. However, in other market segments such as rail, maritime or internet of things the market penetration of Galileo is slower. This is due to various reasons: long lifetime of receivers in the market (5-10 years models still on market), missing certification or standardisation, constraint in energy consumption of the chips on the connected objects, cost of optimisation (still many GPS-only models available) and receiver models serving only regional markets (e.g. Chinese or US manufacturers). In the coming years, the market share shall increase mainly due to phasing out of old models, increasing use of Galileo in the US and use of Galileo signals in safety-critical applications in aviation or rail segments.

With regard to the **EGNOS enabled receiver models, the actual progress stabilised at 68%** of the total number of receiver models worldwide. This is lower than the milestone of 85% set in 2014, when a steady growth was predicted and the milestones were set, the market penetration of EGNOS is lower than expected, in particular in the location based services or timing and synchronization devices. This is mainly because the early uptake of dual frequency in receiver models provided similar accuracy benefits as EGNOS. The first dual-frequency GNSS devices hit the mass market by the end of 2018. Dual-frequency capability means that the GNSS receivers are able to receive two GNSS signals at different frequencies from a satellite. This enables the receiver to compensate for errors introduced due to ionospheric effects, resulting in more accurate position calculation when compared to signal frequency GNSS receivers (e.g. GPS receivers). While the current version of EGNOS v2 augments only one frequency L1 of GPS, the new EGNOS v3 will be able to provide messages for two frequencies, L1 and L5, and will furthermore

<sup>3</sup> See the EGNOS Service Provider website: [https://egnos-user-support.essp-sas.eu/new\\_egnos\\_ops/egnos\\_ops/?q=egnos\\_system\\_realtime](https://egnos-user-support.essp-sas.eu/new_egnos_ops/egnos_ops/?q=egnos_system_realtime)

augment Galileo signals (both E1 and E5 frequencies) in addition to GPS. It should be noted that the rapid development of global navigation satellite systems (GNSS) constellations as well as the methods used for augmentation of GNSS signals i.e. with commercial augmentations of the signals, increased the performance of the GNSS to the level where the EGNOS benefits are less competitive than assumed in 2014, and it is probable that it will not change in the upcoming years. With regard to the 2020 target and beyond, it can be assumed that the number of EGNOS enabled receivers will not grow beyond 70 % of receiver models worldwide.

### *Environment and climate change*

Global navigation satellite systems Galileo and EGNOS contribute towards tackling climate change by supporting environmentally friendly transport solutions, sustainable agriculture and meteorological monitoring. For example:

- Reduced fuel consumption: satellite navigation enables optimal routes for cars, buses, boats and airplanes by providing accurate positions. This allows significant reduction of the fuel required to go from A to B and thus contributes to the reduction of CO2 emissions.
- Sustainable agriculture: As the centrepiece of precision farming, use of satellite navigation reduces the need for fertilisers. In turn, this means a reduction of greenhouse gases such as CO2, nitrous oxide and ammonia in the atmosphere.

### *Copernicus*

The programme has continued to meet the criteria established in its general and specific objectives (Article 4 in the Copernicus Regulation (EU) No 377/2014<sup>4</sup>). The monitoring capacities, intended as operating satellites in orbit, ground infrastructure and in-situ network, have been successfully deployed. This has guaranteed the achievement of a European autonomous access to environmental knowledge and a major role of the EU at international level.

Copernicus relies on a wide range and number of in-situ data to produce quality-assured information. The Copernicus cross-cutting in situ component continued its work in 2020 on the maintenance of the Copernicus In Situ Information System (CIS) and CORDA<sup>5</sup>, thus facilitating access to in situ data for service providers active in the core service production. Furthermore, access to hydrological and climatological data was facilitated by creating license agreement templates in close cooperation with CMEMS and C3S. Finally, the provision of air quality observations from EIONET<sup>6</sup> members to the Copernicus atmosphere monitoring service was continued.

The six core Copernicus services (land, atmosphere, marine, climate change, emergency, security) are all operational and provide the expected level of geo-information which is accurate and reliable based on regular data quality assessment reporting both by the space component and Copernicus services. The quality of outputs is furthermore confirmed by the consistent increase of registered users, benefiting from the programme products and information. To ease the distribution of (access and processing) services, capabilities were enlarged through the provision of the Copernicus DIAS service since 2018.

The six Copernicus services continued providing full, free and open information products in 2020 and business continuity was ensured despite COVID19 and there were no interruptions

**The Copernicus Emergency Management Service (CEMS)** continued providing information for emergency response in relation to different types of disasters, including meteorological hazards, geophysical hazards, deliberate and accidental man-made disasters and other humanitarian disasters, as well as prevention, preparedness, response and recovery activities. In 2020, the Rapid Mapping and the Risk and Recovery Mapping on-demand services of Copernicus Emergency Management Service were activated 74 and 21 times, respectively. Notable activations under the **Copernicus Emergency Management Service (CEMS)** are:

- On 8 April 2020, when a fire broke out in a Ukrainian forest within the exclusion zone surrounding the abandoned nuclear power plant at Chernobyl. The Rapid Mapping service produced reference, first estimate, delineation and grading maps to support efforts that could contain the fire.
- On 5 April, the Rapid Mapping service was activated by the Italian Civil Protection Department for the city of Turin. This activation coincided with the deployment of European medical doctors to the region by the EU Civil Protection Mechanism. The scope of this activation was to map and observe over time public gathering places such as street markets and parks, as well as temporary health facilities such as tents and triage facilities next to hospitals. The objective was to provide the Civil Protection with evidence to support the decision-making process in relation to the COVID-19 emergency.
- On 4 August 2020, when both the Rapid Mapping and Risk and the Recovery services were activated following a large explosion that rocked the city's port area in Beirut (Lebanon) when several people died in the explosion.

Synergies between the 'Rapid Mapping' and the 'European Flood Awareness System' were achieved, with nine EEAS pre-tasking requests for image acquisition in view of a potential 'Rapid Mapping activation'. A new feature was implemented with the addition

<sup>4</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32014R0377>

of the 'European Forest Fire Information System Fire Polygons' in place to help delineate the area of interest for Rapid Mapping. Furthermore, the European/Global drought observatory continued its systematic reporting on severe drought events.

**The Copernicus Security Service**, covering three areas is proving its value with:

- 1) **The Copernicus Border Surveillance service (CBS):** The 'Copernicus/Eurosur Fusion Services' supported Member States, EU Agencies and EU institutions in tackling cross-border criminality and irregular migration. Apart from having contributed to saving lives at sea, the Earth Observation tools have contributed significantly to increasing the efficiency of Frontex surveillance operations.
- 2) **Copernicus Maritime Surveillance service (CMS):** 50 user organisations registered for this service in 2020, representing a 22% growth in comparison to 2019. A total of 5,497 EO services (i.e. satellite image product and additional data) were delivered during the year - all at the direct request of users - representing a 40% increase on the previous year. Customs and law enforcement authorities reported that Copernicus was useful operationally, contributing to several successful drug seizures and arrests. Demand also remained high for other activities such as fisheries control, pollution monitoring, and safety and security. Ten requests were made for emergency support, including: searching for missing vessels; monitoring debris and pollution following vessel groundings, fires on board, and sinking; monitoring oil pollution; and, locating containers washed overboard.
- 3) **Copernicus Service in Support to EU External Action (SEA):** In 2020, SEA received 71 User Requests and delivered 184 products, over more than 20 countries. By December 2020, almost 40 users from the EEAS, EU CSDP Missions and Operations, Member States, European Commission and the United Nations accessed the SEA service. Successful service evolution projects demonstrated added-value in the areas of law enforcement (Illegal smuggling, Illegal mining), environmental crime (Illegal waste) and transportation safety and security.

On the **Copernicus Marine Environment Monitoring Service (CMEMS):** the uptake of users is still exponential with more than 28.000 users registered and 200 use cases published thanks to public and private sectors partners. CMEMS contributes to the official EU reporting on SDG14 ocean acidification. Promotion at the international scene is entrusted to Mercator Océan International which is operating the CMEMS. In 2020, a contribution agreement was awarded by the DG FPI on behalf of DG DEFIS and RTD to this entity for running the EU4OceanObs project. The aim is to reach out to partners worldwide, including towards US and Australian partners in the frame of G7 and GEO initiatives on oceans. The design and future of CMEMS for the period 2021-2027 has been in focus, maintaining an ambitious science roadmap for service evolution that match the green deal priorities related to coastal, biodiversity, arctic, pollution and regional climate. The CMEMS issued two new releases of the service portfolio in 2020, being a major achievement for two sectors: 1) a new service for iceberg detection developed with the international ice chart services working group and 2) new high resolution coastal water quality products (based on Sentinel-2). By end 2020, all global and regional centres are equipped with wave and biogeochemistry forecasting. The 4<sup>th</sup> ocean state report was published end 2020 with nearly 120 ocean monitoring indicators refreshed monthly.

**The Copernicus Land Monitoring Service (CLMS)** provided an update of the Corine land cover product which is pan-European and cover most of the complementary high-resolution layers on specific land cover characteristics for the reference year 2018. The service continued the processing of the remaining High Resolution Layer Small Woody Features<sup>7</sup> and the implementation for next generation Corine Land Cover product (CLC+) that will support the LULUCF (Land Use, Land-Use Change and Forestry) reporting obligations. Other achievements of the CLMS in 2020 are the start of the production of a federated European Ground Motion Service (EGMS), based on Sentinel 1 in SAR interferometric technique, as well as the production of a first Near Real Time (NRT) service, i.e. the High Resolution Snow & Ice monitoring, soon to be followed by the High Resolution Vegetation Phenology & Productivity. A series of 2018 updates of the local hotspot monitoring products (Urban Atlas, Riparian Zones, Natura2000, Coastal Zones monitoring information with the CMEMS) were finalised in 2020, and further enriched, such as the building block height included in Urban Atlas. At global level, the service continued its production of yearly mid-resolution land cover maps of the Earth's surface. It also delivered on a ten daily basis over 20 variables supporting the monitoring of vegetation, agriculture, energy, cryosphere and water cycle.

**The Copernicus Atmosphere Monitoring Service (CAMS)** continually monitored air quality, in Europe and worldwide, using satellite and ground-based observations and advanced models. For this reason, the service was able to observe the impacts of lockdowns due to the COVID-19 pandemic on local and regional air quality; as less pollutants were emitted, air quality improved.

2020 was a year of extremes when it comes to wildfires and CAMS monitored global wildfire activity as well as the resulting emission of pollutants. The Arctic and western US saw record high levels of activity during the summer, whilst Canada and tropical Africa saw below average activity. With wildfires receiving ever more media and public attention around the world, CAMS recently released a dedicated [global fire monitoring page](#). The page is regularly updated with information on the location and intensity of fires, as well as the transport of the smoke pollution that they emit.

Regarding the ozone layer, CAMS provides continuous quality-assured information about its state, including the size of the Antarctic ozone hole; this work is important of course because the ozone layer protects us from potentially harmful ultraviolet

<sup>7</sup> For example :in support of providing data to monitor biodiversity and landscapes as part of utilised agricultural area

radiation, which can damage skin and eyes. The familiar Antarctic ozone hole typically opens in August and lasts until late November; this year, CAMS monitored a particularly large and long-lived Antarctic ozone hole that reached its maximum extent in [early October](https://atmosphere.copernicus.eu/monitoring-ozone-layer). In addition to all this, CAMS continues to use partnerships to increase outreach and its visibility. CAMS sponsors and provides air quality forecasts to TV broadcasters Euronews and CNN which is seen by around 9.5 million people per quarter across the TV network of Euronews and, combined with C3S climate content, around 268.7 million people on the CNN global network: <https://www.euronews.com/embed/weather/air-quality>. CAMS contributed significantly to the debate between air quality and COVID-19-symptoms: air quality is an indicator of human activity and poor air quality affects respiratory health – which may exacerbate COVID-19 symptoms. This has led to an increased interest in air quality information throughout the pandemic. CAMS supports research into this debate by providing information on the distribution and evolution of fine particulate matter close to Earth's surface. To make relevant air quality information easier to access, CAMS has built the web-based [CAMS COVID resource](https://atmosphere.copernicus.eu/european-air-quality-information-support-covid-19-crisis), which includes graphs and animations to support researchers, policymakers and the public; subsequently CAMS data has also been included in the joint Commission/ESA Rapid Action on Coronavirus platform: <https://atmosphere.copernicus.eu/european-air-quality-information-support-covid-19-crisis>

The **Copernicus Climate Change Service (C3S)**, operational since June 2018, has reached over 60.000 registered users to whom it delivers more than 70TB of quality-controlled climate data per day. The latest data from C3S shows that 2020 was the joint warmest year on record, together with 2016. Global temperatures were 0.63 degrees Celsius above the 1981-2010 average and 1.25 degrees C above the pre-industrial level defined by the IPCC<sup>8</sup>. The C3S developed an application that maps mortalities against temperature and humidity data, allowing health authorities and epidemiology centres to explore the claims that temperature and humidity could affect the spread of coronavirus. <https://climate.copernicus.eu/providing-climate-information-support-covid-19-research>. In April 2020, the third annual European State of the Climate (ESOTC) was released, looking at key climate indicators in 2019. The report showed that 2019 was the warmest year on record for Europe. Record-breaking levels of rainfall in autumn 2019 resulted in the wettest November on record for some countries, and flooding in parts of western and southern Europe: <https://climate.copernicus.eu/c3s-releases-european-state-climate-reveal-how-2019-compares-previous-years>. C3S regularly receives coverage in top-tier media outlets, in Europe and beyond, across TV, radio, print and online thanks to its proactive outreach to the press regarding the Service's climate intelligence products such as its monthly climate bulletin. Through its TV media partnership with Euronews (<https://www.euronews.com/programs/climate-now>), where C3S sponsors and provides content for the programme Climate Now, C3S reaches around 7.7 million viewers per quarter. Furthermore, the partnership with global broadcaster CNN means that data driven content from the service, along with that of CAMS, reaches around 268.7 million people across the world each quarter. At the end of the year, a significant back extension to ERA5, C3S most popular dataset, was released. User can now look at the hourly time-series for any meteorological parameter from 1950 to near real time (5 days before present). The new C3S quality assurance framework was launched in October 2020. This is an important component of the service, assuring quality of data and tools and enables traceability and reproducibility of these outputs.

A highlight in 2020 was the **successful Copernicus Sentinel 6A satellite launch on 21 November**, making further service reinforcements possible and the provision of improved and high-precision measurements of the sea level, with evident relevance for climate change observations. With eight satellites in orbit, Copernicus is now producing high quality, free, and open observation data every day, reaching more than 400 000 registered users on the European data access points and with a high level of satisfaction from users. The ground segment operations and the services faced some difficulties to operate remotely due to the COVID-19 crisis but managed to continue operational activities. Most of the teams involved in the operations of the Copernicus Space Component across Europe, both within ESA and in industry, are tele-working and access to the operational centres was minimised, impacting the contingency management and the capability to timely react to potential anomalies. Special non-essential operations have been temporary suspended to focus on the continuity of the routine operations. More than 35 million data products have been published and the user' download volume has reached more than 330 million Gigabytes.

**Evolution plans** and the preparations for Copernicus 2.0 requires the renewal of the existing Delegation Agreements with entrusted entities. During 2020, the Contribution Agreements and technical annexes were prepared, intensively discussed and negotiated and will be finalised early 2021.

When it comes to **user uptake activities**, Copernicus has successfully embraced the big data revolution in various ways. Most notable is the achievement of the set-up of the **Data Access and Information Services (DIAS)** collocating Copernicus data and information procured with European Earth Observation and cloud providers and making it available on line and near-line ready to be processed on demand. The progress in the quality of the services and the completeness of the data on offer have been steady. The next step will be the development of data analytics tools to be made available to the users on top of data lakes.

To further facilitate the uptake, a 'cloudification' of data is currently being assessed, enabling also the European digital Big Data projects implementation. The socio-economic benefits have been consistently monitored and measured: the last Copernicus market report published in February 2019<sup>9</sup> (referred to ten selected value chains) states that the benefits in 2018 in the downstream market

<sup>8</sup> IPCC, 2018: Global Warming of 1.5°C. An IPCC Special Report on the impacts of global warming of 1.5°C above pre-industrial levels and related global greenhouse gas emission pathways, in the context of strengthening the global response to the threat of climate change, sustainable development, and efforts to eradicate poverty [Masson-Delmotte, V., P. Zhai, H.-O. Pörtner, D. Roberts, J. Skea, P.R. Shukla, A. Pirani, W. Moufouma-Okia, C. Péan, R. Pidcock, S. Connors, J.B.R. Matthews, Y. Chen, X. Zhou, M.I. Gomis, E. Lonnoy, T. Maycock, M. Tignor, and T. Waterfield (eds.)].

<sup>9</sup> [https://www.copernicus.eu/sites/default/files/2018-10/Copernicus\\_Market\\_Report\\_11\\_2016\\_1.pdf](https://www.copernicus.eu/sites/default/files/2018-10/Copernicus_Market_Report_11_2016_1.pdf);  
[https://www.copernicus.eu/sites/default/files/PwC\\_Copernicus\\_Market\\_Report\\_2019.pdf](https://www.copernicus.eu/sites/default/files/PwC_Copernicus_Market_Report_2019.pdf)

are estimated to be between EUR 125 and 150 million, up from EUR 54 million in 2015<sup>10</sup>. This significant value increase had two main drivers. Firstly, a high growth of the ocean and coastal monitoring value chain. With the entry into service of the Sentinel 3 satellites, the downstream revenues for this value chain increased from EUR 5-8 million to EUR 33 – 59 million between 2015 and 2018. Secondly, the inclusion of two additional value chains in the 2019 Market Report update (when compared to the 2016 Market Report): Civil protection (natural disasters) with an estimated value of around EUR 9 million and security with an estimated value of around EUR 25 million. The benefits are expected to grow by an average annual growth rate of 15 % up to the end of 2020, with a progressive adoption of Earth Observation-based solutions in some industries such as renewable energies.

The downstream Earth observation (EO) sector includes all enterprises whose main business is to provide services based on EO data. The Copernicus Market Report 2019 also confirmed that 72 % of these companies use Copernicus data (an additional 6 percentage points compared to 2016) thanks to the full, free and open data policy. The European downstream EO sector had 6 000 full-time jobs in 2012 and 7 877 in 2016. The average growth rate of 10 % (observed between 2012 and 2016) was applied to produce estimates for 2017, 2018, and 2020 (conservative approach).

The objective to foster the development of a competitive European space and services industry, maximising opportunities for European enterprises to develop and provide innovative Earth observation systems and services, has shown positive results. The original baseline scenario assumed a 5 % annual growth rate between 2013 and 2020 in the European EO sector, thanks to the availability of Copernicus data and services' information. The annual growth rate estimated for 2015 is 10%, based on 8 value chains and 20% for 2018, based on 10 value chains, demonstrating a positive effect of the Copernicus<sup>11</sup> full, free and open data and information policy.

Over the course of 2020, DG DEFIS worked closely with other Commission services to maximise the user uptake. Discussions with DG CNECT on possible future projects have taken place and close cooperation was established on the **DestinationEarth** project, the Digital Twins related to climate adaptation and weather-induced extreme events. Copernicus is a major building block to start the development of DestinationEarth, providing massive amounts of Earth Observation and monitoring data and information and outputs from modelling services<sup>12</sup>. The key value for Copernicus is to own an operational service framework fully connected to beneficiaries and demonstrating its high quality of standards. In addition, Copernicus proposes an integrated data management concept to foster the reuse of the former Copernicus DIAS investment to contribute to the future CONECT digital platform (cloud+High Performance Computing).

DG DEFIS also worked closely with JRC to set up the **Knowledge Centre for Earth Observation (KCEO)** to ensure the uptake of Copernicus within/by user-DGs. The KCEO can become an important tool to boost the uptake of Copernicus services' information products within cross-sectoral policy areas. The KCEO will involve some 17 user DGs across the Commission, closely coordinated with DG R&I and CNECT. In 2020, two Commission-wide consultations with the user-DGs were conducted in June and December, in preparation for the official launch event planned for April 2021.

The first Phase of the action deploying a Farm Sustainability tool and platform jointly supported by DG DEFIS, DG Agriculture and Rural Development (DG AGRI), and by the ISA<sup>2</sup> Programme (DG DIGIT) was carried out in three initial Member States: Italy, Spain and Estonia. The **FaST** digital service platform will make available capabilities for agriculture, environment and sustainability to EU farmers, Member State Paying Agencies, farm advisors and developers of digital solutions. The vision of this project is for the FaST to become a common platform for the generation and re-use of solutions for sustainable and competitive agriculture based on space data (Copernicus and Galileo) and other public and private datasets. Several other Member States already expressed their interest to join the project in a potential Phase 2.

A Copernicus MOOC (massive online course) was delivered in 2020 attracting almost 10,000 people that registered for the two editions of the course, significantly more than the initial forecasts. The registered participants originated from 169 countries, 53% of them from the EU-27. Registered participants were active in a wide variety of sectors, in particular education and research, environmental services, agriculture, forestry and fishery, government and public services, and scientific and technical activities.

The international dimension has been enlarged through specific agreements signed with several countries, adding to the role of the EU in international fora and conferences, including various UN agencies. With the conventional data access infrastructure (e.g. ESA Open hub) and the setting up of the Copernicus Data and Information Access Services (DIAS), the entire Copernicus database is available on a **free, full and open data policy**, including to GEOSS<sup>13</sup> members. This means that users (public authorities,

<sup>10</sup> The benefits were assessed for 10 selected value chains (agriculture, forestry, urban monitoring, ocean monitoring, oil and gas, renewable energies, air quality, insurance for natural disasters, response to natural disasters, security). The 15% is the compound annual growth rate Copernicus between 2015 and 2020, restricting the comparison to the 8 VC analysed in the 2016 market report so excluding civil protection and security. On these 8 VC the revenues grew from 54 M€ in 2015 to 101 M€ in 2020. The 15% is a compound annual growth rate Copernicus. The benefits vary between the value chains, depending on the contribution of Earth Observation (EO) in the industry activities (driving the revenues for downstream players) and the penetration rate of Copernicus within this EO data. Although some value chains remain rather challenging as potential growth segments for Copernicus, such as insurance, overall the industries considered all foresee a positive evolution of Copernicus uptake and hence of its economic impacts.

<sup>11</sup> [https://www.copernicus.eu/sites/default/files/PwC\\_Copernicus\\_Market\\_Report\\_2019.pdf](https://www.copernicus.eu/sites/default/files/PwC_Copernicus_Market_Report_2019.pdf)

<sup>12</sup> the Climate Change service, the Atmosphere Monitoring Service, the Marine Environment Monitoring Service, the Land Monitoring Service and the Emergency Management Service

<sup>13</sup> Global Earth Observation System of Systems

companies, researchers, NGOs...) have the possibility to choose from which platform they prefer to access the data and information. The target of 100 % excludes the restricted products from the Emergency and Security Services.

Cooperation arrangements have been concluded with the United States, Australia, Brazil, Chile, Colombia, the African Union Commission, India, Serbia and Ukraine. Whereas the timeline of discussions with Japan, Canada, New Zealand, Singapore, Thailand, Vietnam, Argentina, Indonesia, the United Nations Environment Programme (UNEP) as well as the Food and Agriculture Organisation (FAO) and the World Meteorology Organisation (WMO) had to be postponed due to the COVID-19 crisis. In 2018, the European Commission took over the chair of the Committee for Earth Observation Satellites (CEOS) and is now recognised as a major space player. Copernicus is regarded as the global benchmark for Earth Observation. At the 34th Plenary CEOS, the Greenhouse Gas Roadmap for CO<sub>2</sub> (carbon dioxide) and CH<sub>4</sub> (methane) was endorsed. Thanks to European leadership, space agencies operating Earth Observation satellites worldwide are coordinating on relevant observations from space to support the implementation of the Paris Agreement, as well as, other policies of international or global nature such as the UN 2030 Agenda for Sustainable Development, and the European Development Policy.

### 3.2. Key achievements

#### EGNOS and Galileo

Less than 10 minutes	Approximately 2 billion	7- metre	7	Less than 15 minutes	2
is the amount of time required by Galileo's Search and Rescue service to detect emergency distress beacons, compared to up to 3 hours previously required.	Galileo-enabled devices in use	accuracy of Galileo's E112 location information, compared to 2-10 km accuracy displayed by the Global System's for Mobile Communications Cell ID-based technology	Member States have had support from the Help 112 II project	is the amount of time required by Galileo's Search and Rescue service to send an acknowledgement message to the beacon in distress. This is a unique feature of Galileo.	unique new Galileo services are under development and close to deployment; the Galileo Open Service Navigation Message Authentication (OSNMA) and Galileo High Accuracy Service (HAS)

#### Copernicus

8	460 0000	174	95	185	60	38 million	35 million	Over 330 million GB	20 000
Copernicus satellites are in orbit, first one was launched in 2014.	400.000 registered users are accessing the European data access points and 60.000 registered users on the Copernicus Climate Change service have access to more than	full, free and open information products are available in the Copernicus Marine Environment Service catalogue.	activations of the Rapid Mapping and the Risk and Recovery Mapping on-demand services were reported in 2020.	Rapid Action Coronavirus Earth observation dashboard economic indicators monitor the consequences of the Covid19 pandemic.	full, free and open information products are provided under the Copernicus Land Monitoring service.	television viewers watched daily on different platforms air quality bulletins from around Europe based on the Copernicus Atmosphere Monitoring Service.	data products have been published in 2020 coming from 8 Copernicus satellites	of data has been downloaded by 400 000 registered users of the Copernicus data access portals.	international readers read the the 2020 Ocean State report.

70TB of quality-controlled climate data per day (status December 2020).									
---	--	--	--	--	--	--	--	--	--

### 3.3. Evaluations, studies and reports

#### *EGNOS and Galileo*

In 2017, an interim evaluation of the European GNSS programmes (EGNOS and Galileo) and evaluation of the European GNSS Agency <sup>(14)</sup> was carried out. Since then no further evaluations or studies were conducted.

In 2018, the Commission adopted an Impact Assessment accompanying the Proposal for a Regulation of the European Parliament and of the Council **establishing the space programme of the Union and the European Union Agency for Space Programme** <sup>(15)</sup>.

In 2020, the Commission has undertaken an impact assessment study on an initiative to foster the use of Galileo in critical infrastructure that depends on space services for timing and synchronisation (in energy, telecommunications and bank/finance transaction networks). The initiative considers awareness actions on Galileo and EGNOS's features, specific industrial or R & D support, or the preparation of specific legislation. An open public consultation is a part of the input to the impact assessment.

#### *Copernicus*

The key findings of the Impact Assessment accompanying the Proposal for a Regulation of the European Parliament and of the Council **establishing the space programme of the Union and the European Union Agency for Space Programme** <sup>(16)</sup>, and of the study on **ex-ante evaluation of the socioeconomic benefits of Copernicus** <sup>(17)</sup> have been presented in the Programme Statement 2019. Key challenges for the future relate to global and political developments (such as climate change, security, competitiveness of European industry) as well as to lessons learned from the implementation of the programme in the past (such as governance, data distribution and linking space data with other policy areas). The priorities are (1) continuity of services (2) new missions and evolution of services, (3) development of new activities in support of answers to societal challenges, for example help in implementation of the European Green Deal. The governance model proposed for the next financial period builds on the current framework, whilst taking advantage, where appropriate, of synergies, notably as regards security.

The **Copernicus market report 2019** <sup>(18)</sup> looked at the current uptake of Copernicus in Europe. The second edition of the Copernicus Market Report details how Copernicus free and open data and information is used to tackle more and more societal, environmental and economic challenges – ranging from floods and wildfires to insect infestation and forest regrowth. The report was commissioned by the European Commission and is an update to the previous Market Report from 2016. It contains numerous new analyses, comparisons and deep dives into new benefit areas. With over 200,000 users, Copernicus is expanding fast. It has doubled its footprint on the Earth Observation (EO) scene and now supplies 20 % of the world's EO data. The volume of downloads grew by 133 % since the first Market Report was released in 2016. On top of that, the report found that 72 % of EO companies in Europe use Copernicus (+ 11 percentage points since 2016). In a single year (2018), Copernicus generated EUR 2.9 billion of benefits to its European users, nearly half the cost of the programme. Copernicus represented about 20 % of the data used in Earth observation applications. The market for Copernicus-based applications is growing at 15 % per year.

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :To provide long term, state-of-the-art and, secure positioning, navigation and timing services whilst ensuring service continuity and robustness**

**Indicator 1:Accuracy of navigation and timing services provided by Galileo and EGNOS separately**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

<sup>(14)</sup> SWD (2017) 346

<sup>(15)</sup> SWD(2018) 327 final

<sup>(16)</sup> SWD(2018) 327 final

<sup>(17)</sup> <https://www.copernicus.eu/en/study-estimates-copernicus-benefits-be-10-times-its-costs>

<sup>(18)</sup> [https://www.copernicus.eu/sites/default/files/PwC\\_Copernicus\\_Market\\_Report\\_2019.pdf](https://www.copernicus.eu/sites/default/files/PwC_Copernicus_Market_Report_2019.pdf)

Are we on track										
Indicator type	Result									
Unit of measurement	Percentage									
Cut-Off Date										
Data source	EUSPA (European Union Agency for the Space Programme)									
Link to the objective	To provide long-term, state-of-the-art and secure positioning, navigation and timing services whilst ensuring service continuity and robustness									
Link MFF 14-20 / MFF 21-27	n/a									
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Indicator 2: Availability and continuity of services provided by Galileo and EGNOS separately**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type	Result									
Unit of measurement	Percentage									
Cut-Off Date										
Data source	EUSPA (European Union Agency for the Space Programme)									
Link to the objective	To provide long-term, state-of-the-art and secure positioning, navigation and timing services whilst ensuring service continuity and robustness									
Link MFF 14-20 / MFF 21-27	n/a									
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Indicator 3: EGNOS services geographical coverage**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type	Result									
Unit of measurement	Percentage geographical coverage									
Cut-Off Date										
Data source	EUSPA (European Union Agency for the Space Programme)									
Link to the objective	To provide long-term, state-of-the-art and secure positioning, navigation and timing services whilst ensuring service continuity and robustness									
Link MFF 14-20 / MFF 21-27	Indicator replacing the former Objective 2 - indicator 1									
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Indicator 4: Number of EGNOS procedures published (both APV-I and LPV-200)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type	Output									
Unit of measurement	Number of airports with EGNOS procedures									
Cut-Off Date										

Data source	EUSPA (European Union Agency for the Space Programme)
Link to the objective	To provide long-term, state-of-the-art and secure positioning, navigation and timing services whilst ensuring service continuity and robustness
Link MFF 14-20 / MFF 21-27	Indicator replacing the former Objective 2 - indicator 2
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: EU user satisfaction with respect to Galileo and EGNOS services

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage (cumulative)
Cut-Off Date	
Data source	EUSPA (European Union Agency for the Space Programme)
Link to the objective	To provide long-term, state-of-the-art and secure positioning, navigation and timing services whilst ensuring service continuity and robustness
Link MFF 14-20 / MFF 21-27	n/a
Other methodological comments	This indicator measures the user satisfaction perceived by the users that participated in the annual user satisfaction survey organised by the European GNSS Agency in cooperation with the European GNSS Service Centre for Galileo users and European Satellite Services Provider for EGNOS users.
Full metadata available at this address	
Justification of the trend	

#### Indicator 6: Share of Galileo and EGNOS enabled receivers in the worldwide and the EU Global Navigation Satellite Systems/ Satellite Based Augmentation System (GNSS/SBAS) receivers market

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage (cumulative)
Cut-Off Date	
Data source	GNSS Market Report
Link to the objective	To provide long-term, state-of-the-art and secure positioning, navigation and timing services whilst ensuring service continuity and robustness
Link MFF 14-20 / MFF 21-27	Indicator replacing the former General Objective 1 - indicator 1. This indicator will be continued in the MFF 2021-2027.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :To deliver accurate and reliable Earth Observation data, information and services integrating other data sources, supplied on a long-term sustainable basis, to support the formulation, implementation and monitoring of the Union and its Member States' policies, and actions based on user requirements**

#### Indicator 1: Number of EU users of Copernicus Services, Copernicus data, and Data and Information Access Systems (DIAS) providing, where possible, information such as the type of user, geographical distribution and sector of activity

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of users (registered)
Cut-Off Date	30/01/2028
Data source	Quarterly and Semester reports and data dissemination dashboards
Link to the objective	- to provide, or contribute to the provision of, high-quality and up-to-date and, where appropriate, secure space-related data, information and services without interruption and wherever possible at global level, meeting existing and future needs and able to support the Union's political priorities and related evidence-based and independent decision making, inter alia for climate change and, transport, security - to enhance safety, the security of the Union and its Member States, and reinforce its autonomy, in particular in terms of technologies
Link MFF 14-20 / MFF 21-27	Indicator replacing the former Objective 1 - indicator 1 of last MFF "Number of engaged users showing sustained uptake through registered data download"
Other methodological comments	EU users (27) for this indicator are considered to be users from EU Member States (and their overseas territories), and include EFTA users and users from other participating states, EU agencies and institutions.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Where applicable, number of activations of Copernicus Services requested and/or served

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of requests for services
Cut-Off Date	31/01/2028
Data source	Quarterly and Semester reports of the Copernicus Services
Link to the objective	- to provide, or contribute to the provision of, high-quality and up-to-date and, where appropriate, secure space-related data, information and services without interruption and wherever possible at global level, meeting existing and future needs and able to support the Union's political priorities and related evidence-based and independent decision making, inter alia for climate change and, transport, security; - to "enhance safety, the security of the Union and its Member States, and reinforce its autonomy, in particular in terms of technologies
Link MFF 14-20 / MFF 21-27	New indicator under MFF 21/27
Other methodological comments	The indicator is the number of on-demand services for EMS service (not limited to rapid mapping) and security services, all types included. In the future, this indicator may also possibly include other services in case they develop on-demand services.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: EU User satisfaction with respect to Copernicus Services and DIAS

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Index value satisfaction survey
Cut-Off Date	31/01/2028
Data source	Based upon a yearly user survey
Link to the objective	To maximise the socio-economic benefits, in particular by fostering the development of an innovative and competitive European upstream and downstream sectors, including small and medium-sized enterprises and start-ups, thereby enabling growth and job creation in the Union and promoting the widest possible uptake and use of the data, information and services provided by the Programme's components both within and outside the Union; while ensuring synergies and complementarity with the Union's research and technological development activities carried out under the Horizon Europe Regulation

Link MFF 14-20 / MFF 21-27	Replacing the former objective 1- indicator 2: "Progression in number of satisfied users expressed by the percentage of returning and engaged users"
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Reliability, availability and continuity of the Copernicus Services and Copernicus data stream**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/01/2028
Data source	Copernicus Data dashboards, Quarterly Implementation Reports and Semestrial reports
Link to the objective	- to provide, or contribute to the provision of, high-quality and up-to-date and, where appropriate, secure space-related data, information and services without interruption and wherever possible at global level, meeting existing and future needs and able to support the Union's political priorities and related evidence-based and independent decision making, inter alia for climate change and, transport, security; - to "enhance safety, the security of the Union and its Member States, and reinforce its autonomy, in particular in terms of technologies
Link MFF 14-20 / MFF 21-27	Replacing the former objective 2 - Indicator 1: "The accomplishment of the space infrastructure in terms of satellites deployed and data it produces for integration into geo-information services" and Objective 3- Indicator 1: "Sustained availability of in-situ data for supporting Copernicus services"
Other methodological comments	
Full metadata available at this address	For ESA: <a href="https://scihub.copernicus.eu/reportsandstats/">https://scihub.copernicus.eu/reportsandstats/</a>
Justification of the trend	

**Indicator 5: Number of information products delivered in the portfolio of each Copernicus Service**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/01/2028
Data source	Copernicus Services Data/information products' dashboards
Link to the objective	- to provide, or contribute to the provision of, high-quality and up-to-date and, where appropriate, secure space-related data, information and services without interruption and wherever possible at global level, meeting existing and future needs and able to support the Union's political priorities and related evidence-based and independent decision making, inter alia for climate change and, transport, security; - to "enhance safety, the security of the Union and its Member States, and reinforce its autonomy, in particular in terms of technologies
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The indicator will be a combined/composed indicator because each of the 6 Copernicus services produces information products.
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Amount of data generated by the Sentinels**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	Result
Unit of measurement	IT data amount (volume of data in Pbytes per year, number of data products generated per year)
Cut-Off Date	31/01/2028
Data source	Quarterly reports and data dissemination dashboards
Link to the objective	- to provide, or contribute to the provision of, high-quality and up-to-date and, where appropriate, secure space-related data, information and services without interruption and wherever possible at global level, meeting existing and future needs and able to support the Union's political priorities and related evidence-based and independent decision making, inter alia for climate change and, transport, security; - to "enhance safety, the security of the Union and its Member States, and reinforce its autonomy, in particular in terms of technologies
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The calculation is based on ESA dashboard. Increase is due to the launch of Sentinel4, Sentinel5 and CO2 expansion mission. Other candidate missions are not taken into account since their launch is expected after 2028. The possible launch of C/D units do not affect the calculation since they will replace A or B units at end of lifetime.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :To enhance Space Surveillance and Tracking (SST) capabilities to monitor, track and identify space objects and space debris, with the aim to further increase the performance and autonomy of SST capabilities at Union level, to provide space weather services and to map and network Member States Near-Earth Objects (NEO) capacities**

**Indicator 1: Number of EU users of SSA components providing, where possible, information such as the type of user, geographical distribution and sector of activity.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of users
Cut-Off Date	
Data source	EU SST Consortium, EU SST Front Desk
Link to the objective	Enhance safety, security and sustainability of all outer space activities pertaining to space objects and debris proliferation, as well as space environment, by implementing appropriate measures, including development and deployment of technologies for spacecraft disposal at the end of operational lifetime and for space debris disposal.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Availability of services**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of available services
Cut-Off Date	
Data source	EU SST Consortium, EU SST Front Desk
Link to the objective	Enhance safety, security and sustainability of all outer space activities pertaining to space objects and debris proliferation, as well as space environment, by implementing appropriate measures, including development and deployment of technologies for spacecraft disposal at the end of operational lifetime and for space debris disposal.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

### Specific Objective 4 :To ensure the long-term availability of reliable, secure and cost-effective satellite communications services for GOVSATCOM users

**Indicator 1: Number of EU users of GOVSATCOM providing, where possible, information such as the type of user, geographical distribution and sector of activity.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of users
Cut-Off Date	
Data source	European Commission, GOVSATCOM Hub
Link to the objective	Provide, or contribute to the provision of, high-quality and up-to-date and, where appropriate, secure space-related data, information and services without interruption and wherever possible at global level, meeting existing and future needs and able to support the Union's political priorities and related evidence-based and independent decision making, inter alia for climate change and, transport, security; Enhance safety, the security of the Union and its Member States, and reinforce its autonomy, in particular in terms of technologies;
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Availability of Services

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of available services
Cut-Off Date	
Data source	European Commission, GOVSATCOM Hub
Link to the objective	Provide, or contribute to the provision of, high-quality and up-to-date and, where appropriate, secure space-related data, information and services without interruption and wherever possible at global level, meeting existing and future needs and able to support the Union's political priorities and related evidence-based and independent decision making, inter alia for climate change and, transport, security; Enhance safety, the security of the Union and its Member States, and reinforce its autonomy, in particular in terms of technologies.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 5 :To support an autonomous, secure and cost-efficient capability to access space, taking into account the essential security interests of the Union

**Indicator 1: Number of launches for the Programme (including numbers by type of launchers)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type	Output									
Unit of measurement	Number									
Cut-Off Date										
Data source	European Commission									
Link to the objective	To support an autonomous, secure and cost-efficient capability to access space, taking into account the essential security interests of the Union									
Link MFF 14-20 / MFF 21-27	New indicator									
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Specific Objective 6 :To foster the development of strong Union, space economy including by supporting space ecosystem and by reinforcing the competitiveness, innovation, entrepreneurship, skills and capacity building in all Member States and Union, with particular regard to small and medium-sized enterprises and start-ups or legal and natural persons from the Union active or wishing to become active in that sector.**

**Indicator 1: Number and location of space hubs in the Union**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type	Impact									
Unit of measurement	Number of space hubs, ecosystem impact									
Cut-Off Date										
Data source	European Commission (with inputs from Member States + ESA + other stakeholders)									
Link to the objective	To foster the development of a strong Union space economy including by supporting the space ecosystem and by reinforcing the competitiveness, innovation, entrepreneurship, skills and capacity building in all Member States and Union regions, with particular regard to small and medium-sized enterprises and start-ups or legal and natural persons from the Union active or wishing to become active in that sector									
Link MFF 14-20 / MFF 21-27	New indicator									
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Indicator 2: Share of SMEs established in the EU as a proportion of the total value of the contracts relating to the programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type	Impact									
Unit of measurement	Percentage									
Cut-Off Date										
Data source	European Commission									
Link to the objective	To foster the development of a strong Union space economy including by supporting the space ecosystem and by reinforcing the competitiveness, innovation, entrepreneurship, skills and capacity building in all Member States and Union regions, with particular regard to small and medium-sized enterprises and start-ups or legal and natural persons from the Union active or wishing to become active in that sector									
Link MFF 14-20 / MFF 21-27	New indicator									
Other methodological comments										

Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

*Previous Program 1 : Implementation and exploitation of European satellite navigation systems (EGNOS and Galileo)*

**General Objective 1 :Supporting European presence in space and the development of satellite-based positioning, navigation and timing services**

**Indicator 1:Market share of EU GNSS industry in worldwide GNSS downstream market**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
EGNOS present in number of receiver models										
2012	Milestones									2020
0,63	0,63	0,63	0,75	0,75	0,78	0,82	0,85			0,85
	Actual Progress									Final
	0,63	0,63	0,68	0,68	0,68	0,68	0,63			
Galileo present in number of receiver models										
2012	Milestones									2020
0,35	0,35	0,35	0,45	0,4	0,42	0,44	0,7			0,7
	Actual Progress									Final
	0,35	0,35	0,38	0,41	0,42	0,42	0,62			

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage (cumulative)
Cut-Off Date	31/12/2020
Data source	European GNSS Agency, GNSS Market Report
Narrative	The market share indicator is based on the percentage of Galileo and EGNOS receivers in the total number of receiver models worldwide. This indicator was required in the Regulation (EU) No 1285/2013.
Methodology	The baseline for this indicator was established in 2014 and the data is included in the GNSS user technology report of the European GNSS Agency published once in two years, but is measured annually.
Link MFF 14-20 / MFF 21-27	The indicator will be continued in MFF 2021-2027 under Specific Objective 1, Indicator 6.
Other methodological comments	The trend of the production of Galileo and EGNOS enabled receiver models suggests that receiver manufacturers are gradually integrating Galileo and EGNOS into their products and the milestone target for this indicator is likely to be reached. The receiver's database was improved in 2020, when new companies were added to the baseline (in 2020 there were 40+ companies) in order to reflect the changes on the market, but also to include new segments and to reflect some significant changes in manufacturer's product offerings. The GSA's independent analysis assesses the capabilities of around 500+ receivers, chipsets and modules currently available on the market. For the analysis, each device is weighted equally, regardless of whether it is a chipset or receiver and no matter what its sales volume is. The results should therefore be interpreted as the split of constellation support in manufacturers' offerings, rather than what is in use by end users.
Full metadata available at this address	
Justification of the trend	There is a positive trend of the increasing production of receivers that Galileo enabled. The actual progress is going towards the milestones set. The Galileo enabled receiver models are listed on: <a href="https://www.usegalileo.eu/">https://www.usegalileo.eu/</a> . With regard to the EGNOS enabled receiver models, the actual progress stabilised at 68% of the total number of receiver models worldwide. This is lower than the milestone of 85% set in 2014, when a steady growth was predicted. This is due to the fact that some markets are making more use of the Galileo dual frequency receiver models rather than EGNOS.

**Specific Objective 1 :To develop and provide global satellite-based radio navigation infrastructures and services (Galileo) by 2020**

**Indicator 1:Galileo infrastructure Cumulative number of operational satellites**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
4		12					30			30
	Actual Progress									Final
	3	9	18	22	26	26	26			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of satellites
Cut-Off Date	31/12/2020
Data source	European Space Agency and European GNSS Agency
Narrative	This indicator was chosen as it impacts the quality and coverage of the GNSS services provided. The 30 satellite target includes allowance for in-orbit spares that ensure service continuity in case of unexpected events. Users are already experiencing excellent performance levels with the number of satellites that are currently in orbit.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	No Galileo satellites were launched in 2020. Therefore the number of satellites in orbit remains at 26. Of these, one satellite is unavailable for operational use, an additional satellite is available as in-orbit spare but not participating in the operational constellation. There are also 2 satellites that due to a launch anomaly in 2014 were placed into non-nominal eccentric orbits. These satellites have been contributing to the Search and Rescue service for several years, and have been validated for use in providing navigation and timing services, on a non-committed availability basis. The committed performance targets are achieved without taking into account the contributions of these satellites, although they do contribute to the performance, particularly in difficult urban scenarios. Therefore, there continue to be 22 satellites that are fully operational and in the nominal constellation slots. The next launch of 2 satellites will take place in Q4 2021.

### Indicator 2:Galileo infrastructure New terrestrial infrastructure deployed version

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
June 2011	Milestones									2020
In orbit validation (IOV) initial configuration	IOV final configuration	Ground Segment Version 2.0	System Build 1.5.0	System Build 1.5.0	System build 1.5.1	System build 1.5.1	System build 1.5.1	SB1.5.1 then SB1.7	SB1.7	System Build 2.0
	Actual Progress									Final
		GSM Version 2.1/GCS 2.0	SystemB 1.5.0	SB 1.5.0	SB 1.5.0	Migration ongoing to system build 1.5.1	Migration ongoing to system build 1.5.1			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	System build validation
Cut-Off Date	
Data source	European Space Agency and European GNSS Agency
Narrative	This indicator was chosen as it impacts the quality and coverage of the GNSS services provided
Methodology	Once the System Build are deployed and validated, this ongoing metric monitors the status of the Galileo ground segment. Performance commitments are associated with System build validation
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The system upgrade System Build 1.5.1 which will improve the operability, robustness and security of the system was delayed in 2018 due to changes in the composition of the industry consortium due to BREXIT. The System Build 1.5.1 was expected be implemented in 2019 but the migration was further prolonged due to the impact of the technical incident of July 2019. The complete System Build 1.5.1 is now expected to be fully in operations by April 2021. The more recently defined System Build SB1.7, which provides all functionality necessary to support the upcoming satellite launches, will be deployed by September 2021. System Build 2.0, which is the baseline for Galileo Full Operational Capability (FOC) will be deployed in Q4 2023, which is in line with the current roadmap to FOC.
Full metadata available at this address	
Justification of the trend	The system upgrade System Build 1.5.1 which will improve the operability, robustness and security of the system was delayed in 2018 due to changes in the composition of the industry consortium due to BREXIT. The System Build 1.5.1 was expected be implemented in 2019 but the migration was prolonged due to the impact of the technical incident of July 2019. The complete System Build 1.5.1 is now expected to be fully in operations by April 2021. System Build 1.7 is well on its way to deployment and will support the requirements associated with the next launch and increased number of satellites. The System Build 2.0, which is the baseline for Galileo Full Operational Capability will be deployed in Q1 2023 instead of end of 2020, due to reasons that are directly linked to the incident in July 2019.

### Indicator 3:Galileo services provision Number of services implemented

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			3	3	3	3	5			5
	Actual Progress									Final
		0	3	3	3	3	4			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of services provided
Cut-Off Date	
Data source	European Commission and GSA
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Originally 5 services were foreseen: Open Service (OS), Search and Rescue (SAR), Public Regulated Service (PRS), Commercial Service (CS) and Safety of Life (SoL). Of these, the 3 first services are well on track, and the Commercial Service has evolved into High Accuracy Service (HAS) and Commercial Authentication Service (CAS), which are both well consolidated and under testing. The Galileo SoL service as such has been reprofiled, nevertheless Galileo will provide an important contribution to SoL services, in particular in the aeronautical context. In addition, with the Galileo SAR, the unique additional Return Link Service is already operational since January 2020. Open Service Navigation Message Authentication (OSNMA) is an important new service that is under testing and will be available as a full service in 2023. The Emergency Warning Service is also a new service that is well defined and under development.
Full metadata available at this address	
Justification of the trend	Galileo initial services were declared operational on 15 December 2016. These include the Galileo Initial Open Service, the Galileo Initial Public Regulated Service, the Galileo Initial Search and Rescue Service. Development and testing of a number of new services is continuous and gradual improvements are being introduced. The new unique functionality to Galileo's Search and Rescue service, the Return Link Service, has been operational since January 2020. Phase 1 of the High Accuracy Service with 20 cm positioning accuracy will be provided for Europe by the end of 2021, with full service expected in 2022. Open Service Navigation Message Authentication is under testing and will be available as a full service in 2023. The operational services have been delivered with excellent quality and availability, and performance has been excellent during 2020.

## Specific Objective 2 :To provide satellite-based services improving the performance of GPS to gradually cover the whole ECAC (European Civil Aviation Conference) region by 2020 (EGNOS) and European neighbouring countries

### Indicator 1:Progress of the EGNOS coverage extension versus agreed coverage extension

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
EGNOS Service Evolution Plan v2.0 established		Establish EGNOS service Evolution plan v2.0	Advancement in coverage	Advancement in coverage	Advancement in coverage	Advancement in coverage	Coverage of EU -28 with EGNOS in line with the EGNOS Service - Evolution plan			Coverage of EU-28 with EGNOS in line with the EGNOS Service Evolution Plan
	Actual Progress									Final
		EGNOS Service Evolution Plan v2.0 was established	98.98% coverage of EU28-NO-SW land masses for APV-I	98.9% coverage of EU28-NO-SW land masses for APV-I	98.7% coverage of EU28-NO-SW land masses for APV-I	99.1% coverage of EU 28-NO-SW land masses for APV-I	98.2% coverage of EU28-NO-SW land masses for APV-I			98.2% coverage of EU28-NO-SW land masses for APV-I

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of Geographical coverage
Cut-Off Date	31/12/2020
Data source	GSA Quarterly Implementation Reports
Narrative	The geographical area is where EGNOS services meet the accuracy, availability, continuity and integrity levels. The current EGNOS Service Evolution Plan (SEP) sets out the baseline for the

	implementation of the EGNOS mission and security requirements. It defines the extension of EGNOS services over the European territory in terms of their availability, which is depicted in a form of 'availability maps'.
Methodology	The progress of EGNOS APV-I coverage extension versus the Programme objective to cover EU28 states (plus Norway and Switzerland) is reported through the percentage of EU28-NO-CH land masses that effectively achieve APV-I 99% availability coverage (i.e. observed EGNOS performance). APV-I = Approach procedure with vertical guidance, category 1.
Link MFF 14-20 / MFF 21-27	A similar indicator will be reported in MFF 21/27 under Indicator 3: EGNOS services geographical coverage
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Trend is stable with a yearly variation depending on yearly circumstances. The 1-2% of EU land-masses not covered are known (Azores, north east part of Finland and eastern part of Cyprus) and will only be covered when the new generation EGNOS V3 will become operational.

**Indicator 2:EGNOS service availability index based on the number of airports with EGNOS-based approach procedures with an operational status versus the total number of airports with EGNOS - based approach procedures**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Service availability index										
	Milestones									2020
1	Actual Progress									Final
	0.98	0.99	0.99	0.99	0.99	0.99	0.99			0.99
Total number of airports with EGNOS procedures										
2013	Milestones									2020
93	Actual Progress									Final
	132	174	230	251	315	342	373			373
Total number of airports with an operational status										
2014	Milestones									2020
93	Actual Progress									Final
	129	173	230	251	315	342	373			373

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	GSA Quarterly Implementation Reports
Narrative	The current EGNOS Service Evolution Plan (SEP) sets out the baseline for the implementation of the EGNOS mission and security requirements. It defines the extension of EGNOS services over the European territory in terms of their availability, which is depicted in a form of 'availability maps'
Methodology	The indicator is computed by counting the number of airports that have implemented EGNOS procedures by the end of the corresponding year (this information is publically available at national level).
Link MFF 14-20 / MFF 21-27	A similar indicator will be reported in MFF 21/27 under Indicator 1: Accuracy of navigation and timing services provided by Galileo and EGNOS separately.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Trend is positive (increase in the number of airports with EGNOS procedures) due to increase EGNOS adoption to which Regulation 2018/1048 mandating the publication of EGNOS procedures in all instrument runway ends, will greatly contribute.

**Previous Program 2 : European Earth Observation Programme (Copernicus)**

## General Objective 1 :Monitoring the Earth to support the protection of the environment and the efforts of civil protection and civil security

**Indicator 1: Number of specific service components corresponding to users' service-level requirements to realise that Copernicus data and Copernicus information is made available for the environment, civil protection and civil security**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Service components put into operations during year										
2013	Milestones									2020
6		6	5	2		1	0			6
	Actual Progress									Final
	2	2	6	3	1		1			6
Total number of Operational service components										
2013	Milestones									2020
6		6	11	13	13	14	14			14
	Actual Progress									Final
	2	4	10	13	14		15			15

Are we on track	On track
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	31/12/2020
Data source	Annual implementation report and user requirements
Narrative	Copernicus is a user-based programme and the information products developed by the Copernicus services aim to answer to the user needs and specific requirements and for this, tailored components within the services exist or can be set up.
Methodology	A component is the result of a user-based need following consultation and interaction with the Copernicus members, users and the entrusted entities.
Link MFF 14-20 / MFF 21-27	For the MFF 21/27, this Indicator will be continued and reported under the new indicator 5 - Number of new information products delivered in the portfolio of each Copernicus Service.
Other methodological comments	The 6 thematic Copernicus services include different service components : operational at end of 2020 are Emergency Mapping, Early Warning System of Floods, Early Warning System of Forest Fires, Drought Observatory, Pan-European land service, Local Land service, Ground Motion Service, Global land service including Global hot spot service, Atmosphere and Marine services, the three security service components (border surveillance, maritime surveillance, support to external action) and provision of access to reference data access (in situ component) = responding to Copernicus Regulation Art 5(1). The Climate Change Service is operational since June 2018 (earlier than the milestone initial plan which was set in 2019). The milestone was initially foreseen in 2019 and the actual result was advanced to 2018.
Full metadata available at this address	
Justification of the trend	In line with Copernicus work programme

## General Objective 2 :Maximising socio-economic benefits, thus supporting of the Europe 2020 strategy and its objectives of smart, sustainable and inclusive growth by promoting the use of Earth observation in applications and services

**Indicator 1: Expected growth in downstream Earth Observation sector directly benefiting from Copernicus**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
				140			180			180
	Actual Progress									Final
			131	144	159	175	192			

Are we on track	On track
Indicator type	Result
Unit of measurement	Employment index
Cut-Off Date	31/12/2018
Data source	Copernicus Market report
Narrative	The growth of downstream EO sector is measured in terms of employment figures on the sector, with baseline as measured in 2012. The downstream Earth observation (EO) sector includes all enterprises whose main business is to provide services based on EO data. The Copernicus Market Report 2019 confirmed that 72% of these companies use Copernicus data (an additional 6 percentage points compared to 2016).
Methodology	Employment index

Link MFF 14-20 / MFF 21-27	
Other methodological comments	The European downstream Earth Observation sector had 6 000 full-time jobs in 2012 and 7 877 in 2016. The average growth rate of 10% (observed between 2012 and 2016 for 8 value chains) was applied to produce estimates for 2017, 2018 and 2020 (17 260 jobs based on 10 value chains).
Full metadata available at this address	
Justification of the trend	Increase: total investments in the Copernicus programme generates economic benefits through the added-value created in the upstream space industry, the sales of Copernicus-based applications by downstream service suppliers and the exploitation of Copernicus-enabled products by end users in various economic sectors.

### General Objective 3 :Fostering the development of a competitive European space and services industry and maximising opportunities for European enterprises to develop and provide innovative Earth observation systems and services

#### Indicator 1:Market penetration, including expansion of the existing markets and creation of new markets and competitiveness of the European downstream operators

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
100		105		116		128	140			140
	Actual Progress									Final
			149	170	195	224	258			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Added value (base 2013=100)
Cut-Off Date	31/12/2018
Data source	Copernicus Market report 2019
Narrative	The benefits were assessed for 10 selected value chains (agriculture, forestry, urban monitoring, ocean monitoring, oil and gas, renewable energies, air quality, insurance for natural disasters, response to natural disasters, security). The benefits vary between the value chains, depending on the contribution of Earth Observation (EO) in the industry activities (driving the revenues for downstream players) and the penetration rate of Copernicus data with regards to this EO data.
Methodology	GDP and catalytic impacts: GDP impact assessment (transactional impacts of investment in space assets) + value chain assessment (indirect industrial effects)
Link MFF 14-20 / MFF 21-27	EU Space regulation: Development of the downstream sector measured, when available, by the number of new companies using EU space data, information and services, jobs created and turnover, by Member State, using Eurostat surveys when available
Other methodological comments	The original baseline scenario assumed a 15% annual growth rate between 2013 and 2020 in the European EO sector, thanks to the availability of Copernicus data and services. The annual growth rate estimated for 2015 is 10%, based on 8 value chains and 20% for 2018 based on 10 value chains, demonstrating a positive effect of Copernicus thanks to the a full, free and open data and information policy.
Full metadata available at this address	
Justification of the trend	The main drivers for the growth of the markets are the remaining gap between end users' specific needs for tailored products and their current offer, and the progressive adoption of EO-based solutions in industries such as renewable energies.

### General Objective 4 :Ensuring autonomous access to environmental knowledge and key technologies for Earth observation and geoinformation services, thereby enabling Europe with independent decision-making and action

#### Indicator 1:Number of directives and decisions directly invoking the use of Copernicus data and Copernicus information by Union institutions and bodies for autonomous decision-making

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
5				15			12			12
	Actual Progress									Final
			7	8	10		12			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of EU Directives, EU strategies, Action programmes, Decisions, Communications.

Cut-Off Date	31/12/2020
Data source	Official Journal, European CommissionOL L 444, 31.12.2020, COM/2020/855 final/3, SWD/2020/345 final, SWD/2020/336 final, SWD/2020/331 final, COM/2020/788 final, COM/2020/741 final, COM/2020/725 final, Ares(2020)6081753, COM/2020/663 final, COM/2020/652 final, SWD/2020/0221 final, Ares(2020)5040558, SWD/2020/179 final, COM/2020/562 final, COM/2020/474 final, COM/2020/605 final, COM/2020/329 final, SWD/2020/140 final, OJ L 227, 31.7.2014, COM/2020/266 final, SWD/2020/62 final, SWD/2020/61 final, SWD/2020/60 final, COM/2020/259 final, COM/2020/220 final, COM/2020/381 final, SWD/2020/87 final, C/2020/2841 - OJ L 230 17.7.2020, C/2020/2405 - OJ L 119, 17.4.2020, COM/2020/104 final, JOIN/2020/7 final, COM/2020/98 final, COM/2020/80 final, COM/2020/66 final
Narrative	Mapping of Copernicus uptake across the different European Commission DGs and services:• Kucera, J., Janssens-Maenhout, G., Brink, A., Greidanus, H., Roggeri, P., Strobl, P., Tartaglia, G., Belward A. (ed.), Copernicus Uptake in the European Commission, JRC115133 report, 2019
Methodology	“Review of DG uptake of Copernicus in preparation for Knowledge Center for Earth Observation launch” García-Álvarez, D, Review of DG uptake of Copernicus in preparation for KCEO launch. February 2021, internal document;Each DG or service is classified according to its relation with Copernicus as: investor, champion user, known user, potential user and cross cutting interest. The type of use or relation that each DG or service has with Copernicus. Direct use means that the DG or service makes direct use of Copernicus data or other products that are derived from Copernicus and EO data. Indirect use means that the DG or service does not work with Copernicus or Copernicus-derived products, but is interested in promoting its use among agencies or Member States for the implementation of its policies. Support refers to an interest in Copernicus that goes away from the use of the products, like the inclusion of references of Copernicus in legislation.
Link MFF 14-20 / MFF 21-27	Indicator 1: Number of EU users of Copernicus Services, Copernicus data, and Data and Information Access Systems (DIAS) providing, where possible, information such as the type of user, geographical distribution and sector of activity
Other methodological comments	Reference to the EU Earth Observation programme are included in several cross-sectoral policies of the EU. In 2020, this included the Strategy for Sustainable and Smart Mobility, strategy for a decarbonised and circular economy , Farm to Fork strategy , EU General Union Environment Action Programme to 2030 ,EU Biodiversity Strategy for 2030, EU 2030 Climate and Energy targets new EU Forest Strategy , EU strategy to reduce methane emissions, Common EU approach for Ocean Observation, new EU Arctic Policy, EU Strategy on Adaptation to Climate Change
Full metadata available at this address	
Justification of the trend	In 2019, the Commission carried out a survey and assessment on the use of Earth Observation and Copernicus data and information in different EU policies. The recommendations are documented in a public report: Kucera, J., Janssens-Maenhout, G., Brink, A., Greidanus, H., Roggeri, P., Strobl, P., Tartaglia, G., Belward A., M. Dowell, Copernicus and Earth observation in support of EU policies - Part I: Copernicus uptake in the European Commission, EUR 30030 EN, Publications Office of the European Union, Luxembourg, 2020, ISBN 978-92-76-14559-2, doi:10.2760/024084, JRC118879. One concrete follow-up to this discussion has been the setting up of a Knowledge Centre on Earth Observation (KCEO) to be officially launched in 2021 to boost the use of Copernicus within the Commission and other EU institutions/bodies and so the inclusion of Copernicus data and services information in the preparation, implementation and monitoring of EU policies is foreseen to increase.

## General Objective 5 :Supporting and contributing to European policies and fostering global initiatives, such as GEOSS

### Indicator 1:Percentage of Copernicus global Earth Observation data available through Global Earth Observation System of Systems (GEOSS)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0%	10%	20%	40%		75%		100%			100%
	Actual Progress									Final
				40%	100%	100%	100%			100%

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of available datasets
Cut-Off Date	28/02/2021
Data source	ESA hub
Narrative	The entire Copernicus database is made available in the GEOSS geoportal (Earth observation catalogue).
Methodology	<a href="https://www.geoportal.org/">https://www.geoportal.org/</a>
Link MFF 14-20 / MFF 21-27	indicator continued under MFF 21/27 with new Indicator 4 - Reliability, availability and continuity of the Copernicus Services and Copernicus data stream

Other methodological comments	With the conventional data access infrastructure (e.g. ESA Open hub) and the setting up of the Copernicus Data and Information Access Services (DIAS), the entire Copernicus database is available on a free, full and open data policy, including to GEOSS members. The target of 100% excludes the restricted products from the Emergency and Security Services. The data for this indicator is from the yearly report provided by the European Environment Agency (EEA), the European Centre for Medium-range Weather Forecasts (ECMWF), Mercator Ocean, Frontex and the European Maritime Safety Agency (EMSA).
Full metadata available at this address	<a href="https://scihub.copernicus.eu/reportsandstats/">https://scihub.copernicus.eu/reportsandstats/</a>
Justification of the trend	The entire Copernicus database is available through GEOSS

**Specific Objective 1 :Delivering accurate and reliable data and information to Copernicus users, supplied on a long term and sustainable basis enabling the services referred to in Article 4(1) and responding to the requirements of Copernicus Core Users**

**Indicator 1: Number of engaged users showing sustained uptake through registered data download**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1				1,5			2			2
	Actual Progress									Final
				13,8	30		40,1			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of users, the figures are in 10 000
Cut-Off Date	28/02/2021
Data source	ESA dashboard
Narrative	The 2013 baseline is 10 000 registered users, milestone of 2017 means a 50% increase from the baseline, the target value means a doubling of engaged users. At the end of 2019, there were more than 300 000 users registered, demonstrating a steady increase in the number of users.
Methodology	The Copernicus Open Access Hub (the Open Hub) is the hub which offers to all users free, full and open access to Copernicus Sentinel data on the basis of self-registration. Accordingly, there are no restrictions on who can register to download products. The Open Hub is composed of two nodes: the SciHub – accessed by graphical user interface – and the APIHub – accessed via user-defined scripts. The registration phase includes the collection of user information (e.g. user country, thematic domain and usage type) selected by the user from a set of predefined lists. An ‘active user’ is defined strictly on the basis of downloads.
Link MFF 14-20 / MFF 21-27	indicator replaced under MFF 21/27 with new Indicator 4 - Reliability, availability and continuity of the Copernicus Services and Copernicus data stream
Other methodological comments	2020 figures were extracted from the ESA dashboard in February 2021.
Full metadata available at this address	
Justification of the trend	About 20% of the registered users are active users (downloading a product at least once in the last quarter). The number of active users has been growing as quickly as the number of registered user, keeping the ratio stable. An ‘active user’ is defined as a user who is both registered and who has performed at least one complete download within the reporting period. However, users who did not perform a complete download were not necessarily ‘inactive’: if a user chooses to extract only a specific granule or tile from a product, this is not counted by the system as a complete download and hence users who only made partial downloads would not be classed as active users.

**Indicator 2: Progression in number of satisfied users expressed by the percentage of returning and engaged users**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0%		20%		0%			65%			65%
	Actual Progress									Final
				20%	20%	22%				

Are we on track	On track
Indicator type	Result
Unit of measurement	Progression in number of active users (weighted average active users open access hub, international hub, collaborative hub, Copernicus services hub)
Cut-Off Date	28/02/2021
Data source	ESA dashboard (DIAS users are excluded)
Narrative	Feedback from users is monitored in order to determine if the data access service is in line with user expectations and to identify issues as they arise. Feedback and requests received from users of the Open Hub are tracked via a “Ticketing” system. The largest proportion of tickets are usually for ‘User

	Accounts' and 'Service Interface'. A returning user is traced as active user.
Methodology	The Copernicus Open Access Hub (the Open Hub) is the hub which offers to all users free, full and open access to Copernicus Sentinel data on the basis of self-registration. Accordingly, there are no restrictions on who can register to download products. The Open Hub is composed of two nodes: the SciHub – accessed by graphical user interface – and the APIHub – accessed via user-defined scripts. The registration phase includes the collection of user information (e.g. user country, thematic domain and usage type) selected by the user from a set of predefined lists. An 'active user' is defined strictly on the basis of downloads.
Link MFF 14-20 / MFF 21-27	indicator replaced under MFF 21/27 with new Indicator 4 - Reliability, availability and continuity of the Copernicus Services and Copernicus data stream
Other methodological comments	Users' satisfaction is expressed as percentage of Copernicus users which integrate the service products regularly into their workflows (active users). About 20% of the registered users are active users (downloading a product at least once in the last quarter). The number of active users has been growing as quickly as the number of registered user, keeping the ratio stable. It is not possible to identify the number of returning/engaged users but instead it is possible to calculate the number of active users. The target of 65% satisfaction is a good target but the return rate as a single way of measuring satisfaction is not adequate. The satisfaction rate will be measured through user satisfaction surveys in the future.
Full metadata available at this address	<a href="https://scihub.copernicus.eu/reportsandstats/">https://scihub.copernicus.eu/reportsandstats/</a>
Justification of the trend	The trend is bound to increase as more users are integrating Copernicus data and information into their workflows. However, the way the indicator is being calculated (namely active users) does not allow to reach the foreseen target. The number of active users is assumed to be higher: an 'active user' is defined as a user who is both registered and who has performed at least one complete download within the reporting period. However, users who did not perform a complete download were not necessarily 'inactive': if a user chooses to extract only a specific granule or tile from a product, this is not counted by the system as a complete download and hence users who only made partial downloads would not be classed as active users. In addition, users may have downloaded only product metadata from the Sentinel archive, for instance to create an independent catalogue for future use. An 'active user' is defined strictly on the basis of downloads and does not include users who log into their accounts or perform searches via the GUI.

## Specific Objective 2 :Providing sustainable and reliable access to spaceborne data and information from an autonomous European Earth observation capacity

### Indicator 1:The accomplishment of the space infrastructure in terms of satellites deployed and data it produces for integration into geo-information services

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
	1	2	4	7	7	7	8			8
	Actual Progress									Final
	1	2	4	6	7	7	8			8

Are we on track	On track
Indicator type	
Unit of measurement	Number of satellites deployed
Cut-Off Date	28/02/2021
Data source	ESA
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Copernicus satellites: Sentinel 1 A&B, Sentinel 2 A&B, Sentinel 3A&B, Sentinel 5P, Sentinel 6A (launched in 2020)
Full metadata available at this address	
Justification of the trend	Following the deployment schedule

## Specific Objective 3 :Providing a sustainable and reliable access to in-situ data, relying, in particular, on existing capacities operated at European and national levels, and on global observation systems and networks

### Indicator 1:Sustained availability of in-situ data for supporting Copernicus services

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	2	4	6	6	6	6	6			6

	Actual Progress								Final
	2	4	6	6	6	6	6		6
Are we on track	On track								
Indicator type									
Unit of measurement	Number of Services receiving in-situ data								
Cut-Off Date	28/02/2021								
Data source	Quarterly implementation Reports by EEA on the cross-cutting in situ component								
Narrative	All 6 services use service-specific in-situ data within their service. The Copernicus In Situ Component coordinated by the EEA maps the landscape of in situ data availability, identifies data access gaps or bottlenecks, supports the provision of cross-cutting data and manages partnerships with data providers to improve access and use conditions.								
Methodology									
Link MFF 14-20 / MFF 21-27									
Other methodological comments									
Full metadata available at this address									
Justification of the trend	Following the planned activities.								

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
357,0	357,0	357,0	357,0	357,0	382,5	382,5	2 550,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

The entire Copernicus programme (and its budget) is set up to provide the necessary data and information services based on satellite and in situ data to observe and monitor our planet and its (changing) environment. The different Copernicus services provide consistent and quality-controlled information to closely monitor the climate crisis.

Part of the investment on the Copernicus component of the EU Space programme support the implementation of climate-related policies. This share is estimated to be approximately **EUR 2550 million for the period 2021-2027**.

The mission of the Copernicus Climate Change is to support adaptation and mitigation policies of the European Union by providing consistent and authoritative information about climate change. Climate Data Store (CDS) provides a wealth of information about the past, present and future climate, on global, continental and regional scales. CC3S provides access to several climate indicators (e.g. temperature increase, sea level rise, ice sheet melting, warming up of the ocean) and climate indices (e.g. based on records of temperature, precipitation, drought event) for both the identified climate drivers and the expected climate change impacts<sup>19</sup>. These activities come up to approximately **EUR 200 million in the MFF 2021-2027**

More than 50% of the Copernicus Atmosphere Monitoring Service activities are linked directly or indirectly to climate change monitoring. CAMS provides information related to air pollution and health, solar energy, greenhouse gases and climate forcing, everywhere in the world. CAMS will develop a new portfolio for the assessment of the anthropogenic emissions, based on existing third-party data and on the new CO2 candidate mission which is scheduled end 2025.

The climate-related activities come up to approximately **EUR 100 million in the MFF 2021-2027**

More than 50% of the The Copernicus Marine Environment Monitoring service activities are climate mainstreamed: CMEMS operates an Ocean Climate Service and will develop with other services a knowledge hub dedicated to Arctic changes mainly due to climate change. These activities come up to approximately **EUR 100 million in the MFF 2021-2027**

More than 50% of the The Copernicus Land Monitoring service activities are linked directly or indirectly to climate change monitoring. CLMS supports the requests for land-related information to monitor (changes in the) biodiversity and ecosystems, relevant aspects of the circular economy (e.g. a sustainably built environment), land degradation. These activities come up to approximately **EUR 100 million in the MFF 2021-2027**

<sup>19</sup> The European Commission signed a Delegation Agreement with ECMWF (European Centre for Medium-Range Weather Forecasts) for the implementation of the Copernicus Climate Change service. It is operational since June 2018.

About 50% of the The Copernicus Emergency Management system activities are linked directly or indirectly to climate change monitoring. The CEMS provides critical information and early warnings regarding floods, droughts and forest fires. These activities come up to approximately **EUR 50 million in the MFF 2021-2027**

All these services rely heavily on space-borne observation data. We assume that the related investment is about 50% of the space component dedicated to these observations (e.g. Sentinels 1, 3, 5P, 6 and CO<sub>2</sub> mission). The corresponding share of the space component funding is expected to be about **EUR 2000 million in the MFF 2021-2027**.

### 6.1.3. Key achievements

Thanks to the near real time production of the reanalysis, the Copernicus Climate Change Service (C3S) was the first to call 2020 as the joint warmest year on record (on a par with 2016). C3S contributed with temperature data and graphics, as well as an “Arctic side-bar” section to the preliminary WMO statement on the State of the Climate in 2020. C3S is represented at international climate fora and events such as the Partner Advisory Committee of the Global Framework for Climate Services and the Climate Coordination Panel of WMO. C3S was also approached by WMO to explore the possibility for the service to become a GCOS endorsed global data repository of for upper air humidity data for GNSS.

The Copernicus Climate Change Service (C3S) works together with businesses across the globe to turn raw climate data into sector-specific information aimed at users within the field, such as businesses, researchers and policymakers. One of these projects is the Global Biodiversity service which aims to support those working to preserve species, to protect the areas that are most climate sensitive, to increase the resilience of ecosystems, to reduce biodiversity loss around the world by providing the information needed to create plans to sustain ecosystems in present and future climate conditions.

### 6.1.4. Performance

The Copernicus programme contributed EUR 1408 million in the 2014-2020 period to support the implementation of climate-related policies.

The mission of the Copernicus Climate Change Service (C3S) is to support adaptation and mitigation policies of the European Union by providing consistent and authoritative information about climate change. Climate Data Store (CDS) provides a wealth of information about the past, present and future climate, on global, continental and regional scales. C3S provides access to several climate indicators (e.g. temperature increase, sea level rise, ice sheet melting, warming up of the ocean) and climate indices (e.g. based on records of temperature, precipitation, drought event) for both the identified climate drivers and the expected climate change impacts<sup>[1]</sup>. These activities came up to approximately EUR 218 million in the MFF 2014-2020.

Around 50% of the Copernicus Atmosphere Monitoring Service (CAMS) activities are linked directly or indirectly to climate change monitoring. CAMS provides information related to air pollution and health, solar energy, greenhouse gases and climate forcing, everywhere in the world. The climate-related activities came up to approximately EUR 30 million in the MFF 2014-2020.

Around 50% of the Copernicus Marine Environment Monitoring service activities are climate mainstreamed. The activities came up to approximately EUR 70 million in the MFF 2014-2020.

About 50% of the the Copernicus Land Monitoring service activities are linked directly or indirectly to climate change monitoring. CLMS supports the requests for land-related information to monitor (changes in the) biodiversity and ecosystems, relevant aspects of the circular economy (e.g. a sustainably built environment), land degradation. These activities came up to approximately EUR 60 million in the MFF 2014-2020.

About 50% of the Copernicus Emergency Management system (CEMS) activities are linked directly or indirectly to climate change monitoring. The CEMS provides critical information and early warnings regarding floods, droughts and forest fires. These activities came up to approximately EUR 30 million in the MFF 2014-2020.

All these services rely heavily on space-borne observation data. We assume that the related investment is about 50% of the space component dedicated to these observations. The corresponding share of the space component funding was about EUR 1000 million in the MFF 2014-2020.

In the near future, the high-priority satellite mission “Copernicus Carbon Dioxide Monitoring” is foreseen to be launched in 2025.

Under the Paris climate accord, countries must compile CO<sub>2</sub> inventories. The Copernicus CO<sub>2</sub> mission will provide supporting data.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
2021							

<sup>[1]</sup> The European Commission signed a Delegation Agreement with ECMWF (European Centre for Medium-Range Weather Forecasts) for the implementation of the Copernicus Climate Change service. It is operational since June 2018.

120,0	120,0	120,0	120,0	120,0	165,0	165,0	930,0
-------	-------	-------	-------	-------	-------	-------	-------

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

Part of the investments into the Copernicus component of the EU Space programme support the implementation of biodiversity-related policies. This share is estimated to be approximately **EUR 930 - 1130 million for the period 2021-2027**.

- More than 70 % of the Copernicus Land Service activities are linked directly or indirectly to biodiversity monitoring and maintenance.<sup>20</sup>
- Some products are directly linked to Biodiversity/eco-system scale patterns, such as the monitoring of green infrastructure, the riparian areas and the Natura 2000 sites in Europe for DG ENV, and the monitoring of key ecological landscapes and protected areas in Africa for DG INTPA.
- Others are indirectly supporting the biodiversity policies and strategy such as the monitoring of woody feature for the CAP or the provision of biophysical variables for the UN SDG 15 assessment.
- Overall the land cover mapping and land cover change mapping at European and Global scale carried out by the land service is an essential element for monitoring the evolution of biodiversity and for supporting its conservation and sustainable use. These activities come up to approximately **EUR 130 million in the MFF 2021-2027**.
- In addition, there are smaller activities indirectly related to marine biodiversity in the Copernicus Marine Environment Service and the Copernicus Climate Change Service is providing specific sectoral indices for biodiversity. The latter two are less important in budget and difficult to disentangle and to quantify.
- All these services rely heavily on space-borne observation data. Similar to the approach taken for the last exercise to estimate biodiversity related spending in the MFF 2014-2020, we assume that the related investment is about 30-40% of the space component dedicated to optical observations (Sentinels 1, 2 and 3 to monitor ecosystem-scale patterns). The corresponding share of the space component funding is expected to be about **EUR 800 – 1000 million**.

### 6.2.3. Key achievements

Copernicus products and services in the Copernicus land monitoring service support Biodiversity policies in EU. Land cover products and specific products related to Natura2000 sites, land degradation, monitoring of riparian and coastal zones, forest change are amongst those that are supporting to protect biodiversity in Europe. The Copernicus land monitoring service provides the High Resolution Layer Small and Woody features: small woody landscape features are important for a number of ecosystem services, among others related to biodiversity and habitat connectivity. They also improve air quality, water quality, water quantity, reduction of greenhouse gas emissions, carbon sequestration, climate change adaptation, regulation of soil erosion and soil quality, support biodiversity and pollination, and are important for cultural and recreational reasons. This CLMS information product helps to monitor the green infrastructure strategy of the EU the effectiveness of the Common Agricultural Policy (CAP). Furthermore, the CLMS continued to provide contributions to conservation efforts at global level with the Copernicus Hot Spot Monitoring component.

### 6.2.4. Performance

Part of the investments of the Copernicus programme has supported the implementation of biodiversity-related policies. This share amounted to approximately **EUR 700 million for the period 2014-2020**.

2014-2020 programming							Total
2014	2015	2016	2017	2018	2019	2020	
63	91	98	98	105	140	105	700

- More than 70 % of the Copernicus Land Service activities are linked directly or indirectly to biodiversity monitoring and maintenance.<sup>21</sup>
- Some products are directly linked to Biodiversity/ecosystem scale patterns, such as the monitoring of green infrastructure, the riparian areas and the Natura 2000 sites in Europe for DG ENV, and the monitoring of key ecological landscapes and protected areas in Africa for DG INTPA.
- Others are indirectly supporting the biodiversity policies and strategy such as the monitoring of woody feature for the CAP or the provision of biophysical variables for the UN SDG 15 assessment.
- Overall the land cover mapping and land cover change mapping at European and Global scale carried out by the land service is an essential element for monitoring the evolution of biodiversity and for supporting its conservation and sustainable use. These activities came up to approximately **EUR 100 million M€ in the MFF 2021-2027**.

<sup>20</sup> There are currently two principal paradigms for mapping biodiversity patterns with EO. First is to directly measure species, community or ecosystem-scale patterns. Second is to model biodiversity patterns indirectly using EO as predictive environmental features. Source: <https://onlinelibrary.wiley.com/doi/10.1111/ele.13106> - see figures featuring Sentinel 1A and 2A.

<sup>21</sup> <https://onlinelibrary.wiley.com/doi/10.1111/ele.13106> - see figures featuring Sentinel 1A and 2A.

- In addition, there are smaller activities indirectly related to marine biodiversity in the Copernicus Marine Environment Service and the Copernicus Climate Change Service is providing specific sectoral indices for biodiversity. The latter two are less important in budget and difficult to disentangle and to quantify.
- All these services rely heavily on space-borne observation data. We assume that the related investment is about 30-40% of the space component dedicated to optical observations (Sentinels 1, 2 and 3 to monitor ecosystem-scale patterns). The corresponding share of the space component funding is expected to be about **EUR 600 – 700 million**.

### 6.3. Contribution to clean air financing

Not applicable

### 6.4. Contribution to gender equality

Not applicable

### 6.5. Contribution to the sustainable development goals

#### 6.5.1. Goals

#### *SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture*

‘The integration of statistics, geospatial information, Earth observations, and other sources of Big Data, combined with new emerging technologies, analytics and processes, are becoming a fundamental requirement for countries to measure and monitor local to global sustainable development policies and programs (United Nations Committee of Experts on Global Geospatial Information Management (*UN-GGIM*) co-chair)’. In this framework Copernicus supplies crucial information (indicators/sub-indicators) for monitoring the progress of the following SDGs <sup>(22)</sup>:

SDG 2.4 By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality.

Copernicus Land Monitoring Service helps with data and products on crop indices, dry Matter Productivity and Soil Moisture.

#### *SDG 3 Ensure healthy lives and promote well-being for all at all ages*

SDG 3.d Strengthen the capacity of all countries, in particular developing countries, for early warning, risk reduction and management of national and global health risks.

Copernicus Atmosphere Monitoring Service (CAMS) supplies air quality forecasts on pollutants, CO<sub>2</sub>, NO<sub>2</sub> levels, pollens levels

#### *SDG 6 Ensure availability and sustainable management of water and sanitation for all*

SDG 6.6 By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes Copernicus Land Monitoring Service (CLMS) systematically provides in near real time information on global inland water bodies and their seasonal replenishment, lake and river water levels, temperature, turbidity and trophic state, including potential water availability from snow and ice cover.

#### *SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all*

Copernicus Atmosphere Monitoring Service (CAMS) provides global 5-day forecasts of desert dust and the other main aerosols (sulphates, sea salts, black and organic carbon).; Copernicus Climate Change Service (C3S) provides climate indicators of electricity consumption, alongside estimates of the combined production from all renewable sources

#### *SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable*

SDG 11.4 Strengthen efforts to protect and safeguard the world’s cultural and natural heritage.

The Copernicus Emergency Service can contribute to safeguarding cultural heritage by monitoring and documenting the impact of earthquakes through interferograms, which depict where the earthquake impact is most severe along with information for emergency response to different types of disasters, including floods, as well as related prevention, preparedness, response and recovery activities.

<sup>(22)</sup> [https://www.copernicus.eu/sites/default/files/2018-10/Copernicus\\_SDG\\_Report\\_July2018pdf.pdf](https://www.copernicus.eu/sites/default/files/2018-10/Copernicus_SDG_Report_July2018pdf.pdf)

***SDG 13 Take urgent action to combat climate change and its impacts***

SDG 13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning.

Copernicus Climate Change Service provides routine access to key indicators on a number of Essential Climate Variables (mean temperatures and anomalies, sea-ice extension, CO<sub>2</sub>, etc.)

***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

SDG 14.4 By 2020, effectively regulate harvesting and end overfishing, illegal, unreported and unregulated fishing and destructive fishing practices and implement science-based management plans, in order to restore fish stocks in the shortest time feasible, at least to levels that can produce maximum sustainable yield as determined by their biological characteristics.

Copernicus Marine Monitoring Service offers monitoring of the oceanic carbon cycle, ocean PH and acidity, monitoring of fishing grounds. Effective maritime surveillance can help combat illegal, unreported and unregulated fishing, thereby contributing to sustainable fisheries goals. Copernicus Maritime Surveillance Service, can supply satellite data to ensure that fishing is carried out safely and sustainably

***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

SDG 15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements

Copernicus Land Monitoring Service delivers products for the protection of Natura 2000 areas for instance their grassland status and information on vegetation index, land degradation, deforestation and loss of biodiversity.

DG ESTAT is assessing the possibility to introduce in the future new Copernicus based sub-indicators for various SDGs.

***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels******SDG 17 Strengthen the means of implementation and revitalize the global partnership*****6.5.2. Key achievements and performance****SDG 2 – Zero hunger**

Agriculture is a crucial economic activity worldwide, providing livelihoods and employment for many. Rising populations, changing demands and diets as well as environmental changes (e.g. extreme weather, climate change) put increasing stress on the world's food supply. In many countries affected by hunger, there are already significant efforts to address these challenges, such as closing yield gaps (difference between current yields and what might be possible under optimum conditions) and implementing sustainable land management practices.

To monitor and respond to such needs, governments and aid workers need accurate, timely, systematic and comprehensive information. Dedicated products derived from Earth Observation satellites fulfil this requirement more and more.

Copernicus data like the one provided by the Copernicus Land Monitoring Service (CLMS), help national institutions in monitoring crop conditions, providing early warnings on failing crops and predicting crop yields. Crop indices, Dry Matter Productivity and Soil Moisture information are provided every ten days on a global scale. The NGO, Action Against Hunger, and the Centre de Suivi Ecologique de Dakar are using COPERNICUS indices such as the Dry Matter Productivity for pastoral Early Warning System in West Africa informing pastoral communities and Governments on biomass conditions.

**SDG 6 : Clean water and sanitation**

The Copernicus Land Monitoring Service (CLMS) systematically provides in near real time information on global inland water bodies and their seasonal replenishment, lake and river water levels, temperature, turbidity and trophic state, including potential water availability from snow and ice cover. The product supports a wide range of applications in the field of food security, sanitation, energy, health, transport, preservation of biodiversity and natural risk management.

**SDG3 – Good health and well-being**

The Copernicus Atmosphere Monitoring Service (CAMS) provides daily air quality forecasts at global scale and, with higher resolution, over Europe. These forecasts, derived from satellite observations, account for routine pollutants' emissions but also for those related to exceptional events such as large wildfires or volcanic eruptions. The forecasts are used daily by a wide range of public and commercial entities for decision-making, smartphone applications and websites, or for downscaling to local areas in order to inform the public or assess health impacts

A company located in Cambridge, UK - provides free air pollution, UV, pollen and temperature forecasts for Greater London and South-East England. Their service, known as AirText, is provided to more than 15,000 subscribers, who can customise the alerts they receive from the service by email, text, voicemail or Twitter. AirText provides local forecasts based on detailed modelling of emissions and atmospheric dispersion over the area, but it relies on CAMS to take into account how much pollution flows into and out of the area. It is essential indeed to include background pollutants concentrations, as provided by CAMS, in order to deliver an accurate service at the local scale: the quality of air which is breathed locally is generally determined by the combination of local pollution sources with distant ones, which can be hundreds or even thousands of kilometers upwind.

#### SDG7 Affordable and clean energy

A serious issue for the productivity of solar power plants and their operators is desert dust. Deposition of dust blocks solar radiation, and this can effect the mirrors or photovoltaic panels, thus significantly reducing their efficiency. Airborne particles, also called aerosols, directly affect the amount of solar radiation reaching the Earth's surface: together with clouds, aerosols are one of the main variables determining the solar energy yield that can be obtained from a solar energy production facility.

To prevent power efficiency losses and improve the design and management of solar power plants, the Copernicus Atmosphere Monitoring Service (CAMS) provides global 5-day forecasts of desert dust and the other main aerosols (sulfates, sea salts, black and organic carbon). CAMS aerosol information products are routinely used by GeoModel Solar, a Slovak company specialised in providing data for site qualification, planning, financing and operation of solar energy systems.

Balancing the societal demand for energy with the energy production from renewable sources is one of the main challenges Europe will have to tackle in the next two decades. Such a challenge is likely to require significant infrastructure investments. The Copernicus Climate Change Service (C3S) provides climate indicators of electricity consumption, alongside estimates of the combined production from all renewable sources at national and sub-national level in Europe. These two sets of indicators help planners and policy makers identify the pros and cons of different energy mix options and optimise investment decisions accordingly.

#### SDG 11 – Sustainable cities and communities

One of the goals under SDG 11 is to make cities and human settlements inclusive, safe, resilient and sustainable. Many cities over the world are exposed to natural hazards, such as floods, which presently account for 31% of all economic losses worldwide resulting from natural hazards. As the frequency and magnitude of flood disasters is projected to increase due to climate change, soil sealing and growing population exposure, flooding is one of the key societal challenges of this century. The Copernicus Emergency Management Service (CEMS) provides information for emergency response in relation to different types of disasters, including floods, as well as related prevention, preparedness, response and recovery activities. An example of how CEMS supports emergency preparedness and response globally, is the activation of its Rapid Mapping component following floods in Peru in early 2017. These events resulted in more than 100 deaths, caused the evacuation of around 158,000 people and damaged 210,000 homes. The maps produced by Copernicus helped analyse the affected areas and the extent of the floods in real time, allowing the civil protection authorities to target their rescue operations. The Copernicus EMS Global Flood Awareness System (GloFAS) and the CEMS Rapid Mapping component provided local emergency responders, national authorities and international relief operators with essential information on the flooding situation in Peru.

Another goal pertaining to SDG 11 is to strengthen efforts to protect our cultural heritage. Cultural heritage is often affected by natural disasters, in particular earthquakes. The Copernicus programme can contribute to safeguarding cultural heritage by monitoring and documenting the impact of earthquakes. Although damages to historical buildings cannot be reversed, the mapping of the severity of an earthquake and assessment of the resulting damage allows the competent authorities to safeguard the remaining buildings. One of the ways Copernicus can assist in this matter is by assessing the magnitude of the earthquake through interferograms, which depict where the earthquake impact was most severe. This method was used, for instance, to help preserve historical sites hit by an earthquake in Central Italy in August 2016.

#### SDG 13 – Climate action

Climate change is now affecting every country on every continent. It is disrupting national economies and affecting lives, costing people, communities and countries dearly today and even more tomorrow. To address climate change, countries adopted the Paris Agreement at the COP21 in Paris on 12 December 2015, which aims at keeping this century's global temperature rise well below 2 degrees Celsius above pre-industrial levels, and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius. The Copernicus Climate Change Service (C3S) routinely monitors the Earth's climate and its evolution. It provides routine

access to key indicators on a number of Essential Climate Variables (temperature, sea-ice, CO<sub>2</sub>, etc.) and is therefore a powerful tool to monitor the success of the implementation of the Paris Agreement. These climate indicators will also support European adaptation and mitigation policies in a number of economic sectors.

#### SDG 14 – Life below water

The Copernicus Marine Environment Monitoring Service (CMEMS) produces ocean monitoring products based on satellite and in situ observations as well as numerical models. By the end of 2018, its in situ and numerical model capacity will be reinforced for an improved monitoring of the oceanic carbon cycle at global and regional scales. Once this milestone is achieved, Eurostat, the statistical office of the EU, will use ocean PH and acidity products from CMEMS for all European regional seas for the development of its new official environmental indicators. Such indicators can be used to monitor and control water quality in Europe through a unified set of parameters.

As part of the Copernicus Security Service (CSS) the Maritime Surveillance component, managed by the European Maritime Safety Agency (EMSA), provides relevant and targeted information on activities at sea. Activities covered in the scope of the service also include fisheries control, in particular the monitoring of fishing grounds. Effective maritime surveillance can help combat illegal, unreported and unregulated fishing, thereby contributing to sustainable fisheries goals. On request of authorised fisheries control authorities, the Copernicus Maritime Surveillance Service provides a systematic overview of vessels and observable fishing activities at a particular time and place. The service is delivered in near-real-time to the end users, meaning within 30 to 45 minutes depending on the type of imagery. The figure below shows a SAR satellite image allowing detection of vessels at sea. The vessel detection results can be combined with additional information such as vessel identification and position data from on-board reporting systems or data on fishing grounds and restricted areas. This fused data can draw attention to vessels which are not reporting, help identify discrepancies in records, and alert authorities of unusual vessel behaviour. Through the Copernicus Maritime Surveillance Service, with the support of the European Fisheries Control Agency (EFCA) as well as EMSA, fisheries control administrations from across the EU can benefit from Copernicus satellite data in their efforts to ensure that fishing is carried out safely and sustainably.

#### SDG 15 – Life on land

As part of the Copernicus Land Monitoring Service (CLMS), the European Environment Agency (EEA) delivers spatially detailed products on pan-European and local land cover and land use information. The local component focuses on areas that are prone to specific environmental challenges and issues in the European Union. Under this local component, EEA offers information on Natura2000 protected hotspots, which is used to assess the preservation and status of these sites, and whether the decline in the grasslands cover is evident. The status of Natura2000 hotspots will ensure that these are accurately mapped, and can be used to draw attention to events that threaten the preservation of the sites.

But what about land degradation, deforestation or loss of biodiversity in other areas of the world? The Global component of the Land Service, is currently also mapping protected areas but in Africa to support the biodiversity strategy. Furthermore and recently the Global component extended its product portfolio to include a Global Land Cover Map in order to provide spatial information about land for applications ranging from global forest monitoring (REDD+), crop area monitoring, biodiversity conservation to land status and climate modelling. The new Land Cover Map is completing the current portfolio of vegetation products that are related to biomass dynamics. These products are clearly earmarked for addressing the SDG 15.3 on land degradation neutrality.

**HEADING 2A: Economic, Social and territorial cohesion****Regional Policy (European Regional and Development Fund and Cohesion Fund)****Lead DG:REGIO**

Associated DGs:MOVE

1. Overview .....	394
1.1. Challenges .....	394
1.2. Mission (general objectives) .....	395
1.3. Specific objectives .....	395
1.4. Public intervention context .....	395
1.5. Actions .....	396
1.6. Delivery mode .....	396
1.7. Graphic overview of the programme structure .....	396
1.8. Legal basis and financial programming .....	397
1.9. Link with the 2014-2020 MFF .....	398
1.10. Relevant websites providing more information .....	398
2. Where are we in the implementation ? .....	399
2.1. Programme 2021-2027 .....	399
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	399
3. How is the programme performing ? .....	400
3.1. Performance .....	400
3.2. Key achievements .....	402
3.3. Evaluations, studies and reports .....	403
4. Programme 2021-2027 - Key monitoring indicators .....	404
Specific Objective 1 :Enhance research and innovation capacities and the uptake of advanced technologies .....	404
Specific Objective 2 :Reaping the benefits of digitisation for citizens, companies and governments .....	405
Specific Objective 3 :Enhancing growth and competitiveness of SMEs .....	406
Specific Objective 4 :Developing skills for smart specialisation, industrial transition and entrepreneurship .....	406
Specific Objective 5 :Enhancing digital connectivity .....	407
Specific Objective 6 :Promoting energy efficiency measures and reducing green-house gas emissions .....	407
Specific Objective 7 :Promoting renewable energy .....	408
Specific Objective 8 :Developing smart energy systems, grids and storage outside TEN-E .....	409
Specific Objective 9 :Promoting climate change adaptation, risk prevention and disaster resilience .....	409
Specific Objective 10 :Promoting sustainable water management .....	410
Specific Objective 11 :Promoting the transition to a circular economy .....	411
Specific Objective 12 :Enhancing nature protection and biodiversity, green infrastructure in particular in the urban environment, and reducing pollution .....	411
Specific Objective 13 :Promoting sustainable multimodal urban mobility .....	412
Specific Objective 14 :Developing a sustainable, climate resilient, intelligent, secure and intermodal TEN-T .....	412
Specific Objective 15 :Developing and enhancing a sustainable, climate resilient, intelligent and intermodal national, regional and local mobility, including improved access to TEN-T and cross-border mobility .....	414
Specific Objective 16 :Enhancing the effectiveness of labour markets and access to quality employment through developing social innovation and infrastructure .....	415
Specific Objective 17 :Improving access to inclusive and quality services in education, training and lifelong learning through developing infrastructure .....	416
Specific Objective 18 :Increasing the socio-economic integration of marginalised communities, migrants and disadvantaged groups, through integrated measures including housing and social services .....	416

Specific Objective 19 :Ensuring equal access to health care through developing infrastructure, including primary care .....	417
Specific Objective 20 :Fostering the integrated social, economic and environmental development, cultural heritage, tourism and security in urban areas.....	418
5. Programme 2014-2020 - Key monitoring indicators .....	418
Previous Program 1 : European Regional Development Fund (ERDF).....	418
General Objective 1 :To reduce disparities between the levels of development of the various regions, in particular for rural areas, areas affected by industrial transition, and regions which suffer from severe and permanent natural or demographic handicaps and to contribute to achieving the targets set out in the Europe 2020 strategy of smart, sustainable and inclusive growth, and in particular towards the achievement of quantitative headline targets identified in that strategy .....	418
Specific Objective 1 :Strengthening research, technological development and innovation.....	422
Specific Objective 2 :Enhancing access to, and use and quality of, information and communication technologies.....	424
Specific Objective 3 :Enhancing the competitiveness of small and medium-sized enterprises .....	425
Specific Objective 4 :Supporting the shift towards a low-carbon economy in all sectors .....	428
Specific Objective 5 :Promoting climate change adaptation, risk prevention and management.....	431
Specific Objective 6 :Preserving and protecting the environment and promoting resource efficiency .....	432
Specific Objective 7 :Promoting sustainable transport and removing bottlenecks in key network infrastructures.....	434
Specific Objective 8 :Promoting sustainable and quality employment and supporting labour mobility .....	438
Specific Objective 9 :Promoting social inclusion, combating poverty and any discrimination .....	438
Specific Objective 10 :Investing in education, training and vocational training for skills and lifelong learning.....	440
Specific Objective 11 :Enhancing institutional capacity of public authorities and stakeholders and an efficient public administration .....	441
6. The programme contribution to horizontal policies .....	441
6.1. Contribution to climate mainstreaming.....	441
6.2. Contribution to biodiversity mainstreaming.....	443
6.3. Contribution to clean air financing.....	444
6.4. Contribution to gender equality .....	445
6.5. Contribution to the sustainable development goals.....	445

## **1. Overview**

### **1.1. Challenges**

REGIO delivers its objectives through management of programmes financed primarily under the European Regional Development Fund (ERDF) and the Cohesion Fund (CF). The implementation of these funds allows fulfilling the long-term objectives of strengthening economic, social and territorial cohesion in the EU.

Together with the European Social Fund (ESF), the ERDF and CF (and, from 2021, the Just Transition Fund - JTF) comprise the European Union's cohesion policy funds.

Regional disparities show a generally decreasing trend among the EU regions, based on 2019 data, even though the pace of convergence was slower after the crisis of 2008. In 2000, GDP per head of the most developed regions accounting for 10% of the Union's population was 6.1 times higher than GDP per head of the least developed regions also accounting for 10% of the Union's population. In 2018, the ratio dropped to 3.4. However, significant disparities still remain and many regions still have a GDP per head and an employment rate below pre-crisis levels. Only in 2014, disparities in employment started to narrow, followed by disparities in GDP per head in 2015.

Today, Europe is severely affected by the COVID-19 pandemic. In response, the Commission proposed a strong and coordinated reaction to the health crisis and its impact on Europe's economy and society.

Amidst the COVID-19 pandemic and other ongoing challenges, cohesion policy is crucial for ensuring a balanced recovery, fostering convergence and making sure no one is left behind. Funding from the ERDF, the CF as well as from the European Union Solidarity Fund (EUSF) played a central role in 2020 and will continue doing so in the years to come.

The main challenges that cohesion policy will have to face in the coming years relate to the economic situation. Despite the fact that the overall impact of the ongoing COVID-19 crisis cannot yet be assessed, it is already apparent that regions and sectors are unevenly affected, which is likely to have a long-term impact on the pace and direction of convergence. The implementation of the

Green Deal and the transition towards a climate neutral economy will also impact regions hosting highly emitting industries of fossil fuel extraction activities. The design of the 2021-2027 programmes, which focuses resources on environmental and climate spending under the second policy objective ('a greener, low-carbon transitioning towards a net zero carbon economy and resilient Europe by promoting clean and fair energy transition, green and blue investment, the circular economy, climate change mitigation and adaptation and risk prevention and management, and sustainable urban mobility') will allow regions to benefit from economic opportunities arising from the green transition. The JTF will support, from 2021 onwards, the economic reconversion of the territories the most negatively impacted by the costs of the transition towards a climate-neutral economy.

## 1.2. Mission (general objectives)

REGIO's activities are guided by the Treaties on the European Union (TEU) and on the Functioning of the European Union (TFEU). Article 174 of the Treaty provides that, in order to strengthen its economic, social and territorial cohesion, the Union is to aim at reducing disparities between the levels of development of the various regions and the backwardness of the least favoured regions, and that particular attention is to be paid to rural areas, areas affected by industrial transition and regions which suffer from severe and permanent natural or demographic handicaps. Thanks to the policy's specific features (e.g. redistribution of resources at EU level, alignment of investment to EU-wide priorities, concentration of resources on less developed and transition regions, multiannual programming, place-based approach, multi-level governance, interregional cooperation), the supported investments bring strong European added value, while respecting the principle of subsidiarity.

The main advantages of the policy are the following:

1. **Aligning investment to EU priorities:** Even if the policy is multi-thematic, EU priorities are given preference across the investment fields set out in the regulation via thematic concentration requirements. This in turn is intended to influence national investment policies, leading to coordinated EU-wide action that is critical to addressing global challenges. For 2021-2027, in line with the political priorities of the von der Leyen Commission (A European Green Deal, A Europe Fit for Digital Age, An economy that Works for People and A stronger Europe in the world), priority is given to smart and green growth.
2. **Contributing to economic governance:** There is a close relationship between regional policy funding and economic governance with incentives (macroeconomic conditionalities), concrete support to Country Specific Recommendations (CSRs) and "enabling conditions" (i.e. framework conditions meant to ensure effectiveness of policy implementation ex ante) expected to play a significant role in improving application of EU legislation in Member States, as well as in fostering structural reforms.
3. **Multiannual programming provides stability, certainty and sustainability to investment plans in Member States, reducing their vulnerability across economic and political cycles and improving prospects for implementation on the ground.** However, the policy's flexibility was also shown during the COVID-19 crisis, demonstrating its ability to adapt quickly to new circumstances - funds were mobilised with unprecedented speed and flexibility.
4. **Concentration of resources on the less developed and transition regions:** support is provided to key investments, which would otherwise not take place in poorer regions. That concentration also produces spill-over effects from less developed regions to the rest of Europe, notably via increased connectivity and trade flows and thus supporting the Single Market.
5. **The "place-based" approach of ERDF programming allows the identification of specific development needs, the definition of appropriate multi-thematic investment strategies aligned to EU priorities and better conditions for sound implementation of investments on the ground.**
6. **Interregional cooperation and the exchange of experience:** Cooperation - both cross-border and across the EU - is an area where the ERDF brings clear European added value. REGIO makes a substantial contribution to identifying cross-border barriers to the Single Market and offers tailor-made solutions.

## 1.3. Specific objectives

In line with the cohesion policy legislative framework for 2021-27 period, EU high-level policy objectives are proposed as follows:

1. A more competitive and smarter Europe by promoting innovative and smart economic transformation and regional ICT connectivity
2. A greener, low-carbon transitioning towards a net zero carbon economy and resilient Europe by promoting clean and fair energy transition, green and blue investment, the circular economy, climate change mitigation and adaptation and risk prevention and management, and sustainable urban mobility;
3. A more connected Europe by enhancing mobility;
4. A more social and inclusive Europe implementing the European Pillar of Social Rights;
5. A Europe closer to citizens by fostering the sustainable and integrated development of all types of territories and local initiatives.

Policy objectives 2 and 3 above are proposed for CF while all five objectives are proposed for the ERDF. The five policy objectives are broken down to 23 specific objectives for the ERDF and CF and there are 2 Interreg specific objectives. As an additional instrument the JTF follows a specific objective that is added to the above five and only the JTF implements it.

## 1.4. Public intervention context

The ERDF and CF, together with the newly established JTF and the ESF, are the budgetary instruments of the EU's cohesion policy. Article 174 TFEU establishes cohesion policy and describes its objectives.

According to Article 175 of the TFEU, the formulation and implementation of the Union's policies and actions and the implementation of the internal market shall take into account the objectives of the cohesion policy and shall contribute to their achievement.

271.1 billion (in current prices) is earmarked for cohesion policy in the 2021-2027 period, which represents over 22% of the EU budget (excluding Next Generation EU) for this period.<sup>1</sup>

### 1.5. Actions

Through the ERDF and CF, a critical mass of investment is delivered in key priority areas, to bring structural change and respond to the needs of the real economy by supporting job creation, business competitiveness, economic growth, sustainable development, and by improving citizens' quality of life.

**Cohesion policy** addresses disparities through multi-thematic strategies, supporting multi-annual investments across diverse categories of regions (less developed regions, transitional regions and more developed regions). The policy is distinguished by the diversity of activities and actions.

Both **ERDF and CF** (and from 2021 the JTF) provide investments to develop infrastructures, productive investments in enterprises and "soft" supports (consultancy services and advice), thus strengthening public policies across a range of themes. EU support is predominantly provided through grants but funding is also provided through financial instruments.

The **CF** is distinguished by its focus on mainly capital intensive environmental and transport investments under policy objective 2 – Greener Europe and policy objective 3 - Connected Europe.

### 1.6. Delivery mode

Cohesion policy funds are delivered through shared management. Under the shared management mode, the co-legislators fix the legal framework and the overall funding and determine the allocations by Member States<sup>2</sup> and category of region. The Commission adopts the programmes. As regards implementation, the Commission cooperates with Member States' administrations (at national and regional level), which are in charge of the operational implementation. REGIO leads on the Commission's side.

The ERDF is supporting all Member States and is implemented through national, regional and interregional (Interreg) programmes. The CF covers only 15 Member States - those with a Gross National Income (GNI) per inhabitant below 90% of the EU average.

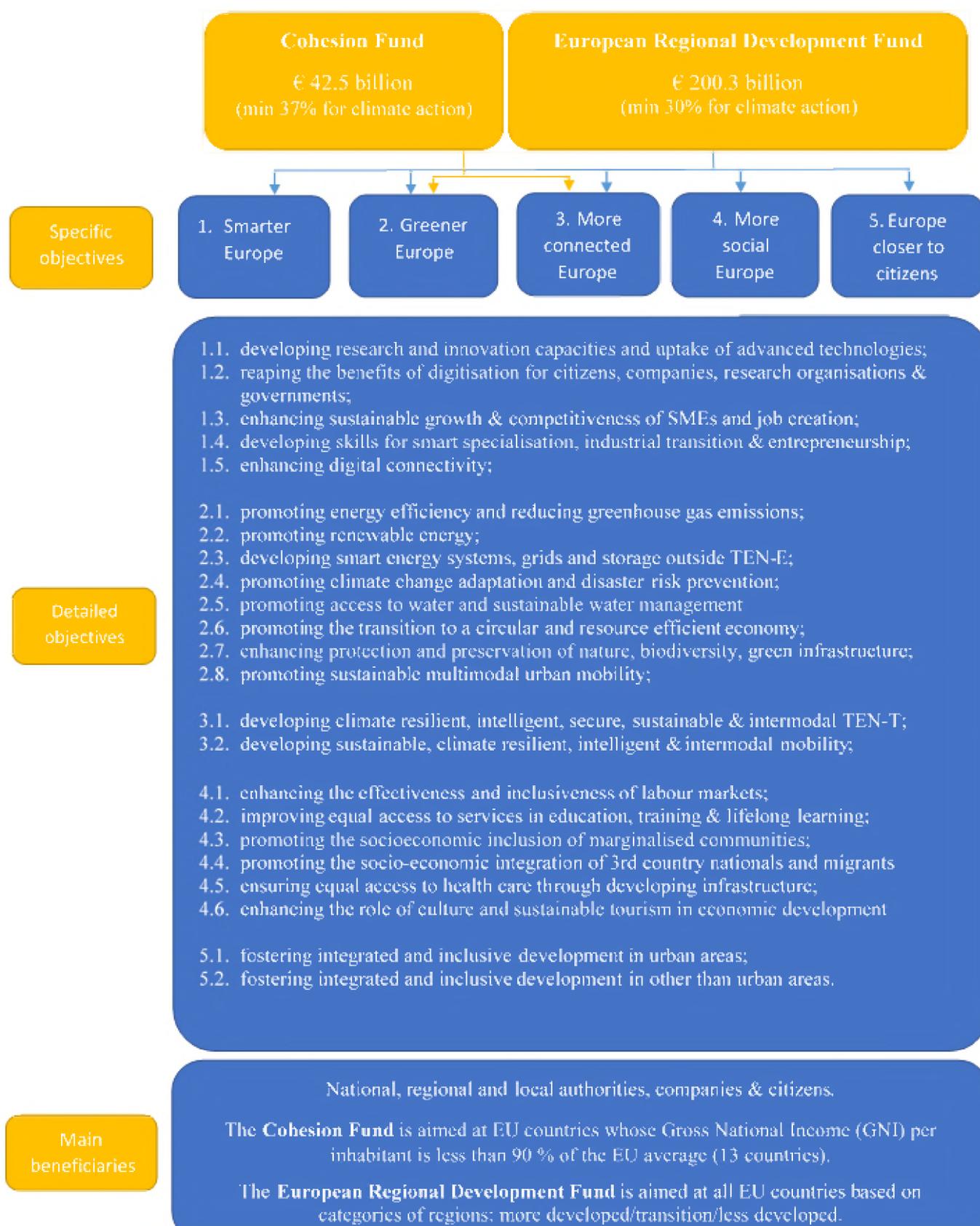
### 1.7. Graphic overview of the programme structure

---

<sup>1</sup> ERDF (including Interreg), CF (without transfer to CEF), JTF (excluding NGEU resources) and without REACT-EU

<sup>2</sup> Where appropriate and for reasons of brevity, the term 'Member States' includes the United Kingdom, although the country has left the Union in 2020

Implemented via shared management\* between European Commission - DG Regio & Member State authorities



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 372: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the European Regional Development Fund and on the Cohesion Fund COM (2018) 373: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on a mechanism to resolve legal and administrative obstacles in a cross-border context COM (2018) 374: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on specific provisions for the European territorial cooperation goal (Interreg) supported by the European Regional Development Fund and external financing instruments	2021 - 2027	48 026,2
	2021 - 2027	226 047,5

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
ERDF *	29 240,3	30 173,8	31 142,2	32 201,1	33 291,9	34 416,3	35 577,7	226 043,2
Cohesion Fund *	4695,7	4864,6	5038,5	52131,0	5429,6	5634,5	5846,9	36740,6
REACT EU	27 856,7	7 581,0	0,0	0,0	0,0	0,0	0,0	35 437,7

\* These amounts take into account the contribution of ERDF to the Just Transition Fund but does not take into account the contribution of the Cohesion Fund to the Connecting Europe Facility.

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The ERDF in 2021-2027 will focus on investing in five policy objectives: a smarter (1), greener (2), more connected (3), more social (4) Europe that is closer to its citizens (5). These correspond to the 11 thematic objectives in 2014-2020 presented in a new structure. With this structure the funds are leaner while maintaining the logic of the previous period. Via the thematic concentration (Article 3), the CF will focus on two main objectives: a smart and digital transformation of the regional economies (Policy Objective 1) as well as a green transition towards a climate neutral economy (Policy Objective 2).

ERDF and CF sustained a link to the Country Specific Recommendations through the mechanisms of programming, macro-economic conditionality and mid-term reviews. In addition, programmes financed by the funds need to be based on the European Pillar of Social Rights and the National Energy and Climate Plans (under the energy Union).

The 2021-2027 regulation introduces new initiatives under direct or indirect management:

- European Urban Initiative: a tool integrating existing tools for cities and towns.
- Interregional Innovative Investment: initiative that targets cooperation in research and innovation.

In relation to financial management, the logic of many targets was maintained from the 2014-2020 framework while the targets for the new programmes are more ambitious:

- EU-level targets for climate expenditure for ERDF and CF was set in the Common Provision Regulation (at 30% and 37% respectively);
- Flexibility amount, corresponding to 50% of the 2026 and 2027 commitments has been introduced (such amount will be definitively programmed at the mid-term review);
- N+3 rule has been maintained for decommitment (as for 2014-20) and except for last year, where we had N+2;
- Co-financing rates are stratified and slightly reduced compared to 2014-20. They were set out at 85% for less developed regions; 70% for transition regions that were classified as less developed in 2014-20; 60% for transition regions; 50% for more developed that were classified as transition in 2014-20, and 40% for more developed region
- Globally the funds are facing a 4% reduction of the budgetary resources, in 2018 prices, (from EUR 350 billion to EUR 337 billion, including EUR 17.5 billion (EUR 19.3 billion in current prices) under JTF – for EU27) (without taking into account REACT-EU).

## 1.10. Relevant websites providing more information

The main websites of the cohesion policy funds provide all the necessary details about their nature and structure, their legal basis, news and further practical guidance. The Cohesion Open Data Platform - <https://cohesiondata.ec.europa.eu/> - provides data on

investment financing and achievements under the ESI funds 2014-2020 and the extension of coverage to the 2021-2027 programmes is already planned. The platform visualises, currently for 290 ERDF and CF programmes, the latest data is available here:

[https://ec.europa.eu/regional\\_policy/index.cfm/en/funding/erdf/](https://ec.europa.eu/regional_policy/index.cfm/en/funding/erdf/)

[https://ec.europa.eu/regional\\_policy/index.cfm/en/funding/cohesion-fund/](https://ec.europa.eu/regional_policy/index.cfm/en/funding/cohesion-fund/)

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

The presentation of results for the ERDF and CF will be presented in a single programme statement from this year onwards. The JTF will be presented in a separate Programme Statement. We will present global figures for both funds together (especially on performance), as the funds' logic and objectives are similar. However, key budgetary figures and performance figures will continue to be presented separately by fund. This allows for a shorter, more focused presentation of the performance of both funds.

In the 2021 budget, the allocation for ERDF and CF together equals EUR 33.7 billion (ERDF EUR 29 billion and CF EUR 4.7 billion) in commitment appropriations. Both the 2021 commitments and first pre-financing payments for all the MFF instruments will take place once the new programmes for the 2021-2027 period are adopted. An amount of EUR 1.4 billion is available in payment appropriations for pre-financing. As regards the adoption of 2021-2027 programmes, this is expected to be delayed due to the late adoption of the legal basis expectedly entering into force in June/July 2021, the COVID-19 crisis and its severe socio-economic impacts in some Member States as well as the adoption of new funding lines such as REACT-EU.

### **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

<b>Programmes</b>	<b>Sum of Net Planned EU Amount</b>	<b>Sum of Total net payments</b>	
Cohesion Fund <sup>1</sup>	61 455 291 487.00	34 906 531 046.65	56.8%
ERDF	200 206 744 732.00	101 231 055 970.82	50.6%

Implementation as of 31/12/2020

Source: Open Data Platform

<sup>1</sup> *Financial information source:* EU Open Data Portal for the European Structural and Investment Funds.

At the end of December 2020, the overall implementation of the 2014-2020 period stands at 52% on average for CF and ERDF. In the first half of the 2014-2020 period, EU payments tended to be modest, but in line with the previous programming periods. This is mainly due to the nature of cohesion policy investments, which have a long start-up phase (planning, programming, authorisations) without significant financial execution. The impact of the 2008-2010 crisis slowed the execution of 2007-2013 national and regional programmes, leading to the late completion of those programmes (in 2014 and 2015) overlapping with the start of the 2014-2020 programmes. In addition, the regulatory provisions of the 2014-2020 period (e.g. the level of pre-financing, the N+3 de-commitment rule) have provided limited incentives to a fast start of implementation in Member States.

In 2020, there was a significant increase in EU payments which was triggered by the sharp progress in project selection rates over the last years. Moreover, the prompt cohesion policy response to the COVID-19 pandemic and the adopted measures have played an important role in the implementation of the funds. In fact, the Coronavirus Response Investment Initiative (CRII(+)) measures foresee 100% co-financing for expenditure declared during the current accounting year 2020-2021 while 2019 annual pre-financing amounts have not been recovered in 2020 in order to ease budgetary pressure and accelerate expenditure related to COVID-19. The implementation has also been impacted by some revised allocations due to the performance review exercise and CRII(+) transfers. Considering all those aspects, ERDF and CF show respectively an implementation rate of 51% and 57% at the end of 2020, substantially higher than the rates registered at the end of 2019 (ERDF 35% and CF 39%).

In addition to CRII(+), the Commission also proposed additional financing under "Recovery Assistance for Cohesion and the Territories of Europe initiative" (REACT-EU). Over 2021-23, original 2014-2020 EU financing will be topped up by EUR 50.6 billion (in current prices) under REACT-EU to finance crisis repair measures. This will contribute to a green, digital and resilient recovery of the economy by adding fresh additional resources to existing cohesion policy programmes.

Overall, the implementation rate in terms of net payments is nonetheless slower than that of the 2007-2013 period in the corresponding year where net payments amounted to 6-7 p.p. higher (57% of the ERDF allocation and 62% of CF at the end of 2013).

With regard to financial instruments<sup>3</sup>, almost EUR 29 billion of ERDF and CF resources are planned to be delivered through financial instruments by 2023, constituting over 8% of the overall allocation, creating an efficient and sustainable alternative to traditional grant-based support. The use of financial instruments has also accelerated due to CRII(+) measures. Payments via

<sup>3</sup> In addition to traditional grants, ERDF and the CF support projects on the ground through financial products, such as loans, guarantees or equity.

financial instruments to boost working capital to SMEs increased by EUR 3.5 billion. Programmes in 24 Member States and the UK benefit from these instruments. The total amount invested in final recipients by the end of 2020 exceeded EUR 9.4 billion (62% of funds paid to FIs). Loans accounted for 51% of eligible costs for all selected instruments, followed by equity-type instruments (22%) and guarantees (21%).

In 2021, the outflow of funds aligns with the general trend of consumption for the 2014-2020 period. However, the economic crisis and the parallel implementation of other instruments (e.g. REACT-EU and the start of the 2021-2027 programming period) might affect implementation progress in some Member States. Most importantly, once REACT-EU resources are added to the on-going 2014-2020 programmes, the pace of financial implementation rate might appear to be slowing down in terms of percentages of overall allocation due to the increased base amount.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

The delayed agreement on the MFF 2021-2027 and of the adoption of the legislative proposals for the ERDF and CF mean that the programmes can officially be submitted for approval as from mid-2021. It is yet unclear as to whether the COVID-19 crisis and its severe socio-economic impacts in some Member States as well as the adoption of new funding lines such as REACT-EU and the new Recovery and Resilience Facility (RRF) will have further impact on delaying the adoption of programmes.

The MFF 2021-2027 provides for the total budget appropriations available by fund, Member State and category of region. It is only with the formal adoption of the national and regional shared management programmes that the budget, the indicators and target values for each specific objective becomes stable. Until the formal shared management programmes are adopted, it is therefore not possible to detail the budgets set by specific objective nor the indicator targets that will be set.

In the programme statement for draft budget 2023, the Commission will set out the degree of progress made in the shared management programming and provide an explanation of the progress in setting up the performance framework based on adopted programmes.

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

The 2014-2020 ERDF and CF programmes contribute principally to four of the policy priorities of the von der Leyen Commission: a European Green Deal, a Europe fit for the Digital age, an economy that works for people and a stronger Europe in the world. The programming was aligned to contribute to the EU's effort to overcome the structural weaknesses in its economies, improve competitiveness and productivity and underpin a sustainable social market economy.

The efforts of the 2014-2020 programmes to set clearer intervention logics and to use fund-specific common indicators has led to more robust and coherent performance reporting on the investment actions and outputs. The delayed programme reports submitted in September 2020 (the CRII(+) amendments allowed for a postponement on the original May 2020 deadline) present a rich source of information on performance, in terms of common indicator achievement values at the end of 2019 (before the start of the COVID-19 pandemic). Generally, the reported values show a strong upward progress in implementation by end-2019 and a plausible relationship between the indicator targets and values from selected projects.

In response to the COVID-19 outbreak, the Commission proposed specific measures to broaden the list of eligibility measures in the healthcare systems to support the public health response in Member States and to encourage reprogramming in other sectors of their economy, while providing exceptional flexibility for the use of the ESI funds under CRII(+). Specific measures adopted in CRII(+) have enabled Member States to mobilise support from ERDF, ESF and CF and focus it on the most urgent needs (saving lives, preventing job losses through short-time work schemes and supporting SMEs).

The vast majority of Member States have used at least one or another form of CRII(+) flexibility, such as extended deadlines for project implementation and for project calls, accelerating payments to beneficiaries and have used the opportunity to submit COVID-19 related expenses for reimbursement with retroactive eligibility since 1 February 2020. The use of financial instruments have also accelerated due to CRII(+) measures. Examples of impact of the used flexibilities:

- A EUR 7.6 billion immediate increase of liquidity was provided;
- 170 cohesion policy programmes have so far opted for 100% EU co-financing for 2020/2021;
- EUR 5.7 billion has been transferred between funds and between categories of regions allowing for greater flexibility in using the available resources;
- Payments to financial instruments increased by EUR 3.5 billion.

As well as tracking the financial reprogramming and other financial flexibilities, the Commission also worked with programmes to use COVID-19 specific indicators in order to understand the main priorities and achievements of the programmes in terms of supporting the health response, supporting SMEs and supporting people. By February 2021, 124 ERDF programmes have set

targets using those ad hoc COVID-19 indicators. The first reports of implementation will arrive with the 2021 programme implementation reports. See the cohesion policy [CORONAVIRUS DASHBOARD](#) for more details.

More generally, the more extensive use of EU common indicators for 2014-2020 has significantly improved the information available on performance. The data reported by Member States and the United Kingdom in autumn 2020 reflect the situation at the end of 2019. The first impacts of the unprecedented COVID-19 pandemic on the progress in achieving the indicator targets will not be visible until late 2021, when the 2020 implementation reports from the programmes are processed.

It is expected that there will be significant changes (increases and decreases) in a number of targets linked to (1) changing priorities in response to the pandemic, (2) the addition of EUR 40 billion of REACT-EU resources during 2021 and (3) the negative effects of the crisis on SMEs, the construction sector and on the cultural and tourism sectors. Overall, the uncertain socio-economic conditions, reduced demand, high unemployment and uncertain prospects for the relaunch of the economy mean that the uncertainty around performance has risen. The Commission will monitor closely the programmes during 2021 and 2022 and work with the Member States to maximise the benefits of the EU budgetary resources.

When interpreting performance against targets over time, three general aspects should be recalled:

1. The multi-annual character of interventions (especially in cases of infrastructure interventions) and long programme cycle need to be factored in. Actual achievements were not visible in early years. The experience from 2007-2013 is that many infrastructure investments are fully implemented only by the end of the period. The implementation of the 2014-2020 programming period lasts until 2023 (N+3 rule), therefore the 2019 achievement values refer to the situation at the 6th year of a 10 years long implementation cycle.
2. Milestone-values (2018) are not available for most indicators as milestone values had to establish only for a subset of the indicators in the programmes. If at the EU aggregate level the subset for a certain indicator represents a small share of the total, the milestone value is not representative to illustrate performance objectives.
3. The common indicators covered an estimated 50-60% of the actions funded and they give a partial picture on the performance (programmes use over 8 000 specific indicators beyond the 46 common indicators, which cannot be aggregated at EU level due to their specific nature). Target values for common indicators can change (the EU legislation allows for programme amendments during the implementation period) and are mainly driven by changes in national or regional development needs, changing economic conditions, variability in demand for different supports and the reallocation of funding within and across theme.

At EU level, the following overall performance trends are evident from the monitoring of the ERDF and CF based on 2019 achievements reported:

- Overall project selection rates at nearly 100% of planned investment by end 2020<sup>4</sup>. EU interim payments at around 45% for ERDF and 49% for CF are, however, slower than the same point in the last period. This can be explained by the fact that a high selection rate does not automatically translate into prompt expenditure. Expenditure is slower to materialise for projects that are still in the planning or procurement stage, projects with multi-annual character or projects that are otherwise immature.
- By thematic objective, project spending is well advanced in areas such as SME competitiveness and sustainable transport. On the other hand, the average spending rates for ICT, low-carbon economy and environmental investments are behind (as was the case in 2007-2013).
- The bulk of countries are clustered around the EU average spending rate for ERDF. That said, there is some difference in reported progress with SK and RO lagging behind.
- The performance data below reflects the end-2019 reporting on common indicators (reported in September 2020). Overall, positive implementation trends are registered for most indicators (see “key achievements”).
- For some indicators with more important gaps between the decided and implemented the forecast indicator values from selected projects are close to or exceed the target values, raising the prospect that the targets could still be achieved. In many of those cases, the high level of project selection is expected to translate into achieved outputs only late in the period. That phenomenon of late achievement of indicator values was evidenced by the trend in reporting in the 2007-2013 period. The 2020 reporting exercise suggested that at the end of 2019 many of the 2023 targets for those indicators could still be achieved.
- For some common indicators (i.e. those measuring population benefiting from wastewater, water supply, risk prevention and health interventions), the decided values from selected projects, compared to targets, show a prospect of overachievement. Deviations from targets are scrutinised and followed-up in cooperation with the Member States affected by implementation difficulties.
- The impact of the COVID-19 pandemic has led to increased uncertainty and sharp changes in needs. A wave of programme modification in 2020 led to a rise in some target values, particularly in the areas of enterprise support linked to crisis support during the pandemic. However, the uncertain socio-economic conditions, reduced demand, high unemployment and uncertain prospects for the relaunch of the economy mean that the Commission will have to monitor carefully the programmes during 2021 and 2022. It is yet unclear how the unprecedented shock of the pandemic will affect the achievements of targets for indicators related to job creation, support to new enterprises, the take up of R&I measures

<sup>4</sup> after adjusting for overbooking effects

and the construction of infrastructure projects. There are risks that the impacts could be negative unless the economy gathers pace in the second semester of 2021.

- In relation to the reprogramming during 2020 to support the immediate response to the pandemic and its effects, the new COVID-19 specific indicators give an important insight into the supported actions and their target outputs:
- 2.3 billion items of personal protective equipment for the health services;
- 4 500 ventilators, 5 000 additional bed spaces and 246 ambulances supported
- 470 000 SMEs targeted with grant based working capital
- 170 000 SMEs targets with repayable working capital

The progress in delivering those targets in 2020 will be reported to the Commission for the first time later in 2021.

By the end of 2019, 1 of the 41 original common indicators has already exceeded its 2023 target and a second is very close to outperforming its target. A majority - 28 indicators - show very strong or strong trends. 17% of indicators show a moderate trend that requires accelerating annual growth rates in order to achieve their 2023 targets.

In turn, underperformance is evident for the following 3 indicators:

- SO 4 Indicator 4: Number of additional energy users connected to smart grids
- SO 9 Indicator 3: Public or commercial buildings built or renovated in urban areas
- SO 9 Indicator 4: Rehabilitated housing in urban areas

**Table: performance of (common) indicators per specific objective (SO)**

(Green colour shows positive performance, red shows weak/at risk performance)

	SO 1	SO 2	SO 3	SO 4	SO 5	SO 6	SO 7	SO 8	SO 9	SO 10	SO 11	Total	%
<b>outperform</b>	0	0	0	0	1	0	0	0	0	1	0	2	5%
<b>very strong trend</b>	1	0	4	1	1	1	3	1	1	0	0	13	32%
<b>strong trend</b>	3	1	3	3	0	4	1	0	0	0	0	15	37%
<b>moderate trend</b>	2	0	2	0	0	0	1	0	1	0	1	7	17%
<b>weak trend</b>	0	0	0	1	0	0	0	0	1	0	0	2	5%
<b>at risk of underachievement</b>	0	0	0	0	0	0	0	0	1	0	0	1	2%
<b>Insufficient aggregated data</b>	0	0	0	0	0	0	1	0	0	0	0	1	2%

Overall, most indicators were on track to meet their targets at the end of 2019. For the few indicators that are not performing well, the reasons are diverse. Indicators linked to urban investments in renovated building and housing show low achievement but have project selection rates that approach or exceed the target values. Several indicators have a limited use and representativeness: Building new railway tracks is a target in only two countries. Moreover, it is not the main investment target in the railway sector, which is rather reconstruction and modernisation. The smart grid indicator is a new indicator for 2014-2020, with a modest budget and few programmes using the indicator. Lastly and more generally, the long life cycle of infrastructure projects, such as railways and certain energy infrastructures, delays the output of such projects towards the end of the project period.

All reported data is available online through the ESI Funds Open Data Platform based on indicators reported by the Member States. This platform offers transparency and provides additional encouragement through 'peer pressure' in reporting timely and reliable data.

For the general objective the indicators and their values presented below are statistical in nature, many being provided by EUROSTAT.

For the specific objectives the indicators are ERDF and CF common output indicators. The target values have been corrected to the values set under the adopted programmes as of end 2019 (changes take place over time linked in particular to the reallocation of finances between themes impacting the targets or to correct errors). With 290 programmes the achievement values can also be corrected over time (for instance in case of previous under reporting or in order to correct implemented values where operations are no longer EU funded). The most recent public values are visualised on the [ERDF](#) and [CF](#) pages on the ESI Funds Open Data Platform under "achievements" and the data is found in [this data file](#).<sup>5</sup>

### 3.2. Key achievements

<sup>5</sup> Note: As compared to last year, REGIO has moved in this document from the previously used SFC data warehouse to the Open Data Platform warehouse. There are two key reasons for this shift: first, we want SFC to gradually become our back-end infrastructure with a more fluid database; at the same time, we are constantly improving the use of the Open Data Platform as a stable front-end platform. To this end, we are trying to base most public reporting on data from this warehouse to ensure alignment of the various data we publish. However, it is important to note that both warehouses use the same database. In that respect, the data we are providing this year is of the same quality as last year.

**SMART GROWTH:**

4,6 million	610 000	11.5 billion	185 000	8 200
households have access to broadband of at least 30 Mbps by the end of 2019	enterprises were supported by the end of 2019	EUR of private investment was leveraged by the end of 2019 to match public support to enterprises	jobs were created in supported enterprises by the end of 2019	researchers were employed in supported entities by the end of 2019

**SUSTAINABLE GROWTH**

2.8 million	285 000	1 200	1.2 million	1 200
tonnes of CO2 equivalent were saved by the end of 2019	households saw an improvement of their energy consumption classification by the end of 2019	GigaWh/year of annual primary energy consumption of public buildings were saved by the end of 2019	tonnes/year of additional waste recycling capacity were implemented by the end of 2019	km of railway lines were reconstructed or upgraded by the end of 2019

**INCLUSIVE GROWTH**

39 million
people benefitted from new or modernised health services by the end of 2019

**3.3. Evaluations, studies and reports**

In line with the regulatory requirements, all programmes submitted an evaluation plan to their monitoring committees within one year from adoption. According to the plans, the programmes were expected to carry out around 1 500 evaluations for ERDF and CF in 2014-2020. Some of the latest updates of the plans have refined the number of the evaluations planned and their timeline, without affecting the thematic coverage.

To date more than 1 000 evaluations have been carried out by Member States on ERDF and CF and multi-fund programmes since January 2015. This includes also evaluations referring to the period 2007-2013. Nearly one third of all ERDF and CF evaluations carried out since January 2015 were published in 2020.

While evaluations published in the first years of 2014-2020 were mostly concerned with assessing implementation progress and monitoring of the programmes, the number of evaluations focused on impact has been increasingly growing in 2020, amounting to about 20% of all evaluations referring to the 2014-2020 period. Impact-oriented evaluations are in general well designed and some apply advanced techniques to distinguish the effects of the measures examined from other factors.

Within the framework of its own evaluation activities, the Commission published two Staff Working Documents (SWD) in 2020, which present the ex post evaluation of **major projects** supported by ERDF and CF between 2000 and 2013<sup>6</sup>: the first focused on transport<sup>7</sup> and the second on environmental infrastructure projects<sup>8</sup>. They confirmed the importance of EU support for achieving EU objectives. Investments have improved accessibility in the countries and regions concerned and paved the way for increased trade with the rest of the EU. Large-scale environmental infrastructure projects have made a major contribution to EU sustainable development strategies. The SWDs also highlighted the EU added value, as it appeared that the availability of a significant proportion of EU funding was critical for enabling or accelerating implementation, and thus the achievement of the objectives.

The Commission also made progress on its ex post evaluation of investment projects in **research and technological development (RTD) infrastructures, competence centres and activities** financed by the ERDF in 2007-2013 for EUR 17 billion. The evaluation analyses the factors that contributed to the success or failure of the actions and investigates the mechanisms of change under different socio-economic conditions. Its methodology is based on the use of detailed data on projects and beneficiaries that helps providing a better view of the impact of the funds and will also serve as a model for the 2014-2020 ex post evaluation. The final report of the evaluation is expected in the second half of 2021.

<sup>6</sup> [https://ec.europa.eu/regional\\_policy/sources/docgener/evaluation/pdf/ex\\_post\\_env\\_2000\\_2013\\_exec\\_en.pdf](https://ec.europa.eu/regional_policy/sources/docgener/evaluation/pdf/ex_post_env_2000_2013_exec_en.pdf)

<sup>7</sup> [https://ec.europa.eu/regional\\_policy/sources/docgener/evaluation/pdf/swd\\_ex\\_post\\_transport\\_2000\\_2013\\_en.pdf](https://ec.europa.eu/regional_policy/sources/docgener/evaluation/pdf/swd_ex_post_transport_2000_2013_en.pdf)

<sup>8</sup> [https://ec.europa.eu/regional\\_policy/sources/docgener/evaluation/pdf/swd\\_ex\\_post\\_env\\_2000\\_2013\\_en.pdf](https://ec.europa.eu/regional_policy/sources/docgener/evaluation/pdf/swd_ex_post_env_2000_2013_en.pdf)

In 2020, the Commission launched an evaluation of **e-Cohesion**, the electronic data exchange system to facilitate the exchange of documents and data between the beneficiaries of ESI funds (including the ERDF and CF) and the relevant authorities, in place for 2014-2020. In order to allow the managing authorities to incorporate any changes in their systems, the Commission aims to deliver the findings of this evaluation at an early stage of the implementation of the 2021-2027 programmes.

In December 2020, the Commission published an assessment study<sup>9</sup> on Urban Innovative Actions (UIA). The UIA is an EU initiative under cohesion policy aimed at incentivising cities to innovate. The assessment study evaluated the effectiveness, efficiency, relevance, coherence and EU added value of the UIA.

As required by Article 175 of the Treaty on the Functioning of the European Union, the 8<sup>th</sup> Cohesion Report is being prepared and will be published in autumn 2021. The report accompanies the early programming efforts during the new cohesion policy period. It will summarise what the programmes aim to achieve. The analysis will show how regional disparities have changed and identify key domains for policy intervention. It will discuss where public investment needs to be increased to stimulate economic growth and further reduce regional disparities. The analysis will be structured along the five new policy objectives and take into account the key elements of the European Semester process.

In 2021, the Commission will publish the mid-term evaluation of the Joint Assistance to Support Projects in European Regions (JASPERS) initiative - focusing on the period 2014-2018. JASPERS is an initiative of the European Commission (EC) and the European Investment Bank (EIB) proposing an independent and free-of-charge technical advisory services for large infrastructure projects to all Member States (MS) and pre-accession countries in all sectors relevant for EU funded investments. The ultimate aim is to ensure the preparation of high-quality infrastructure projects to be supported by EU funds (via ERDF, CF, CEF or IPA II). The evaluation aimed to assess the implementation of the services provided by JASPERS in accordance with the five evaluation criteria defined by the European Commission's Better Regulation Guidelines: effectiveness, efficiency, coherence, relevance and EU added value.

Finally, as the 2014-2020 period moves towards its closure phase (end-2023) the Commission will carry out an ex-post evaluation of, inter alia, the ERDF, the CF and the JTF, to be completed by the end of 2024. It is during the evaluation phase that the wider impacts and achievements of programming can be assessed.

## **4. Programme 2021-2027 - Key monitoring indicators**

### **Policy Objective 1 :Enhance research and innovation capacities and the uptake of advanced technologies**

#### **Indicator 1:Enterprises supported to innovate**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### **Indicator 2:Researchers working in supported research facilities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	

<sup>9</sup> <https://op.europa.eu/en/publication-detail/-/publication/fd44ce20-61e2-11eb-aeb5-01aa75ed71a1/language-en>

Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Small and medium-sized enterprises (SMEs) introducing product, process, marketing or organisational innovation**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Policy Objective 2 : Reaping the benefits of digitisation for citizens, companies and governments**

**Indicator 1: Enterprises and public institutions supported to develop digital products, services and processes**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Annual users of new or upgraded digital products, services and processes**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

### Policy Objective 3 :Enhancing growth and competitiveness of SMEs

#### Indicator 1:SMEs supported to enhance growth and competitiveness

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Jobs created in enterprises supported

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Policy Objective 4 :Developing skills for smart specialisation, industrial transition and entrepreneurship

#### Indicator 1:SMEs investing in skills for smart specialisation, for industrial transition and entrepreneurship

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:SMEs staff completing training for skills for smart specialisation, for industrial transition and entrepreneurship**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Policy Objective 5 :Enhancing digital connectivity****Indicator 1:Additional dwellings and enterprises with broadband access of very high capacity**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Additional dwellings and enterprises with broadband subscriptions to a very high capacity network**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Policy Objective 6 :Promoting energy efficiency measures and reducing green-house gas emissions****Indicator 1:Investments in measures to improve energy performance**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Savings in annual primary energy consumption

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Policy Objective 7 :Promoting renewable energy

### Indicator 1:Additional production capacity for renewable energy

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Additional renewable energy produced

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Policy Objective 8 :Developing smart energy systems, grids and storage outside TEN-E

### Indicator 1:Digital management systems for smart energy systems

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Additional users connected to smart energy systems

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Policy Objective 9 :Promoting climate change adaptation, risk prevention and disaster resilience

### Indicator 1:Investments in new or upgraded disaster monitoring, preparedness, warning and response systems

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	

Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Additional population benefiting from protection measures against floods, wild fires, and other climate related natural disasters

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Policy Objective 10 :Promoting sustainable water management

#### Indicator 1: New or upgraded capacity for waste water treatment

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Additional population connected to at least secondary waste water treatment

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

## Policy Objective 11 :Promoting the transition to a circular economy

### Indicator 1:New or upgraded capacity for waste recycling

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Additional waste recycled

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Policy Objective 12 :Enhancing nature protection and biodiversity, green infrastructure in particular in the urban environment, and reducing pollution

### Indicator 1:Surface area of green infrastructure

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Population benefiting from measures for air quality**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Policy Objective 13 :Promoting sustainable multimodal urban mobility****Indicator 1:Extension and modernisation of tram and metro lines**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Annual users served by new and modernised tram and metro lines**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Policy Objective 14 :Developing a sustainable, climate resilient, intelligent, secure and intermodal TEN-T****Indicator 1:Road TEN-T: New, upgraded, reconstructed, or modernised roads**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Rail TEN-T: New, upgraded, reconstructed, or modernised railways

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Time savings due to improved road infrastructure

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Annual number of passengers served by improved rail transport

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Policy Objective 15 :Developing and enhancing a sustainable, climate resilient, intelligent and intermodal national, regional and local mobility, including improved access to TEN-T and cross-border mobility

#### Indicator 1:Road non-TEN-T: New, upgraded, reconstructed, or modernised roads

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Rail non-TEN-T: New, upgraded, reconstructed, or modernised railways

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 3:Time savings due to improved road infrastructure

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	

Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Annual number of passengers served by improved rail transport**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Policy Objective 16 :Enhancing the effectiveness of labour markets and access to quality employment through developing social innovation and infrastructure****Indicator 1: Surface of new or modernised facilities for employment services**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Annual users of new or modernised facilities for employment services**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

## Policy Objective 17 :Improving access to inclusive and quality services in education, training and lifelong learning through developing infrastructure

### Indicator 1:New or modernised capacity for childcare and education facilities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Annual users served by new or modernised childcare and education facilities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Policy Objective 18 :Increasing the socio-economic integration of marginalised communities, migrants and disadvantaged groups, through integrated measures including housing and social services

### Indicator 1:New or modernised capacity of temporary reception and social housing facilities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

### Indicator 2: Annual users of new or modernised temporary reception and social housing facilities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Policy Objective 19 : Ensuring equal access to health care through developing infrastructure, including primary care

#### Indicator 1: New or modernised capacity for health care facilities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Annual users of new or modernised health care services

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Policy Objective 20 :Fostering the integrated social, economic and environmental development, cultural heritage, tourism and security in urban areas

### Indicator 1:Population covered by strategies for integrated territorial development

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : European Regional Development Fund (ERDF) and Cohesion Fund

**General Objective 1 :To reduce disparities between the levels of development of the various regions, in particular for rural areas, areas affected by industrial transition, and regions which suffer from severe and permanent natural or demographic handicaps and to contribute to achieving the targets set out in the Europe 2020 strategy of smart, sustainable and inclusive growth, and in particular towards the achievement of quantitative headline targets identified in that strategy**

### Indicator 1:Employment rate by sex, age group 20-64

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2016	Milestones									2020
							75%			75%
71.1%	Actual Progress									Final
	69,20	70,10	71,10	72,20	73,20	73,90				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of population 20-64
Cut-Off Date	08/02/2021
Data source	Eurostat lfsi_emp_a
Narrative	In 2019, the employment rate of the 20-64 year old population increased by 0.6% to 74%. Despite the slowdown in 2019 (the employment rate increased by 0.7% instead of 1% in 2018), the trend remains positive and the 2020 target of 75% is still within reach. However, these figures do not take into account the impact of the COVID-19 pandemic. With major impacts already visible across Europe, we expect the target set to be missed.
Methodology	Labour Force Survey
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	<a href="http://ec.europa.eu/eurostat/cache/metadata/en/lfsi_esms.htm">http://ec.europa.eu/eurostat/cache/metadata/en/lfsi_esms.htm</a>
Justification of the trend	Cohesion policy contributes to improving the labour market situation through various strands. Relevant Specific Objectives: SO 2

### Indicator 2:Gross domestic expenditure on R&D (GERD)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2016	Milestones									2020
							3%			3%
2,03%	Actual Progress									Final

	2.03%	2.04%	2.04%	2.08%	2.11%	2.14%				
--	-------	-------	-------	-------	-------	-------	--	--	--	--

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	% of GDP
Cut-Off Date	08/02/2021
Data source	Eurostat RD_E_GERDTOT
Narrative	In 2019, gross domestic expenditure on R&D (GERD) increased by 0.03%. With the very slow increase of 0.02% on average between 2015 and 2019, the overall situation remains unsatisfactory, if not critical.
Methodology	Statistical indicator
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/rd_esms.htm">https://ec.europa.eu/eurostat/cache/metadata/en/rd_esms.htm</a>
Justification of the trend	Cohesion policy makes an important contribution to the sector and is even an important source of a large part of public investment in R&D in some countries. But it is also clear that these efforts are not enough. Especially since, in view of the pandemic, it is to be expected that the figures will initially fall (especially in the private sector) before they rise again. Public investment therefore remains critical in this area and the increased efforts through REACT-EU and the new programmes are an essential but probably insufficient contribution to raising the rate to a satisfactory level. Ultimately, however, Europe will not be able to avoid a joint effort by all actors to give this area the boost it needs. Relevant Specific Objectives: SO 1

### Indicator 3: Greenhouse gas emissions, base year 1990

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2016	Milestones									2020
							74			74
	Actual Progress									Final
	77,59	78,28	77,92	78,38	76,76					

Are we on track	On track
Indicator type	Impact
Unit of measurement	Index 1990 = 100
Cut-Off Date	08/02/2021
Data source	European Environment Agency (EEA)
Narrative	2018 was the first year in which, after a series of ups and downs, the indicator fell well below the 77-point mark. In addition, the latest projections show that the pandemic was an important driver of greenhouse gas emissions (GHG) reductions, allowing many EU countries to meet their 2020 targets. Despite the good news, it is unclear how sustainable this trend is. It remains to be seen whether efforts at the European level will have the necessary impact to ensure a satisfactory trend toward the 2030 targets. Cohesion policy will continue to be an important source of funding in the area of GHG emission reductions.
Methodology	Index 1990 = 100; statistical indicator
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/sdg_13_10_esmsip2.htm">https://ec.europa.eu/eurostat/cache/metadata/en/sdg_13_10_esmsip2.htm</a>
Justification of the trend	The new targets for REACT-EU (25% contribution to climate-related investments) and the 2021-2027 programs (30% ERDF and 37% CF) ensure that our programs will continue to be at the forefront of this effort. In addition, the latest projections show that the pandemic was an important driver of greenhouse gas emissions reductions, allowing many EU countries to meet their 2020 targets. Despite the good news, it is unclear how sustainable the trend is. It remains to be seen whether efforts at the European level will have the necessary impact to ensure a satisfactory trend toward the 2030 targets. Untouched by this question, cohesion policy continues to be an important source of funding in the area of GHG emission reductions. The new targets for REACT-EU (25% contribution to climate-related investments) and the 2021-2027 programs (30% ERDF and 37% CF) ensure that our programs will continue to be at the forefront of this effort. Relevant Specific Objective: SO 4

### Indicator 4: Share of renewables in gross final energy consumption

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
16.7%							20%			20%
	Actual Progress									Final
	16.2%	16.73%	16.98%	17.48%	18.01%	18.87%				

Are we on track	On track
-----------------	----------

Indicator type	Impact
Unit of measurement	% of gross final energy consumption
Cut-Off Date	08/02/2021
Data source	European Environment Agency (EEA) ( NRG_IND_REN )
Narrative	In 2019, Europe will reach a share of renewable energies in gross final energy consumption of almost 19%. Projection shows that due to the moderate increase in the renewable energy sector in recent years, with an average increase of plus 0.5% between 2015 and 2019 and the overall positive trend, the achievement of the 2020 target (20%) remains within reach.
Methodology	statistical indicator
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/sdg_07_40_esmsip2.htm">https://ec.europa.eu/eurostat/cache/metadata/en/sdg_07_40_esmsip2.htm</a>
Justification of the trend	In view of the upcoming funding period, the current 2030 climate and energy framework and the Green Deal, this figure needs to increase even more significantly to avoid reputational damage for the EU. Cohesion policy will continue to make an important contribution to ensuring the performance of the sector. However, the expectations and targets set will necessarily remain challenging. This is the main reason why performance under the heading "European Green Deal" has become the top priority in DG REGIO's strategic plan for the next five years. Relevant Specific Objective: SO 4

#### Indicator 5: Energy intensity of the economy (proxy indicator for Energy savings, which is under development)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Primary energy consumption										
2015	Milestones									2020
1 529,1						1 483				1 483
	Actual Progress									Final
	1 511.78	1 535.98	1 544.20	1 561.82	1 552.80	1526.12				
Final energy consumption										
2015	Milestones									2020
1 082,2						1 086				1 086
	Actual Progress									Final
	1 069.00	1 091.07	1 111.48	1 123.25	1 124.90	1117.71				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Million tonnes of oil equivalent (TOE)
Cut-Off Date	08/02/2021
Data source	Eurostat NRG_IND_EFF
Narrative	Both Europe's primary and final energy consumption decreased in 2018, and for the first time relative to final energy consumption levels in 2014-2018. Our projection shows that a continuation of this trend could lead to the achievement of 2020 targets for both categories. While this is clearly a positive and necessary trend, it remains unclear how sustainable this trend is. Together with the indicators on renewable energy consumption and greenhouse gas emission reductions, the picture is slightly positive of a trend pointing in the right direction, but deserving further attention in the coming years.
Methodology	Statistical indicator
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/sdg_07_10_esmsip2.htm">https://ec.europa.eu/eurostat/cache/metadata/en/sdg_07_10_esmsip2.htm</a>    <a href="https://ec.europa.eu/eurostat/cache/metadata/en/sdg_07_11_esmsip2.htm">https://ec.europa.eu/eurostat/cache/metadata/en/sdg_07_11_esmsip2.htm</a>
Justification of the trend	Cohesion policy contributes to improving energy consumption through various strands. In its focus on sustainable growth, it will play its part in ensuring that the positive trend continues. Whether this alone will be sufficient cannot be answered at this stage. Relevant Specific Objective: SO 4

#### Indicator 6: Early leavers from education and training by sex; Tertiary educational attainment by sex, age group 30-34

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Early School Leavers: Total										
2014	Milestones									2020
11,2%						< 10%				< 10%
	Actual Progress									Final
	11.2%	11%	10.7%	10.5%	10.5%	10.3%				
Early School Leavers: Female										
2014	Milestones									2020
9,6%						< 10%				< 10%
	Actual Progress									Final
	9.6%	9.5%	9.2%	8.9%	8.8%	8.6%				
Early School Leavers: Male										

2014	Milestones								2020
12,7%	< 10%								< 10%
	Actual Progress								Final
	12.7%	12.4%	12.2%	12.1%	12.2%	11.9%			
Younger generation: Total									
2014	Milestones								2020
38%	> 40%								> 40%
	Actual Progress								Final
	37.9%	38.7%	39.2%	39.9%	40.7%	41.6%			
Younger generation: Female									
2014	Milestones								2020
42,3%	> 40%								> 40%
	Actual Progress								Final
	42.3%	43.4%	43.9%	44.9%	45.8%	46.7%			
Younger generation: Male									
2014	Milestones								2020
33,6%	> 40%								> 40%
	Actual Progress								Final
	33.6%	34.0%	34.4%	34.9%	35.7%	36.6%			

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	% of the population
Cut-Off Date	08/02/2021
Data source	Leavers: Eurostat ( EDAT_LFSE_14 )   tertiary education Eurostat ( EDAT_LFSE_04 )
Narrative	As for the 2019 figures, the numbers of early school leavers have decreased by 0.2 percentage points (overall) and the proportion of the population with tertiary education has increased by 0.9 percentage points. A clear gender gap is evident in the figures for primary and tertiary education. However, leaving aside the significant role of gender in education, which is well documented by many studies, the overall trend is positive. Thus, while the outcome for males will fall well short of the 2020 target, it can be extrapolated that if the trend continues, the targets will likely be met in 2023 (early school leavers) or 2024 (tertiary education).
Methodology	Statistical indicators
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/sdg_04_10_esmsip2.htm">https://ec.europa.eu/eurostat/cache/metadata/en/sdg_04_10_esmsip2.htm</a> <a href="https://ec.europa.eu/eurostat/cache/metadata/en/edat1_esms.htm">https://ec.europa.eu/eurostat/cache/metadata/en/edat1_esms.htm</a>
Justification of the trend	Cohesion policy contributes to improving education and childcare through various strands. Relevant Specific Objectives: SO 10

### Indicator 7: People at risk of poverty or social exclusion

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones								2023	
116 200	< 96 200								< 96 200	
	Actual Progress								Final	
	122026	119077	118060	112930	109863	107535				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	In thousand persons
Cut-Off Date	11/02/2021
Data source	Eurostat ilc_peps0
Narrative	The decline in people at risk of poverty or social exclusion peaked in 2017 (-4%), and since then the trend has been declining and threatens to stall in the current crisis. This represents a major blow to European efforts towards strengthening social inclusion and cohesion. Future programs and efforts face significant challenges to address this situation. Moreover, recent internal studies have highlighted the local dimension of social exclusion and the negative impact this has on social cohesion. Cohesion policy is in a prominent position to improve this situation. The most recent outcome of this ambition has been the establishment of the Just Transition Fund and REACT EU, which are designed to mitigate the negative side effects of the transition to a climate-neutral EU and to improve cohesion within the European Union.
Methodology	Statistical indicator
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Simulations based on economic models (namely QUEST and RHOMOLO) suggest a positive and significant impact of cohesion policy interventions on GDP and employment during and after the implementation of programmes. In the EU-12, programmes of the 2007-2013 period are expected to

	have increased the level of GDP by 2.7% per year between 2007 and 2016 and employment by around 735,000 units. Programmes of the 2014-2020 period are expected to increase the level of GDP by 1.7% per year between 2014 and 2023 in the EU-12.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 1 :Strengthening research, technological development and innovation

#### Indicator 1: Number of new researchers in supported entities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										26145
	Actual Progress									Final
	68	285	693	2327	5342	8164				

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Researchers (Full time equivalent)
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Impact of R&D funding on researcher employment. We see a significant increase of 53% from 2018 to the 2019 figures now available, resulting in an achievement rate of approximately 31% compared to the 2023 target. Nevertheless, the current achievement figures are still well below the set target. On the other hand, the level of project selection is high (over 24 000 projects were already selected/are forecast) which raises the prospect that the targets could be achieved.
Methodology	Data collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Moderate trend. Projections show that we will have to maintain the current growth rates of 50% per year to achieve the set target. This is a challenge, particularly in view of the general decline in growth rates over the years. The risk of underachievement therefore remains.

#### Indicator 2: Number of enterprises cooperating with research institutions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										64089
	Actual Progress									Final
	2	77	640	7764	19671	34183				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of uptake of innovation. Over 34 000 companies were enabled to cooperate with research institutions thanks to regional funding. From 2018 to the 2019 figures now available, there has been a significant increase, resulting in an achievement rate of approximately 53% compared to the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. The projections show that we are likely to meet the 2023 target.

#### Indicator 3: Number of researchers working in improved research infrastructure facilities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
					28250					91949
	Actual Progress									Final
	364	6959	13873	23825	36774	37259				

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Number of researchers (Full time equivalent)
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Impact on improving facilities for R&D funding researchers. In the current numbers, we see almost no increase from 2018 to the 2019 numbers now available (1%), resulting in a stagnant target achievement of about 41% compared to the 2023 target. The current numbers continue to be well below the set target. On the other hand, the level of project selection is very high (over 99 000 projects were already selected/are forecast) which raises the prospect that the targets could be achieved.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Moderate trend. Projections show that we need to increase the current numbers by 35% per year to still reach the set target. Achieving this is a challenge, especially given the slower growth in achievements rates in 2019. With an expected increase in the momentum of financing and demand for financing in the post-COVID-19 years, such growth rates may not be unrealistic. However, it is likely that such a trend will only become visible in 2022-23.

#### Indicator 4: Private investment matching public support in innovation or R&D projects

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										14205396817
	Actual Progress									Final
	81958544	324827483	802694672	1235370214	2124433268	3569540984				

Are we on track	On track
Indicator type	Output
Unit of measurement	EUR
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Effect on private R+I investments. EUR 3.6 billion in private investment was released through cohesion policy mechanisms. From 2018 to the 2019 figures now available, there has been a significant increase of 68%, resulting in an achievement rate of about 25% against the 2023 target. This means that the programmes are well on track to meet their targets.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that we will reach the 2023 target even if the annual growth rate of the indicator falls below 60%, which is unlikely given the stable growth rates in recent years. The only concern at the moment is the uncertainties related to the Corona pandemic. More figures on this will be available next year.

#### Indicator 5: Number of enterprises supported to introduce new to the market products

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										28859
	Actual Progress									Final
	23	70	595	3013	11830	17498				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of uptake of innovation. Until 2019, roughly 17,500 new products were introduced to the market by enterprises supported by ERDF and CF. From 2018 to the 2019 figures now available, there has been a significant increase of 48%, resulting in an achievement rate of approximately 61% against the 2023 target. This means that the programmes are well on their way to meeting their goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	

Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we will meet the 2023 target even if the general downward trend of recent years continues. However, it would have to stabilise around an annual increase of nearly 19%. The only real concern at this time is the uncertainties related to the COVID-19 pandemic. Further figures on this will be available next year.

**Indicator 6: Number of enterprises supported to introduce new to the firm products**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										61606
	Actual Progress									Final
	23	89	619	3334	14317	23331				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of uptake of innovation. By 2019, approximately 23,300 new products had been introduced in ERDF and CF-funded companies. From 2018 to the 2019 figures now available, there has been a significant increase of 63%, resulting in an achievement rate of approximately 38% against the 2023 target. This means that the programmes are well on their way to meeting their goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. The projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues. However, in this scenario, the current slowdown should be reduced so that the 2023 targets continue to be achieved. Ultimately, it is more the uncertainties of the Corona pandemic that could be significant. Further figures on this will be available next year.

**Specific Objective 2 :Enhancing access to, and use and quality of, information and communication technologies****Indicator 1: Additional households with broadband access of at least 30 Mbps**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										10769090
	Actual Progress									Final
		0	863916	1395775	2989418	4571786				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of households
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of outreach of support to broadband. Until 2019 over 4.57 million additional households received broadband access of at least 30 Mbit/s with the help of regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 53%, resulting in an achievement rate of approximately 42% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	No milestone figure concerning this indicator associated with specific objective 2 is included in the table above, as the programmes which include this indicator in the performance framework where milestones are set represent a small share of the total, which render the milestone value available not representative at EU level.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues. However, a more pessimistic scenario of a continuation of the current dynamic in growth decline of the numbers would result in an achievement rate of only 89% in 2023 (11% below the set target).

**Specific Objective 3 :Enhancing the competitiveness of small and medium-sized enterprises****Indicator 1: Number of enterprises receiving support**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
0	181831									1110661
	Actual Progress									Final
	11203	32882	94617	201348	414302	612813				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of all support to SMEs for growth & competitiveness. Approximately 613,000 SMEs were supported with the help of regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 48%, resulting in an achievement rate of approximately 55% against the 2023 target. A 2018 milestone was far outperformed, with a value nearly double that of the milestone set. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies.

**Indicator 2: Number of enterprises receiving grants**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
0	362005									362005
	Actual Progress									Final
	1175	3997	14541	40997	89781	123737				

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of grant support to SMEs for growth & competitiveness. Over 123,700 SMEs have been supported by grants from the regional funds. From 2018 to the 2019 figures now available, there has been an increase of 38%, resulting in an achievement rate of around 34% against the 2023 target. It appears that, on average, fewer companies have received larger grants than originally planned. On the other hand, the level of project selection is higher (over 229 000 projects were already selected/are forecast), raising the prospect that the targets could be achieved.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Moderate trend. Projections indicate that the 2023 outcome will be well below the original targets. However, uncertainties related to the COVID-19 pandemic could have a boosting effect on the results. Further figures on this will be available next year.

**Indicator 3: Number of enterprises receiving financial support other than grants**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
	200 787									200 787
	Actual Progress									Final
	245	7152	37253	48850	79410	105696				

Are we on track	On track
Indicator type	Output
Unit of measurement	Enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States

Narrative	Measurement of scope of financial instrument support to SMEs for growth & competitiveness. Almost 105,700 SMEs have been supported through financial instruments with the help of regional funds. From 2018 to the 2019 figures now available, there has been an increase of 33%, resulting in an achievement rate of approximately 53% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. The projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues.

**Indicator 4: Number of enterprises receiving non-financial support**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										464198
	Actual Progress									Final
	9725	20906	38538	93399	214161	311342				

Are we on track	On track
Indicator type	Output
Unit of measurement	Enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of support to new enterprises. Measurement of scope of support to new enterprises. More than 311,300 SMEs received non-financial support with the help of regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 45%, resulting in an achievement rate of approximately 67% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. The projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies.

**Indicator 5: Number of new enterprises supported**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										161485
	Actual Progress									Final
	757	4100	18282	35087	69746	88015				

Are we on track	On track
Indicator type	Output
Unit of measurement	Enterprises
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of support to new enterprises. Approximately 88,000 new SMEs were supported with the help of regional funding. From 2018 to the 2019 figures now available, there has been an increase of 26%, resulting in an achievement rate of approximately 55% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	Due to an encoding error, the figure for 2018 has been changed, to correspond to the actual figure existing in the open data portal
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues. However, in this scenario, the current downward momentum of growth should be reduced so that the 2023 targets continue to be achieved.

**Indicator 6: Private investment matching public support to enterprises (grants)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023

										2781561139 2
Actual Progress										Final
6128768	76717029	438428681	2639853778	7401584205	1149716521 6					

Are we on track	On track
Indicator type	Output
Unit of measurement	EUR
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of support to new enterprises. Almost EUR 11.5 billion of private investment (grants) were leveraged with the help of regional funding. From 2018 to the 2019 figures now available, there has been an increase of 55%, resulting in an achievement rate of approximately 41% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we will reach the 2023 target even if the deceleration in the increase in numbers that we have seen in recent years remains. However, in such a scenario, the current momentum of a decelerating increase should be reduced to ensure that the 2023 targets remain achievable. Ultimately, it is more the uncertainties of the COVID-19 pandemic that could be significant. Further figures on this will be available next year.

**Indicator 7: Private investment matching public support to enterprises (non-grants)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
										8863677750
Actual Progress										Final
	961021	47318773	172474543	580012286	1598248489	2640344883				

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	EUR
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Effect on private investments matching financial instrument support. By 2019, over EUR 2.6 billion in private investment (excluding grants) has been mobilized with the help of regional funding. Looking at the current figures, we see a significant increase of 65% from 2018 to the 2019 figures now available. However, this leads to an overall achievement rate of about 30% compared to the 2023 target. In other words, the current figures are still significantly below the set target. On the other hand, the level of project selection is much higher (projects representing over EUR 6 billion of investment were already selected/are forecast), raising the prospect that the targets could be achieved.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Moderate trend. Projections show that we need to maintain the current rates of increase of at least 50% per year to still meet the set target. This is a challenge, especially in view of the general decline in growth rates over the past few years. The uncertainties of the COVID-19 pandemic add to this challenge. More figures on this will be available next year but the risk of underachievement remains.

**Indicator 8: Employment increase in supported enterprises**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
0										397339
Actual Progress										Final
		4052	11898	4049	108654	184529				

Are we on track	On track
Indicator type	Output
Unit of measurement	Full time equivalent (FTE)
Cut-Off Date	31/12/2019
Data source	EC/Member States

Narrative	Effects on employment in enterprises supported. By 2019, over 184,500 jobs were created in SMEs supported by regional funding. Looking at the current figures, we see a significant increase of 70% from 2018 to the 2019 figures now available. However, this leads to an overall achievement rate of about 46% compared to the 2023 target. In other words, the current figures are still well below the set target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we need to maintain the current rates of increase (or at least 30% rates) per year to still meet the set target. This is a challenge, especially in view of the general decline in growth rates over the past few years. The uncertainties of the COVID-19 pandemic add to this challenge. More figures on this will be available next year but the risk of underachievement remains.

#### Indicator 9: Increase in expected number of visits to supported sites of cultural and natural heritage and attractions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
					15260700					38176971
	Actual Progress									Final
	3	3	184582	5245223	9277252	17240165				

Are we on track	On track
Indicator type	Output
Unit of measurement	Visits/year
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of support to cultural and tourism sites. Over 17.2 million visitors visited sites of cultural and natural heritage and attractions supported by regional funding. From 2018 to the 2019 figures now available, there has been an increase of 86%, resulting in an achievement rate of approximately 45% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2028
Other methodological comments	Aggregate target is not considered robust due to difficulties forecasting visitors to operations ex ante. Sector is strongly affected by COVID-19 pandemic.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that we will reach the 2023 target even if the deceleration in the increase in numbers that we have seen in recent years remains. Irrespective of this, the effects of the COVID-19 pandemic will have a significant impact on the figures. Further figures on this will be available next year and are necessary to provide meaningful estimates.

#### Specific Objective 4 : Supporting the shift towards a low-carbon economy in all sectors

##### Indicator 1: Additional capacity of renewable energy production (MW/MWH)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0										5914
	Actual Progress									Final
		1	4	228	905	1918				
Cohesion Fund										
2014	Milestones									2023
0										1236
	Actual Progress									Final
	0	0	0	3	110	176				

Are we on track	On track
Indicator type	Output
Unit of measurement	Megawatts (MW)
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Contribution to renewable energy capacity. Until 2019, an increase over 2000 MWH of additional capacity of renewable energy production was achieved thanks to regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 131%. However, this results in an

	achievement rate of only approximately 29% compared to the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we will reach the 2023 target even if the general downward trend of recent years continues. Additionally, based on past experience the achievement of outputs linked to multi annual infrastructure projects occurs late in the period. The decided values in selected projects suggest that the target may be achieved by end-2023.

**Indicator 2: Number of households with improved energy consumption classification**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0	121057									621017
	Actual Progress									Final
	1694	7013	27103	65044	163750	267559				
Cohesion Fund										
2014	Milestones									2023
0	79300									79300
	Actual Progress									Final
	0	42	833	5490	9938	17811				

Are we on track	On track
Indicator type	Output
Unit of measurement	Households
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of energy efficiency measures for households. Over 285,000 additional households could achieve an improved energy consumption classification with the help of regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 74%, resulting in an achievement rate of approximately 41% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies.

**Indicator 3: Decrease of annual primary energy consumption of public buildings**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0	4617961253									4617961253
	Actual Progress									Final
		111729	1174311	24559136	240217919	784640956				
Cohesion Fund										
2014	Milestones									2023
0	1822981287									1822981287
	Actual Progress									Final
				134461	295986122	447390529				

Are we on track	On track
Indicator type	Output
Unit of measurement	kWh/year
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Contribution to energy efficiency in public buildings. A decrease of over 1.2 billion kWh of annual primary energy consumption of public buildings was achieved with the help of regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 413%. However, this results in an achievement rate of only approximately 19% compared to the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027

Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we will reach the 2023 target even if the general downward trend of recent years continues. Additionally, based on past experience the achievement of outputs linked to multi-annual infrastructure projects occurs late in the period. The decided values in selected projects suggest that the target may be achieved by end-2023.

**Indicator 4: Number of additional energy users connected to smart grids**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0	Actual Progress									530661
	0	0	0	5	86	99				Final
Cohesion Fund										
2014	Milestones									2023
0	Actual Progress									1034000
					78571	169070				Final

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Users
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outcome of smart energy systems. Until 2019, over 169,000 additional energy users were connected to smart grids with the help of regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 115%. However, this results in an achievement rate of only approximately 11% compared to the 2023 target. The current numbers continue to be well below the set target. On the other hand, the level of project selection is much higher (projects representing over 4 million additional users were already selected/are forecast), raising the prospect that the targets could be achieved.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	"ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected."
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Weak trend. Projections show that we need to keep the current numbers on a level of around 110% increase per year to still reach the set target. This is a challenge that seems difficult to achieve, especially given the general decline in growth rates over the years. However, based on past experience the achievement of outputs linked to multi annual infrastructure projects occurs late in the period. Additionally, with an expected increase in the dynamics of financing and demand for financing in the post-COVID-19 years, such growth rates are not necessarily unrealistic, but it is likely that such a trend will not become visible until 2022-23.

**Indicator 5: Estimated annual decrease of GHG**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0	Actual Progress									17664211
	10197	31836	87612	365881	1138534	2532712				Final
Cohesion Fund										
2014	Milestones									2023
0	Actual Progress									2809229
			0	6995	142035	331348				Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Tonnes of CO2 equivalent
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outcome of measures to reduce GHG emissions. By 2019, a reduction of over 2.8 million tons of CO2

	equivalent per year had been achieved with the help of regional funds. From 2018 to the 2019 figures now available, there has been a significant increase of 152%. However, this results in an achievement rate of only about 14% compared to the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	"ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected."
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Although the current numbers remain well below the set target, the projections show that we can achieve the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies. Regardless of this, it is clear that the numbers need to remain at a very strong level (around 90% increase per year) to ensure the achievement of the set target.

## Specific Objective 5 :Promoting climate change adaptation, risk prevention and management

### Indicator 1:Population benefiting from flood protection measures

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0	Actual Progress									Final
			11520	1453555	3784308	6261551				
Cohesion Fund										
2014	Milestones									2023
0	Actual Progress									Final
				165717	343687	1225468				

Are we on track	On track
Indicator type	Output
Unit of measurement	Persons
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of flood protection measures. Until 2019, almost 7.5 million people are benefitting from flood protection measures supported by regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 98%, resulting in an achievement rate of approximately 45% against the 2023 target. This means that the programmes are on track to meet their 2023 goal.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that we will meet the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies.

### Indicator 2:Population benefiting from forest fire protection measures

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0	Actual Progress									Final
	0	0	0	1362645	6432091	7597849				
Cohesion Fund										
2014	Milestones									2023
0	Actual Progress									Final
	0	0	0	462660	4412022	7690355				

Are we on track	On track
Indicator type	Output

Unit of measurement	Persons
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of scope of fire protection measures. Until 2019, almost 15.3 million people are benefitting from forest fire protection measures supported by regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 138%, resulting in an achievement rate of approximately 93% against the 2023 target. This means that the programmes have almost met their 2023 goal. The level of project selection, though, is much higher (projects representing over 35 million additional people covered were already selected/are forecast), raising the prospect that the targets could be over-achieved.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Outperform. Projections show that programmes will outperform the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies.

## Specific Objective 6 :Preserving and protecting the environment and promoting resource efficiency

### Indicator 1:Additional waste recycling capacity

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0										1717112
	Actual Progress									Final
			100	10574	40469	105541				
Cohesion Fund										
2014	Milestones									2023
0	0	0	0	0	1150087					2855466
	Actual Progress									Final
	0	0	2187	47245	714936	1137797				

Are we on track	On track
Indicator type	Output
Unit of measurement	Tonnes/year
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outcomes of supported projects on waste recycling. By 2019, additional waste recycling capacity for over 1.2 million tons of waste per year has been created with regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 3072%, resulting in an achievement rate of approximately 27% against the 2023 target. Despite the low overall achievement rate, this means that the programs are on track to meet their 2023 target. As the projections show, we will reach the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. As the projections show, we will reach the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies. Additionally, based on past experience the achievement of outputs linked to multi annual infrastructure projects occurs late in the period. The decided values in selected projects suggest that the target may be achieved by end-2023.

### Indicator 2:Additional population served by improved water supply

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0					379412					3935943
	Actual Progress									Final
			27089	161320	427904	1298436				
Cohesion Fund										
2014	Milestones									2023

0					772698					8184242
	Actual Progress									Final
	0	0	162704	175378	728835	1196261				

Are we on track	On track
Indicator type	Output
Unit of measurement	Persons
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outcome of drinking water supported projects. By 2019, nearly 2.5 million additional people had been provided with improved water supply with the help of regional funds. From 2018 to the 2019 figures now available, there has been a significant increase of 583%, resulting in an achievement rate of approximately 21% against the 2023 target. Despite the low overall attainment rate, programs are on track to meet their 2023 objective.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. As projections show, we will meet the 2023 goal even if the slower increase in numbers we have seen in recent years continues or intensifies.

### Indicator 3: Additional population served by improved wastewater treatment

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0					841425					8454827
	Actual Progress									Final
	2030	109599	325553	715444	1557171	1913588				
Cohesion Fund										
2014	Milestones									2023
0	0	0	0	0	138333					9361152
	Actual Progress									Final
	0	0	8399	54332	322241	1073632				

Are we on track	On track
Indicator type	Output
Unit of measurement	Population equivalent
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outcome of waste water treatment supported projects. By 2019, nearly 3 million additional people had been served by improved wastewater treatment with the help of regional funds. From 2018 to the 2019 figures now available, there has been an increase of 92%, resulting in an achievement rate of approximately 17% against the 2023 target. Despite the low overall attainment rate, programs are on track to meet their 2023 objective.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that we will reach the 2023 target even if the deceleration in the increase in numbers that we have seen in recent years remains. However, in such a scenario, the current dynamic of the deceleration should be reduced to ensure that the 2023 targets remain achievable. Further figures on this will be available next year.

### Indicator 4: Total surface area of rehabilitated land

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones									2023
0					207					13663
	Actual Progress									Final
		11	22	155	568	1634				
Cohesion Fund										

2014	Milestones								2023
0									377
	Actual Progress								Final
					16	84			

Are we on track	On track
Indicator type	Output
Unit of measurement	Hectares
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of the scope of supported projects on land rehabilitation. Measurement of the scope of supported projects on land rehabilitation. By 2019, over 1,750 hectares of land had been rehabilitated with the support of regional funds. From 2018 to the 2019 figures now available, there has been a significant increase of 210% in this number, resulting in an achievement rate of approximately 13% against the 2023 target. Despite the low overall achievement rate, programs are on track to meet the 2023 target due to the strong dynamic shown in the last couple of years.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. As projections show, we will reach the 2023 goal even if the slower increase in numbers we have seen in recent years continues or intensifies.

#### Indicator 5: Surface area of habitats supported to attain a better conservation status

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones								2023	
0										8146397
	Actual Progress								Final	
		13453	100094	1617264	2790692	5776429				
Cohesion Fund										
2014	Milestones								2023	
0										351257
	Actual Progress								Final	
		290	607	834	56550	149795				

Are we on track	On track
Indicator type	Output
Unit of measurement	Hectares
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of the scope of supported projects on habitat protection. By 2019, nearly 6 million hectares of habitats have achieved better conservation status with support from regional funds. From 2018 to the 2019 numbers now available, there has been a significant 112% increase in this number, resulting in an achievement rate of about 70% over the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that the 2023 target will be met even if there is a slower increase in numbers than in recent years.

#### Specific Objective 7 : Promoting sustainable transport and removing bottlenecks in key network infrastructures

##### Indicator 1: Total length of new railway line

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total (European Regional and Development Fund)										
2014	Milestones								2023	
0										552
	Actual Progress								Final	
						0				
Total (Cohesion Fund)										

2014	Milestones								2023
0									21
	Actual Progress								Final
				0		0			
TEN-T (European Regional and Development Fund)									
2014	Milestones								2023
0									509
	Actual Progress								Final
						102			
TEN-T (Cohesion Fund)									
2014	Milestones								2023
0									21
	Actual Progress								Final
						0			

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	km
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Scope of supported projects for the building of new rail network. There is insufficient aggregated data to assess current achievements. Additionally, the aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected. Nonetheless, the level of project selection is much higher for TEN-T (projects representing over 600 km of new railway lines were already selected/are forecast), raising the prospect that the targets could be achieved.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	There is insufficient aggregated data available. The aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected. Additionally, based on past experience the achievement of outputs linked to multi-annual infrastructure projects occurs late in the period.

## Indicator 2: Total length of reconstructed or upgraded railway line

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total (European Regional and Development Fund)										
2014	Milestones								2023	
					272					3750
	Actual Progress								Final	
					412	562				
Total (Cohesion Fund)										
2014	Milestones								2023	
	0	0	0	0	226					2342
0	Actual Progress								Final	
	0	0	92	281	526	685				
TEN-T (European Regional and Development Fund)										
2014	Milestones								2023	
										1775
	Actual Progress								Final	
					143	139				
TEN-T (Cohesion Fund)										
2014	Milestones								2023	
										2342
0	Actual Progress								Final	
			92	281	526	685				

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	km
Cut-Off Date	31/12/2019
Data source	EC/Member States

Narrative	Scope of supported projects for the reconstruction of rail network. There is insufficient aggregated data to assess current achievements. Additionally, the aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected. On the other hand, similarly to new TEN-T railway lines, the level of project selection for reconstructed ones is more promising: projects representing nearly 3 000 km of railway lines for TEN-T were already selected/are forecast.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2028
Other methodological comments	ERDF and CF programmes contribute to the target. Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Moderate progress from 2018 to 2019, but in general insufficient aggregated data are available. Based on past experience the achievement of outputs linked to multi annual infrastructure projects occurs late in the period.

**Indicator 3: Total length of newly built roads**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total (European Regional and Development Fund)										
2014	Milestones									2023
					142					1421
	Actual Progress									Final
			8	168	454	786				
Total (Cohesion Fund)										
2014	Milestones									2023
0	0	0	0	0	62					1644
	Actual Progress									Final
	0	0	41	336	681	1035				
TEN-T (European Regional and Development Fund)										
2014	Milestones									2023
0					14					339
	Actual Progress									Final
				54	156	274				
TEN-T (Cohesion Fund)										
2014	Milestones									2023
0										1644
	Actual Progress									Final
			41	336	681	1035				

Are we on track	On track
Indicator type	Output
Unit of measurement	Kilometers
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Scope of supported projects for the building of new road network. By 2019, over 3.200 km of newly built roads were completed with support from regional funds. From 2018 to the 2019 figures now available, there has been a significant increase in this figure of 310% (739% for TEN-T projects), resulting in an achievement rate of approximately 59% (66% for TNT-T projects) against the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2029
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that the 2023 target will be met even if there is a slower increase in numbers than in recent years.

**Indicator 4: Total length of reconstructed or upgraded roads**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total (European Regional and Development Fund)										
2014	Milestones									2023
					1094					9370
	Actual Progress									Final
		3	212	714	2622	4303				
Total (Cohesion Fund)										

2014	Milestones								2023
0	112								611
	Actual Progress								Final
	24	274	406	501	592				
TEN-T (European Regional and Development Fund)									
2014	Milestones								2023
0	158								158
	Actual Progress								Final
			39	50	80				
TEN-T (Cohesion Fund)									
2014	Milestones								2023
0	611								611
	Actual Progress								Final
	24	274	406	501	592				

Are we on track	On track
Indicator type	Output
Unit of measurement	km
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Scope of supported projects for the reconstruction or upgrade of the road network. By 2019, over 5.500 km of roads were reconstructed or upgraded with support from regional funds. From 2018 to the 2019 figures now available, there has been a significant increase in this figure of 87% (1244% for TEN-T projects), resulting in an achievement rate of approximately 49% (87% for TNT-T projects) against the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2030
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that the 2023 target will be met even if there is a slower increase in numbers than in recent years.

#### Indicator 5: Total length of new or improved tram and metro lines

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										
2014	Milestones								2023	
0	150								266	
	Actual Progress								Final	
					11	27				
Cohesion Fund										
2014	Milestones								2023	
0	0	0	0	0	52					189
	Actual Progress								Final	
	0	0	0	6	53	74				

Are we on track	On track
Indicator type	Output
Unit of measurement	km
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Output of supported projects for tram and metro lines. By 2019, over 100 km of new or reconstructed tram and metro lines were completed with support from regional funds. From 2018 to the 2019 figures now available, there has been a significant increase in this figure of 927%, resulting in an achievement rate of approximately 22% against the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2030
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Strong trend. Projections show that the 2023 target will be met if the strong trend continues at least at a level of 65% increase rate.

#### Indicator 6: Total length of improved or created inland waterway

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
European Regional and Development Fund										

2014	Milestones								2023
0	542								650
	Actual Progress								Final
	345								442
Cohesion Fund									
2014	Milestones								2023
0									327
	Actual Progress								Final
	0		0		0		0		

Are we on track	On track
Indicator type	Output
Unit of measurement	km
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Scope of supported projects for the improved inland waterways. By 2019, over 440 km of improved or newly created inland waterways had been completed with support from the regional funds. From 2018 to the 2019 figures now available, there has been a significant increase of 128% in this figure, resulting in an achievement rate of around 45% against the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2031
Other methodological comments	ERDF and CF programmes contribute to the target.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. The forecasts show that the 2023 target will be reached, even if the figures increase more slowly than in recent years.

## Specific Objective 8 :Promoting sustainable and quality employment and supporting labour mobility

### Indicator 1:Employment increase in supported enterprises

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
0										397339
	Actual Progress									Final
	4052		11898		40490		108654		184529	

Are we on track	On track
Indicator type	Output
Unit of measurement	Jobs (FTE)
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Effects on employment in enterprises supported. By the end of 2019, over 184,500 jobs had been created in assisted enterprises. From 2018 to the 2019 figures now available, there has been a significant increase of 70% in this figure, resulting in an achievement rate of around 46% against the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	No milestone figure concerning indicator 1 above is included in the table above, as the programmes which include this indicator in the performance framework where milestones are set represent a small share of the total, which render the milestone value available not representative at EU level.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. The forecasts show that the 2023 target will be reached, even if the figures increase more slowly than in recent years.

## Specific Objective 9 :Promoting social inclusion, combating poverty and any discrimination

### Indicator 1:Population covered by improved health services

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
0	21866946									55502077
	Actual Progress									Final
	1590288		5552309		15256131		27458607		38716940	

Are we on track	On track
-----------------	----------

Indicator type	Output
Unit of measurement	Persons
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outreach of supported projects for health care facilities. In 2019, over 38.7 million people were covered by improved health services thanks to support from Cohesion Funds. From 2018 to the 2019 figures now available, there has been a significant increase of 41% in this figure, resulting in an achievement rate of around 70% against the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will report a variation on the indicator in 2021-2027
Other methodological comments	Aggregate target is not considered robust and likely to be exceeded due to difficulties forecasting ex ante the population covered by projects later selected.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Very strong trend. Projections show that the 2023 target will be met, even if the numbers increase at a slower rate than in recent years. In addition, the overall target is not considered robust and is likely to be exceeded due to the difficulty in forecasting ex ante the population covered by the later selected projects. Finally, the measures related to the Corona pandemic response will help to raise these numbers further above the target.

### Indicator 2: Open space created or rehabilitated in urban areas

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
					3350732					29814495
	Actual Progress									Final
			42410	1056066	5254854	9582496				

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Square metres
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Measurement of the scope of supported open spaces in urban areas. By 2019, over 9.5 million square metres of open space had been created or redeveloped in urban areas with the help of regional funding. Looking at the current figures, a significant increase of 82% is recorded between 2018 and 2019. However, this only leads to an overall achievement rate of about 32% compared to the 2023 target. In other words, the current figures are still significantly below the set target. On the other hand, the level of project selection is much higher (projects representing over 42 million m2 were already selected/are forecast), raising the prospect that the targets could be achieved.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Moderate progress. Projections show that we need to maintain the current rates of increase per year in order to still reach the set target. This is a challenge, especially given the general decline in growth rates in recent years.

### Indicator 3: Public or commercial buildings built or renovated in urban areas

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
					164870					2438758
	Actual Progress									Final
			6079	69339	277935	514323				

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Square metres
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outreach of supported projects renovation the urban building stock. Until 2019 over 500,000 square metres of public or commercial buildings were build or renovated with the support of regional funding. Looking at the current figures, a significant increase of 85% is recorded between 2018 and 2019. However, this only leads to an overall achievement rate of about 21% compared to the 2023 target. In other words, the current figures are still significantly below the set target. On the other hand, the level of project selection is promising: projects representing over 2.6 million m2 were already selected/are forecast.

Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will not report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Weak trend. Projections show that we need to maintain the current increase rates per year to still reach the set target. This is a challenge that seems difficult to achieve, especially given the general decline in growth rates over the years. With an expected increase in the dynamics of financing and demand for financing in the post-COVID-19 years, such growth rates are not unrealistic. However, it is likely that such a trend will not become visible until 2022-23.

**Indicator 4: Rehabilitated housing in urban areas**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
					2767					23699
	Actual Progress									Final
				289	1837	3354				

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Housing Units
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outreach of supported projects for housing services. Until 2019 around 3 350 housing units have been rehabilitated in urban areas with the support of regional funding. Looking at the current figures, a significant increase of 83% is recorded between 2018 and 2019. However, this only leads to an overall achievement rate of about 14% compared to the 2023 target. In other words, the current figures are still significantly below the set target. On the other hand, the level of project selection is promising: projects representing nearly 21 000 housing units were already selected/are forecast.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will not report the indicator in 2021-2027
Other methodological comments	
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	At risk of underachievement. Projections show that we need to increase rates per year even above the current level (around 90%) to still reach the set target. This is a challenge that seems difficult to achieve, especially given the general decline in growth rates over the years. With an expected increase in the dynamics of financing and demand for financing in the post-COVID-19 years, such growth rates are not unrealistic. However, it is likely that such a trend will not become visible until 2022-23.

**Specific Objective 10 :Investing in education, training and vocational training for skills and lifelong learning****Indicator 1:Capacity of supported childcare or education infrastructure**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
							6900747			6953900
	Actual Progress									Final
		2663	32642	166450	6799156	15550946				

Are we on track	On track
Indicator type	Output
Unit of measurement	Places
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outreach of supported projects for enhancing access to education infrastructures. In 2019, over 15.55 million places were created in childcare and education facilities thanks to support from the regional funds. From 2018 to 2019, there has been a significant increase in numbers (129%), resulting in an achievement rate of around 224% against the 2023 target.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	No milestone figure concerning this indicator associated with specific objective 10 is included in the table above, as the programmes which include this indicator in the performance framework where milestones are set represent a small share of the total, which render the milestone value available not representative at EU level.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>

Justification of the trend	Outperform. Projections show that the 2023 target will be exceeded by over 241%, even if the numbers drop off at a similar rate as in recent years.
----------------------------	---

## Specific Objective 11 :Enhancing institutional capacity of public authorities and stakeholders and an efficient public administration

### Indicator 1:Population living in areas with integrated urban development strategies

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2023
0	Actual Progress									44187669
	136330	136330	6278313	9979459	16017698	19186206				Final

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Persons
Cut-Off Date	31/12/2019
Data source	EC/Member States
Narrative	Outreach of supported projects for integrated urban development. By 2019, over 19.1 million persons benefitted from living in areas with integrated urban development strategies supported by regional funding. Looking at the current figures, an increase of 20% is recorded between 2018 and 2019. However, this only leads to an overall achievement rate of about 42% compared to the 2023 target. In other words, the current figures are still significantly below the set target. On the other hand, the level of project selection is promising: projects representing almost 40 million persons were already selected/are forecast.
Methodology	Collected from supported operations
Link MFF 14-20 / MFF 21-27	We will continue to report the indicator in 2021-2027
Other methodological comments	No milestone figure concerning indicators 1 above is included in the tables above, as the programmes which include this indicator in the performance framework where milestones are set represent a small share of the total, which render the milestone value available not representative at EU level.
Full metadata available at this address	<a href="https://cohesiondata.ec.europa.eu/d/xiq3-56nq">https://cohesiondata.ec.europa.eu/d/xiq3-56nq</a>
Justification of the trend	Moderate trend. Projections show that we need to increase the current increase rates per year in order to still reach the set target. This is a challenge, especially given the general decline in growth rates in recent years.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
17 473,7	12 747,5	11 206,9	11 595,8	11 996,5	12 409,6	12 836,6	90 266,6

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

	2021 estimates	2022-2027 programming						Total (in million EUR)
	2021	2022	2023	2024	2025	2026	2027	
Cohesion Fund	1.737,41	1.799,88	1.864,23	1.935,45	2.008,94	2.084,78	2.163,34	13.594,04
ERDF	8.772,08	9.053,35	9.342,66	9.660,34	9.987,57	10.324,88	10.673,30	67.814,17
REACT EU	6.964,18	1.894,26	0	0	0	0	0	8.858,43
<b>TOTAL</b>	<b>17.473,67</b>	<b>12.747,49</b>	<b>11.206,88</b>	<b>11.595,79</b>	<b>11.996,50</b>	<b>12.409,66</b>	<b>12.836,64</b>	<b>90.266,64</b>

The ERDF and CF are important contributors to the overall EU tracking target - 20% of the EU budget 2014-2020 – given the scope of their objectives and the scale of their total budgets. Cohesion policy funding is delivering more than EUR 51 billion in investment in climate action in the 2014-2020 period (i.e. almost 20 % of the total ERDF/CF planned budget). With the

establishment of a legally binding budget share for climate-related investments of 30% for the ERDF and 37% for the CF, the ambitions for the period 2021-2027 in this area have even increased.

In order to support the delivery on the ground of the European Green Deal, we need to be in close partnership with regions and cities. Cohesion policy is expected to invest more than EUR 78.2 billion in projects related to climate and environment over the next 7 years (2021-2027) in this partnership approach. The draft regulation sets out that “[t]he ERDF and the Cohesion Fund shall contribute with 30% and 37% respectively of the Union contribution to expenditure supported for the achievement of the climate objectives set for the EU budget”. Based on these values, we estimate an annual share of 30% and 37% of Union contributions for this area. A more detailed projection will be possible only once the programming of the funds at national and regional level is more advanced.

The methodology used for tracking the ERDF and CF contribution to mainstreaming of climate action in 2022 remains stable and coherent with last year's programme statement. Based on the categories of intervention reported directly by the Member States, REGIO identifies the relevant financial allocations and tracks financial implementation as reported from the Member State level and the amounts can be explored using this [Climate tracking tool](#).

With regard to the 2014-20 programmes, the tracking of the contribution of ERDF and CF to the mainstreaming of climate action is done through the weighting of selected thematic allocations (100%-40%-0%) in the Member States' funding priorities reflected by the categories of intervention, which is then expressed as a percentage of the budget to be made available by year (latest data is for 2020).

### 6.1.3. Key achievements

Relevant objective/output	Budget 2020	Total 2014-20
II Productive investment	€ 5	€ 29.20
II Infrastructure providing basic services and related investment: Energy infrastructure	€ 2,695	€ 19,994.69
II Infrastructure providing basic services and related investment: Environmental infrastructure	€ 106	€ 1,454.64
II Infrastructure providing basic services and related investment: Transport infrastructure	€ 486	€ 8,831.79
II Infrastructure providing basic services and related investment: Sustainable transport	€ 587	€ 5,782.20
IV Development of endogenous potential: Research and development and innovation	€ 130	€ 782.42
IV Development of endogenous potential: Business development	€ 553	€ 3,488.18
IV Development of endogenous potential: Environment	€ 1,129	€ 10,497.61
IV Development of endogenous potential: Other	€ 2	€ 14.20
<b>Total</b>	<b>€ 5,693</b>	<b>€ 50,874.92</b>
		In million

At the end of 2019 the ERDF and CF share of the EU planned support allocated to climate action was over 21% of the combined budget of the funds (EUR 55.2 billion). By end 2020, the ERDF and CF climate action share had fallen to almost 20% as a result of the reallocations linked to the CRII(+) initiative to support the pandemic response, in particular to reinforcing allocations to the immediate public health response and support to SMEs. Under the adopted REACT-EU initiative the objective is that 25% of the additional EU financing be committed to climate action, which should redress the reduction in 2020 linked to the immediate pandemic response.

The high share of ERDF and CF resources allocated and tracked for climate action have led to the selection of indicators and target values and leads to annual reporting on progress in implementation. The most relevant common indicators presented in detail in section 5 above are as follows:

- Specific Objective 4 : Low carbon economy  
Indicators on new renewable energy capacity, GHG emission reductions, energy savings
- Specific Objective 5: Climate action  
Indicators on population benefitting from climate related risks (wild fires and floods)
- Specific Objective 7: Network Infrastructure  
Indicators on rail investments

The following example shows how climate protection and regional development can go hand in hand.

#### A French municipality in Bourgogne at the forefront of the energy transition

The project involves the installation of a wood chip boiler to power the town hall, the school and a business in Venizy, a small municipality located in the Bourgogne-Franche-Comté region. The heating systems of the communal buildings, which ran on fuel oil, accounted for a significant budget. On the recommendations of a feasibility study, the municipality of Venizy installed a wood chip boiler.

The new boiler room saves more than 50% of the costs related to heating and domestic hot water. The substituted fossil energy is equal to 20 tonnes of oil equivalent (TEP) per year and the fossil CO<sub>2</sub> avoided corresponds to 63 tonnes per year. In addition, this boiler room makes it possible to develop the local wood resource and to perpetuate an agricultural group operating jointly in the wood sector.

Total investment for the project ‘Installation of a wood chip boiler’ is EUR 277 347; the European Regional Development Fund contribution is EUR 133 451.

### 6.1.4. Performance

Of the eleven indicators relevant for Climate mainstreaming (Specific Objectives 4, 5 and 7), nine show a strong trend in terms of achieving their 2023 targets. The only indicator that underperforms relates to the deployment of smart grids, an area of intervention characterised by complex planning and long project cycles. Overall, performance on the climate-related indicators can be described as satisfactory.

Performance on the following indicators underlines this trend:

- Until 2019, an increase over 2000 MWh of additional capacity of renewable energy production was achieved thanks to regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 131%. However, this results in an achievement rate of only approximately 29% compared to the 2023 target. Nevertheless, projections show that we will reach the 2023 target even if the general downward trend of recent years continues.
- A decrease of over 1.2 billion kWh of annual primary energy consumption of public buildings was achieved with the help of regional funding. From 2018 to the 2019 figures now available, there has been a significant increase of 413%.
- By 2019, a reduction of over 2.9 million tons of CO<sub>2</sub> equivalent per year had been achieved with the help of regional funds. From 2018 to the 2019 figures now available, there has been a significant increase of 152%. However, this results in an achievement rate of only about 14% compared to the 2023 target. Although the current numbers remain well below the set target, the projections show that we can achieve the 2023 target even if the slower increase in numbers we have seen in recent years continues or intensifies.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
1 696,8	2 050,0	2 424,1	2 826,1	3 252,6	3 704,7	4 183,9	20 138,2

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

Europe is currently not on track to halt biodiversity loss. The underlying causes (e.g. urban sprawl, intensive agriculture, pollution and invasive species) will probably persist, and the impact of climate change is projected to intensify. Cohesion policy investments support the EU's nature and biodiversity policies, for instance by strengthening the Natura 2000 network of protected areas. Such investments also contribute to EU objectives in the fields of water quality, air quality and climate change adaptation, which in turn are important for regional development.

The methodology used for estimating ERDF and CF contribution to financing biodiversity in 2022 remains stable and coherent with last year's programme statement and the values presented in this [Biodiversity tracking tool](#). Based on the categorisation of the planned and implemented expenditure reported directly by the Member States, DG REGIO calculates the relevant financial allocations based on weighting agreed with expert Commission services (no target was set in legislation).

At the level of the 2021-2027 MFF the overall objective is to provide 7.5% of annual spending under the MFF to biodiversity objectives in the year 2024 and 10% of annual spending under the MFF to biodiversity objectives in 2026 and 2027.

Based on the 2014-2020 planned values (end 2020) the share of the total ERDF and CF budget allocated to biodiversity related activities is 4%. At this early stage of programming, precise figures on future commitments are not available, and a more reliable projection will only be available when programming of the 2021-2027 funds is further advanced. Maintaining at least the 4% share for the 2021-2027 period would result in a total allocation of EUR 10 billion to biodiversity objectives from ERDF and the Cohesion Fund. The Commission will work with the Member States during the programming towards securing a higher share of cohesion policy funding to biodiversity activities, than in the 2014-2020 period.

### 6.2.3. Key achievements

Relevant objective/output	Budget 2020	Total 2014-20
II Infrastructure providing basic services and related investment: Environmental infrastructure	€ 560.19	€ 3,920
IV Development of endogenous potential: Environment	€ 1,010.97	€ 6,434
<b>Total</b>	<b>€ 1,571.16</b>	<b>€ 10,354</b>

In million

In the investment framework of the 2014-2020 period, Member States have allocated EUR more than EUR 10.3 billion to this area. National financing adds to this, and leverages additional private funding. Cohesion policy is complemented by other EU funding sources, such as LIFE. As a result almost 6 million hectares – roughly the size of Latvia – of habitats are supported in order to attain a better conservation status (for more details - see the section on Specific Objective 6).

#### Former gravel mines turned into nature reserve in Poland

When mines near the town of Stary Sącz, in Poland's Malopolskie region shut down in the 1990s, they left behind gravel pits that had a lasting impact on two rivers. With the help of EU funding, local authorities restored the area and transformed a section of it into a nature reserve designed to be enjoyed by all.

The 'Bobrowisko' Nature Enclave includes 400 m of new paths that cross the flood plains at the fork of the Dunajec and Poprad rivers. The pathways avoid the most biologically diverse areas, to conserve the natural environments, but include observation points along the route, allowing nature lovers to take in the unique wildlife and flora. A mobile application encourages locals and tourists to enjoy the area using maps and an audio guide for visually impaired people.

Total investment for the project "The "Bobrowisko" Nature Enclave" is EUR 366 060, with the EU's European Regional Development Fund contributing EUR 307 743.

#### 6.2.4. Performance

The allocation of ERDF and CF resources to biodiversity actions have led to the selection of indicators and target values and leads to annual reporting on progress in implementation. The most relevant common indicator presented in detail in section 5 above is funded under Specific Objective 6: Environment - "Area of habitat with improved status".

The key areas of investment lie in two categories, i.e. (i) protection and enhancement of biodiversity, nature protection and green infrastructure and (ii) protection, restoration and sustainable use of Natura 2000 sites.

However, the full range of investments that are indirectly related to biodiversity reach more than EUR 10.3 billion once the allocations to three other related interventions, indicated below, are taken into consideration:

- waste water treatment
- adaptation to climate change, prevention and management of climate risks
- development and promotion of tourism potential of natural areas

Strong performance is evident in these areas:

- By 2019, nearly 3 million additional people had been served by improved wastewater treatment with the help of regional funds. From 2018 to the 2019 figures now available, there has been an increase of 92%, resulting in an achievement rate of approximately 17% against the 2023 target. Despite the low overall attainment rate, programs are on track to meet their 2023 objective, projections show that we will reach the 2023 target even if the deceleration in the increase in numbers that we have seen in recent years remains.
- By 2019, nearly 6 million hectares of habitats have achieved better conservation status with support from regional funds. From 2018 to the 2019 numbers now available, there has been a significant 112% increase in this number, resulting in an achievement rate of about 70% over the 2023 target. Projections show that the 2023 target will be met even if there is a slower increase in numbers than in recent years.

### 6.3. Contribution to clean air financing

#### 6.3.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
3 868,7	3 994,8	4 124,6	4 267,3	4 414,2	4 565,8	4 722,4	29 957,8

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.3.2. Explanation and justification on the financial contribution

Clean air is essential to our health and to the environment. But as a result of rising industrial and energy production, the burning of fossil fuels and biomass, as well as the dramatic rise in traffic on our roads, our towns and cities suffer from air pollution.

Investing in the reduction of air pollution therefore not only fosters human wellbeing and supports the protection of natural resources, but also makes economic sense and contributes to regional development.

Cohesion policy, through the ERDF and the CF, supports European regions and Member States in their efforts to reach the European clean air targets set for 2030. In the 2014 – 2020 period the policy has allocated more than EUR 29.7 billion to investments directly aimed at reducing pollution.

The methodology used for estimating the ERDF and CF contribution to financing clean air was introduced in 2020 through this [Clean air tracking tool](#). Based on the categorisation of the planned and implemented expenditure reported directly by the Member States, DG REGIO tracks the relevant financial allocations based on weightings in line with the common methodology established via the NEC Directive 2016/2284 (no target was set in the 2014-2020 regulation).

Cohesion policy investments contribute to improving air quality, for instance through reconstruction of building heating systems or clean urban transport infrastructure. Over 11% of the ERDF planned allocation for the 2014-2020 period contributes to improved air quality. REGIO tracks the cumulative amounts allocated since the start of the programming period.

Based on the 2014-2020 planned values we have projected an estimated annual share of 11% of ERDF and CF contributions for clean air over the entire period 2021-2027. A more reliable ERDF and CF projection will be possible when the programming of the 2021-2027 funds is more advanced. Projections show that cohesion policy will contribute an additional EUR 30 billion to improving air quality between 2021 and 2027.

The methodology used for estimating ERDF and CF contribution to clean air in 2021 and 2022 remains stable and coherent with last year's programme statement.

In the 2021-2027 period the ERDF thematic concentration requirement on policy objective 2 (a greener, low-carbon transitioning towards a net zero carbon economy and resilient Europe) and the thematic focus of the CF will ensure that substantial funding will be allocated to measures that contribute to reducing air pollution and to reach the European clean air targets set for 2030. Based on the 2014-2020 values we have projected an estimated annual share of 12% of Union contributions for this area. A more reliable projection will be possible when the programming of the funds is more advanced.

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
167,3	172,8	178,4	184,5	190,9	197,5	204,2	1 295,6

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

Gender equality is a horizontal principle of the ERDF and CF (including REACT-EU) in the 2014-2020 and the 2021-2027 period. This means that gender equality and a gender perspective are taken into account and promoted throughout the preparation and implementation of the programmes. Bodies responsible for promoting social inclusion, fundamental rights, gender equality and non-discrimination are among the key partners who have to be involved by Member States and the Commission in the partnership process.

For the 2021-2027 period, the legal requirements as regards gender equality have been further strengthened in two ways. First, a new funding precondition for Member States, called enabling condition, was introduced on ensuring the effective application of the EU Charter on Fundamental rights, containing also the requirement on equality between men and women; and the enabling condition related to gender equality was further strengthened. Second, gender tracking system was proposed for the ERDF and CF which will allow for better monitoring of the investments related to gender equality.

The ERDF directly contributes to gender equality by improving the quality and access to childcare and by improving business support measures for women entrepreneurs. Data are available only for early childhood education and care infrastructure with EUR 1.3 billion being programmed in the 2014-2020 period. ERDF and CF investments also contribute to gender equality indirectly through improvements in education, research, business, health and other infrastructure, enhancing opportunities for women. Examples include ERDF projects supporting women entrepreneurship, return of women to labour market, reproductive health, equality in employment for women in specific (traditionally male) sectors and others.

#### **Building gender equality into urban planning in seven European cities**

Seven European cities are exchanging best practices to ensure their policies, services and development are gender equal, thanks to the URBACT action planning network project Gendered Landscape. The aim is to redefine cities as places that embody and reinforce gendered power structures.

Working in Umeå, Sweden; Frankfurt, Germany; Trikala, Greece; Barcelona, Spain; La Rochelle, France; Panevezys, Latvia; and Celje, Slovenia, the project is creating awareness among urban planners and decision makers about how gendered power structures are perpetuated in cities and then to use this knowledge to make their policies and services gender equal.

Total investment for the project "GenderedLandscape - Gender + Equal + Cities" is EUR 749 400, with the EU's European Regional Development Fund contributing EUR 572 700.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

*SDG 3 Ensure healthy lives and promote well-being for all at all ages*

#### **SDG 3**

In 2019, the **development of social service infrastructure** in Akmenė District Municipality was completed. The care centre building was repaired and adapted to its activities. As a result of this project, 25 places for social service recipients were

established. The ERDF investment was used to target and effectively promote a sense of belonging to the community. The establishment of the day care centre increased the accessibility of social services for disabled people and created favourable conditions for their integration into society.

The project budget amounts to EUR 171,149.52, of which the ERDF contribution was EUR 114,219.76.

#### *SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all*

##### **SDG 4 and SDG 8**

The **House of Digitalisation** is a regional ecosystem in the field of digitalisation to promote education and training, science, industry and administration in the region of Lower Austria. Its objective is to provide cross-sectoral support to the domestic industry to increase the speed and efficiency of its digital transformation. During the COVID-19 lockdown, House of Digitalisation project supported regional companies in strengthening their online trading opportunities. The mobile application, developed by the students in Lower Austria allowed small shops to quickly and easily enter online retailing and keep in touch with the customers. The ERDF contribution amounts to EUR 1.2 million.

#### *SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all*

##### **SDG 7, SDG 11 and SDG 13**

**Poland rolling out smart grid infrastructure.** To enhance the effectiveness and security of the electrical energy distribution network in seven Polish provinces: Łódzkie, Wielkopolskie, Zachodniopomorskie, Kujawsko-Pomorskie, Mazowieckie, Pomorskie, Warmińsko-Mazurskie, energy distribution system operator Energa implemented smart grid infrastructure. The project reduces energy consumption and allows residents to see in real time how much electricity they are using. This is Poland's largest project for developing smart electricity distribution networks. Other advantages of the project are enhanced resistance to extreme weather and better options for connecting to more sustainable energy sources. For the 2 980 422 inhabitants connected to the new smart grids, this means less network failures, increased security of supply, and a better quality of life. The project is considerably improving the efficiency of energy distribution in Poland. In total, the new smart grid system is expected to reduce primary energy consumption by 1 054.11 GJ/year, resulting in savings of 97.60 MWh/year.

Total investment for the project is EUR 56 040 808 (PLN 240 600 300), with the EU's CF contributing EUR 38 725 408 (PLN 166 260 000).

#### *SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*

##### **SDG 8, SDG 9 and SDG 11**

**Passenger trains returned to the Lewki-Hajnówka route after 25 years.** The inhabitants of five localities, located along railway line no. 52, got access to railways, which will allow for daily commuting to school and work to Białystok and Bielsk Podlaski, whereas tourists – better access to the Białowieża Forest area, which is a popular tourist destination. To increase the safety along the 27 km route 22 railroad crossings were refurbished. One new stop has been built and 5 closed stops have been refurbished and reopened. The train stops were equipped with modern security systems, bicycle stands, modern platforms and wheelchairs ramps for people with reduced mobility.

Total investment for the project is EUR 26,136,077, with the EU's ERDF contributing EUR 16,821,915.

#### *SDG 13 Take urgent action to combat climate change and its impacts*

##### **SDG 13 and SDG 15**

**In Centro Region (Portugal), part of an urban coast (in Torres Vedras) was protected against the risk of sea level rise,** which causes instability in the cliffs in an urban context, thereby protecting and safeguarding the safety of people (around 8.530 citizens) and property from the effects caused by coastal erosion.

Of the total eligible costs of EUR 2.210.798 contribution from the CF amounted to EUR 1.936.643.

## **6.5.2. Key achievements and performance**

The cohesion policy funds (ERDF, CF, ESF) are contributing substantially - 95% of the planned financial resources (2014-2020) supports the achievement of 11 SDGs (out of the total 17 SDGs).

The 2021-2027 cohesion policy will enable the EU to continue to deliver on the 2030 Agenda for Sustainable development and will help further the localisation of the SDGs, since the policy is delivered in close cooperation with regions and local authorities. In this regard, cohesion policy is also a key tool to promote social inclusion, while fighting poverty and discrimination.

REGIO maps the contribution of its funds to the SDGs along and on the basis of the intervention codes that each Member State provide along with the data of its programs. On this basis, an estimate of the use of funds can be reliably made. Such mapping is only possible if the programming of the programmes provides sufficiently clear data on the allocation of funds. As stated several times in this programme statement, a reliable estimation of the allocation of funds along the programme data will be possible in PS 2023.

In the section below, we are presenting a list of those SDGs that are of key relevance for the 2014-2020 programmes. It is reasonable to assume that this list will apply in the same way to the programs for the 2021-2027 period.

#### ERDF and CF investment mapped to relevant SDGs (at end 2020)

In million EUR

SDG	SDG NAME	Planned Total Amount (EU+National)	Total Eligible Costs selected	Rate of selection (%)	% of total	Selection rate (change vs 2019)	Total Eligible Costs selected (change vs 2019)
SDG1	No poverty	€ 9,840.69	€ 9,746.49	99%	3%	22%	110%
SDG3	Good health and well being	€ 14,583.29	€ 12,310.43	84%	3%	-17%	190%
SDG4	Quality education	€ 9,566.70	€ 10,936.13	114%	3%	20%	124%
SDG6	Clean water and sanitation	€ 17,198.53	€ 21,762.01	127%	6%	23%	112%
SDG7	Affordable and clean energy	€ 34,547.21	€ 37,276.79	108%	10%	33%	510%
SDG8	Decent work and economic growth	€ 73,315.74	€ 88,751.00	121%	23%	21%	127%
SDG9	Industry, innovation, infrastructure	€ 138,272.24	€ 157,100.85	114%	40%	19%	112%
SDG11	Sustainable cities and communities	€ 6,833.45	€ 5,961.03	87%	2%	4%	141%
SDG12	Responsible consumption and production	€ 7,597.50	€ 7,650.57	101%	2%	24%	27%
SDG13	Climate action	€ 8,989.42	€ 10,890.99	121%	3%	26%	117%
SDG15	Life on land	€ 9,438.78	€ 8,211.81	87%	2%	18%	121%
	No SDG assigned	€ 20,015.26	€ 19,121.40	96%	5%	13%	113%
<b>Total ERDF+CF (EU+National)</b>		€ 350,198.80	€ 389,719.49	111%	100%	19%	119%

(1) Due to the overlap among SDGs, SDG11 and SDG13 are underestimated (a significant share of investments assigned to SDG6, SDG9 and SDG12, for instance, are planned for urban areas and investments in SDG7 are relevant for climate action).

Cohesion policy's overall mission to reduce economic, social, and environmental territorial disparities between the EU regions is largely in line with the principles underpinning the SDGs, which allows for an assessment of how the Policy contributes to them.

In the long term, cohesion policy contributes to *reducing inequality within and among countries* (SDG10). The overarching mission of the funds is to *reduce economic, social, and environmental territorial disparities between the EU regions*. It can be deduced that cohesion policy aims at contributing to SDG 10 in the medium to long term. However, its contribution to SDG10 cannot be quantified on the basis of monitoring data, but must be assessed through evaluations. Based on monitoring data, it is, nonetheless, possible to reliably estimate and assess how cohesion policy, across all its funds, contributes to the thematic chapters of the SDGs, as explained below.

The distribution of investments across the SDGs is shown in the table above. Here it can be seen that more than 70% of the investments are allocated and invested for the goals "affordable and clean energy" (SDG7), "decent work and economic growth" (SDG8) and "industry, innovation, infrastructure" (SDG9). In terms of implementation by December 2020, project selection data shows significant progress, with selection rates just below 100% of planned allocation for almost all SDGs. Only SDG 3, SDG 11, and SDG 15 have rates below 90%. However, compared to last year's data a steep increase of fund allocation for SDG 3 (health) and SDG 7 (climate) becomes apparent.

As explained in other parts of the statement, the shift in funding can be explained in part by a shift in priorities at the Member State level that occurred particularly during the pandemic. However, the significant increase in investments under SDG 7 cannot be explained by the pandemic alone, but could be a result of the Commission's new priorities and the increased emphasis on green aspects of future investments. On the other hand, the overall share of 10% for SDG 7 remains moderate compared to other chapters, considering that SDG 7 also accounts for the lion's share of total climate investments. The undeniable trend away from investing in *responsible consumption and production (SDG 12)* shows, on the other hand, points to the side effects of such policy changes.

It is expected that with the new flexibility under CRII(+), rates for SDG 3 (Good Health and Wellbeing) in particular will increase.

Section 6.5.1. serves as a pool of examples for the variety of the different projects funded under cohesion policy and their contribution to the different SDGs.

**HEADING 2B: Resilience and Values****Support to the Turkish Cypriot Community****Lead DG: REFORM**

1. Overview .....	449
1.1. Challenges .....	450
1.2. Mission (general objectives) .....	450
1.3. Specific objectives .....	450
1.4. Public intervention context .....	450
1.5. Actions .....	450
1.6. Delivery mode .....	451
1.7. Graphic overview of the programme structure .....	451
1.8. Legal basis and financial programming .....	451
1.9. Link with the 2014-2020 MFF .....	452
1.10. Relevant websites providing more information .....	452
2. Where are we in the implementation ? .....	452
2.1. Programme 2021-2027 .....	452
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	452
3. How is the programme performing ? .....	453
3.1. Performance .....	453
3.2. Key achievements .....	456
3.3. Evaluations, studies and reports .....	459
4. Programme 2021-2027 - Key monitoring indicators .....	459
Specific Objective 1 : the promotion of social and economic development including restructuring, in particular concerning rural development, human resources development and regional development .....	459
Specific Objective 2 :the development and restructuring of infrastructure, in particular in the areas of energy and transport, the environment, telecommunications and water supply .....	460
Specific Objective 3 :reconciliation, confidence building measures, and support to civil society .....	460
Specific Objective 4 :bringing the Turkish Cypriot community closer to the Union, through inter alia information on the European Union's political and legal order, promotion of people to people contacts and Community scholarships .....	461
Specific Objective 5 :preparation of legal texts aligned with the <i>acquis communautaire</i> for the purpose of these being immediately applicable upon the entry into force of a comprehensive settlement of the Cyprus problem .....	461
Specific Objective 6 :preparation for implementation of the <i>acquis communautaire</i> in view of the withdrawal of its suspension in accordance with Article 1 of Protocol No 10 to the Act of Accession.....	461
5. Programme 2014-2020 - Key monitoring indicators .....	461
Previous Program 1 : Instrument of financial support for encouraging the economic development of the Turkish Cypriot community and amending Council Regulation (EC) No 2667/2000 on the European Agency for Reconstruction .....	461
Specific Objective 1 :To facilitate the reunification of Cyprus by encouraging the economic development of the Turkish Cypriot community with particular emphasis on the economic integration of the island, on improving contacts between the two communities and with the EU, and on preparation for the <i>acquis communautaire</i> . .....	461
6. The programme contribution to horizontal policies .....	463
6.1. Contribution to climate mainstreaming .....	463
6.2. Contribution to biodiversity mainstreaming.....	464
6.3. Contribution to clean air financing.....	464
6.4. Contribution to gender equality .....	464
6.5. Contribution to the sustainable development goals.....	464

**1. Overview**

## 1.1. Challenges

The Aid Programme aims to facilitate the reunification of Cyprus by encouraging the economic development of the Turkish Cypriot community.

Revision of the programme can only occur in the case where a reunification is achieved during the MFF period (in the absence of this, no major changes of strategy can be made)

## 1.2. Mission (general objectives)

The programme is the only EU funding for the Turkish Cypriots, who are EU citizens. There is very little assistance from individual Member States due to difficult legal and political circumstances in the de-facto divided island. The EU programme supports reunification efforts and prepares the Turkish Cypriots for the lifting of the suspension of the application of the acquis in those areas of the Republic of Cyprus in which the Government of the Republic of Cyprus does not exercise effective control. The EU contribution, in supporting the political process, economic integration and improved living standards, is vital. Economic development of the Turkish Cypriot community in order to facilitate the reunification of Cyprus is mentioned very prominently in the Aid Regulation.

## 1.3. Specific objectives

The Aid Regulation was adopted in 2006. On this basis, the Commission continues to deliver assistance to facilitate the reunification of Cyprus by encouraging the economic development of the Turkish Cypriot community, and by working under six objectives:

- Objective 1: Developing and restructuring of infrastructure;
- Objective 2: Promoting social and economic development;
- Objective 3: Fostering reconciliation, confidence building measures, and support to civil society;
- Objective 4: Bringing the Turkish Cypriot community closer to the EU;
- Objective 5 and 6: Preparing the Turkish Cypriot community to introduce and implement the acquis, in view of the withdrawal of its suspension in accordance with Article 1 of Protocol No 10 to the Act of Accession.

Specifically, the Aid Programme contributes significantly through support to private sector development, facilitating the involvement of the World Bank and the European Bank for Reconstruction and Development, and human capital development. Measures to be financed under the Aid Programme are exceptional and transitional in nature and are intended, in particular, to prepare and facilitate, as appropriate, the full application of the EU acquis in the areas where the Government of the Republic of Cyprus does not exercise effective control, in view of the withdrawal of its suspension in accordance with Article 1 of Protocol No 10 to the Act of Accession, following a solution to the Cyprus problem.

The Aid Programme remains ready to accommodate developments in the settlement process and to finance confidence-building measures resulting from this process.

## 1.4. Public intervention context

The assistance programme is of an exceptional, transitional and temporary nature, aiming to facilitate the reunification of Cyprus. The Aid Regulation has no end date. Revision of the programme can only occur in the case a reunification is achieved during the MFF period (in the absence of this, no major changes of strategy can be made).

## 1.5. Actions

The assistance is implemented through direct and indirect management, taking account of the different types of constraints. Recently, innovative mechanisms on delivering aid have been initiated with the purpose of bringing coherence and streamlining priority infrastructure actions (Local Infrastructure Facility), improving the entrepreneurship ecosystem through enhanced linkages between research and business (Innovative Entrepreneurship), and supporting the bi-communal Technical Committees to carry out their activities more effectively. The underlying aim is to bring more tangible and visible impact in the priority areas with an annual programming resulting in a streamlined and compact set of actions.

Several infrastructure investments, with a strong environmental and bi-communal focus, are under implementation and will continue to be programmed through the Local Infrastructure Facility and/or through targeted direct interventions. Continued support is provided for strengthening the private sector and labour market, with an emphasis on innovation and increasing employability. Likewise, concrete measures have been put in place aimed at eradicating animal disease and improving food safety standards. The 'confidence building measures' (support for the Committee on Missing Persons and for the Technical Committee for Cultural Heritage) have shown solid progress and good bi-communal acceptance. Two new Green Line crossing points, specifically requested as a confidence building measure were opened in 2018 and in July 2019. The Commission played an active role in

reaching a technically acceptable solution to both communities on the interoperability of mobile phones across the island. Intensive efforts continue on the preparation for the implementation of the acquis.

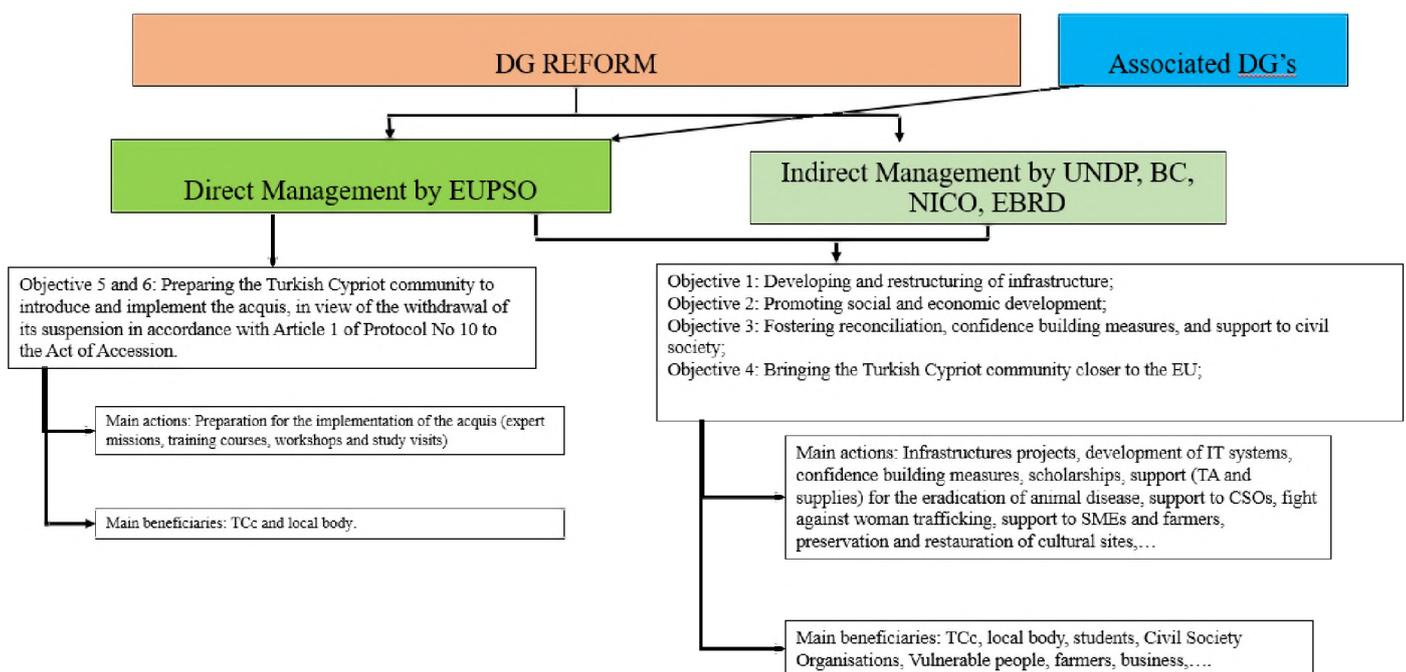
The Aid Programme remains ready to accommodate developments in the settlement process and to finance confidence-building measures resulting from this process

The EU contribution, in supporting the political process, economic integration and improved living standards, will be vital.

### 1.6. Delivery mode

DG REFORM is the lead service for the programme implementation. The programme is implemented through direct management (procurement contracts and grants) and indirect management (contribution agreements with International Organisations and Member State Agencies).

### 1.7. Graphic overview of the programme structure



### 1.8. Legal basis and financial programming

#### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Council Regulation (EC) No 389/2006 of 27 February 2006 establishing an instrument of financial support for encouraging the economic development of the Turkish Cypriot community and amending Council Regulation (EC) No 2667/2000 on the European Agency for Reconstruction	2021 - 2027	193,0

#### 1.8.2. Legal basis explanation

Council Regulation (EC) No 389/2006 and amending Council Regulation (EC) No 2667/2000

The assistance programme is of an exceptional, transitional and temporary nature, aiming to facilitate the reunification of Cyprus.

The Aid Regulation reflects this particularity. It has been adopted in 2006 and remains in force until a comprehensive settlement of the Cyprus problem.

#### 1.8.3. Financial programming table

Financial Programming (EUR million)
Support to the Turkish Cypriot Community

	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>32,0</b>	<b>33,3</b>	<b>33,6</b>	<b>34,3</b>	<b>35,0</b>	<b>35,7</b>	<b>36,2</b>	<b>240,0</b>

#### 1.8.4. Financial programming explanation

The programming of the financial assistance under the Aid Programme is based on a number of established programming principles such as project maturity, policy relevance and track-record of past implementation. The underlying aim is to bring more tangible and visible impact in the priority areas with an annual programming resulting in a streamlined and compact set of actions. In addition, under this programming approach, the beneficiary is involved at an early stage which includes the submission of 1-page project outlines and a series of direct exchanges. Continued efforts are being made to instil more ownership in the process from the beneficiary coordinating body, the EU Coordination Centre, that takes a more active role in prioritisation and self-assessment of projects.

#### 1.9. Link with the 2014-2020 MFF

The Multiannual Financial Framework (MFF)<sup>1</sup> 2014-2020 provides a multi-annual perspective to the programme with a provision for stable, funding amounting to EUR 236 million.

#### 1.10. Relevant websites providing more information

[https://ec.europa.eu/info/funding-tenders/funding-opportunities/funding-programmes/overview-funding-programmes/aid-programme-turkish-cypriot-community\\_en](https://ec.europa.eu/info/funding-tenders/funding-opportunities/funding-programmes/overview-funding-programmes/aid-programme-turkish-cypriot-community_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The MFF 2021-2027 sets the funding to EUR 240 million.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	235 487 520	177 093 402
Implementation carry-overs		
Implementation total	235 487 520	177 093 402
total envelop*	235 487 520	
cumulative implementation rate	100%	75%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

	Commitments - MEUR	Payments MEUR
Implementation	235,5	177,1
Cumulative implementation rate	100%	75%

The Aid Programme is implemented in a unique diplomatic, legal and political context. Major difficulties encountered in the implementation of the programme arise from the unrecognised status of the beneficiary as well as from disputes with contractors, notably when it comes to works contracts. Those challenges are further exacerbated by the lack of absorption capacity and

<sup>1</sup> Council Regulation 2015/623 of 21 April 2015.

resources on the beneficiary side as well as by the deficiencies in available data and statistics. This often results in serious delays in the preparation of projects and in bringing them to maturity, which – over the years – has led to a substantial amount of uncommitted funds. This ‘backlog’ was successfully addressed in the recent period through better programming, more efficient handling of tendering procedures, and smoother internal procedures and coordination within DG REFORM.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

The Aid Programme is implemented in a unique diplomatic, legal and political context. Major difficulties encountered in the implementation of the programme arise from the unrecognised status of the beneficiary as well as from disputes with contractors, notably when it comes to works contracts. Those challenges are further exacerbated by the lack of absorption capacity and resources on the beneficiary side as well as by the deficiencies in available data and statistics. This often results in serious delays in the preparation of projects and in bringing them to maturity, which – over the years – has led to a substantial amount of uncommitted funds. This ‘backlog’ was successfully addressed in the recent period through better programming, more efficient handling of tendering procedures, and smoother internal procedures and coordination within DG REFORM.

Since the Aid Regulation has been adopted, the TCc has benefited from a financial assistance amounting to EUR 592 million. The Aid Programme is implemented in a territory whose existence is not recognised internationally (with the exception of Turkey) and whose ‘institutions’ should therefore not be strengthened. This means that we are operating with perennially weak partners and this impacting negatively on the efficiency and effectiveness of our intervention. The paradox is of course that such bodies often have an important role to play in implementing the policies required for closer integration with the EU acquis, particularly in areas such as animal health and food safety. This unique situation has got a certain number of consequences when it comes to programme implementation:

- Property rights have to be respected when it comes to works contracts. This limits, in terms of geographical areas, the scope of our intervention. In addition, the procedure for property clearance (via the Ministry of Foreign Affairs of the Republic of Cyprus) is long and cumbersome and is delaying the implementation of our works contracts.
- Development of IT systems is an area where we have encountered difficulties and inefficiency. As a recent example, in our support to the eradication of animal disease, we have financed the development of an Animal Identification Registration database. The database is not yet functional. As a consequence, it was decided to refrain from supporting development of IT systems except in very well justified circumstances.

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

The main policy objective under the legal base (Regulation (EC) No 389/2006) is to facilitate the reunification of Cyprus by encouraging the economic development of the Turkish Cypriot community (TCc). The Aid Programme has supported this with a distribution of resources among the six objectives specified in the Regulation. The below provides some illustrations of what has been achieved for each of the objective:

An independent evaluation of the Aid Programme for the period 2013-2018 concludes as follows “EU-funded interventions were generally well-aligned with local needs and EU priorities. Overall, the EU programme was mostly able to achieve the intended results (although often with significant delays) and beneficiaries are generally satisfied with the assistance received. The support provided to bi-communal initiatives played an important role in keeping the reunification option open, whereas the impact on economic development was more modest, mainly due to the scarce assistance to more dynamic sectors. Due to the peculiar local conditions (non-recognition of TCc bodies and pervasive weaknesses in human resources), programme implementation required an intensive effort, and the management and supervision of activities absorbed some 10% of budgetary resources. Sustainability is affected by TCc’s limited capabilities and financial resources, and in certain areas (e.g. EU acquis) progress would likely stall without continuing EU support.”

We consider the programme to be on track. Nevertheless it has to be said that ultimate success will depend upon the will of both sides in the Cyprus dispute to arrive at a settlement. This is a sine qua non for success. Nevertheless, the programme assumes that such a willingness to arrive at a solution exists and is building the capacity of the Turkish Cypriot side to integrate a bi-communal bi-zonal federation, with adoption of the EU acquis. This can be shown in terms of hard support – ie physical infrastructure notably in the environmental field, bringing the TCc closer to European norms and standards, but also with technical assistance in important sectors. One such sector is animal health and food safety. In the context of a potential agreement on a PDO for Halloumi/ Hellim and the possibility for Turkish Cypriot farmers and food producers to export the product (17% of GDP of Turkish Cypriot community) it is necessary to ensure compliance with EU “farm to fork policy”. Major efforts have been under way to ensure the traceability of the animals concerned, the eradication of animal diseases and hygienic production methods.

The Aid Programme has been substantially mobilised to address the impact of the Covid-19 pandemic crisis on the TCc community. In March 2020, an envelope of EUR 3 million has been made available through the 2020 Annual Action programme to cover the needs identified by the health sector and the local communities in terms of equipment and supplies for the health sector including Personal Protective Equipment, laboratory devices, testing kits and ventilators. The Aid Programme was also substantially mobilised to support SMEs negatively impacted by the pandemic. More details are provided in the section dealing with objectives 2.

When it comes to project implementation, the COVID 19 pandemic has for consequence that some of the contracts had to be suspended for force majeure as the actions could not be implemented. This was particularly the case for ongoing work contracts for which suspension was suspended for 3 to 4 months in 2020 when the pandemic was declared. The situation came back in summer 2020 to a certain level of normality allowing implementation to be resumed. For technical assistance project (service contracts) and grant agreement, the impact of the COVID 19 on project implementation has been limited thanks to the remote alternatives available.

#### 1. Objective 1: Developing and restructuring of infrastructure.

Major infrastructure investments, with a strong environmental and bi-communal focus, have been funded and will continue to be programmed through the Local Infrastructure Facility and/or through targeted direct interventions. In total, 260 kilometres of water supply networks and some 100 kilometres of sewerage pipes have been financed through the Aid Programme.

Since 2014, some EUR 80 million have been invested in projects mainstreaming climate actions and contributing to the Europe 2020 priorities, notably through the following:

- The large wastewater treatment plant in Nicosia was inaugurated in 2014. This is the largest such plant on the island and serves 300,000 'population equivalent' in both communities.
- Actions to set up a sustainable integrated waste management plan have been funded allowing for the collection and transport of solid waste to the central landfill to be optimised and the recycling of valuable resources, this is now completed.

The EU remains committed to providing the citizens of Famagusta with a functional and hygienic sewerage system. An initial work contracts, for an approximate value of EUR 10 million has been concluded in 2009. The Contractor has built a sewer network and pumping stations that both Parties agree are riddled with defects (such as reverse slopes and defects joints). As a consequence of the importance of the defects and the impossibility to fix them, the EU has decided to launch a tender aiming at repairing the existing one by constructing a network in parallel of the defects one. A contract has been awarded for an approximate value of EUR 20 million and the works are expected to be started in 2021.

The European Commission has since 2018 concluded a "Local Infrastructure Facility" contribution agreement – totalising EUR 23.4 million - with the United Nations Development Programme to continue supporting the well-established mechanism for EU-funded infrastructure investments. The facility aims to provide support for the identification, screening, development, procurement, and physical implementation of relevant local infrastructure investments. With twelve significant ongoing projects well progressed, 2020 saw an additional five important infrastructure projects being added to the LIF pipeline

#### 2. Objective 2: Promoting social and economic development.

The main achievements are the following:

- EU actions also support the development of rural areas, human resources and regions. In total, since 2006, more than 500 grants have been awarded to farmers, local communities, schools, and SMEs.

More specifically, 286 rural development grants have been concluded for an approximate value of EUR 32.3 million and 200 farmers received training in husbandry practices to improve water use efficiency and farm hygiene. The targeted support to farmers through facilitating investments and purchase of equipment enables them to upgrade their material and to secure their survival in a difficult and closed economic environment. Concrete measures have been put in place, aimed at eradicating animal disease and improving food safety standards.

- Access to credit has been and remains a major problem in the Turkish Cypriot community. The Aid Programme has also supported the promotion of security growth and job creation through conclusion of 160 grant agreements with SME and start-ups, complementing by access to credits and capacity building, supporting local businesses. The SME grant scheme permitted companies to benefit from EU support enabling them to improve their competitiveness and thereby ensuring their survival in a difficult economic environment.
- Capacity of veterinary services to design and implement EU aligned animal diseases surveillance, control and eradication programmes has been strengthened. EU intervention helped decline of the prevalence of brucellosis in the northern part of Cyprus. For example, the prevalence of the disease dropped (in a period 2016 to 2020) from 10,4% to 8.3% among cattle

herds, and from 10,4% to 6,1% among sheep and goats herds. This is of significant importance for local farmers and consumers (because brucellosis causes economic losses in animal production and presents a risk for human health). Over 800 farmers informed on animal diseases risks and prevention and long term benefits of elimination of diseases in food producing animals.

- The ongoing annual work programmes for the Aid Programme (AAPs) have been arranged to ensure a timely contribution for emergency SME support following the COVID-19 pandemic. Since it was not possible to mobilise additional Aid Programme funding for emergency economic measures, the support had to come through the existing envelopes. The Commission made an exercise of reassessing the priorities, aiming to ensure the most efficient and optimal use of available resources. Part of these came from cancelling the not-yet-committed actions, where either beneficiaries lost interest or more preparatory work was needed and thus projects can be postponed for future years. The rest would be covered by savings and reserve funds under the support and settlement facility. Overall, the proposed changes involve a global reshuffling within and between the Annual Action Programme whose end dates for contracting were not expired, while keeping the respective annual budgetary envelopes unchanged. An Economic emergency package (EUR 11 million) was established to help address the broader socio-economic impact of the Covid-19 pandemic in the Turkish Cypriot community. It includes grants allowing self-employed and micro and small businesses to restock their supplies and cover other ad-hoc costs necessary to restart their operations, as well as emergency economic support including grants to small and medium businesses

### 3. Objective 3: Fostering reconciliation, confidence building measures, and support to civil society.

The main achievements are the following:

- A high level of output was achieved by the Committee on Missing Persons (CMP), which has exhumed 1,188 sets of remains, of which 993 were genetically identified (December 2020 figures). The CMP's objective is to recover, identify, and return to their families, the remains of 2,002 persons. The CMP establishes the fate of those persons declared missing by both communities as a consequence of the tragic events of 1963-64 and 1974.
- The bi-communal Technical Committee for Cultural Heritage (TCCH) was established in 2008 for the promotion and protection of the rich and diverse cultural heritage of the island. The work of the Technical Committee on Cultural Heritage provides technical support and helps building trust between the two communities. The Committee is supported in its work by archaeologists, architects, art historians and town planners from both communities. The Technical Committee works to provide a mutually acceptable mechanism for the implementation of practical measures for the proper preservation, physical protection and conservation of the cultural heritage of Cyprus. The protection of cultural heritage is an integral part of the ongoing process of broadening areas of cooperation between Greek Cypriots and Turkish Cypriots. The protection of cultural heritage in this context stimulates sustainable development and mutual understanding. The conservations include religious sites (Orthodox, Muslim, Latin, Armenian and Maronite), but also mills, fountains and hamams. Local communities attend completion events and for some this provides an opportunity to visit sites that they never visited before.

EU contributions under the Aid Regulation started in 2011 reaching an amount of nearly EUR 20 million to date. By the end of 2020, a total of 79 conservation works have been completed and over 100 cultural heritage sites have benefitted from this assistance, while 16 projects and 22 designs for conservation are in progress. For information purposes, the following large flagship projects have been completed so far: Upgrading to Kyrenia Shipwreck Gallery; Agios Panteleimonas monastery in Myrtou/Camlibel; Apostolos Andreas monastery in Rizokarpaso; Othello Tower in Famagusta; Famagusta Walls complex (2017)

- Strengthening civil society as a key actor in the development of a culture of dialogue, participation in the community life and the promotion of values of tolerance, peace and active citizenship and the promotion of reconciliation, closer relationship and trust between the Turkish Cypriot and Greek Cypriot communities. Sixty projects and more than 80 civil society organisations have been supported since the inception of the Aid Programme with a total support of EUR 13 million. These grants fund a variety of actions in the fields of environment, human rights, art and sport and encourage citizens' engagement and cross-community exchanges. A seventh *Cypriot civil society in action* call for proposals has been launched in July 2020 for EUR 2 million and has attracted many applicants.

The active citizenship mechanism is a component of the technical assistance (TA) that supports CSOs in the TCc. It has proved to be particularly successful from the perspective of the final beneficiaries. Also called **Grow Civic**, it is an 'in-kind' support for activists, citizen's initiatives, platforms, networks, and civil societies organizations (CSOs). The maximum amount that an activist/CSO can request at one time is EUR 3,000 (and up to EUR 10,000 overall the TA's duration) Greek Cypriots can apply provided they are working with a Turkish Cypriot partner. This mechanism has supported 92 actions since 2016 in very different areas (e.g. peace and reconciliation, human rights, health, wild life protection, art, youth, environment, sports). Out of the 92 actions, 44 (48%) were either bi-communal or involving peace and reconciliation. The new TA, which started in December 2020, will continue to run the mechanism from March 2021 onwards.

## 4. Objective 4: Bringing the Turkish Cypriot community closer to the EU.

The Aid Programme supports scholarships for Turkish Cypriot students and professionals, which both provide experience and a route to qualifications abroad and contribute to the image of the EU among Turkish Cypriots. Students and professionals from the TCc have at best limited access to EU scholarship programmes. Since 2007, 14 annual grant schemes have delivered over 1,600 grants for study in EU places of learning, involving more than 100 universities, covering 23 EU countries of destinations and securing the training of 20 different professions

## 5. Objectives 5 and 6: Preparing the Turkish Cypriot community to introduce and implement the acquis, in view of the withdrawal of its suspension in accordance with Article 1 of Protocol No 10 to the Act of Accession.

Preparation for the acquis takes place mainly through the Technical Assistance and Information Exchange (TAIEX) instrument (expert missions, training courses, workshops and study visits) with around 1,250 TAIEX actions in 2014-2020. TAIEX allowed for the drafting of more than 220 legal texts covering 17 areas of the EU acquis.

### 3.2. Key achievements

Summary of key achievements since the inception of the Aid Programme starting in 2006.

Developing and restructuring infrastructure	Promoting social and economic development	Encouraging reconciliation, building confidence, supporting civil society and bringing the Turkish Cypriot community closer to the EU:
<p><b>263 km</b> of water supply distribution networks renewed</p> <p><b>3</b> waste water treatment plants constructed</p> <p><b>99 km</b> of sewage networks constructed</p> <p><b>23</b> refuse collection vehicle supplied</p> <p><b>2</b> incinerators for animal by-products supplied</p>	<p><b>286</b> rural development and local community development projects supported</p> <p><b>138</b> projects for schools, lifelong learning organisations and the labour market supported</p> <p>More than <b>150</b> grants to SMEs / start-ups</p> <p>Consultancy services and training provided for <b>more than 1 000</b> businesses and entrepreneurs</p> <p>Training provided for <b>almost 200</b> farmers to improve water use efficiency and farm hygiene</p> <p><b>Over 800</b> farmers informed about disease-related risks, disease prevention and the long-term benefits of disease elimination among livestock</p> <p>COVID 19 urgency measures : PPE and medical equipment, support to preparing vaccination and testing and <b>more than 800</b> business assisted</p>	<p><b>1</b> EU Infopoint established to proactively inform the Turkish Cypriot community about EU policies and the Aid Programme, via events, social media and web-based information activities</p> <p><b>60</b> projects for civil society organisations supported</p> <p><b>More than 80</b> training sessions carried out to strengthen the work of civil society organisations</p> <p><b>993</b> missing persons identified and their remains returned to their families</p> <p>More than <b>1 600</b> Turkish Cypriots given educational opportunities in EU Member States through EU scholarships</p> <p><b>79</b> cultural heritage sites supported island-wide</p> <p><b>5</b> new Green Line crossing points opened</p> <p>All bi-communal committees helped to better operate</p> <p>Around <b>1,250 TAIEX</b> actions allowing the drafting of <b>225 legal texts</b> covering 17 areas of the EU acquis.</p>

The Commission reports annually on implementation of the Regulation<sup>2</sup>. Some examples and more details of the recent programme achievements are:

- The contract for the construction of the New Nicosia Trunk Sewer was concluded in 2018 and the works are under implementation since summer 2019. The Nicosia branch includes the construction of approximately 13 km of sewers and force mains and four pumping stations. The works include odour treatment systems to avoid odour nuisance for the citizens. A contract for the irrigation works in Morphou was also awarded in 2018 and the implementation of the works has been finalised in 2020.

<sup>2</sup> The 14th annual report, covering 2019, was published on 18/06/2020 (COM(2020) 238 final).

- The contract for the remedial works of the Famagusta sewerage network, amounting to EUR 20.5 million, was signed in April 2019. The remedial works at the sewerage network include parallel replacement of 31 kilometres of existing sewers in corrugated polyethylene, renewal of 2,347 existing house connections, and replacement of approximately 326 "blind" tee pieces. It also includes the remedial works at the pumping stations. The entry into force of the contract and the commencement of the works are subject to obtaining clearance from the Republic of Cyprus on the use of the land and validation of the "design visa" by the Turkish Cypriot Chamber of Civil Engineers. The latest re-submission for the design visa to the Chamber was submitted on 2 December 2020.
- The works for the construction of an irrigation system for the reuse of the Morphou/Guzelyurt waste water treatment plant (WWTP) treated wastewaters was completed in March 2020. In addition, the detailed design and associated tender dossier were finalised for the project 'reuse of treated wastewater and sludge generated from the new Nicosia WWTP'
- The two works contracts concerning the projects "Extension to the Koutsoventis/Güngör landfill" and "Landfill Degassing Plant" were amended, now representing an investment of over EUR 4.5 million in solid waste management, progressed well despite the difficulties caused by the Covid-19 pandemic. The amendments are to result in renewable energy being produced, ensuring the continued sustainable operation of the landfill and treatment of the wastewaters (leachate). The project is to be completed in the first quarter of 2021.
- The European Commission has since 2018 concluded a "Local Infrastructure Facility" contribution agreement with the United Nations Development Programme to continue supporting the well-established mechanism for EU-funded infrastructure investments. The initial contribution agreement, for EUR 17.7 million over a four year period (December 2018 – December 2023), was revised and amended in 2020 increasing the overall budget to EUR 23.4 million over five years; this planned to be replenished by a complementary envelope of EUR 4.7 million in the first quarter of 2021. The facility aims to provide support for the identification, screening, development, procurement, and physical implementation of relevant local infrastructure investments. With twelve significant ongoing projects well progressed, 2020 also saw the completion of a second 'LIF' call for proposals directed at the local communities resulting in an additional five projects being added to the LIF pipeline.
- Late 2020 saw the formal adoption by the Turkish Cypriot community of the 'Integrated Waste Management Plan' that had been in development and finalised a couple of years previously with European Commission assistance. The 'Plan' aims to provide a sustainable framework for continued reform, investment and action for upgrading solid waste management practices in the Turkish Cypriot community, enabling gradual approximation of local waste management practices to EC norms and standards; the Plan covers a 20-year period from 2018-2038.
- Around 500 grants have been given to diverse beneficiaries including farmers, schools, small businesses and business and community development and other civil society organisations. These helped farms and businesses to modernise and improve competitiveness, and schools along with other educational establishments to improve teaching methods and meet the labour market needs. Work in the communities and with civil society organisations helped develop advocacy, improve community services and civic engagement and bi-communal relations. In particular a number of NGOs worked in combatting human trafficking, resulting in the practice being recognised as a criminal offence. Major efforts have continued to improve animal health and food safety requirements in order to bring these into line with the standards prevailing in the EU.
- In 2018/2019, EU further contributed strengthening capacities of veterinary specialists to prevent, control and eradicate animal diseases. EU project enabled sampling of around 300,000 animals and implementation of 380,000 diagnostic tests to detect and eliminate priority diseases (such as brucellosis). As a result brucellosis prevalence in the northern part of Cyprus is in decline. In addition, a number of serological surveys, implemented by EU technical assistance in 2019, demonstrated absence of economically important animal diseases such as foot and mouth disease and "*peste des petites ruminants*". In 2019 and 2020, EU also contributed to long-term engagement of private veterinarians to implement sampling and testing of animals and other veterinary measures to protect animal and public health.
- In 2020 EU supplied range of field and laboratory tests and consumables to help continued implementation of animal health programmes in the northern part of Cyprus. It also supplied range of equipment for food and health laboratories. This increases scope of the laboratory testing and helps better reliability of test results produced in these laboratories.
- It should be noted that in 2020 the Aid Programme has been substantially mobilised to address the impact of the Covid-19 pandemic crisis on the TCc community. In March 2020, EUR 3 million were provided (through an existing contribution agreement with the UNDP) to cover the needs identified by the health sector and the local communities in terms of equipment and supplies for the health sector including Personal Protective Equipment, laboratory devices, testing kits and ventilators.
- An Economic emergency package (EUR 11 million) was established to help address the broader socio-economic impact of the Covid-19 pandemic in the Turkish Cypriot community. The ongoing annual work programmes for the Aid Programme (AAPs) have been arranged to ensure a timely contribution for emergency SME support following the COVID-19 pandemic. It includes grants allowing self-employed and micro and small businesses to restock their supplies and cover other ad-hoc costs necessary to restart their operations, as well as emergency economic support including grants to small and medium businesses and a new instrument to create jobs through energy efficiency measures.

- The European Commission concluded a contribution agreement with Northern Ireland Cooperation Overseas (NI-CO) for a total value of EUR 17 million to support business entry and development. NICO is responsible to manage the economic emergency package highlighted above.
- With respect to confidence-building measures, the interoperability of mobile phones across the island was established on 11 July 2019, with the aim of improving communication between the communities and bringing all Cypriots closer together. The Commission played an active role in facilitating the discussion between actors of the two communities and acted as catalyser and facilitator to secure a solution that could be implemented technically.
- A high level of output was achieved by the Committee on Missing Persons (CMP), which has exhumed 1,188 sets of remains, of which 993 were genetically identified (December 2020 figures). The CMP's objective is to recover, identify, and return to their families, the remains of 2,002 persons. The CMP establishes the fate of those persons declared missing by both communities as a consequence of the tragic events of 1963-64 and 1974. The Aid Programme has financed more than 75% of the CMP costs since 2006.
- The bi-communal Technical Committee for Cultural Heritage (TCCH) was established in 2008 for the promotion and protection of the rich and diverse cultural heritage of the island. EU contributions under the Aid Regulation started in 2011 reaching an amount of nearly EUR 20 million to date. By the end of 2020, a total of 79 conservation works have been completed and over 100 cultural heritage sites have benefitted from this assistance, while 16 projects and 22 designs for conservation are in progress.
- A EUR 1 million support facility for the first time in history targeting all bi-communal Technical Committees has also been concluded in 2019 with the purpose to help the Technical Committees to overcome structural and practical obstacles, which they face in their daily operations. Since then, five activities were completed, while other four are ongoing for a total of seven committees supported. The facility has been widely acknowledged as revitalising their work.
- The Commission, through its EU Infopoint and other projects, has carried out a range of communication and visibility actions (1,710) in 2014-2020 providing information about EU policies, priorities and actions in support of the Turkish Cypriot community (TCc), and promoting European culture. This has considerably enhanced the visibility of the EU in the northern part of Cyprus.
- The Aid Programme supports scholarships for Turkish Cypriot students and professionals, which provide both experience and a route to qualifications abroad and contribute to the image of the EU among Turkish Cypriots. Students and professionals from the TCc have no or only limited access to EU scholarship programmes. Since 2007, 14 annual grant schemes have delivered over 1,600 grants for study and work in EU places of learning.
- In the year 2019 a new Scholarship programme was established as a pilot programme, giving the opportunity to three Greek Cypriots and three Turkish Cypriots to go for two academic years to attend the United World College (UWC) for the International Baccalaureate diploma. The students departed in August 2020 and are enjoying a challenging and transformational educational experience to inspire them to become agents of positive change and to create a more peaceful and sustainable future, in a diverse group of young people from all backgrounds. The pilot programme was successful and a new call, with a bigger number of Cypriots benefitting, was open early 2021.
- With the aim of highlighting that a settlement of the Cyprus problem could bring economic benefits, the PRIO Cyprus Centre was funded to update their 2014 reports, quantifying and helping to deliver the sizeable "peace dividend" that is achieved with a comprehensive settlement of the Cyprus Problem and the reunification of the island. The new study highlighted that a solution will be good for business, addressing the concerns of ordinary Cypriots about the economic impact of a settlement. The study was published in three languages (Greek, Turkish and English) and was presented to the public and to the international community in February 2020.
- In March 2020, thanks to the EU funded grants working on fighting trafficking in human beings, the support of a TAIEX expert and of the TA for CSOs (Civic Space), the local legal text has been amended and now includes trafficking in human beings and hate speech as crimes that can be legally prosecuted. This important step paves the way for a full-fledged legal text addressing all four 4 'Ps' of anti-trafficking (prevention, protection, prosecution and partnership). In 2021, the EU funded grant beneficiaries will continue their advocacy towards this aim.
- Intensive efforts continue on the preparation for the implementation of the acquis in the areas of the Republic of Cyprus where the government does not exercise effective control upon the entry into force of a comprehensive settlement of the Cyprus problem. Preparation for the acquis takes place mainly through the Technical Assistance and Information Exchange (TAIEX) instrument (expert missions, training courses, workshops and study visits) with around 1,250 TAIEX actions in 2014-2020. TAIEX allowed for the drafting of 224 legal texts covering 17 areas of the EU acquis. In 2020, the European Commission selected a new pool of public experts from EU Member States to implement the TAIEX assistance until end 2022 (extendable to 2025).

### *Contribution to policy achievements*

The main policy objective under the legal base (Regulation (EC) No 389/2006) is the reunification of Cyprus and the Aid Programme has supported this with a distribution of resources among the objectives specified in the Regulation.

### 3.3. Evaluations, studies and reports

In 2018, DG REFORM concluded a contract for the implementation of the first Results Oriented Monitoring (ROM) exercise aiming at reviewing a minimum of 16 actions in terms of relevance, efficiency, effectiveness and sustainability. The goal was to assist DG REFORM with respect to the monitoring of and reporting on EU funded projects under the Aid Programme for the Turkish Cypriot community.

The ROM reviews and support missions to be carried out are the following:

- a) ROM reviews of strategic projects for which such ROM reviews may have a particular usefulness or for innovative projects.
- b) ROM reviews of projects signalled as having implementation problems and where EC services or EUPSO have identified a need for an outside expert review to assist in addressing the problems, identifying causes and options for solution and making recommendations.
- c) Support to improve the current monitoring systems of projects and, where relevant, to help operational Programme Managers to set-up a ROM-compliant monitoring system.

The ROM reviews focussed on service contracts and grants schemes and covered a significant number of contracts, both recently closed and ongoing. The implementation of the Results Oriented Monitoring contract has started in end 2018 and was due to be finalised by end 2020. Due to the Covid-19 pandemic, the contract was prolonged for another year, i.e. end 2021.

All the 16 projects have now been reviewed and assessed. The first project management training took place in November 2019 and was delivered to more than 30 participants. The second and final project management training is scheduled to take place in summer 2021.

The recommendations issued by the ROM experts have been very useful for the project managers to improve the implementation of the projects. A few illustrations:

- Further EU support is needed to ensure the capacity increase of Turkish Cypriot civil society organisations (CSOs). The current project provides a comprehensive ‘toolbox’ that largely responds to the needs of the Turkish Cypriot CSO community. As recommended, the project design has been improved in the new project.
- For the EU Info Point contract, it was considered that the scope could be expanded in terms of the support it provides to other EU funded projects with communication and visibility rather than just sharing visibility products developed by projects. The content of the actions should reflect better the TCc context e.g. by ensuring more input from local partners. These issues are being dealt with in the inception phase under the new EU Info Point contract.
- For the assistance to grant beneficiaries and the Contracting Authority regarding grant agreements, monitoring and evaluation experts have been mobilised, procedures have been simplified and workshops for experts have been organised.

The project management training combined theoretical and practical knowledge which was tailored to the need of the participants. Project managers from EU Coordination Centre, EUPSO and grants implementing partners benefited from this hands-on training.

A contract for the evaluation of the Aid Programme provided during the period 2013-2018 was concluded in December 2019. The project for the evaluation of the Aid Programme continued in 2020. The purpose of the evaluation is to provide an overall independent assessment and to gather evidence on progress made towards the objectives set in the Aid Regulation during the 2013-2018 period. The draft final report was delivered in December 2020 and the results of the evaluation will be published in early 2021. The draft conclusions are positive and the draft report concludes that the Aid Programme can be considered as a highly relevant and, given the peculiar circumstances of the TCc context, a relatively successful initiative. It has also been a generally coherent and, although often suffering from delays, efficient programme through which the EU has added substantial value. However, prospects for sustainability in most areas primarily rely on continued EU support.

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 : the promotion of social and economic development including restructuring, in particular concerning rural development, human resources development and regional development**

**Indicator 1: Number of enterprises having received EU support in the form of a grant**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	3000	3000								
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	Unchanged
Other methodological comments	The Aid Programme aims at supporting the economic development of the TCc and under normal circumstances the annual programme will continued supporting private sector developments. The estimates will be based on what has been achieved so far under the MFF 2014-2020, taking into consideration the portion of the future programmes to be allocated to support of enterprises.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Cross-green-line trade volume in process of progressive increase

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	5000000	5500000								
	Actual Progress									Final

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	Unchanged
Other methodological comments	Mostly based on past volume, taking into consideration a marginal yearly increase
Full metadata available at this address	
Justification of the trend	

### Specific Objective 2 :the development and restructuring of infrastructure, in particular in the areas of energy and transport, the environment, telecommunications and water supply

### Specific Objective 3 :reconciliation, confidence building measures, and support to civil society

#### Indicator 1: To increase EU visibility in northern Cyprus: Communication actions

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	250	250								
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	Unchanged
Other methodological comments	Based on our past experience which can be considered as a benchmark for the future targets
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Number of Civil Society Organisations having received EU support in the form of a grant

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	12	14								

	Actual Progress								Final

Are we on track	On track
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Based on our past experience which can be considered as a benchmark for the future targets
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :bringing the Turkish Cypriot community closer to the Union, through inter alia information on the European Union’s political and legal order, promotion of people to people contacts and Community scholarships**

**Indicator 1: Number of individuals having benefited from a scholarship**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	129	121								
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Based on our past experience which can be considered as a benchmark for the future targets
Full metadata available at this address	
Justification of the trend	

**Specific Objective 5 :preparation of legal texts aligned with the acquis communautaire for the purpose of these being immediately applicable upon the entry into force of a comprehensive settlement of the Cyprus problem**

**Specific Objective 6 :preparation for implementation of the acquis communautaire in view of the withdrawal of its suspension in accordance with Article 1 of Protocol No 10 to the Act of Accession**

**5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : Instrument of financial support for encouraging the economic development of the Turkish Cypriot community and amending Council Regulation (EC) No 2667/2000 on the European Agency for Reconstruction*

**Specific Objective 1 :To facilitate the reunification of Cyprus by encouraging the economic development of the Turkish Cypriot community with particular emphasis on the economic integration of the island, on improving contacts between the two communities and with the EU, and on preparation for the acquis communautaire.**

**Indicator 1:Reconciliation and confidence building: "Tendency to trust the EU as an institution"**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
			53%	55%	56%	57%	60%	0,60	0,60	60%
57%	Actual Progress									Final
	66%	51%	52%	52%	53%	0,47	0,43			

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	Percentage based on polling
Cut-Off Date	31/08/2020
Data source	Eurobarometer
Narrative	Pooling of the TCc in the trust of EU Institution
Methodology	Independent polling of opinion
Link MFF 14-20 / MFF 21-27	Same indicator
Other methodological comments	The 2014 figure may have been the result of re-starting the settlement talks and high optimism.
Full metadata available at this address	
Justification of the trend	The decrease of this indicator in 2019 can be explained by the absence of concrete progress in the resolution of the Cyprus problem and to the perception from the Turkish Cypriot community of the EU siding with the Republic of Cyprus on many issues, including hydrocarbons. The situation has even further deteriorated in 2020 due to the COVID 19 pandemic and the perception from the Turkish Cypriot community that the EU has not been active enough.

### Indicator 2: Number of enterprises having received EU support in the form of a grant

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
290		330		370	370	420	420	3000	3000	Final
	Actual Progress									
		330	330	330	380	407	1910			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of enterprises/businesses
Cut-Off Date	31/12/2020
Data source	European Commission
Narrative	Number of enterprises having benefiting from EU support
Methodology	In addition to the previous SME grant schemes and the proactive development of an entrepreneurial ecosystem, the 2020 pandemic required a prompt response to support businesses by providing emergency working capital to specific sectors/SMEs, safeguard and/or create jobs, and support business development (more recently with focus on innovation, green economy and digital transition).
Link MFF 14-20 / MFF 21-27	Unchanged
Other methodological comments	The actual results for the period 2015-2017 have been adjusted to reflect the effective number of enterprises having received EU funding. The recently launched "Safeguarding & Creating Employment Grant Scheme for SMEs in the TCc" has the objective to safeguard and/or create jobs in c.1,000 SMEs in Phase 1. Phase 2 will support business development of c.100 SMEs.
Full metadata available at this address	
Justification of the trend	The 2020 pandemic required a prompt response to support businesses. An Economic emergency package (EUR 11 million) was established to help address the broader socio-economic impact of the Covid-19 pandemic in the Turkish Cypriot community (see more details in section 3.1.3). EUR 3 million has already been disbursed in favour of micro-business to keep them open while enabling them to restock and pay bills which they would otherwise have been unable to do. A similar exercise is currently being implemented with medium-sized businesses in a number of key sectors. This short-term, "emergency" support will be followed-up by bespoke support to specific businesses on a strategic basis.

### Indicator 3: Cross-green-line trade volume in process of progressive increase

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
3411593				6500000	5270000	5500000	8500000	5000000	5500000	8500000
	Actual Progress									Final
	3520045	3613989	4374968	4790963,9	4856892	5423076	4693898			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Volume of trade expressed in EUR
Cut-Off Date	31/12/2020
Data source	Republic of Cyprus
Narrative	Volume of trade over the Green Line
Methodology	
Link MFF 14-20 / MFF 21-27	Same indicator
Other methodological comments	Trade across the Green Line has developed more slowly than anticipated as a number of obstacles to

	trade, identified in the annual reports on implementation of the Green Line Regulation, remain in place. To take one example, the Republic of Cyprus still does not allow the crossing of processed food products and materials for contact with food. The Commission is engaged in contacts with the Republic of Cyprus to address this issue. Trade across the Green Line increased by 1.4 % last year. The 2017 targets were set too high and the targets for the years 2020 are most probably too ambitious as we expect a roughly similar increase in the years to come.
Full metadata available at this address	
Justification of the trend	A number of obstacles to trade remain, notably prohibition of crossings for commercial vehicles above 7.5 tonnes, the Republic of Cyprus does not allow the crossing of processed food products and materials for contact with food due to concerns raised by health services. More details are available in report issued by the Commission on the implementation of the Green Line Regulation. The trade in 2020 was negatively affected by the COVID19 pandemic as a consequence of the closure of the crossing points.

#### Indicator 4: To increase EU visibility in northern Cyprus: Communication actions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
49			50	90	90	90	90	250	250	90
	Actual Progress									Final
	53	188	138	120	330	343	429			

Are we on track	On track
Indicator type	Output
Unit of measurement	Actions/year
Cut-Off Date	31/12/2020
Data source	European Commission
Narrative	Number of communication activities
Methodology	
Link MFF 14-20 / MFF 21-27	Same indicator
Other methodological comments	The high results obtained as of 2015 is due to a very active, "Infopoint" project, and various EU-funded projects incorporating comprehensive communication and visibility activities. The COVID-19 challenge for physical events was transformed into opportunities of engagement for online activities and campaigning for the EU's work in the TCc, under various EU funded projects as well as the EU Infopoint project which extensively carried out communication and visibility actions in various online platforms. We expect this trend to be continued in 2021 and 2022 with approximately 300 actions on a yearly basis. This is the consequence of the increased level of activity with the aim to improve the EU visibility of EU funded projects in the Turkish Cypriot community.
Full metadata available at this address	
Justification of the trend	Due to COVID-19 pandemic, the EU funded projects continued communication and visibility actions extensively in online platforms, with online events and campaigns, throughout 2020.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
3,0	5,0						8,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

The installation of solar panels in SMEs, farms and solid-waste management facilities is part of wider support actions, whose total combined value is EUR 5.7 million. This contribution is split in 26% for the SME actions, 6% for the rural development support grants, and 68% for the solid-waste management facilities.

#### 6.1.3. Key achievements

"The programme contributed EUR 70,5 million in the 2014-2020 period". As previously mentioned, achievements in climate mainstreaming focused on setting the ground for wider-scope energy efficiency measures, as well as increasing the uptake of renewable energy in the local energy mix by supporting small operators and farmers.

**6.1.4. Performance**

Efforts to support renewable energy and reduced dependence on fuel for producing electricity.

**6.2. Contribution to biodiversity mainstreaming****6.2.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

**6.2.2. Explanation and justification on the financial contribution**

The contribution of the European Commission was EUR 0.15 million and was funded through the annual action plan of 2014.

**6.2.3. Key achievements**

The main achievements of this project involved the construction of walking trails, bird watching observatories, screening points for vegetation, information boards and points.

**6.2.4. Performance**

Limited assistance provided

**6.3. Contribution to clean air financing****6.3.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,4	0,0						0,4

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

**6.3.2. Explanation and justification on the financial contribution**

The total financial contribution to Clean Air related projects equals EUR 1.9 million. Of this contribution, 55% corresponds to the renovation of the existing air quality stations, 11% to the procurement of a mobile air monitoring station, 26% to the procurement of analytic instruments for the reference laboratory and 8% to the installation of the laboratory infrastructure.

**6.4. Contribution to gender equality****6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,5	0,5						1,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

**6.4.2. Key achievements and performance**

In March 2020, thanks to the EU funded grants working on fighting trafficking in human beings, the support of a TAIEX expert and of the TA for CSOs (Civic Space), the local legal text has been amended and now includes trafficking in human beings and hate speech as crimes that can be legally prosecuted. This important step paves the way for a full-fledged legal text addressing all four 4 'Ps' of anti-trafficking (prevention, protection, prosecution and partnership). In 2021, the EU funded grant beneficiaries will continue their advocacy towards this aim.

**6.5. Contribution to the sustainable development goals**

### 6.5.1. Goals

#### ***SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture***

Through objective 2 of the Aid Programme, special support has been provided through the form of grants for farmers, aimed at increasing productivity of agricultural and dairy produce, as well as the competitiveness of farms. In addition, the European Commission has invested approximately EUR 4.9 million between 2014 and 2020 in supporting the testing and eradication of animal diseases such as brucellosis in local sheep, goat and cattle herds, as well as the training of local veterinarians.

In addition, the Commission has played a crucial role in facilitating trade of Cyprus potatoes between the Greek Cypriot and Turkish Cypriot communities, through Green Line trade.

#### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

The Aid Programme has funded grants that promoted patients' rights in the medical system and managed to secure the creation of a patients' rights unit in the local hospital.

#### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The aid programme has provided training for teachers in curriculum development, invested in vocational education and training as well as providing equipment for schools, including science laboratories. In addition, the Aid Programme provides every year scholarships to study and work in EU countries, with two programmes: the EU Scholarship programme for the Turkish Cypriot community, addressed to students and professionals from universities, and the UWC scholarship programme, that provides scholarships for high school students.

#### ***SDG 5 Achieve gender equality and empower all women and girls***

The Aid Programme has provided grants to association fighting domestic violence to support survivors of domestic violence, prepare draft legal text on domestic violence, raise awareness about domestic violence and gender violence and promote sex education in the community and among youth.

The Aid programme has contributed to the building of a shelter for victims of domestic violence in the northern part of Nicosia (in collaboration with the Nicosia local community).

#### ***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

Through objective 1 of the Aid Programme, the upgrade of water treatment, distribution and sanitation infrastructure is a priority. Between 2014 and 2020, the European Commission has allocated approximately EUR 38.6 million for water-related project, accounting for approximately 19% of the total investment of the Aid Programme in that period. The most relevant projects in this field are the construction of the North Nicosia Trunk Sewerage pipe and the Famagusta Sewerage Remedial Works.

#### ***SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all***

Between 2014 and 2020, the European Commission focused in introducing energy efficiency measures for buildings by conducting an energy audit on 10 schools. The objective of this project was to identify the scope for possible interventions aimed at improving the schools' envelopes and heating/cooling systems. In addition, the Aid Programme has supported an increased uptake of renewable energies by local businesses, farmers and solid-waste facilities for up to 1.6 MW of installed solar power.

#### ***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

The Aid Programme has assisted through objective 1 in providing solid waste disposal sites compliant with EU standards as well as tackling the problem of disposal of animal by-products. This involved the construction of seven waste transfer stations for both, domestic/municipal waste and animal by-products between 2017 and 2020. In addition, the European Commission has supported local communities with the provision of up to 23 waste collection trucks and increased the capacity of the landfill in Koutsoventis/Güngör to 2.3 million cubic metres.

#### ***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

The Aid Programme has supported projects to monitor, check and control environmental quality in urban environments with the objective to improve living conditions. Through the annual activity programmes of 2017 and 2018, the air quality monitoring network has been expanded and strengthened. In addition, further monitoring capabilities have been provided to the relevant control

bodies to check on the quality of fuels being sold for residential combustion and transport, as well as to better manage the quality of water.

***SDG 12 Ensure sustainable consumption and production patterns***

The SME grant scheme permitted companies to benefit from EU support enabling them to improve their competitiveness and to upgrade and improve their production patterns.

***SDG 13 Take urgent action to combat climate change and its impacts***

The actions described in SDG 7 are of immediate application to combat climate change and its impacts. A reduced primary energy consumption produced by an energy-efficient building, as well as an increased use of renewable energy all result in less CO<sub>2</sub> emissions from combustion. This in turn contributes less to climate change.

***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

In line with the interventions described under SDG 11, the Commission has supported in 2020 a project intended to procure water sampling and monitoring equipment for the relevant control body in the Turkish Cypriot community. The equipment will allow the control body to gauge the quality parameters of waters of coastal waters with the objective to take corrective action in the presence of pollution.

The Aid Programme has supported grants that bi-communally address the issue of marine litter, raise awareness among youth and work with fishers and coastal businesses to encourage litter collection and lower-waste, environmentally friendly practices.

***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

The Commission financed a grant in 2014 aimed at strengthening conservation of bird species nesting in the Koukklia/Köprülü water reservoir, increasing awareness amongst locals, and registering relevant environmental conditions.

***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

The programme has specifically targeted the problem of human trafficking and awarded grants to organisations working on both awareness-raising and legal changes. Draft legislation to recognise human trafficking as a crime has been introduced.

The Aid programme, in addition, provides support to a series of Confidence Building Measures that support intercommunal dialogue: the support to the Technical Committee on Cultural Heritage, the support to the Committee on Missing Persons and the facility to support the bicomunal Technical Committees. In the 2020 the Aid programme funded a study to promote and disseminated the peace dividend of a settlement of the Cyprus problem.

The Aid Programme has supported grants that help address discrimination against LGBTIQ, combat hate crime, hate speech, violence and harmful practices against LGBTIQ people.

**6.5.2. Key achievements and performance**

See details provided in section 3.2

**HEADING 2B: Resilience and Values****Recovery and Resilience Facility**

Lead DG: ECFIN

1. Overview .....	467
1.1. Challenges .....	467
1.2. Mission (general objectives) .....	467
1.3. Specific objectives .....	468
1.4. Public intervention context .....	468
1.5. Actions .....	468
1.6. Delivery mode .....	469
1.7. Graphic overview of the programme structure .....	469
1.8. Legal basis and financial programming .....	469
1.9. Link with the 2014-2020 MFF .....	470
1.10. Relevant websites providing more information .....	470
2. Where are we in the implementation ? .....	470
2.1. Programme 2021-2027 .....	470
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	470
3. How is the programme performing ? .....	470
3.1. Performance .....	470
3.2. Key achievements .....	470
3.3. Evaluations, studies and reports .....	470
4. Programme 2021-2027 - Key monitoring indicators .....	471
Specific Objective 1 : Providing Member States with financial support with a view to achieving the milestones and targets of reforms and investments as set out in their recovery and resilience plans. ....	471
5. Programme 2014-2020 - Key monitoring indicators .....	471
6. The programme contribution to horizontal policies .....	471
6.1. Contribution to climate mainstreaming .....	471
6.2. Contribution to biodiversity mainstreaming .....	471
6.3. Contribution to clean air financing .....	471
6.4. Contribution to gender equality .....	471
6.5. Contribution to the sustainable development goals .....	471

**1. Overview****1.1. Challenges**

The Recovery and Resilience Facility, as the centrepiece of NextGenerationEU, will jointly with the regular MFF programmes support the Union's recovery from the Covid-19 crisis and strengthen resilience against future shocks. It provides a mid-term response to the damage caused by the crisis, and is intended to support the recovery in the mid- to long-term by enabling Member States to implement reforms and investments responding to their country's specific challenges. In a context of a global climate emergency and the fast-paced digital transition, the Facility is further intended to support both the green and digital transitions, helping to foster sustainable and forward-looking implementation economic and social structures across the EU.

**1.2. Mission (general objectives)**

The Recovery and Resilience Facility (the 'Facility') offers large-scale financial support for public investments and reforms that make Member States economies more resilient, and better prepared for the future. Each Member State will put forward a Recovery and Resilience Plan to access this financial support, which will be assessed by the Commission. Payments will be made against the achievement of agreed milestones and targets set out in a Council Implementing Decision. The Facility can support recovery and resilience within the scope of the following policy areas of European relevance ('six pillars'): green transition; digital

transformation; smart, sustainable and inclusive growth, including economic cohesion, jobs, productivity, competitiveness, research, development and innovation, and a well-functioning internal market with strong small and medium enterprises (SMEs); social and territorial cohesion; health, and economic, social and institutional resilience with the aim of, inter alia, increasing crisis preparedness and crisis response capacity; and policies for the next generation, children and the youth, such as education and skills.

In line with the six pillars, the general objective of the Facility is to promote the Union's economic, social and territorial cohesion by improving the resilience, crisis preparedness, adjustment capacity and growth potential of the Member States, by mitigating the social and economic impact of that crisis, in particular on women, by contributing to the implementation of the European Pillar of Social Rights, by supporting the green transition, by contributing to the achievement of the Union's 2030 climate targets set out in point (11) of Article 2 of Regulation (EU) 2018/1999 and by complying with the objective of EU climate neutrality by 2050 and of the digital transition, thereby contributing to the upward economic and social convergence, restoring and promoting sustainable growth and the integration of the economies of the Union, fostering high quality employment creation, and contributing to the strategic autonomy of the Union alongside an open economy and generating European added value.

### 1.3. Specific objectives

The specific objective of the Recovery and Resilience Facility shall be to provide Member States with financial support with a view to achieving milestones and targets of reforms and investments as set out in their recovery and resilience plans.

### 1.4. Public intervention context

The Recovery and Resilience Facility will support reforms and investments in a broad range of policy areas ("six pillars"). Specifically, it provides both non-reimbursable and reimbursable (loans) financial support to Member States, which will implement reforms and investments set out in their Recovery and Resilience Plans. The Facility represents the EU's main instrument as mid-term response to the crisis caused by the Covid-19 pandemic. Past experiences have shown that investment is often drastically cut during crises. However, it is essential to support investment in this particular situation to speed up the recovery and strengthen long-term growth potential. A well-functioning internal market and investing in green and digital technologies, in innovation and research including in a knowledge-based economy, in the clean energy transition, and in boosting energy efficiency in housing and other key sectors of the economy are important to achieve fair, inclusive and sustainable growth, help create jobs, and reach EU climate neutrality by 2050.

The Facility is intended to work in conjunction with the other programmes under NextGenerationEU, other shorter-term repair actions such as the European instrument for temporary Support to mitigate Unemployment Risks in an Emergency (SURE) and the wider set of MFF programmes. It also comes in a framework of other measures taken to alleviate the damage and enable countries to respond to the crisis, such as a temporary state aid framework and the activation of the general escape clause under the stability and growth pact.

### 1.5. Actions

The Facility will provide non-repayable financial support under direct management and loans to Member States to support public investments and reforms, as set out in recovery and resilience plans prepared by the Member States. Repayable financial support (loans) will complement the non-repayable support and will be provided to Member States that demonstrate additional financial needs and commit to implement suitable reforms and investments beyond those that already benefit from the non-repayable financial support.

The envelope will be financed from the borrowing operations of the Union as set out in Regulation (EU) 2020/2094 (EURI regulation). Given the temporary nature of the financing scheme of the Facility in relation to Member States' economic recovery, the availability period of these resources is limited. 70% of non-repayable support will be available for commitments until 31 December 2022, the remaining 30% of the non-repayable financial support and the entire loan support will be available until 31 December 2023. The allocation per country is determined through allocation keys foreseen in Annex II (for the 70%) and Annex III (for the 30%) of the Regulation. Annex IV of the Regulation provides a table with the indicative allocation of the non-repayable financial support per Member State.

If necessary and justified by the cost of additional reforms and investments included in the Plan, Member States may in addition to the grant also request the additional reimbursable financial support up to 6,8% of each Member State's 2019 GNI in current prices. Subject to the availability of resources, in exceptional circumstances the amount of the loan support may be increased. All the same rules and requirements of the Regulation apply as to non-reimbursable financial support, and Member States may request this additional loan support either at the time of submission of their Plan or, with a revised Plan, at a different moment in time until at the latest 31 August 2023.

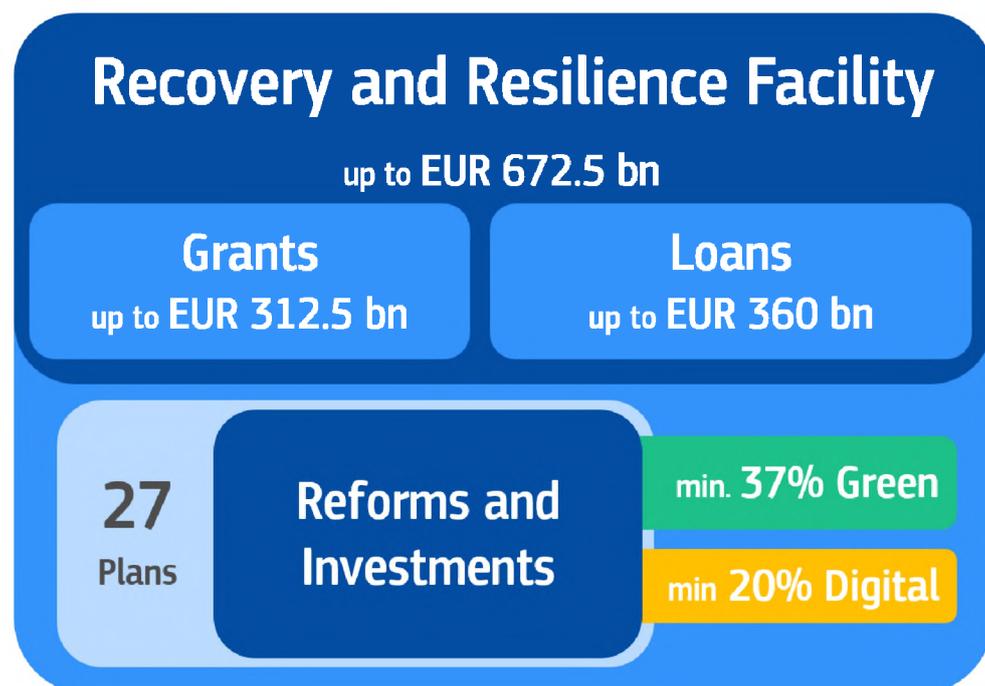
The ultimate implementation and decision on which measures to include in the Recovery and Resilience Plan and when to submit this Plan, within the requirements of the Regulation, lies with the relevant Member State. The Commission will monitor

implementation and disburse funds when the relevant Member State demonstrates that an agreed set of milestones and targets has been achieved.

## 1.6. Delivery mode

The Recovery and Resilience Facility shall be implemented by the Commission in direct management in accordance with the Financial Regulation (Article 6). The specific objective of the facility shall be pursued in close cooperation with the Member States concerned.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2020/0104/COD COM (2020) 408, 28.5.2020 : Proposal for a Regulation of the European Parliament and of the Council establishing a Recovery and Resilience Facility	2021 - 2027	

### 1.8.2. Legal basis explanation

Regulation (EU) 2021/241 of the European Parliament and of the Council of 12 February 2021 establishing the Recovery and Resilience Facility

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>116 069,6</b>	<b>118 391,4</b>	<b>103 472,4</b>	<b>8,6</b>	<b>8,8</b>	<b>9,0</b>	<b>9,2</b>	<b>337 969,0</b>

### 1.8.4. Financial programming explanation

#### 1.8.4 Financial Programming Explanation

At this point the Commission has not yet received any final Recovery and Resilience Plans, accordingly no commitments have been made. While it can be reasonably assumed that Member States will request all or most of their allocated non-reimbursable financial

contribution, the possible loan amounts are more difficult to predict. The actual disbursement schedule too, at this early stage of implementation, cannot be predicted with reasonable accuracy.

### 1.9. Link with the 2014-2020 MFF

N/a

### 1.10. Relevant websites providing more information

Main RRF website:

[https://ec.europa.eu/info/business-economy-euro/recovery-coronavirus/recovery-and-resilience-facility\\_en](https://ec.europa.eu/info/business-economy-euro/recovery-coronavirus/recovery-and-resilience-facility_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The Regulation establishing the Recovery and Resilience Facility has come into force on 19 February 2021. Member States are actively discussing draft plans and specific reforms and investments with the Commission services and are preparing their final plans for submission. No final plan has been received (as of 8 March) and no financial commitments have been made. Member States will as a rule submit their RRFs by 31 April 2021, upon which the Commission will have two months to assess the plans and propose a Council Implementing Decision. The Council should endeavour to adopt the proposal within four weeks, whereupon the Commission shall conclude a financing agreement and where relevant also a loan agreement with the Member State. Accordingly, the first commitments and payments are expected for summer 2021.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.2. Active programme performance

Overall, the RRF is a performance-based programme, unlike all other EU programmes, and payments will be made against milestones and targets. As such, the key performance indicator for the RRF is whether Member States achieve the agreed milestones and targets.

In addition, Article 29 of the Recovery and Resilience Facility Regulation empowers the Commission to adopt three delegated acts by the end of December 2021, including a specific delegated act setting out “the common indicators to be used for reporting on the progress and for the purpose of monitoring and evaluation of the Facility towards the achievement of the general and specific objectives.” The common indicators will accordingly only be known once the respective delegated act is adopted.

#### 3.1.3. Previous programme performance

### 3.2. Key achievements


### 3.3. Evaluations, studies and reports

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :Providing Member States with financial support with a view to achieving the milestones and targets of reforms and investments as set out in their recovery and resilience plans.**

#### **5. Programme 2014-2020 - Key monitoring indicators**

#### **6. The programme contribution to horizontal policies**

##### **6.1. Contribution to climate mainstreaming**

###### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
115 239,9	115 239,9	37 335,2					267 815,0

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

###### **6.1.2. Explanation and justification on the financial contribution**

The RRF Regulation requires that at least 37% of the cost of each Plan contributes to climate objectives, based on a methodology for climate tracking set out in Annex VI of the Regulation. Accordingly, the RRF as a whole is expected to contribute to at least 37% to climate objectives.

##### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

##### **6.3. Contribution to clean air financing**

Not applicable

##### **6.4. Contribution to gender equality**

Not applicable

##### **6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING 2B: Resilience and Values****Technical Support Instrument****Lead DG: REFORM**

1. Overview .....	472
1.1. Challenges .....	472
1.2. Mission (general objectives) .....	473
1.3. Specific objectives .....	473
1.4. Public intervention context .....	474
1.5. Actions .....	474
1.6. Delivery mode .....	474
1.7. Graphic overview of the programme structure .....	474
1.8. Legal basis and financial programming .....	475
1.9. Link with the 2014-2020 MFF .....	475
1.10. Relevant websites providing more information .....	476
2. Where are we in the implementation ? .....	476
2.1. Programme 2021-2027 .....	476
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	476
3. How is the programme performing ? .....	476
3.1. Performance .....	476
3.2. Key achievements .....	476
3.3. Evaluations, studies and reports .....	476
4. Programme 2021-2027 - Key monitoring indicators .....	477
Specific Objective 1 :To assist national authorities in improving their capacity to design, develop and implement reforms, including through exchange of good practices, appropriate processes and methodologies, and a more effective and efficient human resources management .....	477
5. Programme 2014-2020 - Key monitoring indicators .....	479
6. The programme contribution to horizontal policies .....	479
6.1. Contribution to climate mainstreaming .....	479
6.2. Contribution to biodiversity mainstreaming .....	479
6.3. Contribution to clean air financing .....	479
6.4. Contribution to gender equality .....	479
6.5. Contribution to the sustainable development goals .....	479

**1. Overview****1.1. Challenges**

**The outbreak of the COVID-19 pandemic has changed the economic outlook** for the years to come in the EU and in the world. The medium and long-term effects of the crisis will depend on the resilience of Member States' economies. There is a need to plan strategically the recovery, revitalise our economies and getting back on a path of sustainable and inclusive growth, geared towards the green and digital transition objectives.

Smart, sustainable and socially responsible reforms help to **strengthen the resilience of our economies and societies**. They contribute to keeping our economies flexible and competitive and help to improve the quality of public services. Given that the economies of Member States are strongly intertwined, the successful implementation of well-designed reforms benefits is a matter of common concern and helps to strengthen the EU's social, economic and territorial cohesion.

However, **the process of designing, developing and implementing reforms is complex**. Member States have different levels of technical expertise and administrative capacity to address the reform challenges that lie ahead. Therefore, strengthening Member States' capacity to implement reforms is crucial.

In line with the subsidiarity and proportionality principles, the EU's intervention brings added value by offering Member States technical expertise to enhance their capacity to carry out reforms and to foster the exchange of good practices across the EU.

Building on the success of the Structural Reform Support Programme (2017-2020), with the Technical Support Instrument (TSI), the European Commission will continue accompanying Member States' efforts to tackle reform challenges.

## 1.2. Mission (general objectives)

**The Technical Support Instrument is the main EU funding programme providing technical support to EU Member States to support them in their reform agendas.** The TSI provides **tailor-made technical expertise** to Member States for the design and implementation of institutional, administrative and resilience-enhancing reforms. The support is **on-demand** and does not require co-financing from Member States.

Member States can request technical support under the TSI for implementing growth-sustaining and resilience-enhancing reforms in the context of EU economic governance, such as European Semester country-specific recommendations and the implementation of EU law. In addition, Member States can also request technical support to prepare, amend, implement and revise national recovery and resilience plans under the Recovery and Resilience Facility. Lastly, support can be requested for implementing economic adjustment programmes or reforms undertaken at Member States' own initiative.

The TSI covers a wide range of policy areas, which include revenue administration and public financial management, governance and public administration, sustainable growth and business environment, education and skills, labour market, migration, healthcare and social security systems, financial sector, and preparation for euro-area membership. In addition to this, there is specific focus on the actions that foster the green and digital transitions. These include actions in the area of climate change mitigation, environmental protection, energy transition, e-governance and artificial intelligence.

The general objective of the TSI is to promote the EU's economic, social and territorial cohesion by supporting Member States' efforts to implement reforms. This is necessary to encourage investment, to increase competitiveness and to achieve sustainable economic and social convergence, resilience and recovery. This is also necessary to support Member States' efforts to strengthen their institutional and administrative capacity, including at regional and local level, to facilitate socially inclusive, green and digital transitions, to effectively address the challenges identified in the country-specific recommendations and to implement EU law.

## 1.3. Specific objectives

To achieve its general objective, the TSI shall have the specific objectives of assisting national authorities in improving their capacity to:

- (a) design, develop and implement reforms
- (b) prepare, amend, implement and revise recovery and resilience plans pursuant to Regulation (EU) 2021/241.

The specific objectives shall refer to policy areas related to cohesion, competitiveness, education, productivity, research and innovation, smart, fair, sustainable and inclusive growth, jobs and investment, with specific emphasis on actions that foster the digital and just green transitions, and in particular focus on one or more of the following:

- (a) **public financial and asset management**, budget process, including green and gender budgeting, macro-fiscal framework, debt and cash management, expenditure and tax policy, tax compliance, revenue administration and customs union, as well as fighting aggressive tax planning, tax fraud, tax evasion and tax avoidance;
- (b) institutional reform and efficient and service-oriented functioning of **public administration and e-government**, simplification of rules and procedures, auditing, enhancing capacity to absorb Union funds, promotion of administrative cooperation, effective rule of law, reform of the justice systems, capacity building of competition and antitrust authorities, strengthening of financial supervision and reinforcement of the fight against fraud, corruption and money laundering;
- (c) **business environment**, including for small and medium-sized enterprises, the self-employed, entrepreneurs and social economy enterprises, the re-industrialisation and relocation of production to the Union, private sector development, product and service markets, public and private investments including into physical and virtual infrastructure, project promoters and nurseries, public participation in enterprises, privatisation processes, trade and foreign direct investment, competition, efficient and transparent public procurement, sustainable sectoral development, and support for research, innovation and digitisation;
- (d) **education**, life-long learning and training, vocational education and training, youth policies, labour market policies, including social dialogue, for the creation of jobs, increased labour market participation of under-represented groups, up- and re-skilling in particular digital skills, media literacy, active citizenship, active ageing, gender equality, civil protection, border and migration policies, the promotion of social inclusion and the fight against poverty, income inequality and all forms of discrimination;
- (e) accessible, affordable and resilient **public healthcare, social security systems**, care and welfare, and childcare;

- (f) policies for the **mitigation of climate change**, the digital and just green transitions, e-government solutions, e-procurement, connectivity, data access and governance, data protection solutions, e-learning, use of Artificial Intelligence based solutions, the environmental pillar of sustainable development and environmental protection, climate action, transport and mobility, promoting the circular economy, energy and resource efficiency and renewable energy sources, achieving energy diversification, tackling energy poverty and ensuring energy security, and for the agricultural sector, soil and biodiversity protection, fisheries and the sustainable development of rural, remote and insular areas;
- (g) **financial sector policies and regulation**, including financial literacy, financial stability, access to finance and lending to the real economy, in particular for small and medium-sized enterprises, the self-employed and entrepreneurs;
- (h) the production, provision and quality monitoring of **data and statistics**;
- (i) preparation for **membership of the euro area**;
- (j) early detection of and a coordinated response to substantial **public health or security risks**, as well as ensuring business and service continuity for essential public and private institutions and sectors.

#### 1.4. Public intervention context

The Regulation establishing a Technical Support Instrument (Regulation (EU) 2021/240) is adopted on the basis of the third paragraph of Article 175 and Article 197(2) of the Treaty on the Functioning of the European Union. Article 197(2) TFEU provides that the Union may support the efforts of Member States to improve their administrative capacity to implement Union law, inter alia, through facilitating the exchange of information and supporting training schemes. Article 175, third paragraph, TFEU provides that, if specific actions prove necessary outside the Funds and without prejudice to the measure decided upon within the framework of the other Union policies, such actions may be adopted by the European Parliament and the Council. The Technical Support Instrument aims at enhancing cohesion, through measures that allow recovery, resilience and convergence in/of the Member States concerned.

#### 1.5. Actions

The specific objectives are pursued in close cooperation with the Member States concerned, including through exchange of good practices, processes and methodologies, stakeholder involvement, where appropriate, and a more effective and efficient human resources management.

The type of actions eligible for financing under the TSI include, among others:

- Expertise related to policy advice, policy change, formulation of strategies and reform roadmaps, as well as to legislative, institutional, structural and administrative reforms;
- Provision of experts, from national administrations, international organisations, private firms and consultancies, or expertise directly from the European Commission;
- Institutional, administrative or sectoral capacity building (including workshops, exchange of best practices, and training) at all governance levels.
- Carrying out studies, including feasibility studies, research, analyses and surveys, evaluations and impact assessments.

#### 1.6. Delivery mode

The Technical Support Instrument is mainly implemented by DG REFORM under direct management, i.e. through grants and procurements, but also through internal Commission-wide expertise.

In some cases, it is also implemented by DG REFORM through indirect management, entrusting tasks to international organisations or other bodies in accordance with the Financial Regulation.

#### 1.7. Graphic overview of the programme structure

## TECHNICAL SUPPORT INSTRUMENT - OVERVIEW

To achieve its general objective, the TSI shall have the specific objectives of assisting national authorities in improving their capacity to:

- (a) design, develop and implement reforms
- (b) prepare, amend, implement and revise recovery and resilience plans pursuant to Regulation (EU) 2021/241.

### PRIORITY AREAS FOR INTERVENTION

1- Public financial management and revenue administration

2 -Governance and public administration

3 - Growth, business environment and sectoral issues

4 - Labour market, education, health and social services

5 - Financial sector and access to finance

### DELIVERY MODES

DG REFORM is responsible for the implementation of the TSI programme, which is implemented through:

#### Direct management

- European Commission internal expertise
- Private experts
- TAIEX-TSI Peer-2-Peer
- Procurements
- Grants

#### Indirect management

- Agreements with International Organisations
- Agreements with other bodies

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2020/0103/COD COM (2020) 409, 28.5.2020: Proposal for a Regulation of the European Parliament and of the Council establishing a Technical Support Instrument	2021 - 2027	864,0

### 1.8.2. Legal basis explanation

The Technical Support Instrument is managed in accordance with the provisions of Regulation (EU) 2021/240.

One of the specific objectives of the Technical Support Instrument is assisting national authorities in improving their capacity to prepare, amend, implement and revise recovery and resilience plans pursuant to Regulation (EU) 2021/241.

In addition, resources allocated to Member States under shared management may, at their request, and in accordance with the conditions and the procedure set out in the Common Provisions Regulation for 2021-2027, be transferred to the Technical Support Instrument for the purpose of financing clearly identified technical support requests, and transferred back if not committed.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
Operational expenditures *	114,4	116,7	119,0	121,4	123,8	126,3	128,1	849,5
<b>Total</b>	<b>114,4</b>	<b>116,7</b>	<b>119,0</b>	<b>121,4</b>	<b>123,8</b>	<b>126,3</b>	<b>128,1</b>	<b>849,5</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The Technical Support Instrument is the successor of the Structural Reform Support Programme (SRSP) set for the period 2017-2020 and is part of the initiatives taken by the Commission in response to the outbreak of the COVID-19 pandemic, to help Member States mitigate the huge economic and social consequences.

The Technical Support Instrument builds on the success of the SRSP, which has funded since 2015 more than 1000 projects in 27 Member States, and has constantly experienced positive feedback from beneficiary Member States and excess demand in respect of the budgets available in the past selection rounds.

For the MFF 2021-2027, the Technical Support Instrument is scaled-up with a higher budget over the whole period of the MFF and a larger scope, including the support for preparing and implementing the recovery and resilience plans at national level. The Technical Support Instrument is consistent, coherent and complementary to the existing resources for capacity building and technical assistance, which are available within other Union financing programmes.

### 1.10. Relevant websites providing more information

Additional information about the programme can be found on the dedicated website – url below, which also provide links to projects examples and other relevant information sources.

[https://ec.europa.eu/info/funding-tenders/funding-opportunities/funding-programmes/overview-funding-programmes/technical-support-instrument-tsi\\_en](https://ec.europa.eu/info/funding-tenders/funding-opportunities/funding-programmes/overview-funding-programmes/technical-support-instrument-tsi_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

Commitment appropriations

06 01 01	Support expenditure for the "European Recovery and Resilience Facility (incl. Technical Support Instrument)"	2.040.000
06 02 02	Technical Support Instrument (TSI)	116.651.534
Total TSI		118.691.534

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.3. Previous programme performance

### 3.2. Key achievements


### 3.3. Evaluations, studies and reports

#### 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :To assist national authorities in improving their capacity to design, develop and implement reforms, including through exchange of good practices, appropriate processes and methodologies, and a more effective and efficient human resources management**

##### Indicator 1:Cooperation and support plans concluded

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2021	Milestones									2027
	27	27	27	27	27	27	27	27	27	27
	Actual Progress									Final
	27									

Are we on track	
Indicator type	Output
Unit of measurement	Units – yearly measurement
Cut-Off Date	19/02/2021
Data source	DG REFORM internal monitoring system
Link to the objective	To assist national authorities in improving their capacity to design, develop and implement reforms, DG REFORM signs cooperation and support plans with the supported Member States. This output indicator measures the number of Member States that benefit for the TSI support measure each year.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

##### Indicator 2:Number of support measures

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

##### Indicator 3:Technical support activities carried out

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2021	Milestones									2027
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	19/02/2021
Data source	DG REFORM internal monitoring system
Link to the objective	In order to achieve the Technical Support Instrument specific objective, DG REFORM designs and carries out technical support activities under direct or indirect management. By measuring the number of technical support activities carried out per year, this output indicator measures the efficiency of TSI in improving Member States' capacity to design, develop and implement reforms.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline data will be available when all TSI 2021 projects will be closed, not before end 2022.

Full metadata available at this address	
Justification of the trend	

**Indicator 4: Deliverables provided by the technical support activities such as action plans, roadmaps, guidelines, handbooks, and recommendations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2021	Milestones									2027
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Units
Cut-Off Date	19/02/2021
Data source	DG REFORM internal monitoring system
Link to the objective	In order to achieve the Technical Support Instrument specific objective, DG REFORM designs and carries out technical support activities under direct or indirect management. By measuring the number of deliverables provided by technical support activities carried out per year, this output indicator measures the effectiveness of TSI in improving Member States' capacity to design, develop and implement reforms.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline data will be available when all TSI 2021 projects will be closed, not before end 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Outcomes of the technical support activities provided, such as adoption of a strategy, adoption of a new law /act or modification of an existing one, adoption of (new) procedures and actions to enhance the implementation of reforms**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2021	Milestones									2027
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Units
Cut-Off Date	19/02/2021
Data source	DG REFORM internal monitoring system
Link to the objective	In order to achieve the Technical Support Instrument specific objective, DG REFORM designs and carries out technical support activities under direct or indirect management. By measuring the number of outcomes of the technical support activities provided per year, this outcome indicator measures the level of implementation of the technical support in the Member States.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline data will be available when all TSI 2021 projects will be closed and evaluated, not before end 2023.
Full metadata available at this address	
Justification of the trend	

**Indicator 6: The objectives set in the cooperation and support plans, which have been achieved due, inter alia, to the technical support received.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2021	Milestones									2027
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Units
Cut-Off Date	19/02/2021
Data source	DG REFORM internal monitoring system
Link to the objective	In order to achieve the Technical Support Instrument specific objective, DG REFORM designs and

	carries out technical support activities under direct or indirect management. By measuring the number of objectives set in the cooperation and support plans, which have been achieved due, inter alia, to the technical support received, this impact indicator measures the Technical Support Instrument contribution to member States structural reforms.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline data will be available when all TSI 2021 projects will be closed and evaluated, not before end 2023.
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

### **6. The programme contribution to horizontal policies**

#### **6.1. Contribution to climate mainstreaming**

Not applicable

#### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

#### **6.3. Contribution to clean air financing**

Not applicable

#### **6.4. Contribution to gender equality**

Not applicable

#### **6.5. Contribution to the sustainable development goals**

##### **6.5.1. Goals**

##### ***SDG 1 End poverty in all its forms everywhere***

The support measures for social protection and social welfare, are expected to increase the competent authorities' capacity to prepare, monitor, and evaluate reforms of social policies and programmes. The support measures are therefore also expected to strengthen the capacity of the competent authorities to deliver social protection benefits and services, especially to the most vulnerable populations such as children, the unemployed and inactive, inwork poverty people, the elderly, ethnic minorities, people with a migrant background, people living in informal settlements, as well as people with disabilities and long-term care needs. The support measures are further expected to contribute to the design and implementation of policies aimed at promoting affordable housing. In various social policy areas, the TSI support measures are expected to contribute to more integrated data collection, stronger analytical capacities and a more integrated administration and provision of benefits and services across various levels of government. Lastly, the support measures are expected to help improve emergency preparedness in migration management.

##### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

In the area of healthcare, the measures are expected to contribute to: i) the provision of strategic and operational tools for the governance, planning, monitoring and evaluation of health system resources in the areas of eHealth, health system performance assessment, cancer prevention and long-term care; ii) recommendations and tools for improving the accessibility of healthcare and the effectiveness of healthcare payment models; iii) the design and implementation of effective and efficient care delivery models, for instance in the areas of cancer care, medicines, blood transfusion and long-term care; and iv) the development and implementation of tools for improving the skills and expertise of the health workforce.

##### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The different support measures for **skills, education and training** are expected to help (through concrete recommendations, practical advice and guidance) to improve the quality, relevance, inclusiveness, efficiency and sustainability of concerned Member States' skills, education and training systems (both programmes and institutions). This should be achieved, and among other things, by (i) increasing the capacity of national and regional institutions to implement curriculum reform and the digital transformation of their education and training systems; (ii) enhancing the adaptability of teaching professionals, as well as their level of familiarity with digital teaching; (iii) drafting legislative proposals and governance frameworks for early school leaving policies and strategies; and iv) drafting new regulatory proposals to foster the cooperation between universities and businesses.

The support measures are expected to enhance the analytical capacity of various Member States in the area of **education reform**, including through (i) the systematic collection of data needed for policy design purposes; (ii) the improvement of IT systems and design of new e-tools to adapt to the post-COVID increasingly digitalised world; and (iii) the development of analytical tools needed to assess and anticipate skills gaps and training needs emerging from the green and digital transition. The measures should also allow the preparation of policies and specific guidelines to companies, national institutions and VET centres to upgrade the adult learning and vocational education and training offer and promote participation of potential beneficiaries.

***SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all***

The support measures for **energy and climate** are expected to contribute to greater energy efficiency, in particular in buildings, promote and deploy of renewable energy and hydrogen, set up a national decarbonisation fund, update energy and climate policies, implement and monitor energy and climate plans, and decarbonise specific sectors such as airports or energy sources such as gas. Furthermore, the support measures are expected to help authorities to implement territorial just transition plans, reduce energy poverty, enable citizen driven energy transition, improve the energy system integration, and reform the regulatory framework for network industries.

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

The different measures supporting **labour market policies** are expected to help improve the quality of and better target ALMP measures, including through innovative solutions. The support measures are also expected to help increase the competent authorities' administrative and analytical capacity in this area, including through: (i) the systematic collection of data needed for policy design purposes; (ii) new IT systems and platforms; and (iii) analytical tools to assess and anticipate labour market developments and profiling of job seekers.

***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

The different support measures for **public assets**, are expected, among other things, to contribute to better strategic planning and improved capacity for preparing and managing public investments, in particular infrastructure investments and guidance on the introduction of public private partnerships, better governance of spatial planning, more effective State aid, a stronger policy on the management of state-owned enterprises and improved management of state assets, including ports.

***SDG 13 Take urgent action to combat climate change and its impacts***

The support measures for **energy and climate** are expected to contribute to greater energy efficiency, in particular in buildings, promote and deploy of renewable energy and hydrogen, set up a national decarbonisation fund, update energy and climate policies, implement and monitor energy and climate plans, and decarbonise specific sectors such as airports or energy sources such as gas. Furthermore, the support measures are expected to help authorities to implement territorial just transition plans, reduce energy poverty, enable citizen driven energy transition, improve the energy system integration, and reform the regulatory framework for network industries.

***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

Support measures for natural resources, are expected, for example, to help to advance the green transition as part of the resilience and recovery plans, develop and implement strategies for sustainable development and policy instruments to accelerate the circular economy, improve water monitoring and waste management, improve the efficiency of environmental permits and inspections, and develop green infrastructure for transport. In addition, support measures will help to (i) increase the capacity to manage coastal and marine areas, (ii) be better prepared for forest pest risk, and (iii) improve wildfire management. Furthermore, it is expected that support measures will help develop capacity, governance and methodologies to encourage sustainable and smart mobility, improved transport and offer a better public transport service, which includes better coordination of transport hubs.

***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

The objectives of support measures for **anti-corruption strategies** include better implementation of anti-corruption action plans, closer national coordination and cooperation, and improved risk-assessment processes, financial control and auditing and whistleblowing systems.

The measures supporting the **fight against fraud** aim to help relevant stakeholders increase their capacity to manage risks and find operational solutions.

The support measures for **justice systems** are expected to help improve the functioning of justice systems, e.g. through measures that make justice systems more efficient and transparent, and that do this especially by helping to build the capacity of judicial institutions and better implement e-justice. The support is also expected to help improve the quality of the work of the judges and court staff and strengthen the independence of justice systems. Finally, support should also help in achieving specific goals, in particular the protection of victims.

---

The support measures for **e-Government/digital public administration** are expected to help improve the ICT maturity of Member States, enabling them to deliver better e-services to citizens and businesses and to deploy suitable back-office solutions supporting a transformed and efficient public service. The support measures will also contribute to Member States' readiness to provide services on the EU Single Digital Gateway.

**HEADING 2B: Resilience and Values****Protection of the Euro Against Counterfeiting**

Lead DG: ECFIN

1. Overview .....	482
1.1. Challenges .....	482
1.2. Mission (general objectives) .....	483
1.3. Specific objectives .....	483
1.4. Public intervention context .....	483
1.5. Actions .....	483
1.6. Delivery mode .....	484
1.7. Graphic overview of the programme structure .....	484
1.8. Legal basis and financial programming .....	485
1.9. Link with the 2014-2020 MFF .....	486
1.10. Relevant websites providing more information .....	486
2. Where are we in the implementation ? .....	486
2.1. Programme 2021-2027 .....	486
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	486
3. How is the programme performing ? .....	487
3.1. Performance .....	487
3.2. Key achievements .....	488
3.3. Evaluations, studies and reports .....	488
4. Programme 2021-2027 - Key monitoring indicators .....	488
Specific Objective 1 :To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.....	488
5. Programme 2014-2020 - Key monitoring indicators .....	491
Previous Program 1 : Exchange, assistance and training programme for the protection of the euro against counterfeiting (Pericles 2020) .....	491
Specific Objective 1 :To protect the euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop between themselves and with the European Commission a close and regular cooperation and an exchange of best practices, also where appropriate, including third countries and international organisations.....	491
6. The programme contribution to horizontal policies .....	492
6.1. Contribution to climate mainstreaming .....	492
6.2. Contribution to biodiversity mainstreaming .....	492
6.3. Contribution to clean air financing .....	492
6.4. Contribution to gender equality .....	493
6.5. Contribution to the sustainable development goals .....	493

**1. Overview****1.1. Challenges**

The protection of the European single currency as a public good has a clear transnational dimension, and therefore euro protection goes beyond the interest and the responsibility of individual EU MS. Considering the cross-border circulation of the euro, the deep involvement of international organised crime in euro counterfeiting (production and distribution), national protection frameworks need to be complemented in order to ensure homogeneous national and international cooperation, and to face possible emerging transnational risks.

## 1.2. Mission (general objectives)

The mission of the Pericles IV programme is to prevent and combat counterfeiting and related fraud, preserve the integrity of the euro banknotes and coins, thus strengthening the trust of citizens and business in the genuineness of these banknotes and coins and therefore enhancing the trust in the Union's economy, while securing the sustainability of public finances.

The programme will promote transnational and cross-border cooperation within the EU as well as internationally ensuring a global protection of the euro against counterfeiting, and will in particular, take responsibility for countering specific emerging threats and the (challenging) relationship with certain countries (as it is difficult for individual MS to effectively address these threats on their own).

## 1.3. Specific objectives

To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.

## 1.4. Public intervention context

The protection of the European single currency as a public good has a clear transnational dimension, and therefore euro protection goes beyond the interest and the responsibility of individual EU Member States. Considering the cross-border circulation of the euro, the deep involvement of international organised crime in euro counterfeiting (production and distribution), national protection frameworks need to be complemented in order to ensure homogeneous national and international cooperation, and to face possible emerging transnational risks.

The Pericles programme for euro-area Member States is based on Article 133 Treaty on the Functioning of the European Union (TFEU), as it lays down measures necessary for the use of the euro as the single currency. The application of the Pericles programme will be extended to the Member States that have not adopted the euro as their single currency, through a proposal for a parallel Regulation based on Article 352 TFEU.

The Treaty provides that the European Parliament and the Council shall lay down the measures necessary for the use of the euro as a single currency (Article 133 TFEU). These measures include inter alia the protection of the euro against counterfeiting. Based on that Article, the protection of the euro as the single currency is a responsibility of the EU. In parallel, the national authorities issue euro banknotes and coins, in line with Article 128 TFEU.

Member States have adopted national legislation and established internal rules for its protection. EU secondary legislation on counterfeiting contains provisions on multidisciplinary cooperation; the analysis, identification and withdrawal of counterfeit banknotes and coins; and authenticity checks for the protection of the euro. The Pericles IV programme complements, through its specific objectives, these regulatory tools and national frameworks for the protection of the euro.

The European framework of the protection of the euro also includes the following tools:

- [Council Regulation \(EC\) No 974/98 of 3 May 1998 on the introduction of the euro](#)
- [2005/37/EC: Commission Decision of 29 October 2004 establishing the European Technical and Scientific Centre \(ETSC\) and providing for coordination of technical actions to protect euro coins against counterfeiting](#) amended by [Commission Decision \(EU\) 2017/1507](#)
- [2005/511/JHA: Council Decision of 12 July 2005 on protecting the euro against counterfeiting, by designating Europol as the Central Office for combating euro counterfeiting](#)
- [Regulation 1338/2001 protecting the euro from counterfeiting in the euro area](#) and [Amending regulation 44/2009](#)
- [Regulation 1339/2001 protecting the euro from counterfeiting outside the euro area](#) and [Amending regulation 45/2009](#)
- [2010/597/EU: Decision of the European Central Bank of 16 September 2010 on the authenticity and fitness checking and recirculation of euro banknotes \(ECB/2010/14\)](#)
- [Authentication regulation 1210/2010 on euro-coin authentication & handling of coins unfit for circulation](#)
- [Council Regulation \(EC\) No 2182/2004 concerning medals and tokens similar to euro coins \(6/12/2004\)](#)
- [Council Regulation \(EC\) No 2183/2004 extending to the non-participating Member States the application of Regulation \(EC\) No 2182/2004 concerning medals and tokens similar to euro coins \(6/12/2004\)](#)
- [Directive 2014/62/EU on the protection of the euro and other currencies against counterfeiting by criminal law](#)

## 1.5. Actions

a) exchange and dissemination of information, in particular through organising workshops, meetings and seminars, including training, targeted placements and exchanges of staff of competent national authorities and other similar actions. The exchange of information shall, among others, be targeted at:

- best practices in preventing counterfeiting and fraud relating to the euro;
- methodologies for monitoring and analysing the economic and financial impact of counterfeiting;
- operation of databases and early warning systems;
- use of detection tools, including with computer back-up;
- enquiry and investigation methods;
- scientific assistance, including monitoring of new developments;
- protection of the euro outside the Union;
- research actions;
- provision of specific operational expertise.

(b) technical, scientific and operational assistance, as appears necessary as part of the programme including in particular:

- any appropriate measure which establishes teaching resources at Union level, such as a handbook of Union legislation, information bulletins, practical manuals, glossaries and lexicons, databases, especially in the area of scientific assistance or technology watch or computer support applications, such as software;
- relevant studies with a multidisciplinary and transnational dimension, including research on innovative security features;
- development of technical support instruments and methods to facilitate detection actions at Union level;
- support for cooperation in operations involving at least two States when such support is cannot be made available from other programmes of European institutions and bodies.

(c) the purchase of equipment to be used by specialised anti counterfeiting authorities of third countries for protecting the euro against counterfeiting, in compliance with Article 10(3)7 of the Pericles IV Regulation.

## 1.6. Delivery mode

The programme shall be implemented through direct management by the Commission. Directorate-General for Economic and Financial Affairs (DG ECFIN) is the lead DG for the programme implementation. Projects financed under the programme are implemented either directly by the Commission (DG ECFIN) or in the form of grants awarded to national competent authorities in the EU (both in the euro area and non-euro area Member States).

The programme shall provide, under the conditions set out in the annual work programmes referred to in Article 10 of the Pericles IV Regulation, financial support for the eligible actions.

Eligible actions include:

- a) exchange and dissemination of information, in particular through organising workshops, meetings and seminars, including training, targeted placements and exchanges of staff of competent national authorities and other similar actions.
- b) technical, scientific and operational assistance, as appears necessary as part of the Programme
- c) the purchase of equipment to be used by specialised anti-counterfeiting authorities of third countries for protecting the euro against counterfeiting in compliance with the article as referred to in the Pericles IV Regulation.

## 1.7. Graphic overview of the programme structure

**Lead DG**

- Directorate-General for Economic and Financial Affairs (DG ECFIN)

**Management Type**

- Direct management in accordance with the Financial Regulation (Regulation (EU, Euratom) No 2018/1046).
- The programme shall be implemented by the Commission in cooperation with the Member States, through regular consultations at different stages of the implementation of the programme.

**Specific objective**

- To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.

**Main types of expenditure**

- The programme shall provide, under the conditions set out in the annual work programmes, financial support for the following actions:
  - a) Exchange and dissemination of information, in particular through organising workshops, meetings and seminars, including training, targeted placements and exchanges of staff of competent national authorities and other similar actions.
  - b) Technical, scientific and operational assistance, as appears necessary as part of the Programme.
  - c) The purchase of equipment to be used by specialised anti-counterfeiting authorities of third countries for protecting the euro against counterfeiting, in compliance with the Article in the Pericles IV Regulation

**Eligible entities to apply for funding**

- Entities eligible for funding under the programme shall be the competent national authorities as defined in point (b) of Article 2 of Regulation (EC) No 1338/2001.

**1.8. Legal basis and financial programming****1.8.1. Legal basis**

Legal Basis	Period of application	Reference Amount (EUR million)
procedure 2018/0194/COD COM (2018) 369: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing an exchange, assistance and training programme for the protection of the euro against counterfeiting for the period 2021-2027 (the 'Pericles IV programme') Procedure 2018/0219/APP COM (2018) 371: Proposal for a COUNCIL REGULATION extending to the non-participating Member States the application of Regulation (EU) No .../2018 establishing an exchange, assistance and training programme for the protection of the euro against counterfeiting for the period 2021-2027 (the 'Pericles IV' programme)	2021 - 2027	6,2

**1.8.2. Legal basis explanation**

Proposal for a Regulation of the European Parliament and of the Council, submitted by the Commission on 31 May 2018, establishes an exchange, assistance and training programme for the protection of the euro against counterfeiting for the period 2021-2027 (the 'Pericles IV programme') (COM(2018) 369).

Proposal for a Council Regulation, submitted by the Commission on 31 May 2018, extending to the non-participating Member States the application of the proposal for Regulation (COM(2018) 369), establishes an exchange, assistance and training programme for the protection of the euro against counterfeiting for the period 2021-2027 (the 'Pericles IV' programme) (COM(2018)371).

**1.8.3. Financial programming table**

Financial Programming (EUR million)
-------------------------------------

	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>0,8</b>	<b>0,8</b>	<b>0,9</b>	<b>0,9</b>	<b>0,9</b>	<b>0,9</b>	<b>0,9</b>	<b>6,2</b>

#### 1.8.4. Financial programming explanation

Not applicable

#### 1.9. Link with the 2014-2020 MFF

Pericles IV is a continuation of the current Pericles 2020 programme. The key performance indicators have been updated to more accurately measure the performance of the programme. This strengthens the monitoring process. Furthermore, the application process is simplified through the use of the eGrants system (fully electronic management system for grants) via the [Funding and Tenders Portal](#)

#### 1.10. Relevant websites providing more information

Pericles IV programme:

[https://ec.europa.eu/info/business-economy-euro/euro-area/anti-counterfeiting/pericles-iv-programme\\_en](https://ec.europa.eu/info/business-economy-euro/euro-area/anti-counterfeiting/pericles-iv-programme_en)

(Website is currently not available for consultation)

Pericles 2020 programme

[https://ec.europa.eu/info/business-economy-euro/euro-area/anti-counterfeiting/pericles-2020-programme-exchanges-assistance-training\\_en](https://ec.europa.eu/info/business-economy-euro/euro-area/anti-counterfeiting/pericles-2020-programme-exchanges-assistance-training_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

Budget Line 06 03 01 - Protection of the Euro against counterfeiting – Financial year 2021 – Total appropriations

Commitments: EUR 834 082 - Payments: EUR 417 041

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	75 616 286 638	53 821 246 280
Implementation carry-overs	0	377 284 123
Implementation total	75 616 286 638	54 198 530 403
total envelop*	75 623 564 572	
cumulative implementation rate	100%	72%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The annual budget for the implementation of the Programme for the year 2020 was set at EUR 1 100 000, and a total of EUR 1 095 203 was committed in 2020. The Programme is implemented through co-financed actions (grants) originating from the competent authorities of the Member States and through "Commission actions", organised directly by the Commission.

The implementation of the Programme reflects the commitment of Member States and the Commission to protect the euro against counterfeiting. Discussions of the multi-annual strategy at the meetings of the Euro Counterfeiting Experts Group (ECEG) made it possible to commit 99.56% of the overall budget in 2020.

In 2020, the Programme committed to funding 9 projects in total. Altogether, 7 grants were successfully awarded from applications originating from the competent authorities of the Member States, a decrease from 10 grants in 2019. One application submitted in the second deadline was not awarded a grant as it did not fulfill the eligibility criteria. Furthermore, 1 Commission action was funded, but had to be cancelled due to the Covid-19 situation.

It is noteworthy that France (1), Italy (1) and Spain (3), the Member States most affected by euro counterfeiting, applied for grants again in 2020. In addition, The Netherlands and Romania have also successfully applied for grants as part of the programme in 2020. Of particular note is the Netherlands, a first time applicant to the Pericles 2020 Programme, which demonstrates the increasing participation of competent national authorities as beneficiaries to the programme. All their efforts enhance the protection of the euro, which is beneficial to all Member States.

The actions for which commitments were made in 2020 consist of 2 conferences, 2 technical trainings, 2 staff exchanges and 1 study. The actions are set to take place both inside and outside the EU depending on the specific needs to protect the euro against counterfeiting. Since its inception, the Programme has consolidated its regional approach by implementing actions involving particularly sensitive regions of the world. For the year 2020, grants were awarded for actions to take place in Latin America (a training seminar will be organised by Spain in Uruguay with attendants from a total of 19 Latin American countries) and South-Eastern Europe (a three-day conference will be organised by Romania in Bucharest with representatives from a total of 13 countries, including both EU Member States and countries in the region).

7 actions will be implemented in 2021 and later. Finally, 1 commitment has been made to cover the costs to incorporate the future Pericles IV programme (2021 – 2027) into the eGrants tool, a fully electronic (paperless) management system for grants.

The global COVID-19 pandemic has profoundly affected the implementation of the Pericles Programme in 2020. Pericles is an exchange, assistance and training programme that promotes transnational and cross-border cooperation within the EU, as well as internationally, in order to ensure a global protection of the euro against counterfeiting. The programme is implemented through actions with a wide intended range of participants from EU Member States and third countries, which therefore requires traveling and the conglomeration of groups. Due to the pandemic and the continued risks related to traveling and conglomeration, the safe implementation of these actions was no longer possible.

The ongoing epidemiological situation, which started in March 2020, has therefore resulted in the rescheduling of almost all of the actions to 2021.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

Pericles 2020 achieved its objective of protecting euro banknotes and coins against counterfeiting and fraud by supporting the Member States and assisting the competent national and Union authorities. The programme made a substantial contribution to the further improvement of coordination and cooperation at international, European and Member States level, as well as the creation of more solid structures for the protection of the euro (e.g.: the establishment of a specialised investigation group in Chile, and the increased cooperation networks in the Balkans). The programme also contributed to the adoption of legislation aimed at improving euro protection and the establishment of national central offices (e.g.: the establishment of National Central Office in Argentina).

The mid-term evaluation of the programme concluded that all findings converge towards a positive overall assessment. In particular, it notes that in terms of effectiveness, Pericles 2020 actions were typically implemented as planned and achieved the intended outputs, and evidence suggested that the outputs delivered did translate into tangible outcomes. Participant feedback provided immediately after events shows a high degree of appreciation, with 97% expressing a positive or highly positive assessment. More importantly, survey results showed that a large share of participants claimed to have learned about best practices, acquired useful skills, and established contacts with colleagues in other countries. The quality of actions was also judged positively by the authorities involved.

Available evidence suggested that the outputs delivered did translate into tangible outcomes, although there were some variations across the various groups and the type of progress recorded. Improvements in operational capabilities and the adoption of improved methods were emphasised by third country authorities and by individual participants in the programme's initiatives. A different situation was found regarding the improvements in international cooperation. In this case, the most positive results were achieved by the competent national authorities (CNAs), ECB and Europol. Positive developments were also reported by third country authorities and by individual participants, but to a less extent. This dichotomy in results well illustrated the challenges faced by the programme, which is confronted with a widely diversified audience, with different agendas, levels of capabilities, and needs that are not always easy to reconcile.

One of the recommendations from the mid-term evaluation was to encourage more competent national authorities to apply to the programme. This could be achieved by a more intense marketing strategy and the establishment of contacts with high level decision-makers to ensure the opportunities of the programme are well understood. In this respect, the advertising of the Programme and the increased co-financing rate for actions organised by new applicants led to several first time applicants.

Despite the fact that the phenomenon seems to be currently under control, counterfeiting continues to be a major threat to the euro. The increased number of counterfeit banknotes, the rise of ‘sophisticated’ counterfeits, the increasing availability of technology and the interest in counterfeiting of Organised Crime Groups requires a continuous attention.

The Pericles 2020 programme used a set of four specific quantitative performance indicators as laid down in the basic legal act: the number of (i) counterfeit detected, (ii) illegal workshops (print shops and mints) dismantled, (iii) individuals arrested, and (iv) penalties imposed.

Despite the fact that the performance indicators are linked to the protection of the euro and the results for these indicators are mainly on track to reach their targets, the primary challenge is that the link between the indicator results and Pericles 2020 actions is not direct as:

- other external factors can influence the indicators, and
- they primarily measure the repression (and not the prevention) aspect of the counterfeit phenomenon.

Quantifying the impact of a capacity building initiative in terms of operational results is an exercise fraught with difficulties due to the influence of a host of intervening factors (such as criminal intent of certain crime groups, priority set by Member States law enforcement, the length and scope of police investigations, etc.). This is particularly the case of initiatives intended to protect against criminal activities, the magnitude of which is almost by definition unknown.

Subject to this major caveat, there is evidence that, in selected situations, the programme has indeed exerted a direct tangible influence on euro protection operational activities (for example successful police operations in South America, following Pericles trainings as indicated in the mid-term evaluation of the programme). Moreover, for indicators (iii) and (iv) it has proved difficult to acquire the data and/or to adequately measure the indicator.

### 3.2. Key achievements

460 000	201 565	22	5 994	13	565
counterfeit euro banknotes were detected in 2020 <sup>(1)</sup>	counterfeit euro coins were detected in 2020 <sup>(1)</sup>	illegal workshops (mints and print shops) were dismantled in 2019 <sup>(1)</sup>	individuals arrested in 2019 <sup>(1)</sup>	seminars and exchange activities related to counterfeiting were funded in 2019	people took part in the different activities funded in 2019 (estimated number)

(1) These indicators, while linked to the protection of the euro, are not directly related to the implementation of the programme.

### 3.3. Evaluations, studies and reports

Mid-term evaluation:

The key findings of the latest evaluation: Communication from the Commission to the Council and the European Parliament on the mid-term evaluation of the Programme for exchange, assistance and training for the protection of the euro against counterfeiting (‘Pericles 2020’ Programme) COM/2017/0741 final, have been presented in the Programme Statements of the Draft Budget 2020.

Final evaluation:

**Pursuant to Article 13(6) of the Council Regulation (EU) No 331/2014, the Commission shall present to the European Parliament and to the Council by 31 December 2021, a final evaluation report on the achievement of the objectives of the programme.**

The evaluation will cover the different types of actions committed or implemented under the programme, also taking stock of the work carried out during the mid-term evaluation, published in 2017.

## **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations**

**Indicator 1: Number of counterfeit euros detected**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
----------	------	------	------	------	------	------	------	------	------	--------

Number of counterfeit euros detected (banknotes)										
	Milestones									
	Actual Progress									
										Final
Number of counterfeit euros detected (coins)										
	Milestones									
	Actual Progress									
										Final

Are we on track	No data
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	11/02/2021
Data source	Counterfeit Monitoring System (CMS)
Link to the objective	General objective (Article 2.1 of the legal basis): To prevent and combat counterfeiting and related fraud, preserve the integrity of the euro banknotes and coins, thus strengthening the trust of citizens and business in the genuineness of these banknotes and coins and therefore enhancing the trust in the competitiveness of the Union's economy, while securing the sustainability of public finances. Specific objective (Article 2.2 of the legal basis): To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.
Link MFF 14-20 / MFF 21-27	Same indicator as in MFF 14-20.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Number of illegal workshops dismantled

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									
										Final

Are we on track	No data
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	11/02/2021
Data source	The Commission shall collect the data for the number of illegal workshops dismantled. Feedback from the Member States' competent authorities.
Link to the objective	General objective (Article 2.1 of the legal basis): To prevent and combat counterfeiting and related fraud, preserve the integrity of the euro banknotes and coins, thus strengthening the trust of citizens and business in the genuineness of these banknotes and coins and therefore enhancing the trust in the competitiveness of the Union's economy, while securing the sustainability of public finances. Specific objective (Article 2.2 of the legal basis): To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.
Link MFF 14-20 / MFF 21-27	Same indicator as MFF 14-20.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of competent authorities applying to the Programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									
										Final

Are we on track	No data
-----------------	---------

Indicator type	Result
Unit of measurement	Number
Cut-Off Date	11/02/2021
Data source	The Commission shall collect the data for the number of competent authorities applying to the programme. Number of submitted applications.
Link to the objective	General objective (Article 2.1 of the legal basis): To prevent and combat counterfeiting and related fraud, preserve the integrity of the euro banknotes and coins, thus strengthening the trust of citizens and business in the genuineness of these banknotes and coins and therefore enhancing the trust in the competitiveness of the Union's economy, while securing the sustainability of public finances. Specific objective (Article 2.2 of the legal basis): To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.
Link MFF 14-20 / MFF 21-27	No indicator of MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Satisfaction rate of participants in the actions financed by the Programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	11/02/2021
Data source	The Commission shall collect the results of the evaluation of the participants' event feedback form.
Link to the objective	General objective (Article 2.1 of the legal basis): To prevent and combat counterfeiting and related fraud, preserve the integrity of the euro banknotes and coins, thus strengthening the trust of citizens and business in the genuineness of these banknotes and coins and therefore enhancing the trust in the competitiveness of the Union's economy, while securing the sustainability of public finances. Specific objective (Article 2.2 of the legal basis): To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.
Link MFF 14-20 / MFF 21-27	One of the KPI of the MFF 21-27 which did not exist in MFF 14-20.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Feedback of participants that have already taken part in previous Pericles actions on the impact of the Programme on their activities in protecting the euro against counterfeiting.

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	11/02/2021
Data source	The Commission shall collect the results of the evaluation of the participants' event feedback form.
Link to the objective	General objective (Article 2.1 of the legal basis): To prevent and combat counterfeiting and related fraud, preserve the integrity of the euro banknotes and coins, thus strengthening the trust of citizens and business in the genuineness of these banknotes and coins and therefore enhancing the trust in the competitiveness of the Union's economy, while securing the sustainability of public finances. Specific objective (Article 2.2 of the legal basis): To protect euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop

	among themselves and with the Commission a close and regular cooperation and an exchange of best practice, where appropriate including third countries and international organisations.
Link MFF 14-20 / MFF 21-27	One of the KPI of the MFF 21-27 which did not exist in MFF 14-20.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : Exchange, assistance and training programme for the protection of the euro against counterfeiting (Pericles 2020)*

**Specific Objective 1 :To protect the euro banknotes and coins against counterfeiting and related fraud, by supporting and supplementing the measures undertaken by the Member States and assisting the competent national and Union authorities in their efforts to develop between themselves and with the European Commission a close and regular cooperation and an exchange of best practices, also where appropriate, including third countries and international organisations**

**Indicator 1: Number of counterfeit detected**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Banknotes										
2011	Milestones									2020
606000										575700
	Actual Progress									Final
	838000	899000	684000	694000	563000	559000	460000			
Coins										
2011	Milestones									2020
157000										149150
	Actual Progress									Final
	192195	146899	150258	160914	179353	187602	201565			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	11/02/2021
Data source	Counterfeit Monitoring System (CMS)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Same indicator also in MFF 21-27
Other methodological comments	Target 2020: Keep counterfeit under control in an average +/- 5% compared to 2011.
Full metadata available at this address	
Justification of the trend	The indicator presents the number of counterfeit banknotes and coins found in circulation during the reference period. The target is an interval between +5% and -5% compared to the baseline. The figures reflect the impact of external factors such as those described in the section 3.1.3. of this document.

**Indicator 2: Number of illegal workshops dismantled**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
45										47
	Actual Progress									Final
	37	32	29	22	23	22				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	The Commission shall collect the data for the number of illegal workshops dismantled. Feedback from the Member States' competent authorities.
Narrative	
Methodology	

Link MFF 14-20 / MFF 21-27	Same indicator also in MFF 21-27.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator presents the number of illegal workshops dismantled by the law enforcement in the reference period. The figures reflect the impact of external factors such as those described in the section 3.1.3. of this document.

**Indicator 3: Number of individuals arrested**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target	
	Milestones									2020	
6858							7061				7061
	Actual Progress									Final	
	7946	8879	8724	7494	5932	5994					

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	
Data source	The Commission shall collect the data of the individuals arrested based on the info provided by the Member States.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	No indicator in MFF 21-27.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The number of arrests taking place in the reference period shows an increase in the first year of implementation of the programme that led to a small decrease in the rest of the implementation period. Therefore the cumulative average figure is on target.

**Indicator 4: Number of penalties imposed**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				3% increase compared to 2011			5% increase compared to 2011			5% increase compared to 2011
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data unavailable due to lack of reporting mechanisms in MS
Full metadata available at this address	
Justification of the trend	Not applicable

**6. The programme contribution to horizontal policies****6.1. Contribution to climate mainstreaming**

Not applicable

**6.2. Contribution to biodiversity mainstreaming**

Not applicable

**6.3. Contribution to clean air financing**

Not applicable

**6.4. Contribution to gender equality**

Not applicable

**6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING 2B: Resilience and Values****Union Civil Protection Mechanism (rescEU)****Lead DG:ECHO**

1. Overview .....	495
1.1. Challenges .....	495
1.2. Mission (general objectives) .....	495
1.3. Specific objectives .....	495
1.4. Public intervention context .....	496
1.5. Actions .....	496
1.6. Delivery mode .....	496
1.7. Graphic overview of the programme structure .....	496
1.8. Legal basis and financial programming .....	497
1.9. Link with the 2014-2020 MFF .....	497
1.10. Relevant websites providing more information .....	498
2. Where are we in the implementation ? .....	498
2.1. Programme 2021-2027 .....	498
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	498
3. How is the programme performing ? .....	499
3.1. Performance .....	499
3.2. Key achievements .....	501
3.3. Evaluations, studies and reports .....	504
4. Programme 2021-2027 - Key monitoring indicators .....	504
Specific Objective 1 :To achieve a high level of protection against disasters by preventing or reducing their effects by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services .....	504
Specific Objective 2 :To enhance preparedness at Member State and Union level to respond to disasters (European Civil Protection Pool and rescEU) .....	505
Specific Objective 3 :To facilitate rapid and efficient response in the event of disasters or imminent disasters, including by taking measures to mitigate the immediate consequences of disasters. ....	505
Specific Objective 4 :To increase public awareness and preparedness for disasters .....	506
5. Programme 2014-2020 - Key monitoring indicators .....	506
Previous Program 1 : Union Civil Protection Mechanism - Heading 3 .....	506
General Objective 1 :The Union Civil Protection Mechanism shall aim to strengthen the cooperation between the Union and the Member States and to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters .....	506
Specific Objective 1 :To achieve a high level of protection against disasters by preventing or reducing their effects by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services. ....	507
Specific Objective 2 :To enhance preparedness at Member State and Union level to respond to disasters. ....	508
Specific Objective 3 :To facilitate rapid and efficient response in the event of disasters or imminent disasters. ....	509
Specific Objective 4 :To increase public awareness and preparedness for disasters .....	510
Previous Program 2 : Union Civil Protection Mechanism - Heading 4 .....	510
General Objective 1 :The Union Civil Protection Mechanism shall aim at strengthening the cooperation within the EU and facilitating coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters in Third countries .....	510
Specific Objective 1 :To achieve a high level of protection against disasters by preventing or reducing their effects by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services. ....	511
Specific Objective 2 :To enhance preparedness in Third countries to respond to disasters. ....	511
Specific Objective 3 :To facilitate rapid and efficient response in the event of disasters or imminent disasters. ....	512

6. The programme contribution to horizontal policies .....	512
6.1. Contribution to climate mainstreaming .....	512
6.2. Contribution to biodiversity mainstreaming.....	513
6.3. Contribution to clean air financing.....	514
6.4. Contribution to gender equality .....	514
6.5. Contribution to the sustainable development goals.....	514

## **1. Overview**

### **1.1. Challenges**

The European Union ('the EU') plays a key role in coordinating the response to disasters in Europe and beyond. Disasters have affected every region of Europe in recent years, causing hundreds of casualties and billions in damage to infrastructure and the environment. Epidemics, flash floods, storms, forest fires, earthquakes, and human-induced disasters are continuously putting countries' response capabilities under pressure. Additionally, security concerns have become more complex and climate change is expected to worsen the impact of disasters in the future.

Large-scale and multi-sectorial crises, such as the unprecedented Covid-19 pandemic, have overwhelmed the ability of Member States and Participating States to help each other, revealing the vulnerabilities of the system and underlining the need for enhanced cooperation and coordination at EU level. This is particularly true when several countries are simultaneously confronted with the same type of emergency, and are therefore not able to assist each other. In those circumstances, action at EU level can ensure a faster and more comprehensive response.

The Covid-19 emergency has revealed once more that disasters know no borders, and the importance to continue strengthening and promoting consistency to the international dimension of civil protection, in particular with the countries in the immediate neighbourhood (IPA countries and countries under the European Neighbourhood Policy).

### **1.2. Mission (general objectives)**

The Union Civil Protection Mechanism ('the UCPM') aims to strengthen the cooperation between the Union, the 27 Member States and the six Participating States currently taking part in the UCPM (North Macedonia, Iceland, Montenegro, Norway, Serbia and Iceland, with the UCPM legal framework being applicable to the UK during the transitional period that ended on 31 December 2020), as well as to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters.

The UCPM promotes solidarity between the Member and Participant States through practical cooperation and coordination, without prejudice to the Member States' primary responsibility to protect people, the environment, and property, including cultural heritage, on their territory against disasters, and to provide their disaster-management systems with sufficient capabilities to enable them to cope adequately and in a consistent manner with disasters of a nature and magnitude that can reasonably be expected and prepared for.

Finally, the UCPM facilitates the cooperation in disaster response among the Member/Participating States, coordinating through the Emergency Response Coordination Centre (ERCC) the provision of assistance to disaster-stricken countries all over the world. The support provided through the UCPM can take the form of in-kind assistance, deployment of specially equipped teams, or assessment and coordination experts sent to the field.

### **1.3. Specific objectives**

The specific objectives of the UCPM are:

1. to achieve a high level of protection against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services;
2. to enhance preparedness at Member State and Union level to respond to disasters (European Civil Protection Pool and rescEU);
3. to facilitate rapid and efficient response in the event of disasters or imminent disasters, including by taking measures to mitigate the immediate consequences of disasters;
4. to increase public awareness and preparedness for disasters;
5. to increase the availability and use of scientific knowledge on disasters; and
6. to step up cooperation and coordination activities at cross-border level and between Member States prone to the same types of disasters.

## 1.4. Public intervention context

Civil protection obtained Treaty recognition for the first time with the entry into force of the Lisbon Treaty, with a specific legal base: Article 196 TFEU. The Union holds a supporting competence in this area, which is also indicated in Article 6 TFEU.

The UCPM was established in 2013 by Decision 1313/2013/EU. The Decision was subsequently amended in 2019 by Decision (EU) 2019/420. In addition, and in the framework of ongoing legislative revision, the resulting amendment to the initial Decision is likely to take the form of a Regulation. This is needed given that one of the provisionally agreed provisions relate to the carry-over of unused funds for response operations, which requires a derogation from Article 25(5) of the Financial Regulation. Such derogation is based on Article 322 TFEU, which calls for the adoption of a Regulation.

## 1.5. Actions

The UCPM is divided into three stands of activities: prevention, preparedness and response. For each activity, it lays out different types of actions.

Prevention and preparedness activities mitigate the effects of disasters. A training programme for civil protection experts from EU Member States and Participating States ensures compatibility and complementarity between intervention teams, while large-scale exercises each year train capacities for specific disasters. The EU supports and complements prevention and preparedness efforts of its Member States and Participating States by focusing on areas where a joint European approach is more effective than separate national actions. These include risk assessments to identify the disaster risks across the EU, encouraging research to promote disaster resilience and reinforcing early warning tools.

One of the key innovations of the 2019 legislative revision was the creation of a dedicated reserve of civil protection capacities, the rescEU reserve, as part of preparedness actions under the UCPM. rescEU is a European reserve of capacities to be mobilised as a last resort and to provide a safety net in case national capacities are overwhelmed. The initial focus of the rescEU reserve is set around three main areas: aerial firefighting capacities, including firefighting planes and helicopters; emergency medical capacities, including medical evacuation capacities; stockpiles of medical equipment, as well as field hospitals; and CBRN-related capacities, such as for instance decontamination. Capacities to cover other areas could also be developed.

Another main innovation of the 2019 legislative revision was the establishment of the UCPM Knowledge Network, bringing together civil protection and disaster management actors, centres of excellence, universities and researchers.

Under response, following a request for assistance by a Member State or third country through the UCPM, the Emergency Response Coordination Centre (ERCC) mobilises assistance or expertise. In addition, the ERCC monitors events around the globe 24/7 and ensures rapid deployment of emergency support through a direct link with national civil protection authorities. Specialised teams and equipment, such as forest firefighting planes, search and rescue, and medical teams can be mobilised at short notice for deployments inside and outside Europe.

## 1.6. Delivery mode

The lead DG in the European Commission for the UCPM is DG ECHO. The management mode is direct management.

Under Commission proposal COM/2020/220, indirect management under the UCPM is also introduced as a possibility for certain cases foreseen in the Financial Regulation<sup>1</sup>.

## 1.7. Graphic overview of the programme structure

---

<sup>1</sup> Following the political agreement reached in early February 2021, indirect management is expected to be introduced as a mode for budget implementation, albeit with limitations with respect to eligible bodies. Notably, the provision refers to sub-points (ii), (iv), (v) and (vi) of point (c) of Article 62(1)(c) of the Financial Regulation

Lead DG : DG ECHO		
Direct management by the DG		Indirect Management
<b>Prevention</b> [Specific Objectives 1, 4, 6] <div style="border: 1px dashed green; padding: 2px; float: right;">5%</div>	<u>Main actions</u> Grants (projects, capacity building, guidelines, etc.) Procurement (studies, peer reviews, advisory missions, etc.)	<u>Main beneficiaries</u> - MS/PS civil protection authorities (main) - International organisations - Research centres, academia - Private entities (e.g. consultancies)
<b>Preparedness</b> [Specific Objectives 2, 4, 5, 6] <div style="border: 1px dashed blue; padding: 2px; float: right;">85%</div>	<u>Main actions</u> Grants (projects, adaptation grants, development rescEU capacities, Procurement (training and exercises, projects, early warning/scientific support)	
<b>Response</b> [Specific Objectives 3, 4, 6] <div style="border: 1px dashed orange; padding: 2px; float: right;">10%</div>	<u>Main actions</u> Transportation and operations grants Procurement transport services (broker)	
		<u>Beneficiaries</u> As stated in <b>Article 62(1)(c)</b> of the Financial Regulation, eligible entities restricted to sub-points: <b>(ii), (iv), (v), (vi)</b>

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2017/0309/COD COM (2017) 772: Proposal for a DECISION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Decision No 1313/2013/EU on a Union Civil Protection Mechanism	2021 - 2027	1 262,9

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>772,7</b>	<b>775,1</b>	<b>786,5</b>	<b>239,1</b>	<b>243,8</b>	<b>248,6</b>	<b>253,6</b>	<b>3 319,4</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The UCPM in the upcoming MFF 2021-2027 builds on the positive results achieved through MFF 2014-2020. While budget for the UCPM was split under two headings in the MFF 2014-2020 (internal – external), it is placed under one single heading in the MFF 2021-2027 ('Heading 2: Cohesion, Resilience and Values') to further improve an effective and efficient budget implementation.

Another significant difference compared to the previous MFF period is that the UCPM financial envelope is now composed by two funding sources: a) the MFF *classic* profile, and b) an allocation stemming from the 'Next Generation EU' (NGEU) funds. As part of the comprehensive recovery instrument adopted to face the consequences of the Covid-19 pandemic, the UCPM/rescEU was identified as a key instrument contributing to the rapid recovery from the crisis through the enhancement of its structures to be prepared for and respond to future crises. As such, an additional allocation of EUR 2 billion was proposed, which complemented the EUR 1.2 billion proposed under the MFF profile, bringing the overall financial envelope to EUR 3.3 billion for the 7-year period.

In order to translate this ambitious budget into a reality, and building on the initial lessons learnt from the Covid-19 pandemic, the Commission tabled a new legislative proposal to further strengthen the UCPM in July 2020 [COM/2020/220]. Following intense

negotiations throughout 2020, a political agreement was reached in early 2021 by the co-legislators and the Commission. The main changes of the new proposal are direct procurement in specific cases of rescEU capacities by the Commission (currently possible only by MS), full Union financing for all rescEU capacities, establishing Union disaster resilience goals as part of prevention actions and more flexibility in budget execution (indirect management, multiannual work programmes, carry-over for commitments for response actions).

### 1.10. Relevant websites providing more information

DG ECHO website: [https://ec.europa.eu/echo/index\\_en](https://ec.europa.eu/echo/index_en)

As main interface with the external public, DG ECHO main website provides an overview of the different activities carried out by the DG, as well as funding opportunities. The website also contains all key strategic documents and relevant legislative texts guiding the work of the DG.

ERCC portal: <https://erccportal.jrc.ec.europa.eu/>

The ERCC portal compiles all information products produced by DG ECHO and/or relevant partners supporting disaster management. Factsheets, daily maps, country-specific information and links to other relevant monitoring tools are found in the portal.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

As regards Commitment Appropriations, the budget adopted in 2021 is in line with the financial programming and the request made for 2022 exceeds the indicative financial programming by EUR 30 million as identified needs require higher financial envelope. The payment appropriations are established on the basis of estimated payment needs triggered by old and new commitments. Implementation is expected to reach 100%.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

Union Civil Protection Mechanism – Heading 3

	Commitments	Payments
Implementation Voted budget	728 969 070	337 257 963
Implementation carry-overs	0	1 861 779
Implementation total	728 969 070	339 119 742
total envelop*	766 548 000	
cumulative implementation rate	95%	44%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Union Civil Protection Mechanism – Heading 4

	Commitments	Payments
Implementation Voted budget	155 598 038	69 582 342
Implementation carry-overs	0	1 564 032
Implementation total	155 598 038	71 146 374
total envelop*	157 657 655	
cumulative implementation rate	99%	45%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

In a context in which the scope for action was widened considerably to foster the EU's capacity to respond to crises, with a substantially increased budget to fund new operations (the legal basis was amended in 2018), implementation under Heading 3 reached a level of 95%. The implementation under Heading 4 reached a level of 99%.

Budget implementation in 2020 was characterised by challenges relating to COVID-19, resulting in an unprecedented number of activations of the Union Civil Protection Mechanism. The instrument therefore received several budgetary reinforcements (under both heading 3 and heading 4) totalling EUR 442 million through two amending budgets (EUR 415 million) and redeployments from other instruments (EUR 27 million). Such reinforcements funded the creation of the first-ever emergency stockpile of medical equipment (protective equipment, ventilators, etc.) and the repatriation of EU citizens stranded in non-EU countries. The increased budget largely explains the low implementation of payment appropriations in 2014-2020 (45%), as the majority of related payments will be made from 2021 onwards.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

The UCPM is not a regular programme funded by the Union, but rather a more complex policy instrument that supports Member States and Participating States in the area of civil protection, intervening in all phases of the disaster risk management cycle (prevention, preparedness, response). By its external dimension, the UCPM also supports the EU as a global actor, projecting EU solidarity in disasters beyond the EU borders.

##### *Performance*

In general terms, the UCPM has shown a **strong performance** over recent years. Notably:

- In the area of **prevention**, the UCPM has been instrumental in fostering an EU-wide culture of prevention, supporting notably those Member States and neighbouring countries whose structures and policies were not sufficiently advanced. Through the compilation of national risk assessments and the dissemination of a document outlining a risk profile at EU level, Member States have generally become more aware of the need to strengthen prevention policies and taken significant steps thereto. Over the past years, some Member States have undertaken bold reforms in their national civil protection structures to emphasise precisely the role of prevention. The UCPM has accompanied and supported such measures. The 2020 EuroBarometer survey (Q1 –What is the risk awareness level in your region?) reveals a positive trend between 2015 and 2020, with awareness level in 2020 at 64% – with an increase of 9 percentage points compared to 2015.
- Prevention strand of work has also included fostering cooperation and coordination of activities at cross-border level. One of the main tools for supporting cross-border cooperation in civil protection and risk management is UCPM prevention and preparedness grants. In 2020, over EUR 6.5 million were awarded to seven projects implemented by partners from 12 Member States and several Participating States and focusing on the development of cross-border risk assessments, improved regional and cross-sectoral coordination and preparation for marine pollution accidents. Attention to the cross-border cooperation issues has also been strengthened a result of the revision of the UCPM Decision in 2019: in line with the new reporting provisions, Member States are required to share regularly information on priority prevention and preparedness measures taken to address disaster risks with cross-border impacts.
- In the area of **preparedness**, there is a clear trend that shows the growing importance the UCPM is having among Member States when it comes to being prepared for disasters. The number and diversity of registered capacities in the European Civil Protection Pool is the highest ever, reaching in certain areas the maximum required at EU level. Moreover, the concrete implementation of the revised UCPM legislation (in force since April 2019) has also strengthened the preparedness component of the UCPM through the progressive development of rescEU capacities in different areas, complementing national capacities. A sophisticated training and exercises programme provides every year experts and capacities with the required competences to better respond to disaster through enhanced coordination, compatibility and complementarity. To support the coordination efforts of Member States and the UCPM, the Knowledge Network was created in 2019. It aims at bringing together civil protection and disaster management experts and organisations, encouraging them to work together to increase **knowledge** within the UCPM and support the Union's ability and capacity to deal with disasters.
- Concerning the **external dimension of prevention and preparedness** activities (covered by former Heading 4), the focus continued to be put on strengthening the cooperation with the immediate neighbourhood, notably with the IPA countries (Western Balkans in particular) as well as the whole Southern and Eastern Neighbourhoods. With the aim to continue bringing these countries closer to the UCPM, new phases of regional programmes in the Balkans and in the Eastern neighbourhood were launched, despite the difficult Covid crisis context and the lack of face-to-face meetings. Moreover,

the dialogue with the Union for the Mediterranean (UfM) has been revamped building on the positive exchanges from past year, delivering concrete results in the form of specific workshops around different areas related to disaster management in general. In addition, the emphasis was also put on continuing financing prevention and preparedness projects in third countries with a cross-border dimension. Such initiatives have been instrumental in promoting cooperation at technical level, developing networks and promoting capacity building. Moreover, continuous efforts were done to increase **the availability and use of scientific knowledge on disasters**. DG ECHO continued strengthening the early warning and information systems for natural disasters (e.g. droughts, floods, forest fires, tropical cyclones or severe weather), and made extensive use of the services and information provided via the Copernicus programme for emergency management, climate change, and security, as well as the interfaces between these three areas. DG ECHO continued strengthening its Geographic and Information System (GIS) capacity to keep supporting operations by means of cartographical and geospatial products. Such services have supported the activities of the UCPM both inside and outside the EU.

- Concerning **response**, despite the unpredictable nature of disasters, the UCPM is very often activated to support Member States and third countries. An activation of the UCPM and providing rapid support it is seen by many Member States as a sign of European solidarity. Moreover, it needs to be underlined that most of the activations of the UCPM are requested by third countries (around 2/3 of UCPM activations are from non-EU countries), which shows the international relevance that the UCPM has acquired and the capacity and will that EU Member States have to send assistance and expertise to third countries in need.
- Concerning the increase of **public awareness and preparedness for disasters**, the various UCPM deployments and operations offered unprecedented opportunities for media and social media communication. DG ECHO has been working very closely and provided necessary support to communication activities by EU Delegations and Commission Representations and by communication multipliers in the Member States and Participating States, to increase the level of awareness of the UCPM. DG ECHO also ran several awareness campaigns in 2020. A campaign on enhanced EU Civil Protection, with online advertising in six EU Member States (Croatia, France, Greece, Italy, Portugal and Spain), reached more than 65 million online views on Facebook/Instagram, YouTube and premium news sites. Despite the fact that the UCPM is more often activated by third countries, efforts to raise awareness of the UCPM in third countries should be continued. In this regard, the role of EU Delegations and the DG ECHO regional offices is essential.

#### Areas of improvements and external factors

Despite a strong performance over the past years, a legislative proposal to strengthen the UCPM was tabled at the end of 2017 and entered into force in April 2019. The proposal addressed some of the limitations identified by the Interim Evaluation conducted in 2017 and by conclusions drawn from operations. The fact that this important legislative modification was carried out without disrupting the proper functioning of the instrument also shows the degree of maturity that the UCPM has been able to reach.

While showing the added value that this reform brought to the UCPM, notably with the creation of the first ever emergency stockpile of medical equipment under rescEU, the large-scale and unforeseen nature of the Covid-19 pandemic put the UCPM to the test and revealed some areas for improvement. As such, in the aftermath of the first wave of the crisis, a new legislative proposal was tabled [COM(2020)220 final] with targeted improvements, for which a political agreement was reached by the co-legislators in early February 2021 and is expected to enter into force by May 2021. The legislative review was also aiming at aligning the financial envelope of the UCPM with the figures of the next MFF. The areas of improvement are related to three main domains:

- a) Although the development of rescEU capacities was an important step forward, it was clear that swift action in moments of emergency was needed. The previous scheme for the development of rescEU capacities involving necessarily a Member State was not always rapid enough, and as such, the new legislation proposed to grant the Commission with additional elements of initiative, such as the possibility to directly procure capacities in certain cases. A compromise was found during political trilogue granting the Commission a higher autonomy in certain cases.
- b) Another element that required further adjustment was the collective planning (prevention and preparedness) for large-scale and cross-boundary emergencies. A proposal to develop Union Resilience Goals, assessing the risks, capability gaps and proposing elements to fill these was also established.
- c) Finally, another area where improvement was needed was related to the budgetary management and needed flexibility to rapidly react and adjust to major crises. As such, a much more flexible budget structure, and with in-built mechanisms (e.g. carry-over) was proposed to increase the efficiency of the UCPM in fulfilling its mandate. The final compromise package reached in February 2021 retained this possibility, which is expected to enter into force by May 2021 following the vote in the EP Plenary of end April 2021.

In addition to the areas of improvement revealed by the Covid-19 pandemic, DG ECHO continues to work on the establishment of the Knowledge Network, one of the key innovations of the 2019 legislative revision. A complex activity, consisting of connecting several activities between disaster related stakeholders, knowledge holders and governance structures; the success of the Network

will rely on its capacity to address the needs of its members and of the UCPM in an efficient and effective way. While the Commission is responsible for its establishment, the construction of the Knowledge Network will only be feasible with the entire collaboration of the Member States and Participating States.

As far as the external dimension is concerned, DG ECHO should continue to reflect in structuring a coherent and proactive international strategy addressing the extension of the UCPM to new Participating States (including criteria to join), as well as the modalities of partnership with the non-participating States (third countries), regional and international organisations. This would also help in ensuring an efficient coordination with all other available tools and funding mechanisms (rescEU, Knowledge Network, trainings, table top and field exercises, peer reviews etc...) in a Team Europe approach.

### Covid section

The Covid-19 pandemic has had a significant impact on the UCPM activities, due to the unforeseen consequences generated by the pandemic. This has required constant and rapid adaptation to the situation, leading generally to two main scenarios: a) finding flexible approaches in order to carry out the different activities foreseen in the Management Plan and different Unit Work Plans; or b) rapidly adapting to new events and setting up new activities/initiatives not initially planned.

Concerning new initiatives not initially planned, the Covid-19 pandemic resulted in an unprecedented number of activations of the UCPM requesting the provision of medical equipment, as well as support for the repatriation of EU citizens (and others) stranded in third countries. In this context, further budgetary reinforcement was necessary and additional financial resources were allocated under the UCPM through two amending budgets (for rescEU medical stockpile, repatriations of EU citizens).

Other areas that have been particularly affected by the pandemic are for instance the ones related to training and exercises, given the restrictions in place and the impossibility of conducting such events by virtual means. Another area whose normal development has been disrupted is the submission of prevention-related information. Given the crucial role that civil protection authorities play in the response to the pandemic, the management of this health crisis has forced some Member States to redirect all resources to response and coordination operations, at the expense of other less urgent tasks, such as reporting. However, this does not affect the validity of this Programme Statement as the deadline for reporting under discussion was 31 December 2020. Prevention-related information, even if with some delay, is gradually coming in during the first months of 2021.

Finally, due to the Coronavirus outbreak, many of the initially planned communication actions had to be revised or postponed, while a large share of the delivered work focused on showing and explaining the EU response to the pandemic (including rescEU preparedness measures and deployments, repatriations, Humanitarian Air Bridge operations).

## 3.2. Key achievements

### *Union Civil protection Mechanism – Internal*

45	18	109	11	15
activations of the Union Civil Protection Mechanism inside the EU in 2020 (100% response rate)	Prevention and preparedness projects have been financed under the UCPM.	Response capacities committed to the European Civil Protection Pool, 75 of which were available for immediate deployment by the end of 2020	Grant agreements signed with 9 Member States for a total funding of EUR 385 million for the creation of the first ever stockpile of emergency medical equipment (protective equipment, ventilators, etc)	Grant agreements signed with Member States and Participating States for Knowledge Network related activities.

The year 2020 was fundamentally shaped by the Covid-19 pandemic, which had a great impact on all UCPM activities (prevention, preparedness and response). This resulted in a necessary adaptation of initially programmed activities, as well as the rapid realisation of new initiatives needed to respond to the large-scale consequences of the pandemic. This section outlines some of the key achievements of 2020:

#### *General*

- From a communication perspective, the Coronavirus outbreak put on hold many of the initially planned communication actions. A large share of the delivered work focused on showing and explaining the EU response to the pandemic (including rescEU preparedness measures and deployments, repatriations). Large-scale emergency deployments, such as the response to the Beirut explosion or the Croatian earthquake, also triggered considerable communication needs.

- The pandemic also led to the cancellation of the celebration of the European Civil Protection Forum, which was foreseen in December 2020. However, an alternative proposal was put forward, proposing to hold several ‘warm-up’ virtual events that would prepare and contribute to the celebration of the live event (date still to be determined). The first of these virtual ‘warm up’ events took place in December 2020, and focused on the importance of enhancing cross-sectoral cooperation in crisis management.

#### *Prevention*

- In 2020, the UCPM financed **18 prevention and preparedness projects**. Seven under the cross-border financing track (‘Track 2’), and 11 projects under the single-country financing track (‘Track 1’) for leveraging investments for disaster risk management. Out of the 18 grants, 11 targeted primarily disaster prevention, while 7 targeted disaster preparedness.
- Related to ‘Track 1’ grants, a joint DG ECHO-World Bank study on the economic dividends of disaster prevention and preparedness and on improved risk transfer mechanisms (including insurance) was initiated and will be finalised in the first quarter of 2021. Under the leadership of DG ECHO, this study brings together 5 other DGs (ECFIN, CLIMA, JRC, ENV, REGIO).
- The reporting guidelines for the submission of the summaries of risk assessments and risk management capabilities as foreseen in article 6.3 of Decision 1313/2013/EU were published in December 2019 ahead of the 22 December indicative date. This can be considered a **climate-related** objective, as the new guidelines introduced climate adaptation as one of the criteria to be taken into account by Member States in the future.

#### *Preparedness*

- By the end of 2020, a total of **109 response capacities were committed to the European Civil Protection Pool**, 75 of which were available for immediate deployment.
- Eleven new adaptation grants with 11 Member States were granted in 2020 for a total amount of EUR 4.8 million for the upgrading and repairing of national capacities to allow for their international deployment.
- To date, four European Emergency Medical Teams (EMTs) that received the WHO classification (verification) are registered in the European Civil Protection Pool. In 2020, several deployments of medical teams under the European Medical Corps were facilitated by the UCPM (to Italy, Armenia and Azerbaijan)
- The **rescEU transition scheme** continued to be implemented as foreseen in the legislation in 2020. The Commission signed grant agreements with Member States (Croatia, Italy, Spain, Greece, France and Sweden) to make aerial forest firefighting assets available at EU level during the 2020 forest fire season. This reserve consisted of 15 assets/6 capacities (8 Canadair, 1 Dash and 6 helicopters). Over EUR 15.5 million were dedicated to this action. This can be considered a climate related achievement, as it had a direct impact on the capacity of the Union to support Member States extinguishing forest fires.
- In parallel, the Commission put in place a number of dedicated **Task Teams** meetings to define all the technical and operational specifications to establish as rapidly as possible the rescEU capacities in the priority areas identified by the legislation: aerial firefighting capacities, medical capacities and Chemical Biological Radiological and Nuclear (CBRN) capacities. A total of 9 Task Teams meetings were organised in 2020.
- The Commission has also created the first ever stockpile of emergency medical equipment under the rescEU reserve which included a wide range of medical equipment, such as personal protective equipment (e.g. masks, gloves, gowns, etc.), as well as ventilators. In 2020 alone, the Commission signed a total of **11 grant agreements with 9 Member States** for a total funding of EUR 385 million.
- In 2020, due to COVID 19, most of the training and exercises activities have been suspended. This suspension time was used to revisit the entire training programme and adapt it to the future challenges. It was also an opportunity to transform some of our training and exercise into virtual activities. The lessons of these online activities will be assessed to render in the future activities more performant. In addition in 2020, **15 grants agreements** have been signed to carry out in 2021 and 2022 UCPM exercises and network partnership activities. Finally, 2020 was an opportunity for the Commission to concentrate on the establishment of the Knowledge Network through a series of meetings and brainstorming with Member States and Participating States.

#### *Response*

- In 2020, the UCPM was at the frontline of the response to the Covid-19 outbreak using tools and capacities to respond both inside and outside the EU. From the 102 times the UCPM was activated (over 5 times more than in 2019), **45 were inside the EU**. Out of 102 activations, 85 (83%) were Covid related. The UCPM had a 100% response rate inside Europe.
- More concretely, in 2020, 58 requests have been received for in-kind assistance through the UCPM for personal protective or medical equipment, diagnostic tests, medicines and medical teams (including from 10 EU Member States, with the Netherlands activating twice), 3 UCPM Participating States, 40 third countries (with the Kyrgyz Republic and Belarus activating twice) and 2 International Organisations. 43 requests have since been closed. 31 requests have been partially or fully met by Member and the UCPM Participating States or from the rescEU medical stockpile. In total, the UCPM facilitated the delivery of over 18 million items of critical personal protective and medical equipment in 2020, including over 3 million items from the rescEU stockpiles.
- Apart from Covid-19, assistance via the Mechanism was provided to Croatia (earthquake).

### Union Civil protection Mechanism – External

57	17	100 000	2	32
Activations of the Union Civil Protection Mechanism outside the EU in 2020, 17 of which were non-Covid related.	EU civil protection experts deployed in Lebanon in 2020 following the blast in the port of Beirut, in addition to search and rescue and CBRN modules	Passengers repatriated to Europe, including 90,060 EU citizens in 408 flights	New regional programmes were successfully launched on prevention, preparedness and response (IPA countries; Eastern Partnership countries - PPRD EAST III)	Activations of the Copernicus Emergency Management Service in 2020

The UCPM intervenes in all phases of the disaster management cycle: prevention, preparedness and response. This section outlines some of the key achievements of 2020 in the three areas:

- The UCPM financed two cross-border disaster prevention and preparedness projects which directly target third countries. The former aims to develop a cross-border risk assessment in North Macedonia and Albania. The latter aims to strengthen a network working on training for emergency medical teams, bringing together partners from Israel and Turkey (among others).
- A new methodological framework for the ‘Peer review on disaster risk management’ programme was adopted. The new methodology was established following ample consultation with experts from Member States and International Organisations.
- Building on the significant steps taken in 2019, the regional cooperation with Mediterranean countries was further strengthened through the Union for Mediterranean (UfM) with the celebration of dedicated events around the different working groups agreed in 2019, namely (1) engaging citizens in disaster risk management, (2) civil protection volunteers and (3) preparing for efficient mutual assistance.
- **Two new regional programmes were successfully launched** on prevention, preparedness and response in IPA countries as well as with the Eastern Partnership countries (PPRD EAST III), aiming at bringing these countries closer to the UCPM.
- In 2020, the UCPM was at the frontline of the response to the Covid-19 outbreak using tools and capacities to respond both inside and outside the EU. From the 102 times the UCPM was activated (over four times more often than in 2019), **57 activations were outside the EU**. Out of 102 activations, 85 (83%) were Covid related.
- DG ECHO continued strengthening the early warning and information systems for natural disasters (e.g. droughts, floods, forest fires, tropical cyclones or severe weather) and made extensive use of the services and information provided via the Copernicus programme for emergency management, climate change, and security, as well as the interfaces between these three areas, resulting in **32 activations** of the Copernicus Emergency Management Service in 2020 for disasters outside the Union.

- The UCPM replied positively to 51% of the requests for assistance from outside Europe. DG ECHO mainly supported Member States most heavily affected through the delivery of personal protective equipment under the framework of the rescEU stockpiling.
- Apart from Covid-19, assistance via the Mechanism was provided to Lebanon (industrial accident), with the deployment of **17 civil protection experts** (6 search and rescue teams, a CBRN and a TAST team).

Moreover, the Commission through DG ECHO has also been heavily involved in the repatriation efforts of EU citizens stranded around the world due to the pandemic. In 2020, the UCPM has facilitated the repatriation of 100,313 passengers (including 90,060 EU citizens) to Europe on 408 flights.

### 3.3. Evaluations, studies and reports

#### *EU Civil protection Mechanism – Internal & External*

Article 34(2) of the revised Decision 1313/2013/EU foresees the requirement to submit a report every two years to the European Parliament and to the Council on the ‘progress towards the capacity goals and remaining gaps’ regarding the European Civil Protection Pool, taking into account the establishment of rescEU capacities.

In order to fulfil this requirement, the Commission launched in 2018 a Capacities study, whose final report was published on DG ECHO’s website in December 2019. Based on this study, the ‘Capacity Gaps Report’ was supposed to be finalised during 2020. However, the Covid-19 pandemic led to some delays and the report will be prepared in 2021 taking for the first time into account both the capacities under the European Civil Protection Pool (ECP) and under rescEU.

During 2020, an external evaluation of the ‘Prevention and Preparedness Projects (2014-2020)’ was commissioned in order to extract key lessons from this activity over the past years and identify avenues for improvement. The results are expected to be finalised by April 2021.

Finally, in 2020, DG ECHO published the third edition of the SWD on the ‘Overview of risks that the Union may face’ presenting the latest available evidence on disaster risks that threaten the EU, drawing on the national risk assessments developed by the EU Member States and on the Commission’s cross-sectoral policy and scientific work.

## **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :To achieve a high level of protection against disasters by preventing or reducing their effects by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services.**

**Indicator 1: Number of Member States that have made available to the European Commission a summary of risk assessments and assessment of risk management capability**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
27										27
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	No of Member States
Cut-Off Date	
Data source	Member States’ reporting to the Commission
Link to the objective	European Green Deal
Link MFF 14-20 / MFF 21-27	This indicator is linked to Indicator 1 & 2 (Specific Objective 1) under the previous programming period.
Other methodological comments	Legal obligation for Member States to report first time by 31/12/2020 and every three years thereafter.
Full metadata available at this address	
Justification of the trend	The first deadline for Member States’ and UCPM Participating States’ reporting under the revised UCPM Decision was 31/12/2020. Not all Member States have reported by the deadline due to the pre-occupation of civil protection services with the Covid-19 emergency, which came at the expense of other, less urgent reporting tasks. However, though with some delays, the reports are being submitted in 2021.

## Specific Objective 2 :To enhance preparedness at Member State and Union level to respond to disasters (European Civil Protection Pool and rescEU)

### Indicator 1: Number of committed and certified capacities included in the European Civil Protection Pool (ECPP)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									>60
60	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of capacities
Cut-Off Date	
Data source	The registration of modules are found in Common Emergency Communication and Information System (CECIS) data base.
Link to the objective	Promoting our European Way of Life
Link MFF 14-20 / MFF 21-27	Continuation of indicator (Specific Objective 2 – Indicator 1)
Other methodological comments	The indicator covers the number of modules, as well as technical assistance and support teams and other response capacities registered in CECIS as part of the Pool. As Member States and Participating States are directly responsible for registering capacities in CECIS, DG ECHO uses an additional internal monitoring tool to verify and (where necessary) request MS/PS to correct their CECIS registrations.
Full metadata available at this address	<a href="https://myintracomm-collab.ec.europa.eu/networks/ECHOMEETINGS/A2_unit/SitePages/Home.aspx">https://myintracomm-collab.ec.europa.eu/networks/ECHOMEETINGS/A2_unit/SitePages/Home.aspx</a>
Justification of the trend	

## Specific Objective 3 :To facilitate rapid and efficient response in the event of disasters or imminent disasters, including by taking measures to mitigate the immediate consequences of disasters.

### Indicator 1: Response time of the Union Civil Protection Mechanism to a request of assistance (inside and outside the EU)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
3h (inside) 10h (outside)										3h (inside) 10h (outside)
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Hours
Cut-Off Date	
Data source	Common Emergency Communication and Information System (CECIS) database.
Link to the objective	Promoting our European Way of Life
Link MFF 14-20 / MFF 21-27	This indicator is linked to Indicator 1 (Specific Objective 3) under the previous programming period.
Other methodological comments	Measured as the duration between the moment a request for assistance has been received in the Emergency Response Coordination Centre and the first offer of assistance in CECIS.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Adequacy of response of the Union Civil Protection Mechanism (inside and outside the EU)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
66% (inside) 86% (outside)										90% (inside) > 86% (outside)
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage

Cut-Off Date	
Data source	Common Emergency Communication and Information System (CECIS) database.
Link to the objective	Promoting our European Way of Life
Link MFF 14-20 / MFF 21-27	This indicator is linked to Indicator 2 (Specific Objective 3) under the previous programming period.
Other methodological comments	This indicator measures the percentage of the request for assistance that has been successfully met with offers for assistance.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 4 :To increase public awareness and preparedness for disasters.

#### Indicator 1:Level of awareness of Union citizens of the risk of their region

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2020	Milestones									
n.a.										> 64%
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	
Data source	Eurobarometer
Link to the objective	Promoting our European way of life.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : Union Civil Protection Mechanism - Heading 3

**General Objective 1 :The Union Civil Protection Mechanism shall aim to strengthen the cooperation between the Union and the Member States and to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters**

#### Indicator 1:Economic damage caused by natural disasters

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010-2012	Milestones									2020
14,8	13	13	13	13	13	13	13			13
	Actual Progress									Final
	6,7	4,7	11,2	4,8	2,3	3,1	7,8			7,8

Are we on track	On track
Indicator type	
Unit of measurement	USD Billion
Cut-Off Date	31/12/2020
Data source	As recorded in the EM-DAT database
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Estimate based on the average of annual economic damage of the past 10 years. The data reflects economic damage caused by natural disasters worldwide excluding the economic damage caused by natural disasters in the Member States of the European Union. The EM-DAT base is frequently updated and historical data revised.
Full metadata available at this address	
Justification of the trend	A very important part of the annual results and evolution of this indicator depends on external factors (occurrence, frequency, severity and location of disasters) which are totally beyond the control of the Commission. In addition, the proportion of reported damages varies strongly by region, disaster type,

	and time. The specific contribution of the Union Civil Protection Mechanism to the evolution of this indicator is difficult to assess.
--	--

**Specific Objective 1 :To achieve a high level of protection against disasters by preventing or reducing their effects by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services.**

**Indicator 1: Number of Member States that have made available to the Commission a summary of their risk assessments.**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
14			27	28	28	28	27			28
	Actual Progress									Final
	17	27	28	28	23	26	n.a.			n.a.

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of Member States
Cut-Off Date	
Data source	Member States' reporting to the Commission
Narrative	Member States reporting to the Commission
Methodology	This indicator has become obsolete in 2020 due to legal changes in reporting requirements. The UCPM Decision No 1313/2013/EU, as amended by the Decision No 2019/420/EU, no longer requires Member States to submit separate summaries of their risk management capabilities, but rather combined reports on risk management. In 2020, Member States reported under the new requirements.
Link MFF 14-20 / MFF 21-27	This indicator is now covered by the new indicator "Number of Member States that have made available to the Commission an assessment of their risk management as referred to in Article 6.1(d) of the Decision".
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Non-linear fluctuations in the trend are justified by the fact that the reporting cycle was not annual, with the end date as final possible date. MS, though, had the opportunity to submit their contribution at any given time during the reporting cycle.

**Indicator 2: Number of Member States that have made available to the Commission an assessment of their risk management as referred to in Article 6 of the Decision.**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0	0	0	0	0	0	0	27			27
	Actual Progress									Final
	0	0	0	0	0	0	12			12

Are we on track	
Indicator type	Output
Unit of measurement	Number of Member States
Cut-Off Date	
Data source	Member States reporting to the Commission
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator is linked to the indicator 1 which was monitoring reporting progress under the UCPM before the revision of the legislation in 2019. Indicator 2 reflects the revised reporting requirements and is used to monitor reporting starting with 2020.
Other methodological comments	Obligation to report first time by 31/12/2020 and every three years thereafter.
Full metadata available at this address	
Justification of the trend	The first deadline for Member States' and UCPM Participating States' reporting under the revised UCPM Decision was 31/12/2020. Not all Member States have reported by the deadline due to the pre-occupation of civil protection services with the Covid-19 emergency, which came at the expense at other, less urgent reporting tasks. However, though with some delays, the reports are being submitted in 2021.

**Indicator 3: Number of projects financed for prevention within the Union**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020

7	10	10	12	10	10	8	11			11
	Actual Progress									Final
	15	10	10	5	4	8	7			7

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	31/12/2020
Data source	ABAC – EU Database
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Following the new approach to the prevention and preparedness projects introduced in 2019, projects are expected to be more targeted and produce higher impact. In view of that, the number of cross-border projects (Track 2) has been decreasing. However, in 2019 a new call (Track 1) was introduced to support single-country projects in disaster prevention and preparedness. The values reported above include 4 single-country grants (Track 1), 3 cross-border projects (Track 2). In addition, 1 grant to the OECD (Peer Review methodology).
Full metadata available at this address	
Justification of the trend	Following the new approach introduced in 2019, the number of prevention projects in the Union financed has been steadily growing.

## Specific Objective 2 :To enhance preparedness at Member State and Union level to respond to disasters.

### Indicator 1: Number of response capacities included in the voluntary pool in relation to the capacity goals

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0			15		50		60			60
	Actual Progress									Final
	3	16	56	92	105	109	109			109

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of capacities
Cut-Off Date	31/12/2020
Data source	Common Emergency Communication and Information System (CECIS) data base
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator covers the number of modules, as well as technical assistance and support teams and other response capacities registered or having started the registration process for the rebranded European Civil Protection Pool (formerly known as Voluntary pool).
Full metadata available at this address	
Justification of the trend	The growing number of response capacities pre-committed to the European Civil Protection Pool indicates a positive trend, that reflects the positive legislative development of the past years, with higher financial incentives for Member States to offer capacities and through processes less administratively cumbersome. Under the new legislation in force since March 2019, higher financial incentives are given for capacities to be registered in the ECPP. These are: a) coverage of 75% of the operational costs (including transport) for operations inside the Union, b) 75% of transport costs for operations outside the Union, c) 75% of adaption grants to upgrade the capacity for international deployment; and d) 75% of repair costs to bring a capacity from a state of disrepair to a state of deployability under the Mechanism."

### Indicator 2: Number of standard response units (modules) registered in the EU's Common Emergency Communication and Information System (CECIS)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
150	160		160		175		180			180
	Actual Progress									Final
	160	170	172	173	174	220	224			224

Are we on track	On track
Indicator type	Output

Unit of measurement	Number of capacities
Cut-Off Date	31/12/2020
Data source	Common Emergency Communication and Information System (CECIS) data base
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Measured by the number of modules, technical assistance and support teams, other response capacities registered in accordance with Article 9(6) of Decision No 1313/2013/EU in the EU's Common Emergency Communication and Information System (CECIS) database.
Full metadata available at this address	
Justification of the trend	The growing number of response capacities pre-comitted to the European Civil Protection Pool indicates a positive trend that reflects the positive legislative development of the past years, with higher financial incentives for Member States to offer capacities and through processes less administratively cumbersome.

### Indicator 3: Number of projects financed for preparedness

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
7	10	10	12	10	10	11	11			11
	Actual Progress									Final
	13	8	10	6	4	8	7			7

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	31/12/2020
Data source	ABAC – EU Database
Narrative	This includes 3 cross-border grants + 4 single-country (Track 1) grants focusing on preparedness.
Methodology	Following the new approach to the prevention and preparedness projects introduced in 2019, projects are expected to be more targeted and produce higher impact. In view of that, the number of cross-border projects (Track 2) has been decreasing. However, in 2019 a new call (Track 1) was introduced to support single-country projects in disaster prevention and preparedness. The values reported above include 4 single-country grants (Track 1), 3 cross-border projects (Track 2).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This includes 3 cross-border grants + 4 single-country (Track 1) grants focusing on preparedness.
Full metadata available at this address	
Justification of the trend	Based on the new approach to the UCPM prevention and preparedness projects introduced in 2019, projects are expected to be more targeted and produce higher impact. This explains the lower number compared to the target.

### Specific Objective 3 :To facilitate rapid and efficient response in the event of disasters or imminent disasters.

#### Indicator 1: Average speed of interventions under the EU Civil Protection Mechanism (from the acceptance of the offer to deployment).

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
36	24			18			12			12
	Actual Progress									Final
		21	20	11	13,7	7,4	27,6			27,6

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Hours
Cut-Off Date	31/12/2020
Data source	Common Emergency Communication and Information System (CECIS) data base.
Narrative	
Methodology	Measured as the duration between the acceptance of the offer in CECIS and the time when the assistance is ready for transportation from the port of embarkation in the offering EU Member States for movement towards the affected Member State. The indicator covers modules, as well as for technical assistance, medical personnel (not EMT) and support teams and other response capacities corresponding to the categories defined for the European emergency response capacity (EERC – Voluntary pool) as defined by Commission Decision (2014/762/EU).
Link MFF 14-20 / MFF 21-27	

Other methodological comments	EU's Common Emergency Communication and Information System (CECIS) data base. Measured as the duration between the acceptance of the offer in CECIS and the time when the assistance is ready for transportation from the port of embarkation in the offering EU Member States for movement towards the affected Member State. The indicator covers modules, as well as for technical assistance, medical personnel (not EMT) and support teams and other response capacities corresponding to the categories defined for the European emergency response capacity (EERC – Voluntary pool) as defined by Commission Decision (2014/762/EU) of 16 October 2014 laying down rules for the implementation of Decision No 1313/2013/EU of the European Parliament and of the Council on a Union Civil Protection Mechanism. Results of this indicator are partly influenced by the number, severity, nature and the specific context of the emergencies for which the UCPM is activated in a given year.
Full metadata available at this address	
Justification of the trend	There were only two module/team deployments (EMT and Medical Personnel to Italy) inside Europe in 2020. EMTs normally need some preparation time before deploying and generally, they are not urgently needed at the very beginning of an emergency like a USAR Team.

### Specific Objective 4 :To increase public awareness and preparedness for disasters.

#### Indicator 1:The level of awareness of Union citizens of the risks in their region.

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
55%							75%			75%
	Actual Progress									Final
		55%					64%			64%

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	Special Eurobarometer survey no. 511 (fieldwork November–December 2020)
Narrative	Article 3.1(d) of the UCPM Decision specifies that one of the specific objectives of UCPM is to increase public awareness and preparedness for disasters. It also specifies that the progress in this area is measured by the level of awareness of Union citizens of the risks in their region.
Methodology	Public opinion survey
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	Report to be published on <a href="https://ec.europa.eu/commfrontoffice/publicopinion/">https://ec.europa.eu/commfrontoffice/publicopinion/</a>
Justification of the trend	Overall positive trend to which recent disasters and EU communication campaigns might have contributed, though the role of different factors is difficult to establish. A positive trend can be observed between 2015 and 2020. Awareness level in 2020 was 64% - an increase of 9 percentage points compared to 2015.

#### Previous Program 2 : Union Civil Protection Mechanism - Heading 4

### General Objective 1 :The Union Civil Protection Mechanism shall aim at strengthening the cooperation within the EU and facilitating coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters in Third countries.

#### Indicator 1:Economic damage caused by natural disasters

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010-2012	Milestones									2020
155	93	93	93	93	93	93	93			93
	Actual Progress									Final
	91,3	78,9	136,1	332,7	105,5	95	144			144

Are we on track	
Indicator type	Result
Unit of measurement	USD billion
Cut-Off Date	31/12/2020
Data source	As recorded in the EM-DAT database
Narrative	

Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Estimate based on the average of annual economic damage of the 2004-2014 years. The data reflects economic damage caused by natural disasters worldwide excluding the economic damage caused by natural disasters in the Member States of the European Union.
Full metadata available at this address	
Justification of the trend	The EM-DAT base is frequently updated and historical data revised. The annual results and evolution of this indicator depends on external factors (occurrence, frequency, severity and location of disasters) which are totally beyond the control of the Commission. In addition, the proportion of reported economic damages varies strongly by countries, disaster type, and time. The specific contribution of the Union Civil Protection Mechanism to the evolution of this indicator is difficult to assess.

**Specific Objective 1 :To achieve a high level of protection against disasters by preventing or reducing their effects by fostering a culture of prevention and by improving cooperation between the civil protection and other relevant services.**

**Indicator 1: Number of projects financed for prevention in Third countries covered by the Instrument for Pre-Accession Assistance and the European Neighbourhood Policy (including exchange of experts)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
	4	4	5	7	7	8	8			8
	Actual Progress									Final
	4	5	4	3	3	0	1			1

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	31/12/2020
Data source	ABAC – EU Database
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In 2019 none of the proposals received under the external call for prevention was successful in the evaluation process.
Full metadata available at this address	
Justification of the trend	Based on the new approach to the UCPM prevention and preparedness projects introduced in 2019, projects are expected to be more targeted and produce higher impact. As a result, less projects have been financed, but with a more ambitious goals and higher financing (maximum EU contribution was raised to 1 million EUR as of 2019). This includes 1 cross-border project (“Track 2”) for prevention in Third Countries. For this reason, the indicator is considered as being on track.

**Specific Objective 2 :To enhance preparedness in Third countries to respond to disasters.**

**Indicator 1: Number of projects financed for preparedness (including training and exercises, workshops and exchanges of experts) in Third countries covered by the Instrument of Pre-Accession and the European Neighbourhood Policy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
	5	5	6	6	6	7	7			7
	Actual Progress									Final
	5	6	7	6	3	3	2			2

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	31/12/2020
Data source	ABAC – EU Database
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Based on the new approach to the UCPM prevention and preparedness projects introduced in 2019,

	projects are expected to be more targeted and produce higher impact. As a result, less projects have been financed, but with a more ambitious goals and higher financing (maximum EU contribution was raised to 1 million EUR as of 2019). This includes 1 cross-border projects ("Track 2") for preparedness in Third Countries. The indicator shows a stable performance over the years, and reflects as well the new approach introduced in 2019, and for this reason it is considered as on track.
--	--

### Specific Objective 3 :To facilitate rapid and efficient response in the event of disasters or imminent disasters.

#### Indicator 1:Average speed of interventions under the EU Civil Protection Mechanism (from the acceptance of the offer to deployment)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
36	24			60			48			48
	Actual Progress									Final
		22	20	48	75	31,1	40,8			40,8

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Hours
Cut-Off Date	31/12/2020
Data source	Common Emergency Communication and Information System (CECIS) data base
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The increase in response time is explained by the general principle that assistance can only be delivered after the requesting country has accepted the offer. In some situations, the request is made, but the acceptance is not immediate, as the requesting country might consider that it is not needed immediately. In such situations, this creates a distortion in the number of hours, which is not related to the performance of the Mechanism. The indicator is measured as a yearly average of the duration between the acceptance of the offer in CECIS and the time when the assistance is ready for transportation from the port of embarkation in the EU for movement towards the affected country. The indicator covers modules, medical personnel (not EMT) as well as for technical assistance and support teams and other response capacities corresponding to the categories defined for the European emergency response capacity (EERC – Voluntary pool) as defined by Commission Decision (2014/762/EU).
Full metadata available at this address	
Justification of the trend	In 2020, deployments outside Europe consisted mainly in MUSAR (Medium Search and Rescue Teams) teams deployed to Lebanon (Explosion emergency) and EMTs deployed to Azerbaijan and Armenia. MUSAR teams presented very fast deployments. However, the EMTs took more time to deploy given the specific preparations EMTs need to go through.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
27,1	58,5	60,6	56,1	57,6	58,8	60,3	379,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

In the 2014-2020 period, the total contribution for climate mainstreaming was EUR 308.76 million. The figure for 2020 (EUR 242.26 million) is the result of the application of a more granular methodology that allows a more precise analysis of climate spending.

EUR 242.26 million spent in 2020 for climate mainstreaming correspond to 39.44% of UCPM funding, including activities scoring 1 and 2

DG ECHO is implementing the central tracking at commitment level, to improve the accuracy and reliability of the data on climate action. The tracking is based on EU climate markers methodology, made of three scores (0/40/100).

In light of the fact that NGEU funds will be used only for Covid-19 response, this methodology applies only to the MFF strand.

### 6.1.3. Key achievements

#### *EU Civil protection Mechanism – Internal & External*

The UCPM will continue contributing to the overall Commission objective to climate mainstreaming through its different activities.

A key achievement over the past years has been the creation of the dedicated reserve of rescEU capacities in the area of forest firefighting through the rescEU transition phase, resulting in an additional capacity of 15 capacities to support Member States in forest firefighting activities. Additional support provided to Member States to reduce the devastation that wildfires create, increasing CO<sub>2</sub> emissions, is considered a key climate-related achievement.

UCPM direct grants to national civil protection authorities under the new ‘Track 1’ programme can be considered a success story and an important achievement. This financing scheme was launched as a pilot in 2019 with the main purpose to provide ‘seed funds’ to carry out strategic disaster risk management activities in Member States. In 2020, the programme delivered its first results. Supported by these grants, Member States have developed long-term disaster risk reduction strategies (Croatia), prepared conceptual basis for a legal reform of civil protection system (Czechia), identified investment needs to address CBRN risks (Lithuania), launched preparatory work for setting up unified disaster loss databases and improving early warning systems (Latvia).

Under the UCPM, a joint DG ECHO-World Bank study was also carried out with the objective to provide some estimate of economic losses from climate-related hazards such as floods and forest fires. The study took as starting point the climate change scenarios developed by the PESETA study of the JRC. The study also intended to put forward recommendations for developing/improving financing instruments that can help the EU better manage climate risks in future. DG ECFIN, CLIMA, JRC, ENV and REGIO are members of the steering group that oversees the study.

Moreover, some specific projects financed under the prevention and preparedness programme also contributed directly to the overall objective of climate mainstreaming. These included for instance, CASCADE - (Community Safety Action for Supporting Climate Adaptation and Development, 2019) ([www.cascade-bsr.eu](http://www.cascade-bsr.eu)), which provided an assessment tool for integrated climate change risks and DRR management in urban contexts in the Baltic Sea Region, as well as prepared guidelines and training courses for local and national CPA, and organised policy dialogues between local, national, regional and international actors to develop policy recommendations for the region.

Another relevant example is the project WUIVIEW (Wildland-Urban Interface Virtual Essays Workbench, 2019), which has developed a risk management tool to help Wildland Urban Interface (WUI) communities adapting to forest fires due to climate change ([www.wuiview.org/](http://www.wuiview.org/)), as well as the project SAVEMEDCOAST, which mapped hotspots all along the Mediterranean coastline which are most exposed to sea level rise and therefore at risk from climate change impacts (costal floods, erosion etc). The project also developed awareness raising campaigns (educations workshop with stakeholders) in communities in high risk flooding areas.

### 6.1.4. Performance

#### *EU Civil protection Mechanism – Internal & External*

Over the course of the past multi-annual financial framework 2014-2020, DG ECHO has successfully integrated climate action into its activities, primarily in terms of adaptation to climate change – both through the civil protection and humanitarian programmes.

Climate change is firmly integrated in the Union Civil Protection Mechanism legislation, and Member States are asked to take into account climate risks in their disaster risk management, particularly in the new Reporting Guidelines on Disaster Risk Management, Art. 6(1)d of Decision No 1313/2013/EU2019/C 428/07 (Commission Notice C/2019/8929). Integrating climate risks in disaster risk management was proposed to be further strengthened in the Commission proposal from 2 June 2020 (COM(2020) 220 final) where climate change is explicitly mentioned in relation to disaster resilience goals, monitoring and providing advice based on scientific knowledge, and disaster resilience planning including scenario-building. Under the Prevention and Preparedness projects (“Track II”), in the 2014-2020 Multi-Annual Financial Framework (MFF), out of 123 projects awarded overall, 13-14 focussed on climate change (this does not yet include projects awarded in 2020). All of this suggests a successful integration of climate action into the civil protection programme between 2014-2020. The 3rd edition of the report “Overview of natural and man-made disaster risks the EU may face” (SWD(2020)330) addressed climate change as a main driver for a changing risk landscape.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

### 6.2.3. Key achievements

#### *EU Civil protection Mechanism – Internal and external*

In the framework of the latest legislative revision, and following the provisional agreement reached in February 2021 by the co-legislators, the revised Decision No 1313/2013/EU should contribute to the overall EU ambition on biodiversity (i.e. 7.5% of the EU budget expenditure on biodiversity in 2024 and 10% in 2026 and 2027).

When implementing the revised Decision No 1313/2013/EU, the mainstreaming of biodiversity action in the Union policies shall be duly taken into account to the extent that the unpredictability and specific circumstances of disaster preparedness and response so allow.

### 6.3. Contribution to clean air financing

Not applicable

### 6.4. Contribution to gender equality

#### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.4.2. Key achievements and performance

#### *EU Civil protection Mechanism – Internal and external*

DG ECHO commits to gender-sensitive civil protection, including addressing specific vulnerabilities, and exchange on the issue of support to victims of gender-based violence during disasters. DG ECHO prompts gender equality through the disaster risk cycle and raises awareness of the principle of non-discrimination and inclusiveness. DG ECHO promotes gender-inclusive approach in response activities and ensures that the gender component is considered.

### 6.5. Contribution to the sustainable development goals

#### 6.5.1. Goals

#### *SDG 6 Ensure availability and sustainable management of water and sanitation for all*

DG ECHO and Participating States provide water, sanitation and hygiene (WASH) support through the UCPM response to those in need during humanitarian crises and ensure that the most vulnerable have access to WASH.

#### *SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*

By providing a faster response to natural and man-made disasters, the UCPM helps minimise their impacts on the economical means of the affected areas, and therefore helps preserve the employment of local workers.

#### *SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable*

Through our support for a holistic disaster risk management at all levels and through the promotion of prevention actions aiming to reduce the number of deaths and the number of people affected, and decrease the direct economic losses caused by disasters, DG ECHO promotes a more resilient and sustainable urbanisation.

***SDG 13 Take urgent action to combat climate change and its impacts***

Through preventing, preparing for and responding to climate-related disasters, the UCPM contributes to combatting climate change and its impacts. Climate change impacts are also consistently factored into UCPM activities, including but not limited to risk assessments, early warning systems, funding calls and response capacities.

**6.5.2. Key achievements and performance*****SDG 6 Ensure availability and sustainable management of water and sanitation for all***

DG ECHO and Participating States provide water, sanitation and hygiene (WASH) support through the UCPM response to those in need during humanitarian crises and ensure that the most vulnerable have access to WASH.

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

By providing a faster response to natural and man-made disasters, the UCPM helps minimise their impacts on the economical means of the affected areas, and therefore helps preserve the employment of local workers.

***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

Through our support for a holistic disaster risk management at all levels and through the promotion of prevention actions aiming to reduce the number of deaths and the number of people affected, and decrease the direct economic losses caused by disasters, DG ECHO promotes a more resilient and sustainable urbanisation.

***SDG 13 Take urgent action to combat climate change and its impacts***

Through preventing, preparing for and responding to climate-related disasters, the UCPM contributes to combatting climate change and its impacts. Climate change impacts are also consistently factored into UCPM activities, including but not limited to risk assessments, early warning systems, funding calls and response capacities.

**HEADING 2B: Resilience and Values****EU4Health Programme****Lead DG:SANTE**

1. Overview .....	517
1.1. Challenges .....	517
1.2. Mission (general objectives) .....	517
1.3. Specific objectives .....	517
1.4. Public intervention context .....	518
1.5. Actions .....	519
1.6. Delivery mode .....	519
1.7. Graphic overview of the programme structure .....	519
1.8. Legal basis and financial programming .....	520
1.9. Link with the 2014-2020 MFF .....	521
1.10. Relevant websites providing more information .....	521
2. Where are we in the implementation ? .....	521
2.1. Programme 2021-2027 .....	521
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	521
3. How is the programme performing ? .....	522
3.1. Performance .....	522
3.2. Key achievements .....	527
3.3. Evaluations, studies and reports .....	527
4. Programme 2021-2027 - Key monitoring indicators .....	528
Specific Objective 1 :Supporting actions for disease prevention, for health promotion and for addressing health determinants .....	528
Specific Objective 2 :Prevention, preparedness & response to cross-border health threats .....	530
Specific Objective 3 :Enhancement of availability, accessibility & affordability of medicinal products, medical devices and crisis-relevant products .....	530
Specific Objective 4 :Strengthening health data, digital tools & services, digital transformation of healthcare .....	532
Specific Objective 5 :Development and implementation of EU health legislation and supporting evidence-based decision-making .....	533
Specific Objective 6 :Support integrated work among MS health systems .....	533
5. Programme 2014-2020 - Key monitoring indicators .....	534
Previous Program 1 : Union action in the field of health (Health Programme) .....	534
General Objective 1 :to complement, support and add value to the policies of the Member States to improve the health of Union citizens and reduce health inequalities by promoting health, encouraging innovation in health, increasing the sustainability of health systems and protecting Union citizens from serious cross- border health threats .....	534
Specific Objective 1 :identify, disseminate and promote the uptake of evidence-based and good practices for cost-effective health promotion and disease prevention measures by addressing in particular the key lifestyle related risk factors with a focus on the Union added value .....	535
Specific Objective 2 :identify and develop coherent approaches and promote their implementation for better preparedness and coordination in health emergencies .....	535
Specific Objective 3 :identify and develop tools and mechanisms at Union level to address shortages of resources, both human and financial, and to facilitate the voluntary uptake of innovations in public health intervention and prevention strategies ...	536
Specific Objective 4 :increase access to medical expertise and information for specific conditions beyond national borders, facilitate the application of the results of research and develop tools for the improvement of healthcare quality and patient safety .....	536
6. The programme contribution to horizontal policies .....	537
6.1. Contribution to climate mainstreaming .....	537
6.2. Contribution to biodiversity mainstreaming .....	537

6.3. Contribution to clean air financing.....	537
6.4. Contribution to gender equality .....	538
6.5. Contribution to the sustainable development goals.....	538

## **1. Overview**

### **1.1. Challenges**

The COVID-19 pandemic has caused immense human suffering across the European Union and pushed the EU health systems to their limits. The crisis spotlighted the fragility of the national and local health systems and the need for a coordinated strong action at Union level in complementing the health policies of the Member States in order to improve people's health throughout the Union and ensure that public health protection is taken into account in all Union policies.

The EU4Health Programme is a key instrument for delivering a comprehensive response to the health needs of the European citizens, reflecting the lessons learned from both the COVID 19 crisis and previous health programmes.

The Programme contributes to build strong foundations for a European Health Union, in which the EU and Member States work together to reinforce their coordination and to strengthen existing structures and mechanisms for better protection, prevention, preparedness and response against risks to human health.

The EU4Health Programme is a unique opportunity to address critical EU health challenges and improve the access to health for all European citizens addressing health inequalities and inequities in relation to healthcare, making sure that Europe remains the healthiest region in the world.

### **1.2. Mission (general objectives)**

The EU4Health Programme brings a Union added value and complements the policies of the Member States to pursue the general objectives of:

- improving and fostering **health in the Union** to reduce the burden of communicable and non-communicable diseases, by supporting health promotion and disease prevention, by reducing health inequalities, by fostering healthy lifestyles and by promoting access to healthcare;
- protecting people in the Union from serious **cross-border threats to health** and strengthening the responsiveness of health systems and coordination among the Member States in order to cope with serious cross-border threats to health;
- improving the availability, accessibility and affordability of **medicinal products and medical devices**, and crisis-relevant products in the Union, and supporting innovation regarding such products;
- strengthening **health systems** by improving their resilience and resource efficiency, in particular through:
  - supporting integrated and coordinated work between Member States;
  - promoting the implementation of best practices and promoting data sharing;
  - reinforcing the healthcare workforce;
  - tackling the implications of demographic challenges; and
  - advancing digital transformation.

The Programme will create efficiency gains and value-added impacts that could not be generated by action taken at national level.

Where applicable, the Programme will keep the 'One Health' approach recognising the interconnection between human health, animal health and more broadly with the environment in tackling threats to health.

### **1.3. Specific objectives**

The Programme will achieve its general objectives by means of ten specific objectives:

1. In synergy with other relevant Union actions, supporting actions for **disease prevention, for health promotion and for addressing health determinants**, including through:
  - the reduction of damage to health resulting from illicit drug use and addiction;
  - supporting actions to address inequalities in health, to improve health literacy, to improve patient rights, patient safety, quality of care and cross-border healthcare; and
  - supporting actions for the improvement of the surveillance, diagnosis and treatment of communicable and non-communicable diseases, in particular cancer and paediatric cancer, in synergy with other relevant Union actions;

- supporting actions to improve mental health, with special attention given to new care models and the challenges of long term care, in order to strengthen the resilience of the health systems in the Union.
2. Strengthening the capability of the Union for **prevention of, preparedness for, and rapid response to, serious cross-border threats to health** in accordance with relevant Union legislation, and improving the management of health crises, particularly through:
    - the coordination, provision and deployment of emergency healthcare capacity;
    - supporting data gathering, information exchange, surveillance, the coordination of voluntary stress testing of national healthcare systems; and
    - the development of quality healthcare standards at national level.
  3. Supporting actions to enhance the **availability, accessibility and affordability of medicinal products, medical devices and crisis-relevant products** by encouraging sustainable production and supply chains and innovation in the Union, while supporting the prudent and efficient use of medicinal products, in particular antimicrobials, and actions to support the development of medicinal products that are less harmful for the environment, as well as the environmentally-friendly production and disposal of medicinal products and medical devices.
  4. Supporting actions complementing **national stockpiling of essential crisis-relevant products**, at Union level, where needed, in synergy with other Union instruments, programmes and funds, without prejudice to Member State competences, and in close cooperation with relevant Union bodies.
  5. Establishing a **structure and training resources for a reserve of medical, healthcare and support staff** allocated voluntarily by Member States for its mobilisation in the event of a health crisis, in synergy with other Union instruments, programmes and funds, without prejudice to Member State competences and in close cooperation with the ECDC.
  6. Strengthening the **use and re-use of health data for the provision of healthcare and for research and innovation**, promoting the uptake of digital tools and services, as well as the digital transformation of healthcare systems, including by supporting the creation of a European health data space.
  7. Enhancing **access to quality, patient-centred, outcome-based healthcare and related care services**, with the aim of achieving universal health coverage.
  8. Supporting the development, implementation and enforcement and, where necessary, the revision of **Union health legislation** and supporting the provision of valid, reliable and comparable high-quality **data** for evidence-based decision-making and monitoring, and promoting the use of health **impact assessments** of other relevant Union policies.
  9. Supporting **integrated work among Member States, and in particular their health systems**, including
    - the implementation of high-impact prevention practices,
    - supporting work on HTA, and
    - strengthening and scaling up networking through the ERNs and other transnational networks, including in the area of diseases other than rare diseases, to increase the coverage of patients and improve the response to low prevalence and complex communicable and non-communicable diseases.
  10. Supporting **global commitments** and health initiatives by reinforcing the Union's support for actions by international organisations, in particular actions by the WHO, and fostering cooperation with third countries.

The Programme will need to be dynamic and flexible to adapt to new emerging health challenges, and to serve the EU and the Member States in their evolving needs and priorities, making sure that the support provided by the EU4Health Programme is based on national needs.

#### 1.4. Public intervention context

The new EU4Health Programme is a reinforced programme for the Union's action in the field of health, that will focus on EU-added value actions in line with the goals of the Union action and its competences in the area of public health.

Article 168 TFEU provides that the Union is to complement and support national health policies, encourage cooperation between Member States and promote the coordination between their programmes, while fully respecting the responsibilities of Member

States for the definition of their health policies and for the organisation, management and delivery of health services and medical care.

A broad range of beneficiaries could access the EU4Health programme funds such as national, European, and international health institutions, but also public authorities, academia/research institutes, health practitioners, as well as civil society organisations when eligibility criteria are met. Natural persons are not eligible for grants under the Programme.

## 1.5. Actions

The Programme is going to be implemented through a variety of possible eligible actions (listed in Annex I of the Programme).

The actions expected to be addressed by the 2021 Programme implementation are clustered under four over-arching 'programme strands', along with a transversal priority for cancer:

- Crisis preparedness – including actions for prevention, preparedness and rapid response to serious cross-border threats to health; for mitigating risks of shortages of medicines; and for ensuring coordination, provision and deployment of emergency healthcare capacity, including the preparatory actions for the European Health Emergency preparedness and Response Authority (HERA).
- Disease prevention – including actions enhancing the surveillance, diagnosis and treatment of communicable and non-communicable diseases; exchange of best practices and data; and health promotion.
- Health systems and healthcare workforce – including actions improving accessibility, efficiency and resilience of health systems; reducing inequalities in accessing health care; scaling up networking through the European Reference Networks.
- Digital – including actions strengthening the use and re-use of health data for the provision of healthcare and for research and innovation; advancing in the uptake of digital tools and services, as well as the digital transformation of healthcare systems; supporting the creation of a European Health Data space.
- Cancer is a major initiative and transversal priority, implemented by specific actions and actions under the other strands and linked to the Europe's Beating cancer plan.

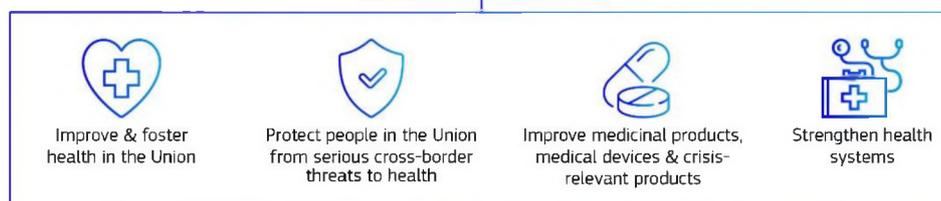
## 1.6. Delivery mode

The EU4Health Programme is mainly implemented by direct management, using in particular grants, prizes and procurement, as well as indirect management. Major part of the EU4Health Programme is expected to be delegated for implementation to the Health and Digital Executive Agency (HaDEA).

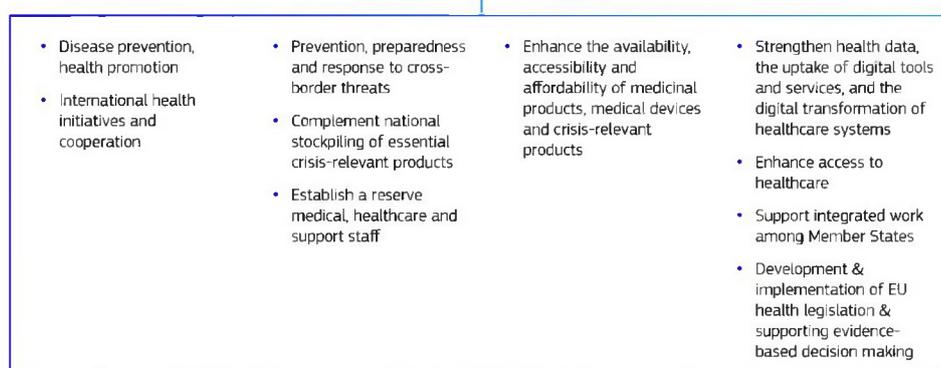
## 1.7. Graphic overview of the programme structure

## EU4Health objectives

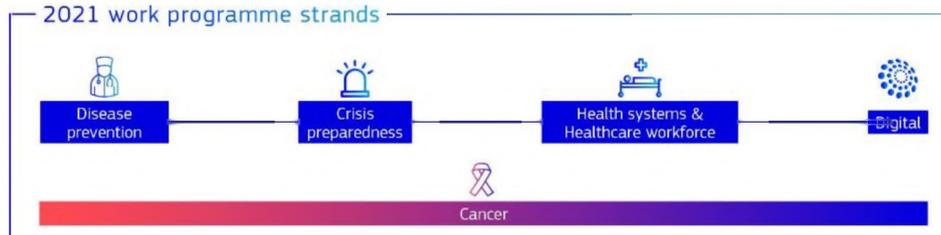
### General Objectives



### Specific Objectives



### 2021 work programme strands



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2020/0105/COD COM (2020) 405, 28.5.2020 : Proposal for a Regulation of the European Parliament and of the Council on the establishment of a Programme for the Union's action in the field of health –for the period 2021-2027 and repealing Regulation (EU) No 282/2014	2021 - 2027	2 446,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>327,5</b>	<b>788,7</b>	<b>294,7</b>	<b>308,1</b>	<b>318,1</b>	<b>362,2</b>	<b>263,7</b>	<b>2626,9</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The EU4Health Programme is a new and stand-alone financial instrument that provides a solid basis for a coordinated Union action and an unprecedented EU investment in health; the new programme is also a response to lessons learned during the COVID-19 pandemic and adds actions to implement the Europe's Beating Cancer plan and the Pharmaceuticals Strategy. The EU4Health programme will ensure continuity with the work done under the MFF 2014-2020; in particular with the work for reducing the number of antimicrobial-resistant infections and improvement of vaccination rates. Building on the results of the Third Health Programme, the EU4Health programme will expand successful initiatives such as the European Reference Networks for rare diseases and will continue to pursue EU global commitments and health initiatives.

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/health/funding/eu4health\\_en](https://ec.europa.eu/health/funding/eu4health_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

DG SANTE has set up an informal Commission Expert Group to start discussions on the Commission's preparatory work and the priorities and strategic orientations of the 2021 Annual Work Programme before the entry into force of the basic act (EU4Health Programme) and the establishment of the Programme's governance bodies and processes. Agreement on the EU4Health programme was reached in Dec 2020 and a formal adoption is expected in March/April 2021.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

#### 1. Financial programming

Legal Basis	Period of application	Reference Amount (EUR million)
Regulation (EU) No 282/2014 of the European Parliament and of the Council of 11 March 2014 on the establishment of a third Programme for the Union's action in the field of health (2014-2020) and repealing Decision No 1350/2007/EC	2014 – 2020	449,4

	Financial Programming (EUR million)							2020	Total Programme
	2014	2015	2016	2017	2018	2019			
Administrative support	1,5	1,5	1,5	1,5	1,5	1,5	1,5	10,5	
Operational appropriations	52,9	54,0	56,5	58,8	60,5	62,3	63,6	408,5	
Executive Agency	4,2	4,2	4,2	4,2	4,4	4,6	4,6	30,3	
<b>Total</b>	<b>58,6</b>	<b>59,8</b>	<b>62,2</b>	<b>64,5</b>	<b>66,4</b>	<b>68,3</b>	<b>69,7</b>	<b>449,4<sup>(*)</sup></b>	

(\*) Figure in 2014 prices

#### 2. Implementation rates

	Commitments	Payments
Implementation Voted Budget	452 141 420	300 378 249
Implementation carry-overs	0	4 880 526
Implementation Total	452 141 420	305 258 774
Total envelope*	452 353 300	
Cumulative implementation rate	100%	67%

(\*): Based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020, figures in current prices

As of first quarter 2021, 100% of the allocated budget (452.3 M€ on the period 2014-2020) has been committed through projects and other actions pursuing the Programme's objectives; 67% of the total budget (i.e. 305.3 M€) has been paid to participants/beneficiaries or for the procurement of services necessary for the implementation of the Programme. Outstanding payments (33% of the budget or 147 M€) account for projects or actions launched in the last 2-3 years which are not yet completed and therefore have not led to final payments by the Commission.

### 3. How is the programme performing ?

#### 3.1. Performance

##### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### 3.1.3. Previous programme performance

In line with the results of the mid-term evaluation of 2017, the Commission (DG SANTE) considers that the Health Programme has been performing well and has been effectively implemented, contributing to better health protection through its policies and activities, in accordance with Article 168 of the Treaty on the Functioning of the European Union. The programme has addressed efficiently the Commission priorities on the implementation of best practices for health promotion and diseases prevention, crisis preparedness and risk management, relevant information in the framework of the EU semester, mental health, and health and innovation.

In the period 2014-2020, the Court of Auditors published several reports assessing the implementation of the Health programme. In the Special report no 07/2019<sup>1</sup> on Cross-border healthcare access, the Court of Auditors mentioned: 'EU actions in cross-border healthcare enhanced cooperation between Member States. The Commission has overseen the implementation of the Cross-border Healthcare Directive well'. This Special report (SR 07/2019) also identified certain shortcomings and improvements to be made in terms of administrative burden reduction and long-term financial sustainability of the European Reference Networks (ERNs). In the ECA's Special report no 21/2019 on Addressing Antimicrobial resistance<sup>2</sup> it is emphasized that 'Fighting against antimicrobial resistance is complicated. The Commission and ECDC support to strengthen Member States One Health approach to antimicrobial resistance was valuable'. However, the Court observed challenges, particularly with regard to the sustainable implementation of the results in the Member States.

While reorienting and gearing a proportion of its resources towards fighting the covid-19 pandemic, the 3<sup>rd</sup> Health Programme continued the implementation of main actions under the programme with a view to enhancing and further consolidating key achievements over the implementation period 2014-2020.

A majority of indicators and sub-indicators (except one sub-indicator<sup>3</sup>) for assessing the performance of the Programme's general and specific objectives showed positive trends over the implementation period 2014-2020, with many of them meeting their targets set out for the year 2020. The performance indicators linked to the programme's specific objectives are relevant, measurable and realistic.

*Objective 1: promote health, prevent diseases, and foster supportive environments for healthy lifestyles:*

34 % of the overall Programme budget (EUR 96 million). From those, EUR 8 million were spent on cancer, inter alia to support screening programmes in MS, improve the quality of patients' lives, address survivorship issues, look into the impact of research in cancer and the uptake of innovative treatments; EUR 11 million were channelled towards the prevention of major risk factors i.e. on alcohol and tobacco control, physical activity and nutrition. Other activities addressed the prevention of chronic diseases, including through the promotion of uptake of validated best practices across the EU in cardiovascular disease or diabetes prevention.

*Indicator: number of Member States involved in health promotion and disease prevention, using evidence-based and good practices through measures and actions taken at the appropriate level in Member States*

*Objective 2: protect Union citizens from serious cross-border health threats:*

10 % of the overall budget, EUR 29 million; more than EUR 14 million for projects to ensure that EU Member States are well prepared to respond to a possible major health threat. These included several table top or other types of exercises addressing generic preparedness; capacity building actions such a quality assurance for diagnostic capacity, as well as specific activities addressing the air transport and shipping sectors. They also included several actions supporting Member States in addressing the challenges of the migratory crisis of 2015-2016.

Currently ongoing actions have been re-orientated as to provide coverage for specific needs regarding the Coronavirus threat (such as training for health professionals including practical advice- isolation, waiting rooms and reception areas, cleaning, appropriate PPE etc; as well as an offer for real-time RT-PCR for detection including coverage of costs for shipment of the samples, if needed).

*Indicator: number of Member States integrating coherent approaches in the design of their preparedness plans*

*Objective 3: support public health capacity-building and contribute to innovative, efficient and sustainable health systems:*

<sup>1</sup> [https://www.eca.europa.eu/Lists/ECADocuments/SR19\\_07/SR\\_HEALTH\\_CARE\\_EN.pdf](https://www.eca.europa.eu/Lists/ECADocuments/SR19_07/SR_HEALTH_CARE_EN.pdf)

<sup>2</sup> [https://www.eca.europa.eu/Lists/ECADocuments/SR19\\_21/SR\\_Antimicrobial\\_resistance\\_EN.pdf](https://www.eca.europa.eu/Lists/ECADocuments/SR19_21/SR_Antimicrobial_resistance_EN.pdf)

<sup>3</sup> **Indicator** : number of Member States involved in health promotion and disease prevention, using evidence-based and good practices through measures and actions taken at the appropriate level in Member States. **Sub-indicator: Cancer**

27 % of the overall budget, EUR 95 million. From those, EUR 30 million were invested in the collaboration on Health Technology Assessment, to develop commonly agreed tools and procedures, as well as carrying out joint assessments or early dialogues, in an approach recognizing the full life cycle of health technologies. Other actions supported the exchange of experience and best practices in addressing the ageing of the population, promoted integrated care models and practices (Joint Action on implementation of digitally enabled integrated person-centred care – JADECARE was launched in autumn 2020 and will run for three years) or supported the EU eHealth network in promoting the uptake of digital solutions. The Joint Action on health information helped to streamline and harmonise health information activities across Europe by working towards building a sustainable and solid infrastructure on EU health information and to enhance coherence and sustainability.

*Indicator: advice produced and the number of Member States using the tools and mechanisms identified in order to contribute to effective results in their health systems*

*Objective 4: facilitate access to better and safer healthcare for Union citizens:*

27 % of the overall budget, EUR 75 million. From those EUR 26 million were invested for set up cost and coordination of the European Reference Networks, including through the assessment of the networks and their healthcare provider members. The effort to jointly address the effects and challenges of increased anti-microbial resistance and healthcare acquired infections; the support to the Member States' collaboration in the area of blood, tissues and cells; and rare diseases were key priority areas of the health programme spending.

*Indicator: number of European reference networks established in accordance with Directive 2011/24/EU; number of healthcare providers and centres of expertise joining European reference networks; number of Member States using the tools developed*

The following actions corresponding to the Commission priorities<sup>4</sup> were taken:

*(i) Health security and Covid-19*

The Commission steered running actions in the area of health security to contribute to the fight against the pandemic. Key examples are: the [Joint Action Healthy gateways](#) supports the coordination among EU countries to improve capacity for combating cross-border health threats at points of entry, including ports, airports and ground crossings, and the [Joint Action on Strengthened International Health Regulations and preparedness \(SHARP\)](#)<sup>5</sup> which collaborated with the European Centre for Disease Prevention and Control (ECDC) [EVD-LabNet \(Emerging Viral Diseases-Expert Laboratory Network\)](#) in ensuring quality control and capacity building for precise diagnostics at an early phase of the pandemic and demonstrated the importance of using laboratory networks as a preparedness and response tool.

*(ii) Vaccination*

Vaccination was already high on the EU political agenda before the emergence of COVID-19. Previous work carried out in this area demonstrated the added value of EU cooperation in this area.

In December 2019, the Health Programme launched a study **on an EU citizens' vaccination card**. The proposed templates resulting from this study are tested in a sample of 10 000 citizens per country across 10 Member States, this pilot testing covering a potential population of more than 200 million citizens. In 2020, the **Joint Action on Vaccination** focused specifically on vaccine hesitancy and uptake, identified by the WHO in 2019 as one of ten top health threats to global health and included in the Commission's roadmap on strengthening cooperation against vaccine preventable diseases.

*(iii) Implementation of best practices for health promotion and diseases prevention:*

The online 'best practice portal' was launched in April 2018. Since June 2018, it counted more than 6 650 visitors from all EU Member States as well as neighbouring countries. Portal visitors can access good practices collected by previous Health Programme actions. Stakeholders can also submit a practice for evaluation.

As of 2020, more than 12 selected best practices are implemented across 75% of the EU countries, in areas such as integrated care; mental health and the fight against depression; nutrition and physical activity; prevention of alcohol abuse or chronic disease prevention and management.

Actions in the field of nutrition delivered important outputs and tools, justifying the need for public health decision makers to invest in prevention rather than cure. A review of the available evidence for cost-effective prevention interventions has identified the food reformulation as the 'best value for money' action to improve nutrition patterns. The Programme also supported the development of a database of nutritional information on processed food and drink products on the market in 16 Member States.

*(iv) The establishment of 24 European Reference Networks (ERNs):*

ERNs are virtual networks involving healthcare providers across Europe. They aim to tackle complex or rare medical diseases or conditions that require highly specialised treatment and a concentration of knowledge and resources. To review a patient's diagnosis and treatment, ERN coordinators are convening a 'virtual' advisory board of medical specialists across different disciplines, using a dedicated IT platform and telemedicine tools. This way, the medical knowledge and expertise travel rather than the patients.

<sup>4</sup> Priorities are defined in the recent annual work programmes of the 3<sup>rd</sup> Health Programme and in

<sup>5</sup> The JA SHARP supports coordination among EU reference laboratories to prevent, detect and respond to biological outbreaks, chemical contamination and environmental and unknown threats to human health

Using the clinical patient management system (CPMS), the members of the ERNs have already been able to consult, explore, diagnose and decide on cases of particular complexity. In February 2019, the ERNs had used 458 panels to discuss 444 patient cases, and the number of cases opened in the CPMS regularly evolves (see for example <https://ec.europa.eu/avservices/video/player.cfm?sitelang=en&ref=I164244>).

The first ERNs are up and running since March 2017. Over the next five years, as the ERNs reach full capacity, thousands of EU patients suffering from a rare or complex condition can expect to benefit. In addition, several networks received co-funding to set up disease and patient registries, building on the clinical patient management system provided through the DG SANTE IT platform.

(v) *Crisis preparedness and management:*

In 2018, the Joint Action EMERGE – Efficient response to highly dangerous and emerging pathogens at EU level – has delivered on its work for the improvement of capabilities for rapid laboratory diagnosis of new or emerging pathogens (e.g. sample sharing). The Joint Action also contributed to combating the outbreaks of ZIKA and Ebola.

The Health Programme is also playing a crucial role in addressing Antimicrobial Resistance (AMR), by defining common approaches to fight AMR and to control healthcare-associated infections in line with ongoing EU and international policies.

Funded under the AWP 2017 (EU contribution of EUR 6.9 million) the Joint Action on Antimicrobial Resistance and Healthcare-Associated Infections (EU-JAMRAI) supports EU Member States in developing and implementing effective one health action plans against antimicrobial resistance (AMR) and healthcare associated infections (HCAI).

(vi) *State of Health in the EU - (1) Country Health Profiles 2019 and (2) Health at a Glance 2020: Europe*

On 28 November 2019, the European Commission published 30 *Country Health Profiles* delivered as part of the *State of Health in the EU* cycle. The accompanying ‘Companion Report’ (a Commission Staff Working Document) and factsheet flagged five key challenges faced by EU health systems:

- Tackling the decline in vaccination confidence across the EU,
- Harnessing the digital transformation of health promotion & disease prevention,
- Strengthening the evidence base on access to healthcare,
- Shifting tasks and changing the skill mix to explore new ways of providing care,
- Breaking down silos for safe, effective and affordable medicines.

Several of these are closely linked to objective 3 of the Health Programme and to the key priorities of the 2019-2024 Commission as set out in the mission letter to Commissioner Kyriakides. Several of these actions were supported by the 3<sup>rd</sup> Health Programme (see below sections on health and innovation, vaccination and access to medicines).

In November 2020, the European Commission and the OECD published *Health at a Glance: Europe 2020*, which the first comparative study on how European countries have experienced and responded to the COVID-19 pandemic.

Delivered under the *State of Health in the EU* grant<sup>6</sup>, the joint EC-OECD report provided a much-needed preliminary assessment of the effectiveness of European countries’ COVID-19 containment and mitigation measures; health systems capacity; testing strategies; measures to protect vulnerable groups; and continuity of care for non-COVID patients. The report provides policymakers with high-quality evidence and emerging insights on how to develop more effective health policy interventions to build greater resilience in the short and the long term.

In addition to the chapter assessing countries’ resilience to the COVID-19 crisis, the 2020 edition of *Health at a Glance: Europe* provides an assessment of the health impact of air pollution on EU citizens. Lastly, the report also provides comparative analyses of the health status, risk factors, health expenditure, quality and access to care in 36 European countries.

(vii) *Accessible and affordable medical technologies:*

The *State of Health in the EU*’s ‘Companion Report’ raised the issue of access to affordable medical technologies whether pharmaceutical products or medical devices, as being essential for the sustainability and resilience of health systems. This is a challenging area, combining implementation of legislation (notably for medical devices); common if not harmonized life-cycle based assessment methods; shared information and expertise on pricing and procurement methods, including joint procurement or other collaboration mechanisms.

The contribution of the health programme is important in this area, through the following:

- It supports the work of civil society and the contribution to the EU level policy dialogue in this field of stakeholder organisations, through the operating grants awarded to Health Action International; the European Public Health Alliance; and the European Organisation of Rare Diseases Associations.

<sup>6</sup> The *State of Health in the EU* cycle was created in 2016 with a view to develop “expertise on performance assessments of health systems, [...] and build up country-specific and cross-country knowledge which can inform health policies at national and European level - including the work of the European Semester of economic policy coordination”.

- It provides continuing financial support to the work of the EUnetHTA 3 Joint Action: The piloting of the EU cooperation on Health Technology Assessment has proven successful. By the end of 2019, the EUnetHTA 3 Joint Action carried out 27 joint reports (13 assessments and 14 early dialogues).

*viii) Digital innovation – paving the way to a European health data space*

The Commission aims to support EU Member States in making the most of the potential of e-health to provide high-quality healthcare and reduce inequalities. Key to achieving this aim is the creation of a ‘European Health Data Space’, to promote health-data exchange and support research on new preventive strategies, as well as on treatments, medicines, medical devices and outcomes.

*ix) Supporting the implementation of the new medical devices regulations*

In 2019, through service contracts, the first communication and information campaign on Medical Devices was implemented, informing stakeholders about the legislative changes brought by the new EU legislation on Medical Devices and in-vitro Diagnostic Medical Devices which will enter into force in May 2020. The campaign mapped all relevant stakeholders, numbering more than 2000 contacts in and outside the EU. It produced eight informative factsheets translated in all EU languages, as well as in Chinese, Japanese and Arabic. The campaign also comprises the organisation of webinars addressed to stakeholders as well as other information material in a layman language.

In 2019, the Joint Action on Market Surveillance of Medical Devices (JAMS) came to its end, yielding significant added value by reinforcing the market surveillance system for medical devices and improving coordination and cooperation among all European Union’s countries.

SCHEER (Scientific Committee on health, environmental and emerging risks) is providing the Commission with risk assessment and scientific advice on medical devices (like hip implants, breast implants, phthalates used in medical devices...).

*x) Addressing health inequalities*

The Joint Action on Health Equity (JAHE), funded under the 3<sup>rd</sup> Health Programme 2014-2020 has been an important opportunity for Member States to work jointly to address health inequalities and achieve greater equity in health outcomes across all groups in society, in all participating countries and in Europe at large. The general objective of this initiative is to improve health and well-being of European citizens across all groups in society. It also has a specific focus on both vulnerable groups and migrants.

*xi) Tobacco control (JATC) and other joint actions:*

In 2020 the Joint Action on Tobacco control (JATC) produced key deliverables fostering an harmonised implementation of the Tobacco products’ directive across the EU: it mapped the implementation’s state of play across the EU; it conducted a needs assessment identifying the areas of support for national competent authorities; it assessed the laboratory testing capacity of national regulators; it looked at emerging trends and new challenges, such as the electronic cigarettes; it reviewed the system of enhanced reporting of additives; and it developed guidelines both on the technical and legal dimensions for improving data sharing and exchange from the EU-CEG across the Member States. The Health Programme also supported the **EU tobacco tracking and tracing system**, in cooperation with WHO and is implementing the development of a set of automatic alerts, exploiting the massive amount of traceability data so as to identify fraud patterns, suspicious behaviours and spot possible fraudsters<sup>7</sup>.

*xii) Cooperation with Member States through joint actions*

In addition to the above described Joint Action on Vaccination, four new **joint actions** were launched in 2020 to be completed in 2021; they are: (a). Strengthening cooperation between interested Member States and the Commission in the area of tobacco control [as a follow up of the above described JATC]; (b). Support to Member States for the implementation of best practices in the area of mental health; (c). Increasing the capacity of National Focal Points to provide guidance, information and assistance to national applicants on the EU4Health programme and other EU funding instruments; (d). Differences in national implementation of the General Data Protection Regulation (GDPR) in the health sector-Development of a code of conduct for data processing.

### Main achievements of the Health programme:

- Following the outbreak of the covid-19 pandemic in the first quarter of 2020, the Programme’s on-going actions have been reoriented in emergency mode, towards combatting the pandemic. For example, the Healthy Gateways Joint Action<sup>8</sup> organised training courses for trainers and specific webinars, providing guidance including questions and answers on points of entry and borders. The SHARP Joint Action<sup>9</sup> (Strengthened International HeAlth Regulations and Preparedness in the EU) supported laboratory diagnostics for covid-19, and mapping the current existing facilities and clinical capacities. In addition to the Health Programme, and in the context of the Joint Procurement Agreement to procure medical countermeasures<sup>10</sup> DG SANTE launched, in emergency mode, joint procurements for protective personal equipment (PPE), for ventilators/respirators, laboratory equipment, covid-19 treatments and vaccines.
- In April 2018 DG SANTE launched the online ‘best practice portal’. Since June 2018, it counted more than 6 650 visitors from all EU Member States as well as neighbouring countries.

<sup>7</sup> The current COVID-19 related restrictions are impacting progress in this work: the contractor cannot access the data room located in the Commission premises

<sup>8</sup> [www.healthygateways.eu](http://www.healthygateways.eu)

<sup>9</sup> [www.sharpja.eu](http://www.sharpja.eu)

<sup>10</sup> [https://ec.europa.eu/health/preparedness\\_response/joint\\_procurement\\_en](https://ec.europa.eu/health/preparedness_response/joint_procurement_en)

- Efficient response to highly dangerous and emerging pathogens at EU level (Joint Action EMERGE) and improvement of capabilities for rapid laboratory diagnosis of new or emerging pathogens (e.g. Ebola, Zika).
- The establishment of 24 European Reference Networks (ERNs), which are providing greater access to high quality healthcare and information, accurate diagnosis and appropriate treatment to patients affected by rare or low prevalence diseases. In this first phase (2017-2018), ERNs include more than 900 highly specialised healthcare providers in 300 hospitals across the EU.
- In 2020 DG SANTE concluded a new call for expression of interest for healthcare providers (HCPs) wishing to join ERNs. Chafea subsequently launched a request for services to the Independent Assessment Bodies (IABs) to assess the compliance of the HCPs with the criteria included in the relevant EU legislation.
- 2020 also marked an acceleration of the work on patient registries within the ERNs, in line with the digital innovation priority: EUR 3,8 million were allocated through 19 grants.
- Effective evaluations and studies conducted: in 2020, DG SANTE/CHAFEA launched a request for services to prepare the impact assessment of the legislation on blood tissues and cells (BTC). An evaluation of this landmark legislation was carried out in 2019, leading to specific recommendations for its revision. Chafea signed two important service contracts targeting Antimicrobial resistance addressing both human and animal dimensions of the problem under the ‘One Health’ strategy. A review of the available evidence for cost-effective prevention interventions has identified the food reformulation as the ‘best value for money’ action to improve nutrition patterns. A service contract was concluded in 2020 to develop a database of nutritional information on processed food and drink products on the market in 16 Member States. This work is complemented by a second study which will map fiscal measures and pricing policies applied to alcohol and products high in fat, sugar and salt (HFSS), including non-alcoholic beverages. The study ‘Support for the health workforce planning and forecasting expert network - SEPEN’ concluded that 75% of EU countries have health workforce planning systems in place; but that their focus remains limited to planning medical professions (GPs, medical specialists), while an innovative approach would require an enlarged scope of planning, encompassing all five sectoral health professions (physicians, dentists, nurses, midwives, pharmacists). The tender on a EU citizens’ vaccination card, started in December 2019 has already completed the mapping (both form and content) of existing vaccination cards and the development of three card templates (paper and digital). Currently, the proposed templates are being tested in a sample of 10 000 citizens/country across 10 Member States, this pilot testing covering a potential population of more than 200 million citizens.
- Establishment of an EU quality register ensuring the safety of medical devices.
- Establishment of an Organ Database, which has helped 34 000 transplants only in 2017.
- Set up of an EU-wide tobacco tracking and tracing system to combat illicit tobacco products trafficking.

#### **The weak aspects of the programme:**

Following the ex-post evaluation of the second Health Programme, the Commission undertook to work on three main aspects of the third Health Programme, as stated in its report to the European Parliament and the Council in May 2016: These commitments were to:

- improve monitoring, reporting and dissemination efforts
- encourage participation of all Member States and other participating countries, and to work with all Member States, particularly those with greater public health needs; and
- develop synergies with the Commission’s main priorities and other programmes.

These points are still valid and the Programme will continue to work on these areas. In particular for the dissemination of results and implementation of best practices in close cooperation with other Programmes investing in health.

The experience from the ongoing Covid-19 crisis has demonstrated that the EU must improve health systems ready to provide state of the art services and care and to be prepared to cope with epidemics and other unforeseeable challenges.

The crisis showed for instance the importance of testing, contact tracing and public health surveillance as essential aspects of preparedness and response. It also uncovered the need for a smooth functioning single market and access to personal protective equipment, medicines and medical devices. Another the key lesson learned was that, whilst physical infrastructure could be expanded, the most pressing need became the availability of healthcare staff that were competent within intensive care units. In some instances, health care service reservists and medical students were called in and, where needed, rapid training was provided.

Maintaining rapid access to surge public health capacities, without neglecting other areas of healthcare is therefore essential, as well as non-pharmaceutical countermeasures, support to vulnerable groups (elderly, those with underlying health conditions, socially marginalised) and equitable access to vaccines.

Overall, the crisis spotlighted the fragility of the national and local health systems and the need for a coordinated strong action at Union level in complementing the health policies of the Member States in order to improve people’s health throughout the Union and ensure that public health protection is taken into account in all Union policies.

The weaknesses that have been detected will be addressed in the new programme (EU4Health<sup>11</sup>), which will be able to support Member States in the transition to better preparedness and stronger health systems. The new programme will bring together two

<sup>11</sup> The objectives of the EU4Health Programme are presented in section 1- Overview of the present document  
EU4Health Programme

strands of actions; a longer-term vision of continuously improving health conditions across the Member States, through better disease prevention, health promotion, access, diagnosis and treatment – objectives which have already been pursued through the currently existing programme. The second strand on health security would endow the EU and Member States with the preparedness and responses capacities to swiftly react to health emergencies. Both strands would contribute to tackling structural weaknesses of European health systems.

### 3.2. Key achievements

3	1185	EUR 6.9 million	36
<b>Joint Actions with the Member States</b> reoriented in emergency to contribute to the <b>fight against the covid-19 pandemic</b>	<b>healthcare providers and centre of expertise</b> joined the 24 European Reference Networks (ERNs) established	of EU contribution to the <b>Joint Action on Antimicrobial Resistance and Healthcare-Associated Infections (EU-JAMRAI)</b>	European countries (27 EU Member States and non EU countries) were assessed in the context of the <b>2020 edition of Health at a Glance</b> on the health impact of air pollution on citizens as well as through comparative analyses of the health status of their citizens, risk factors, health expenditure, quality and access to care

27	More than 2000	8
<b>Joint reports (13 assessments and 14 early dialogues)</b> carried out in the context of the EU cooperation on <b>Health Technology Assessment (HTA)</b> and with financial support to the <b>EU netHTA 3 Joint Action</b>	contacts with stakeholders in and outside the EU informing them about the legislative changes brought by the new <b>EU legislation on Medical Devices and in-vitro Diagnostic Medical Devices</b> which will enter into force in May 2020	<b>informative factsheets</b> translated in all EU and other languages

23	5
Member States using the <b>tools and mechanisms identified in order to contribute to effective results in their health systems</b>	joint actions with Member States launched in 2020

### 3.3. Evaluations, studies and reports

The key findings of the latest evaluation (Mid-Term evaluation of the 3<sup>rd</sup> Health Programme [https://ec.europa.eu/health/funding/programme/2014-2020/midterm\\_evaluation\\_en](https://ec.europa.eu/health/funding/programme/2014-2020/midterm_evaluation_en)) have been presented in the Programme Statements of 2018.

The Mid-term evaluation of the 3<sup>rd</sup> Health programme 2014-2020 was published in the Commission Report to the European Parliament and to the Council COM(2017) 586 final. The conclusion was that implementation of the Programme was on track, in alignment with the Commission's main priorities under Article 168 TFEU and the SDG, striving to maximise synergies with other EU policies and financial instruments such as Horizon 2020. All thematic priorities remained valid and most actions delivered useful outcomes with high EU-added value, in particular for crisis management and for the safety and security in Europe.

The open public consultation provided strong support for continued cooperation through the Programme, particularly in areas such as health promotion, disease prevention and eHealth.

The Staff Working Document SWD(2017) 331 final accompanies the Commission's report on the mid-term evaluation. It presents the main findings based on an independent external study conducted from May 2016 to May 2017. The conclusions of the evaluation were used to improve the implementation of the Health Programme in 2018-2020 and serve as a basis for the new Health Programme.

The evaluation indicated that major achievements were:

- establishing 24 European Reference Networks;
- supporting Member States to increase their capacity-building to respond to outbreaks (e.g. Ebola and Zika viruses);
- contributing to the EU's migration policy by supporting Member States to respond to the health needs of high influx of migrants and refugees;
- training health professionals and other front-line staff.

Other achievements of the health programme included exchanges of good practice in areas as diverse as alcohol reduction, cancer screening, HIV/AIDS and TB prevention, additional support for EU health legislation on medicinal products and medical devices, the eHealth Network activities and Health Technology Assessment.

A significant progress represented the joint work with the OECD and the European Observatory on Health Systems and Policies. This collaboration brought together internationally renowned expertise in the State of Health in the EU cycle to strengthen country-specific and EU-wide knowledge on health issues.

Compared to the second Health Programme, the 3rd Health programme design took a more strategic view of a mid-term perspective and has demonstrated its value as an effective and flexible management tool capable of covering unforeseeable needs (refugees' crisis).

The external mid-evaluation of the 3rd Health programme 2014-2020 ('3HP') concluded that the programme complemented and supported to the policies of Member States, in terms of improving the health of EU citizens and reducing health inequalities. The 3HP represented a major improvement. The new structure has increased the Health Programme's ability to target important health needs where it can add value (such as anti-microbial resistance and 'e-Health' in the context of the digital single market to name just a few). It demonstrated efforts to identify common, structural challenges facing Member States. The mechanisms for pooling expertise at EU level and supporting MS in their health reforms have been set up (namely the Expert Panel on Health and the Expert Group on Health Systems Performance Assessment) and the 3HP was providing direct financial support to the OECD and WHO to produce country profiles, giving a clear understanding of country specific needs. This focus was recognised by Member States: the consultation of Programme committee members and national focal points representing Member States' interests confirmed the 3HP structure matches the main health challenges in their country.

The Commission has launched the final (ex-post) evaluation of the 3HP, which will assess the relevance of its objectives, the added value of its actions, whether the programme delivered effectively and efficiently against its intended objectives, the coherence of the actions within the programme and of the whole programme with other relevant EU initiatives.

The final evaluation of 3HP will also follow up on how the recommendations from its mid-term evaluation (2016) were taken into account and its results will serve as input to the implementation of the successor health programme (EU4Health Programme) over the period 2021-2027.

## **4. Programme 2021-2027 - Key monitoring indicators**

### **Specific Objective 1 :Supporting actions for disease prevention, for health promotion and for addressing health determinants**

#### **Indicator 1: Vaccination coverage for vaccine-preventable-diseases: measles, flu, HPV, COVID-19**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	European Centre for Disease Prevention and Control (ECDC)
Link to the objective	

Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:EU Laboratory capacity index (EULabCap)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	European Centre for Disease Prevention and Control (ECDC)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Age-standardised five-year net survival rate for paediatric cancer**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	JRC ECIS - European Cancer Information System)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4:Coverage for cancer screening programmes**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	JRC ECIS - European Cancer Information System)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5:Population covered by Cancer Registries**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target

	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	JRC ECIS - European Cancer Information System)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 6: Member States reporting information on cancer stage at diagnosis

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	JRC ECIS - European Cancer Information System)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 2 :Prevention, preparedness & response to cross-border health threats

#### Indicator 1: Member States with improved preparedness and response planning

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	EC
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 :Enhancement of availability, accessibility & affordability of medicinal products, medical devices and crisis-relevant products

#### Indicator 1: Existing and new orphan authorisations

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	European Medicines Agency (EMA)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Advanced Therapy Medicinal Products for unmet needs**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	European Medicines Agency (EMA)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Paediatric Use Medicinal Products or vaccines for unmet needs**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	European Medicines Agency (EMA)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4:Reports on shortages of medicinal products in the Member States as through the single point of contact network**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	European Medicines Agency (EMA)
Link to the objective	

Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Audits conducted in the Union and in third countries to ensure good manufacturing practices and good clinical practices

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	EC
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 6: Antimicrobial consumption for systemic use ATC (group J01)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	European Centre for Disease Prevention and Control (ECDC)
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 4 : Strengthening health data, digital tools & services, digital transformation of healthcare

### Indicator 1: Member States participating in the European health data space

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	EC
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

## Specific Objective 5 :Development and implementation of EU health legislation and supporting evidence-based decision-making

### Indicator 1:Health impact assessments of Union policies

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	EC
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 6 :Support integrated work among MS health systems

### Indicator 1:Healthcare units involved in the European Reference Networks (ERNs)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	EC
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Patients diagnosed and treated by the members of the European Reference Networks (ERNs)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	EC
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Health Technology Assessment (HTA) reports jointly carried out**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	EC
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**5. Programme 2014-2020 - Key monitoring indicators***Previous Program 1 : Union action in the field of health (Health Programme)*

**General Objective 1 :to complement, support and add value to the policies of the Member States to improve the health of Union citizens and reduce health inequalities by promoting health, encouraging innovation in health, increasing the sustainability of health systems and protecting Union citizens from serious cross- border health threats**

**Indicator 1:Number of Healthy Life Years at birth**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Men										
2012	Milestones									2020
61,0	Actual Progress									Final
	61,1	62,4	63,6	63,5	63,7					
Women										
2012	Milestones									2020
61,7	Actual Progress									Final
	61,4	63,3	64,4	64,3	64,2					

Are we on track	Moderate progress
Indicator type	Input
Unit of measurement	Healthy years
Cut-Off Date	31/05/2021
Data source	Eurostat. Data for 2017 will be made available by Eurostat in May 2019, and for year 2018 in May 2020, and so on.
Narrative	Baseline: Men 2012: 61.0%, Women 2012: 61.7%
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The above indicator is taken directly from the 3rd Health Programme Regulation. The 2 indicators below are an operationalization. Note: the guidelines on breast cancer services were published in July 2017. Plus 3 announced in 2017 but not approved by the end of the year. The above indicator is taken directly from the 3rd Health Programme.
Full metadata available at this address	
Justification of the trend	General positive trends for the 2 indicators (men and women) even if there has been stabilisation or slight decrease for women over the period 2016-2018 (to be confirmed by future revisions of these data)

**Specific Objective 1 :identify, disseminate and promote the uptake of evidence-based and good practices for cost-effective health promotion and disease prevention measures by addressing in particular the key lifestyle related risk factors with a focus on the Union added value**

**Indicator 1: number of Member States involved in health promotion and disease prevention, using evidence-based and good practices through measures and actions taken at the appropriate level in Member States**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Fat										
2012	Milestones									2020
12	16	18	20	22	24	25	28			28
	Actual Progress									Final
	21	21	21	22	24	24	24			
Cancer										
2012	Milestones									2020
				10			28			28
	Actual Progress									Final
	0	0	0	10	10	6	6			

Are we on track	On track
Indicator type	
Unit of measurement	Member States having a national initiative on reduction of saturated fat & MS in which the European accreditation scheme for breast cancer services is implemented - establishment of the scheme.
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	(relevant for Cancer sub-indicators): In 2019, Guideline developers and/or national authorities from six EU countries have used, implemented or adapted the European Guidelines, evidence base or methodology developed or applied by the European Commission Initiative on Breast Cancer, coordinated by the Joint Research Centre (JRC). In 2019, guidelines developers and/or national authorities of six Member States have used, implemented or adapted in their national cancer plans the European Guidelines, evidence base or methodology developed by the European Commission Initiative on Breast Cancer, coordinated by the Joint Research Centre (JRC).
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :identify and develop coherent approaches and promote their implementation for better preparedness and coordination in health emergencies**

**Indicator 1: number of Member States integrating coherent approaches in the design of their preparedness plans**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0	0	4	18	20	22	24	28			28
	Actual Progress									Final
	0	16	16	16	22	22	22			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Member States
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Actual results on the indicators will be available after the next reporting exercise by Member States on preparedness and response planning under Article 4 of Decision 1082/2013/EU. The next reporting exercise took place in 2020.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 :identify and develop tools and mechanisms at Union level to address shortages of resources, both human and financial, and to facilitate the voluntary uptake of innovations in public health intervention and prevention strategies

**Indicator 1:advice produced and the number of Member States using the tools and mechanisms identified in order to contribute to effective results in their health systems**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Advice produced, in particular the number of Health Technology Assessments (HTA) produced per year										
2012	Milestones									2020
2	11	6	12	18	22	29	50			50
	Actual Progress									Final
	6	9	0	4	22	27	41			
Number of Member States using the tools and mechanisms identified in order to contribute to effective results in their health systems										
2012	Milestones									2020
		5	9	8	10	12	18			18
	Actual Progress									Final
		5	10	9	22	23	23			

Are we on track	On track
Indicator type	Output
Unit of measurement	For second sub indicator: Number of Member States HTA bodies reporting uptake of joint HTA reports produced by EUnetHTA.
Cut-Off Date	01/02/2021
Data source	EUnetHTA JA3 (2017-2021).
Narrative	
Methodology	Annually
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Relevant for the first sub indicator: In 2020, EUnetHTA Joint Action 3 carried out 40 joint reports. This is an increase from the previous years, especially in the difficult context of the COVID-19 pandemic. In addition to 18 joint assessments and early dialogues (that are well-established joint HTA activities), EUnetHTA adapted to the COVID-19 crisis by introducing two new type of joint reports: rapid collaborative reviews of SARS-CoV-2 diagnostic methods (2 reports) and rolling and rapid collaborative reviews of potential treatments for COVID-19 (21 reports). Relevant for the second indicator: The uptake of joint HTA reports by MS depends on the needs of national HTA bodies (i.e. was affected by the COVID-19 crisis) and the market strategy of health technology developers (e.g. usually a health technology is not introduced simultaneously in all MS)
Full metadata available at this address	<a href="http://www.eunethta.eu">www.eunethta.eu</a>
Justification of the trend	

### Specific Objective 4 :increase access to medical expertise and information for specific conditions beyond national borders, facilitate the application of the results of research and develop tools for the improvement of healthcare quality and patient safety

**Indicator 1:number of European reference networks established in accordance with Directive 2011/24/EU**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	0	0	10	24	24	24	30	24	27	30
	Actual Progress									Final
	0	0	23	24	24	24	24			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Networks can only be formally established as provided in Commission Implementing Decision 2014/287/EU setting out criteria for establishing and evaluating European Reference Networks and their Members. The implementing decision was adopted later than forecasted in 2013 (when the goals were defined in the Health programme) and therefore the milestones and goals should be adapted to reality. The establishment of ERNs is a complex procedure, which involves several steps and tools.

	The first call for ERN has been launched in the second half of 2016, the result was the establishment of 24 ERNs. Target reduced from 33 to 30 based on the SANTE strategic plan 2016-2020. Revised target more likely to be reached by the end of the Programme. Recent discussions in the Board of Member States and in the Coordinators group show that 3 more networks could be expected by the end of the Programme.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: number of healthcare providers and centres of expertise joining European reference networks

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	0	0	120	936	1136	1342	1450	1180	1780	1450
	Actual Progress									Final
	0	0	936	956	956	953	1185			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The difference with regard to 2018 is due to cleaning of duplicate records. The stabilisation of this indicator around 950, after reaching in 2017 the milestone set out for that year, can be explained by external factors linked with the ERNs' infrastructure and work procedures – first, Member States took much longer to endorse Affiliated Partners (which only joined during 2021) and secondly new members can only be accepted after a long assessment process (which is coming to an end in 2021).
Full metadata available at this address	
Justification of the trend	

### Indicator 3: number of Member States using the tools developed

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0	0	0	0	18	20	24	28			28
	Actual Progress									Final
	0	0	0	25	25	25	28			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	27 MS+Norway (following BREXIT)
Full metadata available at this address	
Justification of the trend	

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

Not applicable

### 6.2. Contribution to biodiversity mainstreaming

Not applicable

### 6.3. Contribution to clean air financing

Not applicable

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

DG SANTE has developed a questionnaire for all beneficiaries to be completed at the time of the interim and final report, operating grant recipients will only provide a final report and complete the questionnaire then. One question targets gender mainstreaming and how it was performed in the actions. DG SANTE can already report on the first data from the beneficiaries/reports for the operating grants (budget of EUR 4.6 million), whereas information from project grants and Joint Actions will only be available later.

As regards the operating grants, the first replies from recipients indicate that on average an amount of about 2 % of their budget, i.e. EUR 86.000, is spent to finance activities targeting the gender issue related to health.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

#### *SDG 3 Ensure healthy lives and promote well-being for all at all ages*

The Health Programme contributes to EU efforts to achieve the Sustainable Development Goals in health and well-being by supporting actions to implement the EU's political commitments and legal obligations in health and work towards Sustainable Development Goal 3 on health. Examples of such support included funding for operating grants to NGOs. Specific Grant Agreements were signed with 15 NGOs in 2020.

Four direct grant agreements were also concluded with international organisations, as follows:

- Three direct grant agreements were signed with the OECD, on best practices implementation; on patient reported outcomes and on pharmaceutical products' accessibility.
- One direct grant agreement was signed with the Council of Europe to support the European Pharmacopeia work.

In order to maximise collective EU work towards the WHO's nine voluntary targets on non-communicable disease and the UN Sustainable Development Goals for health and well-being, DG SANTE works through the Steering Group on Health Promotion, Disease Prevention and Management of Non-Communicable Diseases (SGPP).

In 2019, mental health good practices identified by the Steering Group were selected for scale-up and transfer (Suicide Prevention in Austria, Mental healthcare delivery system reform in Belgium, and European Alliance Against Depression).

In 2020, the SGPP launched two joint actions with member state involvement, notably on mental health and on nutrition.

At the Steering Group's formal meeting in September 2020, anti-microbial resistance (AMR), cancer, and access and availability of medical products, followed by prevention of non-communicable diseases (NCDs) were identified as a priority area for population-level health interventions and best practices. After the priority assigned to prevention of NCDs, the next three priorities relate to risk factors on tobacco, environmental determinants of health (notably pollution) and obesity. For these four risk factors, a Best Practice call was published at the end of 2020 in the Best Practice Portal. In addition, a Best Practice call on Primary Care was opened.

Other projects on health promotion and disease prevention launched included projects on cardiovascular disease prevention; the prescription of physical activity; and on the promotion of whole grain consumption.

**HEADING 2B: Resilience and Values****Emergency Support Instrument (ESI)****Lead DG: SANTE**

Associated DGs: CNECT, HOME, ECHO, DIGIT, MOVE

1. Overview .....	539
1.1. Challenges .....	539
1.2. Mission (general objectives) .....	540
1.3. Specific objectives .....	540
1.4. Public intervention context .....	540
1.5. Actions .....	540
1.6. Delivery mode .....	541
1.7. Graphic overview of the programme structure .....	541
1.8. Legal basis and financial programming .....	542
1.9. Link with the 2014-2020 MFF .....	542
1.10. Relevant websites providing more information .....	542
2. Where are we in the implementation ? .....	542
2.1. Programme 2021-2027 .....	542
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	543
3. How is the programme performing ? .....	544
3.1. Performance .....	544
3.2. Key achievements .....	545
3.3. Evaluations, studies and reports .....	546
4. Programme 2021-2027 - Key monitoring indicators .....	546
5. Programme 2014-2020 - Key monitoring indicators .....	546
6. The programme contribution to horizontal policies .....	547
6.1. Contribution to climate mainstreaming .....	547
6.2. Contribution to biodiversity mainstreaming .....	547
6.3. Contribution to clean air financing .....	547
6.4. Contribution to gender equality .....	547
6.5. Contribution to the sustainable development goals .....	547

**1. Overview****1.1. Challenges**

COVID-19, declared a pandemic by the World Health Organization (WHO) on 11 March 2020, is leading to an unprecedented loss of life in the Union. Member States are adopting exceptional measures to limit the spread of the virus with unprecedented consequences for society and the economy. National healthcare systems in particular are under severe strain and Member States are faced with urgent and high needs for medical supplies, treatments and vaccines.

On 14 April 2020, the Council adopted Council Regulation (EU) 2020/521 activating emergency support under Council Regulation (EU) 2016/369 to finance expenditure necessary to address the COVID-19 pandemic. Unlike other programmes, the Emergency Support Instrument (ESI) is activated independently of the multiannual financial framework for the period 1 February 2020 to 31 January 2022. EUR 2 700 000 000 were mobilised under the 2020 budget. Furthermore, by 15 December 2020 the Member States made contributions of a total of EUR 750 000 000 as external assigned revenue. As many Member States faced a third wave of infections, including as a result of new variants emerging in the first quarter of 2021, the Commission proposed to reinforce the ESI in 2021 with an additional EUR 231 700 000 from the EU budget to finance actions such as the interoperability of digital green certificates, an EU waste water monitoring system, the further development of the passenger locator form exchange platform, and the purchase for donation to Member States of specialised tests for identifying variants.

## 1.2. Mission (general objectives)

The nature and consequences of the pandemic are large-scale and transnational, affecting all Member States given the quick spread of the virus and requiring a comprehensive response to allow the Union as a whole to address the crisis in a spirit of solidarity. Actions taken by the Member States alone, including with Union financial support under other Union instruments, are not adequate.

The general objective is to provide needs-based emergency support, complementing the efforts of Member States aimed at preserving life, preventing and alleviating human suffering, and maintaining human dignity, wherever the need arises as a result of the pandemic.

The Emergency Support Instrument provides added value by directly supporting the healthcare systems of Member States through targeted measures that can be deployed strategically and in a coordinated manner to deliver greater impact in mitigating the large-scale consequences of the pandemic.

## 1.3. Specific objectives

The legal base of the Emergency Support Instrument is designed to allow for a comprehensive and flexible response to the urgent, evolving and diverse needs during the pandemic. It therefore does not set out specific objectives but rather provides the EU with a broad toolbox to support Member States, with an indicative and non-exhaustive list of the actions which may be funded. In line with the legal base, the Commission cooperated closely with the Member States in the implementation of the instrument. The Commission regularly exchanged views with Member States on their needs and how these were being taken into account in programming, and informed them of the state of play of the actions to be financed by the instrument. This was done via written information, through the Permanent Representatives Committee (Coreper) and the Integrated Political Crisis Response (IPCR) meetings, as well as through dedicated meetings with Member States' contact points. The Health Security Committee and the Civil Protection Committee were also regularly engaged. This cooperation and exchange informed the choice of actions to be prioritised. The European Parliament was also kept informed.

## 1.4. Public intervention context

Article 5(1) TFEU provides for the EU to take measures to ensure that Member States coordinate their economic policies. The Emergency Support Instrument is based on Article 122(1) TFEU, which allows the Council, on a proposal from the Commission, to decide, in a spirit of solidarity between Member States, upon the measures appropriate to the economic situation, in particular if severe difficulties arise in the supply of certain products.

Under its legal base, the Emergency Support Instrument complements the efforts of Member States, in close cooperation and consultation with them, and only in exceptional circumstances where no other instrument available to Member States and to the Union is sufficient. The nature and consequences of the COVID-19 pandemic are large-scale and transnational and, therefore, require a comprehensive response. While the EU already benefits from other Union instruments to respond to different types of internal challenges, for example the measures provided for under the Union Civil Protection Mechanism (UCPM) established by Decision No 1313/2013/EU, rescEU or the Joint Procurement Agreement for medical equipment, these instruments are limited in scale and do not provide a sufficient response to address the exceptional and wide-ranging needs resulting from the pandemic.

The Union is better placed than Member States, acting alone and in an uncoordinated manner, to mobilise appropriate levels of financing and use them to implement operations of a potentially life-saving nature in an economic, efficient and effective manner by reason of its scale, speed of deployment or capacity to provide Union-level solutions to underpin cross-border cooperation. Given the unprecedented consequences of the pandemic for all citizens and all sectors of the economy and considering the need for rapid and efficient action as well as the complementarity of the emergency support provided, the instrument does not go beyond what is necessary to achieve its objective.

## 1.5. Actions

In line with the broad scope of possible interventions provided for by the legal base and its needs-based rationale, the Emergency Support Instrument is financing a strategically-chosen range of actions, reflecting the needs expressed by Member States during consultations with them, and focussed on response and increased preparedness and bringing fast, targeted and tangible impact with maximum EU added value. The following actions were allocated funding in 2020 (presented in the order in which they were authorised under the Financing Decision and its subsequent amendments):

1. **Mobility package:** providing support for the transport of essential medical cargo (including life-saving personal protective, testing and medical equipment (PPEs, ventilators, masks, medicines, etc.), medical teams and personnel including operating costs, and the transfer of patients).
2. **Facility for essential health-related products:** for the procurement and distribution to Member States of equipment, therapeutics, diagnostics and training.
3. **Vaccine instrument:** to fund Advanced Purchase Agreements with COVID-19 vaccine developers (procurement).

4. **Collection of COVID-19 convalescent plasma:** providing grants to increase the availability of plasma as a direct treatment for COVID-19 patients.
5. **Clinical testing of repurposed medicines to treat COVID-19 patients:** providing grants for generating clinical evidence to repurpose existing treatments.
6. **Increased testing capacity:** to train additional staff to perform sampling and analysis and provide additional testing facilities and capacities, implemented by the International Federation of the Red Cross.
7. **Federation gateway server for interoperability of tracing apps:** for the procurement of a digital platform connecting national tracing apps and grants to support Member States to connect to it.
8. **Disinfection robots for hospitals:** for the procurement and donation of ultraviolet (UV) disinfecting robots to hospitals throughout the Union.
9. **Medical capacities for the reception facilities and their host communities in Greece:** grant to the International Organisation for Migration and the Greek government for enhancing capacities of medical infrastructure to address COVID-19 related pressures.
10. **Pilot project to develop and test a common Passenger Locator Form exchange platform:** to allow the exchange of passenger information among national contact tracing authorities, implemented by the European Aviation Safety Agency (EASA).

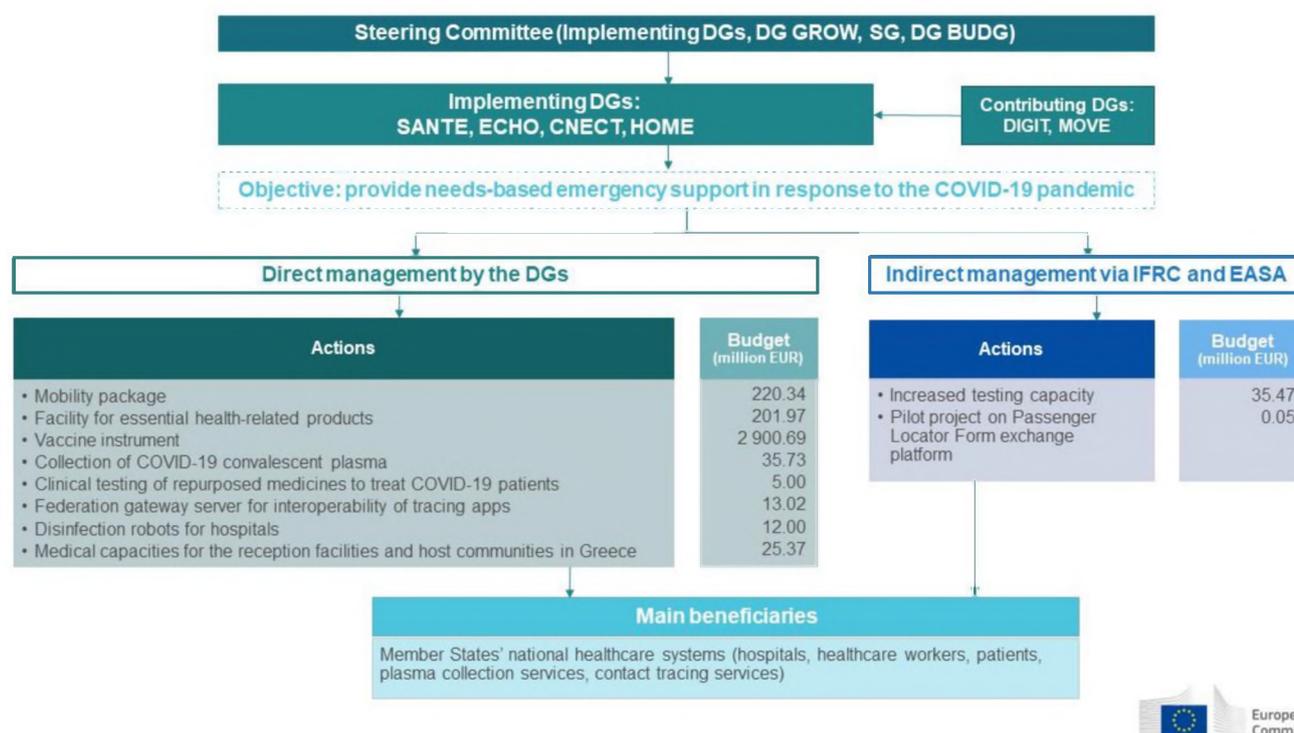
## 1.6. Delivery mode

The Emergency Support Instrument is centrally managed by the Commission and implemented very largely through direct management (grants (7%) and procurement (92%)), with around 1% of the funding being implemented through indirect management via the International Federation of the Red Cross and the European Union Aviation Safety Agency (EASA).

Given its broad scope, the authorising officers by delegation of five Commission departments (DGs SANTE (Health and Food Safety), GROW (Internal Market, Industry, Entrepreneurship and SMEs), ECHO (European Civil Protection and Humanitarian Aid Operations), HOME (Migration and Home affairs) and CNECT (Communications, Networks, Content and Technology) are co-delegated (type I). As a result of the selection of actions prioritised for funding, DG GROW is not implementing any of the budget. DGs DIGIT (Informatics) and MOVE (Mobility and Transport) also implement part of the budget for 2020 as concerns two actions, through cross sub-delegations.

A specific internal governance arrangement was put in place including a Steering Committee of the co-delegated authorising officers together with the SG (Secretariat- General) and DG BUDG (Budget) in order to provide strategic coordination of the instrument, in particular as concerns priority-setting and allocation of funding, without prejudice to the responsibilities of the authorising officers by co-delegation for the implementation of the funding allocated to them.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
	2021 - 2027	

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>156,2</b>							<b>156,2</b>

### 1.8.4. Financial programming explanation

Unlike other programmes, the Emergency Support Instrument is activated independently of the multiannual financial framework for a specific limited period of time to address the special needs of a particular crisis situation, in this case from 1 February 2020 to 31 January 2022. Voted budget appropriations of EUR 2 700 000 000 were made available from the Union budget 2020. The Member States used the possibility to contribute EUR 750 000 000 by 15 December 2020 as external assigned revenue in the context of the vaccines initiative.

## 1.9. Link with the 2014-2020 MFF

The Emergency Support Instrument was activated independently from the multiannual financing framework and spans both the 2014-2020 period and the 2021-2027 period.

## 1.10. Relevant websites providing more information

Information about the activation and use of the Emergency Support Instrument in the response to the COVID-19 pandemic is available at: [https://ec.europa.eu/info/live-work-travel-eu/coronavirus-response/emergency-support-instrument\\_en#general](https://ec.europa.eu/info/live-work-travel-eu/coronavirus-response/emergency-support-instrument_en#general)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

There are no voted commitment appropriations in the Union budget 2021 for the Emergency Support Instrument. The voted payment appropriations for 2021 amount to EUR 90 000 000.

As many Member States faced a third wave of infections, including as a result of new variants emerging in the first quarter of 2021, the Commission proposed to reinforce the ESI in 2021 with an additional EUR 231 700 000 in commitment appropriations (EUR 75 500 000 as a budgetary transfer from the Solidarity and Emergency Aid Reserve (SEAR) and EUR 156 200 000 under Draft Amending Budget 2021/2). The objective of this reinforcement would be to support new actions in relation to the development of digital green certificates, waste water monitoring, and the further development of the passenger locator form exchange platform, as well as to fund the purchase for donation to Member States of specialised RT-PCR assays for identifying variants, and a reserve of EUR 100 000 000 for emerging needs.

The instrument expires on 31 January 2022 and hence no appropriations are requested for 2022.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget*	2 700 000 000	2 231 227 697
Implementation total	2 700 000 000	2 231 227 697
total envelop	2 700 000 000	
cumulative implementation rate	100%	83%

(\*) The analysis of the budget and its implementation only focuses on 2020, when the instrument was used to tackle the COVID-19 crisis. The previous activations of the instrument in the 2014-2019 period, notably to tackle the migration crisis, are not taken into account here.

Financial execution for the instrument – both in terms of commitments and payments – is on track. The Emergency Support Instrument was activated for a limited period of time with voted commitment appropriations for the financial year 2020 in order to meet the urgent needs associated with a rapidly-evolving pandemic. The implementation rate for commitment appropriations in 2020 was 100% as concerns the EUR 2 700 000 000 voted budget credits. For the EUR 750 000 000 in external assigned revenue from Member States' contributions received by 15 December 2020, some EUR 416 600 000 remain to be committed. These funds will be used to further extend the portfolio of Advance Purchase Agreements with promising vaccine candidates so as to maximise the chances of benefiting from effective and safe vaccines, across a range of technological approaches, in the quantities necessary and in the timeliest manner. Negotiations are ongoing with two potential additional candidates.

As concerns payments, the initially voted budget credits of EUR 1 380 000 000 for 2020 proved inadequate, largely because the objective of the instrument is to provide emergency support and hence payments commitments are generally needed very shortly after contracts are signed. For example, for the urgent procurement and distribution of essential medical products, most payments needed to be made at the point of delivery of the products. Similarly, in relation to the advance purchase agreements with vaccine producers, payments had to be scheduled almost immediately after contracts were signed, given that these agreements provided upfront funding to secure access to the eventual vaccines and to support the companies concerned with the investment needed to scale up production to be able to deliver adequate quantities to cover Union citizens whilst also delivering on the Union's firm commitment to the wider global community.

In July 2020 the budgetary authority agreed to the Commission's request to transfer of an initial EUR 140 000 000 in payments appropriations from DG HOME's budget lines to the European Support Instrument. In September, the budgetary authority approved the Commission's proposal for Amending Budget 8/2020 which transferred an additional EUR 1 090 000 000 in payments credits to the instrument, bringing the total available payments credits to EUR 2 610 000 000. Of this some EUR 2 231 000 000 had been executed by the end of 2020, which represents an implementation rate of 85% of available credits.

Due to delays in the reception of relevant supporting documents or in the finalisation of the contracts, some payments initially foreseen in 2020 were postponed to 2021:

the second down payment of one of the vaccines advance purchase agreements where the technical report submitted in 2020 was not considered satisfactory;

in the framework of the reimbursement of cargo operations by the Member States, beneficiaries of larger grants have reported delays, as they must wait for a Certificate on Financial Statement prepared by an independent auditor and some grants were not paid in 2020 due to the need to review documents submitted for the final report;

the procurement of rapid antigen tests, for which specific contracts and donation agreements have been signed in the first quarter of 2021.

On top of these, several payments will be due in 2021 for other actions, including the interoperability of tracing applications, disinfection robots, the medical capacities for the reception facilities and their hosting communities on the Greek islands, as well as to cover the remaining commitments to be made under the vaccines initiative.

The 2021 voted payment appropriations (EUR 90 000 000) were not sufficient to honour all these outstanding commitments. Therefore, based on point (c) of the first subparagraph of Article 12(2) of Regulation (EU, Euratom) 2018/1046, some EUR 378 800 000 in payment appropriations was carried over in the context of the Commission decision on non-automatic carryover of appropriations 2020-2021. Most of the remaining payments are scheduled to be executed by end of 2021.

As concerns the externally assigned revenue from Member States' contributions, payments appropriations amounting to the equivalent of the remaining commitment appropriations remain to be executed. As these appropriations are intended for use in the vaccines initiative, for the reasons mentioned above, payments are expected to swiftly follow once the remaining advance purchase agreements are signed.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

The rationale for the Emergency Support Instrument is needs-based, in the context of a quickly-evolving pandemic. No performance framework or indicators are prescribed in the legal base since the instrument has been designed to be adaptable to emerging needs.

##### **3.1.2. Active programme performance**

The Emergency Support Instrument has proven its effectiveness in terms of quickly mobilising resources towards the needs identified in the context of the COVID-19 pandemic and therefore met its objective, which is to respond to the urgent, evolving and diverse needs of Member States in responding to the crisis. All funds made available in 2020 were effectively committed and 85% of payments were made in the course of the year. The flexibility enshrined in the legal base, together with the mandate given to the Commission to centrally manage the funding, in cooperation and consultation with Member States, allowed the prioritisation of those actions where collective action could generate the most added value, more timely interventions, or indeed outcomes that could not have been achieved by Member States acting individually.

The instrument is unique in terms of its activation over a limited time frame, its mandate to adapt flexibly to needs at a time of medical and scientific uncertainty, and its limited time span. It was deployed in a rapidly-evolving environment marked by uncertainties about the nature of the virus, the appropriate medical response, and both supply and demand. The breadth of scope and possible interventions also required policy choices in the context of a quickly-evolving epidemiological situation, also taking into account the limited EU competences in the health domain.

Particularly in the early phase of the crisis, there was a systemic lack of information about needs at both Union and national/sub-national level. To mitigate this, the work of the Clearing House for medical equipment, and in particular the results of the needs surveys and projections produced in that context, were fed into programming the instrument. The needs reported by Member States were also cross-referenced against the epidemiological methodology of the European Centre for Disease Prevention and Control, in order to ensure the equitable distribution of equipment and products for donation to Member States. The Commission regularly exchanged views with Member States on their needs and how these were being taken into account in programming, and informed them of the state of play of the actions to be financed by the instrument. This was done via written information, through Coreper and the Integrated Political Crisis Response (IPCR) meetings, as well as through dedicated meetings with Member States' contact points. The Health Security Committee and the Civil Protection Committee were also regularly engaged. This cooperation and exchange informed the choice of actions to be prioritised, in the absence of specific objectives in the legal base.

The major focus of the programme (over 86% of funding) has been on the vaccines initiative, which allowed the conclusion at an early stage of advance purchase agreements with pharmaceutical companies developing COVID-19 vaccines, providing the necessary investment to advance the scientific progress and production capacities, as a result of which 2.6 billion doses of ~~proven~~ COVID-19 vaccines were secured for Member States. The instrument provided the financial support to underpin Member States' agreement to a joint approach in this area, which: (a) allowed individual Member States who otherwise would have had different (or potentially zero) capacity to engage with developers of vaccines to secure supplies; (b) leveraged the scale offered by Union investment to reduce prices and obtain contractual conditions on issues such as liability and capacity increase which will mitigate Member States' risks going forward. At the same time, the advance purchase agreements funded by the instrument are by their nature risky investments. Whilst the Commission designed a portfolio of contracts with the most promising candidates across a wide range of technologies, there was no guarantee that individual vaccines would be successful and authorised in the EU, or that producers would be able to step up their production at the levels they had committed to. It cannot be excluded that the risk of having invested in a failed vaccine candidate materialises: this risk is mitigated in part by provisions in the advance purchase agreements requiring the reimbursement of part of the unused EU investment in any such case.

In line with its objectives, the instrument was deployed to meet urgent needs expressed by Member States in the context of tight supply and market uncertainty. The instrument delivered some 10 million masks to medical staff in the early phase of the crisis,

when the pressure on supplies of equipment was intense. A first batch of 1.5 million masks purchased and distributed to Member States did not meet the necessary quality standards and was destroyed; under the terms of the contract the supplier provided replacements, and a quality control contract was put in place to ensure the necessary standards were met before export of the replacement and future batches.

The programme also allowed all Member States to have access to the therapeutic remdesivir, the first EU-authorized medicine to treat COVID-19, at a time when national contracts with the sole producer were not on offer. The programme allowed the Union collectively to make necessary purchases which Member States acting alone were not able to access. The Emergency Support Instrument allowed the Union to respond to needs expressed by all Member States by delivering some 34 000 courses of the treatment, which at the time reflected the best available scientific evidence at the time, although this was subsequently challenged.

Also under the facility for essential health-related products, the instrument allowed the Union to procure over 21 million rapid antigen tests. First donations have been delivered to 12 Member States and further shipments will continue in the next months.

Under the mobility package, over 1,000 flights and 500 operations by road, rail and sea have been funded through 49 projects totalling EUR 150 000 000 in grants to support cargo transport of essential medical supplies (masks, ventilators, PPEs, medicines, etc.) into the EU at a time when Member States were confronted with both limited cargo transport availability and accordingly higher costs. Furthermore, some 283 medical personnel and around 34 have been transported across border to best ensure the deployment of available infrastructures and save lives.

Through the instrument, the Union was able to provide solutions to other common challenges, such as the development of interoperability between national tracing apps. The system went live in October 2020 and 16 national tracing apps are now connected. Grants to support Member States' connections have been provided to 13 Member States.

Working with the national branches of the International Federation of the Red Cross, the instrument ensured the stepping up of testing capacity across the seven Member States which expressed an interest. 3500 volunteers and professionals have been trained in testing techniques, and 75 mobile testing teams have been established. The action will continue to mid-September 2021.

The action to provide Intensive Care Unit (ICU) training has proved very successful. To date, 15 000 professionals in 750 hospitals across the EU have been trained in ICU skills (the initial goal was to train 10 000 personnel), and the Commission has been approached by third countries who would wish to join the training programme.

The instrument has also funded the supply of at least 200 UV disinfecting robots to hospitals across the Union, providing efficient and effective solutions to ensure the safety of healthcare environments and their staff. 31 robots were delivered to hospitals in 12 Member States as of 31 March 2021, and further monthly batches of 30 robots or more will be delivered as of April 2021 throughout 2021.

Whilst the instrument had only been operational since April 2020, the European Court of Auditors' review 01/2021 on the EU's initial contribution to the public health response, published on 18 January 2021, addressed the state of play of the instrument as of 30 June 2020 and noted the role of the instrument in complementing Member States' and other Union responses. The Court did not make recommendations but acknowledged that it was a challenge for the EU to complement rapidly the measures taken within its formal remit by additional actions, as public health is primarily a national competence. With regard to the Commission's financial support to vaccine development, the Court highlighted that the Commission mitigated the inherent risk linked to vaccine development by investing in a range of vaccine technologies and companies.

### 3.2. Key achievements

1,500	283	34 000	Over 21 million	10 million	15 000
cargo operations involving over 1,000 flights and 500 transports by road, rail and sea through 49 projects between April and September 2020, delivering medical supplies including life-saving personal protective, testing and medical	medical personnel and 34 patients transported according to needs during 2020	courses of the therapeutic remdesivir purchased and distributed to Member States from August to October 2020	rapid antigen tests purchased with deliveries started in February 2021	masks for healthcare workers distributed to Member States from July to October 2020	doctors and nurses trained to support and assist Intensive Care Units in 750 hospitals across the EU from August 2020

equipment					
-----------	--	--	--	--	--

2.6 billion	150	At least 200	16
doses of vaccines against COVID-19 secured for delivery once vaccines have proven safe and effective, with the potential for Member States to purchase more. Deliveries started in December 2020	local blood or plasma collection centres were awarded grants for blood-collection services to step up programmes for collecting plasma from recovered COVID-19 patients from January 2021	ultra-violet (UV) disinfecting robots, together with transport, installation and training of operating staff, started to be delivered on 26 February 2021. Monthly batches of 30 robots or more will be delivered throughout 2021	national tracing apps are linked into the European Federation Gateway Service for interoperability of tracing apps. The system went live in October 2020.

### 3.3. Evaluations, studies and reports

The Emergency Support Instrument was first activated in 2016-2019 in response to the refugee crisis in Greece and provided EUR 647 million of support. This activation was subject to an evaluation.

The key findings of the evaluation of the 2016 activation ([SWD\(2019\)97](#)) were that:

1. The activation of ESI should be accompanied by an obligation to develop an organisational framework outlining roles and responsibilities, tailored to each country of activation;
2. ESI should include an explicit requirement for the development of an overall exit strategy, as well as specific exit strategies by sector and at action level;
3. Further synergies with other funding mechanisms to complement emergency activities with longer-term actions should be sought systematically as part of any future activation;
4. Local partners should be more systematically involved in future ESI activations.
5. In any future activation, the ESI should continue to aim for cost-effectiveness among the different sectors targeted and by seeking further economies of scale.

Given the specific context and focus of the objectives of the first activation, the findings of the evaluation are of limited relevance to the present programme, with the exception of the action to be implemented as concerns the medical capacities for the reception centres and their host communities in Greece.

In this area, the first activation aimed to prevent and alleviate human suffering as a result of the emergency, and to restore and maintain the dignity of the affected populations. As regards healthcare, it focussed on emergency provision of primary health care, specialised healthcare (including mental health), psychosocial support and referral to hospital for people located in reception centres. The current action is complementary and builds upon the lessons learnt by providing structural investment to increase the capacity of local hospitals and within reception centres, geared towards the particular challenges related to the COVID-19 pandemic. The focus on structural investments increases the sustainability of the action, in line with the evaluation recommendations. Needs have been assessed jointly, consulting in a bottom-up approach with the local hospitals and Greek health partners, and the selection of partners for the grant ensures a combination of local involvement and relevant expertise. Finally, the action has been designed to be complementary to the funding for healthcare in the Greek migration reception system under the Asylum, Migration and Integration Fund.

More widely, notwithstanding the different circumstances and scope of the first and present activations of the instrument, findings 3 and 4 were taken into account in the selection and implementation of ESI actions under the current programme. Complementarity and synergies with other mechanisms was a key test in the selection of actions, for example: there was no other EU instrument available to finance Advanced Purchase Agreements with vaccine developers; as concerns support to the medical facilities in Greece, no other instrument had the legal scope to provide funding to enhance the overall capacity of the local infrastructure to address the needs of hosting communities as well as those in reception centres. Actions such as the direct donations of UV disinfecting robots were delivered in partnership with the beneficiary local actors, at the level of individual hospitals. The action to increase testing capacity was implemented through the International Committee of the Red Cross, which is working through its national and regional branches to deliver localised increased testing. The convalescent plasma collection action is delivering grants to 150 local blood or plasma donation centres.

## 4. Programme 2021-2027 - Key monitoring indicators

## 5. Programme 2014-2020 - Key monitoring indicators

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

The Emergency Support Instrument contributes directly and in its entirety (some EUR 3.4 billion) to SDG 3: good health and well-being.

#### **6.5.2. Key achievements and performance**

The United Nations (UN) has acknowledged that COVID-19 is spreading human suffering, destabilising the global economy and upending the lives of billions of people around the globe, and that the pandemic provides a watershed moment for health emergency preparedness. The Emergency Support Instrument, deployed in response to the health crisis, supports the whole-of-government and whole-of-society response needed, matching the resolve of frontline health workers.

The Emergency Support Instrument provided 10 million masks for health workers in the early days of the crisis, and therapeutics to treat nearly 35 000 patients later. It has provided increased testing capacities and promoted the availability of treatments such as remdesivir and convalescent plasma. It has trained more than 15 000 professionals in 700 hospitals in intensive care skills. It has provided solutions to support the interoperability of tracing and warning apps across border, helping to break the chain of coronavirus infections and helping to save lives. . Most importantly, it has accelerated the development of vaccines and secured access to some 2 billion doses of vaccines for EU Member States and – through COVAX – the wider world.

**HEADING 2A: Economic, Social and territorial cohesion****European Social Fund + (incl. The Fund for the Most Deprived and Employment and Social innovation)****Lead DG:EMPL**

Associated DGs:REGIO

1. Overview .....	549
1.1. Challenges .....	549
1.2. Mission (general objectives) .....	549
1.3. Specific objectives .....	549
1.4. Public intervention context .....	550
1.5. Actions .....	551
1.6. Delivery mode .....	551
1.7. Graphic overview of the programme structure .....	551
1.8. Legal basis and financial programming .....	551
1.9. Link with the 2014-2020 MFF .....	552
1.10. Relevant websites providing more information .....	552
2. Where are we in the implementation ? .....	552
2.1. Programme 2021-2027 .....	552
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	553
3. How is the programme performing ? .....	559
3.1. Performance .....	559
3.2. Key achievements .....	566
3.3. Evaluations, studies and reports .....	567
4. Programme 2021-2027 - Key monitoring indicators .....	569
Specific Objective 1 :Policy area - Employment and labour mobility .....	569
Specific Objective 2 :Policy area - Education .....	571
Specific Objective 3 :Policy area - Social inclusion, including contributing to poverty eradication and health .....	572
Specific Objective 4 :Policy area - Employment and social innovation .....	576
5. Programme 2014-2020 - Key monitoring indicators .....	578
Previous Program 1 : European Union Programme for Employment and Social Innovation (EaSI) .....	578
Specific Objective 1 :Support the development, implementation, monitoring and evaluation of the Union's instruments, policies (promoting a high level of quality and sustainable employment, guaranteeing adequate and decent social protection, combating social exclusion and poverty and improving working conditions) and relevant law and promote evidence-based policy-making, social innovation and social progress, in partnership with the social partners, civil society organisations and public and private bodies (PROGRESS Axis) .....	578
Specific Objective 2 :Promote workers' voluntary geographical mobility on a fair basis and boost employment opportunities by developing high-quality and inclusive Union labour markets that are open and accessible to all, while respecting workers' rights throughout the Union, including freedom of movement (EURES Axis) .....	580
Specific Objective 3 :Promote employment and social inclusion by increasing the availability and accessibility of microfinance for vulnerable people who wish to start up a micro-enterprise as well as for existing micro-enterprises, and by increasing access to finance for social enterprises (Microfinance Axis) .....	581
Previous Program 2 : European Social Fund (ESF) .....	582
Specific Objective 1 :Promoting sustainable and quality employment and supporting labour mobility .....	582
Specific Objective 2 :Promoting social inclusion, combating poverty and any discrimination .....	583
Specific Objective 3 :Investing in education, training and vocational training for skills and life-long learning .....	585
Specific Objective 4 :Enhancing institutional capacity of public authorities and stakeholders and efficient public administration .....	586

Specific Objective 5 :Promoting specific support to young NEETs (15-24) .....	586
Previous Program 3 : Fund for European Aid to the Most Deprived .....	589
General Objective 1 :To promote social cohesion, enhance social inclusion and therefore ultimately contribute to the objective of eradicating poverty in the Union in accordance with the Europe 2020 Strategy .....	589
Specific Objective 1 :Alleviating the worst forms of poverty in the Union by providing non-financial assistance to the most deprived persons .....	590
6. The programme contribution to horizontal policies .....	590
6.1. Contribution to climate mainstreaming .....	590
6.2. Contribution to biodiversity mainstreaming.....	591
6.3. Contribution to clean air financing.....	592
6.4. Contribution to gender equality .....	592
6.5. Contribution to the sustainable development goals.....	593

## **1. Overview**

### **1.1. Challenges**

The European Union (EU) is at a crucial point in time where its relevance and success in the decades to come will be determined by its ability to remain competitive in the global economy and ensure high levels of employment, education and training, health, social inclusion and active participation in society. Ensuring EU's competitiveness, cohesion and resilience in the future means investing in its people: in their education and training, skills, creativity, potential to create businesses and to innovate, and in their health.

Furthermore, a number of challenges remain significant; despite improvements, tackling both unemployment and persistently high rates of poverty remains a priority throughout the EU. Social and employment issues are a primary concern of European citizens and an area where more is expected from the Union. Additional challenges that the Union faces are related to:

- shortfalls in skill levels;
- under-performance in active labour market policies and education systems;
- challenges arising from new technologies such as automation and the related new forms of work;
- social exclusion of marginalised groups, including Roma and migrants; and
- relatively low labour mobility.

### **1.2. Mission (general objectives)**

There is a need both for policy initiatives and for targeted supporting actions to address the above challenges. Therefore, the objective of the European Social Fund+ (ESF+) is to make the EU more social and inclusive by implementing the principles enshrined in the European Pillar of Social Rights<sup>1</sup> together with the Member States.

### **1.3. Specific objectives**

The European Pillar of Social Rights consists of 20 principles. They include education, training and life-long learning; active support to employment; inclusion of people with disabilities and access to essential services. The ESF+ specific objectives aim at implementing all the principles of the Pillar and thus target:

- a. Improving access to employment and activation measures for all jobseekers in the labour market, in particular youth through the implementation of the Youth Guarantee, long-term unemployed, disadvantaged groups and of inactive people, promoting self-employment and the social economy;
- b. Modernising labour market institutions and services to assess and anticipate skills needs and ensure timely and tailor-made assistance and support to labour market matching, transitions and mobility;
- c. Promoting a gender-balanced labour market participation, equal working conditions and a better work/life balance, including through access to affordable childcare and care for dependent people;

<sup>1</sup> [https://ec.europa.eu/info/european-pillar-social-rights/european-pillar-social-rights-20-principles\\_en](https://ec.europa.eu/info/european-pillar-social-rights/european-pillar-social-rights-20-principles_en)

- d. Promoting the adaptation of workers, enterprises and entrepreneurs to change, active and healthy ageing and a healthy and well-adapted working environment that addresses health risks;
- e. Improving the quality, inclusiveness, effectiveness and labour market relevance of education and training systems, including through validation of non-formal and informal learning, to support acquisition of key competences, including entrepreneurial and digital skills, and through the promotion of the introduction of dual-training systems and apprenticeships;
- f. Promoting equal access to and completion of quality and inclusive education and training, in particular for disadvantaged groups, from early childhood education and care through general and vocational education and training, and to tertiary level, as well as adult education and learning, including facilitating learning mobility for all and accessibility for persons with disabilities;
- g. Promoting lifelong learning, notably flexible upskilling and reskilling opportunities for all taking into account entrepreneurial and digital skills, better anticipating change and new skills requirements based on labour market needs, facilitating career transitions and promoting professional mobility;
- h. Fostering active inclusion with a view to promoting equal opportunities, non-discrimination and active participation, and improving employability, in particular for disadvantaged groups;
- i. Promoting socioeconomic integration of third country nationals, including migrants;
- j. Promoting the socioeconomic integration of marginalised communities such as Roma;
- k. Enhancing the equal and timely access to quality, sustainable and affordable services, including services that promote the access to housing and person-centred care, including healthcare; modernising social protection systems, including promoting access to social protection, with a particular focus on children and disadvantaged groups; improving accessibility including for persons with disabilities, effectiveness and resilience of healthcare systems and long-term care services;
- l. Promoting social integration of people at risk of poverty or social exclusion, including the most deprived and children;
- m. Addressing material deprivation through food and/or basic material assistance to the most deprived, including children, and providing accompanying measures supporting their social inclusion.

As the ESF+ is primarily directed to people, the ESF+ common indicators under shared management will mainly measure change in the participants' labour market situation. For example, one of the outputs will be the number of unemployed or inactive participants supported, and one of the results will be the number of people in employment upon leaving ESF+ support.

The Employment and Social Innovation strand of ESF+ targets structural changes. Its indicators will monitor analytical activities and will serve supporting evidence-based policy making, social experimentations, capacity-building and mutual learning activities, as well as job placements under the targeted mobility scheme.

#### **1.4. Public intervention context**

The ESF+ is the main instrument of the Union for investing in people's employment, education and skills, and social inclusion<sup>2</sup> to support economic, social and territorial cohesion in the EU.

The responsibility for employment and social policy lies primarily with the Member States. The European Union mostly supports and complements Member States' efforts by co-financing projects with ESF+ resources at national and regional level, therefore operating under shared competence.

The EU may also adopt minimum requirements in the form of directives, which enable EU Member States to adopt additional stricter provisions. Still, no financing is directly linked to the implementation of directives.

Besides ESF+, the Union can also mobilise the European Globalisation adjustment Fund for displaced workers, a special instrument aiming to support the workers on short term. The fund helps Member States to overcome the worst of the short-term shock of mass redundancy and so it is limited to a 24 months period.

<sup>2</sup> Articles 162 to 164 and 174 to 178 of the Treaty on the Functioning of the European Union.

### 1.5. Actions

EU resources are used to support investments in human capital through grants and financial instruments. For the ESF+ the regulatory proposal defines 13 specific objectives under the policy objective of ‘A more social and inclusive Europe - Implementing the European Pillar of Social Rights’.

The types of actions (e.g. vocational education and training, active labour market policies, capacity building of public employment services, social inclusion activities, distribution of food and goods) are selected by the Managing Authorities in the Member States and described in the national and regional programmes implemented under shared management.

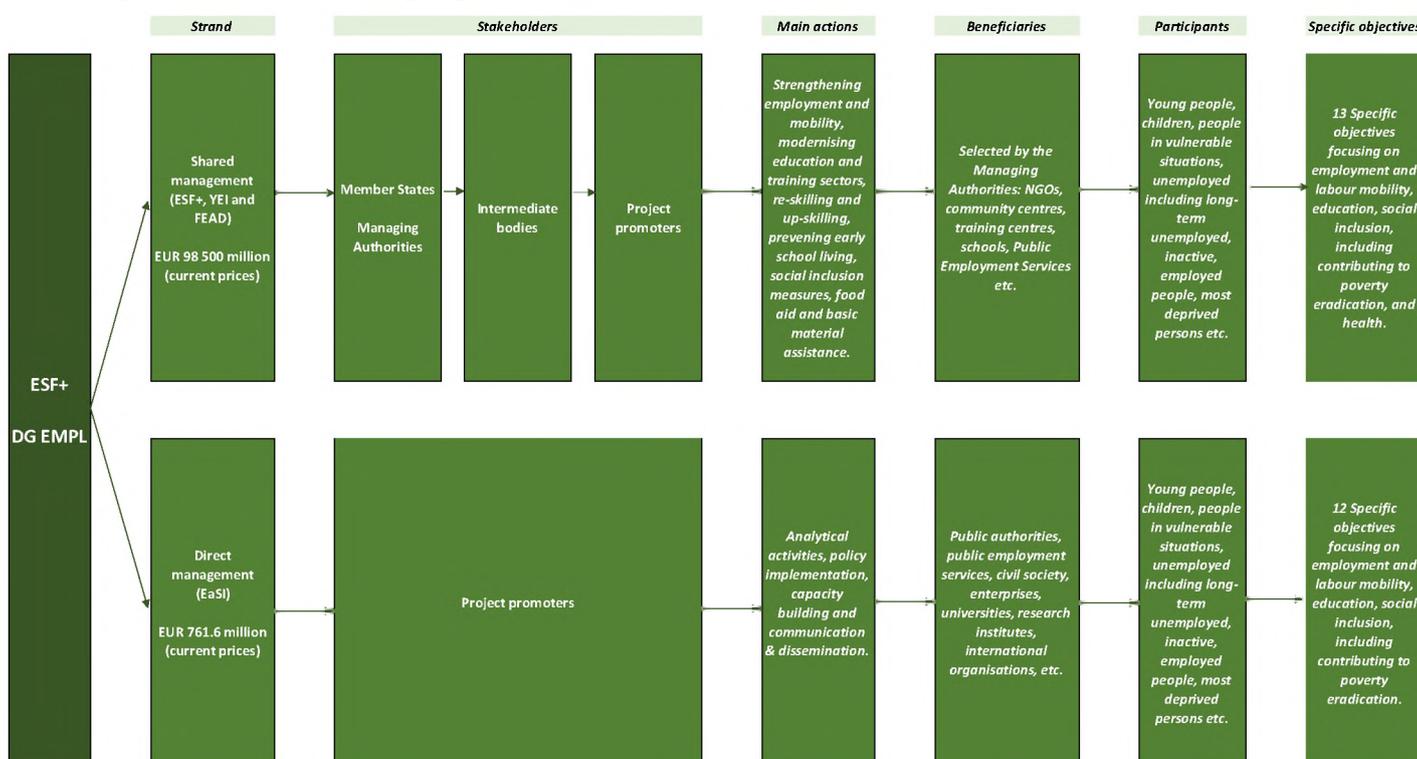
Activities under the Employment and Social Innovation strand are implemented under direct management mostly through grants and procurement, following the adoption of an annual work programme.

### 1.6. Delivery mode

Shared and direct management.

Lead DG: Employment, Social Affairs and Inclusion

### 1.7. Graphic overview of the programme structure



### 1.8. Legal basis and financial programming

#### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
	2021 - 2027	98 499,6

#### 1.8.2. Legal basis explanation

In addition to the ESF+ Regulation, the shared management strand of the ESF+, as part of the Cohesion policy, is mainly regulated by the Common Provisions Regulation (CPR). The rules on management, programming, implementation, monitoring and auditing to be applied are provided for in the CPR, whereas the specific objectives, fund-specific rules on the methods of implementation, programming, thematic concentration, eligibility, indicators and reporting are provided for in the ESF+ Regulation.

#### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total *</b>	<b>24 750,7</b>	<b>16 416,8</b>	<b>13 603,7</b>	<b>14 037,1</b>	<b>14 483,5</b>	<b>14 943,1</b>	<b>15 417,9</b>	<b>113 652,8</b>

REACT EU								
----------	--	--	--	--	--	--	--	--

\* These amounts take into account the contribution of ESF+ to the Just Transition Fund. The total does not include the financing under REACT EU.

#### 1.8.4. Financial programming explanation

The ESF+ is composed of two strands: the shared management strand encompassing the previous European Social Fund (ESF) and the Fund for European Aid to the most Deprived, and the direct management strand under which the Employment and Social Innovation programme is managed.

#### 1.9. Link with the 2014-2020 MFF

On 2 May 2018, the Commission adopted a proposal for the next multi-annual financial framework for 2021-2027, amended in 2020 in order to address the long-term challenges brought about by the COVID-19 pandemic. The proposal reflects the current social and economic context.

The ESF+ merges the following funds and programmes from the 2014-2020 programming period:

- the European Social Fund (ESF) and the Youth Employment Initiative (YEI);
- the Fund for European Aid to the Most Deprived (FEAD);
- the Employment and Social Innovation (EaSI) programme.

In the MFF 2014-2020 the above programmes were addressing similar policy objectives, but were implemented independently according to different sets of rules, making it difficult to establish synergies. In the MFF 2021-2027 these funds are merged into a single programme, so as to pool available resources to support integrated investments in people and avoid overlaps.

#### 1.10. Relevant websites providing more information

<https://ec.europa.eu/social/main.jsp?catId=325&langId=en>

The website provides an introduction to ESF, funding and objectives for the 2014-2020 period, who does what, monitoring and evaluation and latest news.

<https://ec.europa.eu/social/main.jsp?catId=1081&langId=en>

The website provides information on EaSI. Users can find information on the main objectives and activities with sub-pages for each of its axes, as well as information on monitoring and evaluation including useful links to the calls for proposals, news and publications.

Under the next programming period, the calls for proposals under the EaSI strand accompanied by some general information, news and information about the projects awarded can be found at:

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/programmes/esf>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The implementation of ESF+ 2021-2027 is expected to start in 2021 with the adoption of operational programmes for which a pre-financing of 0.5% will be paid. From 2022, on top of the 0.5% pre-financing payments, some interim payments are already expected for around 0.3% of the total ESF+ envelope, depending on the implementation on the ground.

As regards the ESF+ EaSI strand, some delays in the implementation of activities are expected in 2021 due to the entry into force of the regulation at the end of the first semester only. However, the Commission will anticipate all possible preparatory steps so that implementation can start as soon as possible, with calls being launched as early as possible. Therefore, this initial slow start is expected to be caught up in 2022 already. The level of payments is assessed to be similar to the one in 2015 for the 2014-2020 period.

REACT-EU will ensure a smooth transition between periods 2014-2020 and 2021-2027, providing swiftly for financial support to the Member States with a view to help them recover from the economic and social consequences of the COVID-19 crisis. In 2021, an initial pre-financing of 11% will be paid upon adoption of the related operational programmes (both ESF and FEAD) to help Member States put in place a quick and efficient delivery of recovery measures. From 2022 on, the Member States forecasts indicate that implementation will start swiftly with close to 20% of the financial envelope being declared to the Commission for reimbursement through interim payments. This would be on top of the payment of the annual pre-financing of 2%.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

### European Social Fund

	Commitments	Payments
Implementation Voted budget	91 466 451 475	50 388 933 243
Implementation carry-overs	2 144 832 637	0
Implementation Recoveries and Repaid advances		6 160 209 569
Implementation total	93 611 284 112	56 549 142 812
total envelop*	93 630 576 028	
cumulative implementation rate	100%	60%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020.

Implementation of the ESF/YEI has progressed relatively well, though the impact of the COVID-19 crisis resulted in temporarily lower level of Member States expenditure declarations. A significant year-to-year decrease in amounts declared by the Member States was observed for the second quarter of 2020 when only EUR 1.5 billion was declared compared to EUR 2.1 billion during the second quarter 2019. Nevertheless, since mid-2020, the effects of the Coronavirus Response Investment Initiative (CRII and CRII+)<sup>3</sup> programme amendments and the higher flexibility provided started to positively impact financial implementation figures. At the end of 2020, 177 operational programme amendments covering 24 countries have been launched taking advantage of the new possibilities provided by the CRII packages to address the crisis. As regards the ESF, all areas of ESF support are concerned, namely protecting employment, promoting health and continued access to services, and allowing the continuation of education and training. DG EMPL has worked in close contact with the Managing Authorities to make sure that ESF/YEI resources were swiftly mobilized on the ground in order to allow for a prompt response to the crisis and a swift recovery. Managing Authorities have been supported through regular bilateral contacts with DG EMPL geographical units and through the dedicated Coronavirus Response Investment Initiative Platform.

By end-2020, the total Cohesion policy resources mobilised/reprogrammed to counter the crisis were worth EUR 19.7 billion. The Coronavirus Dashboard<sup>4</sup> on the Open data platform provides up-to-date information on these resources.

The European Structural and Investment Funds (ESIF) 2020 Summary Report<sup>5</sup> of the programmes' Annual Implementation Reports covering implementation up to end 2019 was published and was accompanied by an update and further development of the ESIF Open data platform<sup>6</sup>. This report underlines that, for all ESI Funds taken together, project selection (financing decided) amounted to EUR 570.6 billion (89% of total planned investment) by end 2019. This is a significant 17 percentage point increase compared to the situation at end-2018, confirming that the acceleration in project selection that started in 2016 continued in 2019. In terms of payments from the EU budget to the Member States, for all ESI Funds taken together a net total of EUR 182.2 billion was paid by end-2019 (39.5%, including pre-financing and interim payments of declared expenditure and deducting recoveries), which increased to EUR 253.7 billion until end-2020 (55%). This suggests that the rate of implementation has not slowed down in the exceptional circumstances of the crisis. More in particular, the ESF has now reached cruising speed and the difficulties related to implementation, such as the late start of operational programmes at the beginning of the period, have been addressed. Moreover, implementation progress and challenges are addressed in the ESF Technical Working Group and ESF Committee meetings, which take place five times a year and gather Commission officials, Member States representatives and representatives from the social partners. The main challenges identified were linked to a slow start of implementation and the high level of complexity associated with the management of the fund, as well as a greater need for active involvement of stakeholders and their representatives in all stages of projects. Discussions focused, among other aspects, on promoting the use of simplified cost options in ESF programmes, better involving social partners and all relevant stakeholders in the programming, implementation, and monitoring phases of the ESF programmes through sharing of best practices, for instance. These challenges will also be addressed in the next programming

<sup>3</sup> Between March and April 2020, the Commission adopted a series of amendments (the Coronavirus Response Investment Initiative and the Coronavirus Response Investment Initiative Plus) which allowed for an unprecedented redirection of Cohesion policy funds, including the ESF/YEI, to address the effects of the public health crisis. This allowed simplifying administrative procedures and reducing administrative burden for Member States.

<sup>4</sup> <https://cohesiondata.ec.europa.eu/stories/s/CORONAVIRUS-DASHBOARD-COHESION-POLICY-RESPONSE/4e2z-pw8r/>

<sup>5</sup> [http://ec.europa.eu/regional\\_policy/en/policy/how/stages-step-by-step/strategic-report/](http://ec.europa.eu/regional_policy/en/policy/how/stages-step-by-step/strategic-report/)

<sup>6</sup> <https://cohesiondata.ec.europa.eu/>

period, as the Commission legislative proposals aim to further simplify implementation. Moreover, DG EMPL desk officers responsible for leading the negotiations on the ESF+ programmes in the Member States will address all relevant challenges identified by the evaluations and the ESF Committee and Technical Working Group during ESF+ programming by discussing bilaterally with the authorities.

By end-2020, the ESF project selection rate stood at 99%. In 2020, nearly EUR 13.8 billion have been paid to the 2014-2020 ESF programmes (including pre-financing), lifting the absorption rate (interim payments made between 2014-2020 vs 2014-2020 allocation) to 43%. This is lower in comparison to the 2007-2013 programming period (by 13 percentage points), due to the lower level of expenditure declared by final beneficiaries. However, when considering the trend observed since the start of the current programming period, the level of ESF expenditure certified to the Commission remained high in 2020, which is a confirmation that a mature phase of implementation has been reached for the majority of programmes. Implementation has not been impacted by the COVID-19 health crisis, thanks to the effects of the CRII/CRII(+) programme amendments and the higher flexibility provided.

In regards to the Youth Employment Initiative (YEI), the mature phase of implementation continued in 2020. By the end of 2020, the total eligible cost of YEI operations selected for support was EUR 10.8 billion and more than EUR 6.6 billion had been declared by beneficiaries. By end 2020, nearly EUR 6 billion had been paid to the Member States in relation to YEI (including interim payments and initial and annual pre-financing).

Even though the differences among types of regions were significant in the early years of implementation, the figures reported in the Annual Implementation Reports 2019 suggest that these differences have almost entirely disappeared, with implementation of ESF/YEI picking up steam in Member States and regions that were lagging behind. Overall, the implementation has seen a positive trend across the EU, allowing the 187 ESF operational programmes to continue investing in promoting sustainable employment, social inclusion and investing in education and institutional capacity. However, some outliers still exist in Croatia and Romania. The Member States concerned had problems meeting the ex ante conditionalities at the start of the programming period, which continue to cascade into present-day delays. Moreover, both Member States indicate that their capacity to manage project calls and monitoring continues to face challenges (e.g. administrative and procedural issues, compliance with GDPR, delays at governance level due to a focus on preparations and not yet on attracting proposals etc.). Implementation weaknesses are regularly addressed bilaterally by DG EMPL's geo desk officers in the context of ESF implementation as well as ESF+ programming negotiations with Managing Authorities.

### **Simplified Cost Options (SCOs)**

Following the adoption of Delegated Regulation 2015/21957 in July 2015, the Commission adopted nine amendments of the regulation by end 2020. In total, 19 Member States and the UK benefit from the legal certainty of having their simplified cost methodology and amount defined in advance and also from the consequent reduction in the administrative burden associated with reduced documentation that needed to be retained for management verification. Since the start of the 2014-2020 programming period, the total ESF expenditure which has been reimbursed on the basis of unit costs and lump sums under Article 14(1) of the above regulation is approximately EUR 12 billion.

In 2018, the Commission also adopted EU-level SCOs under Article 14(1) of the ESF regulation for three new areas: training for the unemployed, employment-related counselling services, and training for employed people.

Furthermore, following a call for proposals, DG EMPL awarded two pilot Joint Action Plans (one in the Netherlands and one in Portugal) which started in January 2019. In response to the unforeseen consequences brought about by the COVID-19 outbreak, their implementation was extended from June 2020 to September 2020 for the Portuguese pilot and December 2020 for the Dutch pilot.

### **Information about financial instruments financed by the ESF**

As of end 2019, 10 Member States have included financial instruments in their operational programmes for the 2014-2020 period. Some Member States committed resources to financial instruments from their regional programmes such as Germany, Italy and Poland. All other committed resources were from national programmes.

---

<sup>7</sup> Commission Delegated Regulation (EU) 2015/2195 of 9 July 2015 on supplementing Regulation (EU) No 1304/2013 of the European Parliament and of the Council on the European Social Fund, regarding the definition of standard scales of unit costs and lump sums for reimbursement of expenditure by the Commission to Member States.

Most financial instruments' resources were committed under thematic objective 8 employment (76% of the total or over EUR 600 million of operational programmes' amount, as of the end of 2018). The remaining commitments were for thematic objective 9 social inclusion (10%) and thematic objective 10 education (14%).

As of the end of 2019, approximately EUR 88 million had been invested in final recipients or about 11% of operational programmes' resources committed to financial instruments (6% by the end of 2018, with an increase of about EUR 50 million in 2019).

In the new programming period 2021-2027, the potential and correct use of financial instruments will be a priority under the ESF+.

On the one hand, financial instruments cannot be taken as an alternative to ESF grants due to the specific nature of ESF activities (small projects, specific target groups, limited or no direct financial return on investment, etc., namely all elements that circumscribe per se the use of financial instruments). On the other hand, for a number of operations with financial viability, they represent a resource-efficient way of deploying Cohesion policy resources in pursuit of the Commission political objectives.

### Forthcoming implementation

Member States will submit their Annual Implementation Reports in 2021 with updated information as of end 2020. These will contain both quantitative and qualitative evidence on the implementation of the ESF.

Based on these reports, the four ESIF Directorate-Generals will prepare an Annual Summary Report to the attention of the European Parliament, the Council, the Economic and Social Committee and the Committee of the Regions. To accompany this report, DG EMPL, together with the other ESIF DGs, will also continue making relevant data available to all on the ESIF Open Data Platform.

In 2021, DG EMPL will continue providing technical and policy guidance on the operational programmes through the monitoring committees to ensure that the programmes are on track to deliver the expected results. DG EMPL will also continue to run the ESF Transnational Cooperation Platform and be actively involved in transnational cooperation activities. The evaluation for the new tender took place in Spring 2020 and the new contract was signed in July 2020 for a duration of 24 months. The contract will allow for the organisation and implementation of activities related to transnational cooperation between Member States' ESF Managing Authorities and other stakeholders until mid-2022. More specifically, the new Platform relies on four communities of practice on employment, education and skills; social inclusion; social innovation; and result-based management. Its aim is to foster mutual learning and good practice in all areas of ESF implementation and to pave the way for the 2021-2027 programming period and ESF+.

The implementation of the programmes should continue at cruising speed in 2021, reinforcing the positive trend observed in 2020.

Project selection rates and interim payment requests are expected to increase further. Moreover, DG EMPL will continue its work on the assessment of programme amendment requests submitted by Member States in order to ensure the policy and result-orientation of the ESF and YEI programmes.

The COVID-19 crisis is not expected to impact the level of interim payments in 2022.

### *Fund for European Aid to the most Deprived*

	Commitments	Payments
Implementation Voted budget	3 801 493 878	2 297 792 169
Implementation Carry-overs	12 203 892	105 488
Implementation total		100 805 501
total envelop*	3 813 697 770	2 398 703 158
cumulative implementation rate	100%	63%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Due to the COVID-19 pandemic, the deadline for submission of the 2019 FEAD Annual Implementation Reports was extended to the end of September 2020. According to these, the fund contributed substantially to alleviate the worst forms of poverty in the EU and to promote social inclusion for those at the margin of society. Despite its limited budget, the FEAD has shown that it successfully complements national efforts to address material deprivation and combat poverty and social exclusion. It notably addressed food deprivation, child poverty and homelessness.

In 2019, the FEAD successfully delivered assistance in 27 Member States, making good progress to achieve its objectives. The FEAD continues to be on track as regards physical and financial implementation, with a reach of 12.5 million people.

In regards to financial implementation of FEAD programmes, the total eligible public expenditure committed to FEAD support stood at EUR 608 million in 2019, remaining stable overall. At the end of 2019, the cumulative funds committed (for 2014-2019) amounted to nearly EUR 3.3 billion, or 74% of the total resources of the programmes (which include EU funds and national co-financing). An amount of EUR 478.5 million was paid to beneficiaries in 2019, comparable to previous years' level (EUR 501.2 million in 2018, EUR 412.8 million in 2017 and EUR 435.2 million in 2016). The overall profile of target groups remained stable. In 2019, about 49% of the end recipients were women (according to estimations of partner organisations), 30% children aged 15 or below, about 10% migrants, participants with a foreign background or minorities, 8% people aged 65 years or over, and 7% homeless people.

The financial information above is pre-crisis; the extent of the COVID-19 impact will be known in the coming years once the Member States submit their Annual Implementation Reports. Preliminary data indicate that in 2020, the COVID-19 outbreak temporarily resulted in lower Member States' expenditure declarations. During the second quarter of 2020, those represented EUR 51 million - less than half of the corresponding amount from 2019 (EUR 128 million). However, the situation improved in the second part of the year. Eventually, the total FEAD amount declared during 2020 was even slightly higher than the amount declared during 2019 (EUR 587 million eventually declared in comparison to EUR 573 million during 2019).

In 2020, the FEAD Regulation was amended to enable the fund to meet the COVID-19 pandemic related challenges, allowing additional flexibility and reducing administrative burden. This includes buying protective equipment for those delivering aid. Food and basic material assistance can now also be delivered through vouchers, lowering the risk of contamination.

The FEAD is well on track to reach its objectives. However, a few obstacles to implementation persisted, such as capacity issues of partner organisations, logistical challenges (eg. related to stock management) or legal difficulties (mainly related to the public procurement of the aid). These were tackled e.g. through the flexibility of the fund design and strong cooperation between Managing Authorities and partner organisations.

### **Forthcoming implementation**

In 2021 and 2022, the fund is expected to continue to support at least 12.5 million people per year among the target group of the most deprived. It might, however, reach even more people as the consequences of the COVID-19 crisis have been harsh on the population and households that were previously financially independent and might be in need of support to overcome the situation.

The year 2021 will be marked by the transition to the successor fund European Social Fund+ (ESF+), in which the FEAD will be merged.

In 2021, the FEAD Expert Groups are expected to be held as joint meetings with the ESF Technical Working Group meetings. Although the calendar is tentative, DG EMPL plans to hold four of these joint meetings.

### ***Employment and Social Innovation programme***

	<b>Commitments</b>	<b>Payments</b>
Implementation Voted budget	882 659 557	608 289 319
Implementation Carry-overs	0	4 643 550
Implementation total	882 659 557	612 932 869
total envelop*	899 623 629	

cumulative implementation rate	98%	68%
--------------------------------	-----	-----

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Since its launch in 2014, EaSI has provided financial support to promote high-quality and sustainable employment, adequate and decent social protection, social inclusion, poverty reduction and prevention and fair working conditions. It is managed directly by DG EMPL and is structured into three axes:

- Progress axis focuses on providing support to the policymaking and implementation process through production of policy evidence, organisation of information sharing and mutual-learning activities, funding social policy experimentation projects and providing capacity-building support to EU and national organisations;
- EURES axis aims to improve geographical labour mobility in the EU through making information on placements more transparent and accessible as well as funding the actual services for jobseekers and employers;
- Microfinance and social entrepreneurship (MF/SE) axis aims to improve access to finance for vulnerable people, micro- and social enterprises by providing funding for financial intermediaries and capacity building of relevant actors.
- EaSI creates added value to national policies, for instance with regard to the exchange of good practices, the social policy innovations, the cross-border partnerships, the support provided to social enterprises as well as regarding the provision of loans to vulnerable people.

The Programme focuses on key actions with high European added value such as:

1. Supporting the EU policy-making process and stronger EU policy-coordination/economic governance, for example in the context of the European Semester;
2. Focusing on the transnational dimension of employment and social situation, working conditions, health and safety at work issues;
3. Ensuring development and proper application of EU laws in the field of employment, working conditions, health and safety at work, and social protection;
4. Promoting EU governance, mutual learning, inclusive information sharing and dialogue to consolidate cooperation between Member States and achieve EU goals;
5. Making knowledge and expertise accessible at EU level through policy experimentation and transferring/up-scaling best practices;
6. Promoting workers' EU geographical mobility by developing services for the recruitment and placing of workers in employment (in particular young people and professionals) through the clearance at European level of vacancies and job applications;
7. Increasing the availability and accessibility of microfinance, and the support to social entrepreneurship.

As in previous years, PROGRESS concentrated in 2020 on gathering evidence through studies, analysis and EU statistics to shape policy developments. In connection to this, the axis fostered shared understanding of policy options and solutions by providing for high quality, inclusive and participatory policy debates. It also promoted the involvement of civil society through financial support for 23 key Union level NGOs via 23 operating grants.

In 2020, the EURES axis supported the European job mobility portal, training courses on EURES services, as well as horizontal support to the member organisations of the EURES network. Within this context, it continued financing cross-border partnerships supporting mobility for frontier workers in the cross-border regions along with targeted mobility schemes, following the preparatory action 'Your First EURES job'. The 13 EURES calls for proposals dealing with matters such as intra-EU mobility in general and targeted mobility schemes for youngsters and persons re-entering the labour market launched between 2014-2020 resulted in 105 contracts.

In general, the COVID-19 pandemic has given rise to extending deadlines allowing the applicants to duly prepare high quality and relevant proposals under the 2020 launched calls for proposals. This, subsequently, has caused some delays in the award of grants, to be finalised in 2021. Out of the seven calls under the work programme of 2020, six have been launched in 2020 and three have been awarded resulting in 32 agreements.

The COVID-19 pandemic also caused some delays in the implementation of projects. In the beginning of the pandemic, some projects postponed face-to-face meetings and study visits in the hope to hold these later on but, eventually, had to cancel or transform them into online events.

In order to support the organisations, notably those benefitting from an operating grant, the payments were processed more speedily. In addition, the use of e-signatories, acceptance of e-documents where in the past only hard copies were accepted, and relying more on ex post instead of ex ante verifications also contributed to swifter processing of invoices and payment requests. In addition, a specific call strengthening the role of the social partners in mitigating the economic and social impact of the COVID-19 crisis was introduced in the 2020 Work Programme and was launched in February 2021.

The EaSI Funded Instrument **under the MF/SE axis** is a EUR 200 million loan fund aiming at promoting microfinance and social entrepreneurship in EU Member States and other participating countries, by encouraging microfinance institutions and social enterprise lenders to increase funding for micro-enterprises as well as social enterprises as a means of supporting financial and social inclusion. The loan fund will provide senior and subordinated loans to microfinance institutions and social enterprise lenders in order to boost their lending capacity. The EU budget resources available to the EaSI Funded Instrument are set at EUR 67 million as a first-loss piece investment. The EU is the only equity-holder in the sub-fund. The European Investment Bank (EIB) and the European Investment Fund (EIF) will provide funding respectively under a senior loan facility of EUR 110 million and a mezzanine loan facility of EUR 23 million. In 2019, the Commission signed an initial commitment of EUR 48 million. In 2020, the Commission further committed EUR 19 million to the EaSI Funded instrument, increasing its overall equity participation in this loan fund to EUR 67 million, in line with Commission Decision C(2019)6570.

The COVID-19 outbreak slowed down the implementation of the fund; however, at the end of 2020, 3 transactions for an aggregate amount of EUR 19.2 million had been concluded and 10 additional transactions worth EUR 66 million were in the pipeline.

Under the Microfinance/Social Entrepreneurship axis, contracts worth of EUR 54.3 million were signed with microfinance intermediaries under the EaSI microfinance guarantee financial instrument in the period 2019-2020, which resulted in a total of 107 098 microloans worth of EUR 1.2 billion as at 30 September 2020.

The EaSI-Guarantee is implemented by the EIF. The Delegation Agreement between the Commission and the EIF was signed in 2015 with technical amendments in 2016 and further amendments in 2017 and 2018 allowing for an additional top-up of EUR 300 million from EFSI. A fifth amendment was signed in 2020 to introduce the COVID-19 support measures allowing for higher risk sharing. The main changes introduced were an increase in the ceiling of the guarantee rate from 80% to 90% for the COVID-19 support period final recipient loans, a one year extension of the guarantee coverage, a 6 months extension of the availability period for loan inclusions under existing guarantee agreements, lower risk retention for financial intermediaries and an increase of the maximum exposure in respect of a final recipient loan from EUR 25,000 to EUR 50,000 for the microfinance guarantee and for the social entrepreneurship guarantee from EUR 500,000 to EUR 1 million. The initial financial envelope EUR 96 million has been extended to a current financial envelope of EUR 131 million (out of which EUR 1 million committed for the Business Development Services Support pilot and on top of EUR 300 million from EFSI).

Regarding the social entrepreneurship strand of the EaSI guarantee financial instrument, in 2020 the Social Entrepreneurship Window welcomed new financial intermediaries from Germany and Portugal next to the already operational ones from Austria, Belgium, Croatia, Czech Republic, Denmark, Finland, France, Hungary, Ireland, Italy, Netherlands, Poland, Romania, Serbia, Slovakia, Spain and United Kingdom. As a result, the number of final recipient countries has increased further.

The EaSI capacity-building instrument with a financial envelope of EUR 45 million aims at building the institutional capacity of selected financial intermediaries in Europe for both microfinance and social entrepreneurship, primarily through equity and quasi-equity investments. Capacity building investments can be used for several purposes, depending on the intermediaries' needs (investment in branch expansion, scaling up of IT infrastructure and investment in human resources). This instrument is also implemented by the EIF. The EaSI Capacity Building Investments Window gained further traction in 2020, when the Commission signed an additional commitment of EUR 19 million. This instrument is demand-driven and there was already a pipeline of financial intermediaries applying for support. As a result, the overall financial envelope available for this instrument increased in 2020 to EUR 45 million. At the end of 2020, as a whole, 14 transactions for an aggregated amount of EUR 32 million were signed with financial intermediaries in 9 countries, out of which 8 in the EU and 1 in a candidate country (Serbia), and 2 transactions for an aggregated amount of EUR 6.5 million were already approved.

### **Forthcoming implementation**

EaSI will continue to support the implementation of the European Pillar of Social Rights, as part of the ESF+. Even though the implementation of the Pillar falls largely within the remit of Member States, the EU and notably the EaSI programme can play an important supporting role. The Pillar illustrates a shared commitment to foster equal opportunities, to improve access to the labour market, to fair working conditions and social inclusion, to supporting people in the face of changing realities of work and to achieving new and more rights for Europeans, priorities to be addressed by EaSI in the future.

For the Multiannual Financial Framework 2021-2027, support structures are being established, like EaSI National Contact Points in each country informing about EaSI calls, projects and results, to improve the participation in the EaSI strand and to assist in up-scaling, mainstreaming and/or replication of EaSI project results, for instance by using other funds (in particular ESF+).

As part of the 2020 work programme, grants will be awarded in 2021 under the EaSI calls for proposals on social innovation and national reforms will target social exclusion. This call aims at funding projects to test and implement innovative strategies encompassing, among others, integrated approaches covering active labour market reforms, social services and cash benefits on the one hand, and on the other hand, putting in place enabling factors to manage the successful transition into the labour market of the lower skilled persons. For the 2021-2027 programming, similar activities are expected to be programmed to support the effectiveness of employment and social policies through social experimentation and innovation. The EaSI strand will also keep on

supporting evidence-based policy making, notably through the funding of statistical data on working conditions, social protection and poverty, as well as various studies on e.g. the sources of inequalities and the social impact of other policies like climate change.

In the struggle against abuse and for a better enforcement, EaSI will continue to support the ongoing activities to enhance cooperation in tackling undeclared work under Decision (EU) 2016/344. The EaSI strand will also continue to support the implementation of EURES Regulation 2016/589. Actions to support targeted mobility schemes and cross-border cooperation will be stepped up, building on the experiences gained in the previous years. The support to the EURES network will no longer be funded under EaSI as the European Labour authority will take it over under the new MFF.

Concerning the MF/SE axis, the EaSI financial instruments (EaSI guarantee, Capacity-Building Investments Window and Funded Instrument) will continue to be implemented until the end of their implementation period. Therefore, the EaSI guarantee financial instrument will continue to implement the support measures which were introduced in 2020 in order to counter the impact of COVID-19 outbreak. However, under the new programming period, the corresponding financial instruments for micro-finance or social entrepreneurship will join InvestEU and will no longer be part of the ESF+ EaSI strand

As for EaSI technical assistance, framework contracts will continue to be used in the coming years, including the technical assistance for social enterprise finance providers. Following the first operations signed in 2018, new operations will be supported during 2021 and 2022. This capacity building component will remain in the ESF+ EaSI strand.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

ESF+ will support investment in job creation, education and training, as well as social inclusion, access to healthcare, and measures for eradicating poverty in the EU. As such, it will make a decisive contribution to mitigate the negative consequences of the COVID-19 crisis by promoting employment and reducing poverty levels, creating better opportunities for all, especially young people and children.

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the 2021-2027 programme will start producing outputs and results.

##### **3.1.3. Previous programme performance**

#### **European Social Fund**

With an overall budget of EUR 120.5 billion (EU + national share)<sup>8</sup>, the programme has recorded a positive trend in implementation, allowing Member States to continue investing in sustainable and quality employment, social inclusion, education and vocational training, and institutional capacity. Reported data has increased significantly in 2020 after some late reporting from Member States in previous years. The data available was submitted in 2020 by Managing Authorities through their Annual Implementation Reports 2019 and relates to the pre- COVID-19 crisis situation. Available data related to ESF financial implementation by end 2020 suggests that, thanks to the CRII/CRII(+) initiatives, the rate of implementation has not slowed down in the exceptional circumstances of the COVID-19 pandemic (see section 2.2).

Data from the latest Annual Implementation Reports show that the project selection rate increased steadily, reaching 85% at EU level by end-2019 (EU + national share), which means an increase of 16 percentage points compared to last year's reporting. Expenditure rates also steadily rose, reaching 39% at the EU level by end-2019. Though differences among types of regions were quite pronounced in the early years of implementation, these have almost entirely disappeared, both in terms of project selection rates and declared expenditure (see section 2.2).

The use of financial instruments also increased, with 10 Member States having included them in their operational programmes for 2014-2020 period by the end of 2019, mainly under thematic objective 8 employment (76%) with the remainder being committed under thematic objective 9 social inclusion (10%) and thematic objective 10 education (14%).

By end 2019, ESF/YEI actions helped 4.5 million participants find a job, while another 5.5 million participants gained a qualification, and 1.8 million were in education or training. Additionally, a total of 4.1 million disadvantaged participants achieved one of these positive results.

The ESF has been successfully promoting sustainable and quality employment (specific objective 1) by supporting 14 million participants under this thematic objective, by end 2019. This has steadily increased since 2016 and represents an improvement

<sup>8</sup> Not including the Youth Employment Initiative (YEI), which receives an EU contribution of EUR 8.9 billion.

compared to end-2018, when 10.73 million participants had been supported. The trend reflects the performance observed in the previous programming period: an acceleration in implementation and in the achievement of outputs and/or results typically takes place after the mid-term. Moreover, all Member States implemented projects/operations under this specific objective by end 2019, and these types of projects are usually relatively short interventions. Therefore, results/outputs are materializing faster. Another reason for this improvement is that by this time in the programming period the ESF programmes from the 2007-2013 period have been fully implemented and Managing Authorities now only focus on the implementation of the current ESF programmes. Under this objective, more than 4.1 million participants achieved positive results. These consist of people that found a job, gained a qualification or were able to improve their labour market position by means of ESF interventions. The total allocated ESF investments under thematic objective 8 amounts to EUR 39.8 billion for ESF 2014-2020 (EU + national co-financing), of which 83.1% has been committed (for selected operations) by the end of 2019. The project selection rate is relatively uniform in the Member States, showing an overall steady pace of implementation at the EU level (83.1% at end 2018).

In the field of social inclusion (specific objective 2), the ESF has been contributing to the EU2020 headline target of reducing poverty in the EU by targeting various specific groups, such as low-skilled, (long-term) unemployed, elderly, disabled and people with a migrant/foreign background. In order to ensure that a sufficient share of resources is allocated to promoting social inclusion and combating poverty, Article 4(2) of the ESF Regulation requests that at least 20% of the total ESF resources in each Member State shall be allocated to this thematic objective. Member States allocated a variety of interventions to this objective also evidenced by its highest allocated budget. This specific objective has been allocated a total of EUR 33.3 billion (EU + national co-financing), of which 82.7% had been selected for projects by the end of 2019. While this project selection rate shows that progress is relatively well underway, some differences persist. In Italy and Greece, for instance, the average project selection rate remained substantially below average (52.5% and 56.1% respectively). For Italy, the delays are partly due to complex governance of social inclusion measures as well as to low administrative capacity of local actors in implementing the measures. Moreover, several changes in the national legal framework on the antipoverty schemes also led to some delays in implementation. Nevertheless, it is worth noting that in the second half of 2020 several operational programmes increased and refocused the budget allocated to this specific objective by including anti-COVID 19 initiatives. Consequently, selection and payment rates are expected to increase significantly. Considerable improvement is also expected for Greece thanks to the inclusion of COVID-19 actions under this specific objective in 2020. DG EMPL geo desk officers are always in close bilateral contact with Managing Authorities to ensure all implementation challenges are effectively addressed. At EU level, by end 2019 social inclusion investments supported 8.6 million participants, which led to 2.3 million positive results, such as finding a job, gaining a qualification or other improvements in terms of one's position on the labour market. Moreover, 42% of all ESF participants supported by end 2019 were considered as part of disadvantaged groups. This value is above the target (40%) and has seen a slight increase since 2017. The indicator shows that the ESF is successfully reaching and supporting the most vulnerable groups, thus providing an important contribution to the headline target of lifting people out of the risk of poverty or social exclusion. The evaluation of ESF support for social inclusion finalised in 2020 showed that the provision of personalised support is costly and requires more intense training of providers. Yet, sufficient time and personalised support for participants are crucial to ensure needs are met and to generate the desired results. For these reasons, DG EMPL will continue promoting the use of long-term strategies on long-term unemployment, the implementation of more person-centred approaches, and advocate against the use of institutional care, also under the ESF+. Moreover, under the ESF+ Member States will have to allocate at least 25% of their ESF+ resources to promote social inclusion. DG EMPL will use evidence on costs from the current programming period and will continue advocating for personal support in the ESF+ programmes negotiations, because this approach has proven to be more effective in the long run. However, it is worth remembering that under shared management the final decision on how to use the resources on the ground lies with the Managing Authority.

With regard to education and training (specific objective 3), a total amount of EUR 37.8 billion (EU + national share together) was allocated, which makes it the ESF's second largest specific objective, slightly lower than the employment-related one. Implementation is relatively high across all regions, with a project selection rate by end 2019 of 91.5%. In terms of participation and target achievement rates, no substantial differences can be observed. For the first time since the start of the programming period, all Member States that programmed interventions under this objective now report participations. In total, 13.4 million participants were recorded for all operations in the field of education by end 2019, of which 4.7 million have reached an individual short-term result. This represents an improvement compared to 2018, when 9.1 million participants were reported under this specific objective. The increase in the rate of implementation and in the achievement of outputs and/or results is attributable to the same reasons as for specific objective 1. In terms of immediate results, more than 3.2 million participants gained a qualification with support of ESF investments with an education objective, while another 0.9 million participants were in education/training upon leaving the intervention. As could be expected for operations that focus on education, these results are higher than the results related to the number of participants that engaged in job searching or entered employment. In addition, 2.7 million participants recorded an improvement in their skills (not necessarily leading to a qualification). The conclusions of the evaluation on ESF support to education and training show that, compared to the other specific objectives, the lower percentage of the positive results after six months is an inherent result. The reason is that longer-term common result indicators are oriented towards employment and measure the extent to which the employment situation of participants has improved, while actions under specific objective 3 support mostly skills development and, to some extent, labour market relevance of education and training. Moreover, the lower success rates reported for low qualified adults, NEETs, and disadvantaged groups are due to the fact that, in order to effectively support these target groups, it is necessary to intervene ad hoc, which is typically more expensive. DG EMPL advocates for a more person-centred approach and an increased focus on the most vulnerable groups and on digital skills across all ESF programmes.

This is done through bilateral discussions between DG EMPL desk officers and Managing Authorities in the context of the ESF+ programming negotiations and ESF implementation, as well as in the ESF Committee and the Technical Working Groups.

Institutional capacity investments (specific objective 4) receive the lowest budget allocation with an overall EUR 4.5 billion. The implementation of these investments moves relatively in line with the other thematic objectives and reported a total of 82.4% of the allocated amounts as eligible costs by end 2019. This type of investments supported 51 726 projects targeting public administrations or public services at national, regional or local level. The number of projects supported has significantly increased since 2018 (27 644 projects supported). In terms of individual results, such interventions mainly contributed to public officials gaining a certain type of qualification (168 753), but most meaningful results in this area are procedural in kind, such as shorter time required for certain operations or specific positive results for organisations, public administrations, the judiciary, and civil society organisations such as implementation of certain IT systems, revision and/or simplification of procedures and increased regulatory scrutiny.

As regards investments in specific support to young NEETs (specific objective 5), on average 100% of the total budget was already reported as eligible costs by end 2019. In regards to outputs, by the end of 2019, a total of 3 million young people had benefitted from YEI support. At the EU level, participants are well balanced from a gender perspective, with an approximately equal share of men (51%) and women (49%) reached by the interventions. The immediate results of YEI support point to 2.1 million unemployed or inactive persons having completed a YEI intervention. Moreover, around 1.4 million were in education or training, had gained a qualification or were in employment, including self-employment at the end of the YEI-supported measure. These outputs and results indicate a positive trend in implementation and good progress in reaching the targets. The findings of the evaluation on ESF/YEI support to youth employment highlight, among other elements, that integrated pathways are needed in order to better support disadvantaged groups across all ESF programmes. This will be addressed in the ESF+, where there will be a specific focus on youth employment. Member States with a level of NEETs above the EU average should devote at least 12.5% of their ESF+ resources to help these young people find a qualification, or a good quality job. All other Member States must allocate an appropriate amount of their ESF+ resources to targeted actions to support youth employment measures. Moreover, under the ESF+, DG EMPL intends to support better outreach of NEETs, a person-centred approach and more inclusive measures.

Four thematic evaluations on ESF support between 2014-2018 (see section 3.3.) were carried out to pave the way to the ex post evaluation of the fund. The main conclusion is that the European Social Fund makes clear positive contributions to the spheres of employment, social inclusion and education. These benefits manifest on the individual, regional and European level:

- Between 2014-2018, approximately 22 million persons participated in ESF actions from which 52% were women. Of those participating, nearly 3.2 million persons have already found employment and 3.9 million have gained a qualification;
- A number of regions with fewer employment and educational opportunities have made progress in the development of their labour markets;
- ESF-funded operations could create an additional 327 000 jobs and increase the EU GDP by 0.33% through a renewed focus on improving the skills of workers and increasing overall labour productivity<sup>9</sup>.

Innovative measures and changes to systems have long-term positive impacts. Findings concerning individual employment and regional labour markets can help the management of the fund and recovery from the COVID-19 crisis. Current results suggest that supported operations are cost effective. Some elements that could increase the quality of results are:

- Active involvement of stakeholders and their representatives in all stages of projects – from planning to final delivery;
- Sufficient financial and staffing resources to deliver operations;
- ESF operations designed to contribute towards regional and national priorities.

These lessons are consistent with previous evidence, in particular the findings of the 2007-2013 ESF ex post evaluation and the discussions in the ESF evaluation partnership. As such, they have already been taken into account, to a significant extent, in the regulatory framework for the 2021-2027 programming period through, for instance, a stronger link of the fund with the challenges identified for each Member State in the context of the European Semester, and the ESF+ thematic concentration requirements, which will provide a clear focus on youth employment, social inclusion, support to the most deprived, child poverty, and capacity building of social partners and the civil society. The findings of the evaluations will also feed into programme negotiations and any impact assessment for future programming periods.

The main challenges encountered are linked to a slow start of implementation in the first years of the programming period and the high level of complexity associated with the management of the fund. These will be addressed in the next programming period as the Commission legislative proposals aim to further simplify implementation by facilitating the roll-over of existing designations of implementing authorities. Programming will also be simplified through simpler Partnership Agreements and programmes in content, including lighter procedures for programme amendments. The 2021-2027 rules will also allow for an increased focus on results and simpler ways to claim payments by making more extensive use of simplified cost options and financing not linked to

<sup>9</sup> The data mentioned come from the RHOMOLO study, conducted by the JRC, which fed the Commission Staff Working Document on Evaluation of the 2014-2018 ESF support to employment and labour mobility, social inclusion and education and training: <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52021SC0010&from=en>

costs. This will further reduce the need for beneficiaries to document detailed costs for each operation and will allow both beneficiaries and programme authorities to better focus on the quality and intended results of the funded actions.

The COVID-19 pandemic has shown that special attention needs to be paid to vulnerable groups such as women, people at risk of poverty or social exclusion, NEETs, among others. They are the ones who had been hardest hit by the crisis and risk being left behind. The need to further support the development of digital skills across the EU also became evident. Member States should now focus on these target groups and priorities in the medium and long-term recovery through ESF, REACT-EU and ESF+ programming. The ESF+ regulation sets out thematic concentration requirements that will ensure an increased focus on actions promoting social inclusion, fighting poverty and developing the skills needed for the digital and green transition. It will also include a more ambitious requirement for investing in young people and addressing child poverty. Moreover, learning from the COVID-19 crisis, a derogation article was added to the ESF+ regulation setting out the possibility to adopt temporary measures to respond to possible future exceptional and unusual circumstances.

### **Fund for European Aid to the most Deprived**

FEAD is effectively providing much needed food and basic material assistance to a large number of most deprived, complemented by accompanying measures providing guidance and advice aiming at their social inclusion. During the 2014-2020 programming period, FEAD support was present in 27 Member States. Most Member States (23 out of 27) distributed food and/or basic material assistance and provided accompanying measures. Four Member States (Denmark, Germany, the Netherlands and Sweden) ran social inclusion programmes. In 2019, an estimated 12.2 million people benefited from FEAD food assistance (distributing almost 350 000 tonnes of food), over 800 000 received material assistance and around 30 000 benefited from social inclusion support. The annual reach of around 12.5 million persons among the most deprived is stable and, given the size of the budget, substantial.<sup>10</sup> FEAD is coherent with the Europe 2020 Strategy, by aiming to lift people out of poverty and social exclusion, as well as with the European Pillar of Social Rights, as it deals with its third broad area: fostering social inclusion and protection. It complements other EU funds, notably the ESF and the Asylum, Migration and Integration Fund (AMIF), by targeting other groups or providing complementary measures.

FEAD is also adaptable and responsive to emerging needs. All horizontal principles (gender and equal opportunities, respect of dignity, partnership) are relevant, but food waste reduction through donations could be improved, a topic that was addressed at the seventh FEAD Network Meeting on ‘preventing food waste through FEAD actions’.

FEAD is a means to free up financial resources of end recipients for other goods/services. A notable impact of FEAD in some countries is the increased capacity and professionalisation of partner organisations as well as of the organisations involved in the distribution of assistance.

The discontinuation of the FEAD would have significant consequences in many Member States such as Spain, France, Italy, Latvia, Luxembourg, Hungary, Austria, Slovakia and Finland where FEAD is, in some cases, the main food and material assistance provider. In addition, FEAD provides unique social inclusion services to target groups who would otherwise receive no comparable support.

Based on the Staff Working Document on the mid-term evaluation of FEAD<sup>11</sup>, stakeholders value and stress the need to preserve the fund specific aspects such as flexibility and generally the less stringent administrative requirements compared to the mainstream ESF programmes, along with the established networks and operational delivery modes. Low thresholds allow aid to be provided to persons not reached by the social services such as homeless, new or undocumented migrants or elderly people at risk of poverty. It also allows responding quickly to emerging needs and crisis situations.

The aid delivery is mostly based on NGOs relying on volunteers and generally cost-efficient. Much of the administrative burden stems from requirements imposed at Member States’ level, such as narrow definitions on eligibility. In the context of the FEAD evaluation partnership meetings, Member States are encouraged to follow the Regulation closely to avoid ‘gold plating’, and those Member States who implement the programme without adding excessive requirements are encouraged to share their experience.

Past evaluations suggest FEAD’s efficiency could be further improved by building the capacity of programme authorities and partners to implement FEAD. To do so, between 2017 and 2019, and with a view to further strengthening performance, 18 FEAD Network meetings were held, dedicated to various challenges of FEAD implementation including targeted outreach to the most deprived such as children, homeless and older people. A dedicated session took place in 2019 on monitoring and evaluation of FEAD. The meetings allowed participants to present case studies, share challenges and solutions on issues of common interest in the delivery of FEAD activities. In line with the Regulation, the Commission also hosted annual EU-level meetings in 2018 and 2019, steered by representatives of the partner organisations. These focused on the transition to a new phase of capacity building. In

<sup>10</sup> As in several Member States the same recipients receive both food and goods, this apparent overlap is being subtracted in the calculations to ensure a prudent reporting approach.

<sup>11</sup> <https://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=9331&furtherNews=yes>

the next 18 months, mutual learning activities will replace the FEAD network meetings. These should help the 'FEAD Community' discuss the remaining implementation challenges and the opportunities of the upcoming ESF+ more effectively.

The FEAD Regulation was first amended in April 2020 as part of the CRII+ initiative, making it possible to use indirect delivery modes, e.g. vouchers or cards (to lower the risk of contamination) and to buy personal protective equipment for organisations delivering FEAD support. Moreover, the amendments strengthened liquidity in Member States, making it possible to provide 100% co-financing rate for one accounting year. By the end of 2020, 10 FEAD programmes had been amended: 6 to benefit from the 100% co-financing rate and 4 to introduce emergency measures to respond to the COVID-19 pandemic. Since July 2020, the effects of these programme amendments and the higher flexibility provided started to show the impact on financial implementation figures, with declared amounts higher in 2020 than 2019 (EUR 587 million declared in comparison to EUR 573 million during 2019).

A second amendment to the FEAD regulation was adopted at the end of 2020 as part of the Commission's recovery plan, i.e. REACT-EU. This amendment allows Member States to allocate additional funding to ESF, ERDF and FEAD programmes. Additional resources can provide top-ups to existing support, such as food and/or basic material assistance or social inclusion programmes. They should be in line with each Member State's specific needs, and take into account the increased number of the most deprived since the outbreak of the COVID-19 pandemic.

Preparatory work for REACT-EU programming is ongoing with marked discrepancies between Member States due e.g. to varying timing, the fact that not all Member States will allocate REACT-EU resources to FEAD, the degree to which the COVID-19 crisis has affected a given Member State and their administrative capabilities. However, given that in the case of FEAD the additional REACT-EU allocation will simply be a top-up to the existing allocation, REACT-EU programme amendments do not require complex preparations. Therefore, DG EMPL assumes that there are no other issues that could have an impact on programming work. Recent estimates from Managing Authorities in the Member States point to a total transfer of EUR 590 million of REACT-EU resources to the FEAD, in Belgium, Bulgaria, Germany, Estonia, France, Croatia, Italy, Latvia, Austria, Romania, Slovenia and Slovakia - according to the information shared so far with DG EMPL.

Following the Regulation requirements, Managing Authorities implementing food and/or basic material assistance operational programme (Operational Programme I) carried out a structured survey on end recipients in 2017. These surveys, together with the findings of an external evaluation<sup>12</sup>, and the results of the open public consultation were used for the Commission mid-term evaluation of FEAD and will feed into the negotiations for the 2021-2027 programmes.

In the new ESF+ regulation, ESF and FEAD objectives are merged in a single, integrated list. This is expected to simplify funding and increase synergy and complementarity between employment, education, social inclusion and support to the most deprived. It is worth noting that specific rules apply to the support to material deprivation in order to keep this support as streamlined as possible. Most Member States have already indicated their willingness to have separate ESF+ material deprivation programmes, as allowed by the ESF+ regulation.

### **Employment and Social Innovation programme**

Up to end 2020, the Commission has committed close to EUR 883 million out of which some EUR 330 million for grants for the implementation of all the programme's activities. The rest of the funds contributed to the EaSI goals through contracts under procurement, indirect management, notably financial instruments, and other actions or expenditure. Funding has targeted the modernisation of employment and social policies with the PROGRESS axis (55% of total 2014-2020 budget); job mobility with the EURES axis (19%); and access to micro-finance and social entrepreneurship with the Microfinance and Social Entrepreneurship axis (26%). Overall, the programme is therefore well on track to achieve the distribution of the EaSI funds over the whole period between its axes being at least 55% to the Progress axis; at least 18% to the EURES axis, and; at least 18% to the Microfinance and Social Entrepreneurship axis.

Activities included supporting the EU and national policy-making processes to promote a high level of quality employment, guaranteeing adequate and decent social protection, combating social exclusion and poverty, and improving working conditions. A high share of stakeholders (73%) agree that the Commission is an effective source of guidance and support for social and labour innovation (see 2017-2018 monitoring report), as well as for improving understanding and ownership of EU objectives and policies : more than 91% of participants of EaSI funded events declared that they gained a better understanding of EU policies and objectives as a result of participating in the event (87% in 2015-2016).

The programme has supported data collection, notably the Labour Force Survey, an important source of information about the situation and trends in the EU labour market; Classification of European Skills, Competences, Qualifications and Occupations (ESCO), EUROMOD, Mutual Information System on Social Protection (MISSOC) and European system of integrated social protection statistics (ESSPROS). It has contributed to key analysis such as the annual Employment and Social Developments in

<sup>12</sup> The external study was carried out by Metis GmbH in cooperation with Fondazione Giacomo Brodolini and Panteia B.V. and covered data reported by the Member States in their Annual Implementation Reports for the period 2014-2016. The contract was implemented during period of October 2016 and May 2018. It served as input for a Staff Working Document (FEAD mid-term evaluation)

Europe report and supported many sharing of good practice and mutual learning activities. According to the 2017-2018 monitoring report, 86% of stakeholders declared that they have already used or intend to use information acquired during the events for policymaking or advocacy purposes.

Overall, the integration of all EaSI horizontal issues remains high. Paying particular attention to vulnerable groups, such as young people, was seen as the most mainstreamed objective by EaSI stakeholders (78%). Equality between women and men and non-discrimination also remained well-integrated (76% agreed). The data also indicated a strong increase in mainstreaming disability and accessibility matters.

The programme also supported fair labour mobility through the EURES network and portal and the Electronic Exchange of Social Security Information (EESSI). Initiatives were geared to provide easier access to micro-finance and social entrepreneurship.

In the period 2014-2020, 52 calls for proposals were launched with 1 083 applications leading to 425 projects. Overall, these EaSI grant projects involved over 1 282 beneficiaries coming from all participating countries (58 from the candidate and potential candidate countries, 24 from the EEA countries, 30 from the UK and the rest from EU). Since a number of projects are follow-up projects involving the same beneficiaries and co-beneficiaries, the programme supported over 640 different organisations. In addition, the programme assisted 38 EU sector organisations via operating grants. Almost 32% of the grants awarded involve public authorities and their agencies, some 24% of the funds supported the Social Partners such as trade union organisations (15%) and employers' organisations (9%), and 24% went to Foundations/NGOs. The rest was for enterprises (9% for profit making and 2% for non-profit making) and higher education and research institutes (9%).

The EaSI calls addressed matters like development of tailored learning provision in the implementation of 'Upskilling Pathways'; enhancing administrative cooperation and access to information concerning posting of workers; social protection reforms; undeclared work; work-life balance; reforms in social services; Youth Guarantee offers; European Solidarity Corps pilot and integration into the labour market of third country nationals.

The efforts for scaling-up of projects are hindered by a lack of adequate follow-up in terms of promoting the projects and their results as well as insufficient opportunities for linking the promoters with stakeholders who can assist in their follow-up. For the next programming period, Competence Centres on Social Innovation, a database of Social Innovation projects to be published on the ESF+ website, next to the creation of National Contact Points to guide applicants and beneficiaries will be put in place. Also the move to the Funding and Tenders portal of the EaSI calls for proposals would mean that each project will have its own place to make its results available to a wider audience on Europa pages, beyond those consulting the projects' webpages. Furthermore, the incorporation of EaSI as a strand of ESF+ will mean that it will share its objectives and governance with the shared management strand, which could facilitate the uptake of EaSI projects by the ESF+ Managing Authorities for further support.

## PROGRESS axis

Much of EaSI-funded evidence fed directly into the key EU policy processes such as the European Semester, including its Annual Sustainable Growth Strategy, country-specific recommendations, employment guidelines and joint employment reports. The evidence generated by the programme also contributed to many other policy initiatives in employment and social affairs, for instance: 'New Skills Agenda for Europe', 'Youth Guarantee', the establishment of the European Labour Authority, 'Work-life balance initiative', 'Recommendation on Investing in children', 'Integration of long-term unemployed into the labour market', 'Social and labour market integration of migrants and refugees', and 'Active inclusion of people with disabilities', etc.

The EaSI performance monitoring reports (latest edition, covering 2017 and 2018)<sup>13</sup> indicate that national, regional and local policymakers as well as other stakeholders consider EaSI-supported evidence as sound and highly useful for policymaking and advocacy purposes<sup>14</sup>. More stakeholders than previously (73% in 2018 compared to 70% in 2017) declared that they have personally used or intend to use EaSI outputs. The EaSI Programme is considered strong in facilitating effective and inclusive information sharing, mutual learning and dialogue on the EU policies in the target fields. The opinion on the involvement of relevant policy- and decision-makers in the debate on EU employment and social policy and legislation remained positive among stakeholders. As many as 89% of EaSI stakeholders working at national, regional or local level of government institutions said that they feel a sense of collaboration between their organisation and the EU institutions (88% in 2017, 86% in 2015). The percentage is high for all groups of stakeholders, including key EU-level NGOs. In further support to this objective, EaSI also continued to provide EU and national organisations with financial support to increase their capacity.

<sup>13</sup> <https://ec.europa.eu/social/BlobServlet?docId=22431&langId=en>

<sup>14</sup> Overall, 86% of stakeholders declared that they have already used or intend to use information acquired during the events for policymaking or advocacy purposes. A high share of stakeholders (73%) agree that the Commission is an effective source of guidance and support for social and labour innovation. Furthermore, overall, 64% of stakeholders said that they have personally used or intend to use EU-funded social policy innovation for policymaking or implementation (49% in 2017; 62% in 2014). More than 91% of participants in EaSI-funded events declared that they gained a better understanding of EU policies and objectives as a result of participating in an EaSI-funded event (87% in 2015-2016). As many as 89% of EaSI stakeholders working at national, regional or local government institutions said that they feel a sense of collaboration between their organisation and the EU institutions (88% in 2017; 86% in 2015).

Moreover, the Commission's goal to support social policy innovations gained more visibility. A high share of stakeholders (73%) agree that the Commission is an effective source of guidance and support for social and labour innovation. Overall, 64% of stakeholders said that they have personally used or intend to use EU funded social policy innovation for policy making or implementation (49% in 2017, 62% in 2014).

As clearly appears in section 5, the Progress axis has already met if not even exceeded almost all its targets on key performance indicators.

In the 2021-2027 programming period, the ESF+ EaSI strand will continue to test new policy approaches at a small-scale through social experimentation methods and to serve as a basis for social innovation upscaling, mainstreaming and/or replication activities under shared management or other sources of funding. At the same time, the shared management part of ESF+ will also support social innovation to re-design delivery mechanisms for employment, skills, social inclusion. This implies a new focus on bottom-up approaches based on partnerships involving public authorities, the private sector and civil society (such as community-led local development). For this purpose, the ESF+ Regulation includes, as an incentive, an increased EU co-financing rate (95%) for social innovation actions under shared management. This incentive also covers the upscaling, mainstreaming and/or replication of social innovations developed elsewhere, like the EaSI strand of the ESF+. The transfer or upscaling, mainstreaming and/or replication of successful innovations will also be further promoted through transnational cooperation under indirect management. The new integrated governance between the strands should also help meet the challenge of scaling up and mainstreaming innovation. To that end, the to-be-created National Contact Points in the EaSI countries will support beneficiaries in promoting their results and applicants in preparing good quality applications.

### **EURES axis**

Furthermore, looking also at the EURES Performance Measurement System (PMS) in addition to the EaSI performance monitoring, it is obvious that EaSI has improved the transparency of labour market information. Even though the use of the EURES Job Mobility Portal was slightly uneven from one year to another, the number of registered users increased and the overall number of visitors remains very high. EURES acted not only as a catalyst for providing transparent labour market information, but also for effective recruitment and placing of workers through all its tools (i.e. the European Job Mobility Portal, the targeted mobility schemes and the EURES cross-border partnerships). The start of the pandemic in 2020 affected substantially the free movement of workers. Border closures and quarantine requirements put almost on halt the free movement of workers. Restriction and limitation adopted by Member States further put pressure on the perspective of labour mobility. This all led to a reduced interest in the cross border vacancies on the EURES portal. In addition, the 2020 edition of the Labour Mobility Report confirmed that in the past years labour mobility has continued to grow but at a much slower pace than in the previous years. This process also had a direct effect on the interest in the EURES portal. It is expected that once the situation with the pandemic stabilizes, the economic recovery will kick in and the need for workforce (including mobile one) will be present, hence we envisage an increase in traffic also on the EURES portal.

The EURES Targeted Mobility Scheme continues to deliver good results, mainly due to a better integration in the EURES overall service package, the improved methodology of the interventions as a result of more experience and better communication about the projects. While in 2020-2021 the reduced intra-EU mobility following the COVID-19 pandemic will have an impact on the placements, in medium-term this should not have a major impact. In 2020, the EURES Targeted Mobility Scheme carried on thanks to a project led by Germany and another led by Italy for an overall value of some EUR 13.6 million. In addition, the 'Your first EURES job' (Yfej) led by Italy, Germany and Sweden will end in 2021. From the start of the initiatives till the end of the first semester of 2020, Yfej and TMS together resulted in 14 602 job placements. Due to the COVID-19 pandemic the number of placements declined significantly, resulting in 842 placements in the first six months of 2020. The provided support included a contribution to the costs incurred with language courses, recognition of diplomas and qualifications, travel and subsistence costs related to job interviews, country and family relocation, and also assisting Small and Medium Enterprises (SMEs) to provide integration training for Yfej job finders.

In 2020, the 11 EURES cross-border partnerships supported by EaSI continued implementing their activities under projects ending on 31 December 2021. The goal of the EURES cross-border partnerships is to share information and advice with jobseekers and employers on cross-border job mobility, to offer concrete placement opportunities and to provide pre- and post-recruitment services. Pools of experts are available to support workers at each stage of their career and to answer any questions about the practicalities of working across the immediate geographic border. The partnerships also monitor the mobility flows across their respective borders, the development of the job market, and identify and address obstacles that hamper the free movement of workers within the regional cross-border job market. The partnerships usually involve EURES members and partners but also regional organisations not part of the EURES network. The latter can participate if they are organisations relevant within the regional job market, e.g. regional development organisations, universities, business associations, trade unions, chambers of commerce or social partners. In 2019 these CBPs achieved 3 691 matchings, while handling 30 942 job vacancies and 52 284 job applications. In the first half of 2020, the EURES cross-border partnerships had 31 300 contacts with workers and more than 5 700 contacts with employers. Almost 31 000 job vacancies were handled and at least 2 200 job seekers were successfully matched with

jobs.<sup>15</sup> Further services included the organisation of employers' breakfasts and cross-border job fairs, tax and social security advice on cross-border labour mobility, the development of a cross-border job app and the promotion of cross-border job services on social media.

As clearly appears in section 5, the EURES axis is expected to meet almost all its targets on key performance indicators.

### Microfinance/Social Entrepreneurship axis

EaSI continued to provide real added value to better access to and availability of microfinance, while the support for increasing the overall availability and access to finance for social enterprises has gained momentum. As at the end of September 2020, financial intermediaries from Albania, Austria, Belgium, Bulgaria, Croatia, Czech Republic, Estonia, Finland, France, Greece, Ireland, Italy, Latvia, Lithuania, Luxembourg, Montenegro, Netherlands, North Macedonia, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Turkey and United Kingdom participated in the Microfinance Window. As a result, under the EaSI guarantee, since the launch of the instrument in 2015 and until end of September 2020, up to 104 (102 currently active) contracts worth EUR 222.7 million were signed with microfinance intermediaries; this allowed them to support 97 271 microenterprises receiving 107 098 microloans worth EUR 1.2 billion, meaning that the average microloan amounted to around EUR 11 879.

In the same period (2015 to end September 2020), 3 337 social enterprises had received 4 077 loans from financial intermediaries established in Austria, Belgium, Croatia, Czech Republic, Denmark, Finland, France, Germany, Hungary, Ireland, Italy, Netherlands, Poland, Portugal, Romania, Serbia, Slovakia, Spain and United Kingdom. Approximately EUR 146.3 million of EU support leading to 39 signed contracts were used to provide EUR 490.9 million of funding for social enterprises, meaning that the average social enterprise loan amounted to EUR 120 429.

As a whole, the 141 currently active signed contracts under the microfinance and social entrepreneurship strands are expected to unlock around EUR 4 billion of financing for micro- and social enterprises.

Under the Advisory and technical assistance for microfinance, a wide range of support activities were offered to Microfinance Institutions (MFIs): in the period October 2019-October 2020, 12 MFIs have benefited from capacity-building tailored trainings and 14 MFIs from training courses on the implementation of the European Code of Good Conduct for microcredit provision. For the purpose of exchange and dissemination of good practices, 6 workshops, 6 peer-to-peer trainings, and 30 webinars were delivered. For the advisory and technical assistance for social enterprise finance providers, 25 intermediaries active in the social finance space have benefited from tailored trainings and workshops.

The downward trend concerning the proportion of beneficiaries that have created or further developed a business with EU microfinance that were unemployed or belonging to disadvantaged groups seems to be due to several factors. But the most important, the reporting has been altered since one final recipient could also fall under 4 disadvantaged categories (e.g. woman with a migrant background, unemployed with no formal education). The current reporting received from the EIF is not able to support this categorization. Therefore, it was decided to focus on the first part of the indicator being the proportion of beneficiaries that have created or further developed a business with EU microfinance that are unemployed. Furthermore, the target may have been set too high, without taking dully into account the reporting difficulties.

## 3.2. Key achievements

### European Social Fund

36.4 million	4.5 million	5.5. million	1.8 million	3 million
people were supported by the ESF and YEI actions by end 2019	people found a job (including as self-employed) thanks to ESF and YEI support by end 2019	people gained a qualification thanks to ESF and YEI support by end 2019	participants were in education or training thanks to ESF and YEI support by end 2019	young people benefitted from the YEI by end 2019

### Fund for European Aid to the most Deprived

12.2 million	> 800 000	30 000	2 million
--------------	-----------	--------	-----------

<sup>15</sup> Figures cover the timeframe from January – June 2019, collected under the EURES performance measurement system for EURES cross-border partnerships. The figures for the second half of 2019 are currently under analysis.

people benefited from FEAD food assistance in 2019	people received material assistance under FEAD in 2019	benefited from social inclusion support under FEAD in 2019	tonnes of food were distributed amongst end recipients between 2014-2019 from which 345 000 tonnes in 2019
--	--	--	--

### **Employment and Social Innovation programme**

74%	64%	14 602	30 942	EUR 1.2 billion	EUR 4 billion
of EaSI stakeholders declared they have used/will use EaSI outputs	of stakeholders declared in 2018 that they have/will use EU funded social policy innovation for policy making or implementation	job placements obtained from the start of the Targeted Mobility Schemes in 2015 and Your first EURES job until the end of the first semester of 2020	vacancies were handled in the first semester of 2020 by 11 EURES cross-border partnerships	worth of loans awarded to 97 271 microenterprises between 2014 and 2020 thanks to EUR 222.7 million of guarantees for 104 microfinance intermediaries	of financing for micro- and social enterprises is expected to be unlocked at the end of the borrowing period thanks to the 141 contracts under EaSI MF/SE

### **3.3. Evaluations, studies and reports**

#### **European Social Fund**

Four thematic evaluations on ESF support between 2014-2018 were finalised in 2020, namely:

- Evaluation of the ESF/YEI support to youth employment<sup>16</sup>;
- Evaluation of the ESF support to employment and labour mobility (Thematic Objective 8 excluding support to youth employment)<sup>17</sup>;
- Evaluation of ESF support to social inclusion (Thematic Objective 9)<sup>18</sup>; and
- Evaluation of ESF to education and training (Thematic Objective 10)<sup>19</sup>.

The findings of the Youth Employment evaluation support the new Youth Employment Package<sup>20</sup>, notably as regards the need to reach out to inactive/vulnerable/low skilled groups, to extend the guarantee up to 29 years and confirms that work experience or vocational training is key to increase employability. Other lessons to be considered by DG EMPL when negotiating the 2021-2027 programmes targeting youth employment are:

- An integrated pathway still seems to be the best approach to youth employment and individuals furthest away from the labour market who benefit greatly from tailored and intensive guidance and support;
- A too narrow definition of target groups may pose problems when adapting to specific situations or to changes in the context later on;
- Adopting innovative communication approaches helps overcome the challenge of reaching disadvantaged participants. For example, social media and outreach campaigns, liaison work with local communities, among others;
- Embedded communication strategies would help increasing the visibility of EU support, such as using social media more broadly and forging partnerships with schools, community organisations and frontline services. Increased visibility would also foster outreach.

The evaluation of ESF support to employment and labour mobility (thematic objective 8 excluding youth) shows:

- That the net effects of active labour market policies are particularly strong for women, those at a certain distance from the labour market, through integrated / individual-centred approaches;
- The need to better fight embedded gender stereotypes and strive for more holistic approaches to promote active ageing;

<sup>16</sup> <https://ec.europa.eu/social/main.jsp?catId=738&langId=en&pubId=8307&furtherPubs=yes>

<sup>17</sup> <https://ec.europa.eu/social/main.jsp?catId=738&langId=en&pubId=8330&furtherPubs=yes>

<sup>18</sup> <https://ec.europa.eu/social/main.jsp?catId=738&langId=en&pubId=8350&furtherPubs=yes>

<sup>19</sup> <https://ec.europa.eu/social/main.jsp?catId=738&langId=en&pubId=8346&furtherPubs=yes>

<sup>20</sup> <https://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=9793&furtherNews=yes>

- The need for more data and evidence on labour mobility and support to structural changes is crucial.

The evaluation of ESF support for social inclusion (thematic objective 9) shows that:

- The provision of personalised support is costly and requires more intense training of providers. Yet sufficient time and personalised support for participants are crucial to ensure needs are met and to generate the desired results;
- A participatory approach to designing and implementing social inclusion interventions can also enhance the provision of individualised support. Cross-sectoral partnerships facilitate the effective engagement with the target group and generate greater effectiveness;
- More inclusive partnerships and outreach strategies promote the recruitment of participants leading to greater relevance of the intervention.

The evaluation of ESF support to education and training (thematic objective 10) shows that:

- Operations on early school leaving and lifelong learning have been the most successful ones, both in terms of direct results and of the potential for longer-term systemic change. The relative success of these priorities appears to be linked to their stronger alignment with national and regional strategic priorities;
- Although support to education and training has effectively addressed the needs of young people generally, success has been more mixed for low qualified adults, those not in education, employment or training (NEETs) and the hardest to reach disadvantaged groups. It calls for maintaining a strong focus on disadvantaged learners (and intensify it particularly in tertiary education);
- There is need to give a greater focus to other skills which are increasingly relevant, such as digitalisation of learning and distance learning.

### **Fund for European Aid to the Most Deprived**

The key findings of the latest evaluation (SWD(2019)148)<sup>21</sup> have been presented in the programme statement accompanying the draft budget 2020.

In 2022, Managing Authorities of FEAD operational programmes type I (i.e. providing food and/or basic material assistance and accompanying measures) shall carry out a structured survey on end recipients, to be reported to the Commission in 2023.

According to Article 18 of FEAD regulation, the Commission shall carry out an ex post evaluation to assess the effectiveness and efficiency of the fund and the sustainability of results obtained, as well as to measure the added value of the fund. This ex post evaluation shall be completed by 31 December 2024.

### **Employment and Social Innovation programme**

The key findings of the latest Mid-term evaluation of the EaSI programme<sup>22</sup> have been presented in the Programme Statements for Draft Budget 2020.

In 2020, preparatory work has been carried out so that the ex post evaluation of the programme can start in 2021 and deliver results by the end of 2022. As part of this evaluation, the Commission will launch a dedicated survey seeking the input of EaSI beneficiaries and stakeholders. In addition, a public consultation will feed in this exercise.

The 3rd EaSI performance monitoring report covering the activities 2017 and 2018 was published in March 2020<sup>23</sup>. The main conclusion from the EaSI performance monitoring for 2017-2018 and for 2015-2016 is that evidence generated by EaSI contributed to the key EU policy objectives and initiatives.

From the previous performance monitoring report, it is clear that the integration of all EaSI horizontal issues has slightly increased since 2015. EaSI stakeholders paid particular attention to vulnerable groups such as young people as the most mainstreamed objective (78% said that it is taken into account). Equality between women and men and non-discrimination also remained well-integrated (76% agreed with this opinion). The data also indicated a strong increase in mainstreaming disability and accessibility matters. The share of stakeholders considering that the latter issue was taken into account increased from 46% in 2015 to 71% at the beginning of 2019.

The next performance monitoring report on the period 2019-2020 will be published in the course of 2021. As for the previous performance monitoring reports, surveys will be held to obtain the views of stakeholders as well as organisations who were beneficiaries of EaSI grants, but also from persons who took part in events organised by projects using EaSI financing.

<sup>21</sup> <https://ec.europa.eu/social/BlobServlet?docId=20911&langId=en>

<sup>22</sup> <https://webgate.ec.testa.eu/publications/studiesdb/Consultation.xhtml?studyProjectId=8427>

<sup>23</sup> <https://ec.europa.eu/social/BlobServlet?docId=22431&langId=en>

## 4. Programme 2021-2027 - Key monitoring indicators

### Specific Objective 1 :Policy area - Employment and labour mobility

#### Indicator 1:Participants in employment, including self-employment, upon leaving

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.
Other methodological comments	For the estimation of result indicator targets, DG EMPL will use historical success rates reported by Member States in the current 2014-2020 programming period. The ESF result indicators refer to the outputs directly. E.g. 'participants in employment' can be expressed as a direct function of 'unemployed' and 'inactive' in percentages. The historical success rates are adjusted downwards or upwards, if necessary, on the basis of assumptions. E.g. in case it is expected that the macroeconomic environment will be less favourable in the EU labour market and job-placements will be more difficult due to, for instance, the COVID-19 crisis, the success rate will be adjusted downwards compared to the historical value. In line with the Common Provisions Regulation, the result indicators will not have milestones. First estimates will be available in the second semester of 2021 and adjusted in 2022, based on approved operational programmes.
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Unemployed, including long-term unemployed, participants reached

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimation will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

#### Indicator 3:Inactive participants reached

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
-----------------	--

Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of participants 55 years of age and above reached**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Young people aged 18-29 years reached**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :Policy area - Education****Indicator 1:Participants with lower secondary education or less (ISCED 0-2) reached**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Participants with tertiary education (ISCED 5 to 8) reached**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Participants gaining a qualification upon leaving**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.

Other methodological comments	For the estimation of result indicator targets, DG EMPL will use historical success rates reported by Member States in the current 2014-2020 programming period. The ESF result indicators refer to the outputs directly. The historical success rates are adjusted downwards or upwards, if necessary, on the basis of assumptions. E.g. in case it is expected that the macroeconomic environment will be less favourable in the EU labour market and job-placements will be more difficult due to, for instance, the COVID-19 crisis, the success rate will be adjusted downwards compared to the historical value. In line with the Common Provisions Regulation, the result indicators will not have milestones. First estimates will be available in the second semester of 2021 and adjusted in 2022, based on approved operational programmes.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Participants in education or training upon leaving

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.
Other methodological comments	For the estimation of result indicator targets, DG EMPL will use historical success rates reported by Member States in the current 2014-2020 programming period. The ESF result indicators refer to the outputs directly. The historical success rates are adjusted downwards or upwards, if necessary, on the basis of assumptions. E.g. in case it is expected that the macroeconomic environment will be less favourable in the EU labour market and job-placements will be more difficult due to, for instance, the COVID-19 crisis, the success rate will be adjusted downwards compared to the historical value. In line with the Common Provisions Regulation, the result indicators will not have milestones. First estimates will be available in the second semester of 2021 and adjusted in 2022, based on approved operational programmes.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 : Policy area - Social inclusion, including contributing to poverty eradication and health

#### Indicator 1: Participants considered as part of disadvantaged groups reached (Participants with a foreign background, minorities including participants from the Roma community, third country nationals)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve social fairness and in particular focus on vulnerable target group.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	

Justification of the trend	
----------------------------	--

**Indicator 2:Participants with disabilities reached**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve social fairness and in particular focus on vulnerable target group.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Number of children below 18 years of age reached**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of children (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve social fairness and in particular focus on vulnerable target group.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 4:Total number of participants reached in actions promoting social integration of people at risk of poverty or social exclusion**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.

Link to the objective	Improve social fairness and in particular focus on vulnerable target group
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the estimation of all EU-level output indicator targets, DG EMPL will use historical unit costs reported by Member States in the 2014-2020 programming period. In line with Article 15 of the ESF+ Regulation, the baseline of the output indicators is 0. Their milestones at EU level will be estimated on the basis of historical trends. If the rate of implementation in time shows similar patterns over programming periods, the milestone will represent the same proportion of the target in the post 2021 programmes as in the 2014 programmes. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Participants engaged in job searching upon leaving**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Improve workers' mobility and employment opportunities.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the estimation of result indicator targets, DG EMPL will use historical success rates reported by Member States in the 2014-2020 programming period. The ESF result indicators refer to the outputs directly. The historical success rates are adjusted downwards or upwards, if necessary, on the basis of assumptions. E.g. in case it is expected that the macroeconomic environment will be less favourable in the EU labour market and job-placements will be more difficult due to, for instance, the COVID-19 crisis, the success rate will be adjusted downwards compared to the historical value. In line with the Common Provisions Regulations, the result indicators will not have milestones. First estimates will be available in the second semester of 2021 and adjusted in 2022, based on approved operational programmes.
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Monetary value of distributed food and goods (directly or through vouchers)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	EUR (yearly)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Addressing material deprivation through food and/or basic material assistance to the most deprived, including accompanying measures.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7: Quantity of food distributed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Tons (yearly)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Addressing material deprivation through food and/or basic material assistance to the most deprived, including accompanying measures.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Number of end-recipients receiving food support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of end recipients (yearly)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Addressing material deprivation through food and/or basic material assistance to the most deprived, including accompanying measures.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline, milestones and targets will not be set but only reference values. Reference values should be adjusted values based on data from similar existing or previous interventions. These will be set by the Member States based on the negotiations with the Commission and also budget allocated to this specific objective and programme(s). First estimations will be available in the second semester of 2021 and adjusted in 2022. Reference values should be set for a limited number of result indicators. The selection of these indicators should be based on the intervention logic as the selected indicators ought to measure the main deliverables to be achieved in the specific objective.
Full metadata available at this address	
Justification of the trend	

**Indicator 9: Number of end-recipients receiving material support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of end recipients (yearly)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Addressing material deprivation through food and/or basic material assistance to the most deprived, including accompanying measures.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline, milestones and targets will not be set but only reference values. Reference values should be adjusted values based on data from similar existing or previous interventions. These will be set by the Member States based on the negotiations with the Commission and also budget allocated to this specific objective and programme(s). First estimations will be available in the second semester of 2021 and adjusted in 2022. Reference values should be set for a limited number of result indicators. The selection of these indicators should be based on the intervention logic as the selected indicators ought to measure the main deliverables to be achieved in the specific objective.
Full metadata available at this address	
Justification of the trend	

**Indicator 10: Number of end-recipients benefiting from vouchers/cards**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of end recipients (yearly)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Addressing material deprivation through food and/or basic material assistance to the most deprived, including accompanying measures.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline, milestones and targets will not be set but only reference values. Reference values should be adjusted values based on data from similar existing or previous interventions. These will be set by the Member States based on the negotiations with the Commission and also budget allocated to this specific objective and programme(s). First estimations will be available in the second semester of 2021 and adjusted in 2022. Reference values should be set for a limited number of result indicators. The selection of these indicators should be based on the intervention logic as the selected indicators ought to measure the main deliverables to be achieved in the specific objective.
Full metadata available at this address	
Justification of the trend	

#### Indicator 11: Number of children below 18 years of age benefiting from food, material or voucher support

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of children (yearly)
Cut-Off Date	31/12/2022
Data source	ESF+ Managing Authorities from the Member States.
Link to the objective	Addressing material deprivation through food and/or basic material assistance to the most deprived, including accompanying measures.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline, milestones and targets will not be set but only reference values. Reference values should be adjusted values based on data from similar existing or previous interventions. These will be set by the Member States based on the negotiations with the Commission and also budget allocated to this specific objective and programme(s). First estimations will be available in the second semester of 2021 and adjusted in 2022. Reference values should be set for a limited number of result indicators. The selection of these indicators should be based on the intervention logic as the selected indicators ought to measure the main deliverables to be achieved in the specific objective.
Full metadata available at this address	
Justification of the trend	

#### Specific Objective 4 : Policy area - Employment and social innovation

##### Indicator 1: Number of analytical activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of activities
Cut-Off Date	31/12/2021
Data source	Administrative and quantitative data from the European Commission.
Link to the objective	Effect on policies.

Link MFF 14-20 / MFF 21-27	
Other methodological comments	The performance monitoring framework of the preceding Employment and Social Innovation programme 2014-2020 as well as the mid-term and (upcoming) ex post evaluations will form the basis for establishing a new performance framework with updated baselines, milestones and targets. First estimations will be available in the second semester of 2021 and adjusted in 2022. The average number of activities implemented during the previous programming period will be used as baseline with the target to at least maintain this number.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of information-sharing and mutual learning activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of activities
Cut-Off Date	31/12/2021
Data source	Administrative and quantitative data from the European Commission.
Link to the objective	Effect on policies.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The performance monitoring framework of the preceding Employment and Social Innovation programme 2014-2020 as well as the mid-term and (upcoming) ex post evaluations will form the basis for establishing a new performance framework with updated baselines, milestones and targets. First estimations will be available in the second semester of 2021 and adjusted in 2022. The average number of activities implemented during the previous programming period will be used as baseline with the target to at least maintain this number.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of social experimentations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of experimentations
Cut-Off Date	31/12/2021
Data source	Administrative and quantitative data from the European Commission.
Link to the objective	Increase in social innovation uptake and effect on policies.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The performance monitoring framework of the preceding Employment and Social Innovation programme 2014-2020 as well as the mid-term and (upcoming) ex post evaluations will form the basis for establishing a new performance framework with updated baselines, milestones and targets. First estimations will be available in the second semester of 2021 and adjusted in 2022. The average number of activities implemented during the previous programming period will be used as baseline with the target to at least maintain this number.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of capacity building and networking activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of activities
Cut-Off Date	31/12/2021
Data source	Administrative and quantitative data from the European Commission.
Link to the objective	Effect on stakeholders.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The performance monitoring framework of the preceding Employment and Social Innovation programme 2014-2020 as well as the mid-term and (upcoming) ex post evaluations will form the basis for establishing a new performance framework with updated baselines, milestones and targets. First estimations will be available in the second semester of 2021 and adjusted in 2022. The average number of activities implemented during the previous programming period will be used as baseline with the target to at least maintain this number.
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Job placements effected as a result of recruitment and placement activity

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of effected job placements
Cut-Off Date	31/12/2021
Data source	EURES performance measurement system.
Link to the objective	Effect on labour mobility and access to employment.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The performance monitoring framework of the preceding Employment and Social Innovation programme 2014-2020 as well as the mid-term and (upcoming) ex post evaluations will form the basis for establishing a new performance framework with updated baselines, milestones and targets. The EURES performance measurement system that is based on a Commission implementing act, as foreseen under the EURES regulation, provides the necessary baseline, milestones and targets for the Targeted Mobility Scheme based on its ultimate objective: the number of placements. First estimations will be available in the second semester of 2021 and adjusted in 2022.
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### *Previous Program 1 : European Union Programme for Employment and Social Innovation (EaSI)*

**Specific Objective 1 :Support the development, implementation, monitoring and evaluation of the Union's instruments, policies (promoting a high level of quality and sustainable employment, guaranteeing adequate and decent social protection, combating social exclusion and poverty and improving working conditions) and relevant law and promote evidence-based policy-making, social innovation and social progress, in partnership with the social partners, civil society organisations and public and private bodies (PROGRESS Axis)**

### **Indicator 1: Declared gain of better understanding of EU policies and legislation**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
92%				> 85%			> 85%			Maintain results over 85%
	Actual Progress									Final
	91%		87%		91%					

Are we on track	On track
Indicator type	Result

Unit of measurement	Percentage of respondents
Cut-Off Date	31/12/2018
Data source	Bi-annual survey on PROGRESS.
Narrative	The Commission aims to maintain the results over 85%. As demonstrated, the performance of the programme per this indicator is in line with the target.
Methodology	Percentage of respondents agreeing to the statement.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data is reported bi-annually as part of the EaSI Programme Performance Monitoring report.
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target, based on its evolution.

### Indicator 2: Active collaboration and partnership between government institutions of the EU and Member States

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
91%				> 85%			> 85%			Maintain results over 85%
	Actual Progress									Final
	86%		88%		89%					

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of respondents
Cut-Off Date	31/12/2018
Data source	Bi-annual survey on PROGRESS.
Narrative	A large share of officials of national, regional and local institutions (89%) have indicated that they collaborate actively with the EU institutions. Another positive aspect is a stable increasing trend for this indicator over the past years. The Commission aims to maintain the results over 85%. The performance of the programme per this indicator is in line with the target. The percentage is high for all groups of stakeholders. In total, 89% feel a sense of collaboration between their organisation and the EU institutions. It is noteworthy that officials of EU institutions (91%) whose opinion of the state of collaboration within the EU institutional is indicative showed a positive opinion. A large share of employees/volunteers in European-level NGO networks also feel a sense of collaboration (88%) with EU institutions. As in 2014 and 2017, employees/volunteers in national NGOs feel a somewhat less sense of collaboration with EU institutions, in comparison with other stakeholder groups.
Methodology	Percentage of respondents agreeing to the statement.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data is reported bi-annually as part of the EaSI Programme Performance Monitoring report.
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target, based on its evolution.

### Indicator 3: Declared use of social policy innovation in the implementation of social CSRs and the results of social policy experimentation for policy making

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
62%				64%			> 66%			> 66%
	Actual Progress									Final
	62%		49%		64%					

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of respondents
Cut-Off Date	31/12/2018
Data source	Bi-annual survey on PROGRESS.
Narrative	In total, 64% of stakeholders declare that they have used or intend to use social policy innovations developed at the EU level for policymaking. The result is slightly higher than the baseline set in 2014 at 62%. Around 66% of stakeholders within the policy area of employment and also within the area of Social Protection and Social Inclusion (SPSI) have used or intend to use social and labour market policy innovation.
Methodology	Percentage of respondents agreeing to the statement.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data is reported bi-annually as part of the EaSI Programme Performance Monitoring report.

Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target, based on its evolution.

**Specific Objective 2 :Promote workers' voluntary geographical mobility on a fair basis and boost employment opportunities by developing high-quality and inclusive Union labour markets that are open and accessible to all, while respecting workers' rights throughout the Union, including freedom of movement (EURES Axis)**

**Indicator 1: Number of visits of the EURES platform**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1,7	Actual Progress									Final
	1,4	1,4	1,4	1,2	0,9	0,7	0,5			

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Million (yearly)
Cut-Off Date	31/12/2020
Data source	Indicator measured by Matomo
Narrative	The data for 2019 and 2020 show a constant decrease in the number of unique visits as the conditions in the labour market improve all over Europe while unemployment and the number of jobseekers were decreasing until the COVID-19 crisis. Hence the target of 2 million has become too high, a more realistic target for 2020 would be 1 million.
Methodology	Monthly Average
Link MFF 14-20 / MFF 21-27	DG EMPL will not continue to report on this indicator in the period 2021-2027 in the Programme Statement.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Given the favourable economic situation in the period up to the COVID-19 pandemic the platform received less visits. This may increase as a result of the current crisis.

**Indicator 2: Number of youth job placements achieved or supported under the Preparatory Action Your First EURES Job (YFEJ) as well as under Targeted Mobility Schemes**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1844	Actual Progress									Final
	3433	5053	5720	7606	10696	13661	14602			

Are we on track	On track
Indicator type	Output
Unit of measurement	Cumulative number of job placements
Cut-Off Date	31/12/2020
Data source	EURES Performance Measurement System
Narrative	Data on 2014 refer to results achieved under the Your first EURES job (YFEJ) preparatory action. Data on 2015 covers both the preparatory action and part of the activities under the YFEJ Targeted Mobility Scheme (transitional period). As from 2016, the indicators show a steady increase due to: a) the large size and long duration of the YFEJ projects and, b) the experience and increased delivery capacity of the implementing organisations. The number of job placements has changed for some previous years based on the confirmed annual figures for 2017 and 2018. The figure for 2020 covers the period 2014-first semester of 2020. The scheme is expected to achieve the 2020 target.
Methodology	Cumulative figures
Link MFF 14-20 / MFF 21-27	DG EMPL will not continue to report on this indicator in the period 2021-2027 in the Programme Statement.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target, based on its evolution. The COVID-19 pandemic resulted in less placements.

**Indicator 3: Number of individual personal contacts of EURES advisers with jobseekers, job changers and employers**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

2013	Milestones								2020
1055936			1200000				1400000		1400000
	Actual Progress								Final
	947489	1058874	1131002	1524280	2479757	1071174	1315888		

Are we on track	On track
Indicator type	Output
Unit of measurement	Yearly number of contacts
Cut-Off Date	31/12/2020
Data source	EURES Performance Measurement System
Narrative	As from 2018, data collection is governed by the EURES Performance Measurement System (PMS) implemented on the basis of the EURES Regulation (EU)2016/589. Numbers of contacts are currently reported by EURES national coordination offices according to the Commission decision (EU)2018/170. The indicated number of individual personal contacts of EURES advisers for 2020 concerns only the first semester 2020 while the final figure will only be available in May 2021. The number is increasing thanks to the new EURES regulation entailing compulsory reporting of EURES advisers while in the past it was voluntary.
Methodology	
Link MFF 14-20 / MFF 21-27	DG EMPL will not continue to report on this indicator in the 2021-2027 Programme Statement.
Other methodological comments	2020: Data reported only for the first semester
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target, based on its evolution.

**Specific Objective 3 :Promote employment and social inclusion by increasing the availability and accessibility of microfinance for vulnerable people who wish to start up a micro-enterprise as well as for existing micro-enterprises, and by increasing access to finance for social enterprises (Microfinance Axis)**

**Indicator 1: Number of businesses created or consolidated that have benefitted from EU support**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
EaSI Microfinance Guarantee										
2012	Milestones								2020	
			21000				41000			41000
	Actual Progress								Final	
		416	12743	25830	44780	69770	97271			
EaSI Social entrepreneurship Guarantee										
2012	Milestones								2020	
			500				1100			1100
	Actual Progress								Final	
			63	250	864	2020	3337			

Are we on track	On track
Indicator type	Output
Unit of measurement	Business, Micro-enterprises and Social enterprises taken together on cumulative basis.
Cut-Off Date	30/09/2020
Data source	2020 EASI Guarantee Financial Instrument Annual Operational Report, European Investment Fund.
Narrative	The milestones and targets have been based on the past experience with Progress Microfinance. There was no such support offered by the European Commission to social enterprises in the past.
Methodology	
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, this part of the EaSI programme will not be included in the ESF+ EaSI strand, therefore DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The target has been exceeded.

**Indicator 2: Proportion of beneficiaries that have created or further developed a business with EU microfinance that are unemployed or belonging to disadvantaged groups**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones								2020	
			0,45				0,5			0,5
	Actual Progress								Final	
		0,3030	0,1930	0,1690	0,1573	0,1395	0,12			

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	30/09/2020
Data source	2020 EaSI Guarantee Financial Instrument Annual Impact Report, European Investment Fund.
Narrative	The indicator shows a downward trend over the 2016-2018 period in the proportion of recipients who were unemployed. This is explained by the 18.6% fall in EU unemployment in the same period since the indicator describes the proportion of beneficiaries who were unemployed. The higher 2015 figure is likely to be an outlier since it is based only on the 416 recipients that year (compare with 5 818 recipients in 2016) and the first agreement with a financial intermediary was only signed in October 2015.
Methodology	
Link MFF 14-20 / MFF 21-27	In the period 2021-27 this part of the EaSI programme will not be included in the ESF+ EaSI strand, therefore DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	As a result of the crisis caused by the COVID-19 pandemic the figure may increase, although it is not expected to reach the target.

### Previous Program 2 : European Social Fund (ESF)

## Specific Objective 1 :Promoting sustainable and quality employment and supporting labour mobility

### Indicator 1: Number of participants benefiting from ESF under this thematic objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2013	Milestones									2023
21.7	14.6									17.3
	Actual Progress									Final
	0.45	1	4.1	7.41	10.73	14,0				

Are we on track	On track
Indicator type	Output
Unit of measurement	Million (cumulative)
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	'Number of participants' measures the number of participations per operation under the thematic objective 'Promoting sustainable and quality employment and supporting labour mobility'. Over the programming period, one person can participate in several ESF operations and be counted more than once. The indicator has been selected because it provides an accurate picture of the outreach of the programme. By end 2019, investments in sustainable and quality employment supported 14 million participants, which led to more than 4.1 million positive results. These positive results consist of people that found a job, gained a qualification or were able to improve their labour market position by means of ESF interventions.
Methodology	Note 1: Compared to the 2007-2013 period definitions on the number of participations have been clarified to prevent double reporting of participations by the same individual in several activities within a single operation and to exclude indirect participants such as those benefiting from change in a system. This change in the definition of 'participants' is one of the reasons for lower achievements. Note 2: Moreover, the cumulative achievement of the 2007-2013 programming period included a large amount of participants who were reported well after 2013. Note 3: In the current stage of the economic cycle, the labour market pulls people in employment without public support, and outreach in this thematic objective is more difficult. All these factors explain the downward revision of the target to 17.3 million participants, which is the extrapolation of the annual increases of the last two years. The adjustment was expected and made during the performance review stage.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target, based on its evolution. The value has steadily increased since 2016 and represents an improvement compared to end-2018, when 10.73 million participants had been supported.

**Indicator 2:Participants (unemployed or inactive) in employment, including self-employment, upon leaving**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0,14					0,24		0,24			0,24
	Actual Progress									Final
	0,077	0,1030	0,1650	0,1710	0,2417	0,2319				

Are we on track	On track
Indicator type	Result
Unit of measurement	Ratio
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	Baseline: Employment result estimate for participants in activities in 2007-2013 period. For the period 2014-20, success rates were reported for participants in all investment priorities until reporting year 2017. While reporting the absolute number of participants in employment for the whole ESF remains relevant and continues to be reported in the ESIF Open Data Platform, for reporting success rates (number of job placements compared to unemployed + inactive participants at entry to ESF) it is more relevant to report the value for the employment objective only. The break in the series starts from 2018 onwards.
Methodology	Employment results depend on the nature of investment priorities (IP) and interventions. For comparative purposes, in Employment, results for participations in 'Access to Employment' activities during 2007-2013 period were 28%, while for 'Human capital and Social Inclusion' activities employment results made up 10% and 26% of all reported results and correspondingly lower employment rates. However, especially in the education (TO10) and in the institutional capacity building (TO11) thematic objectives, and to a lesser extent, in social inclusion (TO9) too, placement into job is not among the typical, intended outcomes of the operations.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator had already reached its target in 2018 and only slightly decreased in 2019. Moreover, based on the past programming period experience, the achievement of results linked to multiannual projects occurs late in the period.

**Specific Objective 2 :Promoting social inclusion, combating poverty and any discrimination****Indicator 1:Participants considered as part of disadvantaged groups that are reached by the ESF**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0,201					0,40					0,40
	Actual Progress									Final
	0,398	0,431	0,404	0,40	0,4118	0,4203				

Are we on track	On track
Indicator type	Output
Unit of measurement	Ratio
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	Baseline: Average programming period 2007-2013: Disabled, Migrants, Minorities & Others. The indicator has been selected because disadvantaged groups are an important target group of the ESF. The values show that these groups have been significantly supported since the start of the programming period across all thematic objectives. More specifically, by end 2019, social inclusion investments supported 8.6 million participants, which reached a large variety of persons with different types of (vulnerable) personal backgrounds. Such investments led to 2.3 million positive results, such as finding a job, gaining a qualification or other improvements in terms of one's position on the labour market. This is an important achievement, especially when regarded in the context of the Europe 2020 headline target to lift at least 20 million people out of the risk of poverty or social exclusion.
Methodology	Target groups: Migrants, participants with a foreign background, minorities (including marginalised communities such as the Roma); Participants with disabilities; Participants who live in a single adult household with dependent children; Participants who live in jobless households; Other disadvantaged. These will be broken down by the different categories. Persons may cumulate several disadvantages.

	It should be noted that these indicators cover all actions under all thematic objectives.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will continue reporting on this indicator in the Programme Statement but the target group will include participants with a foreign background, minorities including participants from the Roma community, and third country nationals.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator has already reached its target and will continue its positive evolution. It has experienced a slight increase since 2017, which shows that the ESF is successfully supporting the most vulnerable groups.

### Indicator 2: Inactive participants engaged in job searching upon leaving

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2023
						16%				16%
	Actual Progress									Final
	1.40%	5.50%	6.80%	12.20%	16%	14.4%				

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of inactive participants
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States
Narrative	The indicator shows the percentage of inactive participants engaged in job searching after receiving support from the ESF. It has been selected because they are an important target group and helping them back into employment is a relevant outcome of a number of ESF operations.
Methodology	This indicator had not existed in the previous programming period. The evidence from the current programming period shows that the target has to be revised. Under-reporting has to be taken into account too in the interpretation of the achievement: in operations where the intended outcome is other than job-search, data on job-search may not be collected in some operations. Another element to be considered is that in many cases there may have been a change in the target groups and only those who are most difficult to reach have remained. Depending on the level of difficulty of the target group, the fluctuation of this success rate indicator is normal, as it is a cumulative figure since 2014. One contributing factor for a temporary decrease may also be the performance review in 2019, which provided a strong incentive to Member States to increase outputs. Proper analysis will be drawn after the ex post evaluation.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement; it will report on the number of participants engaged in job searching upon leaving.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator reached its target in 2018 and only slightly decreased in 2019. Based on the past programming period experience, the achievement of results linked to multiannual projects occurs late in the period and the project selection rate suggests that the target will be achieved.

### Indicator 3: Participants above 54 years of age.

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2013	Milestones									2023
6.2%					6%	6%				6%
	Actual Progress									Final
	4,80%	5,50%	5,90%	6,30%	7,30%	8,25%				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of all ESF participants
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	The indicator shows the extent to which the ESF has been supporting participants above 54 years of age among all participants. It has been selected because it represents an important ESF target group.

Methodology	Note 1: Only a very limited number of operational programmes have targets set specifically for this category for the period 2014-2020. The target set for 2023 is therefore based on the results of the indicator 'Older people (55-64 years)' from the 2007-2013 programming period. Note 2: Based on the first three reporting by all MS on common indicators (AIR submitted in 2016, 2017 and 2018), the initial milestone and target are maintained. Note 3: The data reported in the table above is based on cumulative data. Overall, for the whole programming period, a share of 6% of all participants is expected to be above 54 years of age. This is reflected in the milestone and target for this indicator.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement; it will report on the number of participants 55 years of age and above reached
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator has already reached its target and will continue its positive evolution, based on the project selection rate.

### Specific Objective 3 :Investing in education, training and vocational training for skills and life-long learning

#### Indicator 1: Number of participants benefiting from ESF under this thematic objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2023
23.8	15.9	15.9	15.9	15.9	15.9		18			18
	Actual Progress									Final
	0.18	0.52	1.9	4.5	9.1	13.4				

Are we on track	On track
Indicator type	Output
Unit of measurement	Million (cumulative)
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	In total, 13.4 million participants are recorded for all operations in the field of education, of which 4.7 million have reached an individual short-term result. More than 3.2 million participants gained a qualification with support of ESF investments with an education objective, while another 0.9 million participants were in education / training upon leaving the intervention.
Methodology	It should be noted that these indicators under this specific objective cover all actions under all thematic objectives, unless specified otherwise in the name of the indicator. Note 1: Due to the multiannual nature of the programme and the large annual variances, comparing to a full programming period is the most relevant indicator. Note 2: 'Number of participants' measures the number of participations per operation. Over the programming period, one person can participate in several ESF operations and be counted more than once. Compared to the 2007-2013 period, definitions on the number of participations have been clarified to prevent double reporting of participations by the same individual in several activities within a single operation and to exclude indirect participants such as those benefiting from change in a system. This change in the definition of 'participants' is one of the reasons for lower achievements.
Link MFF 14-20 / MFF 21-27	In the period 2021-27, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target based on its evolution and the project selection rate. The 2019 value already represents a considerable increase compared to 2018, when 9.1 million participants were reported under this specific objective.

#### Indicator 2: Participants gaining a qualification upon leaving under this thematic objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2023
					0,48		0,23			0,23
	Actual Progress									Final

	0,188	0,204	0,211	0,223	0,2438	0,2395			
Are we on track	On track								
Indicator type	Result								
Unit of measurement	Ratio								
Cut-Off Date	31/12/2019								
Data source	Annual Implementation Reports from the Member States.								
Narrative	More than 3.2 million participants gained a qualification with support of ESF investments with an education objective, while another 0.9 million participants were in education / training upon leaving the intervention.								
Methodology	The target was revised based on the evidence of the 2016, 2017 and 2018 reporting years.								
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement; it will report on the number of participants gaining a qualification upon leaving under all ESF+ specific objectives.								
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.								
Full metadata available at this address									
Justification of the trend	The indicator has already reached its target and will continue its positive evolution.								

### Specific Objective 4 :Enhancing institutional capacity of public authorities and stakeholders and efficient public administration

#### Indicator 1: Number of projects targeting public administrations or public services at national, regional or local level

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2023
185	900	900	900	900	900		2250			2250
	Actual Progress									Final
	0	31	3970	13017	27644	51726				

Are we on track	On track								
Indicator type	Output								
Unit of measurement	Projects (cumulative)								
Cut-Off Date	31/12/2019								
Data source	Annual Implementation Reports from the Member States.								
Narrative	The indicator has been selected because it reflects the extent of ESF action in the field. In terms of individual results, such institutional capacity interventions mainly contributed to public officials gaining a certain type of qualification (168 753), but most meaningful results in this area are procedural in kind, such as shorter time required for certain operations, or specific positive results for organisations, public administrations, the judiciary, and civil society organisations.								
Methodology	The overachievement of this indicator is mainly due to Italy, which accounts for 68% of all projects targeting public administrations or public services at national, regional or local level. This could be explained by different interpretations of the definition of this indicator. While some Member States will count one project even if this project covers several public administration, other Member States will count each public administration supported under one project.								
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.								
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.								
Full metadata available at this address									
Justification of the trend	The indicator has already reached its target. Moreover, the value has significantly increased since 2018.								

### Specific Objective 5 :Promoting specific support to young NEETs (15-24)

#### Indicator 1: Number of participants aged 15-24 benefiting from ESF

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007-2013	Milestones									2023

23.1	15.5	15.5	15.5	15.5	15.5		20.3			20.3
	Actual Progress									Final
	0.33	0.72	3.1	6.6	11.3	16.4				

Are we on track	On track
Indicator type	Output
Unit of measurement	Million (cumulative)
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	The indicator measures the number of participations of individuals aged between 15 and 24 per operation under all thematic objectives. Over the programming period, one person can participate in several ESF operations and be counted more than once. This indicator has been selected because it represents the main ESF target group for this type of actions.
Methodology	It should be noted that the output indicator 1 cover participants benefitting from ESF under all thematic objective whilst the other indicators (2 to 5) refer exclusively to the YEI supported actions. In compliance with Article 16 of the ESF Regulation (EU) No 1304/2013, Member States may decide to extend the YEI target group to include young persons under the age of 30. Note 1: 'Number of participants' measures the number of participations per operation. Over the programming period, one person can participate in several ESF operations and be counted more than once. Compared to the 2007-2013 period definitions on the number of participations have been clarified to prevent double reporting of participations by the same individual in several activities within a single operation and to exclude indirect participants such as those benefiting from change in a system. This change in the definition of 'participants' is one of the reasons for lower achievements.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement; it will report on the number of young people aged 18-29 years reached.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target. The value has significantly increased since 2018 and has experienced a steady increase since 2016. Based on the past programming period experience, the achievement of outputs linked to multiannual projects occurs late in the period and the project selection rate suggests that the target will be achieved.

### Indicator 2: Unemployed participants who complete the YEI supported intervention

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			750000				2100000			2100000
	Actual Progress									Final
	21163	144502	579759	1214269	1791955	1678527				

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of participants
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	The indicator shows that almost 1.7 million unemployed persons completed a YEI intervention, which amounts to over half the total participations (3 million participations counted for YEI interventions). The indicator has been selected because it represents one of the main intended outcomes of YEI operations.
Methodology	The target and the 2020 milestone have been reviewed downwards on the basis of the implementation results of the previous years. It is worth noting that youth unemployment rates have dropped, thus leading to a lower number of participants seeking support under the YEI. Moreover, YEI-supported participants are typically the farthest away from the labour market and therefore more difficult to be reached.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator is expected to reach its target. Based on the past programming period experience, the achievement of results linked to multiannual projects occurs late in the period and the project selection

	rate suggests that the target will be achieved.
--	---

**Indicator 3: Unemployed participants in education/training, gaining a qualification or in employment, including self-employment, upon leaving the YEI supported intervention**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			347000				1100000			1100000
	Actual Progress									Final
	8843	74052	266754	622687	876937	1155541				

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	The indicator has been selected because it represents some of the main intended outcomes of YEI interventions.
Methodology	This indicator is not a direct subset of indicator 2 as it may also include participants who did not complete the intervention.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator has already reached its target and has shown a steady increase since 2016.

**Indicator 4: Inactive participants not in education or training who complete the YEI supported intervention**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
			220000				540000			540000
	Actual Progress									Final
	6527	30331	132474	258559	314108	368768				

Are we on track	On track
Indicator type	Result
Unit of measurement	Annual Implementation Reports from the Member States.
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	The indicator has been selected because it represents one of the main intended outcomes of YEI interventions.
Methodology	The target and the 2020 milestone have been reviewed downwards on the basis of the implementation results of the previous years. It is worth noting that youth unemployment rates have dropped, thus leading to a lower number of participants seeking support under the YEI. Moreover, YEI-supported participants are typically the farthest away from the labour market and therefore more difficult to be reached.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator is expected to achieve its target by the end of the programming period. Based on the past programming period experience, the achievement of results linked to multiannual projects occurs late in the period and the project selection rate suggests that the target will be achieved.

**Indicator 5: Inactive participants not in education or training in education/training, gaining a qualification or in employment, including self-employment, upon leaving the YEI supported intervention**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020

			107000				260000			260000
	Actual Progress									Final
	2395	23439	79320	153788	203964	243106				

Are we on track	On track
Indicator type	Result
Unit of measurement	Participants
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	The indicator has been selected because it represents some of the main intended outcomes of YEI interventions
Methodology	This indicator is not a direct subset of indicator 4, as it may also include participants who did not complete the intervention. The target and the 2020 milestone have been reviewed downwards on the basis of the implementation results of the previous years. It is worth noting that youth unemployment rates have dropped, thus leading to a lower number of participants seeking support under the YEI. Moreover, YEI-supported participants are typically the farthest away from the labour market and therefore more difficult to be reached.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	Data reliability: with a view to improving data reliability, the official platform for exchanging data on the programme implementation between Member States, SFC2014, has applied automatic validation rules, based on the definition of the indicators. Moreover, plausibility checks have been carried out horizontally and by the geographical desks. Potential issues have been raised to the authorities before the Annual Implementation Report adoption as well as during performance data reliability audits.
Full metadata available at this address	
Justification of the trend	The indicator is expected to achieve its target, as its value has been growing steadily since 2017. Moreover, based on the past programming period experience, the achievement of results linked to multiannual projects occurs late in the period and the project selection rate suggests that the target will be achieved.

### Previous Program 3 : Fund for European Aid to the Most Deprived

## General Objective 1 :To promote social cohesion, enhance social inclusion and therefore ultimately contribute to the objective of eradicating poverty in the Union in accordance with the Europe 2020 Strategy

### Indicator 1:People at risk of poverty or social exclusion

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
122,9							96,2			96,2
	Actual Progress									
	122,026	119,077	118,065	112,925	110,235	107535				

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Number of people (cumulative)
Cut-Off Date	31/12/2019
Data source	EUROSTAT - [t2020_50] - People at risk of poverty or social exclusion
Narrative	This indicator corresponds to the sum of persons who are: at risk of poverty or severely materially deprived or living in households with very low work intensity. Persons are only counted once even if they are present in several sub-indicators. At risk-of-poverty are persons with an equivalised disposable income below the risk-of-poverty threshold, which is set at 60 % of the national median equivalised disposable income (after social transfers).
Methodology	Data for 2019 is estimated.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	FEAD addresses the worst forms of poverty but, due to the small size of the fund and its complementarity to other national and EU poverty reduction efforts, cannot be expected to lift people out of poverty on its own. Moreover, the economic conditions in the period after 2008 were not conducive to reaching this target. The EU 2020 poverty target was set as at least 20 million fewer than in 2008 (116.2 million people).
Full metadata available at this address	
Justification of the trend	Due to its relatively small size and the difficult economic conditions and growing inequalities experienced since 2008 notably, the FEAD alone is unlikely to reduce the number of People at risk of poverty or social exclusion, since it addresses the worst forms of poverty and is to be considered

jointly with national measures to reduce poverty more widely.
---

## Specific Objective 1 :Alleviating the worst forms of poverty in the Union by providing non-financial assistance to the most deprived persons

### Indicator 1: Number of persons receiving assistance from the Fund

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0	8	12,7	12,7	12,7	12,7	12,7	12,7			12,7
	Actual Progress									Final
	8,19	13,76	15,92	12,92	12,85	12,5				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of persons receiving assistance from the Fund reported annually (in million).
Cut-Off Date	31/12/2019
Data source	Annual Implementation Reports from the Member States.
Narrative	The number of persons receiving assistance from the Fund represents the main result of the operations financed from the fund.
Methodology	FEAD is a new fund, hence with a baseline at 0. The figures used in the framework of the food assistance programme are established through a methodology which does not yield figures that could be comparable to the one of the new FEAD, thus they cannot be used as a baseline. In 2014, the Commission and the Member States agreed on a common set of output and result indicators on which the Member States report annually (in the Annual Implementation Reports) from 2015 to 2024 for both OP I type of programmes (food aid and/or basic material assistance) and OP II type of programmes (social inclusion support). The reporting is performed at programme level. In terms of target and milestones, there is no requirement in the FEAD performance framework for Member States. The Commission made an adjusted forecast of 12.7 million annually based on the actual performance between 2014-2017, as stated also in FEAD Mid-Term Evaluation.
Link MFF 14-20 / MFF 21-27	In the period 2021-2027, DG EMPL will not continue reporting on this indicator in the Programme Statement.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The indicator is expected to achieve, if not surpass, its target. On average, the FEAD supported 12.7 million persons each year between 2014 and 2018 and almost 13 million in 2018 alone.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
1 075,0	1 075,0	1 075,0	1 075,0	1 075,0	1 075,0	1 075,0	7 525,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

At beginning of 2021, Member States' detailed programming intentions for 2021-2027 programmes are not yet known. As such, the 2021-2027 contribution of the ESF+ is currently calculated on the basis of historical values. These estimates will be reviewed every year with the most updated information available.

#### 6.1.3. Key achievements

##### European Social Fund

Relevant objective/output	Budget 2019 (million EUR)	Budget 2020 (million EUR)
Climate actions under ESF investment priorities	1 600	2 133

2014-2020 Programming (million EUR)	Total
-------------------------------------	-------

2014	2015	2016	2017	2018	2019	2020	(million EUR)
	22.5	135.9	383.7	1 201.9	1 600.0	2 133.0	5 477.0

Climate change expenditure within ESF can be tracked through the ESF secondary theme 01 'supporting the shift to a low-carbon, resource efficient economy' indicated in the Implementing Regulation (EU) No 215/2014. The intervention fields in Annex I of Regulation (EU) No 215/2014 match the ESF investment priorities defined in Article 3 of the ESF Regulation. Unlike for the ERDF categories of intervention which have the support to climate objectives as their primary objective one cannot establish ex ante an automatic link between one ESF investment priority and the impact on climate objectives.

Climate actions can be undertaken under the majority (if not all) of the ESF investment priorities (whether it is in the context of SME support, Vocational Education and Training systems, life-long learning, youth employment measures, etc.). It is for this reason that the Commission decided to use for the ESF an additional dimension to track climate change expenditure: the ESF secondary theme. All expenditure under the ESF secondary theme has a 100% coefficient.

For the programming period 2014-2020, Member States have earmarked in their operational programmes EUR 1.7 billion (EU allocation) for the shift to a low-carbon and resource efficient economy. This represents a conservative estimate based on Member States' declarations in their operational programmes.

Here, Member States set estimates for the EU share and not for the EU and national share together. However, reporting is done solely on the basis of total costs (EU and national share together). In order to follow the progress towards the target, the ESIF-related DGs have created a report that allows for the systematic application of the co-financing rate from the programmes to the information declared in the financial data. It provides a more accurate picture of the ESF contribution (EU only) to low-carbon, resource efficient economy and allowed for comparison with the amounts programmed.

The ESF contributes to climate action through support to a wide range of projects. For example, in Spain an ESF-funded project aimed at improving the professional and curricular skills of unemployed people in Madrid, Castilla-La Mancha, Murcia and Andalucía through quality training in areas related to the circular economy, and helped some of them to get a job. Participants took courses on waste management, gardening adapted to climate change, environmental monitoring, circular economy tools, environmental management systems, combined with numerous visits to companies and natural areas. Backed by EUR 97 278 from ESF, the project supported 1 500 participants between 2018 and 2020.

#### 6.1.4. Performance

##### **European Social Fund**

By end of December 2020, already more than EUR 3.9 billion of eligible ESF expenditure declared (EU share) was reported by Member States as having contributed to the shift to a low carbon, resource efficient economy. This represents 354% of the amount set in the operational programmes. In terms of projects selected, the EU share was already EUR 7.3 billion, which is significantly above the amount set in the programmes.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

The ESF+ contributes to green skills and jobs and the green economy by:

1. Supporting the labour force by enhancing knowledge and skills and matching skills to develop, produce, use and apply new efficient and low-carbon technologies in a broad range of sectors.
2. Offering support to the labour force in order to alleviate any negative impact on employment as a result of shifting to a low-carbon and climate-resilient economy, i.e. jobs cuts in energy-intensive industries.

Through this type of investments, the programme may also partially support the development of biodiversity-relevant skills and jobs. However, the contribution of the ESF+ to biodiversity is only marginal, compared to the broader contribution to climate mainstreaming, and cannot be tracked.

### 6.3. Contribution to clean air financing

Not applicable

### 6.4. Contribution to gender equality

#### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming					Total
	2022	2023	2024	2025	2026	
0,0	0,0					0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.4.2. Key achievements and performance

##### **European Social Fund**

Gender mainstreaming is a horizontal principle of the ESI Funds. The Member States and the Commission must promote it throughout the preparation, implementation, monitoring and evaluation of the operational programmes. Moreover, under ESF, Member States have the obligation to programme targeted actions aimed at increasing the sustainable participation and progress of women in employment. In the period 2014-2020, the dual approach (i.e. gender mainstreaming and specific actions) is being pursued together with other requirements, such as a dedicated investment priority on gender equality and relevant general ex ante conditionalities. The strong emphasis of the ESF on gender equality has been maintained and even reinforced for the period 2021-2027.

The ESF has a dedicated investment priority for equality between men and women in all areas, including in access to employment, career progression, reconciliation of work and private life and promotion of equal pay for equal work. Member States have earmarked EUR 1.4 billion for 2014-2020 (EU share) under this priority.

Specific targeted actions can yet be programmed under any other ESF investment priority. Across all investment priorities, the indicative amount for targeted actions for gender equality captured through the ESF secondary theme in programmes was EUR 5.2 billion (EU share).

In their operational programmes, Member States set a target for the EU share and not for the EU and national co-financing. However, reporting is done solely on the basis of total costs (EU and national share together). In order to follow progression towards the target, the ESIF-related DGs have created a report that allows for the systematic application of the co-financing rate from the programmes to the information declared in the financial data. It provides a more accurate picture of the ESF contribution (EU only) to gender equality.

By end of December 2020, the volume of the projects supported under the dedicated gender equality investment priority (EU share) was EUR 916 million of declared EU eligible expenditure. In total, EUR 1.9 billion under the ESF have effectively been dedicated to projects for gender equality between 2014 and 2020 across all investment priorities (EU expenditure declared). In terms of selected projects, EUR 3.1 billion have been committed to gender equality projects across all investment priorities.

It is also important to underline that all ESF personal data (annex I ESF Regulation) is broken down by gender. The participation of women and men in ESF supported activities is almost equally distributed at EU level (48% men and 52% women). There are however some differences between Member States depending notably on the types of activities at stake. In terms of reporting, all personal data will continue to be broken down by gender (female, male, 'non binary') under the ESF+ shared management strand in the 2021-27 programming period.

The challenges and risks women typically face are addressed as follows through the ESF:

- At programming level: by involving all relevant stakeholders, including gender equality bodies, in the preparation of the partnership agreements and programmes. For the 2021-27 period, a specific enabling condition is also provided for and needs to be fulfilled throughout all the stages of implementation of ESF+ investments. Moreover, ESF+ specific objective (iii) clearly refers to the promotion of a gender-balanced labour market;
- At implementation level: by involving partners in monitoring committees notably to assist with a range of tasks such as approving the methodology and criteria used for the selection of operations, examining the implementation of the programmes and the fulfilment of enabling conditions.

The COVID-19 crisis has disproportionately affected the weakest in our society including women, in particular single mothers, the low skilled, those with a migrant background or with a disability as well as older women living in institutional care. Member States

have been invited to pay particular attention to the needs of those groups when programming the additional resources provided for through the funding instruments aiming to support the repair and recovery from the crisis, including REACT-EU and ESF+.

Implementing specific additional training measures for staff within the Managing Authority or providing targeted support and guidance to beneficiaries to sufficiently integrate a gender equality perspective in their projects are some of the specific actions taken to integrate the gender perspective in ESF programmes and projects. To support Member States in their efforts to mainstream gender equality at all stages of the programme, the European Community of Practice on gender mainstreaming, supported by the ESF, developed by end 2013 a gender mainstreaming standard<sup>24</sup> in view of the future programming period.

### **Fund for European Aid to the Most Deprived**

Article 5(11) of the FEAD Regulation obliges Member States to ensure that equality between men and women and the integration of the gender perspective are taken into account during the various stages of programme implementation.

In 2019, the overall profile of end recipients of FEAD support remained unchanged. As in previous years, just about half (49%) of all those supported - were women. In some Member States such as Hungary and Poland, women, notably pregnant ones are explicitly targeted. In Sweden, FEAD focuses on women's health. In the majority of cases, the most deprived individuals are identified on the basis of economic criteria, which prevent discrimination in access to aid based on gender, origin, religion or belief, disability or sexual orientation. This is, however, a general principle applied across the implementation of the programme and it is not relevant to produce estimates of budget contributions.

### **Employment and Social Innovation programme**

Horizontal objectives of the EaSI programme include promoting gender equality (including through gender mainstreaming and gender budgeting), paying particular attention to vulnerable groups, such as young people and ensuring non-discrimination on all grounds, promoting fair working conditions and sustainable work and combating long-term unemployment, ensuring adequate and decent social protection, and fighting social exclusion and poverty.

According to the EaSI Regulation, the programme should pursue these objectives in all its axes and actions and the projects should report on how they take these horizontal objectives into account in their activities). Furthermore, the EaSI Regulation stipulates that the monitoring of the EaSI Programme should include an assessment of how gender equality principles, gender mainstreaming and anti-discrimination measures, including accessibility issues, were integrated and applied into all EaSI activities.

In order to identify to what extent EaSI has been succeeding in mainstreaming horizontal principles in EaSI-supported activities, the following indicators are assessed:

- In the area of Social Protection and Social Inclusion, respondents to the EaSI Stakeholder Survey 2019 are mostly familiar with the following EU objectives: fighting poverty and social inclusion (84%), equality of treatment and opportunities regardless of gender, racial or ethnic origin, religion or belief, disability, age or sexual orientation (78%) and gender equality (77%) that are set in the EaSI Regulation;
- In the area of employment, respondents to the EaSI Stakeholder Survey 2019 are most familiar with active support to employment (83%), gender equality (82%) and tackling long-term unemployment (78%).

A large number of applicants for the EU microfinance and social entrepreneurship support are legal persons (enterprises). As these do not provide their social data (e.g. gender, age, employment), it is not possible to provide a complete picture of the outreach of the EU microfinance and social entrepreneurship support to vulnerable persons. Nevertheless, from the reports received around 30% of the beneficiaries were female. More specifically, under the EaSI guarantee microfinance financial instrument, out of a total of 97 271 final recipients, 69 045 have responded regarding their gender where 48 486 were male and 20 559 were female (30%).

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

Not applicable

### **6.5.2. Key achievements and performance**

### **European Social Fund and Fund for European Aid to the Most Deprived**

#### ***SDG 1 End poverty in all its forms everywhere***

Sustainable development is embedded in the ESF's and FEAD's mission. More specifically, the FEAD promotes social cohesion, enhances social inclusion and ultimately contributes to achieving the EU2020 poverty reduction target. The FEAD contributes to the specific objective of alleviating the worst forms of poverty by providing non-financial assistance to the most deprived. In all programmes, FEAD strives to offer pathways out of poverty to the most deprived, according to the target groups of the programme.

<sup>24</sup> <http://standard.gendecop.com/>

The main activity of a Bulgarian programme in Gabrovo is the provision of a daily lunch at a public dining facility, aiming to satisfy the basic food needs of 200 people from disadvantaged groups. In addition to food aid, the programme also provides weekly individual consultations and monthly group consultations with end recipients. Through these consultations, beneficiaries are provided with information on how to access health and education services, budget management and information on healthy and balanced diet. Personalised forms of support and assistance are also provided: long-term solutions are sought to sustainably lift the end recipients out of poverty. For example, many of the homeless have been offered public housing, were granted financial assistance for urgent needs, and were issued identification documents. Up until 2019, the programme activities have reached 367 people, 161 464 warm lunches were served to end users by 30 April 2019 in Gabrovo. Across the country, the same FEAD supported programme is currently implemented in 211 of the 265 municipalities in Bulgaria, in 278 soup kitchens. In 2018, the programme provided 11 500 000 warm lunches reaching to 50 800 end users. FEAD provides EUR 1.5 million for the ‘Warm lunch at home’ programme.

### ***SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture***

Both the ESF and FEAD contribute directly to ending hunger across the EU. Under FEAD, the vast majority of the fund is being allocated to food support, together with accompanying measures towards social inclusion. FEAD programmes take into account sustainability aspects, minimising food losses, avoiding food waste and promoting a balanced diet.

For example, the Latvian Red Cross organises various informative sessions under the name ‘10 simple habits in order to live a greener life’, promoting healthier, more eco-friendly lifestyles, including balanced diet, budgeting, time management, and eco-friendly daily routine, such as vegetarian days. During the lectures, participants learn easy daily habits that could lead to a more eco-friendly lifestyle. Almost 3 000 people participated in 483 educational activities organised by the Red Cross in 2018. Due to an expressed interest from the beneficiaries, the lectures on how to live a greener life were introduced in 2019. Up until 2019, 30 people have participated in lectures on a cleaner environment organised in Riga and Jurmala.

### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

The ESF also contributes to ensuring healthy lives and promoting the well-being for all at all ages by investing in projects promoting job creation, quality employment, education, training and vocational training for skills and lifelong learning, and combating social inclusion and discrimination. For example, in Bavaria (Germany) an ESF-funded project provides employment support to refugees to restart their careers and rebuild their lives. Activities include skills development, as well as placement in work or training. By the end of 2020, 2 000 participants have enrolled in the project, which has a EUR 4 million budget and will run until 2022.

In Riga, St. John’s Ambulance, one of the 28 FEAD partner organisations in Latvia, provides food and basic material assistance packages, as well as ready meals, as well as accompanying measures to the most deprived. Among these, the ‘School of Life’ and ‘School of Life II’ projects aim to teach life skills to improve the well-being of the most deprived, supporting their transition out of poverty. Counselling and information sessions address the barriers of social exclusion (e.g. personal hygiene, maintaining a healthy lifestyle, cooking), encouraging participants to actively improve their daily routine and become more independent in solving personal social issues.

Since 2014, the ‘School of Life’ has targeted vulnerable groups such as the homeless, the unemployed and retired, single mothers and those with low incomes, providing them with the opportunity to learn life skills such as cooking, laundry, cleaning, childcare and budget management.

The ‘School of Life II’ project (running from April 2018 until 31 March 2021) has supported 172 participants by end 2020. In 2020, COVID-19 and lockdown measures strongly impacted the project, with only 13 participants accessing the measure.

### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

ESF investments under the ‘education’ thematic objective contribute to ensuring inclusive and equitable quality education and promote lifelong learning opportunities for all. For example, in Belgium, thanks to ESF support, the Technocité Competence Centre helps job seekers develop new skills in the fields of ICT through qualifying and continuous training. Some EUR 3.6 million from the ESF have allowed teachers and students to pursue their courses focusing on topics such as cybersecurity, artificial intelligence, virtual reality, Internet of things, sound design. Since the start of the project, more than 9 000 persons have taken part in one of the 20 training courses organized by Technocité in these fields. The project will run until end 2021.

### ***SDG 5 Achieve gender equality and empower all women and girls***

Importantly, the ESF Regulation strongly reflects the EU’s commitment to eliminate inequalities between women and men following a combined approach of gender mainstreaming and specific activities for women in different fields. The principle of equality between the sexes is a key horizontal one of ESF programmes, thus contributing to achieving gender equality and empower all women and girls. For example in Latvia thanks to the ESF, support services for socio-economic inclusion are provided to persons at risk of social exclusion and discrimination, including women victims of gender-based violence. The project, which will be carried out until 2022, has received EUR 5.4 million from the ESF and has helped more than 1 000 people so far.

### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

ESF investment in the adaptation of workers and skilling is crucial, as jobs may be created, other jobs will be lost, and yet other jobs will require different skills as they are ‘greened’ in order to promote sustained, inclusive and sustainable economic growth, full

and productive employment and decent work for all (SDG 8) and make cities and human settlements inclusive, safe, resilient and sustainable (SDG 11). For example, thanks to the ESF in Sardinia, Italy, thousands of jobseekers have been taking training courses designed to help them find work in Europe's green and blue economy. With an ESF contribution of EUR 59 million, the project, which started in 2016, has supported around 10 000 participants so far.

### ***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

ESF investments under Education Thematic Objective contribute to building resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation (SDG 9), by supporting the development of necessary skills in the transition to a low carbon economy. The transition will have consequences for the labour market, for employment, and for the skills required for the new 'green' jobs and the greening of existing jobs in the future. For example, in Spain the ESF-funded programme 'Empleaverde' aims to create green jobs, improve employability and support the creation of companies in the green and blue economies. Activities include the improvement of transversal skills, active job-search strategies, creation of networks and professional contacts, and development of emotional intelligence. With an ESF contribution of EUR 36 million, so far the programme has co-financed 339 projects, working with 500 organisations. It has supported 1 300 000 recipients and helped create 2 600 businesses.

### ***SDG 10 Reduce inequality within and among countries***

The ESF is the EU's main fund to reduce the gap in living standards between regions and between people and to promote economic and social cohesion across Europe thus aiming to reduce inequality within and among countries.

The FEAD finances specific actions to promote the social inclusion of the end recipients through dedicated outreach to specific target groups. In Germany, Denmark, the Netherlands and Sweden, where FEAD support funds social inclusion measures, the homeless and impoverished migrants are the primary target groups, thereby aiming to reduce inequalities and unequal access to social services.

For instance, the German 'Diakonisches Werk Gießen' provides guidance and supports the homeless by running the 'Living together - Housing First' (Zusammen leben - Housing First (ZuHauSE) project. ZuHauSE supports homeless people through the Housing First approach (i.e. unconditional housing provision as a first step into inclusion) with counseling and individual support funded by FEAD. The initiative links beneficiaries with housing agencies to ensuring priority housing for them and helps to re-learn how to live autonomously in a new home. This model is based on the principle that an apartment can serve as shelter and security, acting as a base upon which participants can, learn to cope with everyday life. By the end 2019, over the course of the first two rounds of the programme, over 412 people had received advice and successfully been reintegrated into society, out of 418 participants, thus accounting for a success rate above 99%. Some of them have developed well and stabilised psychologically, with some even finding regular work. Funding for the project has been allocated in three steps: first in 2016-2018 (EUR 316 529), then 2018-2019 (EUR 250 752). Faced with its success, the project has been extended from 2020 until June 2021 (EUR 188 064).

### ***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

See under *SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*

### ***SDG 12 Ensure sustainable consumption and production patterns***

The European Social Fund can support efforts to strengthen sustainable consumption and production patterns (SDG 12) and action to combat climate change and its impacts (SDG 13) at all stages of life from raising children's awareness in schools, to supporting trainings for green skills and green entrepreneurship and also social inclusion through green careers. For example thanks to ESF support in Germany young people living in former mining areas in North Rhine-Westphalia are provided with training opportunities to gain new skills to work in companies other than mining companies. The 'Kooperative Ausbildung an Kohlestandorten' (Cooperative training at coal sites – supporting young people in mining regions) is a programme running from 2008 until 2020. The aim is also to attract more businesses in the coal-transition areas, in order to provide young people in the region with a career perspective and to secure young skilled workers. In the current programming period 2014-2020 the programme was backed by EUR 7.7 million of ESF co-financing and has supported 1 300 participants.

### ***SDG 13 Take urgent action to combat climate change and its impacts***

See above.

### ***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

The ESF contributes to promoting peaceful and inclusive societies for sustainable development, providing access to justice for all and build effective, accountable and inclusive institutions at all levels (SDG 16) through investment under the Institutional Capacity Thematic Objective. The ESF finances the strengthening of institutional capacity and the efficiency of public administration with a view to reforms, better regulation and good governance, especially in the economic, employment, education, social, environmental and judicial fields through measures mainly consisting of training for public institutions. For example in Malta, thanks to ESF support, public sector employees are encouraged to study the latest technologies in field of geomatics. This type of technology is an increasingly important tool for public services which can better inform policy and decision-making. With

an ESF contribution of EUR 713 000, the project running from 2018 to 2022 has supported 123 participants as at end December 2020.

## **Employment and Social Innovation programme**

### ***SDG 1 End poverty in all its forms everywhere***

Fighting poverty is at the heart of EaSI, which does this by analytical work as well as via projects. Such projects could seek to improve service provision, provide education and training, as well as hands-on support to bring people (back) to employment as one of the main means to bring them out of poverty. For example, HomeLab (Integrated Housing and Labour Services in the Social Rental Enterprise Model), an experimental three years project (2016-2019) co-funded by EaSI with some EUR 1.3 million was implemented in four EU countries (Hungary, Slovakia, Poland and the Czech Republic). Focusing on marginalised groups at risk of poverty and exclusion, the project established and institutionalised the Social Rental Enterprise model in five pilot locations, while creating adaptable and scalable models of integrated service provision in the field of housing provision, employment support, and social work.

### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

The project 'Improving autonomy and global well-being through Adapted Physical Activity' funded by EaSI with some EUR 914 000 managed by the French Sport Initiative et Loisir Bleu Association seeks to improve the autonomy of people in need of long-term care. This two year project that started in 2020 is building on a proven French model that improved the health, autonomy and well-being of some 120 000 persons every week, creating 600 jobs.

### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

As part of the promotion of high quality and sustainable employment, EaSI supported actions aiming at upskilling and reskilling the workforce, notably helping national authorities devise adequate policies through the Upskilling pathways calls.

EaSI also contributed to develop the multilingual classification system for skills, competences, qualifications and occupations, ESCO, that are relevant for the EU labour market and education and training.

EaSI supported with some EUR 270 000 the project E.QU.A.L. Enhancing Qualification of Adult Learners through the implementation of Upskilling pathways, led by the Italian Istituto Nazionale per l'Analisi delle Politiche Pubbliche (INAPP) geared to support relevant Italian national authorities in implementing upskilling pathways. The project team created an overview of the situation Italy, proposing criteria for the identification of priority groups, while further support national and regional stakeholders in devising such upskilling schemes by drawing on existing tools and resources. This project ended in 2019.

### ***SDG 5 Achieve gender equality and empower all women and girls***

This is achieved indirectly by the fact that EaSI, in pursuing its general objectives, aims to equally fulfil its horizontal objectives, one of them being targeted at promoting equality between women and men, including through gender mainstreaming and, where appropriate, gender budgeting.

The project 'RAISE UP - grass Root Actions, Innovative approaches and Stakeholders Engagement to tackle Undeclared work Propensity', led by the Italian trade union Federazione Lavoratori Agroindustriale, with participation of trade unions from Bulgaria and North Macedonia, supported by the EU with a grant of some EUR 350 000, is a good example. In this project that started in June 2017 and ended in December 2019, gender equality was a strong component, not only through cross-cutting issues, but in particular by deliberate and targeted activities concerning equal opportunities of women and men, as part of their overall work on social inclusion of vulnerable groups. The overall goal of RAISE UP was to develop responsible policies and measures tackling undeclared work in agriculture. Outreach campaign with transnational teams, education to increase awareness of labour rights and obligations for workers were important actions in this work. Moreover, in the Italian Apulia regions one information centre was created together with the Romanian Consulate, and other one was strengthened using a Bulgarian trade unionist, providing information and helping their nationals.

The project Regional Integration Accelerators (RIAC) launched in January 2018 ending in December 2020, led by the German agency 'Pro Arbeit from Kreis Offenbach' with EU co-financing of some EUR 2 027 203, pursued the goal of integrating refugees quickly into the labour market. This was done by creating decentralized units for the placement ('integration') of migrants and refugees into the labour market, who in cooperation with employers trained and guided the participants on the path to a concrete job perspective. Special attention was given to improving the employability of female refugees and asylum seekers.

Based on the reports received around 30% of the beneficiaries of the EU microfinance and social entrepreneurship support are female.

### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

EaSI work programmes contribute to the implementation of a number of legislative and non-legislative measures such as the proposal for a Council Recommendation on Integration of the long term unemployment, the New Skills Agenda for Europe, the Labour Mobility Package, the review of the EU Health and Safety Legislation, and to the European Pillar of Social Rights.

### ***SDG 10 Reduce inequality within and among countries***

For the continuation and expansion of the ROMACT capacity building programme, the Council of Europe received a grant of EUR 1 500 000 in 2020 to help local authorities implementing social investment strategies for most disadvantaged people, notably to address poverty and migration issues. This programme contributes to the implementation of several principles of the European Pillar of Social Rights, in particular the right to equal treatment and opportunities regarding employment, social protection, education, and access to goods and services available to the public.

***SDG 13 Take urgent action to combat climate change and its impacts***

As concerns, the climate dimension, two projects under the Microfinance/Social Entrepreneurship axis, out of which one operating grant have a specific 'green' component by developing the role of social enterprises in the circular economy.

The Helenos Fund, one of the first private equity funds for inclusive finance in Europe, was set up in 2018 thanks to the support from the Capacity Building Investment Window. Its mission is to strengthen the capital base of financial intermediaries targeting micro, small and social enterprises, by providing them with equity, subordinated and senior loans. The initiative relies on the evidence that inclusive finance does, in fact, provide people excluded from financial services with an opportunity to launch and develop micro- and social enterprises, thereby creating opportunities for them to become the leaders of tomorrow. Through seven investments so far, Helenos is already reaching 40 000 end-clients.

Another tool is the EaSI Advisory and technical assistance aimed at building the European microfinance market and facilitating access to EaSI financial instruments. Building on the experience of the fi-compass platform<sup>25</sup>, the EaSI Advisory and technical Assistance was launched in 2018 and includes targeted capacity building services to microfinance institutions through training; rating, institutional assessment and evaluation services to microfinance institutions; exchange and dissemination of good practices in the European microfinance sector and the European Code of Good Conduct for Microcredit Provision. This Code is a self-regulation tool promoted by the microfinance sector in order to uphold high ethical lending standards of microfinance institutions in the EU. The Code was first introduced as a pilot project in mid-2015. A revision of the European Code of Good Conduct for Microcredit Provision was published in June 2020. Since 2017, 51 microfinance institutions have received the award certifying compliance with the provisions of the Code.

---

<sup>25</sup> <https://www.fi-compass.eu/>

**HEADING 2B: Resilience and Values****Erasmus+****Lead DG:EAC**

Associated DGs:EMPL

1. Overview .....	599
1.1. Challenges .....	599
1.2. Mission (general objectives) .....	600
1.3. Specific objectives .....	600
1.4. Public intervention context .....	600
1.5. Actions .....	601
1.6. Delivery mode .....	601
1.7. Graphic overview of the programme structure .....	601
1.8. Legal basis and financial programming .....	602
1.9. Link with the 2014-2020 MFF .....	602
1.10. Relevant websites providing more information .....	602
2. Where are we in the implementation ? .....	603
2.1. Programme 2021-2027 .....	603
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	604
3. How is the programme performing ? .....	604
3.1. Performance .....	604
3.2. Key achievements .....	607
3.3. Evaluations, studies and reports .....	609
4. Programme 2021-2027 - Key monitoring indicators .....	610
Specific Objective 1 :Promote learning mobility of individuals and groups, as well as cooperation, quality, inclusion and equity, excellence creativity, and innovation at the level of organisations and policies in the field of education and training .....	610
Specific Objective 2 :Promote non-formal and informal learning mobility and active participation among young people, as well as cooperation, quality, inclusion, creativity and innovation at the level of organisations and policies in the field of Youth.....	616
Specific Objective 3 :Promote learning mobility of sport staff, as well as cooperation, quality, inclusion, creativity and innovation at the level of sport organisations and sport policies.....	621
5. Programme 2014-2020 - Key monitoring indicators .....	625
Previous Program 1 : The Union Programme for Education, Training, Youth and Sport (Erasmus+) .....	626
General Objective 1 :The Programme shall contribute to the achievement of the objectives of the Europe 2020 strategy, including the headline education target; the objectives of the strategic framework for European cooperation in education and training ("ET 2020"), including the corresponding benchmarks; the sustainable development of partner countries in the field of higher education; the overall objectives of the renewed framework for European cooperation in the youth field (2010-2018); the objective of developing the European dimension in sport, in particular grassroots sport, in line with the Union work plan for sport; and the promotion of European values in accordance with Article 2 of the Treaty on European Union.....	626
Specific Objective 1 :to improve the level of key competences and skills, with particular regard to their relevance for the labour market and their contribution to a cohesive society, in particular through increased opportunities for learning mobility and through strengthened cooperation between the world of education and training and the world of work; .....	629
Specific Objective 2 :to foster quality improvements, innovation excellence and internationalisation at the level of education and training institutions, in particular through enhanced transnational cooperation between education and training providers and other stakeholders.....	630
Specific Objective 3 :to promote the emergence and raise awareness of a European lifelong learning area designed to complement policy reforms at national level and to support the modernisation of education and training systems, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices; .....	630
Specific Objective 4 :to enhance the international dimension of education and training, in particular through cooperation between Union and partner-country institutions in the field of VET and in higher education, by increasing the attractiveness of European higher education institutions and supporting the Union's external action, including its development objectives,	

through the promotion of mobility and cooperation between the Union and partner-country higher education institutions and targeted capacity-building in partner countries. ....	631
Specific Objective 5 :to improve the teaching and learning of languages and to promote the Union's broad linguistic diversity and intercultural awareness; .....	632
Specific Objective 6 :to promote excellence in teaching and research activities in European integration through the Jean Monnet activities worldwide .....	632
Specific Objective 7 :to improve the level of key competences and skills of young people, including those with fewer opportunities, as well as to promote participation in democratic life in Europe and the labour market, active citizenship, intercultural dialogue, social inclusion and solidarity, in particular through increased learning mobility opportunities for young people, those active in youth work or youth organisations and youth leaders, and through strengthened links between the youth field and the labour market; .....	633
Specific Objective 8 :to foster quality improvements in youth work, in particular through enhanced cooperation between organisations in the youth field and/or other stakeholders. ....	634
Specific Objective 9 :to complement policy reforms at local, regional and national level and to support the development of knowledge and evidence-based youth policy as well as the recognition of non-formal and informal learning, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices. ....	634
Specific Objective 10 :to enhance international dimension of youth activities and the role of youth workers and organisations as support for young people in complementarity with the Union's external action, in particular through the promotion of mobility and cooperation between the Union and partner-country stakeholders and international organisations and through targeted capacity-building in partner countries. ....	635
Specific Objective 11 :to tackle cross-border threats to the integrity of sport, such as doping, match-fixing and violence, as well as all kinds of intolerance and discrimination; .....	635
Specific Objective 12 :to promote and support good governance in sport and dual careers of athletes; .....	635
Specific Objective 13 :to promote voluntary activities in sport, together with social inclusion, equal opportunities and awareness of the importance of health-enhancing physical activity through increased participation in, and equal access to, sport for all. ....	636
6. The programme contribution to horizontal policies .....	636
6.1. Contribution to climate mainstreaming .....	636
6.2. Contribution to biodiversity mainstreaming.....	638
6.3. Contribution to clean air financing.....	638
6.4. Contribution to gender equality .....	638
6.5. Contribution to the sustainable development goals.....	639

## **1. Overview**

### **1.1. Challenges**

Erasmus+ is the EU's flagship programme to support and strengthen education, training, youth and sport in Europe. For over three decades, Erasmus+ and its predecessors have been offering opportunities to over 10 million youth, students and adults to study, train, gain work experience, and volunteer abroad, in Europe or beyond. At the same time, the programme raises awareness and promotes knowledge and understanding of the Union and of the European values.

In a fast-changing world – with rapid demographic, societal and technological changes - there is a clear need to provide individuals with the right set of knowledge, skills and competences, with a lifelong learning perspective, to make them more resilient and sustain current standards of living, support high rates of employment and foster social cohesion. Closing the skills and competences gap becomes a crucial challenge.

Inclusion is an overarching principle: The programme will improve access to the learning opportunities offered by rolling out dedicated inclusion measures covering all fields of education, training, youth and sport. Further, the promotion of social inclusion will improve outreach and increase participation rates of people with fewer opportunities. The programme will support more and better projects focussing on inclusion and diversity, opening doors to enhanced participation of newcomers and to small grassroots organisations, notably through the launch of dedicated actions that are simpler and more accessible.

Challenges include social exclusion, driven by family, social, and physical environments that can hinder access to quality education and the chances to successfully complete education and training programmes. Social exclusion is at the same time the result and the cause for education poverty, a vicious circle perpetuated from one generation to the next.

Learners with fewer opportunities remain over-represented among the low achievers on basic skills, show high rates of early schools-leavers and low higher education completion.

Another important challenge is a widespread lack of awareness and understanding of the EU's basic functioning, objectives, 'raison d'être', as well as of the EU's added value for its citizens. This can lead to misinformation and hinders the development of informed opinions on EU actions.

COVID-19 forced millions of Europeans to depend on digital tools to communicate with their loved ones, however, many lack the skills or material needed to stay connected and fully depend on solidarity actions.

Millions of Europeans also depend on distance and online learning and teaching. The crisis is revealing several challenges for educators and learners across sectors, including

- lack of distance learning systems,
- lack of adequate pedagogical methods and insufficient guidance and skills of educators and youth workers, e.g. in the context of delivering high quality online courses/content and to carry out on-line assessments,
- Providing online learning support and guidance, safeguarding equity.

The digital and green transitions require adequate means to deliver in an impactful manner. Schools, training institutions, universities, and youth/ sports organisations need to engage constructively and collectively, young people and the wider community on the changes needed for a successful transition.

Erasmus+ will enhance the knowledge of learners and young people and raise awareness regarding sustainability and environmental challenges.

## 1.2. Mission (general objectives)

The general objective of the Erasmus+ Programme is to support, through lifelong learning, the educational, professional and personal development of people in education, training, youth and sport, in Europe and beyond, thereby contributing to sustainable growth, quality jobs and social cohesion, to driving innovation, and to strengthening European identity and active citizenship. As such, the Programme shall be a key instrument for building a European Education Area, supporting the implementation of the European strategic cooperation in the field of education and training, with its underlying sectoral agendas, advancing youth policy cooperation under the Union Youth Strategy 2019-2027 and developing the European dimension in sport.

Within this context, the European added value of the programme is uncontested. The latest mid-term evaluation found that in the absence of the programme, the mobility of learners and staff, as well as European cooperation in the sectors covered by the programme, would be substantially reduced.

The programme will continue to strengthen its innovation dimension and promote transformation by rolling out initiatives such as the European Universities and the Centres of Vocational Excellence and the Erasmus+ Teacher Academies and by increasing investments in forward-looking study subjects.

To contribute to building a more digitally prepared Europe, the programme will support students, school pupils, young people, teachers, educators, youth workers and learners of all ages to adapt to digital ways of teaching and learning.

To make Erasmus+ greener, the programme will offer more opportunities for learners and organisations to develop knowledge and skills in sustainability related matters and to develop environmental-friendly approaches, while acting more sustainably.

## 1.3. Specific objectives

The Programme has the following specific objectives:

1. Promote learning mobility of individuals and groups, as well as cooperation, quality, inclusion and equity, excellence, creativity, and innovation at the level of organisations and policies in the field of education and training;
2. Promote non-formal and informal learning mobility and active participation among young people, as well as cooperation, quality, inclusion, creativity and innovation at the level of organisations and policies in the field of youth;
3. Promote learning mobility of sport staff, as well as cooperation, quality, inclusion, creativity and innovation at the level of sport organisations and sport policies.

## 1.4. Public intervention context

Pursuant to Article 6 of the Treaty on the Functioning of the European Union, the EU has the competence to carry out actions to support, coordinate or supplement the actions of the Member States in the field of education, vocational training, youth and sport.

In accordance with Article 165 of the Treaty on the Functioning of the European Union, Member States have the exclusive competence over the content of the teaching and the organisation of their education systems. The mission of the European Union in this field is to encourage cooperation among Member States and to support and supplement their actions where necessary.

To fulfil its mission and achieve its objectives, the EU supports Member States in their efforts to provide the best education and training for their citizens, setting joint goals and sharing good practices.

The Erasmus + programme is a cornerstone for the implementation of the priorities and activities set out in the European Education Area, Digital Education Action Plan and in the European Skills Agenda. The programme contributes to the European Pillar of Social Rights and is preparing Europe to face a green transition.

At Member State level, countries participating in the Erasmus+ programme continue implementing reforms of their education and training systems, in accordance with their needs, simultaneously benefiting from the policy support of the new European Education Area's framework.

In line with the Digital Education Action Plan priorities, the programme will develop accessible and high quality digital learning, foster the capacity of teachers, trainers, youth workers, etc. to use digital tools and content, and to test and promote distance/blended learning. The mobility and cooperation actions of the programme will provide an increased number of opportunities to build knowledge and help acquire and develop digital skills.

In line with the European Green Deal, the programme will support the green transition and sustainability of education and training systems, youth work and sport by providing incentives to green travel, resources for networking, and support to creative approaches.

Erasmus+ is also instrumental for the implementation of the European Skills Agenda that aims to support the development of the skills needed to ensure a prompt recovery and take full advantage of the opportunities provided by the green and digital transitions. The programme is also advancing youth policy cooperation under the Union Youth Strategy 2019-2027, while contributing to develop and foster the European dimension of sports.

## 1.5. Actions

The objectives of the Programme shall be pursued through the following three key actions:

1. Key action 1: Learning mobility
2. Key action 2: Cooperation among organisations and institutions
3. Key action 3: Support to policy development and cooperation

The objectives shall also be pursued through Jean Monnet actions, which support teaching, learning, research and debates on European Integration matters, including on the Union's future challenges and opportunities.

## 1.6. Delivery mode

The Erasmus+ programme is implemented under the leadership of the Directorate-General for Education, Youth, Sport and Culture (DG EAC), in co-operation with DG Employment Social Affairs and Inclusion (DG EMPL) for the parts of the programme which concern skills and qualifications policy, adult learning and vocational education and training.

The programme's activities are implemented through direct and indirect management. Direct management is used by the European Commission services in both DG EAC and the European Education and Culture Executive Agency (EACEA). The Erasmus+ National Agencies operate under indirect management, which brings the programme closer to its target audience, adapts to the diversity of national education systems, and offers the possibility to align the Erasmus+ activities with national priorities. DG EAC bears the overall responsibility for the supervision and coordination of the agencies in charge of implementing the Programme.

Some actions under Key Actions 2 and 3 in the fields of adult education, vocational education and training as well as skills and qualifications are partly or fully co-delegated to the Directorate-General for Employment, Social Affairs and Inclusion (DG EMPL). It is also foreseen to co-delegate certain actions under Key Action 3 related to multilingualism to the Directorate-General for Translation (DGT). In the implementation of certain international actions, DG EAC liaises with external action DGs, notably the Directorate-General for International Partnerships (DG INTPA) and the Directorate General for Neighbourhood and Enlargement Negotiations (DG NEAR) and the Delegations of the European Union in the third countries not associated to the Programme.

## 1.7. Graphic overview of the programme structure

Domain	Education & Training				Sport	Youth
	Higher Education	Vocational Education and Training	Schools	Adult Education		
Programme	Erasmus+					
	<b>Strands</b> - Key action 1: Learning mobility - Key action 2: Cooperation among organisations and institutions - Key action 3: Support to policy development and cooperation - Jean Monnet					
Management Mode	Direct: Education Audiovisual and Culture Executive Agency (EACEA), DG EAC, DG EMPL					
	Indirect: National Agencies in programme countries					

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 367: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing 'Erasmus': the Union programme for education, training, youth and sport and repealing Regulation (EU) No 1288/2013	2021 - 2027	24 574,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	2 662,6	3366,7	3292,3	3474,8	3663,3	3858,0	4507,3	24825,1

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

Based on lessons learned from the previous programme, Erasmus+ 2021-2027 will be more inclusive and accessible, more forward-looking, more digital, simpler and greener, more international, while continuing to support lifelong learning and innovative education and training in Europe and beyond.

It will offer reinforced opportunities for transnational learning mobility and cooperation, including new mobility opportunities for school pupils, adult learners and sport staff. The programme will give more attention to fields that are strategic to Europe's knowledge creation and sustainable growth, by targeting mobility and cooperation projects in strategic forward-looking sectors (climate change, sustainability, clean energy, digitisation, artificial intelligence, bioscience, etc.) thus contributing to crucial skills development, increasing Europe's innovation capacity and tackling societal challenges.

## 1.10. Relevant websites providing more information

These websites offer an entry point to the programme opportunities and architecture and provide an overview of the funded projects results:

[https://ec.europa.eu/programmes/erasmus-plus/node\\_en](https://ec.europa.eu/programmes/erasmus-plus/node_en)  
[https://ec.europa.eu/programmes/erasmus-plus/projects\\_en](https://ec.europa.eu/programmes/erasmus-plus/projects_en)

In the field of sport, all updates concerning the policy framework and financing options are available at the following website:  
[https://ec.europa.eu/sport/node\\_en](https://ec.europa.eu/sport/node_en)

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

The new programme will be the cornerstone for the implementation of the ambitious policy agenda of the European Education Area, Digital Education Action Plan, European Skills Agenda, but also the EU Youth Agenda and the EU Work Plan for Sport. Erasmus+ has an estimated budget of around €26.2 billion<sup>1</sup> for the period 2021-2027, nearly doubling the funding compared to its predecessor programme (2014-2020), complemented by around €2.2 billion from EU external cooperation instruments<sup>2</sup>.

Out of this financial envelope, 70% will support mobility opportunities in a lifelong learning perspective. The remaining 30% will be invested in cooperation projects and policy development activities, allowing organisations to gain experience in international cooperation, strengthen their capacities, produce innovative approaches, exchange of good practices and network.

The new programme will not only be more inclusive and innovative, but will mobilise the education, training, youth and sport sectors for a rapid post-pandemic recovery and help steer the European Union's economic model towards more sustainability, with green and digital transitions as drivers of transformation. The inclusiveness dimension of the programme will make it more accessible to people with fewer opportunities and for smaller organisations and newcomers to the programme. This will be done through appropriate financial mechanisms, targeted communication and outreach measures, as well as actions that will offer enhanced flexibility adapted to the needs of staff and learners who face obstacles in participation, for example the new small-scale cooperation partnerships, flexible mobility formats (short term, group, or blended mobility).

Nevertheless, continuity remains the watchword. The new Erasmus+ builds largely on the success of the previous programme and retains all of its strengths - the integration into a single programme of all sectors of formal, informal and non-formal education and youth and sport, while providing opportunities for lifelong learning, as well as the articulation in three key actions.

The total programmed budget for Erasmus + in 2022 represents an amount of €3.37 billion, of which €3.12 billion corresponds to the adopted MFF 2021-2027 and €251.10 million as additional top ups. A further amount of €366.61 million will constitute the external instruments' contribution to the programme.

Under the new programme, main novelties include opportunities for mobility for school pupils and adult learners possible directly under Key Action 1. Furthermore, simplification measures – such as the extended use of simplified grants and the reinforced use of mobility accreditation processes (Charters) - will enhance the inclusiveness and accessibility of the programme.

In line with the Digital Education Action Plan in particular, but also the European Education Area, the renewed EU Youth Strategy, the Updated Skills Agenda and the digital dimension will be part of the programme's design, activities and underlying processes. Concretely, digital transformation incentives will be mainstreamed throughout all sectors and key actions, and dedicated initiatives will be supported. The digital dimension of the programme ranges along the following lines: mobility and cooperation projects, thematic priorities across the sectors, continued support to IT platforms, communities and tools, policy support, as well as digitalisation of the programme's implementation.

The Digital Education Action Plan 2021-2027 includes, among others, the following actions funded by Erasmus +: Launching a strategic dialogue with Member States in order to prepare a possible proposal for a Council Recommendation on the enabling factors for successful digital education; working on Council Recommendation on Online and Distance Learning for Primary and Secondary Education; creating a European Digital Education Content Framework and European Exchange Platform setting and; tackling disinformation and promoting digital literacy through education and training.

To promote green transition in line with the Green Deal, the programme will promote the integration of green practices in all projects and support measures, and will reinforce its support projects aimed at developing skills in various sectors related to sustainable development, environmental and climate issues. The programme will raise awareness and support the use of innovative practices to learners and educators across the sectors into real agents of change.

In 2022's programming (excluding the external dimension), indirect management (mainly through National Agencies) will represent around 78 % of the budget. As regards direct management, EACEA will implement around 19%, leaving 3 % to be implemented centrally by the Commission.

<sup>1</sup> The Erasmus+ programme budget is made of €24,574 billion in current prices as part of the new MFF (2021-2027) and an additional top-up of €1.7 billion in 2018 prices.

<sup>2</sup> Neighbourhood, Development and Cooperation Instrument (NDICI) and the Instrument for Pre-Accession (IPA III)

The implementation of the external component will have a slightly different breakdown, with indirect management representing 48% of the operational budget, and EACEA taking the remaining 52%.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	14 958 067 916	13 945 031 541
Implementation carry-overs	0	7 031 130
Implementation total	14 958 067 916	13 952 062 671
total envelop*	14 958 095 673	
cumulative implementation rate	100%	93%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

With a total financial envelope of around €14.96 billion under Heading 1 and €1.7 billion under Heading 4 to support its strong international dimension, the implementation of Erasmus+ started successfully in 2014.

The programme is implemented under indirect management (approximately 78% through National Agencies) and direct management modes (20% through the Executive Agency for Education, Audiovisual and Culture and 2% mainly through DG EAC). Despite Heading 4 funds being only available at the end of 2014, delaying the launch of some international actions such as capacity building in higher education and international credit mobility, the programme was able to achieve a full budget absorption capacity.

The total C1 credits for the period 2014-2020 amounted to €14 958 095 673 and were implemented at 100%. During the same period, the total payments with C1 appropriations amounted to €13 952 062 671. The programme absorption capacity allowed to consume 100% of the available payment appropriations. The percentage indicated below (93%) corresponds to the ratio between the implemented payments and the implemented commitments.

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

Erasmus+ is not only one of the EU flagship programmes, it is also one of the best known by citizens. Over more than 30 years of existence, the programme has increased its scope, involving more and more citizens to reach about **940 000 individual mobility opportunities** in 2019 for a total of more than **10 million** mobility periods since 1987.

During the previous MFF covering 2014 to 2020, the programme has constantly exceeded its yearly targets in terms of the number of individual mobility periods. In terms of qualitative results, more than **94% of participants** declare that they have **increased their key competences**, with 96% stating that they have improved their language skills.

The ratio between requested and funded (**projects funding success rate**) ranges from 70% percent in Higher Education mobility projects down to 18% for cooperation projects in Youth (Erasmus+ annual report 2019). In other words, the funds allocated to the programme were far from being sufficient to finance all projects in the past, especially the cooperation projects (Key action 2).

In 2020, in the difficult context of COVID-19, the programme has proven its resilience and adaptability to a unique and unprecedented context.

The number of projects submitted showed a very small decrease, showing that the interest of the organisations remains intact.

Individual mobility was severely impacted, all flexibility measures legally permitted were put in place (extra funds allocation, specific support calls, support to individual participants and organisations, postponing of deadlines for calls and projects).

The future context of the year 2021 remains uncertain but the new Erasmus+ already builds on the lessons learnt to increase the implementation flexibility and prepare European Society for the future, including the new priorities of the Commission.

#### 3.1.2. Active programme performance

Building on the success of the programme in the period 2014-2020, Erasmus+ strengthens its efforts to increase the opportunities offered to more participants and to a wider range of organisations, focusing on its qualitative impact and contributing to more inclusive and cohesive, greener and digitally fit societies.

As the COVID-19 pandemic has shown, access to education is proving, more than ever, to be essential to ensuring a swift recovery, while **promoting equal opportunities for all**.

As part of this recovery process, the Erasmus+ programme takes its inclusive dimension to a new horizon by supporting opportunities for personal, socio-educational and professional development of people in Europe and beyond, with the aim of leaving no-one behind.

To increase the qualitative impact of its actions and ensure equal opportunities, the programme will reach out more and better to people of different ages and from diverse cultural, social and economic backgrounds.

It is at the heart of the programme to come closer to those with fewer opportunities, including people with disabilities and migrants, as well as European Union citizens living in remote areas or facing socio-economic difficulties. In doing so, the programme will also encourage its participants, in particular young people, to engage and learn to participate in civic society, raising awareness about European Union common values.

In order to implement this dimension, Erasmus+ will support easier access to funding for a wider range of organisations. To improve outreach to more participants with fewer opportunities, the programme will also set up a framework for those projects which intend to work on inclusion and diversity related issues.

Furthermore, **developing digital skills** and competences, and skills in forward-looking fields, such as combating climate change, clean energy, artificial intelligence, robotics, big data analysis, etc. is essential for Europe's future sustainable growth and cohesion.

The COVID-19 crisis shed light on the importance of digital education for the digital transformation that Europe needs. In particular, it emphasised the increased need to harness the potential of digital technologies for teaching and learning and to develop digital skills for all.

In line with the strategic priorities of the Digital Education Action Plan (2021-2027)<sup>3</sup>, the programme aims to support this endeavour to engage learners, educators, youth workers, young people and organisations in the path to digital transformation. The programme will focus on two strategic priorities: Fostering the development of a high performing digital ecosystem and; enhancing digital skills and competences for the digital transformation which include the setting up of a Digital Education Hub, Digital Opportunity Traineeships and digital pedagogy.

Physical mobility remains key to the success of the programme, yet blended intensive programmes, which allow for groups of higher education institutions to develop jointly blended mobility curricula and activities for students as well as academic and administrative staff, will be strongly supported.

The programme will be a key instrument for the building of knowledge, skills and attitudes on **climate change and sustainable development** both within the European Union and beyond.

It will increase the number of mobility opportunities in green forward-looking fields, which foster the development of competences, enhance career prospects and engage participants in subject areas, with special attention to rural development (sustainable farming, management of natural resources, soil protection, bio-agriculture) all of which are strategic for the sustainable growth of our planet. Moreover, Erasmus+, with mobility at its core, will **promote sustainable transport modes** and more responsible behaviour and will monitor the carbon footprint of beneficiaries.

The environment and the fight against global warming will become a horizontal priority for the selection of projects. **Priority will be given to projects aimed at developing competences in various environmental sustainability-relevant sectors**, including those within the framework of contribution from education and culture to sustainable development goals, developing green sectorial skills strategies and methodologies, future-oriented curricula that better meet the needs of individuals, as well as initiatives that support the planned approaches of the participating organisations regarding environmental sustainability.

Another challenge relates to the European-wide trends of limited participation in democratic life and low levels of knowledge and awareness about European matters and their impact on the lives of all European citizens. Many people are reluctant, or face difficulties, in actively engaging and participating in their communities or in the European Union's political and social life. Strengthening European identity and the participation of young people in democratic processes is of paramount importance for the European Union's future. This issue can also be targeted through non-formal learning activities, which aim at enhancing the skills and competences of young people as well as their active citizenship.

### 3.1.3. Previous programme performance

Erasmus+ is the EU programme in the fields of education, training, youth and sport, projecting a positive image of the Union, well beyond its borders.

The 2014-2020 Erasmus+ programme has built on the experience of previous programmes that have been, for the first time, brought together under the name of Erasmus+, bringing massive simplification of the transnational support for education and training, youth and sport. Through immersive learning experiences, Erasmus+ has contributed to developing skills and competences, while offering - over the last three decades - life-changing experiences to **10 million people** to study, train or learn

<sup>3</sup> [https://ec.europa.eu/education/education-in-the-eu/digital-education-action-plan\\_en](https://ec.europa.eu/education/education-in-the-eu/digital-education-action-plan_en)

abroad. Along the years, the programme has demonstrated an outstanding track record not only in terms of numbers, delivering constantly up to or above expectations across fields and actions, but also in terms of social impact.

After a learning exchange abroad, participants declare that they feel more prepared to take on new challenges, have better career prospects, and are more aware of the benefits the EU brings to their daily lives. The programme has not only contributed to building a stronger European identity, but also enhancing active citizenship as Erasmus+ participants are more likely to vote in the European elections than peers in their age group. The programme has had a concrete, positive effect on the professional, social, educational and personal development of the beneficiaries by improving employability, developing new knowledge, skills and competences, closing skills and competency gaps; improving the quality of education, helping confidence-building and independence, creating a greater open-mindedness and curiosity about new challenges, boosting innovation and entrepreneurship and enhancing tolerance and understanding towards other people.

The Erasmus+ programme has therefore proven to be an important contributor to preparing future generations of Europeans to evolve in a changing world of work, to contribute to tackling climate challenge, to be ready for the digital transformation of our societies, as well as to strengthen solidarity.

The programme has already exceeded its target of supporting 4 million learning mobilities.

With the capacity to **fully absorb funds** and an **error rate below 2%**, the programme is well placed to upscale further in the next Multiannual Financial Framework. Harmonized reporting tools, analytics and business intelligence support the steering of the programme in tight collaboration with the different stakeholders, in particular the Education and Culture Executive Agency and 60 National Authorities, present in the 27 Member States and 7 Partner Countries.

To respond to the emergency in the early days of the COVID-19 pandemic, maximum flexibility and support measures within the applicable legal framework were applied to the participants and beneficiary organisations to adapt to the extraordinary circumstances. These included amongst others:

- the activation of the **force majeure** clause in the grant agreements,
- the **extension of application deadlines**,
- the **extension of duration for on-going projects, supporting additional costs** up to the maximum amounts granted to projects under the applicable legal framework,
- further **flexibility towards blended activities** (i.e. combination of physical mobility and online learning activities allowing to conclude, complete or ensure continuity of learning activities).

Priorities were reshaped with the aim of protecting the beneficiaries and participants and to support Member States and third countries associated to the programme to communicate and exchange practices needed for the immediate response, but also in view of setting new and innovative policies in education and training, youth and sport.

As Erasmus+ mobilities are predominantly implemented through an indirect management mode. The coordination and guidance to the National Agencies in dealing with this unprecedented situation has been a top priority, reinforcing guidance to stakeholders and conveying in an aligned manner, essential information and supporting the affected organisations and participants:

- Dedicated online FAQs<sup>4</sup> were made available for all the participants to inform them on how the pandemic is affecting activities, what changes are taking place, and what support measures are available.
- Dedicated surveys<sup>5</sup> collected the views of mobility participants and higher education institutions on how the COVID-19 outbreak affected their projects and activities in the early stages of the crisis.
- Promoting and mobilising online platforms and initiating new campaigns.
  - The eTwinning community immediately started exploring how the variety of eTwinning tools could be usefully mobilised, including articles and stories on the public portal. Research indicates that many teachers engaged in eTwinning were better prepared to transition to teaching online.
  - The School Education Gateway made a specific contribution during the period of school-site closures with additional resources about online and distance learning.

**International actions** with partner countries were more severely affected by the COVID-19 pandemic than those already affected in Europe. Some reasons include the closing of borders, the disruption of air routes, the limited functioning of consulates and the difficulties to obtain visas. **Flexibility arrangements** for the participant **Higher Education Institutions and individuals** were put in place, students have been allowed to keep their Erasmus+ grants while completing their course through remote studying arrangements and/or in case they still have expenses linked to their stay in the destination country such as rent.

<sup>4</sup> [https://ec.europa.eu/programmes/erasmus-plus/resources/coronavirus-faq-participants\\_en](https://ec.europa.eu/programmes/erasmus-plus/resources/coronavirus-faq-participants_en)

<sup>5</sup> [https://ec.europa.eu/programmes/erasmus-plus/resources/documents/coronavirus-learning-mobilities-impact-survey-results\\_en](https://ec.europa.eu/programmes/erasmus-plus/resources/documents/coronavirus-learning-mobilities-impact-survey-results_en)

In addition, in August 2020, the Erasmus+ programme announced two new calls for proposals, each providing €100 million to respond to the educational challenges resulting from the COVID-19 pandemic.

- The call on **digital education readiness** supports projects in school education, vocational education and training, and higher education. It aims to enhance online, distance and blended learning, support teachers and trainers, and ensure inclusivity in digital learning opportunities, in line with the strategic objectives of shaping Europe's digital future as set in the European Commission's 'A Europe fit for the digital age' and the Digital Education Action Plan.
- The second call related to funding for partnerships for creativity support projects in the fields of youth, school education and adult education, aimed to develop skills and competences that encourage creativity, boost quality and innovation, while linking education, training and youth organisations with the cultural and creative sectors.

EACEA produced a study on the impact of the COVID-19 pandemics on the Erasmus Mundus Joint Masters Degrees action:

[https://www.eacea.ec.europa.eu/news-events/coronavirus-impact\\_en](https://www.eacea.ec.europa.eu/news-events/coronavirus-impact_en)

### 3.2. Key achievements

More than 2.6 million	More than 98 000 downloads	More than 280 higher education institutions	5 781	Nearly 2 million
European Student Cards were produced by higher education institutions/student card issuers	of the Erasmus+ Mobile App	involved in the European Universities initiative	institutions hold an Erasmus Charter for Higher Education	language assessments took place as part of preparation for Erasmus mobility

Over 1 million	670 986	More than 36 000	More than 900 000	15.6 million
Erasmus+ participants took an online language course as part of their mobility	teachers, headmasters and other school staff registered in eTwinning in 2014-2020.	school participations in school strategic partnerships	VET learner mobilities were awarded in the 2014-2020 programme period	number of Europeans participating to the European Week of Sport (23-30 September 2020)

More than 760 000	Nearly 290 000	39%	94%	400 000
young people involved in Youth Exchanges	youth workers involved in youth workers mobility activities	of participants in youth mobility activities with fewer opportunities	of participants in youth mobility activities having declared that they have increased skills	young people engaged in Youth Dialogue projects with decision makers

The main positive achievements and effects of the programme encompass the unique combination of actions targeted at the individual, organisation and system levels in education and training, youth and sport, the support for key competences, basic and transversal skills development, active citizenship, increased employability or career development, but also increased opportunities for networking and mutual learning for organisations involved. The programme is perceived as sufficiently flexible to allow for adaptation to emerging policy challenges, while its integrated architecture and management modes are considered appropriate and fit for purpose.

In particular, a cross-cutting priority over the past years was to ensure that the Erasmus+ programme was an important instrument for inclusion.

The programme also highlighted the key role of formal and non-formal education in the development of the values and attitudes underlying active citizenship, in line with the Paris Declaration, the Council Recommendation on Common values, Inclusive Education, and the European Dimension of Teaching.

Some key achievements include:

#### Education and training

- A two-year preparation by DG EAC with stakeholders made it possible for the College to adopt the Communication on achieving the European Education Area (EEA) by 2025 on 30 September.
  - o The Communication seeks to foster cooperation between Member States to further enrich the quality and inclusiveness of national education and training systems and to prevent the health crisis from creating structural barriers to learning and competence development and from impacting citizens' employment prospects and participation in society. The European Education Area, therefore, ties in with Next Generation EU, the EU's COVID-19 recovery plan to lead the Union out of the crisis and towards a modern and more sustainable Europe, fit to face the digital and green transitions.
- The European Universities initiative is paving the way for higher education transformation, by building the universities of the future. On 9 July 2020, the Commission announced 24 additional European Universities. Now, 41 European Universities gathering more than 280 higher education institutions across all parts of Europe are part of this flagship initiative, with the ambition to enhance the quality and attractiveness of European higher education and boost cooperation between institutions, their students and staff.
- European Student Card Initiative: This initiative aims at making it as easy as possible for students across Europe to be mobile. Through its two key components, the Erasmus+ Mobile App and the digitalisation of the student mobility management, the initiative constitutes a real revolution for the simplification of the way universities manage the student mobility. By the end of 2020, The Erasmus+ Mobile App, had been downloaded more than 98 000 times and more than 2 600 000 European Student Cards were produced by higher education institutions/student card issuers.
- Automatic recognition of qualifications: The Commission provides support to the Member States for putting in place the conditions that will make automatic mutual recognition possible by 2025. Throughout 2014-2020, the Erasmus+ programme has supported the National Academic Recognition Information (NARIC) through four restricted calls for proposals, funding 47 projects for a total of €4.4 million. Erasmus+ has also funded the set-up of a Technical Support Team for the NARIC network that will encourage the implementation of automatic recognition.
- In 2020, DG EAC continued the implementation of the Digital Education Action Plan 2018-2020. One of the main initiatives led by DG EAC in this context is the SELFIE self-reflection tool, which was further developed in the EU and Western Balkans and reached more than 850 000 users. Another important action is the Digital Education Hackathon, which took place on 12 and 13 November 2020 in more than 50 locations across 34 countries globally, engaging more than 2 000 participants from education stakeholders (schools, higher education institutions, research centres, innovation labs, private sector).
- In August 2020, the Erasmus+ programme announced two new calls for proposals, each providing €100 million to respond to the educational challenges resulting from the COVID-19 pandemic. Funding for digital education readiness will support projects in school education, vocational education and training, and higher education. It aims to enhance online, distance and blended learning, support teachers and trainers, and ensure inclusivity in digital learning opportunities. Funding for partnerships for creativity will support projects in the fields of youth, school education and adult education. It aims to develop skills and competences that encourage creativity and boost quality, innovation and recognition of youth work, and links education, training and youth with the cultural and creative sectors.
- The final call of Erasmus+ included the largest budget to date (€600 million) for international actions. It included additional budget for a number of geographic areas identified as political priorities (Africa, Western Balkans, Neighbourhood, etc.). With a 9% increase of the actions' budget compared to 2019, over 62 000 new short term academic mobilities were awarded to students and staff, which added up to previous years' awarded mobilities amounts to almost 270 000 for the whole programme period.
- In 2020 the Jean Monnet activities received a record number of applications. Out of 1 447 eligible proposals, with a budget available of some €16.5 million plus the external actions budget of €5 million, the Commission was able to select 400 of the best ranked applications for funding.

## Youth

- The EU Youth Strategy 2019-2027 was rolled out and adapted to take into account the major impact of COVID-19 on the youth sector. Exchanges with the youth stakeholders took place to find ways to mitigate the effects of the crisis. It also resulted in travel restrictions, which had a major impact on DiscoverEU. Both application rounds (planned in March and November) had to be cancelled in 2020. Travellers awarded under the 2019 November round got an extension of their travel period up until summer 2021. Youth Exchanges bring together young people from different countries to exchange and learn outside their formal educational system. The action enabled more than 763 000 young people to take part and acquire or further develop skills, competences and European values. Since the start of Erasmus+, Youth Worker Mobility has also offered opportunities for close to 240 000 youth workers to develop their key competences through transnational training courses and seminars, contact-making events, study visits and job shadowing.
- With an average mobility project grant of €25 000 and more than 200 000 organisations involved, the programme demonstrated its capacity to reach out and impact a large number of young participants and organisations working with them, through grassroots projects. Erasmus+ Youth puts also particular emphasis on promoting equal opportunities, inclusion and fairness and involving some 400 000 participants in youth mobility activities of which 39% had fewer opportunities.

- The programme financed projects promoting quality, innovation and recognition of youth work, as well as projects supporting empowerment and active citizenship of young people, thus contributing to the Youth Work Agenda and the EU Youth Strategy.
- In 2018, the programme successfully introduced 'European Youth Together', a new action to support the promotion and development of more structured cooperation between different youth organisations. Nearly 2 000 youth dialogue projects were also supported, promoting active participation of young people in democratic life and enabling more than 400 000 young people to engage with decision makers and around topics centred on the themes and priorities set under the EU Youth Strategy.
- The European Youth Portal offers European and national information and opportunities that are of interest to young people who are living, learning and working in Europe. It encourages participation of young people in democratic life notably via the EU Youth Dialogue and other initiatives to engage with young people to influence policymaking. The European Youth Portal was thoroughly revamped, with a view to adapting its layout to reflect today's user expectations. The revamp also included a new structure for content to be more easily accessible and to integrate material on European youth policy.
- In 2019, the ninth edition of the European Youth Week became a real corporate initiative for the first time, with an unprecedented involvement of other Commission DGs and some 120 000 young people across Europe involved. The event was held just before the European elections, focussing on the theme 'Democracy and me', youth participation in decision-making and young people's participation in society.

## Sport

- On 4 December 2020, the Council adopted the 4th EU Work Plan for Sport (1 January 2021 - 30 June 2024). This Resolution of the Council is the guiding document setting out the key priority areas, topics and deliverables in the field of sport that the EU Member States and the Commission should prioritise between 2021 and 2024. The key priority areas are: 1) Protect integrity and values in sport; 2) Socio-economic and environmental dimension in sport and; 3) Promotion of participation in sport and health-enhancing physical activity. With 2020's extenuating circumstances, the European Week of Sport was more necessary than ever before. Therefore, the European Commission created the #BeActiveAtHome campaign in May 2020 to help Europeans exercise and remain physically active. It was also an occasion to celebrate a #BeActive lifestyle together with the Western Balkans and Eastern Partnership countries and regions for the third time. In this context, the November 2020 online 'Expert Seminar on the European Week of Sport Beyond Borders' gathered participants from EU Member States, Erasmus+ Programme countries and eight countries and regions from the Western Balkans and Eastern Partnership, shared good practices and initiated discussions regarding EU funding opportunities and ways to adapt the sport sector to the constraints of the COVID-19 pandemic measures.
- For the sixth year, the European Week of Sport has tackled the inactivity crisis by encouraging Europeans to embrace a healthy and active lifestyle. This year set a new record with the participation of over 15.6 million Europeans in more than 32 600 events. The European Week of Sport was open to the participation of Eastern Partnership and Western Balkans countries and regions.
- In 2020, the #Beinclusive EU sport awards once again recognised sport organisations working with ethnic minorities, refugees, people with disabilities, youth groups at risk, or other groups that face challenging social circumstances. The #Beactive awards support projects and individuals dedicated to promoting sport and physical activity across Europe.

### 3.3. Evaluations, studies and reports

The Erasmus+ mid-term evaluation<sup>6</sup> and the evaluation of the predecessor programmes were published in 2018. Among the main findings were the fact that learners and staff mobility, as well as European cooperation in the sectors covered by the programme are substantially reinforced by the programme action. Erasmus+ contributes to social cohesion in the Union.

The programme also actively builds positive attitudes towards the European Union and contributes to the development of a European identity across all sectors funded, while improving knowledge and understanding of the EU through the Jean Monnet strand. The mid-term evaluation found a positive association between participation in the programme and the feeling of belonging to the EU across all sectors and all forms of participations. The current programme supports more disadvantaged young people than its predecessors - 11.5% of the total number of participants and up to one third in the Youth strand. Nevertheless, more needs to be done to reach out to the more vulnerable in society and to facilitate the participation of smaller-size organisations. The mid-term evaluation also recommended that procedures and IT management tools should be made easier to use to reduce the administrative burden on implementing bodies and beneficiaries.

These findings and recommendations have guided the programme implementation over the last few years, while constituting a solid basis for proposing new actions and ambitious measures for the future programme 2021-2027. The mid-term evaluation, complemented by the results of a broad public consultation, fed into the 2021-2027 Erasmus+ programme impact assessment<sup>7</sup>

The interim evaluation of the Erasmus+ 2021-2027 programme will be performed once there is sufficient information available about the implementation of the programme, and it will be accompanied by a final evaluation of the 2014-2020 programme. This

<sup>6</sup> [https://ec.europa.eu/programmes/erasmus-plus/resources/documents/evaluations\\_en](https://ec.europa.eu/programmes/erasmus-plus/resources/documents/evaluations_en)

<sup>7</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52018SC0277>

evaluation is expected by the end of 2024. The interim evaluation of the programme will assess the overall effectiveness and performance of the programme, including the new initiatives, as well as the delivery of the inclusion and simplification measures.

The Education and Training Monitor on a yearly basis offers a comprehensive report on progress in education and training in Europe. With its international comparison and country analysis, the Monitor fuels the debate on priority themes for education and training and informs national education reform debates. The Monitor presents progress against mainly, but not only the quantitative indicators on education and training adopted under ET 2020 ('EU benchmarks'). The country profiles of the Monitor also feed in the analytical work under the European Semester process. The 8th Education and Training Monitor, with a specific thematic focus on teachers and teaching careers, was published on 26 September 2019. The ninth edition, scheduled for publication in late 2020, will have 'teaching and learning in a digital age' as its lead theme.

A range of studies in the area of quality and relevance of higher education were conducted. The study on enhancing relevance of higher education aimed to define relevance and unpick the different components of it in order for institutions to be able to address them. This study informed the initiation of the questionnaire for the European graduate survey and its findings also led to the design of another study on performance-based funding of higher education based on performance indicators related to the quality and relevance of higher education. A separate study on admission systems in higher education looked at the effect admission policies have on the success of students and the study on quality assurance systems provided an overview of policy developments in this area and fed into the Bologna communiqués, in addition to the regular Bologna Implementation Report.

In 2019, the results of two new Erasmus+ Impact studies were communicated and disseminated: Erasmus+ makes students more successful in their personal and professional lives, and Erasmus+ helps universities to become more innovative.

In the field of Youth, two studies were launched and finalised in 2019: one on the landscape of youth representation in the EU and another on removing obstacles to cross-border solidarity activities. Furthermore, the results of the Eurobarometer survey 'How do we build a stronger, more united Europe? The views of young people' was released in April 2019, showing that young people consider that protecting the environment and fighting climate change, along with education and training; and fighting poverty and social inequalities should be the top priorities for the EU in the years to come.

In 2020, ten different impact studies were produced for each of the Erasmus+ regions involved in the Capacity Building for Higher Education action since 2015: [https://www.eacea.ec.europa.eu/grants/2014-2020/erasmus/capacity-building-field-higher-education-2020\\_en](https://www.eacea.ec.europa.eu/grants/2014-2020/erasmus/capacity-building-field-higher-education-2020_en)

Moreover, two studies were financed to support evidence-based policy in the field of sport. The first study analysed the economic impact of COVID-19 on the sport sector in the EU and proved to be very important to support evidence-based policy making at both national and EU level. The second study produced a Mapping on intergenerational sport.

In 2020, in the field of higher education, a study mapped and analysed [student-centred learning and teaching practices](#), in order to provide guidance to higher education institutions for more inclusive and high-quality higher education. Another study analysed [community engagement trends, practices and policies in higher education](#). The arguments present in both studies are relevant to policymakers and university leaders developing plans for the recovery and development of higher education in the post-COVID-19 period. A third study investigated the road [towards a European approach to micro-credentials](#), proof of the learning outcomes that a learner has acquired following a short, transparently-assessed learning experience. Finally, another study scrutinized the impact of the COVID-19 pandemic on higher education (publication forthcoming).

Studies were also undertaken on gender equality: a study on [Gender differences in tertiary education](#) explained STEM participation, and an on-going study on Girls' career aspirations in STEM stresses the importance of providing support for co-design and co-delivery of guidance and mentorship programmes focusing on pathways to the job market, focusing on female students in engineering and ICT fields of study.

EACEA, with the support of the Eurydice network, published a study which presents the state of play and the lessons learned from the delivery of the Erasmus Mundus Joint Master Degrees (EMJMD) in the Erasmus+ Programme Countries.

## **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :Promote learning mobility of individuals and groups, as well as cooperation, quality, inclusion and equity, excellence creativity, and innovation at the level of organisations and policies in the field of education and training**

**Indicator 1: Number of participants in learning mobility activities in the Education and Training strand of the programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
HE learners										
Milestones										
										Final
Actual Progress										

VET learners										
	Milestones									
	Actual Progress									Final
School learners										
	Milestones									
	Actual Progress									Final
Adult learners										
	Milestones									
	Actual Progress									Final
HE staff										
	Milestones									
	Actual Progress									Final
VET staff										
	Milestones									
	Actual Progress									Final
School staff										
	Milestones									
	Actual Progress									Final
Adult staff										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary module and e-Grants
Link to the objective	The provision of Erasmus gives opportunities for learners and staff to be equipped with the skills to thrive in a society which is increasingly mobile, multicultural and digital.
Link MFF 14-20 / MFF 21-27	Based on lessons learned from the past programme, Erasmus+ 2021-2027 will be more inclusive and accessible, more forward-looking, more digital, simpler and greener, more international, while continuing to support lifelong learning and innovative education and training in Europe. Reporting will continue on this indicator in the new Programme. Apart from adjustments in the Programme's implementation that could lead to changes for some actions, the absence of methodological change will ensure the continuity of the performance monitoring.
Other methodological comments	Estimations will be based on the forecasts provided by organisations during the application phase of the projects. Numbers will be refined once all projects are closed (between 2 to 4 years after the project starts)"
Full metadata available at this address	<a href="https://webgate.ec.europa.eu/fpfis/wikis/x/tJWpF">https://webgate.ec.europa.eu/fpfis/wikis/x/tJWpF</a>
Justification of the trend	

### Indicator 2: Number of participants in virtual learning activities under key action 1 of the Education and Training strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)

Cut-Off Date	
Data source	Beneficiary Module and e-Grants.
Link to the objective	Erasmus+ should contribute to delivering on the Digital Education Action Plan and respond to the necessary digital transformation of education and training, youth and sport.
Link MFF 14-20 / MFF 21-27	This indicator is new
Other methodological comments	This indicator will report only on the blended mobility periods (having a share of virtual activities). It is consequently a subset of mobility periods already counted in the 'Number of participants' indicator. Number of users of online platforms (list to be revised annually) is not linked to blended mobility and is reported in another indicator under Key action 2.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of people with fewer opportunities taking part in activities under key action 1 of the Education and Training strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
HE										
	Milestones									
	Actual Progress									Final
VET										
	Milestones									
	Actual Progress									Final
School										
	Milestones									
	Actual Progress									Final
Adult										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of funded participants indicated as participants with fewer opportunities (thousands, yearly)
Cut-Off Date	
Data source	Beneficiary module and e-Grants
Link to the objective	Promote learning mobility of individuals and groups, as well as cooperation, quality, inclusion and equity, excellence, creativity and innovation at the level of organisations and policies in the field of education and training.
Link MFF 14-20 / MFF 21-27	Fewer opportunities was already a core performance indicator of the previous programme. Organisation of the Programme's activities has still to be defined and could lead to methodological changes in the calculation of this indicator.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Share of participants that consider they have benefited from their participation in learning mobility activities under key action 1 of the Education and Training strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of participants providing a positive answer to survey (yearly)
Cut-Off Date	
Data source	Participant Survey

Link to the objective	The provision of Erasmus gives opportunities for learners and staff to declare the benefits which contribute to the skills to thrive in a society which is increasingly mobile, multicultural and digital.
Link MFF 14-20 / MFF 21-27	The formulation of the indicator has been revised from 'Percentage of participants declaring that they have increased their key competences' to the actual form. This creates a bias that will make comparison with previous programme difficult.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Share of participants that consider they have an increased European sense of belonging after participation in activities under key action 1 of the Education and Training strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of participants providing a positive answer to survey (yearly)
Cut-Off Date	
Data source	Participant Survey
Link to the objective	The provision of Erasmus gives the opportunity for learners to get to know Europe and European projects better and thus increase their sense of belonging to a place which has provided them with learning and development opportunities.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Number of organisations and institutions taking part in the Programme for the Education and training strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
KA1	Milestones									
	Actual Progress									Final
KA2	Milestones									
	Actual Progress									Final
KA3	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of organisations (thousands, yearly)
Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, eGrants
Link to the objective	An increase in the number of organisations demonstrates the achievement of inclusion, collaboration and synergies for providing opportunities for learning mobilities.
Link MFF 14-20 / MFF 21-27	The number of organisations was monitored in the previous MFF (14-20). No methodological change is expected in the calculation, allowing continuity for the analysis.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7: Share of organisations and institutions that consider they have developed high-quality practices as a result of their participation in key action 2 of the Education and Training strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of organisation providing a positive answer in their final report (yearly)
Cut-Off Date	
Data source	Beneficiary module and e-Grants
Link to the objective	An increase in the number of organisations demonstrates the achievement of inclusion, collaboration and synergies for providing opportunities for learning mobilities.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Number of users of virtual cooperation platforms supported under key action 2 of the Education and Training strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
SEG										
	Milestones									
	Actual Progress									Final
EPALE										
	Milestones									
	Actual Progress									Final
eTwinning										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants registered on an online platform
Cut-Off Date	
Data source	eTwinning, the Electronic Platform for Adult Learning in Europe (EPALE), the School Education Gateway, the European Youth Portal and Erasmus Virtual Exchanges. List will be revised annually.
Link to the objective	Erasmus+ should contribute to delivering on the Digital Education Action Plan and respond to the necessary digital transformation of education and training, youth and sport
Link MFF 14-20 / MFF 21-27	New indicator based on lessons learned from the current programme, Erasmus+ 2021-2027 will be more inclusive and accessible, more forward-looking, more digital, simpler and greener, more international, while continuing to support lifelong learning and innovative education and training in Europe.
Other methodological comments	Indicator is currently under discussion, definition is not fully defined yet.
Full metadata available at this address	
Justification of the trend	

**Indicator 9: Number of newcomer organisations and institutions taking part in the Programme under key actions 1 and 2 of the Education and Training strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
KA1										
	Milestones									
	Actual Progress									Final
KA2										
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, e-Grants
Link to the objective	Inclusion is a clear objective. The programme aims at eliminating barriers for organisations with a lower organisational capacity to take-part, which never received funding from the programme or with little or no experience in transnational cooperation.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will be more inclusive and accessible.
Other methodological comments	Indicator is currently under discussion, definition is not fully defined yet.
Full metadata available at this address	
Justification of the trend	

#### Indicator 10: Number of small-scale partnerships supported under key action 2 of the Education and Training strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of partnerships (thousands, yearly)
Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, eGrants
Link to the objective	Erasmus+ 2021-2027 will offer simpler and more accessible Actions - Achievement of simplification of procedures.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will be more inclusive and accessible
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 11: Share of organisations and institutions that consider that the procedures for taking part in the Programme are proportionate and simple for the Education and Training strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of organisation providing a positive answer to selected questions in their final report (yearly)
Cut-Off Date	
Data source	Project Management Module, e-Grants
Link to the objective	Higher share reflects the achievement of simplification of procedures through the grant management process.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will offer simpler and more accessible Actions.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 12: Share of activities addressing climate objectives under key action 1 of the Education and Training strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of activities supporting a priority
Cut-Off Date	
Data source	Project Management Module, Beneficiary Module, e-Grants
Link to the objective	The Commission recalled that Erasmus+ remains instrumental in achieving the objectives for quality and inclusive education, training and lifelong learning, and in preparing Europe to face the digital and green transitions.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The methodological approach to assess contribution will address the structural difference between project types (mobility and cooperation) and management modes (Centralised actions and decentralised actions).
Full metadata available at this address	
Justification of the trend	

### Indicator 13: Share of projects addressing climate objectives under key action 2 of the Education and Training strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of projects contributing to green priority (yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary Module, e-Grants
Link to the objective	The Commission recalled that Erasmus+ remains instrumental in achieving the objectives for quality and inclusive education, training and lifelong learning, and in preparing Europe to face the digital and green transitions.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The methodological approach to assess contribution will address the structural difference between project types (mobility and cooperation) and management modes (Centralised actions and decentralised actions).
Full metadata available at this address	
Justification of the trend	

### Specific Objective 2 : Promote non-formal and informal learning mobility and active participation among young people, as well as cooperation, quality, inclusion, creativity and innovation at the level of organisations and policies in the field of Youth.

#### Indicator 1: Number of participants in learning mobility activities in the Youth strand of the programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Learners	Milestones									
	Actual Progress									Final
Staff	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary module and e-Grants
Link to the objective	Promote non-formal and informal learning mobility and active participation among young people.

	Provide young learners and staff with opportunities to be equipped with the skills to thrive in an increasingly mobile, multicultural and digital society.
Link MFF 14-20 / MFF 21-27	Based on lessons learned from the past programme, Erasmus+ 2021-2027 will be more inclusive and accessible, more forward-looking, more digital, simpler and greener, more international, while continuing to support lifelong learning and innovative education and training in Europe. Reporting will continue on this indicator in the new programme. Apart from adjustments in the programme's implementation that could lead to changes for some actions, the absence of methodological change will ensure the continuity of the performance monitoring.
Other methodological comments	Estimations will be based on the forecasts provided by organisations during the application phase of the projects. Numbers will be refined once all projects are closed (between 2 to 4 years after the project starts)
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Number of participants in virtual learning activities under key action 1 of the Youth strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)
Cut-Off Date	
Data source	Beneficiary module and e-Grants
Link to the objective	Erasmus+ should contribute to delivering on the Digital Education Action Plan and respond to the necessary digital transformation of education and training, youth and sport.
Link MFF 14-20 / MFF 21-27	The indicator is new
Other methodological comments	Blended activities as such are not available in 2021 in the youth field
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of people with fewer opportunities taking part in activities under key action 1 of the Youth strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of funded participants indicated as participants with fewer opportunities (thousands, yearly)
Cut-Off Date	
Data source	Beneficiary module and e-Grants
Link to the objective	Promote non-formal and informal learning mobility and active participation among young people, as well as cooperation, quality, inclusion, creativity and innovation at the level of organisations and policies in the field of youth.
Link MFF 14-20 / MFF 21-27	Fewer opportunities was already a core performance indicator of the previous programme. Organisation of the Programme's activities has still to be defined and could lead to methodological changes in the calculation of this indicator.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Share of participants that consider they have benefited from their participation in learning mobility activities under key action 1 of the Youth strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of participants providing a positive answer to survey (yearly)
Cut-Off Date	
Data source	Participant Survey
Link to the objective	Promote non-formal and informal learning mobility and active participation among young people. Provide young learners and staff with opportunities to be equipped with the skills to thrive in a society which is increasingly mobile, multicultural and digital.
Link MFF 14-20 / MFF 21-27	The formulation of the indicator has been revised from 'Percentage of participants declaring that they have increased their key competences' to the actual form. This creates a bias that will make comparison with previous programme difficult.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Share of participants that consider they have an increased European sense of belonging after participation in activities under key action 1 of the Youth strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of participants providing a positive answer to survey (yearly)
Cut-Off Date	
Data source	Participant Survey
Link to the objective	Erasmus + gives learners the opportunities to get to know Europe and European projects better and thus increase their sense of belonging to a place which has provided them with learning and development opportunities.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Number of organisations and institutions taking part in the Programme for Youth activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
KA1	Milestones									
	Actual Progress									Final
KA2	Milestones									
	Actual Progress									Final
KA3	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of organisations (thousands, yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary Module
Link to the objective	Promote cooperation, quality, inclusion, creativity and innovation at the level of organisations and policies in the field of youth.
Link MFF 14-20 / MFF 21-27	The number of organisations was monitored in the previous MFF (14-20). No methodological change is expected in the calculation, allowing continuity for the analysis.
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

**Indicator 7: Share of organisations and institutions that consider they have developed high-quality practices as a result of their participation in key action 2 of the Youth strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of organisation providing a positive answer in their final report (yearly)
Cut-Off Date	
Data source	Beneficiary module and e-Grants
Link to the objective	Promote cooperation, quality, inclusion, creativity and innovation at the level of organisations and policies in the field of youth.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Number of users of virtual cooperation platforms supported under key action 2 of the Youth strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants registered on an online platform
Cut-Off Date	
Data source	European Youth Portal. List will be revised annually.
Link to the objective	Promote non-formal and informal learning mobility and active participation among young people, as well as cooperation, quality, inclusion, creativity and innovation at the level of organisations and policies in the field of youth.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will be more inclusive and accessible, more forward-looking, more digital, simpler and greener, more international, while continuing to support lifelong learning and innovative education and training in Europe.
Other methodological comments	Indicator is currently under discussion, definition is not fully defined yet.
Full metadata available at this address	
Justification of the trend	

**Indicator 9: Number of newcomer organisations and institutions taking part in the Programme under key actions 1 and 2 of the Youth strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
KA1										
	Milestones									
	Actual Progress									Final
KA2										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of organisations

Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, e-Grants
Link to the objective	Inclusion is a clear objective. The programme aims at eliminating barriers for organisations with a lower organisational capacity to take-part, which never received funding from the programme or with little or no experience in transnational cooperation.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will be more inclusive and accessible
Other methodological comments	Indicator is currently under discussion, definition is not fully defined yet.
Full metadata available at this address	
Justification of the trend	

#### Indicator 10: Number of small-scale partnerships supported under key action 2 of the Youth strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of partnerships (thousands, yearly)
Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, eGrants
Link to the objective	Erasmus+ 2021-2027 will offer simpler and more accessible Actions - Achievement of simplification of procedures.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will be more inclusive and accessible.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 11: Share of organisations and institutions that consider that the procedures for taking part in the Programme are proportionate and simple for the Youth strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of organisation providing a positive answer to selected questions in their final report (yearly)
Cut-Off Date	
Data source	Project Management Module, e-Grants
Link to the objective	Higher share reflects the achievement of simplification of procedures through the grant management process.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will offer simpler and more accessible Actions.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 12: Share of activities addressing climate objectives under key action 1 of the Youth strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of activities contributing to green priority (yearly)

Cut-Off Date	
Data source	Project Management Module, Beneficiary Module, e-Grants
Link to the objective	The Commission recalled that Erasmus+ remains instrumental in achieving the objectives for quality and inclusive education, training and lifelong learning, and in preparing Europe to face the digital and green transitions.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The methodological approach to assess contribution will address the structural difference between project types (mobility and cooperation) and management modes (Centralised actions and decentralised actions).
Full metadata available at this address	
Justification of the trend	

### Indicator 13: Share of projects addressing climate objectives under key action 2 of the Youth strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of projects contributing to green priority (yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary Module, e-Grants
Link to the objective	The Commission recalled that Erasmus+ remains instrumental in achieving the objectives for quality and inclusive education, training and lifelong learning, and in preparing Europe to face the digital and green transitions.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The methodological approach to assess contribution will address the structural difference between project types (mobility and cooperation) and management modes (Centralised actions and decentralised actions).
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 : Promote learning mobility of sport staff, as well as cooperation, quality, inclusion, creativity and innovation at the level of sport organisations and sport policies.

#### Indicator 1: Number of participants in learning mobility activities in the Sport strand of the programme

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary module and e-Grants
Link to the objective	The provision of Erasmus gives opportunities for staff to be equipped with the skills to thrive in a society which is increasingly mobile, multicultural and digital.
Link MFF 14-20 / MFF 21-27	All activities under KA1 for sport are new and will be introduced around 2023. Therefore there is no link with the previous MFF.
Other methodological comments	Estimations will be based on the forecasts provided by organisations during the application phase of the projects. Numbers will be refined once all projects are closed (between 2 to 4 years after the project starts).
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Number of participants in virtual learning activities under key action 1 of the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)
Cut-Off Date	
Data source	Beneficiary module and e-Grants
Link to the objective	Erasmus+ should contribute to delivering on the Digital Education Action Plan and respond to the necessary digital transformation of education and training, youth and sport.
Link MFF 14-20 / MFF 21-27	The indicator is new. All activities under KA1 for sport are new and will be introduced around 2023.
Other methodological comments	This indicator will report only on the blended mobility periods (having a share of virtual activities).It is consequently a subset of mobility periods already counted in the 'Number of participants' indicator. Number of users of online platforms (list to be revised annually) is not linked to blended mobility and is reported in another indicator under Key action 2
Full metadata available at this address	Data will be available later in the MFF
Justification of the trend	

### Indicator 3: Number of people with fewer opportunities taking part in activities under key action 1 of the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									
										Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of funded participants indicated as participants with fewer opportunities (thousands, yearly)
Cut-Off Date	
Data source	Beneficiary module and eGrants
Link to the objective	Promote learning mobility of sport staff, as well as cooperation, quality, inclusion, creativity and innovation at the level of sport organisations and sport policies.
Link MFF 14-20 / MFF 21-27	All activities under KA1 for sport are new and will be introduced around 2023. Therefore there is no link with the previous MFF.
Other methodological comments	Data source, methodology and definition might be changed depending on final agreement on definition of the indicator (to be aligned across Erasmus+) i.e. awarded level or mobilities.
Full metadata available at this address	Data will be available later in the MFF
Justification of the trend	

### Indicator 4: Share of participants that consider they have benefited from their participation in learning mobility activities under key action 1 of the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									
										Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of participants providing a positive answer to survey (yearly)
Cut-Off Date	
Data source	Participant Survey
Link to the objective	The provision of Erasmus gives opportunities for learners and staff to declare the benefits which contribute to the skills to thrive in a society which is increasingly mobile, multicultural and digital.
Link MFF 14-20 / MFF 21-27	All activities under KA1 for sport are new and will be introduced around 2023. Therefore there is no link with the previous MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Share of participants that consider they have an increased European sense of belonging after participation in activities under key action 1 of the the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage of participants providing a positive answer to survey (yearly)
Cut-Off Date	
Data source	Participant Survey
Link to the objective	The provision of Erasmus gives the opportunity for staff to get to know Europe and European projects better and thus increase their sense of belonging to a place which has provided them with learning and development opportunities.
Link MFF 14-20 / MFF 21-27	All activities under KA1 for sport are new and will be introduced around 2023. Therefore there is no link with the previous MFF.
Other methodological comments	
Full metadata available at this address	Data will be available later in the MFF
Justification of the trend	

### Indicator 6: Number of organisations and institutions taking part in the Programme for the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
KA1										
	Milestones									
	Actual Progress									Final
KA2										
	Milestones									
	Actual Progress									Final
KA3										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of organisations (thousands, yearly)
Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, eGrants
Link to the objective	An increase in the number of organisations demonstrates the achievement of inclusion, collaboration and synergies for providing opportunities for learning mobilities. An increase in the number of organisations demonstrates the achievement of collaboration and synergies for providing high quality education. Organisations which collaborate to create new policies, assess / develop existing policies and measure the inclusive implementation of the Programme.
Link MFF 14-20 / MFF 21-27	For KA1, this is an entirely new activity that will start around 2023. For KA2, this action is on track and will continue in the current MFF similarly as in the previous one. For KA3, the figures are on track and will remain stable throughout the MFF.
Other methodological comments	
Full metadata available at this address	For KA2 and KA3 all information is available
Justification of the trend	

### Indicator 7: Share of organisations and institutions that consider they have developed high-quality practices as a result of their participation in key action 2 of the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	Impact
Unit of measurement	Percentage of organisation providing a positive answer in their final report (yearly)
Cut-Off Date	
Data source	Beneficiary module and e-Grants
Link to the objective	A high share of organisations demonstrates the achievement of increased innovation in education. The sharing of best practices ensures that high quality becomes ingrained in educational offerings.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	Data will be available later in the MFF
Justification of the trend	

**Indicator 8: Number of newcomer organisations and institutions taking part in the Programme under key actions 1 and 2 of the Sport strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
KA1										
	Milestones									
	Actual Progress									Final
KA2										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, e-Grants
Link to the objective	Inclusion is a clear objective. The programme aims at eliminating barriers for organisations with a lower organisational capacity to take-part, which never received funding from the programme or with little or no experience in transnational cooperation.
Link MFF 14-20 / MFF 21-27	For KA1, this is an entirely new activity that will start around 2023. For KA2, this action is on track and will continue in the current MFF similarly as in the previous one.
Other methodological comments	Indicator is currently under discussion, definition is not fully defined yet.
Full metadata available at this address	For KA1 and KA2 data will be available later in the MFF. For KA3 information is available.
Justification of the trend	

**Indicator 9: Number of small-scale partnerships supported under key action 2 of the Sport strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of partnerships (thousands, yearly)
Cut-Off Date	
Data source	Online Registration System, Project Management Module, PDM URF, e-Grants
Link to the objective	Erasmus+ 2021-2027 will offer simpler and more accessible Actions - Achievement of simplification of procedures.
Link MFF 14-20 / MFF 21-27	This action is on track and will continue in the current MFF similarly as in the previous one.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 10: Share of organisations and institutions that consider that the procedures for taking part in the Programme are proportionate and simple for the Sport strand**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of organisation providing a positive answer to selected questions in their final report (yearly)
Cut-Off Date	
Data source	Project Management Module, e-Grants
Link to the objective	Higher share reflects the achievement of simplification of procedures through the grant management process.
Link MFF 14-20 / MFF 21-27	New indicator. Based on lessons learned from the current programme, Erasmus+ 2021-2027 will offer simpler and more accessible Actions.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 11: Share of activities addressing climate objectives under key action 1 of the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of activities contributing to green priority (yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary Module, e-Grants
Link to the objective	The Commission recalled that Erasmus+ remains instrumental in achieving the objectives for quality and inclusive education, training and lifelong learning, and in preparing Europe to face the digital and green transitions.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The methodological approach to assess contribution will address the structural difference between project types (mobility and cooperation) and management modes (Centralised actions and decentralised actions).
Full metadata available at this address	
Justification of the trend	

#### Indicator 12: Share of projects addressing climate objectives under key action 2 of the Sport strand

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of projects contributing to green priority (yearly)
Cut-Off Date	
Data source	Project Management Module, Beneficiary Module, e-Grants
Link to the objective	The Commission recalled that Erasmus+ remains instrumental in achieving the objectives for quality and inclusive education, training and lifelong learning, and in preparing Europe to face the digital and green transitions.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The methodological approach to assess contribution will address the structural difference between project types (mobility and cooperation) and management modes (Centralised actions and decentralised actions).
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : The Union Programme for Education, Training, Youth and Sport (Erasmus+)*

**General Objective 1 :The Programme shall contribute to the achievement of the objectives of the Europe 2020 strategy, including the headline education target; the objectives of the strategic framework for European cooperation in education and training ("ET 2020"), including the corresponding benchmarks; the sustainable development of partner countries in the field of higher education; the overall objectives of the renewed framework for European cooperation in the youth field (2010-2018); the objective of developing the European dimension in sport, in particular grassroots sport, in line with the Union work plan for sport; and the promotion of European values in accordance with Article 2 of the Treaty on European Union.**

**Indicator 1:Percentage of 18-24 year-olds with only lower-secondary education who are not enrolled in education or training**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
11,9%	11,70%	11,40%	10,80%	10,60%	10,40%	10,20%	10%			10%
	Actual Progress									Final
	11,2%	11%	10,7%	10,6%	10,6%	10,3%				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of population (Cumulative)
Cut-Off Date	08/02/2021
Data source	Eurostat latest data available: <a href="https://ec.europa.eu/eurostat/databrowser/view/tesem020/default/table?lang=en">https://ec.europa.eu/eurostat/databrowser/view/tesem020/default/table?lang=en</a>
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Percentage 30-34 year-olds with completed tertiary or equivalent education**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
37,1%			39%		39,50%		≥ 40%			≥ 40%
	Actual Progress									Final
	37,9%	38,7%	39,1%	40,5%	40,5%	41,6%				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of population (Cumulative)
Cut-Off Date	
Data source	Eurostat latest data available: <a href="https://ec.europa.eu/eurostat/databrowser/view/tesem030/default/table?lang=en">https://ec.europa.eu/eurostat/databrowser/view/tesem030/default/table?lang=en</a>
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Percentage of higher education graduates who have had a period of higher education-related study or training (including work placements) abroad**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
2,9%		8%		17%			20%			20%
	Actual Progress									Final
		8%	10,70%							

Are we on track	No data
-----------------	---------

Indicator type	
Unit of measurement	Baseline: EU graduates qualified in a country other than the country in which they achieved their upper secondary diploma (degree mobility only).
Cut-Off Date	
Data source	The data collection needed for the indicator is under development through the European Statistical System. This work is coordinated by Eurostat.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Results 2016: 7.6% Credit Mobility and 3.1% Degree mobility. The data collection is based on Commission Regulation 912/2013. The first full data transmission on learning mobility of tertiary graduates (degree and credit mobility) was scheduled under this Regulation for November 2017 and published in 2018), referring to the academic year 2015/16. In 2018 data on credit mobility were published for the first time and included in the new estimates for the academic year 2015/16. Graduates which are credit mobile during their studies include graduates who participated in the Erasmus+ EU programme.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Percentage of 18-34 year-olds with an initial vocational education and training qualification who have had an initial vocational education and training-related study or training period (including work placements) abroad**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
2-3%				4%			6%			6%
	Actual Progress									Final
	3,10%									

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	Weighted average for 16 EU Member States where data are available through a Eurostat pilot collection (BE, BG, EE, ES, IT, LV, LT, HU, NL, AT, PL, PT, RO, SI, SK, SE). The final results can only be provided when all the projects have been finalised.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Estimate on available data for annual participation in VET mobility under the Leonardo Da Vinci programme and from certain countries (SWD SEC (2011) 670 on the development of benchmarks on education and training for employability and on learning mobility). When the VET mobility indicator was adopted there was no European harmonised data source that could provide data for the indicator. Eurostat set up a Task Force and a pilot data collection on learning mobility via household surveys. However, the results had low reliability for some countries. Based on the pilot data collection and discussions with Member State authorities, the Commission has drawn the conclusion that it was worth exploring the use of administrative data and review the feasibility of using such data for the benchmark on VET mobility. The results of the feasibility study to be published in the end of 2019 should clarify whether administrative data are a reliable source for the benchmark.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Number of staff supported by the Programme, by country and by sector**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
HE										
2013	Milestones									2020
46	49		50				70			70
	Actual Progress									Final
	43	45	47	55	65	76	78			
VET										
2013	Milestones									2020
9	23		11				15			15
	Actual Progress									Final
	20	17	18	18	20	22	22			
Schools										
2013	Milestones									2020
13	21		15				20			20

	Actual Progress								Final
	18	18	21	29	36	49	49		
Adult									
2013	Milestones								2020
2	6		3				5		5
	Actual Progress								Final
	5	4	4	6	8	12	12		
Youth									
2013	Milestones								2020
16	21	21	22	23	24	25	26		26
	Actual Progress								Final
	34	31	29	32	34	40	42		

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of staff participants (thousands, yearly)
Cut-Off Date	24/02/2021
Data source	Detailed breakdown can be found in the Erasmus+ Annual Report.
Narrative	
Methodology	The number of participants is extracted from the forecasts provided by the organisations on project awarded.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The number of participants is extracted from estimations provided by organisations and related to call years. In 2020 and in relation to COVID-19, organisations received more flexibility for the organisation of projects and forecasted less participants.

#### Indicator 6: Number of participants with special needs or fewer opportunities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total										
2013	Milestones								2020	
8	15			15			40			40
	Actual Progress								Final	
	19	22	24	30	35	26	8			
Youth										
2013	Milestones								2020	
18,7	47			21,6			37			37
	Actual Progress								Final	
	26	31	37	43	45	26	2			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)
Cut-Off Date	24/02/2021
Data source	Detailed breakdown can be found in the Erasmus+ Annual Report.
Narrative	
Methodology	Calculation method has been improved in 2019 and is now based on realised mobility periods. All EU28 past values have been recalculated. Values covering recent year might not include all numbers: these will be updated once projects are closed.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	This data is extracted from actual mobility data. Impact of COVID 19 explains the drop for year 2020 as most mobility periods were cancelled or postponed. Projects deadlines have been extended and 2019/2020 numbers will be refreshed once projects are closed.

#### Indicator 7: Number and type of organisations and projects, by country and by action

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
National Agencies										
2014	Milestones								2020	
Projects: 11/Organisations: 32	11 994									
	Actual Progress								Final	
	18/69	19/67	20/73	21/80	23/90	24/73	25/82			

EACEA										
2014	Milestones									2020
Projects: 0.8/Organisations: 4	11 994									
	Actual Progress									Final
	0.7/2.2	0.9/3.9	1.1/5.6	1.0/4.4	1.3/4.9					

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of projects/Organisations taking part in the programme (thousands, yearly)
Cut-Off Date	24/02/2021
Data source	EACEA data and Project monitoring tool from EAC
Narrative	
Methodology	Projects/Organisations
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Numbers include all programme countries
Full metadata available at this address	
Justification of the trend	Values for centralised activity (EACEA) will be available later

**Specific Objective 1 :to improve the level of key competences and skills, with particular regard to their relevance for the labour market and their contribution to a cohesive society, in particular through increased opportunities for learning mobility and through strengthened cooperation between the world of education and training and the world of work;**

**Indicator 1:Percentage participants declaring that they have increased their key competences**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0,81		0,83		0,85			0,88			0,88
	Actual Progress									Final
	0,93	0,93	0,94	0,91	0,93	0,94	0,94			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	24/02/2021
Data source	Erasmus participant surveys
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The weighted average over the total population (Education & Training, Youth) is 95% compared to a 88% target.

**Indicator 2:The number of pupils, students and trainees participating in the Programme, by country, sector, action and gender**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
HE										
2013	Milestones									2020
260	236	239	248	270	319	356	412			412
	Actual Progress									Final
	234	239	256	290	316	340	334			
VET										
2013	Milestones									2020
41	78	78	80	87	99	121	131			131
	Actual Progress									Final
	90	96	105	127	137	153	150			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of participants (thousands, yearly)
Cut-Off Date	24/02/2021
Data source	Project monitoring tool from EAC (Eplus Link)

Narrative	
Methodology	The number of participants is extracted from the forecasts provided by the organisations on project awarded.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Detailed breakdown can be found in the Erasmus+ Annual Report. Milestones foreseen - In line with DG EAC Strategic Plan 2016-2020. Actual results - EU28 preliminary results calculated for awarded projects in a given call year.
Full metadata available at this address	
Justification of the trend	The number of participants is extracted from estimations provided by organisations and related to call years. In 2020 and in relation to COVID-19, organisations received more flexibility for the organisation of projects and forecasted less participants.

**Specific Objective 2 :to foster quality improvements, innovation excellence and internationalisation at the level of education and training institutions, in particular through enhanced transnational cooperation between education and training providers and other stakeholders.**

**Indicator 1: The number of users of Euroguidance**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Hits on Euro-guidance										
2012	Milestones									2020
2 921 925	Actual Progress									10 000 000
	3 561 668	5 000 000	2 983 273							Final
Participants in Euro guidance seminars/workshops										
2013	Milestones									2020
11 411	Actual Progress									100 000
	7 643			10 000			100 000			Final
	31 832	30 463								

Are we on track	No data
Indicator type	Output
Unit of measurement	Hits on Euroguidance website & participants in Euroguidance seminars/workshops or participants in Euroguidance seminars/workshops respectively.
Cut-Off Date	
Data source	2015 According to Erasmus+ annual report. 2016 Cf. Euroguidance Synthesis report.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline according to 2013 final reports.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :to promote the emergence and raise awareness of a European lifelong learning area designed to complement policy reforms at national level and to support the modernisation of education and training systems, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices;**

**Indicator 1: Percentage of participants who have received a certificate, diploma or other kind of formal recognition of their participation in the Programme**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
HE										
2013	Milestones									2020
100%	Actual Progress									100%
	100%	100%	100%	100%	100%	100%	100%			Final
VET										
2013	Milestones									2020
65%	Actual Progress									75%
	71%	74%	73%	76%	75%	75%	91%			Final

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	24/02/2021
Data source	Data is extracted from completed participant surveys.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Milestones foreseen - In line with DG EAC Strategic Plan 2016-2020. Result indicator: the final results can only be provided when all the formal recognitions have been delivered (year N=3).
Full metadata available at this address	
Justification of the trend	The weighted average over VET and Youth populations is 91% compared to a 69% target (excluding HE as it is always at 100%).

**Specific Objective 4 :to enhance the international dimension of education and training, in particular through cooperation between Union and partner-country institutions in the field of VET and in higher education, by increasing the attractiveness of European higher education institutions and supporting the Union's external action, including its development objectives, through the promotion of mobility and cooperation between the Union and partner-country higher education institutions and targeted capacity-building in partner countries.**

**Indicator 1: The number of partner country higher education institutions involved in mobility and cooperation actions**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1000		1000	1100		1200		1300			1300
	Actual Progress									Final
	1	902	1033	853	910					

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of participating organisations (yearly)
Cut-Off Date	24/02/2021
Data source	According to Erasmus+ annual report.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	International actions were only launched at the end of 2014. These figures come from the numbers of non EU HEIs having participated in Erasmus Mundus (EM) and Tempus from 2009 to 2013. Figures reported centralised actions only.
Full metadata available at this address	
Justification of the trend	Numbers for 2019 and 2020 to be provided later

**Indicator 2: The number of higher education students receiving support to study in a partner country, as well as the number of students from a partner country coming to study in a Programme country**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Going to a partner country										
2013	Milestones									2020
	0	3,8	4	4,3	3,6	3	3,9			3,9
	Actual Progress									Final
	0	9	13	16	18	22	25			
Coming from a partner institution										
2013	Milestones									2020
	0	15	16	17	14	15	15			15
	Actual Progress									Final
	0	19	23	25	28	33	37			

Are we on track	On track
Indicator type	Result
Unit of measurement	Higher education students and staff going to or coming from a partner country or institution in thousand (yearly)
Cut-Off Date	24/02/2021
Data source	EAC mobility tool

Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The increasing trend of actual results mirrors the increasing trend of the annual budget available over the programme period.

### Specific Objective 5 :to improve the teaching and learning of languages and to promote the Union's broad linguistic diversity and intercultural awareness;

#### Indicator 1:Percentage of participants in long-term mobility declaring that they have increased their language skills

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
HE										
2010	Milestones									2020
0,94		0,95		0,96	0,96		0,98			0,98
	Actual Progress									Final
	0,98	0,98	0,97	0,97	0,97	0,96	0,96			
VET										
2010	Milestones									2020
0,81				0,87	0,87		0,90			0,90
	Actual Progress									Final
	0,97	0,96	0,96	0,96	0,96	0,94	0,95			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	24/02/2021
Data source	Data is extracted from completed participant surveys.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In order to compare data, "long-term" mobility is considered here as from 2 months and over across all sectors. Milestones foreseen - In line with DG EAC Strategic Plan 2016-2020.
Full metadata available at this address	
Justification of the trend	The weighted average over HE and VET populations is 96% compared to a 98% target.

### Specific Objective 6 :to promote excellence in teaching and research activities in European integration through the Jean Monnet activities worldwide

#### Indicator 1:Number of students receiving training through Jean Monnet activities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2007	Milestones									2023
120 000	215 000	235 000	260 000	285 000	310 000	335 000	360 000			360 000
	Actual Progress									Final
	246 000	267 000	286 000	307 000	311 000	359 000	432 000			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of participants (Cumulative)
Cut-Off Date	24/02/2021
Data source	EACEA monitoring tools (Pegasus)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	A high number of applications have been received and selected compared to the previous years. The increasing trend of actual results mirrors the increasing trend of the annual budget available over the programme period.

**Specific Objective 7 :to improve the level of key competences and skills of young people, including those with fewer opportunities, as well as to promote participation in democratic life in Europe and the labour market, active citizenship, intercultural dialogue, social inclusion and solidarity, in particular through increased learning mobility opportunities for young people, those active in youth work or youth organisations and youth leaders, and through strengthened links between the youth field and the labour market;**

**Indicator 1:Percentage of participants declaring that they have increased their key competences**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
75%			77%				80%			80%
	Actual Progress									Final
	94%	94%	94%	94%	95%	95%	96%			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	24/02/2021
Data source	Erasmus participants surveys
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The weighted average over the total population (Education & Training, Youth) is 95% compared to a 88% target.

**Indicator 2:Percentage of participants in voluntary activities declaring that they have increased their language skills**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
87%		90%		92%			95%			95%
	Actual Progress									Final
	97%	96%	96%	96%						

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	14/02/2021
Data source	Erasmus participant surveys
Narrative	The survey for this indicator has been stopped in 2019. No data for 2020.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	From 2018 onwards, action was organised under the European Solidarity Corps programme.

**Indicator 3:The number of young people engaged in mobility actions supported by the Programme, by country, action and gender**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
59	69	70	70	77	92	107	124			124
	Actual Progress									Final
	84	92	102	110	105	117	117			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of youth participants (thousand, yearly)
Cut-Off Date	14/02/2021
Data source	EAC project monitoring tool
Narrative	
Methodology	The number of participants is extracted from the forecasts provided by the organisations on project awarded.

Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The decrease in results observed in 2017 and 2018 is due to the transfer of funds for the volunteering activities to the new spending programme – European Solidarity Corps. The new regulation was adopted in October 2018. The number of participants is extracted from estimations provided by organisations and related to call years. In 2020 and in relation to COVID-19, organisations received more flexibility for the organisation of projects and forecasted less participants.

### Specific Objective 8 :to foster quality improvements in youth work, in particular through enhanced cooperation between organisations in the youth field and/or other stakeholders.

#### Indicator 1:The number of users of the Eurodesk network

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
140 000	140 000	140 000	140 000	140 000	140 000	140 000	140 000			140 000
	Actual Progress									Final
	258 500	266 000	338 381	338 116	382 225	520 743	217 143			

Are we on track	On track
Indicator type	Result
Unit of measurement	Information enquiries answered through Euro desk network
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In 2020 we see a decrease in numbers due to the impact of Covid-19. In 2019 this figure has significantly increased because of the European Solidarity Corps kick off which generated a lot of interest and enquiries across the network. In 2018, the Eurodesk network answered over 339 000 enquiries, had over 430 000 social media followers and received 12.1 million website visits. Over 3 600 trainings were held by Eurodesk for around 36 000 participants to further enhance knowledge of youth workers from all over Europe.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 9 :to complement policy reforms at local, regional and national level and to support the development of knowledge and evidence-based youth policy as well as the recognition of non-formal and informal learning, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices.

#### Indicator 1:Percentage of participants who have received a certificate 'for example a Youthpass', diploma or other kind of formal recognition of their participation in the Programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
26%		35%		45%			65%			65%
	Actual Progress									Final
	77%	78%	81%	82%	86%	85%	91%			

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	14/02/2021
Data source	Erasmus participant surveys
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Milestones foreseen - In line with DG EAC Strategic Plan 2016-2020.
Full metadata available at this address	
Justification of the trend	The weighted average over VET and Youth populations is 91% compared to a 69% target.

**Specific Objective 10 :to enhance international dimension of youth activities and the role of youth workers and organisations as support for young people in complementarity with the Union's external action, in particular through the promotion of mobility and cooperation between the Union and partner-country stakeholders and international organisations and through targeted capacity-building in partner countries.**

**Indicator 1:The number of youth organisations from both Programme countries and partner countries involved in international mobility and cooperation actions**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
5 300	5 500		5 600		5 800		6 000			6 000
	Actual Progress									Final
	9 179	6 179	7 374	8 286	5 925	6 338	6 984			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of organisations (yearly)
Cut-Off Date	14/02/2021
Data source	EAC project management tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 11 :to tackle cross-border threats to the integrity of sport, such as doping, match-fixing and violence, as well as all kinds of intolerance and discrimination;**

**Indicator 1:Percentage of participants who have used the results of cross-border projects to combat threats to sport**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2009-2013	Milestones									2020
0%	6,60%			50%			75%			75%
	Actual Progress									Final
	55%	60%	65%	70%	70%	75%	75%			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	14/02/2021
Data source	Erasmus participant surveys
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In line with DG EAC Strategic Plan 2016-2020.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 12 :to promote and support good governance in sport and dual careers of athletes;**

**Indicator 1:Percentage of participants who have used the results of cross-border projects to improve good governance and dual careers**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2009-2013	Milestones									2020
0%	9%			50%			75%			75%
	Actual Progress									Final
	40%	35%	45%	55%	65%	70%	75%			

Are we on track	On track
Indicator type	Impact

Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	14/02/2021
Data source	Erasmus participant surveys
Narrative	New EU action, no baseline available.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In line with DG EAC Strategic Plan 2016-2020.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 13 :to promote voluntary activities in sport, together with social inclusion, equal opportunities and awareness of the importance of health-enhancing physical activity through increased participation in, and equal access to, sport for all.**

**Indicator 1:Percentage of participants who have used the results of cross-border projects to enhance social inclusion, equal opportunities and participation rates**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2009-2013	Milestones									2020
0%	Actual Progress									Final
	35%	45%	55%	65%	70%	75%	75%			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of participants with positive answers to a survey (yearly)
Cut-Off Date	14/02/2021
Data source	Erasmus participant surveys
Narrative	New EU action, no baseline available.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In line with DG EAC Strategic Plan 2016-2020.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Size of membership of sport organisations applying for, and taking part in, the Programme, by country**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2009-2013	Milestones									2020
0%	Actual Progress									Final
	25%	25%	27%	30%	35%	40%	50%			

Are we on track	On track
Indicator type	Output
Unit of measurement	Size of membership of sport organisations (Percentage of small grassroots less than 1 000 members in the projects)
Cut-Off Date	14/02/2021
Data source	
Narrative	New EU action, no baseline available.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming	Total
----------------	-----------------------	-------

2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.1.2. Explanation and justification on the financial contribution

Erasmus+ is a powerful instrument to reach out to and engage with a wide spectrum of players in our society (schools, universities, VET providers, youth and sport organisations, NGOs, local and regional authorities, civil society organisations, etc.), contributing with its own instruments (mobility, cooperation, policy support) to reaching the Green Deal objectives, as well as the overall target of 30% climate spending in the EU budget.

Regarding the climate spending, the programme contribution will be monitored through dedicated indicators set in the legal basis in line with the programmes main objectives of skills, development and young people mobility. For these purposes, we will increase our efforts to monitor the share of activities addressing climate objectives under key action 1 and the share of activities addressing climate objectives under key action 2. Additional indicators will be developed in the context of a monitoring and evaluation framework.

Erasmus+, with mobility at its core, will strive for carbon-neutrality by promoting sustainable transport modes and more responsible behaviour. The European Year of Rail 2021 is an excellent platform to promote the efforts to green Erasmus+ and encourage participants to choose rail or other low-carbon means of transport.

Environment and fight against global warming will be a horizontal priority for the selection of cooperation projects. Projects will support the creation of networks and partnerships of various actors in the field of education, including schools and the local communities and industries, working together on raising awareness of environmental issues, teaching and practicing what is taught (for example social responsibility; waste reduction; clean transport etc.). Platforms such as eTwinning and EPAL will continue to produce support materials and facilitate the exchange of effective educational practices and policies on environmental and sustainability matters.

The Erasmus+ programme will help develop knowledge, skills and attitudes on climate change and sustainable development and support whole-institution approaches to education for environmental sustainability. The programme will increase the number of mobility opportunities in green forward-looking fields, i.e. those study periods abroad, traineeships, youth or classrooms exchanges, etc. which foster the development of competences, enhance career prospects and engage participants in subject areas, with special attention to rural development (sustainable farming, management of natural resources, soil protection, bio-agriculture) all of which are strategic for the sustainable growth of our planet.

### 6.1.3. Key achievements

- European Universities are now selected under Erasmus+; these are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. They will work on a challenge-based approach, meaning that students cooperate with academics, researchers and companies from various disciplines, and cities, regions, civil society organisation and countries to tackle big societal challenges, addressing sustainable development at large, including climate change.
- For example, the ENLIGHT European University will inter alia focus on the impact of climate change on regional ecosystems. ENLIGHT will use its local environments (cities and regions) across Europe as living laboratories for lifelong learning and research in this area.
- The aim of the youth workers training ‘Green living in the rural area’ is to empower youth workers and their organisations to support social and environmental responsibility, saving and optimising resources. The project trains youth workers to reuse and recycle materials and provide them with the competences to act as multipliers in their own organisations. The main objectives are to raise awareness of participants on sustainable development of rural areas and on reusing and recycling of materials; provide participants with knowledge, skills and competences regarding the reusing of wood and other materials for a tree-house construction; stimulate the spirit of entrepreneurship of the participants; encourage creativity, leadership skills, innovative attitude and environmental responsibility of participants, to act as multipliers of the knowledge acquired in the training course.
- Several Erasmus Mundus Joint Master Degrees work directly on Climate Change issues, for example the [Master of Urban Climate and Sustainability - MURCS 1.5](#) (€4.4 million) or the [EMJMD Renewable Energy in the Marine Environment REM+](#) (€3 million)
- Building on the success and lessons from MURCS, the aim of the new [Master of Urban Climate and Sustainability 1.5](#) (MURCS1.5) is to produce high calibre graduates to understand, assess and manage climate resilience in cities to live within a 1.5°C warmer world. MURCS1.5 will integrate three themes: science of nature-based solutions as the approach to mitigation, with circular economy as the driver for urban planning, with sustainability leadership as the management goal. The [Master in Renewable Energy in the Marine Environment \(REM+\)](#) is an MSc Joint Degree coordinated by the University of the Basque Country in partnership with the Norwegian University of Science and Technology, École Centrale de Nantes and the University College, Cork. The Programme has been tailored to meet companies' needs in the area of Offshore Renewable Energy, and will have an international orientation underpinned by the direct participation, as Associate Partners, of world-renowned Research Centres, SMEs, and Large enterprises within industry.

- [STEAM within the classroom: solving ecological problems in collaboration](#)
- The goal of the project is to develop the STEAM skills of students (13-17 year old) in exploring ecological problems.  
Objectives:
  1. Understand the experiences of the partner countries of the project and enable students to conduct joint research activities;
  2. Promote pupils to reveal themselves in social, natural and cultural fields, and develop environmental self-awareness;
  3. Improve foreign language skills and broaden the cultural outlook.

## 6.2. Contribution to biodiversity mainstreaming

Not applicable

## 6.3. Contribution to clean air financing

Not applicable

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming					Total
	2022	2023	2024	2025	2026	
0,0	0,0					0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

Provisions supporting gender equality through Erasmus+ have strong synergies with the transformative agenda for higher education institutions and the European Universities alliances.

Equality between men and women is a broad EU objective, and is explicitly stated in the Erasmus+ programme. Erasmus+ aims at promoting equity and inclusion by facilitating the access to participants with disadvantaged backgrounds and fewer opportunities compared to their peers whenever disadvantage limits or prevents participation in transnational activities for reasons such as social obstacles caused by discrimination on the basis of gender. The participation to date shows excellent gender balance for the participants.

In the field of Youth, Erasmus+ supports non-formal learning for young people and equips youth workers with the necessary competences to better work with them, with the objective to engage and empower young people to become active citizens, connect them to the European project as well as to help them acquire and develop competences for life and their professional future. Projects supported are particularly suitable to strengthen European values and breaking down prejudices and stereotypes, raise awareness about socially relevant topics such as gender equality and make young people actors of change.

In addition, Erasmus+ supports projects dealing with the issue of gender equality; e.g. focusing on changing mentalities through reflection and the exchange of best practices, sensitising children to gender and diversity and by developing new and innovative methods to break down barriers for young girls in science and technology education. Erasmus+ supported initiatives aimed at addressing the underrepresentation of women in the area of STEM education, contributed to reinforcing quality early childhood education and care through actions such as fighting gender stereotypes from an early age and addressing underrepresentation of men in this field. The youth strand of Erasmus+ activities contributes to the implementation of the EU Youth Strategy 2019-2027 with the objective 'Ensuring equality of all genders and gender-sensitive approaches in all areas of life of a young person'.

Erasmus+ has funded over 3 100 projects addressing gender equality in the period 2014-2020.

Erasmus+ has funded several Strategic Partnerships and Capacity building Projects on gender equality in STEM in higher education. In addition, forward-looking cooperation projects also focus on STEAM education, such as the project 'Innovating STE(A)M in Higher Education with Transdisciplinary Talent Programs', '[EU STEAM](#) Towards a European STE(A)M Platform' and '[ArtIST](#) Integrated Interdisciplinary Education Module on Art, Entrepreneurship, Innovation and Science'. The projects promote innovative and cross-disciplinary approaches to STEAM curricula and teaching in higher education. The common cross-cutting objectives of these projects are to: i) contribute to increasing the participation of girls and women in STEM fields of study and jobs and; ii) reinforce cooperation between schools, higher education institutions, non-academic partners and businesses.

The Youth mobility project 'Soul has no gender: Working together to promote gender equality and end violence towards women' brought together young people from different countries for the purpose of addressing human rights, gender equality and violence against women in their home communities. Young participants were given the opportunity to actively participate in non-formal activities and to engage in a dialogue about gender equality and gender roles in their social environment. Their perception of the

gender roles were challenged and they were provided with tools to combat gender discrimination, contribute to raise awareness and trigger behavioural changes around them.

In the field of sport, in addition to the regular activities, the programme contributed to cooperation with the Council of Europe, the United Nations Office on Drugs and Crime (UNODC), the World Health Organisation and the National Football Information Points (NFIP) network, with dedicated projects to tackle key issues such as gender equality, match-fixing and violence in sport.

The [Erasmus Mundus Master's Degree in Women's and Gender Studies](#) (GEMMA) has been funded with a total budget of €4.5 million.

[GEMMA Master's Degree in Women's and Gender Studies](#) provides high quality academic education and professional competencies in the areas of Women's Studies, Gender Studies and Equal Opportunities across Europe and beyond. It collects the best offer from the humanities, social sciences and health sciences, making it attractive to students worldwide and offering a wide range of options. GEMMA's mission is to form much needed gender experts who will be able to contribute to greater equality between men and women, taking into account the intersections of ethnicity, race, class and sexuality and contributing to citizenship in the broadest sense of the word. The consortium consists of six universities in Spain, Italy, Poland, Netherlands and UK.

The [Young Man Interested in Early Childhood Education \(YOMAI\)](#) project aims to make working with children, up to the age of 10 attractive to men to encourage them to start a job or training in early childhood education. The targeted professions are educators, teachers and social workers.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

#### *SDG 1 End poverty in all its forms everywhere*

Through its activities to achieve social inclusion through education, Erasmus+ contributes to achieving Goal 1 of the SDGs, in particular its target of reducing at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 1, the European University of Post-Industrial Cities (UNIC European University) will focus its activities inter alia on post-industrial challenges and diversity, taking into account also the needs of socio-economical disadvantaged areas.

The [ASEAN Network for Green Entrepreneurship and Leadership \(ANGEL\)](#) aims to build the capacity necessary in eleven ASEAN Universities for balancing the high potential economic growth and innovation in partner countries. These partner countries lack capacities in green entrepreneurship as well as resolving entrenched issues and challenges in relation to poverty, low quality jobs in the informal sector, digital divide and leadership gaps.

#### *SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture*

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 2, the selected European University of Technology (EUT) will work on sustainable agriculture from a technological point of view.

Capacity Building for Higher Education (CBHE) project [Enhancing Food Safety in the Mediterranean](#) (FoSAMED) (€0.9 million) The [FoSaMed project](#) brings together Moroccan HEIs promoting inclusive education through curriculum development and teacher education on Food Safety. It aims to train teachers within the framework of a new Master on Food Safety, to enable students to develop and upgrade their knowledge and technical skills on food safety issues. This will allow them to acquire new methodological and technical abilities to face the upcoming challenges in the Food Industry sector. The project foresees training of teachers in four Moroccan HEIs, which will have upgraded food safety labs for hands-on training of teachers and students.

#### *SDG 3 Ensure healthy lives and promote well-being for all at all ages*

Through its education, training and sport activities, Erasmus+ promotes healthy habits and well-being, particularly among youth, hence contributing to SDG 3. The [Tartu Call for a healthy life style](#) sets out a roadmap for promoting healthy lifestyles in Europe, particular among children.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 3, the European University Alliance for Global Health (EUGLOH) will have a special focus on global health.

#### *SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all*

Much like the Sustainable Development Goal 4, the EU Strategic Framework for European Cooperation in Education and Training (ET 2020) is designed to support Member States in ensuring inclusive and equitable quality education and in promoting life-long learning opportunities for all. The ET 2020 priorities, adopted by the Council and Commission in November 2015, have a direct influence on the Erasmus+ Work Programmes. Erasmus + provides funding to support initiatives such as social inclusion through

education and training, addressing early school-leaving and underachievement in reading, mathematics and science; fostering employability of graduates and adult participation in learning, and enhancing democratic citizenship, social, civic and intercultural competences and common EU values.

On the international scene, the EU has an active policy supporting cooperation in education and training with third countries by promoting peer-to-peer learning and comparing education systems worldwide. In particular, the EU's Erasmus+ mobility and inter-university cooperation programme is an invaluable instrument for establishing lasting academic and cultural ties, also promoting the EU in partner countries. Overall Erasmus+ funding for third countries will support around 200 000 mobility exchanges of university students and staff, 1 000 capacity building in higher education projects and around 27 000 scholarships and teaching staff within Erasmus Mundus Joint Master Degrees, primarily for partner countries across the world. Support is also provided to higher education in Africa through the Joint Africa-EU Strategy.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 4, the EUNICE - European University for Customised Education will have a special focus on customised education and life-long learning for part-time and non-traditional students.

#### [Supporting Social and Emotional Competences of Pre-School Children from Disadvantaged or Culturally Different Environments.](#)

Pre-school and kindergarten classrooms are among the earliest social environments that a child encounters outside the family. For young children with different cultural backgrounds and social disadvantages, this transition can be a challenging one. Five partner organisations from four European countries have teamed up to develop and implement innovative methodology of inclusive pre-school education to support children with special needs, especially those coming from socially disadvantaged or culturally different environments.

[New didactical models for initial VET training of young disadvantaged persons to reduce drop out.](#) The NEW-D project set out to develop an innovative didactical model to be used in the VET training of disadvantaged young learners (the final beneficiaries of the project) - in order to keep them in or, even, to bring them back into initial VET.

[Teacher's training to the inclusion of the children of foreigners.](#) The aim to exchange inspiring experience for professionals of partner organisations, and create a common, practical, freely available tool for teachers/workers who have to adapt their teaching practice to include children of foreigners.

#### ***SDG 5 Achieve gender equality and empower all women and girls***

The Erasmus+ Programme aims at removing social obstacles for participation in it for people facing discrimination because of gender, among other reasons. Strategic partnerships in the field of Youth give priority to projects that promote the empowerment of all young people, with a special focus on access to rights, autonomy and participation. The promotion of gender equality and equal opportunities is a specific objective in the field of sport.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 5, the European Space University of Earth and Humanity (UNIVERSEH European University) will focus its activities inter alia on gender equality in the space sector.

[WEMag](#) aims to help reduce the obstacles to entrepreneurship for young educated women in Tunisia and Morocco by providing them with entrepreneurial knowledge, experience and access to networks for business purposes. Using a design-thinking approach, it will create a new, common University Course on entrepreneurship designed for women, including project-oriented action learning, online learning and an internship allowing them to discover the first steps of budding companies. This course will improve the knowledge, skills and competences of female students and recent graduates in Tunisia and Morocco for employability and business creation after formal education.

The [Giritech project](#) set itself the goal of supporting the participation of women in the field of Science, Technology, Engineering and Mathematics (STEM). The project focuses on peer learning activities, getting inspired by strategies from other countries and finding out which approaches from the partner countries might be suitable for others.

#### ***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 6, INnoVations of REgional Sustainability: European University Alliance (Invest European University) will focus its activities sustainable regional development, inter alia on water, energy, food and environment nexus.

CBHE project [Inow Asia: Development of innovative multilevel formation programs for the new water leading professionals in South East Asia](#) (€0.9 million)

[Inow Asia](#) will transfer to participating EU HEIs the knowledge and experience available about the implementation of innovative master programmes on water resources management. The main idea is to jointly design an innovative training programme based on modular and flexible water resources combining the on-line and problem-based methodology to complement some of the existing postgraduate programs, and also to co-design and implement water-oriented living labs in the campus of each PC HEI. As a result,

a new generation of Asian leading professionals in the field of water will be incorporated into the water labour market, with a global view of the sector challenges, a strong background in sustainable water management, but with a specific approach to the local demands.

***SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 7, Ulysseus, an open to the world, persons-centred and entrepreneurial European University for the citizenship of the future will focus its activities inter alia on energy, transport, mobility and smart cities.

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

All actions of the Erasmus+ Programme contribute to increase the employability of the young people that participate in it, as shown by several studies. This is achieved through a combination of several outcomes, e.g. the acquisition of new skills, increased autonomy, increased knowledge of foreign languages, etc. The emphasis on inclusion aims to ensure that all can reap these benefits irrespective of disadvantage.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 8, the European University of Post-Industrial Cities (UNIC European University) will focus its activities inter alia on post-industrial challenges and diversity, taking into account also the needs of socio-economical disadvantaged areas.

CBHE project [University Student Capacity Building: Towards Readiness for Sustainable Development-Oriented Regional Job Market](#) (€1 million)

The aim of the project is to develop a generation of globally-exposed higher education graduates, equipped with essential character, social and cognitive skills blended with academic competencies, with a higher degree of readiness for the fast-evolving community and job market, and who are capable to integrate effectively in multi-cultural, diverse eco-system. A pilot set of competence-tailored 35 short- and 10 long-term extracurricular activities & 'quests' are designed and programmed into the LMS & SIS of partner HEIs, along with 35 courses (120 ECTS) in Engineering and ICT restructured to align with SDGs in competency-based format, targeting the full envisioned picture of the future 'Global Citizen' possessing competencies that were clearly identified via an exhaustive gap analysis developed at the beginning of the project.

***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

CBHE project [strENGtHening skills and training expertise for TunisiAN and MorroCan transition to industry 4.0 Era](#) (€0.8 million)  
This project focuses particularly on Production, Maintenance and Quality engineering processes, which represent key industrial business processes that need attention, investment and improvement. The overall objective is to contribute to strengthening the skills and training expertise of both Tunisian and Moroccan universities in the three targeted topics for inciting and assisting the Partner Countries (PC) transition to industry 4.0 era.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 9, the European Engineering Learning Innovation and Science Alliance (EELISA European University) will focus its activities inter alia on sustainable and smart industry.

***SDG 10 Reduce inequality within and among countries***

In general, the Erasmus+ Programme aims at promoting equity and inclusion by facilitating access to it to participants with disadvantaged backgrounds and fewer opportunities compared to their peers. More specifically in the field of Youth, an Inclusion and Diversity Strategy has been designed as a common framework to support the participation and inclusion of young people with fewer opportunities.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 10, the European Digital UniverCity (EDUC European University) will focus its activities inter alia on justice, inequality and inclusion.

***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 11, the European Consortium of Innovative Universities (ECIU European University) will focus its activities specifically around SDG 11 on sustainable cities and communities.

CBHE project [Urban Resilience and Adaptation for India and Mongolia: curricula, capacity, ICT and stakeholder collaboration to support green & blue infrastructure and nature-based solutions](#) (€1 million)

The project aims to promote green and blue infrastructure and nature-based solutions (GBI&NBS) for resilient, climate-friendly and liveable cities in Indian and Mongolia through ICT-enhanced tertiary education linked to labour markets and wider stakeholder circles.

***SDG 12 Ensure sustainable consumption and production patterns***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 12, The European University Alliance on Responsible Consumption and Production (Eureca-Pro) will focus its activities on responsible consumption and production.

CBHE project [Development of Higher Education Content Aimed to Support Industries for Sustainable Production of Qualitative Agri-food](#) (€0.9 million)

The project aims to modernise HE content for promotion of development of such national agro-food production systems, where farm-enterprises will apply internationally recognised good agricultural practices and sustainable agro-business management principles and approaches, thus increasing agro-food production industry effectiveness and competitiveness. The overall aim is to modernise agro-industry related higher education, thus promoting implementation and effective management of sustainable agro-food production systems in Kyrgyzstan and Uzbekistan.

***SDG 13 Take urgent action to combat climate change and its impacts***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 13, the ENLIGHT European University will inter alia focus its activities on the impact of climate change on regional ecosystems. ENLIGHT will use its local environments (cities and regions) across Europe as living laboratories for lifelong learning and research in this area.

CBHE project [New Courses in Geospatial Engineering for Climate Change Adaptation of Coastal Ecosystems](#) (€0.8 million)

The youth mobility project 'Green Light' aims to raise awareness among young people on waste and to foster reflection about their shopping habit and focuses on environmental pollution, more specifically on the household waste recycling. The program draws attention to the importance of environmentally conscious lifestyle. The purpose is to show young people that a conscious consumption and creative waste management is easy to implement in daily habits. During the Youth Exchange, youngsters from four different countries learned about different countries waste-dealing politics, alternative energy utilizing equipment, and how to recycle using their creativity.

The project activities will deliver the following main results: developed and accredited innovative regional joint interdisciplinary MSc program (120 ECTS, 2-year duration) in the field of Maritime Environmental Protection and Management (MEP&M) in English language at Partner countries (PC) HEIs; enhanced human capacities in the field of MEP&M and e-learning methodology through tailored trainings at PC HEIs; enhanced technical capacities of PC HEIs through installed new e-learning platform; increased networking among PC HEIs, governmental institutions, Blue economy sector companies and NGOs in order to act regionally to prevent and cope with consequences of global climate change and local/regional marine pollution.

***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 14, the European University for Smart Urban Coastal Sustainability (EU-CONEXUS) will focus its activities on blue Growth, bio-economy, environmental protection, sustainable tourism, Coastal civil engineering, Sustainable aquaculture and Marine biotechnology.

CBHE project [Building a Comprehensive Mechanism for Preserving Marine Ecosystems and Life from the negative consequences of Climate Change and the disposal of Plastic Debris](#) (€0.9 million)

The project involves the development of a comprehensive mechanism combining capacity building and institutional development for marine ecosystem monitoring, capitalizing on the relevant expertise and know-how from EU higher education institutions and organisations.

***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 15, the 4EU+ European University will focus its activities inter alia on biodiversity and sustainable development.

CBHE project [Developing Curricula for biodiversity monitoring and conservation in Tanzania](#) (€0.8 m)

The project aims at building a network of HEIs and natural science museums in the EU and the three major Partner Country HEIs to implement state-of-the-art HE training so to boost capacity and curricula in biodiversity science, hence improving the country's HE offer. Impacts generated will include the activation of new course programmes to shape an increased number of future competitive biodiversity experts for relevant professional positions, increased research, scientific production, and biodiversity programmes that adopts international standards.

***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

One of the aims as regards students, trainees, apprentices, young people and volunteers participating in any of the mobility activities supported under Erasmus+ is a more active participation in society.

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 16, the European University in Social Science (CIVICA) will focus its activities inter alia on challenges to democracy in the 21 century.

CBHE project [The Academic Alliance for Reconciliation in the Field of Higher Education in Peace, Conflict Transformation, and Reconciliation Studies in the Middle East and North Africa](#) (€0.7 million)

The project aims at building capacity in the field of Higher Education (HE) in Peace, Reconciliation and Conflict Transformation Studies in the Middle East and North Africa (MENA) region. The aim and focus of the project are to reinforce the existing network of cooperating partners and to advance curriculum development in Peace, Conflict Transformation, and Reconciliation Studies as academic degree in HEI.

***SDG 17 Strengthen the means of implementation and revitalize the global partnership***

European Universities selected under Erasmus+ are ambitious transnational alliances of higher education institutions developing long-term structural and strategic cooperation. For example, in relation to SDG 17, the Young Universities for the Future of Europe (YUFE) will focus its activities inter alia on European identity and responsibilities in a global world.

**HEADING 2B: Resilience and Values****European Solidarity Corps (ESC)****Lead DG:EAC**

1. Overview .....	645
1.1. Challenges .....	645
1.2. Mission (general objectives) .....	645
1.3. Specific objectives .....	645
1.4. Public intervention context .....	646
1.5. Actions .....	646
1.6. Delivery mode .....	646
1.7. Graphic overview of the programme structure .....	646
1.8. Legal basis and financial programming .....	647
1.9. Link with the 2014-2020 MFF .....	647
1.10. Relevant websites providing more information .....	647
2. Where are we in the implementation ? .....	647
2.1. Programme 2021-2027 .....	648
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	648
3. How is the programme performing ? .....	648
3.1. Performance .....	648
3.2. Key achievements .....	652
3.3. Evaluations, studies and reports .....	652
4. Programme 2021-2027 - Key monitoring indicators .....	653
Specific Objective 1 :The specific objective of the Programme is to provide young people, including those with fewer opportunities, with easily accessible opportunities for engagement in solidarity activities in Europe and abroad while improving and properly validating their competences as well as facilitating their employability and transition into the labour market .....	653
5. Programme 2014-2020 - Key monitoring indicators .....	657
Previous Program 1 : EU Aid Volunteers initiative (EUAV) .....	657
General Objective 1 :To contribute to strengthening the Union's capacity to provide needs-based humanitarian aid aimed at preserving life, preventing and alleviating human suffering and maintaining human dignity and to strengthening the capacity and resilience of vulnerable or disaster-affected communities in third countries .....	657
Specific Objective 1 :Contribute to increasing and improving the capacity of the Union to provide humanitarian aid. ....	658
Specific Objective 2 :Improvement of the skills, knowledge and competences of volunteers in the field of humanitarian aid and the terms and conditions of their engagement .....	659
Specific Objective 3 :Building the capacity of hosting organisations and foster volunteering in third countries .....	660
Specific Objective 4 :Communication of the Union's humanitarian aid principles as agreed in the European Consensus on Humanitarian Aid .....	660
Specific Objective 5 :Enhancement of coherence and consistency of volunteering across Member States in order to improve opportunities for Union citizens to participate in humanitarian aid activities and operations.....	660
Previous Program 2 : European Solidarity Corps (ESC).....	661
Specific Objective 1 :to provide young people, with the support of organisations, with easily accessible opportunities for engagement in solidarity activities while improving their skills and competences for personal, educational, social, civic and professional development, as well as their employability and facilitating transition to regular employment .....	661
Specific Objective 2 :to ensure that the solidarity activities that are offered to the European Solidarity Corps participants contribute to addressing concrete societal challenges and strengthening communities, and are of high quality and properly validated.....	662
Specific Objective 3 :to ensure that particular efforts are made to promote social inclusion and equal opportunities, in particular for the participation of young people with fewer opportunities, through a range of special measures such as appropriate formats of solidarity activities and personalised support .....	664

Specific Objective 4 :to contribute to European cooperation relevant to young people and to raise awareness of its positive impact.....	665
6. The programme contribution to horizontal policies .....	665
6.1. Contribution to climate mainstreaming.....	665
6.2. Contribution to biodiversity mainstreaming.....	666
6.3. Contribution to clean air financing.....	666
6.4. Contribution to gender equality .....	666
6.5. Contribution to the sustainable development goals.....	667

## **1. Overview**

### **1.1. Challenges**

The European Union is built on solidarity, a shared value which is strongly felt throughout our European society. Solidarity is a fundamental pillar of the European integration project, providing a clear compass to guide Europe's citizens, and especially the young ones, in their aspirations for a better EU.

Community needs can be addressed by involving younger generations in solidarity activities. Many young people wish to engage in such activities and organisations are looking for motivated youngsters to help their efforts. With the right support, these organisations could offer even more to communities.

The European Solidarity Corps was initially launched in 2018, building on the experience acquired with the European Voluntary Service (included in Erasmus+). The ex-ante<sup>1</sup> evaluation preparing the initial launch already identified some challenges.

One of the main challenges the programme has faced is **visibility**. Therefore improving the promotion and communication to access a more targeted audience will be one of the opportunities for the next programming period.

During the **transitional** phase there has been confusion among potential participants on the role of the European Solidarity Corps, especially in relation to the underlying programmes which were part of first phase, as well as the differences with regards to the European Voluntary Service (EVS), under Erasmus+ or other existing programmes (such as **EU Aid Volunteers**).

**Overlaps with National frameworks**, initiatives and schemes, such as civic service programmes or privately run initiatives have been a further challenge in terms of communicating the added benefit of the European Solidarity Corps.

**Improved and simpler procedures** is a factor to be addressed in the new programme, including improved access to e-forms and simplifying them to increase the offers by organisations.

### **1.2. Mission (general objectives)**

Against this background, the European Solidarity Corps engages young people and organisations, bringing them together to build a more inclusive society, supporting vulnerable people and responding to societal and humanitarian challenges. It offers an inspiring and empowering experience for young people who want to help, learn and develop themselves while at the same time providing a single entry point for solidarity activities across the EU and beyond.

The general objective of the programme is to enhance the engagement of young people and organisations in accessible and high-quality solidarity activities, primarily volunteering, as a means to strengthen cohesion, solidarity, democracy, European identity and active citizenship in the Union and beyond. It will address societal and humanitarian challenges on the ground, with a particular focus on the promotion of sustainable development, social inclusion and equal opportunities.

It enhances the European, cross-border dimension of solidarity, complementing existing national and regional public and private policies, programmes and activities without creating competition or substitution effects.

Actions to tackle socio-economic problem areas are primarily the responsibility of the Member States and regions and must be taken closest to the citizens at national and sub-national levels. The European Solidarity Corps addresses the role the EU has to play in identifying shared challenges, stimulating cooperation and transnational mobility, encouraging synergies, and promoting the sharing of good practices and mutual learning in addition to supporting a Europe-wide approach to social innovation, where there is clear value added for European solutions.

### **1.3. Specific objectives**

The European Solidarity Corps has the following specific objectives:

<sup>1</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:52018SC0317&from=EN>

1. Provide young people, including those with fewer opportunities, with easily accessible opportunities for engagement in solidarity activities in the Union and beyond.
2. Improve and properly validate their competences as well as facilitate their continuous engagement as active citizens.

#### 1.4. Public intervention context

Pursuant to Article 6 of the Treaty on the Functioning of the European Union (TFEU), the EU has the competence to carry out actions to support, coordinate or supplement the actions of the Member States in the field of education, vocational training, youth and sport. As laid down in Article 4(4) of the TFEU However the EU furthermore has the competence to carry out activities and conduct a common policy, in the areas of development cooperation and humanitarian aid.

The exercise of that competence shall not result in Member States being prevented from exercising their competences.

The European Parliament and the Council, in accordance with the ordinary legislative procedure, shall establish the measures defining the framework within which the EU's humanitarian aid operations are to be implemented. The EU may conclude with third countries and competent international organisations any agreement helping to achieve the objectives referred to in Article 214(1) of the TFEU and in Article 21 of the TEU, without preventing Member States from negotiating in international bodies and concluding agreements.

Regarding the European Voluntary Humanitarian Aid Corps, the European Parliament and the Council, acting by means of regulations in accordance with the ordinary legislative procedure, shall determine the rules and procedures for the operation of the Corps. The other tools available in this policy area and used by the EU Institutions are the Commission initiatives to promote coordination with the actions of the Member States, in order to enhance the efficiency and complementarity of Union and national humanitarian aid measures. Moreover, the EU shall ensure that its humanitarian aid operations are coordinated and consistent with those of international organisations and bodies, in particular those forming part of the United Nations system.

#### 1.5. Actions

In order to achieve its objectives, the European Solidarity Corps implements its Actions structured into two strands:

Participation of young people in solidarity activities:

- Volunteering;
- Solidarity Projects.

Participation of young people in humanitarian aid related solidarity activities ('Volunteering under the European Voluntary Humanitarian Aid Corps'):

- Humanitarian Aid Volunteering projects.

Additionally, the European Solidarity Corps supports a series of activities and measures aiming at providing high-quality solidarity activities:

- Networking activities;
- Quality and Support measures.

#### 1.6. Delivery mode

The European Solidarity Corps is implemented under the leadership of the European Commission's Directorate-General for Education and Culture (DG EAC), which bears the overall responsibility for the supervision and coordination.

Activities are rolled out through direct management by DG EAC and the Education, Audio-visual and Culture Executive Agency, as well as through indirect management with the support of a network of National Agencies, which brings the programme closer to its target audience, adapts to the diversity of national education systems, and offers the possibility to align with national priorities.

#### 1.7. Graphic overview of the programme structure

<b>Domain</b>	<b>Youth</b>
<b>Programme</b>	<b>European Solidarity Corps</b>
<b>Management Mode</b>	<p><b>Strands</b></p> <ul style="list-style-type: none"> <li>- Volunteering projects</li> <li>- Individual volunteering</li> <li>- Volunteering teams</li> <li>- Humanitarian Aid</li> <li>- Volunteering teams in high priority areas</li> <li>- Solidarity projects</li> </ul> <p><b>Direct:</b> Education Audiovisual and Culture Executive Agency (EACEA), DG EAC</p> <p><b>Indirect (2021 situation)</b></p> <ul style="list-style-type: none"> <li>- <b>Programme countries:</b> Member states of the European Union, Iceland, Liechtenstein, Republic of North Macedonia, Turkey</li> <li>- <b>Partner countries:</b> Norway and other countries neighbouring the EU</li> </ul>

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the European Solidarity Corps programme and repealing [European Solidarity Corps Regulation] and Regulation (EU) No 375/2014 COM/2018/440 final - 2018/0230 (COD)	2021 - 2027	1 009,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>135,7</b>	<b>138,4</b>	<b>141,2</b>	<b>144,0</b>	<b>146,9</b>	<b>149,8</b>	<b>152,9</b>	<b>1 009,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The European Solidarity Corps builds on the achievements of more than 25 years of European programmes in the field of youth and solidarity, especially on the success of the European Voluntary Service implemented under the Erasmus+ Programme from 2014 to 2018, on the EU Aid Volunteers initiative and on the previous European Solidarity Corps running from 2018 to 2020.

### 1.10. Relevant websites providing more information

**European Youth Portal** ([https://europa.eu/youth/home\\_en](https://europa.eu/youth/home_en))

The website provides information on the opportunities offered by the European Solidarity Corps for both organisations and young people, project examples and testimonies as well as the necessary information and links to apply for funding.

**EU Aid Volunteers** ([https://ec.europa.eu/echo/what/humanitarian-aid/eu-aid-volunteers\\_en](https://ec.europa.eu/echo/what/humanitarian-aid/eu-aid-volunteers_en))

Stories about what volunteers are doing in the field have been published on this website (213 stories so far).

## 2. Where are we in the implementation ?

## 2.1. Programme 2021-2027

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

### European Solidarity Corps

The Programme started in 2018. During the period 2018-2020 the total C1 credits amounted to €352 197 999 and were implemented at nearly 100% (€351 955 306). During the same period, the total payments with C1 appropriations amounted to €262 384 598. The percentage indicated below (74%) corresponds to the ratio between the implemented payments and the implemented commitments.

The programme is implemented under indirect management (approximately 95% through National Agencies) and direct management modes (around 4.5% through the Executive Agency for Education, Audiovisual and Culture and 0.5% directly through DG EAC).

	Commitments	Payments
Implementation Voted budget	351 955 306	255 710 191
Implementation carry-overs	0	6 674 408
Implementation total	351 955 306	262 384 598
total envelop*	352 197 999	
cumulative implementation rate	100%	74%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

### EU Aid Volunteer

	CA	PA
Implementation C1	89 243 823	59 099 753
Implementation carry-overs*	-	2 656 628
Total	89 243 823	61 756 381
Total envelop**	89 527 779	
Cumulative implementation rate	100%	69%

\* C2 and C8 for payments and C2 for commitments

\*\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

CA: credit appropriations

PA: payment appropriations

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

The European Union is built on solidarity, a shared value which is strongly felt throughout European society. Solidarity defines the European project and not only guides the European youth in their aspirations for a better Union but also provides the necessary unity to cope with current and future crises by holding a strong moral ground.

The European Solidarity Corps brings together young people to build a more inclusive society, supporting vulnerable people and responding to societal and humanitarian challenges. It offers an inspiring and empowering experience for young people who want to help, learn and develop and provides a single entry point for such solidarity activities throughout the Union and beyond.

The 2018-2020 European Solidarity Corps was created to merge several EU volunteering and solidarity traineeships/jobs schemes into one programme. The proposal for a Regulation was accompanied by an ex-ante evaluation, which demonstrated the need for a single EU programme acting as a "one stop shop" for all solidarity related opportunities for young people.

By extending its scope to cover volunteering activities in support of humanitarian aid operations, the European Solidarity Corps provides needs-based emergency aid and helps to deliver assistance, relief and protection where most needed. It thus helps addressing not only unmet societal needs in Europe but also humanitarian challenges in third countries.

The extended European Solidarity Corps also addresses current trends and new challenges that are of special interest to the post-2020 Multiannual Financial Framework. It directly contributes to reducing social divergences, as the projects contribute to address certain societal needs, while also providing an opportunity for young people to develop their skills, which will increase their employment prospects.

In particular, skills and competences development is at the core of the specific objective of the programme which is thus fully aligned with the way forward proposed in the Reflection Paper on the Social Dimension of Europe.

The activities of the European Solidarity Corps support the objectives of the EU Youth Strategy for 2019-2027<sup>2</sup> which encourages young people to become active citizens, agents of solidarity and positive change for communities across Europe, inspired by EU values and a European identity.

### 3.1.2. Active programme performance

The European Solidarity Corps 2021-2027 consolidates efforts to have one single entry point for young people ready to engage in solidarity. It brings together young people to build a more inclusive society, supporting vulnerable people and responding to societal and humanitarian challenges.

Building on the past experience, the programme implementation scheme is evolving to become more efficient and address issues noticed in the previous MFF (see challenges section page 1).

In order to address the issue of complicated procedures, the updated **Quality Label** (accreditation mechanism in the Corps) will provide a more streamlined and **simplified process** for organisations wishing to participate.

The Quality Label certifies that an organisation is able and willing to carry out high quality solidarity activities in compliance with the principles, objectives and quality standards of the European Solidarity Corps. Obtaining a Quality Label is a prerequisite for participation in Volunteering activities. All organisations who are awarded a Quality Label will be able to publish their opportunities in the European Solidarity Corps Portal and also to join other organisations in developing and providing opportunities for young people. The European Solidarity Corps Portal will thus act as a one-stop-shop for all: Participants can view and research accredited organisations and their offers; Organisations can use of the European Solidarity Corps Portal's database to search for and offer placements to potential participants.

This will create a simplified process for both the organisations and the participants.

The 'traineeships and jobs' strand tested in the first iteration of the Corps (2018-20) will be discontinued. This will permit the programme to **focus on volunteering**.

Moreover, EU Aid Volunteers, previously implemented as a separate programme is discontinued. Instead a new humanitarian aid strand is integrated into the European Solidarity Corps (2021-2027) to benefit from the scaling efficiencies already proven in the volunteering part of the Corps. For the first time, the European Solidarity Corps is **extending its scope** to cover volunteering activities in support of humanitarian aid operations

Volunteering, in the context of this programme, refers to a full-time unpaid activity that has a duration of up to 12 months and contributes to the achievement of the common good. This type of solidarity activity is undertaken through participating organisations that offer young people the opportunity to carry out a wide variety of activities, in a structured way. Volunteering also enables young people to acquire useful experience, skills and competences for their personal, educational, social, cultural, civic and professional development, thereby improving their employability and active citizenship.

Directing the focus to volunteering will help tackle the confusion which existed in relation to the role of the European Solidarity Corps in the previous programme period.

The new programme will provide opportunities where national schemes do not exist, avoiding overlapping, and will give National Agencies the opportunity to draw up funding strategies that clarify conditions for activities considered as complimentary to their national schemes.

The new European Solidarity Corps, furthermore, supports the European Union's political priorities and engages both organisations and young people in projects to help support them.

The programme promotes **inclusion and diversity**, and aims to provide all young people with equal access to European Solidarity Corps opportunities.

The Corps provides accessible and flexible formats of activities, additional financial support as well as a range of support measures (e.g. general and language training, insurance, support before and after solidarity activities, administrative assistance) to encourage the participation of young people with fewer opportunities and better cater for their specific needs. When designing their projects and activities, organisations need to have an inclusive approach and make use of the available mechanisms to involve a diverse range of participants with fewer opportunities.

<sup>2</sup> [https://europa.eu/youth/strategy\\_en](https://europa.eu/youth/strategy_en)

The programme aims to adopt **green practices** across all projects and activities, as well as to promote environmentally-sustainable and responsible behaviour among both participants and organisations. The Programme also supports projects and activities addressing the topic of environmental protection, sustainability and climate goals and aiming to protect, conserve and enhance natural capital, to raise awareness about environmental sustainability and to enable behavioural changes for individual preferences, consumption habits and lifestyles.

The European Solidarity Corps contributes to the **digital transition** by supporting projects and activities that work to boost digital skills, foster digital literacy, and develop an understanding of the risks and opportunities of digital technology. In line with the digital transformation and with its ambition to support the learning experience of young people, the European Solidarity Corps offers online training to all young people registered in the programme.

Additionally, the European Solidarity Corps promotes civic engagement and the **participation** of young people in democratic processes. With volunteering at its heart, the programme engages and empowers young people to be active in society and become true agents of change.

The Programme provides the flexibility to add annual priorities, thus contributing to unforeseen challenges such as addressing the impact of COVID-19 pandemic and recovery from it, particularly in the area of **health** improvement and support. The programme can mobilise volunteers to support projects addressing various health challenges.

The political agreement on the new Programme was reached in December 2020 and the first calls for proposals are foreseen to be launched in the first quarter of 2021. There is therefore, at this stage, no performance on which to report.

### 3.1.3. Previous programme performance

#### *European Solidarity Corps*

The European Solidarity Corps builds on the achievements of the European Voluntary Service and on the first phase of the European Solidarity Corps, launched in December 2016, whereby different Union programmes have been mobilised to offer volunteering, traineeship or job activities to young people across the EU.

In 2018, the first European Solidarity Corps Regulation<sup>3</sup> created a new, coherent framework for solidarity-related activities, with a dedicated budget of €375.6 million for 2018-2020. It offered new formats and tools, with a sustained commitment to quality, in order to reach out to more young people and provide them with a valuable experience.

Implemented by the same National Agencies as Erasmus+ under similar rules, the programme benefitted from the supportive measures implemented for its sibling programme. Measures successfully put in place improved the flexibility of the programme and provided support to the participants and the organisations.

Between the launch of the Corps and the end of 2020, almost a quarter of a million young people registered on the Portal of the European Solidarity Corps, which demonstrates an extremely high interest in the initiative.

In line with the objectives to be achieved:

- Providing young people, including those with fewer opportunities, with easily accessible opportunities for engagement in solidarity activities in the Union and beyond.
- Improving and properly validating their competences as well as facilitating their continuous engagement as active citizens.

The Programme has facilitated access to solidarity activities across Europe and beyond for tens of thousands of young people and provided them with the opportunity to constructively engage in and contribute to strengthening cohesion, solidarity and democracy in Europe, while developing their skills and competences.

The European Solidarity Corps proved particularly successful in providing opportunities to address horizontal priorities such as inclusion (with more than 30% of participants with fewer opportunities) or climate change (13% of projects supported under the European Solidarity Corps address climate action, environment and nature protection).

It offered support for projects revolving around a range of solidarity (in the form of individual or team volunteering, traineeships, jobs and solidarity projects) involving young people between 18 and 30 years of age.

Traineeships and Jobs represented the biggest novelty under the European Solidarity Corps. While specific efforts were dedicated to promotion, ensuring understanding of the opportunities, reaching out to the relevant stakeholders and training the potential applicants, the Action was faced with challenges and did not take up as expected and the number of projects and participants funded was lower than forecasted.

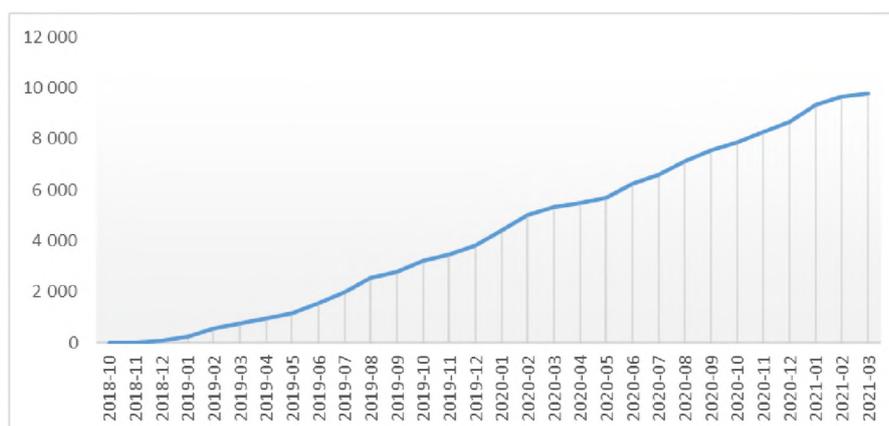
The performance targets had been designed with the expectation of a full three years of implementation over the period 2018-2020.

The short programme period (end of 2018-2020) impacted on the possibilities for successful outreach to an entirely new category of stakeholders (potential participating organisations) and the Traineeships & Job strand did not manage to carve out a niche in the relatively vast range of national or EU tools aimed at improving the employment prospects of young people. The employer/host

organisations were required to pay salaries/remuneration of trainees and the Programme only supported certain associated costs, e.g. mentoring, relocation costs etc., also to minimise the risk of job substitution.

Despite the difficulties the programme has faced, including the late adoption of the legal base in October 2018 and the impact of the COVID-19 pandemic in 2020, the projects continued to be contracted at a steady rate throughout 2019 and 2020, showing a continuous increase highlighting that interest from organisations remains stable.

**Cumulative number of projects contracted per month**



In terms of participation rates, the number of young people in volunteering projects doubled in 2019, reaching 8 293 actual participants. During the COVID-19 pandemic in 2020, nearly 3 000 volunteering participants took part in the programme activities despite restrictions, showing the programme resilience, adaptability, and capacity to contribute to a stronger and more cohesive Union. The European Solidarity Corps continued to provide relief where possible through, for example, volunteers giving elderly people a hand with food and medical shopping or fighting loneliness.

Still, some activities had to be suspended or cancelled and the duration of projects extended to enable those young people who were prevented from taking part due to the crisis to have another opportunity to do so. This also implies that a number of deployments funded by calls 2019 and 2020 might take place later than initially foreseen.

The success of the Corps in terms of the uptake by young people is also a testimony of its significance as by the end of 2020, nearly 280 000 youngsters from across the EU had registered for participation in the Corps. Based on the positive reception of the initiative by young people and other stakeholders in the solidarity sector, the European Commission proposed an extension of the Corps to the programming period 2021-27.

### ***EU Aid Volunteers Initiative***

The EU Aid Volunteers Initiative (EUAV) was managed by DG ECHO. The start of the EU Aid Volunteers implementation was delayed for about a year, due to the adoption of the Implementing Regulation in November 2014.

After the launch of the initiative, the uptake of this new programme was below expectations. For the period 2014-2020, the EUAV Initiative was allocated €141 million to finance the training of an initial target of 4 400 volunteers and the deployment of 4 000 volunteers, the provision of technical assistance and capacity building to participating organisations, and the implementation of communication and other support activities. By end of 2020, only 1 173 deployments were financed amounting to 29% of the initial target and 788 deployments have taken place, 1 065 volunteers completed the EU aid Volunteers training (20% of the target).

Due to the COVID-19 pandemic, some activities had to be suspended or cancelled and the duration of projects extended to enable organisations to have the opportunity to implement their project activities and to volunteers to be deployed at a later stage. The 2020 selection procedure has been cancelled by DG ECHO/EACEA, and the trainings, aiming at preparing volunteers for volunteering activities in the framework of projects selected in 2018 and 2019, have been kept on hold during most of 2020. Training (of around 500 EU Aid Volunteers) will be resumed as soon as the situation allows. This implies that a number of deployments will take place later than initially foreseen.

The EU Aid Volunteers initiative introduced a thorough certification mechanism that requires sending and hosting organisations to prove that they have procedures and policies in place to achieve the high volunteering standards of the programme. The certification mechanism had not existed during the pilot phase. Consequently, challenging targets were set in terms of certified organisations, volunteers trained and deployed, which did not materialise.

In the report on the Interim Evaluation (COM(2018) 496), the Commission acknowledged the need to improve consistency of the approach to volunteering in third countries with other EU volunteering schemes. Coherence and synergies with the European Voluntary Service and the European Solidarity Corps were to be sought, resulting in the creation of a **new humanitarian aid strand** in the new European Solidarity Corps (MFF 2021-2027) replacing the EU Aid Volunteers Initiative.

### 3.2. Key achievements


#### *European Solidarity Corps*

<b>280 000</b>	<b>55 000</b>	<b>41%</b>	<b>90%</b>
young people expressed interest in joining by registering with the Corps	opportunities for young people were created between October 2018 and December 2020	of participants involved so far are young people with fewer opportunities	of participants who finalised their activity declared being satisfied with their experience

The initiative was launched in December 2016. Since then, 279 348 young people have registered in the European Solidarity Corps Portal.

Since October 2018, the European Solidarity Corps has existed as an independent funding Programme. The calls created more than 55 000 opportunities for young people to engage in solidarity activities. Solidarity Projects – providing funding for young people to initiate and implement projects to tackle a social need in their local community – have raised high interest.

Thanks to specific support for young people with fewer opportunities and strong focus on reaching out to potential participants with this profile, 41% of the participants so far are young people with fewer opportunities.

Programme satisfaction rates are high: 90% of the participants who finalised their European Solidarity Corps activity and filled in their participant report declared being very or rather satisfied with their experience.

The European Youth Week gathered some 120 000 participants to over 1 000 events, carried out in 35 countries and organised by National Agencies, Eurodesks, Commission Representations, youth civil society and other partners. It provided a valuable opportunity to promote the EU Youth Strategy and the opportunities offered by the European Solidarity Corps.

The European Solidarity Network was successfully launched in March 2019 and will continue to expand and develop tools to help create a network of communities around the European Solidarity Corps.

#### *EU Aid Volunteers Initiative*

<b>1 173</b>	<b>200</b>
deployments financed throughout the overall period	organisations certified since 2017

As of September 2020, 1 173 deployments were financed and 788 had taken place, involving 705 volunteers (some of whom were deployed twice) and 1 065 volunteers had completed the EU Aid Volunteers training (24% of the target).

Overall, with regard to the certification of new sending and hosting organisations, the trend marginally increased with 63 organisations certified in 2017, 63 in 2018 and 74 in 2019.

Since the start of the initiative, the skills areas of volunteers most often requested for capacity building activities in third countries have been in communication (14%), disaster risk management (11%), project management (10%), finance and accounting (8%), monitoring and evaluation (6%), gender equality (6%), protection (5%), advocacy (5%) and community development (4%).

### 3.3. Evaluations, studies and reports

**European Solidarity Corps 2014-2020**

Since the European Solidarity Corps is largely based on the previous European Voluntary Service, which was implemented under Erasmus+, the Erasmus+ mid-term evaluation provides valuable insights. The main results highlight the effectiveness of Erasmus+ in developing skills and competences; its undisputable European added value; a high degree of coherence, in particular due to the pooling of programmes and the single brand name; and its efficiency and simplicity, underscoring the cost-effectiveness of mobility actions and the reduced management cost (less than half of similar national schemes). Further findings of the mid-term evaluation of the Erasmus+ Programme are available here: [https://ec.europa.eu/programmes/erasmus-plus/resources/documents/evaluations\\_en](https://ec.europa.eu/programmes/erasmus-plus/resources/documents/evaluations_en)

An *ex ante* evaluation for the European Solidarity Corps 2021-2027 was carried out and examined challenges that may appear because of the expansion of the scope of activities and the geographical scope, as well as those identified in implementing the former European Solidarity Corps and the EU Aid Volunteers. The evaluation underlined the need for the EU to tackle a number of major challenges, challenges addressed under the new extended European Solidarity Corps. The evaluation is available here: <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=SWD%3A2018%3A318%3AFIN>

In accordance with Regulation, an interim evaluation of the European Solidarity Corps 2021-2027 should be carried out no later than 31 December 2024 and be accompanied by a final evaluation of the 2018-2020 European Solidarity Corps Programme. The interim evaluation of the Programme shall assess the overall effectiveness and performance of the Programme, as well as the delivery of the inclusion measures.

**EU Aid Volunteers Initiative**

An interim evaluation was carried out in 2017. The study prepared by an external contractor, the report and staff working document on the interim evaluation of the EU Aid Volunteers initiative for the period mid-2014 to mid-2017 adopted by the Commission are published on the following website: [https://ec.europa.eu/echo/funding-evaluations/evaluations/thematic-evaluations\\_en](https://ec.europa.eu/echo/funding-evaluations/evaluations/thematic-evaluations_en). An ex-post evaluation of the initiative is foreseen in Regulation 375/2014 and shall be completed by 31 December 2021.

**4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :The specific objective of the Programme is to provide young people, including those with fewer opportunities, with easily accessible opportunities for engagement in solidarity activities in Europe and abroad while improving and properly validating their competences as well as facilitating their employability and transition into the labour market.**

**Indicator 1: Number of participants in solidarity activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Participants in volunteering solidarity activities										
21 300										
	Milestones									
	Actual Progress									Final
Participants in Solidarity Projects										
	Milestones									
	Actual Progress									Final
Participants in humanitarian aid related solidarity activities										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of Participants (yearly)
Cut-Off Date	15/01/2022
Data source	Project Management Module and e-Grants
Link to the objective	The European Solidarity Corps aims to provide young people, including those with fewer opportunities, with easily accessible opportunities for engagement in solidarity activities in the Union and beyond.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by

	the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships and Jobs have been discontinued and Volunteering in humanitarian aid activities were added.
Other methodological comments	Estimations are provided in April of Y+1. Numbers will be refined once all projects are closed (between 2 to 4 years after the project starts).
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Share of participants with fewer opportunities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
39%	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of Participants (yearly)
Cut-Off Date	15/01/2022
Data source	Project Management Module, Beneficiary module and e-Grants
Link to the objective	The European Solidarity Corps aims to provide young people, including those with fewer opportunities, with easily accessible opportunities for engagement in solidarity activities in the Union and beyond.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships and Jobs have been discontinued and Volunteering in humanitarian aid activities were added.
Other methodological comments	Estimations are provided in April of Y+1. Numbers will be refined once all projects are closed (between 2 to 4 years after the project starts).
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Number of organisations holding a Quality Label**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
3 000	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of organisations (yearly)
Cut-Off Date	15/01/2022
Data source	Project Management Module and e-Grants
Link to the objective	The general objective of the Programme is to enhance the engagement of young people and organisations in accessible and high-quality solidarity activities, primarily volunteering, as a means to strengthen cohesion, solidarity, democracy, European identity and active citizenship in the Union and beyond, addressing societal and humanitarian challenges on the ground, with a particular focus on the promotion of sustainable development, social inclusion and equal opportunities.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships and Jobs have been discontinued and Volunteering in humanitarian aid activities were added.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4:Number of participants who are young people with fewer opportunities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
7 700	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of Participants (yearly)
Cut-Off Date	15/01/2022
Data source	Beneficiary Module and e-Grants
Link to the objective	The European Solidarity Corps aims to provide young people, including those with fewer opportunities, with easily accessible opportunities for engagement in solidarity activities in the Union and beyond.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships and Jobs have been discontinued and Volunteering in humanitarian aid activities were added.
Other methodological comments	Estimations are provided in April of Y+1. Numbers will be refined once all projects are closed (between 2 to 4 years after the project starts)
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Share of participants reporting positive learning outcomes

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
90%	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of participants providing positive answers to survey questions (yearly)
Cut-Off Date	15/01/2022
Data source	Participant Survey
Link to the objective	The European Solidarity Corps aims to improve and properly validate the competences of young people as well as facilitate their continuous engagement as active citizens.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships and Jobs have been discontinued and Volunteering in humanitarian aid activities were added.
Other methodological comments	Estimations are provided in April of Y+1. Results are measured from favourable answers to selected questions in the participant surveys (available between 2 to 4 years after project starts).
Full metadata available at this address	
Justification of the trend	

### Indicator 6: Share of participants whose learning outcomes have been documented through a Union transparency and recognition tool

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
80%	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of Participants (yearly)
Cut-Off Date	15/01/2022
Data source	Participant Survey
Link to the objective	The European Solidarity Corps aims to improve and properly validate the competences of young people as well as facilitate their continuous engagement as active citizens.
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships and Jobs have been discontinued and Volunteering in humanitarian aid activities were added.
Other methodological comments	Results are measured from favourable answers to selected questions in the participant surveys (available between 2 to 4 years after project starts).
Full metadata available at this address	
Justification of the trend	

**Indicator 7: Overall satisfaction rate of participants with regard to the quality of activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
90%	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of participants providing positive answers to survey questions (yearly)
Cut-Off Date	15/01/2022
Data source	Participant Survey
Link to the objective	The general objective of the Programme is to enhance the engagement of young people and organisations in accessible and high-quality solidarity activities, primarily volunteering, as a means to strengthen cohesion, solidarity, democracy, European identity and active citizenship in the Union and beyond, addressing societal and humanitarian challenges on the ground, with a particular focus on the promotion of sustainable development, social inclusion and equal opportunities.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Results are measured from favourable answers to selected questions in the participant surveys (available between 2 to 4 years after project starts).
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Share of activities that address climate objectives**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
15%	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of Activities (yearly)
Cut-Off Date	15/01/2022
Data source	Project Management Module, Beneficiary module and e-Grants
Link to the objective	The general objective of the Programme is to enhance the engagement of young people and organisations in accessible and high-quality solidarity activities, primarily volunteering, as a means to strengthen cohesion, solidarity, democracy, European identity and active citizenship in the Union and beyond, addressing societal and humanitarian challenges on the ground, with a particular focus on the promotion of sustainable development, social inclusion and equal opportunities.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 9: Degree of satisfaction of volunteers deployed in the humanitarian aid field and of participating organisations with regard to the effective humanitarian contribution of the activities on the ground**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
61%	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of Participants and organisations (yearly)
Cut-Off Date	15/01/2022
Data source	Participant Survey and e-Grants
Link to the objective	The general objective of the Programme is to enhance the engagement of young people and organisations in accessible and high-quality solidarity activities, primarily volunteering, as a means to strengthen cohesion, solidarity, democracy, European identity and active citizenship in the Union and beyond, addressing societal and humanitarian challenges on the ground, with a particular focus on the promotion of sustainable development, social inclusion and equal opportunities.

Link MFF 14-20 / MFF 21-27	The origins of this indicator is from the previous EU Aid Volunteer Programme (Specific Objective 2, Indicator 1), representing the overall satisfaction rate of EU Aid Volunteers trained and deployed.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 10: Number of activities in third countries that contribute to strengthening local actors and local communities and complementing volunteering under the European Voluntary Humanitarian Aid Corps**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of Activities (yearly)
Cut-Off Date	15/01/2022
Data source	e-Grants
Link to the objective	The general objective of the Programme is to enhance the engagement of young people and organisations in accessible and high-quality solidarity activities, primarily volunteering, as a means to strengthen cohesion, solidarity, democracy, European identity and active citizenship in the Union and beyond, addressing societal and humanitarian challenges on the ground, with a particular focus on the promotion of sustainable development, social inclusion and equal opportunities.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Percentage of budget to be used for complementary activities is indicative percentage used as basis for calculation.
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

### *Previous Program 1 : EU Aid Volunteers initiative (EUAV)*

**General Objective 1 :To contribute to strengthening the Union's capacity to provide needs-based humanitarian aid aimed at preserving life, preventing and alleviating human suffering and maintaining human dignity and to strengthening the capacity and resilience of vulnerable or disaster-affected communities in third countries**

**Indicator 1: The number of people reached by humanitarian aid provided through the EU Aid Volunteers initiative and the average costs per person reached**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of people reached										
Milestones										2020
	0	17 500	25 000	30 000	17 500	42 500	50 000			50 000
Actual Progress										Final
	0	0			8 104					
Costs (in EUR) per person reached										
Milestones										2020
		845	716	733	751	631	550			550
Actual Progress										Final
	0	0			158					

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The number of people reached by volunteers are based on the assumption that each volunteer reaches

	on average 50 persons (i.e. in 2015, 350 deployed volunteers would reach 50 persons each and therefore reach 17 500 people in total). The number indicated for the year 2018 – 8 104 persons - is the result of the first two deployment projects funded from the 2015 budget. These projects lasted 24 months and started to deploy volunteers from December 2015; the final reports from which the number 8 104 was retrieved were received end of 2018. The 2015 proposals foresaw the deployment of 44 volunteers (as indicated for the year 2015 in the programme statement). The actual deployment was in the end 55 volunteers (due to drop-outs and replacements). On average each of these volunteers reached about 147 persons (instead of 50 per volunteer as projected in the planning figures) and 8 104 in total.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 1 :Contribute to increasing and improving the capacity of the Union to provide humanitarian aid.

#### Indicator 1: Number of EU Aid Volunteers deployed or ready for deployment with the required qualifications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of EU Aid Volunteers trained ready for deployment with the required qualifications per year										
	Milestones									2020
		350	350	550	800	1 000	1 250			1 250
	Actual Progress									Final
			97	178	295	446	54			
Number of EU Aid Volunteers deployed per year:										
	Milestones									2020
		350	350	550	800	1 000	1 125			1 125
	Actual Progress									Final
			55	162	175	368	0			

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	Number of EU Aid Volunteers (yearly)
Cut-Off Date	31/12/2020
Data source	EACEA Project Database (Pegasus)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Final figures have been captured. This indicator will no longer be reported.
Other methodological comments	The number of volunteers trained depends on the number of planned deployments as provided in the applications to the call for proposals. In 2017, six proposals were received proposing 175 deployments. As a result, 295 candidate volunteers were trained in 2018 for deployments and for the reserve list to cater for dropouts and cancellations. The call for proposals for deployment 2018 resulted in the funding of eleven projects (up from 6 in 2017) proposing the deployment of 368 volunteers. This figure is far below the MFF targets as explained in section II Implementation Update. However, this represents an increase of 110% compared to the previous year and sustains an upward trend. The average duration of a deployment is 9 months (most deployments are either 6 or 12 months deployments, average is 9 months).
Full metadata available at this address	
Justification of the trend	Due to the outbreak of COVID-19 only one training cycle could be organised and deployments were put on hold.

#### Indicator 2: Number of EU Aid Volunteers who have completed their contract of deployment

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	0	315	350	550	800	1 000	1 125			1 125
	Actual Progress									Final
	0	0	0	66	178	151	107			

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Number of EU Aid Volunteers (yearly)
Cut-Off Date	31/12/2020
Data source	EACEA Project Database (Pegasus)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Final figures have been captured. This indicator will no longer be reported.

Other methodological comments	This indicator reflects the number of volunteers who stayed the whole duration of their contract and did not end their deployment earlier than planned. If volunteers drop out, organisations can fill the remaining volunteer months with reserve candidates. It is difficult to track in the course of a project which volunteers ended their contracts earlier, if other volunteers stayed longer in their placements instead or if reserve volunteers were recruited.
Full metadata available at this address	
Justification of the trend	This figure is based on final reports of 5 deployment projects (2015: 2 projects, 2016: 3 projects) Out of 193 EU Aid Volunteers, 107 completed their deployment contract.

### Indicator 3: Number of hosting and sending organisations participating in the EU Aid Volunteers initiative per year.

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	100		115	110	115	75	120			120
	Actual Progress									Final
	88		41	179	73	58	0			

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations (yearly)
Cut-Off Date	31/12/2020
Data source	EACEA Project Database (Pegasus)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Final figures have been captured. This indicator will no longer be reported.
Other methodological comments	This indicator reflects the work done in capacity building / technical assistance provided to organisations, which increases the capacity of the sector to provide humanitarian aid. The figure does not include the organisations active deployment projects. The lower figure in 2018 is due to a lower number of projects funded than planned in order to enable more deployments of volunteers (planned 250; result 368). Budget was therefore moved from the capacity building/technical assistance strand to the deployment strand and fewer projects than planned were funded.
Full metadata available at this address	
Justification of the trend	This is an annual figure relating to organisations selected through the calls for proposals. In 2020 no call for proposal was awarded and no new organisations selected to participate.

### Specific Objective 2 :Improvement of the skills, knowledge and competences of volunteers in the field of humanitarian aid and the terms and conditions of their engagement.

**Indicator 1: The degree of satisfaction of the EU Aid Volunteers trained and deployed, of the sending and hosting organisations with regard to the quality of the training, level of knowledge and competences of volunteers, the fulfilment and adequacy of the standards and procedures for management of candidate and EU Aid Volunteers (overall satisfaction rate out of 100%)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	0	75%	80%	80%	85%	85%	85%			85
	Actual Progress									Final
	0	0	88%	90%	87%	88%	74%			

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	Percentage of Participants answering positively to the relevant questions (yearly)
Cut-Off Date	31/12/2019
Data source	Participant Survey
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	A similar indicator will be captured as part of the European Solidarity Corps 2021 - 2027 "Degree of satisfaction of volunteers deployed in the humanitarian aid field and of participating organisations with regard to the effective humanitarian contribution of the activities on the ground". For the purposes of EU Aid volunteers, final figures have been captured. This indicator will no longer be reported.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	On the basis of all surveys submitted until the end of 2019.

### Specific Objective 3 :Building the capacity of hosting organisations and foster volunteering in third countries

#### Indicator 1: Number of third country staff and volunteers participating in the capacity building actions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
	≥ 1450	≥ 300	≥ 700	≥ 700	≥ 600	≥ 550	≥ 550			≥ 550
	Actual Progress									Final
	0	0					18 580			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of staff (yearly)
Cut-Off Date	31/12/2020
Data source	EACEA Project Database (Pegasus)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Figures are provided only for the projects that ended in the respective year and figures do not relate to any (annual) target. Furthermore, projects provide the numbers per project activity but not for the project as a whole, which could lead to double counting.
Full metadata available at this address	
Justification of the trend	This figure is collected from final reports of 5 deployment and 16 capacity building / technical assistance projects that were available at the end of 2020.

### Specific Objective 4 :Communication of the Union's humanitarian aid principles as agreed in the European Consensus on Humanitarian Aid.

#### Indicator 1: Number, type and costs of information, communication and awareness-raising actions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of communication and awareness-raising actions										
	Milestones									2020
	2	3	4	5	4	4	4			4
	Actual Progress									Final
	2	4	6	5	4	1	0			
Cost per action (in EUR)										
	Milestones									2020
	0	686 234	425 000	565 000	365 000	187 500	165 000			165 000
	Actual Progress									Final
		171 559	70 833	113 000	91 250	400 000	0			

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of actions (yearly) Costs (yearly in EUR)
Cut-Off Date	15/12/2020
Data source	EACEA Project Database (Pegasus)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Note that the indicated support measures budgets from 2016 include €265 000 for the maintenance of the EU Aid Volunteers platform.
Full metadata available at this address	
Justification of the trend	All events were cancelled due to the outbreak of the COVID pandemic

### Specific Objective 5 :Enhancement of coherence and consistency of volunteering across Member States in order to improve opportunities for Union citizens to participate in humanitarian aid activities and operations.

#### Indicator 1: Number of (newly) certified sending organisations applying the standards and procedures for deployment and management of European volunteers

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
		50	44	15	20	30	10			10
	Actual Progress									Final
		13	10	13	6	10	22			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of newly certified organisations (yearly)
Cut-Off Date	31/12/2020
Data source	EACEA Project Database (Pegasus)
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Final figures have been captured. This indicator will no longer be reported.
Other methodological comments	The number reflects the certified sending organisations in 2020 (additionally, 66 new hosting organisations were certified in 2020 which brings the total number of certified organisations to 88). The certification mechanism is a requirement of the legislation. It seeks synergies with the Commission's partnership instruments in the humanitarian field and existing humanitarian standards, with the aim of administrative simplification. The certification takes into account the important specificities of the programme, notably the management of volunteer staff.
Full metadata available at this address	
Justification of the trend	This reflects the number of organisations certified (decision signed) in 2020.

### Previous Program 2 : European Solidarity Corps (ESC)

**Specific Objective 1 :to provide young people, with the support of organisations, with easily accessible opportunities for engagement in solidarity activities while improving their skills and competences for personal, educational, social, civic and professional development, as well as their employability and facilitating transition to regular employment**

#### Indicator 1:number of participants in volunteering

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
					8 400	24 600	28 900			61 900
	Actual Progress									Final
					3 103	9 318	13 490			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of Participants (cumulative)
Cut-Off Date	15/01/2021
Data source	Eplus Link and Mobility Tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with this programme: Volunteering in humanitarian aid activities were added.
Other methodological comments	Due to late adoption of the regulation, only one call was launched in 2018 for projects starting as from 2019. Therefore, considering the limited number of results for 2018, for the purpose of this exercise, data is provided for both call years 2018-2019.
Full metadata available at this address	
Justification of the trend	There is another round for this call outstanding.

#### Indicator 2:number of participants in traineeships

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0							4 100			11 200
	Actual Progress									Final
					31	133	377			

Are we on track	Deserves attention**
Indicator type	Output

Unit of measurement	Number of Participants (yearly)
Cut-Off Date	15/01/2021
Data source	Eplus Link and Mobility Tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will not continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships have been discontinued.
Other methodological comments	Due to late adoption of the regulation, only one call was launched in 2018 for projects starting as from 2019. Therefore, considering the limited number of results for 2018, for the purpose of this exercise, data is provided for both call years 2018-2019.
Full metadata available at this address	
Justification of the trend	While specific efforts were dedicated to promotion, ensuring understanding of the opportunities, reaching out to the relevant stakeholders and training the potential applicants, the Action did not take up as expected and the number of projects and participants funded was lower than forecasted.

**Indicator 3: number of participants in jobs**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
							4 100			
	Actual Progress									Final
					122	130	220			

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Number of Participants (yearly)
Cut-Off Date	15/01/2021
Data source	Eplus Link and Mobility Tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	While specific efforts were dedicated to promotion, ensuring understanding of the opportunities, reaching out to the relevant stakeholders and training the potential applicants, the Action did not take up as expected and the number of projects and participants funded was lower than forecasted.

**Indicator 4: number of participants in solidarity projects**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
					5 400	6 200	7 300			18 900
	Actual Progress									Final
					1 045	2 958	4 626			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of Participants (cumulative)
Cut-Off Date	15/01/2021
Data source	Eplus Link and Mobility Tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Volunteering in humanitarian aid activities were added.
Other methodological comments	Due to late adoption of the regulation, only one call was launched in 2018 for projects starting as from 2019. Therefore, considering the limited number of results for 2018, for the purpose of this exercise, data is provided for both call years 2018-2019.
Full metadata available at this address	
Justification of the trend	There is another round for this call outstanding.

**Specific Objective 2 :to ensure that the solidarity activities that are offered to the European Solidarity Corps participants contribute to addressing concrete societal challenges and strengthening communities, and are of high quality and properly validated**

**Indicator 1: number of participants reporting positive learning outcomes**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
							4 000			66 750
	Actual Progress									Final
						2 857	4 087			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of Participants answering positively to the relevant questions (cumulative)
Cut-Off Date	15/01/2021
Data source	Participant Survey
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme. Nevertheless, the Actions covered by the new Regulation (and thus scope of this indicator) are not fully aligned with the previous programme: Traineeships and Jobs have been discontinued and Volunteering in humanitarian aid activities were added.
Other methodological comments	Considering the short duration of the European Solidarity Corps (end 2018-2020), targets for these indicators have been set over the entire programming period.
Full metadata available at this address	
Justification of the trend	The European Solidarity Corps is a learning experience for young people and enables them to develop personally and professionally. Based on the feedback from participants, questions in the participants reports on learning outcomes and where the participants have answered strongly agree or rather agree.

**Indicator 2: percentage of participants whose learning outcomes have been recognised through a certificate such as Youthpass, or another type of formal recognition of their participation in the European Solidarity Corps**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
						100%	100%			100%
	Actual Progress									Final
						72%	70%			

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of Participants answering positively to the relevant questions (yearly)
Cut-Off Date	15/01/2021
Data source	Participant survey
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme as 'Share of participants whose learning outcomes have been documented through a Union transparency and recognition tool'.
Other methodological comments	Recognition of learning is a key element in the Corps and the possibility to identify and document learning outcomes is offered to participants Based on the Question "Have you received a certificate, diploma or document that describes and validates the competences acquired during your European Solidarity Corps activity?" where the participants have answered strongly agree or rather agree.
Full metadata available at this address	
Justification of the trend	These are provisional figures as most of the projects funded in 2019 and 2020 are still ongoing (figures provided cover about 1% of granted projects and about 10% of granted participants). A meaningful comparison of results against milestones is, therefore, not yet possible.

**Indicator 3: number of organisations holding a quality label**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
							3 900			
	Actual Progress									Final
					398	1 083	2 438			

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	Number of organisations (yearly)
Cut-Off Date	11/03/2021

Data source	European Youth Portal, Eplus Link and Mobility Tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Initial methodology to calculate milestone appeared to be not appropriate to correctly plan the number of organisations holding a Quality Label. Achieved number of organistaions is satisfactory.

#### Indicator 4: overall satisfaction rate of participants with regard to the quality of activities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
						90%	90%			90%
	Actual Progress									Final
						88%	91%			

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage score of positive answers to the relevant questions (yearly)
Cut-Off Date	15/01/2021
Data source	Participant survey
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Reporting on this indicator will continue in the new Programme.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Feedback of participants is positive towards the quality of their experience. Based on the feedback from participants, questions in the participants reports on satisfaction regarding the Corps experience where the participants have answered strongly agree or rather agree

### Specific Objective 3 :to ensure that particular efforts are made to promote social inclusion and equal opportunities, in particular for the participation of young people with fewer opportunities, through a range of special measures such as appropriate formats of solidarity activities and personalised support

#### Indicator 1: number of participating young people with fewer opportunities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
					25%	25%				0,25
	Actual Progress									Final
						32%	41%			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of Participants
Cut-Off Date	01/03/2021
Data source	Eplus Link and Mobility Tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Actual participants are considered for actions ESC11, ESC13, ESC21 and ESC31. Final figures will be updated once all projects are finalised. These are provisional figures as most of the projects funded in 2018 and 2019 are still ongoing (figures provided cover about 1% of granted projects and about 10% of granted participants). A meaningful comparison of results against milestones is, therefore, not yet possible.
Full metadata available at this address	
Justification of the trend	The Corps offers inclusive formats and support measures to reach out to young people with fewer opportunities. The milestone has been set based on a target percentage of 25% (9 275) of the forecasted participants. While the percentage of participants with fewer opportunities is much higher in 2020 (41% 7 494 participants) the actual number of participants is lower because of the underperformance in traineeships and jobs.

## Specific Objective 4 :to contribute to European cooperation relevant to young people and to raise awareness of its positive impact

### Indicator 1:number of people supported directly or indirectly through solidarity activities

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Milestones										2020
							150 000			200 000
Actual Progress										Final
						5 419	646 200			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of people impacted by the programme (cumulative)
Cut-Off Date	15/01/2021
Data source	Mobility Tool
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Considering the short duration of the European Solidarity Corps (end 2018-2020), targets for these indicators have been set over the entire programming period.
Full metadata available at this address	
Justification of the trend	The 2020 number covers projects closed in 2020 (including projects 2018 and 2019). In 2019, very few projects were closed due to the late start of the programme. The target was an estimate as the indicator also relies on beneficiaries' declarations (in final reports) in terms of indirectly supported.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

Europe's future will be built by young people. The European Solidarity Corps can make a meaningful contribution to the Commission's commitment to tackling climate and environmental-related challenges. To contribute to the European Green Deal, the Programme aims at integrating green practices into all projects and activities as well as promoting environmentally sustainable and responsible behaviour among participants and participating organisations. Organisations and participants should thus have an environmental-friendly approach when designing and implementing their activities.

The Programme also supports projects and activities addressing the topic of environmental protection, sustainability and climate goals and aiming to protect, conserve and enhance natural capital, to raise awareness about environmental sustainability and to enable behavioural changes for individual preferences, consumption habits and lifestyles.

#### *European Solidarity Corps 2018-2020*

Since 2018, the European Solidarity Corps has supported more than 1 200 projects addressing climate action, environment and nature protection.

In the 'Climate Awareness' project in Sweden, volunteers help with organic food growing, restoring biodiversity and create edible landscapes in an ecovillage. They also run awareness raising activities.

'Urban Ecology' in Bulgaria focuses on raising awareness and offering sustainable models for environmental protection and a healthy lifestyle in Varna. Through the development of three different spaces, urban, rural and virtual, the project reaches out to the local community and make citizens aware of their own responsibility and contribution to the green footprint.

The solidarity project ‘Mare d’Inverno’ aims to recover a natural coastal area nearby the urban centres of Trani and Barletta in Italy. The project promotes environmental protection and works on placing pathways for cyclists and pedestrians, cleaning beaches and replanting native tree species.

### *EU Aid Volunteers Initiative*

The project ‘Forests’ that started in 2019, foresees the deployment of 27 EU Aid Volunteer to support forest management in Congo, Ghana, Guinea and Vietnam. Volunteers will conduct mapping studies to assess the vulnerability of forest-dependent communities taking into account effects of climate change (increasing of natural disasters) and will organise seminars with local actors to plan together intervention strategies. The contribution of the programme in the 2014-2020 period has been of EUR 6,1 million.

### *European Solidarity Corps 2014-2020*

Through the European Solidarity Corps, 18-30 year old young people can carry out volunteering activities, traineeships and jobs and run their own solidarity projects (small-scale initiatives run by young people themselves in their local community).

Climate action, environment and nature protection were increasingly popular Solidarity Corps topics representing 16% by the end of 2020 and showing an upward trend. Since 2018, €30,5 million were awarded to 1 200 projects addressing climate, environmental and nature protection involving 9 000 participants. The contribution of the "early ESC", i.e. the value of activities with a climate dimension in the European Voluntary Service under E+ in the years 2017-2018 – **27,8 million**

## **6.2. Contribution to biodiversity mainstreaming**

Not applicable

## **6.3. Contribution to clean air financing**

Not applicable

## **6.4. Contribution to gender equality**

### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### **6.4.2. Key achievements and performance**

Gender equality is an important element of the European Solidarity Corps. Project promoters are invited to consider this when developing their project proposal and demonstrate how they will ensure gender balance among participants. The Corps also supports projects dealing with the issue of gender equality; e.g. focusing on changing mentalities, sensitising communities to gender and diversity, contributing to breaking down barriers for women’s access to employment.

The Inclusion and Diversity Strategy of the programme also contributes to implementing equal opportunities. In this framework, young people who are at a disadvantage compared to their peers because of discrimination, for instance against their gender, are considered priority participants (‘with fewer opportunities’) and focus in funding is put on projects supporting the strategy.

A specific topic on gender equality has been added for the European Solidarity Corps 2021-2027 that will enable to track the number of projects, involved participants and related funding, addressing this policy.

### *European Solidarity Corps 2018-2020*

The European Solidarity Corps supports a range of projects with a thematic coverage on gender equality.

The Solidarity Project ‘Change. Digital strategies for gender equality’ aims to train women in disadvantaged situations and attending the local ‘Women’s Counters’ on the use of digital technologies and to strengthen the network of solidarity between women of different ages. The project offers tools to address the issue of the gender gap in the digital environment.

The Solidarity Project ‘End of taboo. End violence.’ Addresses the topic of violence experienced by homeless women. With the support of European Solidarity Corps volunteers, workshops will be organised and tackle the topic of abuse of homeless women through arts. In the safe space of the community centre, homeless women will be able to share their personal stories and help them

cope with their emotions and look for solutions. The outcomes of the workshops will be authentic exhibitions full of impressions and positions towards violence.

The main objective of the project ‘YOUth impACT through Volunteering’ is to inform and change the attitudes of adolescents and youth from Bulgaria on topics related to human rights and healthy lifestyle (focusing on sexual and reproductive health and rights, including HIV / AIDS, gender equality, family planning, sexually transmitted infections, gender identity, etc.) as well as support the empowerment of young people, encouraging them to talk about their needs and to protect their rights. European Solidarity Corps volunteers will be supporting the workshops and awareness raising campaigns.

### ***EU Aid Volunteers Initiative***

Of all volunteers deployed so far, around 72% are female and 28% male.

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

#### ***SDG 1 End poverty in all its forms everywhere***

Through its activities to achieve social inclusion through solidarity activities, the European Solidarity Corps contributes to SDG 1, in particular its target of reducing at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions.

Resilience aims at protecting vulnerable populations from the shocks and stresses that keep people in poverty, whilst providing services, livelihoods and opportunities to address the underlying causes of their vulnerability – to ‘leave no-one behind’. EU Aid Volunteers work together with volunteers in vulnerable communities to strengthen their resilience to disasters and to build local capacity.

#### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

The European Solidarity Corps can play an important role in supporting the health and social care system, improving people’s experience of care, building stronger relationships between services and communities. Through its activities, it also aims at mobilising volunteers around key health challenges, such as those related to cancer, mental health and well-being overall.

#### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The European Solidarity Corps aims, amongst other things, at developing the skills and competences of participants for professional, social and civic development. In addition, given its strong focus on inclusion, this is also achieved for young people with fewer opportunities, including young people with disabilities.

#### ***SDG 5 Achieve gender equality and empower all women and girls***

The European Solidarity Corps aims at removing social obstacles for participation in it for people facing discrimination because of gender, among other reasons. It also supports projects dealing with the issue of gender equality; e.g. focusing on changing mentalities, sensitising communities to gender and diversity, contributing to breaking down barriers for women’s access to employment.

EU Aid Volunteers are for example recruited as gender experts to promote gender sensitivity and mainstreaming of gender considerations in disaster risk management in affected communities.

#### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

All the actions of the European Solidarity Corps contribute to increase the employability of the young people who participate, as shown by several studies. This is achieved through a combination of outcomes, e.g. the acquisition of new skills, increased autonomy, increased knowledge of foreign languages, etc. Additionally, solidarity projects can help further the entrepreneurial and innovative spirit of young participants. Finally, the emphasis on inclusion aims to ensure that all can reap these benefits irrespective of disadvantage.

#### ***SDG 10 Reduce inequality within and among countries***

Through its activities, the European Solidarity Corps aims to strengthen cohesion and solidarity. It supports projects and activities actively addressing the issue of inclusion in the society.

Special attention ensures that activities supported by the European Solidarity Corps are accessible to all young people, notably the most disadvantaged ones. To this end, special measures are in place to promote social inclusion, the participation of disadvantaged young people, as well as to take into account the constraints imposed by the remoteness of the outermost regions of the Union and the Overseas Countries and Territories. Similarly, the participating countries should endeavour to adopt all appropriate measures to remove legal and administrative obstacles to the proper functioning of the European Solidarity Corps. These include resolving, where possible, and without prejudice to the Schengen acquis and Union law on the entry and residence of third-country nationals, administrative issues that create difficulties in obtaining visas and residence permits.

***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

Through its activities aiming at addressing societal challenges, the European Solidarity Corps supports efforts to sustainable development of urban areas, and to protect and safeguard Europe's cultural heritage.

***SDG 13 Take urgent action to combat climate change and its impacts***

The European Solidarity Corps can make a contribution to SDG 13. The Programme aims at integrating green practices into all projects and activities as well as promoting environmentally sustainable and responsible behaviour among participants and participating organisations. Organisations and participants should thus have an environmental-friendly approach when designing and implementing their activities.

The Programme also supports projects and activities addressing the topic of environmental protection, sustainability and climate goals and aiming to protect, conserve and enhance natural capital, to raise awareness about environmental sustainability and to enable behavioural changes for individual preferences, consumption habits and lifestyles.

**HEADING 2B: Resilience and Values****Creative Europe****Lead DG:EAC**

Associated DGs:CNECT

1. Overview .....	670
1.1. Challenges .....	670
1.2. Mission (general objectives) .....	670
1.3. Specific objectives .....	670
1.4. Public intervention context .....	670
1.5. Actions .....	671
1.6. Delivery mode .....	672
1.7. Graphic overview of the programme structure .....	672
1.8. Legal basis and financial programming .....	672
1.9. Link with the 2014-2020 MFF .....	673
1.10. Relevant websites providing more information .....	673
2. Where are we in the implementation ? .....	673
2.1. Programme 2021-2027 .....	673
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	674
3. How is the programme performing ? .....	674
3.1. Performance .....	675
3.2. Key achievements .....	676
3.3. Evaluations, studies and reports .....	679
4. Programme 2021-2027 - Key monitoring indicators .....	680
Specific Objective 4 :GENERAL OBJECTIVE 1: to safeguard, develop and promote European cultural and linguistic diversity and heritage .....	680
Specific Objective 1 :enhancing artistic and cultural cooperation at the European level, in order to support the creation of European works and strengthen the economic, social and external dimension of and innovation and mobility in Europe’s cultural and creative sectors .....	681
Specific Objective 2 :promoting the competitiveness and, scalability, cooperation, innovation, and sustainability, including through mobility in the European audiovisual sector .....	683
Specific Objective 3 :promoting policy cooperation and innovative actions supporting all strands of the programme, promoting a diverse, independent and pluralistic media environment, and media literacy, thereby fostering freedom of artistic expression, intercultural dialogue and social inclusion .....	684
5. Programme 2014-2020 - Key monitoring indicators .....	686
Previous Program 1 : Creative Europe Programme .....	686
General Objective 1 :to safeguard, develop and promote European cultural and linguistic diversity and to promote Europe's cultural heritage .....	686
General Objective 2 :to strengthen the competitiveness of the European cultural and creative sectors, in particular of the audiovisual sector, with a view to promoting smart, sustainable and inclusive growth .....	687
Specific Objective 1 :To support the capacity of the European cultural and creative sectors to operate transnationally and internationally .....	688
Specific Objective 2 :to promote the transnational circulation of cultural and creative works and transnational mobility of cultural and creative players, in particular artists, as well as to reach new and enlarged audiences and improve access to cultural and creative works in the Union and beyond, with a particular focus on children, young people, people with disabilities and under-represented groups .....	689
Specific Objective 3 :To strengthen the financial capacity of SMEs and micro, small and medium-sized organizations in the cultural and creative sectors in a sustainable way, while endeavouring to ensure a balanced geographical coverage and sector representation .....	692

Specific Objective 4 :to foster policy development, innovation, creativity, audience development and new business and management models through support for transnational policy cooperation.....	694
6. The programme contribution to horizontal policies .....	695
6.1. Contribution to climate mainstreaming.....	695
6.2. Contribution to biodiversity mainstreaming.....	696
6.3. Contribution to clean air financing.....	696
6.4. Contribution to gender equality .....	696
6.5. Contribution to the sustainable development goals.....	697

## **1. Overview**

### **1.1. Challenges**

The European cultural and creative market continues to be fragmented along national and linguistic lines, which can cause market fragmentation. Continuing efforts are therefore required to ensure that the cultural and creative sectors fully benefit from the European single market and the digital single market in particular. The Creative Europe Programme therefore needs to accompany the Union's single market policies. This concerns, in particular, the new Copyright Directive and the revised Audiovisual and Media Services Directive, which aim to achieve a well-functioning market place for creators and right holders and to strengthen the capacity of European audiovisual players. The challenges of digital and green transformation, market fragmentation along national lines hampering production and distribution at European and global levels and artistic co-creation and innovation needs exchange and inspiration across borders to develop its potential.

### **1.2. Mission (general objectives)**

The general objectives of the Programme are:

- (a) to safeguard, develop and promote European cooperation on cultural and linguistic diversity and heritage;
- (b) to increase the competitiveness and the economic potential of the cultural and creative sectors, in particular the audiovisual sector.

### **1.3. Specific objectives**

The Specific Objectives of the Programme are:

- (a) enhancing artistic and cultural cooperation at the European level, in order to support the creation of European works and strengthen the economic, social and external dimension of and innovation and mobility in Europe's cultural and creative sectors;
- (b) promoting the competitiveness, scalability, cooperation, innovation, and sustainability, including through mobility, of the European audiovisual sector;
- (c) promoting policy cooperation and innovative actions supporting all strands of the programme, including the promotion of a diverse, independent and pluralistic media environment, and media literacy, thereby fostering freedom of artistic expression, intercultural dialogue and social inclusion.

To be effective, the Programme takes into account the specific nature and challenges of the different sectors, their different target groups and their particular needs through tailor-made approaches within a strand dedicated to the audiovisual sector, a strand dedicated to the other cultural and creative sectors and a cross-sectoral strand.

Thus the Programme covers the following strands:

- (a) 'CULTURE' covers cultural and creative sectors with the exception of the audiovisual sector;
- (b) 'MEDIA' covers the audiovisual sector;
- (c) 'CROSS SECTORAL strand' covers activities across all cultural and creative sectors.

### **1.4. Public intervention context**

Cultural and creative sectors (CCS) have intrinsic cultural and social value, expressing European identity and values and display economic value through an important contribution to jobs and growth with additional spill over effects on other sectors. In addition, the European Union promotes a free, diverse and pluralistic media environment. In this context, support is vital to protect cultural diversity and strengthen competitiveness.

It is therefore important that the Creative Europe Programme address the structural challenges of Europe's cultural and creative sectors, significantly exacerbated by the impacts of the COVID-19 pandemic. The cultural and creative sectors are recognised as one of the 14 main ecosystems of the European economy as part of the Recovery Plan for Europe. The Programme, together with other relevant EU funding programmes and Next Generation EU, shall support the short-term recovery and longer-term resilience and competitiveness. Additionally, there is an urgency to increase support to the European audiovisual industry because of competition in global audiovisual markets intensified by the deepening digital disruption shift.

Taking into account the Joint Communication 'Towards an EU strategy for international cultural relations', Creative Europe will support actions designed to have a clear Union impact on the global scene. Also, this Programme will contribute to mainstream climate actions in the Union's policies and to achieve an overall target of 25-30% of the Union budget expenditures supporting climate objectives.

The main EU added value comes from the strong transnational dimension of the Programme as already demonstrated in the Creative Europe programme 2014-2020. The multilateral transnational nature of Creative Europe provides a distinctive offer that is rarely matched by national funding, which tends to focus more on domestic activities and – and to a lesser extent – on bilateral transnational cooperation. This multilateral transnational focus is highly valued by stakeholders and beneficiaries as a unique element of Creative Europe. Only a few other existing international funds support transnational cooperation in the cultural and creative sectors at all and those that do are of significantly smaller scale.

Support to the cultural and creative sectors at European level needs to have a clear European added value, which is ensured, inter alia, through:

- (a) the transnational character of actions, which complement regional, national, international and other Union programmes and policies,
- (b) cross-border cooperation,
- (c) the economies of scale and growth and jobs which Union support fosters, creating a leverage effect for additional funds,
- (d) providing a more level playing field through the MEDIA strand by taking into account the specificities of the different countries.

The budgetary authority increased the budget of Creative Europe by over 80% on an EU 27 basis, in recognition of the value of the programme in addressing the unprecedented challenges faced by Europe's cultural and creative sectors.

The Creative Europe programme is based on Articles 167 and 173 of the Treaty on the Functioning of the European Union (TFEU) of which Article 167 specifies the Union's competences in the cultural field and calls for action by the European Union to contribute to the flowering of the cultures of the Member States, simultaneously respecting their national and regional diversity, bringing the common cultural heritage to the fore and, if necessary, to support and supplement Member State action in the area listed by this provision.

Article 173 TFEU states that the Union and the Member States shall ensure that the conditions necessary for the competitiveness of the Union's industry exist, including taking action to encourage an environment favourable to initiative and to the development of undertakings.

Other policy tools that will receive financing from Creative Europe and their legal bases:

- Decision No 1194/2011/EU of the European Parliament and of the Council of 16 November 2011 establishing a European Union action for the European Heritage Label]
- Decision No 445/2014/EU of the European Parliament and of the Council of 16 April 2014 establishing a Union action for the European Capitals of Culture for the years 2020 to 2033 and repealing Decision No 1622/2006/EC

## 1.5. Actions

The CULTURE strand supports:

- artistic cooperation projects
- sectorial networks of professional organisations
- platforms for the promotion of European artists and works
- mobility of artists and cultural and creative professionals
- internationalisation of operations by cultural and creative organisations
- promoting excellence in the form of awards
- sectorial support in the fields of music, books/editing, cultural tourism, architecture and fashion/design
- Special actions such as European heritage label and European capitals of Culture or support to cultural entities supporting young high potential artists or delivering direct cultural services to a large number of citizens.

The MEDIA strand supports:

- development and production of innovative audiovisual content (in particular films, TV series, video games, immersive content)
- distribution of non-national European works on all platforms
- training and mentoring for AV professionals
- audiovisual markets and networking of operators, including through promotion and B2B activities
- innovative tools networks and individual operators featuring a significant proportion of non-national European works: Video on Demand platforms, cinema theatres and festivals
- audience development, in particular the young
- Audiovisual policy dialogue and transnational exchange of experiences
- measures to contribute to more balanced gender participation

The CROSS SECTORAL strand supports:

- Cross-sectoral policy dialogue and cooperation
- A Creative Innovation Lab on collaboration between creative sectors on common challenges
- Programme Desks to promote the Programme in Member States

The news media sector through fostering pluralism, cross-border collaboration and promoting media literacy.

## 1.6. Delivery mode

The programme is managed jointly by DG EAC and DG CNECT and implemented by EACEA, DG EAC and DG CNECT. Blended support of financial instruments will be managed by the European Investment Fund. Audiovisual policy actions and some news media actions are implemented by DG CNECT. DG EAC manages directly policy actions, cultural prizes and special actions such as the European Capitals of Culture and the European Heritage Label. Cross-sectoral policy actions are implemented by DG EAC and DG CNECT.

The Culture and MEDIA administrative budget lines are implemented by DG EAC and DG CNECT respectively.

## 1.7. Graphic overview of the programme structure

<b>Domain</b>	<b>Culture</b>		
<b>Programme</b>	<b>Creative Europe</b>		
	<b>Culture strand</b> Budget share: <b>33%</b>  All cultural sectors (except audiovisual)	<b>Media strand</b> Budget share: <b>58%</b>  Audiovisual	<b>Cross sectoral strand</b> Budget share: <b>9%</b>  Cross-sectoral collaboration News media
<b>Beneficiaries</b>	Depending on the action: networks and partnerships between SMEs, NGOs and/or public organisations. In relevant cases also individual organisations and individual artists and professionals.		
<b>Management Mode</b>	<b>Direct</b> - Implemented by the Education Audiovisual and Culture Executive Agency ( <b>EACEA</b> )		
	Managed by DG EAC	Managed by DG CNECT	Managed by DG EAC and DG CNECT

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 366: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Creative Europe programme (2021 to 2027) and repealing Regulation (EU) No 1295/2013	2021 - 2027	1 842,0

## 1.8.2. Legal basis explanation

## 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>306,4</b>	<b>401,0</b>	<b>235,0</b>	<b>239,7</b>	<b>244,5</b>	<b>294,4</b>	<b>254,6</b>	<b>1930,5</b>

## 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The aim of this initiative is to build on the achievements of the Creative Europe Programme's 2014-2020 and scale up efforts whilst increasing the intensity of support in key areas. The new programme has a wider scope as it also covers audiovisual policy and support to the news media sector

The mid-term evaluation of the programme outlined its achievements whilst addressing some shortcomings. Overall, the programme was effective and had a clear European added value. The launch of the ex-post evaluation of the programme is expected in 2021.

## 1.10. Relevant websites providing more information

**The Creative Europe website on Europa** ([https://ec.europa.eu/programmes/creative-europe/node\\_en](https://ec.europa.eu/programmes/creative-europe/node_en))

Contains information on the specific actions of the programme, provide links to the respective policy areas and to other EU programmes and information that could be interesting for the sector.

**The Creative Europe website run by EACEA** ([https://eacea.ec.europa.eu/creative-europe\\_en](https://eacea.ec.europa.eu/creative-europe_en))

Provides information on calls for proposals.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

**The work programme is planned to be adopted in April 2021 together with the delegation to EACEA. Most actions and calls will be launched thereafter.**

Creative Europe has an estimated budget of around €2.44 billion<sup>1</sup> for the whole period 2021-2027.

With a 50% budget increased compared to its predecessor programme (2014-2020), Creative Europe will invest in actions that reinforce cultural diversity and respond to the needs and challenges of the cultural and creative sectors. Its novelties will contribute to the recovery of these sectors, reinforcing their efforts to become more digital, greener, more resilient and more inclusive.

The programme is divided into three strands: Culture, MEDIA, and Cross-Sectoral. The three strands account respectively for 33%, 58%, and 9% of the Creative Europe budget.

In 2022, Creative Europe has a programmed budget of €401.03 million, of which €312.51 million correspond to the adopted MFF 2021-2027 and €88.52 million as additional top-ups.

In 2022's programming, EACEA will implement approximately 90% of the budget, while about 10% will be implemented in a centralised manner.

The **CULTURE** strand consists of the following actions:

- Horizontal actions covering all cultural and creative sectors: support to cultural **cooperation projects, networks** of professional organisations, **platforms** for the promotion of European artists and works, **individual mobility scheme**;
- **Sector-specific support** to complement horizontal actions in music, book & publishing, cultural heritage and architecture as well as other sectors; and
- **Special actions** to reward and promote excellence and creativity such as the **awards** for literature, music, architecture and cultural heritage, **European Capitals of Culture**, and the **European Heritage Label**.

The main **novelties** of the CULTURE strand include:

<sup>1</sup> The Creative Europe programme budget is made of €1.842 billion in current prices as part of the new MFF (2021-2027) and an additional top-up of €0.600 billion in 2018 prices.

- Stronger emphasis on European transnational **creation**, circulation of works, and **innovation** in the culture and creative sectors;
- Easier access to Creative Europe funding through **higher co-financing rates**;
- A tailor-made **mobility scheme** for artists and professionals; and
- Actions targeting **sector-specific needs** in music, literature, architecture, cultural heritage, design, fashion and cultural tourism.

The **MEDIA** supporting actions are divided into four thematic clusters:

- **Content**: encouraging collaboration and innovation in the creation and production of high-quality works.
- **Business**: promoting business innovation, competitiveness, scalability and talents to strengthen Europe's industry vis-à-vis global competitors.
- **Audience**: strengthening the accessibility and visibility of works for their potential audiences, through distribution channels and audience development initiatives.
- **Policy**: supporting policy discussion/exchange fora, studies and reports. Promoting awareness-raising activities.

The MEDIA strand will focus on:

- Encouraging **cooperation** both across the value chain and at EU level in order to **scale up audio-visual enterprises and European content globally**;
- Nurturing **talents**, wherever they come from, and broadening participation and collaboration across countries;
- Supporting the use of new technologies to ensure the full exploitation of the **digital transformation**; and
- Fostering the **greening** of the industry and including societal objectives such as **gender balance and diversity**.

The **CROSS-SECTORAL** strand will address:

- **Common challenges and opportunities** for the cultural and creative sectors; and
- For the first time, actions to support the **news media sector** by promoting media literacy, pluralism and media freedom.

The CROSS-SECTORAL strand's supporting actions will focus on:

- **Transnational policy cooperation**: promoting knowledge of the Programme and supporting the transferability of results.
- **Creative Innovation Labs**: promoting innovative approaches to content creation, access, distribution and promotion across cultural and creative sectors.

**News media**: supporting media literacy, quality journalism, media freedom and pluralism.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	1 487 619 769	1 163 037 180
Implementation carry-overs	0	9 263 653
Implementation total	1 487 619 769	1 172 300 833
total envelop*	1 487 956 887	
cumulative implementation rate	100%	79%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Creative Europe is the European Commission's framework programme for support to Europe's culture and audiovisual sectors. The programme is divided into two sub-programmes, Culture and MEDIA, and is supported by a cross-sectoral strand. Its objectives are to promote cultural and linguistic diversity and enhance the competitiveness of these sectors, by supporting small independent production and distribution companies in the audiovisual field as well as a wide range of operators in the cultural field.

The total C1 credits for the period 2014-2020 amounted to €1 487 956 887 and were implemented at nearly 100% (€1 487 619 769). During the same period, the total payments with C1 appropriations amounted to €1 172 300 833. The percentage indicated below (79%) corresponds to the ratio between the implemented payments and the implemented commitments.

Approximately 90% of the budget is implemented by EACEA, while approximately 10% is implemented in a centralised manner.

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.3. Previous programme performance

The programme has progressed toward the achievement of its overall objectives, i.e. safeguarding and promoting cultural diversity and strengthening competitiveness. The measurement through key performance indicators shows in particular how diversity was strengthened by helping European content (films, music, books...) reach wider audiences and how Creative Europe played an important economic role in leveraging investment by acting as a guarantee for quality. The quality of received applications can generally be considered high and the success rate relatively low, given the restricted budget, with some schemes being more competitive than others. In 2020, the 7 most applied-for calls for proposals could not satisfy the needs of 293 high-quality projects (projects which received a score of above 75% of points during evaluation) due to budgetary constraints. The additional budget required to fund them would amount to over €23 million. Overall during 2014-2020 Creative Europe received 30 922 eligible proposals and awarded 13 009 grants. Given the positive track record of the programme its successor will be an evolution rather than a revolution, aiming to build on its strengths.

**The MEDIA Sub-programme** performed very well with respect to promoting European cultural and linguistic diversity, by supporting the development and distribution of hundreds of audiovisual works, thus helping them find their audiences. By supporting the development and distribution of about 25% of European films produced every year, MEDIA plays a significant role in creating a European ecosystem, which allows films to go beyond their domestic markets. MEDIA helped the audiovisual industry to grow by addressing different stages of audiovisual value creation chain:

- Fostering **talent and skills** at international level through supporting 261 training projects over 2014-2020 (47 in 2020 alone) which equipped over 16 000 professionals with content-related, business and technological skills (the latest available data accounts for 2 445 professionals trained in 2018). The successor programme will build on this success by increasing the focus of training on digital skills as well as greening and by extending mentoring for women professionals.
- Fostering **high quality, innovative content creation**. MEDIA supports the creation of films, TV series and video games (€32.8 million in 2020), which have the potential to travel, by helping them to achieve the quality needed to attract international audiences. It can be considered a success that a very high share of content created with the support of MEDIA are co-productions (83% of film and TV projects supported in development and production stages in 2019, which is the latest available data), as it is proven that they have bigger budgets, travel more broadly and attract bigger audiences. Considering the European market is fragmented and operating on a small-scale, increased average budgets and reach is a step towards market structuring. MEDIA is also present (through cascading grants to national funds) in the cooperation between filmmakers from the EU and developing countries (e.g. in 2019 – latest available data- 24 such co-productions were created with the help of MEDIA grants). The new Programme will take account of market developments by increasing support for innovative content such as high-quality TV series as well as immersive experiences. Co-productions will be further strengthened through a dedicated scheme for co-development.
- Increasing **circulation and cross-border access**. MEDIA makes an essential contribution to making European films available beyond their domestic markets (€64.3 million in 2020). It supports the theatrical release of several hundred films across borders every year. In 2020 this was achieved through 241 individual distributors active in all Member States and 33 Sales Agents specialised in non-national European films. Greater efficiency was achieved through streamlining the Distribution Automatic scheme, simplifying grant processing and reducing the number of annual transactions from approximately 1 000 to 300. Also, the distribution of around 20 films a year (22 in 2020) is coordinated on a pan-European basis to ensure that they obtain the scale effects of promotion. The grants for individual distributors allow them to maintain the European profile of their activities which in the years 2014-2018 – latest available numbers – attracted 207 million viewers in various types of cinemas. MEDIA also co-finances the growing Europa Cinemas network of cinema theatres (from 962 members in 2014 to 1 149 in 2019), which excel in the exhibition of European titles. Members of Europa Cinemas serve local communities as unique venues for film culture, animation and education.
- Increased **promotion** of European works (€14.3 million in 2020). MEDIA supports promotion activities in several ways: support to festivals to give visibility to newly released works; promotion of European works online, through innovative VOD services as well as cross-border collaboration between VOD platforms; audience development through education; promotion of European films at exhibitor conventions; facilitating access to and strengthening the visibility of European professionals in audiovisual markets and exhibitions, in Europe and beyond.
- Increased **promotion** of European works (€14.3 million in 2020). MEDIA supports promotion activities in several ways: support to festivals to give visibility to newly released works; promotion of European works online, through innovative VOD services as well as cross-border collaboration between VOD platforms; audience development through education; promotion of European films at exhibitor conventions; facilitating access to and strengthening the visibility of European professionals in audiovisual markets and exhibitions, in Europe and beyond.

The planning 2020 was disrupted by the COVID-19 pandemic, which meant cancelling many promotional events, but in 2019 the programme enabled 1 837 European audiovisual professionals to attend markets and festivals outside of the EU, where they could exhibit their works and ideas to almost 235 000 attendees. Additionally, in the EU, the 6 MEDIA-branded stands providing networking space for European audiovisual professionals, attracted over 42 000 attendees. The presence in markets is very important for the audiovisual sector, as it is where many business deals are struck. The successor programme will incentivise increased collaboration at European level through structured networks of festivals and VOD services, to promote innovation and scaling up.

MEDIA has also contributed to a level playing field for audiovisual companies applying for MEDIA grants coming from countries with different scale and level of development of an audiovisual industry. Measures were taken through the categorisation of participating countries into low, medium and high capacity groups and applying positive discrimination measures, including automatic points, in the selection of projects from countries in the low and medium groups. The measures were particularly effective in broadening the access for applicants from medium countries, but they raised concerns about unintended consequences in the evaluation of projects. Therefore the new Programme will continue to address the level playing field but the measures will be reviewed to avoid distortions of the principle of competition and ensure that positive discrimination is applied for the low capacity countries, where it is needed most.

**The Culture Sub-programme** is achieving key objectives such as encouraging transnational cooperation in the cultural field:

- More than 1 100 projects have been funded and more than 647 cooperation partnerships have been created between 3 760 organisations across Europe by the Creative Europe programme – culture strand.
- Simplifications of procedures, more guidance to applicants and increased budget have resulted in a **better access to Creative Europe support for smaller organisations**: more than 70% of the beneficiaries are small or medium size organisations.
- **The 3 main priorities of the programme have been met by funded projects**: circulation of artists and works, capacity building and especially audience development.
- **The platform scheme has been a success**. The scheme was introduced at the beginning of the programme to stimulate the transnational programming and promotion of European emerging artists: the number of supported platforms has grown from 5 in 2014 to 15 platforms in 2020.
- **Creative Europe (CE) support to networks has been an efficient capacity-building tool**: CE has supported nearly 30 European networks connecting more than 4 000 organisations across Europe with a view to disseminate good practices and innovations and structure the different culture and creative sectors.
- **The literary translation scheme has efficiently contributed to increasing the diversity of European literature** through the translation and promotion of more than 3 500 books. With more than 30 different ‘less represented’ languages, the scheme has a clear added value in comparison to the market dominated by translations from English. Finally, the programme demonstrated its ability to innovate and respond to the demand by testing a new mobility scheme for artists and professionals.

**The cultural and creative sectors were among the hardest hit by the COVID-19 pandemic crisis in 2020.** Due to this external shock, adaptations were essential and flexible measures introduced, for example transferring physical activities of projects online. In this way, despite COVID-19, Creative Europe was able to commit the entire budget and contribute to the recovery of the sector. MEDIA also provided additional support for the Europa Cinemas members suffering from forced closures and within Culture additional funding was made available for a translation scheme and the new instrument to support the (online and offline) circulation of performing art works. Nonetheless, the COVID-related restrictions meant that the Programme underperformed in some indicators, in particular the audiences of events based on physical presence.

### 3.2. Key achievements

401 million	3 679	2 338	3 760	3 500	2 057
viewers of film screenings in Europa Cinemas 2015-2020, including 55% of European films. On average 1 in 4 EU viewers of a non-national EU film is a guest of a	audiovisual works supported in the making in 2014-2020 (including 210 video games and 340 TV content works)	audiovisual professionals upskilled every year through trainings supported by MEDIA	organisations have collaborated in 647 cultural cooperation projects	European literature books from 40 different European languages have been translated and promoted to a large audience	films presented to audiences in cinemas in countries other than their country of production.

member of Europa Cinemas.					
---------------------------	--	--	--	--	--

### MEDIA Sub-programme

Data indicates that the circulation of films evolved positively over the period 2013-2018. In particular, the number of European films with more than five release markets (within the EU) increased to 351 in 2018 (up from 237 in 2013) and the number of films with more than 10 release markets increased to 142 (from 103 in 2013 and 130 in 2017). Thus, the support that MEDIA has consistently given to building a European audiovisual ecosystem has contributed to a positive impact. Furthermore, there has been an increase in the export of European films to global markets. In 2013, 566 films were exported, whereas by 2018 this had increased to 696, a rise of 22%. MEDIA has contributed to this growth through its support to the promotion of European cinema in global markets, including the US and Asia.

Many of the films supported by MEDIA receive the most globally significant professional recognition. In the years 2017-2019 they accounted for 147 awards and prizes at festivals in Cannes, Venice, Berlinale, San Sebastian and the European Film Academy awards, 3 Oscars and 1 Golden Globe. In 2020, despite the fact that due to the COVID-19 crisis many film premieres were delayed and festival competitions disrupted (notably the cancellation of Cannes), MEDIA-supported films still received recognition; 3 awards at Berlinale 2020 and 7 EFA awards (the *Danish film, Another Round* being the most acclaimed title). Oscar nominations were received for 8 films in 2021.

A good example of how MEDIA contributes to excellence in filmmaking on a European scale and with global potential is the case of *Cold War* (dir. Pawel Pawlikowski, PL-UK co-production). Its producers received a grant of €60 000 in 2014 to develop a slate of film projects, including the script of what would become the *Cold War*. Once the film started attracting positive reviews at festivals and first awards, its promotion campaign and wide distribution in the EU was supported with a €1.1 million in 2018. Its global box office in 2019 was estimated at around €18 million. From a different angle, the last 7 years were strongly marked by the proliferation and innovations in high quality TV series. This genre has a wider reach than any film in theatrical release. MEDIA has helped develop some of the most popular European TV series, watched on TV channels and on the most popular online platforms across the EU: including *The Bridge* in the first years of the Programme, *Babylon Berlin*, *Le Bureau des legends* and *Versailles*, *Find me in Paris*, *My Brilliant Friend* and *DNA*.

At the International level, European Film Promotion (EFP) activities, supported by MEDIA can be regarded as particularly successful in 2014-2019. EFP strengthens the global presence of the European industry. It hosts umbrella stands at the most important world film industry events (Sydney, Toronto Busan film festivals etc., and events in Los Angeles in the Oscars run-up) for European filmmakers.

MEDIA also took important steps forward in reaching wider audiences. In 2019 the 'Distribution Selective' scheme was restructured to promote more collaboration, coordinated distribution strategies, and thereby reach wider audiences by focusing on matching films with potential audiences across territories and sharing marketing material amongst distributors. These improvements have been successful in attracting many high quality proposals.

The directory of European films on VOD – Lumiere VOD Database, managed by European Audiovisual Observatory – conceived in 2017, as a flagship action of the Digital4Culture Strategy and has been supported by MEDIA. It is an online transparency tool providing updated data on online availability of European films across Member States. It contributes to the visibility of European films on the VOD market and thus helps their circulation and facilitates compliance with the revised Audiovisual Media Services Directive. By November 2020 the database covered 462 different catalogues (138 SVOD and 324 TVOD) in 46 countries accounting for 44 000 film titles and 12 650 series' seasons.

### CULTURE Sub-programme

**The European Year of Cultural Heritage (EYCH) has had a lasting legacy** in promoting and safeguarding cultural heritage on many levels. **The European Year of Cultural Heritage (EYCH) in 2018 was a success** with substantial funding made available for cultural heritage projects, encouraging people-centered, inclusive, and sustainable approaches. It was an unrivalled celebration of Europe's shared cultural heritage and values, as well as a wide mobilisation of heritage actors across Europe and beyond. **The Year was organised as a bottom-up initiative and attracted 12.8 million citizens to more than 13 000 events.**

The Commission's Cultural Heritage Expert Group maintains the spirit of cooperation and policy dialogue achieved during the European Year of Cultural Heritage. It comprises representatives from Member States, key stakeholders as well as a number of individual experts. The group provides the Commission with advice and expertise. It also serves as a platform for consultation and the exchange of information on cultural heritage policies in order to support the implementation of the **European Framework for Action on Cultural Heritage (EFACH)**. In line with EFACH, **many activities have been put in place to maintain the momentum** of the Year and harness its benefits. Over 60 actions of the EFACH respond to five pillars pertaining to inclusiveness, sustainability, resilience, innovation and global partnerships. They include Creative Europe funded actions such as joint EU-

UNESCO project on engaging youth and schools for heritage (€300 000), which, is coming to an end in April 2021 and will soon publish learning material on cultural heritage for schools. Another example of an action funded by Creative Europe as part of the EFAC is ‘Cultural Heritage in Action’, launched by the Commission in 2020 as a successor of ‘cultural heritage for cities and regions’. This is a peer-learning programme for local and regional policymakers to exchange knowledge on cultural heritage. It produced a first catalogue of 32 local and regional best practices on participatory governance of cultural heritage, adaptive reuse of built heritage and quality of interventions on cultural heritage.

Among the actions showcasing the richness and diversity of cultures in Europe as well as the common features they share, the **European Capitals of Culture (ECOCs) have a significant leverage effect** on long-term cultural, social and economic benefits to the cities which have held the title. From 2014 to 2020, the Melina Mercouri Prize was awarded to 14 cities as European Capitals of Culture. This cost-efficient leverage action (€1.5 million in the form of the Melina Mercouri Prize) stimulates huge culture-led investments by national, regional and local public authorities: as an example, the two 2018 ECOCs invested approximately €104.6 million in Leeuwarden (The Netherlands) and €26.5 million in Valetta (Malta). **One euro of public money invested in an ECOC project can generate up to €6 in return for the local economy** (as was for example the case in Mons, ECOC 2015) and overnight visitors increase on average by 12%. In Leeuwarden, overnight stays in hotels showed an increase from 0.8 million in 2017 to 2.1 million in 2018.

Another achievement is the **success of the new platform scheme introduced at the beginning of the 2014-2020 programme** to offer simplified mechanisms (support to third parties) to stimulate the circulation of artists and works. The sector has responded well to this new opportunity and the number of supported platforms increased from 5 in 2014 to 15 in 2020.

The **individual mobility scheme for artists and creative people has been a success**. Launched in 2018 as an experimental action the scheme gives artists and creative professionals more freedom to choose how to develop and build their career. The scheme called I-Portunus is managed by a consortium headed by the Goethe Institute and three other cultural organisations. Although new, it has been a **huge success with over 3 000 applications i.e. 10 times more than funding available and has received very positive feedback** from cultural organisations and artists who took part. A selection of 337 professionals were selected to go abroad (15-85 days) to develop international cooperations, co-produce, co-create, for their professional development and internationalise their careers. As a result of their mobility, 97% of the grantees said they acquired new skills/knowledge, 94% developed new audiences/outlets, 94% developed new co-productions/creations, and 49% received a job offer. This is a most impressive impact considering the limited financial support provided by the EU, e.g. only €1 500 to €3 400 per individual.

Following a decision by the European Parliament for a three-year **Preparatory Action on music** (2018-2020), with a budget of €7 million, DG EAC launched 12 calls: seven calls for proposals (professionalisation and training, distribution, education, small venues, co-creation, sustainable recovery) and; 5 calls for tenders (music export strategy, feasibility of a European music observatory, market gaps analysis, health and well-being of music creators, music export pilot). **The resulting projects and study reports will feed into the Commission’s integrated strategy for music** (Music Moves Europe initiative), including targeted support under Creative Europe via the new sectorial action from 2021/2022. The objective of Music Moves Europe is to support European diversity and talent, the competitiveness of the sector as well as increased access of citizens to music in all its diversity.

As part of the support for Special Actions, the Culture Sub-programme supported the organisation of **four European prizes** in the areas of music, literature, architecture and cultural heritage. All Prizes organised award ceremonies together with side events to celebrate their winners, gather stakeholders and attract media attention.

- **The Music Moves Europe Talent Awards.** By awarding young artists from all over Europe who reached audiences outside their own countries, the EU prize for popular and contemporary music puts a spotlight on Europe’s vibrant music scene. Since 2019, when the EBBA (European Border Breaker Awards) became the Music Moves Europe Talent Awards, the prize celebrated 28 artists (36 awards) who represent the sound of today and tomorrow. Among the award winners of the recent years were for instance Dua Lipa, Alice Merton, Rosalia or Lou and the Yakuza.
- **The European Heritage Awards is the most prestigious prize in the field** and contributes to a stronger public recognition of cultural heritage as a strategic resource for Europe’s society, economy and environment. It rewards each year up to 30 heritage achievements, which have the power of example. Since 2002, independent expert juries have selected 533 award-winning projects from 34 countries.
- **The European Union Prize for Literature.** With more than 135 authors rewarded showcasing 33 different European languages, the European Union Prize for Literature gives visibility to emerging European writers, encourages translations and promotes the diversity and excellence of European literature.
- **The EU Prize for Contemporary Architecture:** Three editions (2015, 2017, 2019) were organised during the lifetime of the programme: 1 158 works from 37 countries were nominated, among which 10% of transnational works (i.e. built by architects from a different CE country). An award ceremony, travelling exhibition and catalogue were produced by the Mies van der Rohe Foundation for each edition. A change of focus was noted with the 2017 and 2019 winners (renovation projects of post-war housing blocks) as they highlighted the contribution of transformative architecture to the circular economy, energy efficiency and sustainable development. The EU Mies Award was complemented by the launch in 2016 of the **Young Talent Architecture Award (YTAA)**, which rewards the best graduation projects from European architecture, urban planning and landscape schools. YTAA included a more international dimension from the start, with guest countries from Asia and Latin America participating. A stand-alone YTAA Asia edition was even organised in 2020. In total 14 students were awarded in 3 editions (2016, 2018, 2020). YTAA winners and finalists are celebrated in the Venice Architecture Biennale through an exhibition and award ceremony.

For all prizes, there is more focus is now being put on the support to the prize winners during the year, helping them to professionalise, access markets and raise visibility. While the award ceremonies remain an important milestone to attract visibility, efforts were made to increase their attractiveness and relevance within the respective creative sector even further.

### **Cross – sectoral strand**

In 2020, under Creative Europe's Cross-sectoral strand, the project '**Cultural and Creative Spaces and Cities**' (2018-2021, €1.5 million) continued the implementation of its activities: The wider context of cultural centres were explored for a **better use of public spaces for social regeneration through culture**. Cities and regional authorities were actively involved in the project and a series of urban labs and co-creation labs were organised to develop new ways of working together and involving 'creative commons'. Due to the COVID-crisis the remaining urban labs and other workshops took place virtually, including the project closing conference, which was held at the beginning of February 2021.

The Commission organised stakeholder consultations for post-2020 cross-sectoral action **Creative Innovation Labs** that aims to accelerate development by **integrating and cross-fertilizing innovation initiatives in creative fields**. The initiative was met with a large number of attendees and enthusiastic response from the sector, showing how needed it was. In order to prepare for the launch of the Labs a preparatory action Call for Proposals opened in 2019: Bridging culture and audiovisual through Digital. The €1.75 million budget Call received 61 eligible applications for the total of over €14.3 million. The applications came from a wide range of complementary sectors and countries and showed the appetite for such cross-sectorial calls, something that was also in evidence in a separate call on platform innovation.

The **Cultural and Creative Sectors Guarantee Facility (CCS GF)** under Creative Europe is a facility under which the European Commission through the European Investment Fund (EIF) provides guarantees and counter-guarantees on debt financing to Financial Intermediaries in order to improve access to finance to SMEs from cultural and creative sectors. These guarantees are very important as traditionally the financial sector was distrustful of CCS enterprises. As a result, for example in the audiovisual industry only 1-2% of budgets were coming from this much needed source of funding, making filmmakers more dependent on public subsidies. The CC GF was launched in July 2016 as the first financial instrument specifically targeting the CCS with an initial budgetary appropriation for CCS GF of €121 million from the Creative Europe budget. Its uptake exceeded expectations and the initial budget was twice topped-up. By the end of 2020, a total of 20 intermediaries in 12 countries signed an agreement. As of end-2020, debt financing of €824 732 024 (including €400 million in 2020) had been made available to 3 626 CCS SMEs (2 079 new ones in 2020).

## **3.3. Evaluations, studies and reports**

**1. Interim Evaluation** was performed in 2017. Its conclusions and recommendations summarised the main achievements of the Programme up to that moment and prompted the European Commission to make adjustments to address the indicated shortcomings in the next years. The Programme was evaluated overall positively. It concluded in particular that it effectively:

- enabled cooperation between unlikely partners from different geographic and sectoral areas (also through networks) creating a European ecosystem,
- helped the audiovisual partners in scaling up by encouraging co-productions,
- helped in building the demand for European audiovisual works, through increasing the circulation of works that would find it hard to travel otherwise and supporting the creation of popular genres specific to Europe, addressing the private financing gap by setting up the Guarantee Facility.

The evaluation identified the main following shortcomings:

- low budget, compared to the scale of the sectors, limiting the potential impact
- too high administrative burden in some schemes, compared to the value of the grants
- not enough flexibility in allowing for varied partnerships
- need to strengthen the monitoring

**2.** Regarding the improved framework of monitoring mentioned in the Interim Report, a Delegated Act supplementing the indicators from the legal base was adopted and the Programme started publishing yearly **Monitoring Reports**. The first – regarding 2017 – was prepared only for MEDIA and the 2018 and 2019 editions covered the whole programme. The Monitoring Reports present in-depth analysis of the programme's performance. They feature both quantitative as well as qualitative information on the implementation processes, outcomes and broader impact:

- 2017: <https://ec.europa.eu/digital-single-market/en/news/reaching-audiences-across-borders-media-launches-its-monitoring-report-2017>
- 2018: [https://ec.europa.eu/programmes/creative-europe/content/creative-europe-publishes-2018-monitoring-report\\_en](https://ec.europa.eu/programmes/creative-europe/content/creative-europe-publishes-2018-monitoring-report_en)
- 2019: [https://ec.europa.eu/programmes/creative-europe/content/european-commission-presents-creative-europe-monitoring-report-2019\\_en](https://ec.europa.eu/programmes/creative-europe/content/european-commission-presents-creative-europe-monitoring-report-2019_en)

3. The **European Audiovisual Observatory**, co-financed by Creative Europe, was commissioned to prepare studies (regular and ad-hoc) and briefing notes on the trends in the audiovisual industry. Among the most important works were:

- Tracking the production, promotion, circulation and availability of European audiovisual works (films and TV content). Different studies covered different dimensions of circulation: within the EU and in export; various exploitation windows, especially Video on Demand,
- Launching a directory of European films on VOD platforms (LUMIERE VOD),
- Updating MAVISE database and audiovisual media services database,
- Mapping the public funding criteria for audiovisual productions.
- Mapping the assessment of the nationality of audiovisual works.

4. Each year, **ex-post evaluations of the Capitals of Culture of the previous year are conducted**. For instance the external ex post evaluation conducted in 2019 has shown that the two title-holders in 2018 – Valletta (Malta) and to a higher degree Leeuwarden-Friesland (the Netherlands) – derived substantial economic, social and cultural benefits from the title.

5. The following studies have provided useful findings for stakeholders and policy makers.

- **Study on creative value chains in CCS:** published in May 2017, funded in the framework of the Guarantee Facility for CCS co-managed by Creative Europe and the European Investment Fund. The study has provided a mapping the creative value chains and contributed to a better understanding of the economy of culture in the digital age including existing market imperfections through the digital shift and the value gap.
- **Crowdfunding4Culture:** Crowdfunding, the practice of funding a project or organisation by raising monetary contributions from a large number of people, has been growing substantially in recent years. Thousands of people and organisations across Europe have raised funding through crowdfunding platforms, including cultural and creative projects. <https://www.crowdfunding4culture.eu/>

6. The European Commission cooperated with the Member States in the form of Open Method of Coordination, which concludes in publication of a concluding report.

- In 2018 it took the form of a toolkit European movies on the move: 10 actions for better circulation across Europe/ (<https://ec.europa.eu/digital-single-market/en/news/european-movies-move-ten-actions-better-circulation-across-europe>)

7. In 2018 MEDIA commissioned the preparation of the study of the effects and potential new methodology and measures to ensure Level Playing Field among countries with different audiovisual capacities

8. In 2020 the Work Programme foresaw a study on the Artificial Intelligence in the creative sectors, which is ongoing.

## **4. Programme 2021-2027 - Key monitoring indicators**

**GENERAL OBJECTIVE 1: to safeguard, develop and promote European cultural and linguistic diversity and heritage**

**Indicator 1: Number and scale of transnational partnerships created with the support of the Programme, including the country of origin of the beneficiary organizations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of Partnerships (yearly)
Cut-Off Date	
Data source	Applications
Link to the objective	Collaboration increases competitiveness through allowing to scale-up for organisations and the circulation of content.
Link MFF 14-20 / MFF 21-27	New Indicator for 21-27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Qualitative evidence of success stories in the field of artistic, business and technological innovation due to the programme support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of cases of good practices and excellence (yearly)
Cut-Off Date	
Data source	e-Grants
Link to the objective	The Cultural and Creative Sectors (CCS) have a value which lies in their symbolic influence on audiences and ability to innovate. The Programme has a much smaller scale compared to the size of the sector and measuring its impact is difficult. It is crucial that the Programme leverages its support to critical parts of the sector. This indicator monitors qualitative challenges tackled and changes that have been achieved within key areas of the CCS resulting from support of the Programme.
Link MFF 14-20 / MFF 21-27	New Indicator for 21-27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 1 :enhancing artistic and cultural cooperation at the European level, in order to support the creation of European works and strengthen the economic, social and external dimension of and innovation and mobility in Europe’s cultural and creative sectors****Indicator 1:Number and scale of transnational partnerships created with the support of the Programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
130	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of Partnerships (yearly)
Cut-Off Date	
Data source	e-Grants
Link to the objective	Enhance artistic and cultural cooperation at European level; support the creation of European works; strengthen the economic, social and external dimension of Europe’s cultural and creative sectors.
Link MFF 14-20 / MFF 21-27	Previous Indicator: 'the scale of international activities of cultural and creative organisations and the number of transnational partnerships created'. Reporting will continue on this indicator, which has been simplified to report on the number and size of transnational partnerships.
Other methodological comments	This composite indicator will combine the numbers and geographic origins of the partnerships created under all three strands of the programme to show the overall effect on internationalising and scaling-up the activity of CCS actors. The baseline figure for 2020 comprises 130 (COOP + PLAT) partnerships involving 635 beneficiary organisations (COOP + PLAT Coordinators + partners) and additional 274 associated partners.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Number of artists & cultural &/or creative players (geographically) mobile beyond national borders due to Programme support, by country of origin (including the proportion of women)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (cumulative)
Cut-Off Date	
Data source	e-Grants
Link to the objective	Enhance artistic and cultural cooperation at European level; support the creation of European works; strengthen the economic, social and external dimension of Europe's cultural and creative sectors with an emphasis on innovation and mobility.
Link MFF 14-20 / MFF 21-27	This rephrased indicator was introduced by the 2019 delegated act amending the indicators of the previous programme.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of people accessing European cultural and creative works generated by the Programme, including works from countries other than their own**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
17.5	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of people (cumulative, millions)
Cut-Off Date	
Data source	e-Grants
Link to the objective	Enhance artistic and cultural cooperation at European level; support the creation of European works; strengthen the economic, social and external dimension of Europe's cultural and creative sectors with an emphasis on innovation and mobility.
Link MFF 14-20 / MFF 21-27	This rephrased indicator was introduced by the 2019 delegated act amending the indicators of the previous Programme.
Other methodological comments	Based on the average reported ticket sales per project. If the online audience is included, the baseline will increase to 26 million people.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: The number of projects supported by the Programme addressed to socially marginalised groups**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of Projects (yearly)
Cut-Off Date	
Data source	e-Grants
Link to the objective	Enhance artistic and cultural cooperation at European level; support the creation of European works; strengthen the economic, social and external dimension of Europe's cultural and creative sectors with an emphasis on innovation and mobility.
Link MFF 14-20 / MFF 21-27	Previous Programme indicator: 'the number of projects addressed to children, young people and under-represented groups and the estimated number of people reached'. This indicator was rephrased and introduced by the 2019 delegated act amending the indicators of the previous Programme.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5: The number of projects supported by the Programme involving third countries organisations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									



Justification of the trend	
----------------------------	--

**Indicator 3: Number, budget and geographical origins of co-productions developed, created and distributed with the support of the Programme as well as co-productions with partners from countries with different audiovisual capacities; and number of audiovisual works in lesser used languages developed, and produced and distributed with the support of the Programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Budget, number and countries of co-productions (yearly)
Cut-Off Date	
Data source	Applications and final reports from beneficiaries (e-Grants)
Link to the objective	Co-productions travel better than single-country productions. The design of a co-production entails an international marketing attitude. Budgets of co-productions are usually higher, and in the audiovisual sector the rule of the thumb is that the higher the budget, the greater the chance of recouping it. Therefore, co-productions contribute to increasing the competitiveness of producers by scaling-up and adopting customer-centric orientation. The countries defined in the Programme as 'Low Capacity' should especially increase their output of co-productions in order to increase the competitiveness of their industries. The Programme assists this goal, in addition to the expansion of film industries and cultural diversity in countries, which have more difficulties of manifesting their cultures in the form of films due to language barriers (there are few native speakers).
Link MFF 14-20 / MFF 21-27	New Indicator for 21-27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of people reached by Business to Business promotional activities in major markets**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of people (yearly)
Cut-Off Date	
Data source	Final reports from beneficiaries and contractors (e-Grants)
Link to the objective	Industry markets is where large share of audiovisual business deals are struck. This is why MEDIA supports these events. The activity of MEDIA in these events has three functions: 1) to support the market organisers so that the markets in Europe are attractive to filmmakers; 2) to support European filmmakers in facilitating their access to markets and; 3) raising awareness among filmmakers about the Programme's opportunities for them.
Link MFF 14-20 / MFF 21-27	New Indicator for 21-27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :promoting policy cooperation and innovative actions supporting all strands of the programme, promoting a diverse, independent and pluralistic media environment, and media literacy, thereby fostering freedom of artistic expression, intercultural dialogue and social inclusion.**

**Indicator 1: Number and scale of transnational partnerships formed (composite indicator for creative innovation labs and news media actions)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										

	Actual Progress								Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of partnerships (yearly)
Cut-Off Date	
Data source	e-Grants
Link to the objective	Collaboration increases competitiveness allowing organisations to scale-up in the cultural and creative sectors (CCS) which are usually small and micro organisations. Collaboration also widens the circulation of cultural content: co-produced cultural projects have a wider potential for public access. Further, collaboration increases the internationalisation of CCS organisation activities and facilitates creating European identity through closer bonds with content created in other Member States. The Cross-Sectoral collaboration allows for faster spreading of the most innovative and creative approaches and cross-fertilisation.
Link MFF 14-20 / MFF 21-27	New Indicator for 21-27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Number of events or activities promoting the Programme organised by the programme desks

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of Events (yearly)
Cut-Off Date	
Data source	e-Grants
Link to the objective	The work of Desks is important especially in countries with smaller audiovisual market capacities. The outreach activity of Programme Desks increases the visibility of the Programme among professionals and cinemagoers. By raising awareness of the programme, the events might encourage otherwise unwilling professionals to shift towards a more European-scale approach and foster international collaboration.
Link MFF 14-20 / MFF 21-27	New Indicator for 21-27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of participants in the creative innovation labs and news media actions activities, including the proportion of women

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants (yearly)
Cut-Off Date	
Data source	e-Grants
Link to the objective	Collaboration increases competitiveness allowing organisations to scale-up in the cultural and creative sectors (CCS) which are usually small and micro organisations. Collaboration also widens the circulation of cultural content: co-produced cultural projects have a wider potential for public access. Further, collaboration increases the internationalisation of CCS organisation activities and facilitates creating European identity through closer bonds with content created in other Member States. The Cross-Sectoral collaboration allows for faster spreading of the most innovative and creative approaches and cross-fertilisation.
Link MFF 14-20 / MFF 21-27	New Indicator for 21-27
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

## **5. Programme 2014-2020 - Key monitoring indicators**

### *Previous Program 1 : Creative Europe Programme*

#### **General Objective 1 :to safeguard, develop and promote European cultural and linguistic diversity and to promote Europe's cultural heritage**

**Indicator 1:the number of people accessing European cultural and creative works, including, where possible, works from countries other than their own**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Read a book										
2013	Milestones									2020
160	Actual Progress									Final
Watched or listened to a cultural programme on TV/radio										
2013	Milestones									2020
140										Increase of 2% in comparison to 2017 results
	Actual Progress									Final
Visited a historical monument or site										
2013	Milestones									2020
98										Increase of 2% in comparison to 2017 results
	Actual Progress									Final
Went to a musical performance										
2013	Milestones									2020
67										Increase of 2% in comparison to 2017 results
	Actual Progress									Final
Attended a performance, festival, etc										
2013	Milestones									2020
52										Increase of 2% in comparison to 2017 results
	Actual Progress									Final
Saw a ballet, dance performance, or opera										
2013	Milestones									2020
31										Increase of 2% in comparison to 2017 results
	Actual Progress									Final
Went to a theater performance										

2013	Milestones								2020
21									Increase of 2% in comparison to 2017 results
	Actual Progress								Final

Are we on track	No data
Indicator type	Impact
Unit of measurement	People (yearly, millions)
Cut-Off Date	
Data source	Special Eurobarometer 399 on Cultural Access and Participation (2013). The population used for extrapolating the number of people covers the EU-28 as well as CH, NO and IS i.e.: 516.8 million people.
Narrative	Milestone for 2017: To be assessed during mid-term evaluation on data until 2017.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This indicator was too general and independent of the performance of the programme and therefore discontinued.
Full metadata available at this address	
Justification of the trend	This indicator has been discontinued. The 2017 mid-term evaluation did not collect the corresponding data as it was decided to prepare a proposal on supplementary indicators to Member States through a Commission Delegated Act. The indicator was too general and was rephrased as 'the number of people accessing European cultural and creative works generated by the Programme, including, where possible, works from countries other than their own' in the 2019 delegated act. The change was too late to start collecting meaningful data.

## General Objective 2 :to strengthen the competitiveness of the European cultural and creative sectors, in particular of the audiovisual sector, with a view to promoting smart, sustainable and inclusive growth

### Indicator 1:the cultural and creative sectors' level, change in and share of employment and share of gross domestic product

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Of the total European workforce										
2010	Milestones								2020	
3.0% - 3.8%				In view of economic crisis, to safeguard 2010 figures			4%			4%
	Actual Progress								Final	
	2,9%			3,8%	3,8%					
Of total European GDP										
2010	Milestones								2020	
3.3% - 4.5%				In view of economic crisis, to safeguard 2010 figures			4.8%			4.8%
	Actual Progress								Final	

Are we on track	No data
Indicator type	Impact
Unit of measurement	Percentage of total European workforce / Percentage of total European GDP
Cut-Off Date	
Data source	2018 <a href="https://ec.europa.eu/eurostat/statistics-explained/index.php?title=Culture_statistics_-_cultural_employment">https://ec.europa.eu/eurostat/statistics-explained/index.php?title=Culture_statistics_-_cultural_employment</a> -8.7 million persons
Narrative	
Methodology	Baseline: 3.3% of EU's active population (TERA consultants 2014, <a href="http://www.teraconsultants.fr/en/issues/The-Economic-Contribution-of-the-Creative-Industries-to-EU-in-GDP-and-Employment">http://www.teraconsultants.fr/en/issues/The-Economic-Contribution-of-the-Creative-Industries-to-EU-in-GDP-and-Employment</a> ). 3.8% of EU workforce (Ernst and Young France 2014, <a href="http://www.creatingeurope.eu/en/wp-content/uploads/2014/11/study-full-en.pdf">http://www.creatingeurope.eu/en/wp-content/uploads/2014/11/study-full-en.pdf</a> ).4.2% of EU GDP

	(TERA consultants 2014); 4.4% of EU GDP (Ernst and Young France 2014).
Link MFF 14-20 / MFF 21-27	Final figures have been captured. This indicator will no longer be reported.
Other methodological comments	This indicator was too general and independent of the performance of the programme and therefore discontinued.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 1 :To support the capacity of the European cultural and creative sectors to operate transnationally and internationally

#### Indicator 1:the scale of international activities of cultural and creative organisations and the number of transnational partnerships created

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
7 000	Available as of 2017-18		310 from MEDIA and 426 from Culture sub-programme	7 600			8 000			8 000
	Actual Progress									Final
						530	657			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of transnational partnerships (yearly, cumulative)
Cut-Off Date	31/12/2020
Data source	Selected and contracted projects
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline: Latest known result at end 2012. This is a cumulative target. Partnerships involving 635 beneficiary organisations selected in 2020 (COOP + PLAT Coordinators + partners ) 130 (COOP + PLAT) and additional 274 associated partners. The calculation of this indicator has been revised to include only partnerships of more than 3 organisations.
Full metadata available at this address	
Justification of the trend	The number of partnerships has been growing with the growth of the budget and changes in guidelines to give more budget to 'smaller' partnerships made of 'smaller' organisations.

#### Indicator 2:the number of learning experiences and activities supported by the Programme which have improved the competences and increased the employability of cultural and creative players, including audiovisual professionals

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
140 000				190 000			240 000			240 000
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of Professionals with learning experiences (yearly)
Cut-Off Date	
Data source	Final reports of relevant MEDIA and culture schemes
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Art. 1, 2 c; Commission Delegated Regulation (EU) 2019/1974 of 17 May 2019 supplementing Regulation (EU) No 1295/2013 of the European Parliament and of the Council by establishing additional qualitative and quantitative performance indicators establishes the following new indicator that should replace the current one as soon as data are available: 'Number of participants in learning experiences and activities, supported by the programme, having improved their competences and increased their employability (including the proportion of women)'. Data have been collected only recently. Data will be significant for the indicator when a sufficient number of multi-annual projects (representing a representative sample of projects) have been closed.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :to promote the transnational circulation of cultural and creative works and transnational mobility of cultural and creative players, in particular artists, as well as to reach new and enlarged audiences and improve access to cultural and creative works in the Union and beyond, with a particular focus on children, young people, people with disabilities and under-represented groups**

**Indicator 1: MEDIA Sub-programme: the number of admissions for non-national European films in Europe and European films worldwide (10 most important non-European markets) in cinemas**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Europe										
2010	Milestones									2020
69				71	71		71			71
	Actual Progress									Final
	103	91	89	98	94					
Worldwide										
2010	Milestones									2020
61				85	85		85			85
	Actual Progress									Final
	82	106	68	97	87					

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of admissions (yearly, millions)
Cut-Off Date	
Data source	European Audiovisual Observatory (EAO) Yearbook Keytrends 2019/2020, p. 22
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The definition of the indicator as defined by the legal basis specifies the meaning of 'worldwide' (=10 most important non-European markets).
Full metadata available at this address	
Justification of the trend	Europe: In 2018, a total of 95 million tickets were sold in non-national European markets Worldwide: In 2018 export admissions outside Europe (34 markets) amounted to at least 87 million tickets

**Indicator 2: MEDIA Sub-programme: the percentage of European audiovisual works in cinemas, on television and on digital platforms**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Cinemas										
2010	Milestones									2020
59%				59%	59%		59%			59%
	Actual Progress									Final
	60%	66%	66%	66%	68%					
TV										
2010	Milestones									2020
39%				39%	35%		35%			35%
	Actual Progress									Final
		31%	28%							
Digital platforms										
2015	Milestones									2020
27%				27%	27%		27%			27%
	Actual Progress									Final
		27%	20%	24%	30%					

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Percentage of audiovisual works
Cut-Off Date	31/12/2018
Data source	European Audiovisual Observatory (EAO) Yearbook Keytrends 2019/2020, p. 16
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The results have been severely disrupted by Brexit, therefore it is not possible to compare to the

	original target. Cinema Admissions: The unpublished calculations provided by EAO indicate the share of admissions to EU27 films in EU27 countries in 2014 was 33.5% and in 2018 (latest available) 29.1%. If UK is included the results in EU28 countries were 36.3% in 2014 and 39.8% in 2018. Digital Platforms: European works accounted for 30% of content on TVOD and 26% on SVOD (counting TV titles or seasons).
Full metadata available at this address	
Justification of the trend	This indicator has been discontinued. The 2017 mid-term evaluation did eventually not collect the corresponding data as it was decided to prepare a proposal on supplementary indicators to Member States through a Commission Delegated Act.

**Indicator 3: MEDIA Sub-programme: the number of people in the Member States accessing non-national European audiovisual works and the number of people in the countries participating in the Programme accessing European audiovisual works**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
EU										
2009	Milestones									2020
298				288	288		288			288
	Actual Progress									Final
	287	293	256	258						
Participating Countries										
2009	Milestones									2020
298				300	300		300			300
	Actual Progress									Final
	291	298	262	262						

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of People in the EU that are accessing non-national European audiovisual works (millions, yearly)
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The number of people in the countries participating in the Programme accessing European audiovisual works covers both national and non-national European audiovisual works. In addition to EU Member States, Norway and Iceland are third countries which participate in the sub-programme MEDIA.
Full metadata available at this address	
Justification of the trend	This indicator has been discontinued. The 2017 mid-term evaluation did eventually not collect the corresponding data as it was decided to prepare a proposal on supplementary indicators to Member States through a Commission Delegated Act.

**Indicator 4: MEDIA Sub-programme: the number of European video games produced in the Union as well as in the countries participating in the Programme**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
EU										
	Milestones									2020
21,3				25						30
	Actual Progress									Final
		22			21					
5 biggest markets										
	Milestones									2020
13,35				14,5			16			16
	Actual Progress									Final
		15								

Are we on track	No data
Indicator type	Result
Unit of measurement	EUR (billions, yearly)
Cut-Off Date	
Data source	Research by International Software Federation of Europe
Narrative	Baseline: in EU / Baseline: In five biggest markets
Methodology	
Link MFF 14-20 / MFF 21-27	

Other methodological comments	The turnover of the video-game sector is the best available data for this indicator. The number of video games produced in Europe is currently unavailable.
Full metadata available at this address	
Justification of the trend	This indicator has been discontinued. The 2017 mid-term evaluation did not collect the corresponding data as it was decided to prepare a proposal on supplementary indicators to Member States through a Commission Delegated Act.

**Indicator 5: Culture Sub-programme: the number of people directly and indirectly reached through projects supported by the Programme**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
					To be assessed in a Performance Monitoring Report to be published third quarter 2019		Increase of 5% in comparison to 2017 results			Increase of 5%
	Actual Progress									Final
				3,2	4		17			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of People in Millions (yearly)
Cut-Off Date	31/12/2020
Data source	Reports from cooperation project beneficiaries (2014-2016). Creative Europe Culture Sub-Programme.
Narrative	No baseline, first known results (2017) were available in 2018. Target is an increase from baseline (2017)
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actual figure for 2020 is an estimation based on average: A sample of 163 projects (funded under CE 2014-20) has given an average of 151 065 persons (tickets/admissions/visitors) reached directly and 385 468 reached online per project.
Full metadata available at this address	
Justification of the trend	The trend is proportional to the number of projects funded by year.

**Indicator 6: Culture Sub-programme: the number of projects addressed to children, young people and under-represented groups and the estimated number of people reached**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
					To be assessed in a Performance Monitoring Report to be published third quarter 2019		Increase of 7% in comparison to 2017 results			Increase of 7%
	Actual Progress									Final
				1.6	3.5					

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of Projects (yearly, millions)
Cut-Off Date	
Data source	Reports from cooperation project beneficiaries (2014-2016). Creative Europe Culture Sub-Programme.
Narrative	No baseline, first known results (2017) were available in 2018. Target is an increase from baseline (2017)
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In contrast to previous programmes, the design of the new application e-forms and final reports will make it possible under Creative Europe to collect this information for the four measures under the

	Culture Sub-programme
Full metadata available at this address	
Justification of the trend	Data will be significant for the indicator when a sufficient number of multi-annual projects (representing a representative sample of projects) have been closed.

**Specific Objective 3 :To strengthen the financial capacity of SMEs and micro, small and medium-sized organizations in the cultural and creative sectors in a sustainable way, while endeavouring to ensure a balanced geographical coverage and sector representation**

**Indicator 1:the volume of loans guaranteed in the framework of the Guarantee Facility, categorised by national origin, size and sectors of SMEs and micro, small and medium-sized organisations**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
20				180	250		500			500
	Actual Progress									Final
					127	340	825			

Are we on track	On track
Indicator type	Output
Unit of measurement	Guaranteed loans (EUR Millions, cumulative)
Cut-Off Date	31/12/2020
Data source	2020: Based on the Q3/2020 EIF Operational Report of the guarantee facility. The results of the CCS GF are lower than planned due to budget profile of Creative Europe. Budget for the CCS GF was only available as from year 2016 (and not 2014 as originally planned). Two years' delay in the creation of the financial instrument impacts its delivery in certain areas.
Narrative	Baseline: MEDIA Production Guarantee Fund, end 2013
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Baseline: Breakdowns by national origin, size and sectors of SMEs or organisations and by participating financial intermediaries categorised by national origin are provided in the annual report from the European Investment Fund.
Full metadata available at this address	
Justification of the trend	The results of the CCS GF are lower than planned, in the first years, due to budget profile of Creative Europe. Budget for the CCS GF was only available as from year 2016 (and not 2014 as originally planned). Two years' delay in the creation of the financial instrument has had an impact on delivery in certain areas.

**Indicator 2:the volume of loans granted by participating financial intermediaries, categorised by national origin**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
35				45	250		700			700
	Actual Progress									Final
					410					

Are we on track	On track
Indicator type	Output
Unit of measurement	Guaranteed loans (EUR Millions, yearly)
Cut-Off Date	
Data source	
Narrative	Baseline: MEDIA Production Guarantee Fund, end 2013
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Breakdowns by national origin are provided in the annual report from the European Investment Fund. Based on the Q3 Operational Report of the guarantee facility.
Full metadata available at this address	
Justification of the trend	

**Indicator 3:the number and geographical spread of participating financial intermediaries**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Financial institutions										
2012	Milestones									2020
2				7	8	9	10			10

	Actual Progress								Final
					9	13	20		
Member States									
2013	Milestones								2020
				5	5	8	10		10
2	Actual Progress								Final
					8	12	12		

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of Financial institutions / Number of Member States (yearly)
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Based on the Q3 Operational Report of the guarantee facility.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: the number of SMEs and micro, small and medium-sized organisations benefiting from the Guarantee Facility, categorised by national origin, size and sectors**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Beneficiaries										
2013	Milestones								2020	
				1 500	3 000		7 000			7 000
48	Actual Progress								Final	
					477	1 302				
Sub-sectors										
2013	Milestones								2020	
				5	5		5			5
	Actual Progress								Final	
					71	80				
Participating countries										
2013	Milestones								2020	
				7	10		15			15
8	Actual Progress								Final	
					11	15				

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of Beneficiaries / Sub sectors / Member States (yearly)
Cut-Off Date	30/09/2020
Data source	European Investment Fund: Q3/2018 EIF Operational Report of the guarantee facility
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Beneficiaries: 86.6% of benefitting companies had <10 employees, 11.6% had 10-50 employees and 1.8% had 50-250. Sub-sectors: the highest uptake of the tool can be assigned to: audiovisual (NACE J59 and J60.2 - 40%), print and publishing (C18 and J58 - 16.4%), computer programming (J62- 8.7%) and specialised design (M74- 7%). Participating Countries: 3 626 beneficiaries in 12 countries (AT, BE, BG, CZ, DK, FR, IT, PL, PT, RO, ES, SE), with the highest uptake through FR, ES and IT and PT intermediaries (altogether 77% value of the loans).
Full metadata available at this address	
Justification of the trend	Breakdowns by national origin, size and sectors of SMEs or organisations are provided in the annual report from the European Investment Fund. The results of the CCS, Guaranteed Facility (GF) are lower than planned due to budget profile of Creative Europe. Budget for the CCS GF was only available as from year 2016 (and not 2014 as originally planned). Due to a delay in launching the Instrument, we expect to reach the target in 2022.

**Indicator 5: the average default rate of loans**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones								2020	
10%					9%		8%			8%

	Actual Progress								Final
					0%		0%		

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of average default (yearly)
Cut-Off Date	
Data source	
Narrative	Baseline estimated
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 6: the achieved leverage effect of guaranteed loans in relation to the indicative leverage effect (1:5,7)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
1:5,7				1:5,7	1:5,8	1:5,9	1:6,0			1:6,0
	Actual Progress									Final
			0		01:02	1:3,9	1:6,7			

Are we on track	On track
Indicator type	Output
Unit of measurement	
Cut-Off Date	
Data source	European Investment Fund: Q3/2018 EIF Operational Report of the guarantee facility
Narrative	Baseline estimated
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This represents a ratio. There is no EU wide financial instrument for the sector. An estimated ratio of 1:5,7 according to the ex-ante impact assessment for the Creative Europe programme. Based on the Q3/2018 EIF Operational Report of the guarantee facility.
Full metadata available at this address	
Justification of the trend	The results of the CCS GF are lower than planned due to budget profile of Creative Europe. Budget for the CCS GF was only available as from year 2016 (and not 2014 as originally planned). Two years' delay in the creation of the financial instrument has had an impact on delivery in certain areas.

#### Specific Objective 4 :to foster policy development, innovation, creativity, audience development and new business and management models through support for transnational policy cooperation

#### Indicator 1: the number of Member States making use of the results of the open method of coordination in their national policy development

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
10	12	13	14	15	16	17	20			20
	Actual Progress									Final
	12	13	14		16	22				

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of Member States (yearly)
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: the number of new initiatives and policy outcomes

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
			10				20			20
	Actual Progress									Final
		2			15	17	10			

Are we on track	On track
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	Media and Audiovisual Action Plan
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The MAAP is composed on 10 complex initiatives.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

##### **6.1.3. Key achievements**

In the new 2021-27 programme environment, taking ecological concerns into account in terms of design and implementation will be considered a cross cutting issue for all funded projects, in order to reduce their impact on the environment. The environmental aspects will be assessed in the evaluation of the proposals.

In addition, to accelerate the green transition of the culture and creative sectors, the cooperation and network schemes of the culture stand will include an explicit “green deal” priority to encourage projects to explore, test and disseminate innovative greener practices.

In parallel to funding, policy actions such as studies, dialogues with stakeholders or coordination with Member States will be further developed. For instance, in accordance with the Work-plan for Culture 2019-2022, a new working group composed of Member States’ experts (Open Method of Coordination working group - OMC) is working on “Strengthening Cultural Heritage Resilience for Climate Change”. The group of experts is actively working on identifying and exchanging good practices and innovative measures for safeguarding cultural heritage in relation to climate change. The group is also examining the contribution cultural heritage can make to mitigating and combating climate change in line with the European Green Deal’s goals. The final report, including recommendations, will be published at the end of 2022.

While the previous MEDIA sub-programme indirectly addressed the ecological impact, the Commission has launched a preparatory study, in 2020, to identify the main challenges for the audiovisual industry (Philipp Gassmann, Greening the European Audiovisual Industry – the Best Strategies and their Costs). MEDIA will foster a climate neutral audiovisual and media sector (in line with the Media and Audiovisual Plan, Action 6), as well as aiming to meet the objective of contributing 30% of funds to the reduction of CO2 emissions applicable for all Commission programmes.

The strategy of the MEDIA Sub-Programme consists of a three-pillar approach:

- raising awareness through campaigns and policy activities;
- fostering exchanges via a structured cooperation forum to facilitate consultation with public and private stakeholders and;
- incentivising changes through the co-development of measurable objectives and their implementation via the programme. Harmonising the measurements of the ecological impact is instrumental in the context of the multiplication of CO2 calculators: Not only production, but all links of the audiovisual chain are at stake, including notably training of audiovisual professionals.

The overall contribution of Creative Europe 2014-2020 to fighting climate change was recognised by a European Parliament study in 2020 (Effective measures to green Erasmus+, Creative Europe and ESC). It found that 10.5% of the Creative Europe budget has been granted to projects which were climate-related. Thus Creative Europe has helped the culture and creative sector become increasingly aware of its role in fighting climate change and potential to have a ‘long-tail impact on the environment’.

The Culture Sub-programme has recently co-funded projects encouraging the sector to adopt **more environmental friendly practices** and business models. For instance, the project Creative climate Leadership, a €2 million pan-European, interdisciplinary programme, connects and enables a community of cultural leaders to take an active role in shaping an environmentally sustainable future for the European cultural sector. Other projects such as the cooperation project ‘ACT’ (Art, Climate, Transition) run by a 10 organisation consortium led by Theatre Rotterdam aims at **raising awareness and launching debates** on climate issues.

In line with the ongoing reflection on sustainability, an overarching priority for the new programme, MEDIA has already used the umbrella stands, as a showcase of sustainable practices in festivals. This was done by concrete measures on the stand building (suppliers, transportation), stand furniture (materials, re-use), as well as the consumptions (local suppliers, no plastic, flasks). The current activities will be assessed, in cooperation with the consultation forum that will be launched in 2020, with the ambition to go further.

## 6.2. Contribution to biodiversity mainstreaming

Not applicable

## 6.3. Contribution to clean air financing

Not applicable

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

In the 2021-2027 programme, **gender equality will be considered as a cross cutting issue**: all funded projects will consider equality in the design and implementation of their project and this aspect will be given attention in the evaluation of the proposals.

In addition, to accelerate practice changes in the culture and creative sectors, the cooperation scheme of the culture stand will include an **explicit inclusiveness priority** to encourage projects to explore, test and disseminate innovative gender equality practices.

The strategy for 2021-2027 in the audiovisual sector foresees further policy development by including gender activities in all European actions towards the AV sector. The focus of the strategy has moved from gender alone to the broader concept of diversity. In the next seven years MEDIA will:

- continue awareness raising (an ambitious campaign will be implemented in 2021) and data collection,
- pursue structured dialogue with the stakeholders and exchange of good practices,
- introduce support actions targeting women under MEDIA (in the skills scheme, through capacity building and mentoring),
- request Creative Europe applicants to show the actions taken in their companies in support of diversity and gender equality.

Equality between women and men is a fundamental EU value and a driver of more diverse content and connecting with wider audiences. The Commission has recognised the strategic importance of gender diversity to sustain a rich, highly creative audiovisual industry and cultural and creative sector as well as more open, inclusive and competitive societies. In recent years also the stakeholders in the audiovisual and other cultural and creative sectors became very aware of the challenges in this respect. In 2014-2020 progress was achieved though policy dialogue with stakeholders and Member States and funding of concrete actions and projects.

The Council’s Work Plan for Culture 2019-2022, implemented jointly by the EU Member States and the Commission, includes gender equality among its five priorities. It recommends corresponding actions in this field:

**Mapping the situation of women artists and cultural professionals in the EU:** The Commission has financed an EU-wide study on gender gaps in the cultural and creative sectors. It aims to analyse the specific challenges faced by women in the cultural and creative sectors and support policy making.

**Exchange of experience between the Member States:** The OMC experts' group on gender equality discussed gender gaps and their drivers in the CCS in the Member States and provided policy recommendations and concrete actions under the Creative Europe programme. The OMC group has published a report with recommendations to different stakeholders (policy makers, cultural institutions etc.) on how to achieve gender equality and foster the use of culture as means to promote equality and diversity. The challenges addressed will include data collection, gender stereotypes and gender violence, access to resources and to the labour market, gender pay gap and access to the leadership positions.

**Dialogue with the sector:** Key issues for gender equality were addressed in the Voices of Culture structured dialogue in 2019 as well as through an action plan with the audiovisual industry. The resulting report proposed targeted measures and initiatives.

**Project funding:** Several projects promoting gender equality have received co-funding under Creative Europe, and the new Creative Europe programme envisages strengthening the aspect of gender equality across the programme. For example, in 2019 the Live DMA network published a Diversity Roadmap which makes recommendations on diversity and gender equality in live music venues, clubs and festivals.

Over 2018-2019 a rich agenda was implemented in the **audiovisual** field. In close cooperation with 25 European audiovisual stakeholder organisations, an action plan was defined with a set of concrete measures. This focused on awareness-raising, collecting data, highlighting talented women, combating stereotypes, collecting and promoting good practices.

In particular, at the Cannes Film Festival in 2019, the European Commission launched the first edition of the Women on the Move day. European institutions, private and public organisations, and stakeholders from the audiovisual and film industries came together to put the spotlight on talented women and to take stock of the representation of women in the film sector. Collectif 50/50 – an organisation bringing together more than 800 key players – presented the Gender Parity Pledge which had already been signed by 47 festivals. The European Commission, represented by Creative Europe MEDIA, presented its new publication featuring an overview of good practices on gender implemented by the audiovisual industry and policy makers in the EU.

Furthermore, in 2019 research and studies were supported to target key issues. The European Audiovisual Observatory enriched the LUMIERE database of theatrical film releases by tagging the film director's gender, thus giving visibility to the gender balance behind the camera. In addition, Collective 50/50 undertook a study on gender disparity among film critics, who play an influential role on audiences and in shaping the careers of women professionals. The study was released at the 2020 Berlinale.

MEDIA has also been actively collecting data on the shares of women in key positions among the applications and grants awarded. This data shows that, overall, the Programme performs above industry averages. Nonetheless further efforts are needed: between 2014 and 2018, only 30% of applicants were women whereas the success rate in selection was above average. The share of women in applications in 2020 was 33.3% and 34.2% in grants. This shows there is no discrimination in the award of support, but that more can be done to encourage applications from women. The participation of women in MEDIA schemes is also uneven: over 50% of participants in training are women, but of 20 films chosen in the selective distribution support scheme, only six were directed by women.

In 2020 efforts were focused on preparing a robust strategy for 2021-2027 and an online awareness raising campaign was undertaken.

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

#### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

The programme contributes to the political priorities of the Commission, in particular relating to jobs, growth and investment and the European Digital Single Market by supporting the competitiveness of the cultural and creative sectors, in particular the audiovisual sector, through capacity building and skills development and through testing new business models in a rapidly evolving digital context. By allowing participation of non-EU cultural and creative operators and the participation of third countries, the programme also contributes to making the EU a stronger global actor. At another level, Creative Europe helps address current political and societal challenges through the power of culture to reach the hearts and minds of citizens and boost confidence in our shared European values.

#### ***SDG 17 Strengthen the means of implementation and revitalize the global partnership***

MEDIA supports co-production funds located in the EU aimed at cooperating with film institutions in developing countries. With the support from MEDIA in 2014-2020 they supported 114 co-productions between EU and developing countries partners in production and 83 in distribution.

**HEADING 2B: Resilience and Values****Justice Programme****Lead DG:JUST**

1. Overview .....	700
1.1. Challenges .....	700
1.2. Mission (general objectives) .....	700
1.3. Specific objectives .....	700
1.4. Public intervention context .....	700
1.5. Actions .....	701
1.6. Delivery mode .....	701
1.7. Graphic overview of the programme structure .....	701
1.8. Legal basis and financial programming .....	702
1.9. Link with the 2014-2020 MFF .....	702
1.10. Relevant websites providing more information .....	703
2. Where are we in the implementation ? .....	703
2.1. Programme 2021-2027 .....	703
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	703
3. How is the programme performing ? .....	704
3.1. Performance .....	704
3.2. Key achievements .....	706
3.3. Evaluations, studies and reports .....	708
4. Programme 2021-2027 - Key monitoring indicators .....	709
Specific Objective 1 :Facilitate and support judicial cooperation in civil and criminal matters, and promote the rule of law independence and impartiality of the judiciary, including by supporting the efforts to improve the effectiveness of national justice systems, and the effective enforcement of decisions .....	709
Specific Objective 2 :Support and promote judicial training, with a view to fostering a common legal, judicial and rule of law culture, as well as the consistent and effective implementation of the Union’s legal instruments relevant in the context of this programme .....	710
Specific Objective 3 :Facilitate effective and non-discriminatory access to justice for all, and effective redress, including by electronic means (e-justice), by promoting efficient civil, and criminal procedures and by promoting and supporting the rights of all victims of crime as well as the procedural rights of suspects and accused persons in criminal proceedings .....	712
5. Programme 2014-2020 - Key monitoring indicators .....	713
Previous Program 1 : Justice Programme .....	713
General Objective 1 :to contribute to the further development of a European area of justice based on mutual recognition and mutual trust, in particular by promoting judicial cooperation in civil and criminal matters .....	714
Specific Objective 1 :to facilitate and support judicial cooperation in civil and criminal matters .....	714
Specific Objective 2 :to support and promote judicial training, including language training on legal terminology, with a view to fostering a common legal and judicial culture .....	715
Specific Objective 3 :to facilitate effective access to justice for all, including to promote and support the rights of victims of crime, while respecting the rights of the defence .....	716
6. The programme contribution to horizontal policies .....	717
6.1. Contribution to climate mainstreaming .....	717
6.2. Contribution to biodiversity mainstreaming .....	717
6.3. Contribution to clean air financing .....	717
6.4. Contribution to gender equality .....	717
6.5. Contribution to the sustainable development goals .....	717

## **1. Overview**

### **1.1. Challenges**

A working European area of Justice and effective national justice systems are necessary for a flourishing internal market and for upholding the common values of the EU. Promoting EU values also means protecting them and ensuring an environment respectful of the rule of law and the independence of the judiciary, where mutual recognition and mutual trust among Member States are enhanced. In this context, the following persisting challenges have been identified:

- Judicial cooperation in civil and criminal matters is insufficient and access to justice across Member States remains difficult. Tools for collecting comparative information about the quality, independence and efficiency of Member States' justice systems need to be improved. A major obstacle to mutual recognition and judicial cooperation is a lack of trust in other Member States' judicial systems. There is a need to simplify and digitise communications, access to procedures and legal information and connection to and between national systems in a cross-border context.
- The level of knowledge of EU acquis and EU instruments needs to be improved across the EU. However, national training providers tend to invest their scarce resources in trainings on national law rather than on EU law and in national training activities rather than cross-border ones.
- In the context of economic crises, persisting inequalities and challenges such as of migration put the fundamental rights and the EU fundamental values to the test. In some cases, the rule of law, access to justice, space for civil society and the independence of the judiciary are also challenged.

### **1.2. Mission (general objectives)**

The Justice programme (here below the Programme) will support the further development of an EU area of Justice based on EU's values, the rule of law, and mutual recognition and trust. It will facilitate access to justice and promote judicial cooperation in civil and criminal matters, and the effectiveness of national justice systems.

The challenges identified above are common to all Member States and have cross-border dimensions. While action at national level is important, individual Member States alone do not have sufficient leverage to tackle these challenges. It is through EU-funded initiatives that remaining inefficiencies related to judicial cooperation in civil and criminal matters and the incomplete implementation of EU law can best be tackled.

### **1.3. Specific objectives**

The Programme has the general objective of contributing to the further development of a European area of justice based on the rule of law, including independence and impartiality of the judiciary, on mutual recognition, mutual trust and judicial cooperation, thereby also strengthening democracy rule of law and fundamental rights.

The Programme has the following specific objectives:

- (a) (Judicial Cooperation) to facilitate and support judicial cooperation in civil and criminal matters, and to promote the rule of law independence and impartiality of the judiciary, including by supporting the efforts to improve the effectiveness of national justice systems, and the effective enforcement of decisions;
- (b) (Judicial Training) to support and promote judicial training, with a view to fostering a common legal, judicial and rule of law culture, as well as the consistent and effective implementation of the Union's legal instruments relevant in the context of this programme;
- (c) (Access to Justice) to facilitate effective and non-discriminatory access to justice for all, and effective redress, including by electronic means (e-justice), by promoting efficient civil, and criminal procedures and by promoting and supporting the rights of all victims of crime as well as the procedural rights of suspects and accused persons in criminal proceedings.

### **1.4. Public intervention context**

The Justice programme will support the further development of an EU area of Justice based on EU's values, the rule of law, and mutual recognition and trust. The Treaty on the Functioning of the European Union (TFEU) establishes the creation of an area of freedom, security and justice, with respect for fundamental rights and the different legal systems and traditions of the Member States. Hence, the competence of the EU in this area is shared with Member States. The creation of a common area requires transnational cooperation mechanisms and networking opportunities, which can typically not be achieved by Member States acting alone. As well as key principles such as mutual trust and mutual recognition of judicial and extra-judicial decisions can be supported more efficiently by action at EU level.

The Justice programme is a key player in the area of judicial training where the actual results demonstrate an improvement in the impact of the programme's actions in this field. In addition to this, the Commission recently launched the [new strategy on European judicial training for 2021-2024](#). In the area of victims' rights, the Commission will focus on the implementation of actions under the first-ever [EU Strategy on victims' rights](#) (2020-2025). Digitalization of justice system is another important objective as part of a new push for European democracy and in line with the political priority of a Europe fit for the digital age. The general objective for 2021-2022 is to tackle new initiatives identified in the European [e-Justice Strategy](#) and [Action Plan 2019-2023](#)<sup>1</sup>. This will be accomplished by introducing new features and enhancements to the e-Justice Portal, as well as supporting the implementation of e-Justice projects, insofar as project initiatives have a European dimension.

Consistency, complementarity and synergies exist in particular within the Justice, Rights and Values Fund with the Citizens, Equality, Rights and Values Programme (under its Union Values Strand) but also with the Digital Europe Programme and the Recovery and Resilience Facility in the area of digitalisation of justice. To a lesser degree, synergies can exist between the Programme and the Single Market Programme, Border management and Security, in particular the Asylum and Migration ('AMIF') and the Internal Security Funds, the Erasmus+ Programme, the Framework Programme for research and innovation, the Instrument for Pre-accession Assistance, and the LIFE Regulation.

## 1.5. Actions

The Justice programme supports a broad range of beneficiaries that play an important role to the development of an EU area of justice. This includes, primarily, members of the judiciary and judicial staff, but also public authorities, academia/research institutes, training bodies, as well as civil society and non-profit organisations.

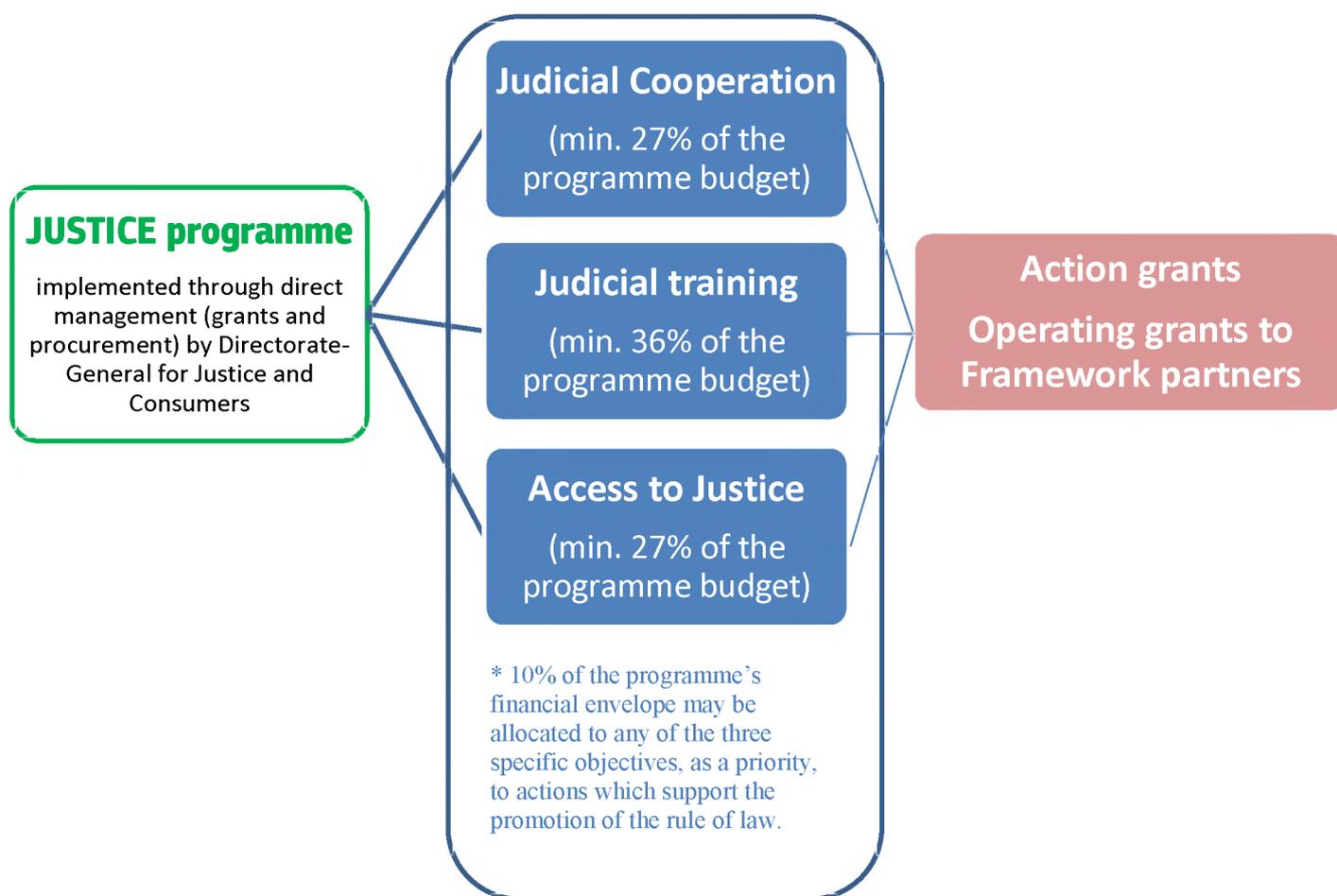
The Justice programme funds activities that ensure the full and consistent application of EU law and promote the smooth functioning of the EU area of justice. In particular, the following activities shall be eligible for funding:

- Awareness-raising, dissemination of information to improve the knowledge of Union policies and of Union law including substantive and procedural law, of judicial cooperation instruments, of the relevant case-law of the Court of Justice of the European Union, and of comparative law and of European and international standards, including the understanding of the interaction between different areas of law.
- Mutual learning through exchange of good practices among stakeholders to improve knowledge and mutual understanding of the civil and criminal law and the legal and judicial systems of the Member States, including the rule of law and access to justice, and through enhancing mutual trust.
- Analytical and monitoring activities to improve the knowledge and understanding of potential obstacles to the smooth functioning of a European area of justice, to improve the implementation of Union law and policies in the Member States.
- Training relevant stakeholders to improve the knowledge of Union law and policies, including inter alia substantive and procedural law, fundamental rights, the use of Union judicial cooperation instruments, the relevant case-law of the Court of Justice of the European Union, legal language and of comparative law.
- Information and Communication Technology (ICT) as well as e-justice tools development and maintenance, taking into account privacy and data protection, to improve the efficiency of judicial systems and their cooperation by means of information and communication technology, including the cross-border interoperability of systems and applications.
- Developing capacity of key European level networks and European judicial networks, including networks established by Union law to ensure the effective application and enforcement of Union law, to promote and further develop Union law, policy goals and strategies in the areas of the programme.
- Supporting civil society organisations and non-profit stakeholders active in the areas of the Programme to increase their capacity to react and advocate as well as to ensure adequate access for all citizens to their services, counselling and support activities, thereby also contributing democracy, the rule of law and fundamental rights.
- Enhancing knowledge of the programme and dissemination, transferability and transparency of its results and fostering citizen outreach, including by organizing forums for discussion for stakeholders.

## 1.6. Delivery mode

The programme will be implemented through direct management (grants and procurement). Directorate-General for Justice and Consumers is the lead DG for the programme implementation.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
COM (2018) 384: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Justice programme	2021 - 2027	299,0

### 1.8.2. Legal basis explanation

Treaty on the Functioning of the European Union, and in particular, Article 81(1) and (2), Article 82(1)

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	46,4	43,6	42,2	41,8	41,8	41,7	41,4	299,0

### 1.8.4. Financial programming explanation

The programme's financial programming is linear. There are no contributions from other programmes.

## 1.9. Link with the 2014-2020 MFF

The 2021-2027 Justice programme ensures the continuation of the Programme, whilst reinforcing efforts to promote the rule of law. The only change compared to as the 2014-2020 Multiannual Financial Framework (MFF) concerns the drugs prevention policy area (4<sup>th</sup> specific objective of the Justice programme in 2014-2020), which will be implemented in the 2021-2027 MFF via the Internal Security Fund.

## 1.10. Relevant websites providing more information

Information on the Justice programme, its priorities, allocated budget, publication of calls of proposals, project results, news and useful links are all available on the Funding & tender opportunities portal: <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/programmes/just>.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

#### Implementation status for financial year 2021 in commitment and in payment appropriations

The new Justice programme regulation is not adopted at the time of the request for appropriations for draft budget 2022 therefore there is no implementation at the moment for year 2021 in commitment and in payment appropriations.

#### Forthcoming implementation - appropriations requested for the financial year 2022 in commitment and in payment appropriations

The call planning under the programme assumes launching the 2021 calls in parallel to the adoption of the new Justice programme regulation and the Work programme for 2021-2022 in order to be as close as possible to the typical annual calendar and its corresponding implementation. The appropriations requested for commitments are according to the financial profile for year 2022. The level of payment appropriations requested for 2022 are at similar levels as those requested in previous years and above those of 2021; it is estimated that despite the delays in the adoption of the new Justice Regulation (leading to a delays in the start of implementation) and the slower rate in the implementation of 2021 and previous years' activities due to the COVID pandemic, as of 2022 we can return to a normal implementation rate.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	337 500 222	239 211 906
Implementation carry-overs	0	2 737 615
Implementation total	337 500 222	241 949 521
total envelop*	338 678 141	
cumulative implementation rate	100%	71%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

In years 2014-2017, the year N implementation gradually increased to approach Payment execution close to 70%. As of year 2018 the year N implementation gradually improved to reach Commitments execution close to 100% and Payments execution above 95%. In 2018 we put in place a plan to gradually increase the percentage of year N implementation of the programme. This included among others: the adoption of the work programme and publishing of the calls for proposals at the end of year N-1, a careful follow-up of the evaluation and granting planning, as well as, increased communication efforts on the funding opportunities under the programme. These measures were gradually introduced during the programming period and allowed to pass from a lower implementation rate in year N at the beginning of the period to a higher one in the last years of the programming period.

In financial year 2020, Commitments execution was 100% and Payments execution 96%.

		2020 Commitments final budget	2020 Commitments execution (no EFTA)	2020 Payments final budget	2020 Payments execution (no EFTA)
18 01 04 04	Support expenditure for the Justice programme - Anti-drugs	100.000,00	100.000,00 <b>100,00%</b>	100.000,00	11.801,00 <b>11,80%</b>
18 06 01	Supporting initiatives in the field of drugs policy	2.975.000,00	2.975.000,00 <b>100,00%</b>	2.315.993,59	2.315.993,59 <b>100,00%</b>
33 01 04 02	Support expenditure for the Justice programme	850.000,00	833.815,25 <b>98,10%</b>	850.000,00	520.651,63 <b>61,25%</b>

33 03 01	Supporting and promoting judicial training and facilitating effective access to justice for all	30.943.000,00	30.943.000,00 <b>100,00%</b>	36.289.850,00	35.180.796,00 <b>96,94%</b>
33 03 02	Facilitating and supporting judicial cooperation in civil and criminal matters	11.661.000,00	11.661.000,00 <b>100,00%</b>	13.990.000,00	13.231.726,08 <b>94,58%</b>
		<b>46.529.000,00</b>	<b>46.512.815,25</b> <b>99,97%</b>	<b>53.545.843,59</b>	<b>51.260.968,3</b> <b>95,73%</b>

For 2021, the Payments requested (not including the anti-drugs part of the programme – now part of the ISF) are 18,1 MEUR and are well below the level requested in previous years to take into account the late start in the implementation of the programme due to the delayed adoption of the MFF. The calculation for the requested Payment appropriations for 2022 takes into account a careful assessment of the expected programme implementation in 2021 as well as the impact of the COVID outbreak on the implementation of the completion lines.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

The Justice programme overall has been successful so far and provided added value.

The outputs of the Justice Programme in 2014-2020 are closely linked to the Commission activity on preparing, supporting and ensuring the correct implementation of an important number of EU legal instruments in civil and criminal law, improving their enforcement and remedy capacities in Member States, and ensuring an adequate cross border and EU level cooperation.

The Justice Programme contributes to the development of a European area of justice based on mutual recognition and mutual trust, by supporting judicial cooperation and judicial training.

The Justice Programme has supported conformity check studies for EU legislation transposed in the EU Member States. It has equally successfully supported judicial networks and judicial training. Proper application of EU law is in fact a key element to allow EU citizens and business to benefit from EU law. This is achieved through both preventive actions (workshops, expert meetings, stakeholder dialogue, technical guidelines for national authorities and training of legal practitioners financed through the Programme) and infringement procedures.

The activities funded by the Programme resulted in better implementation of EU justice instruments (e.g. European Investigation Order, European Arrest warrant and surrender procedures, European Protection Order, European Account Preservation Order, family law) and faster proceedings through cooperation, dialogue, sharing of experience, exchange of information, training activities and harmonisation of practices. Analytical activities also helped monitor the correct implementation of existing EU legislation, prepare or accompany new legislation or respond to policy changes in the areas covered by the programme.

The Justice programme also supported activities related to the promotion of rule of law via all its instruments and spanning three specific objectives. Namely, action grants on judicial training offered training to the judiciary on the main principles and values stemming from the CJEU and European Court of Human Rights case law and international documents, but also action grants funded projects to improve the quality of national judicial systems. Operating grants have supported the co-operation with European networks in the field of judicial cooperation and in the field of access to justice directly feeding into the work of the rule of law report. Via the European Judicial Training Network (EJTN) operating grant, EJTN prioritised as part of its activities the topic of the rule of law by making it part of the human rights sub-working group of EJTN. The programme has also funded data collection necessary for the production of the annual report on the rule of law and the European Justice Scoreboard which evaluates and compares the effectiveness and efficiency of national judicial systems and which feeds into the European Semester. Funding has also facilitated the organisation of mutual exchanges of information between Member States, in particular through a network of national contact persons. Preparation has also started for the funding of follow-up (communication) activities to the 17 July 2019 Communication on "*Strengthening the Rule of Law within the Union – A blueprint for action*" which specifically refers to an annual rule of law event open to national stakeholders and civil society organisations and communication activities to promote a rule of law culture among the general public, and to promote awareness about the relevant CJEU case law and Council of Europe standards are in preparation.

The actions of the programme as far as the *Specific Objective 1: Judicial cooperation in civil and criminal matters* is concerned are on track to achieving their goals:

- The Programme has helped to improve the implementation and functioning of existing legislative cooperation instruments. This applies both to older instruments where the Programme allowed to identify shortcomings or problems in implementation and application, and more recent ones, where it allowed to equip practitioners with better knowledge on how to apply them. Through procurement actions, regular meetings gathering practitioners from Member States were organised, and compliance studies were financed. Action grants to cross-border projects and operating grants to key European networks and stakeholders have also contributed to making Member States work together better and improved mutual trust. In general, the financial tools offered by the Programme can be seen as a useful complement to the Commission's infringement powers. Moreover, the Justice Programme has also helped, through the identification of gaps and problems in the existing legal framework, through action grants, but also studies and expert meetings, to prepare new legislation proposed by the Commission (e.g. Regulation on mutual confiscation of freezing and confiscation orders, e-evidence package). It has demonstrated the necessary flexibility to allow the Commission to take action to react to events like terrorist attacks, or to fund activities on radicalisation in prisons, often in response to calls from Council or European Parliament. The Programme has also allowed to strengthen cooperation with international organisations such as the Council of Europe, e.g. on prison monitoring.
- The e-Evidence Digital Exchange System which enables secure electronic communication between the competent national authorities to obtain evidence in criminal matters, will become operational in the course of 2021 digitalising the European Investigation Order and Mutual Legal Assistance. The system will significantly facilitate and expedite cross-border cooperation in criminal matters. Initially, the system was due to become functional by the end of 2020. However, Member States needed additional time to test the system and to make all the necessary arrangements at administrative level. The COVID-19 pandemic had an impact on the possibility to deliver training on the system.
- The programme has supported the development of ICT tools with the purpose of enhancing access to information. Under ECRIS, the Electronic Criminal Records Information System, a decentralised IT system operated by the central authorities of the EU Member States, in 2020 the increase in the number of exchanges of information was more than tenfold compared to the 2012 baseline. The programme also supported projects implementing the needed adaptations of the national criminal records systems for the linking and exchange of fingerprints with the ECRIS-TCN central system.
- The Programme has contributed to the effective and coherent application of EU criminal law in the Member States, e.g. the Victim's Rights Directive (establishing minimum standards on the rights, support and protection of victims of crime) and the development and implementation of the measures related to the 2009 Roadmap on strengthening the procedural rights of suspects and accused persons in criminal proceedings. The activities financed aimed at capacity-building of professionals, multi-disciplinary cooperation, exchanges of good practices, dissemination and awareness-raising, etc.
- The Programme has also contributed to the effective, comprehensive and consistent implementation of Union law policies and in particular it has funded projects in the area of fight against radicalisation in prisons. Improving prison conditions has become a political priority at EU level because they affect the efficient operation of EU mutual recognition instruments such as the European Arrest Warrant (EAW), and because of the risk of radicalisation in prisons.

The Justice Programme has overall performed very well in achieving its goals as far as the *Specific Objective 2: Judicial training* is concerned. Training is an important instrument of the Programme with a view to fostering a common legal and judicial culture and effective access to justice in Europe. Training activities ranged from traditional courses and seminars, case studies and practice-oriented activities, to videoconferences and training based on e-learning resources. Other activities included conferences, compilation of guidelines and training methodologies, organisation of staff exchanges, public-private partnerships for innovation and support for main actors (key European networks in the area of judicial training). Under the 2014-2019 period, the Justice Programme gave a real boost to the support of cross-border judicial training at EU level. The funds dedicated to this specific objective represented an increase of 80 % in comparison with the previous programming period under the then Civil and Criminal Justice Programmes. This enabled the number of legal practitioners participating in supported cross-border training activities to increase exponentially. The overall number of participants in training projects supported by the Justice Programme (including those by the European Judicial Training Network (EJTN)) increased from 11 724 in 2014 to 18 358 in 2018. Under the EJTN's annual training programmes (also supported via the Justice Programme), the number of participants increased from 4 256 in 2014 to 6 567 in 2018, while the performance or 'cost-to-serve' ratio (i.e., the price per person for one training day offered in Europe) decreased from EUR 332 in 2014 to EUR 307 in 2018. Funds dedicated to judicial training were lower in 2020, less physical trainings were performed due to the COVID pandemic and also not all training activities were appropriate to be transformed to online ones (e.g. the ones including an important networking element); these reasons led to a drop in the number of judicial staff trained in 2020 (see the related indicator).

The actions of the programme as far as the *Specific Objective 3: Access to justice* is concerned are on track to achieving their goals to facilitate access to justice for all, including to promote and support the rights of victims of crime, while respecting the rights of the defence.

- The Programme has helped to improve the implementation and functioning of existing instruments on procedural rights and victims' rights. This applies both to older instruments, where the Programme allowed to identify shortcomings or problems in implementation and application, and more recent ones, where it allowed to equip practitioners and national authorities with better knowledge on how to apply them. Through procurement actions, regular meetings gathering practitioners from Member States were organised, and compliance studies were financed. Action grants to cross-border

projects and operating grants to key European networks and stakeholders have also contributed to making Member States work together better and improved mutual trust. The financial tools offered by the Programme can be seen as a useful complement to the Commission's infringement powers. Moreover, the Justice Programme has also helped, through the identification of gaps and problems in the existing legal framework, through action grants, but also studies and expert meetings, to prepare new legislative initiatives.

- e-Justice related actions have contributed in a tangible way towards achieving the goals of this Specific Objective. In particular:
  - The European e-Justice Portal, a one-stop shop for justice matters, contributes significantly to improving and facilitating the access to justice for citizens, businesses, national authorities, legal practitioners and the judiciary. Over the years, it has grown to cover more than 150 topics in a wide variety of areas. The Portal gives access to information on a number of EU cross-border proceedings, as well as national information such as sources of case law, information on judicial systems in the EU, rights of victims and defendants, training material and many others. Thanks to the continuous enhancements to the Portal, it now sees a gradual and steady increase in terms of annual visits (over 4.6 million hits were registered in 2020 compared to 4.3 million in 2019). Good examples of successful projects are the 'Find a lawyer' and 'Find a notary' search tools, the interconnection of the business and insolvency registers, the search engine for European and national case law (the ECLI Search Engine), etc. In the period 2014-2020, an important activity has been the modernisation of the interface of the e-Justice Portal, including new functionalities and online tools.
  - The e-Justice Action Grants supported delivering on the priorities in this domain, namely by supporting the implementation of the e-Justice Action Plans for the periods 2014-2018 and 2019-2023.
  - Relevant studies were conducted under the Justice Programme, aiming to support the implementation of the e-Justice Action Plans. The latest study focuses on the use of innovative technologies ('Legal Tech') in the justice field.
- In 2016, pursuant to the Council Conclusions from 9 June 2016 on the European Judicial Cybercrime, IT development activities have started towards the establishment of a common e-Evidence Digital Exchange system, enabling efficient and cheap electronic communication between the competent national authorities in the area of criminal procedural law. Work on this system took place in 2017-2019 while it is planned for the system to be operational in 2021, due to difficulties encountered by Member States during the year 2020, e.g. reduced training possibilities caused by the COVID-19 pandemic.

The COVID pandemic has had for sure an impact on the implementation of the programme in relation to funds awarded via action grants or operating grants however this cannot be fully assessed yet since reporting for this period will only be done later at project closure or final report time. Many of our beneficiaries converted activities such as trainings to online events as much as possible however much less funding is needed for such events which will result in recovering funds in upcoming years. In some cases activities have not been completely cancelled, just reduced in scope (e.g. the parts that were only meaningful in case of physical interaction have been delayed or cancelled in some cases). EJTN's case provides a clearer picture on the COVID impact, which is representative of the situation for other beneficiaries as well: when the pandemic hit in spring 2020, most stakeholders, including the training ones, postponed their events, mostly to the 2<sup>nd</sup> half of 2020, hoping that face-to-face activities could resume by then. Eventually this led to requesting changes or even amendments to the work programme to change the timeline of the activities and sometimes the duration of the project. The reason for wanting to postpone activities and not transforming them straight away into online ones is that certain activities were planned face-to-face, with a mutual trust building and/or networking component. So the training providers hoped to avoid having to organise the events online, as they are less efficient for that aspect of the objectives. In addition, as activities have to be advertised months in advance to attract justice professionals, the autumn was not enough to organise – even online – all the activities planned for the whole 2020. Some activities took place in early 2021 however we are receiving requests from some beneficiaries to start projects later than planned, in the hope that face-to-face activities will resume in autumn 2021.

### 3.2. Key achievements

4.1 million	10799	4.6 million	27
<u>Exchanges of information in 2020 in the European Criminal Records Information System (ECRIS)</u>	<u>Justice professionals were trained in 2019 through the Justice Programme's financial support to cross-border training activities and to the European Judicial Training Network (EJTN)</u>	<u>Hits on the e-Justice portal / pages addressing the need for information on cross-border civil and criminal cases</u>	<u>Victim Support Organisations with national coverage were established</u>

*Specific objective 1: Judicial cooperation in civil and criminal matters*

The Justice Programme finances the European Judicial Network (EJN) in civil and commercial matters, which strengthens cooperation between national judicial authorities. By improving the practical application and implementation of EU civil justice instruments <sup>(2)</sup>, EJN contributes to building bridges between the justice systems of the Member States and thereby creates mutual trust <sup>(3)</sup>. In civil justice, the family law instruments, the insolvency regulation, the European Account Preservation Order, the European Small Claims procedure and mediation in civil and commercial matters have been promoted through programme funding since 2014. That has contributed to raising awareness among the legal practitioners and the general public so as to enable their correct application.

Furthermore, the funding has been used to support the application of many EU legal instruments in judicial cooperation in criminal matters, such as the European Arrest Warrant (EAW), which with over 10 000 cases per year is the most successful EU instrument in criminal matters. The Electronic Criminal Records Information System (ECRIS), a decentralised IT system operated by the central authorities of the EU Member States has registered an increase in the number of exchanges of information. In 2020, the number of exchanges of information in ECRIS was 4 136 249 (with the record number of 4 179 614 in 2019) exceeding its 2020 target of 3 500 000.

Further to the Council Conclusions from 9 June 2016 on improving criminal justice in cyberspace, IT development activities are ongoing towards the establishment of a common e-Evidence Digital Exchange system, enabling secure electronic communication between the competent national authorities to obtain evidence in criminal matters. This system, is a first step to digitalise judicial cooperation procedures in criminal matters and uses e-Codex as a secure transmission channel, a system that was developed by several Member States through a grant from the Justice Programme. The e-Evidence Digital Exchange System will become operational in 2021 with additional improvements and developments planned for the 2021-2027 period.

Projects were funded via the Justice Programme to enhance the use of alternatives to imprisonment both in the pre-trial and post-trial stage and to improve detention conditions in the Member States. Funding has also focused on projects relating to the judicial responses to terrorism, notably on reinforcing the prevention of radicalisation, especially in prisons. Improving prison conditions has become a political priority also at EU level because they affect the efficient operation of EU mutual recognition instruments such as the European Arrest Warrant (EAW), and because of the danger of radicalisation in prisons. The Justice Programme has financed also the cooperation with the Council of Europe to set up a network of prison monitoring bodies and the SPACE report, an annual report on prison statistics, providing clear insights into the detention situations in the different Member States, which have a direct impact on judicial cooperation in criminal matters.

#### *Specific objective 2: Judicial training*

Record participation numbers were reached again, thanks to the financial support to networks and projects. More than 1 million justice professionals were trained on EU law between 2011 and 2018 <sup>(4)</sup>, partly with EU funds, thus surpassing the goal set by the 2011 European judicial training strategy two years ahead of the deadline. In 2019, 182 379 justice professionals (judges, prosecutors, court staff, lawyers, bailiffs and notaries) and their trainees took part in training activities on EU law or the national law of another Member State. Compared to the high record of 2018, where over 190 000 justice professionals received training on EU law, in 2019 there is a slight decrease in the total number of participants however, participation remained at a steady high level. In 2019, 10 799 justice professionals were trained through the Justice Programme's financial support via cross-border training activities and the European Judicial Training Network (EJTN). The European Judicial Training Network trained or facilitated the training of a record number of 7 349 judges and prosecutors, judicial trainers and trainees from all EU Member States. The training activities have been organised in an increasingly efficient manner – its 'cost-to-serve' ratio (i.e., the price per person for one training day offered in Europe) decreased every year from 630 EUR in 2007 to 307 EUR in 2018 thanks to improvements in its administrative and financial management. In 2019, the Justice Programme funded the creation of an awareness raising package on the European Public Prosecutor's Office, for the information of the legal practitioners and for re-use by their training providers <sup>(5)</sup>. The Justice Programme also funded the creation by the EJTN of judicial training material <sup>(6)</sup> and of a publication by practitioners and academics on the rule of law <sup>(7)</sup>.

#### *Specific objective 3: Access to justice*

The Justice Programme has contributed to the effective and coherent application of EU criminal law in the area of the rights of victims of crime, e.g. Council Directive 2004/80/EC relating to compensation to crime victims, Directive 2011/99/EU in the European Protection Order, Directive 2012/29/EU establishing minimum standards on the rights, support and protection of victims of crime, and Regulation (EU) 606/2013 on mutual recognition of protection measures in civil matters. Via the 2014-2020 annual

<sup>(2)</sup> A study feeding into the 2016 Commission Report on the activities of EJN-civil, found that 96 % of professionals felt that EJN was successful in facilitating judicial cooperation between judicial authorities. Also, to-date EJN-civil has contributed to the European e-Justice Portal with 10 695 individual pages of practical information on national laws of the Member States relevant to the civil and commercial law acquis through 22 public factsheets, as well as with 16 guides on EU law. During the study, 70 % of interviewees indicated that the practitioners' guides correspond to their needs and 60 % perceived their needs are met with the factsheets.

<sup>(3)</sup> Report from the Commission to the European Parliament, the Council and the European Economic and Social Committee on the Activities of the European Judicial Network in Civil and Commercial Matters <https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1458206470776&uri=CELEX%3A52016DC0129>

<sup>(4)</sup> 2019 DG Justice Report on European judicial training: [https://ec.europa.eu/info/sites/info/files/2019\\_judicial\\_training\\_report\\_final\\_web.pdf](https://ec.europa.eu/info/sites/info/files/2019_judicial_training_report_final_web.pdf)

<sup>(5)</sup> [https://ec.europa.eu/info/files/eppo-infographic-en\\_en](https://ec.europa.eu/info/files/eppo-infographic-en_en); [https://ec.europa.eu/info/eppo-factsheets\\_en](https://ec.europa.eu/info/eppo-factsheets_en); [https://ec.europa.eu/info/eppo-brochures-0\\_en](https://ec.europa.eu/info/eppo-brochures-0_en)

<sup>(6)</sup> 'Training Guide on the Rule of Law – for Judges and Prosecutors': <http://www.ejtn.eu/News/Rule-of-Law-in-Europe-Perspectives-from-Practitioners-and-Academics/>

<sup>(7)</sup> 'Rule of Law in Europe – Perspectives from Practitioners and Academics': <http://www.ejtn.eu/News/Rule-of-Law-in-Europe-Perspectives-from-Practitioners-and-Academics/>

work programmes, 14.9 million euro were awarded to 50 projects aiming at capacity-building for professionals, multi-disciplinary cooperation, exchanges of good practices, dissemination and awareness-raising to give a few examples. Almost all of these projects involved cross-border cooperation. DG Justice and Consumer has also signed Framework Partnership and awarded operating grants to umbrella organisations that contribute to the implementation of the Victims' Rights Directive at European level, e.g. Victim Support Europe, the European Forum for Restorative Justice and more recently the Association of the European Network on Victims' Rights, which gathers national experts from Member States.

Similarly, the Justice Programme has supported the development and implementation of the measures related to the 2009 Roadmap on strengthening the procedural rights of suspects and accused persons in criminal proceedings (Directives on the right to interpretation and translation in criminal proceedings, on the right to information in criminal proceedings, on the right of access to a lawyer in criminal proceedings, on the strengthening of certain aspects of the presumption of innocence and of the right to be present at the trial in criminal proceedings, on procedural safeguards of children suspected or accused in criminal proceedings and on legal aid for suspects and accused persons in criminal proceedings). Via the 2014-2020 annual work programmes, 13.4 million euro were awarded to 40 projects aiming at capacity-building for professionals, mutual learning, exchanges of good practices, data collection, dissemination and awareness-raising, etc. Almost all of these projects involve cross-border cooperation.

DG Justice and Consumer has also signed Framework Partnership Agreements and awarded operating grants to judicial networks active at European level, e.g. European Network of Councils for the Judiciary, the Network of the Presidents of the Supreme Judicial courts of the European Union, the Association of the Councils of State and Supreme Administrative Jurisdictions. These networks are essential to promote the EU policy on rule of law and on justice reforms and to collect data on structural judicial independence, which is a precondition for effective access to justice. The data collected by the networks have been used in every EU Justice Scoreboard – an annual information tool with comparable data on the independence, quality and efficiency of national justice systems – since 2014.

The Justice Programme has also financed the cooperation between the European Commission and the Council of Europe's European Commission for the Efficiency of Justice (CEPEJ). CEPEJ collects data on the functioning of the justice systems of its members according to its well-established and recognised methodology. This data has enabled the European Commission to successfully expand the EU Justice Scoreboard which is an information tool that helps the EU achieve more effective justice.

The Justice Programme finances the maintenance and extension of the European e-Justice Portal<sup>(8)</sup>, a joint initiative between the Commission and the Council of the EU, which provides a host of multilingual informational content, as well as a number of electronic services, such as interconnections of national registers. Over time, the e-Justice Portal has evolved to offer increased and wider content, also incorporating results and tools developed under other projects funded via the Justice Programme, to become a one-stop shop for citizens, businesses, legal professionals and the judiciary. Since 2016, the Portal has been enhanced with a large-scale search engine for European and national case law (the ECLI Search Engine) and now provides a search functionality allowing decentralised lookups in Member States' business and commercial registers. In 2020, the number of hits by users – more than 4 million – showed close to a ten-fold increase compared to the 2012 baseline.

### 3.3. Evaluations, studies and reports

The key findings of the interim evaluation of the implementation of the Justice Programme 2014-2020 which started in 2017 and was completed in 2018<sup>(9)</sup> have been presented in the Programme Statement 2020. The ex-post evaluation of the programme assessing the long-term impact and the sustainability of the effects of the Programme will be completed in 2021.

The evaluation of the 2011-2020 European judicial training strategy was adopted in 2019<sup>(10)</sup>. It shows that the strategy has contributed to increasing knowledge on EU law while reinforcing mutual trust between legal practitioners. The evaluation shows that most of the objectives -to increase the number of training participants, of training activities and of exchanges and to improve the capacities of the networks and training providers - were overall achieved. Its main objective, that half of all EU legal practitioners should attend training on EU law between 2011 and 2020, was already reached in 2017. The evaluation shows that the strategy led to an almost doubling of EU funds available for training legal practitioners and significant improvements in the capacity of networks and training providers. In terms of stakeholders, EJTN is the main platform and promoter for the training and exchange of knowledge of the European judiciary. The success of the strategy is also due to streamlined efforts of the Network. The evaluation results confirm the need to better reach some categories of justice professionals (court staff, lawyers, bailiffs) and further focus on topics such as the rule of law, fundamental rights, judgecraft and legal terminology. The need for new objectives (for e.g. qualitative ones) was noted. The indispensable character of the EU intervention and its clear benefits were largely acknowledged; in particular, the increase in cross-border training activities and judicial exchanges could not have been achieved without an EU intervention.

<sup>(8)</sup> <https://e-justice.europa.eu/home.do?plang=en&action=home>

<sup>(9)</sup> Report from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on the interim evaluation of the implementation of the Justice Programme 2014-2020 COM(2018) 507 final).

<sup>(10)</sup> Staff Working Document on the evaluation of the European judicial training strategy: [https://ec.europa.eu/info/sites/info/files/5\\_en\\_document\\_travail\\_service\\_part1\\_v2.pdf](https://ec.europa.eu/info/sites/info/files/5_en_document_travail_service_part1_v2.pdf)

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :Facilitate and support judicial cooperation in civil and criminal matters, and promote the rule of law independence and impartiality of the judiciary, including by supporting the efforts to improve the effectiveness of national justice systems, and the effective enforcement of decisions**

**Indicator 1:Civil society organisations reached by support and capacity building activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										
										Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	EC DG JUST
Link to the objective	This indicator is linked to the specific objective 2(a) “to facilitate and support judicial cooperation in civil and criminal matters, and to promote the rule of law independence and impartiality of the judiciary, including by supporting the efforts to improve the effectiveness of national justice systems, and the effective enforcement of decisions” This indicator is useful to tell about the support dedicated to civil society organisations active in the areas of the programme at European, national regional and local level.
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Exchanges of information in the European Criminal Records Information System (ECRIS)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										
										Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of exchanges
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to the specific objective 2(a) “to facilitate and support judicial cooperation in civil and criminal matters, and to promote the rule of law independence and impartiality of the judiciary, including by supporting the efforts to improve the effectiveness of national justice systems, and the effective enforcement of decisions” The purpose of ECRIS is to improve the security of citizens within the European Area of Freedom, Security and Justice, by enabling an efficient exchange between the Member States of information on previous criminal convictions handed down by criminal courts in the EU. This indicator is an indication of the level of judicial cooperation in criminal matters which contributes to providing citizens with a high level of safety.
Link MFF 14-20 / MFF 21-27	YES. Same name of indicator. No change in the methodology.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:People reached by awareness raising, information and dissemination activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										
										Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. Improved awareness of the public, the policy makers and the relevant practitioner of Union law and policies as well as about victims' rights and the rights of persons suspected or accused of crime, about judicial cooperation and about the EU Charter of Fundamental Rights.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved are a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: People reached by mutual learning and exchange of good practices activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST
Link to the objective	This indicator is linked to all the specific objective of the programme. Mutual learning and exchanges of good practices between professional of participating countries will contribute to improving knowledge and understanding of potential obstacles to the smooth functioning of a European area of justice and to promoting cross-border cooperation, improving mutual knowledge and understanding of the civil and criminal law and the legal and judicial systems of the Member States and enhancing mutual trust.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved are a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 2 :Support and promote judicial training, with a view to fostering a common legal, judicial and rule of law culture, as well as the consistent and effective implementation of the Union's legal instruments relevant in the context of this programme

#### Indicator 1: Civil society organisations reached by support and capacity building activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	EC DG JUST
Link to the objective	This indicator is linked to the specific objective 2(b) "to support and promote judicial training, with a view to fostering a common legal, judicial and rule of law culture, as well as the consistent and effective implementation of the Union's legal instruments relevant in the context of this programme." This indicator is useful to tell about the support dedicated to civil society organisations active in the

	areas of the programme at European, national regional and local level.
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Members of the judiciary and judicial staff who participated in training activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of trained justice professionals
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to the specific objective 2(b) "to support and promote judicial training, with a view to fostering a common legal, judicial and rule of law culture, as well as the consistent and effective implementation of the Union's legal instruments relevant in the context of this programme." This indicator will allow monitoring the extent to which the Justice Programme supports and promotes training of justice professionals.
Link MFF 14-20 / MFF 21-27	YES. Previous name of the indicator for MFF 14-20 : "The number and percentage of members of the judiciary and judicial staff that participated in training activities, staff exchanges, study visits, workshops and seminars funded by the Programme". For MFF 21-27, only number will be provided, no percentage. Same methodology will apply.
Other methodological comments	This indicator will be broken down per sex where possible.
Full metadata available at this address	
Justification of the trend	

**Indicator 3:People reached by awareness raising, information and dissemination activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. Improved awareness of the public, the policy makers and the relevant practitioner of Union law and policies as well as about victims' rights and the rights of persons suspected or accused of crime, about judicial cooperation and about the EU Charter of Fundamental Rights.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved are a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

**Indicator 4:People reached by mutual learning and exchange of good practices activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
-----------------	---------

Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST
Link to the objective	This indicator is linked to all the specific objective of the programme. Mutual learning and exchanges of good practices between professional of participating countries will contribute to improving knowledge and understanding of potential obstacles to the smooth functioning of a European area of justice and to promoting cross-border cooperation, improving mutual knowledge and understanding of the civil and criminal law and the legal and judicial systems of the Member States and enhancing mutual trust.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved are a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Facilitate effective and non-discriminatory access to justice for all, and effective redress, including by electronic means (e-justice), by promoting efficient civil, and criminal procedures and by promoting and supporting the rights of all victims of crime as well as the procedural rights of suspects and accused persons in criminal proceedings.**

**Indicator 1: Civil society organisations reached by support and capacity building activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations.
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to the specific objective 2(c) “to facilitate effective and non-discriminatory access to justice for all, and effective redress, including by electronic means (e-justice), by promoting efficient civil, and criminal procedures and by promoting and supporting the rights of all victims of crime as well as the procedural rights of suspects and accused persons in criminal proceedings.” This indicator is useful to tell about the support dedicated to civil society organisations active in the areas of the programme at European, national regional and local level.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Hits on the e-Justice portal / pages addressing the need for information on cross-border civil and criminal cases**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of hits
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to the specific objective 2(c). This indicator gives an indication of the level of need of information on cross-border civil matters as well as of the level of relevance of these e-pages favouring a larger and easier access to justice by citizens. The European e-Justice Portal is a one-stop shop in justice matters available in 23 languages. The Portal aims at interconnecting existing national justice applications, facilitating judicial cooperation, as well as providing information to a wide

	variety of stakeholders.
Link MFF 14-20 / MFF 21-27	No. Under MFF 14-20 we monitored the "Number of hits on the e-justice portal" as a core performance indicator. It will be still monitored under the Justice programme 2021- 2027 but not as a core performance indicator anymore as the legislator decided to be more specific and to monitor only the pages related to cross-border civil and criminal topics which makes only a part of the e Justice portal.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: People reached by awareness raising, information and dissemination activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST
Link to the objective	This indicator is linked to all the specific objective of the programme. Improved awareness of the public, the policy makers and the relevant practitioner of Union law and policies as well as about victims' rights and the rights of persons suspected or accused of crime, about judicial cooperation and about the EU Charter of Fundamental Rights.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved are a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

### Indicator 4: People reached by mutual learning and exchanges of good practices activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST
Link to the objective	This indicator is linked to all the specific objective of the programme. Mutual learning and exchanges of good practices between professional of participating countries will contribute to improving knowledge and understanding of potential obstacles to the smooth functioning of a European area of justice and to promoting cross-border cooperation, improving mutual knowledge and understanding of the civil and criminal law and the legal and judicial systems of the Member States and enhancing mutual trust.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved are a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : Justice Programme

## General Objective 1 :to contribute to the further development of a European area of justice based on mutual recognition and mutual trust, in particular by promoting judicial cooperation in civil and criminal matters

### Indicator 1:Cumulative number of legal professionals receiving training (not only through the Programme) on EU law or law of another Member State, including Civil Justice, Criminal Justice and Fundamental Rights

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
239 000			420 000	490 000			800 000			800 000
	Actual Progress									Final
	371 000	494 753	638 000	820 199	1 023 919	1 206 298				1 206 298

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of legal professionals trained (cumulative)
Cut-Off Date	09/02/2021
Data source	EC DG JUST
Narrative	In 2011, the European Commission set a target that by 2020 half (800 000) of all justice professionals in the EU should attend training on EU law or on the national law of another Member State. This goal was already reached in 2017, two years ahead of schedule.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	In the MFF 21/27 we report on the participants to training funded by the programme (this indicator is not anymore foreseen in the legal basis nor in the performance framework).
Other methodological comments	
Full metadata available at this address	
Justification of the trend	In 2019, the number of trained justice professionals remained at a remarkable high level: more than 182 000 justice professionals or 12.9% of all EU justice professionals received training on EU law or on the law of another Member State. This represents a 138% increase in comparison with 2011. As in previous years, we can see a steady upward trend in the numbers of practitioners trained on EU law. This trend applies in 2019 especially to judges, prosecutors and court staff's training and to bailiffs' continuous training. However, in comparison with 2018 - an exceptional year - the reported figures show a decrease in the numbers of practitioners trained on EU law, mainly explained by a decrease of lawyers' EU law training. The data for 2020 will be available by June 2021.

## Specific Objective 1 :to facilitate and support judicial cooperation in civil and criminal matters

### Indicator 1:Average time of the surrender procedure (time between the arrest and the decision on the surrender of the person sought) under the European Arrest Warrant in cases where the person consents to the surrender

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2005-2013	Milestones									2020
14-20					14		10			10
	Actual Progress									Final
	19	14	16	15	16					

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of days (yearly)
Cut-Off Date	31/12/2018
Data source	EC DG JUST and Member States
Narrative	The result of 2018 of 16,4 days was above the milestone of 14 days for 2018 (and also above the target for 2020). According to Article 17(2) of the Framework Decision on the EAW, in cases where the requested person consents to his surrender, the final decision on the execution of the EAW should be taken within a period of 10 days after consent has been given (this is why we have set the 2020 target to 10 days).
Methodology	This indicator is calculated on the basis of statistics we receive from the Member States.
Link MFF 14-20 / MFF 21-27	We will not continue to report on this indicator (neither in the draft Regulation nor in the performance framework).
Other methodological comments	
Full metadata available at this address	
Justification of the trend	This indicator is calculated on the basis of statistics we receive from the Member States, however, there is no legal obligation for them to provide this data and, consequently, we do not have the full picture (22 Member States provided replies). In 2018, the surrender procedure lasted on average 16,41 days after the arrest (14,99 days in 2017). The highest averages reported in some Member States were higher than in 2017. In 2018, the highest was 43 days for Denmark (a few cases took a very long time

	to process, which considerably increased the average) and 38 days for Slovakia. However, on the low side, the average was still 1 day in Malta (as in 2017), 3.5 days in Luxemburg and 4 in Hungary (against respectively 1 and 2 days in 2017). Delays in some Member States might be explained by additional requests for information, as a result of case law of the CJEU, in particular after the Aranyosi judgment of 2016 on detention conditions, as well as the LM judgment on independence of the judiciary in 2018. The statistics for 2019 would be published in June/July 2020.
--	---

### Indicator 2: Number of exchanges of information in the European Criminal Records Information System (ECRIS)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
300000	Actual Progress									Final
	1250000	1811546	1978104	2571991	2963789	4179614	4136249			4136249

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of exchanges in the system
Cut-Off Date	31/12/2020
Data source	EC DG JUST
Narrative	This indicator measures the level of judicial cooperation in criminal matters, which contributes to providing citizens with a high level of safety.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	We will continue to report in the next MFF 21/27.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	With 2019 being the record year, the actual results outperformed compared to the set milestones demonstrating an improvement in the impact of the programme's actions in this field. There is a consistently positive trend since: a) the number of bilateral ECRIS connections allowing to exchange data between Member States increases every year; b) Member States use the system more often, also in the context of non-criminal proceedings (more and more legal instruments include obligation to check certain information through ECRIS).

### Specific Objective 2 :to support and promote judicial training, including language training on legal terminology, with a view to fostering a common legal and judicial culture

#### Indicator 1: The number and percentage of members of the judiciary and judicial staff that participated in training activities, staff exchanges, study visits, workshops and seminars funded by the Programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number	Milestones									2020
	Actual Progress									Final
	11724	16123	13930	16439	18358	10799				
Percentage	Milestones									
	Actual Progress									Final
	0,0082	0,0099	0,0086	0,0102	0,0114	0,0067				

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number and percentage of participants to training
Cut-Off Date	09/02/2021
Data source	EC DG JUST
Narrative	The indicator measures the number and percentage of members of the judiciary and judicial staff that participated in training activities, staff exchanges, study visits, workshops and seminars funded by the Programme including those organised by the European Judicial Training Network;
Methodology	Data collected from the grants applications and contracts
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	The percentage is the ratio between the number of supported participants and the total number of legal practitioners in the EU (Source of data: 2018 CEPEJ Report).
Full metadata available at this address	
Justification of the trend	The reversed trend in 2019 is due to less awarded projects for European judicial training and less

	planned number of participants per awarded project under the 2019 calls for proposals of the Justice programme in comparison with 2018. The data for 2020 (based on the action grant calls which include training activities) will be available by June 2021 following the preparation of the annual report on European judicial training.
--	--

### Specific Objective 3 :to facilitate effective access to justice for all, including to promote and support the rights of victims of crime, while respecting the rights of the defence

#### Indicator 1: Number of hits on the e-justice portal

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
441000	992250	1488375	2232563	2679075	3214890	3857868	4629442			4629442
	Actual Progress									Final
	1136849	1751180	1884600	2690574	2962558	4343547	4619548			4619548

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of hits on the portal
Cut-Off Date	11/02/2021
Data source	EC DG JUST
Narrative	The actual results outperformed compared to the set milestones demonstrating an improvement in the impact of the programme's actions in this field.
Methodology	Target: (+20% per year)
Link MFF 14-20 / MFF 21-27	We will continue to report on this indicator. In the draft Regulation "Number of hits on the e-Justice portal / pages addressing the need for information on cross-border civil and criminal cases". This indicator will address the need of information on cross-border civil matters as well as of the level of relevance of these e-pages favouring a larger and easier access to justice by citizens.
Other methodological comments	As of 2017, the data are obtained from a new tool for website statistics tracking, with a different calculation method. The targets for period 2014-2016 were adjusted to the new calculation method. The table above provides data according to different calculation methods.
Full metadata available at this address	
Justification of the trend	The number of hits on the e-Justice Portal has been increasing steadily over the years. The only divergence was registered in 2018, due to a change in the corporate system for gathering statistics. The new system was introduced in 2017 and registers hits based on a different algorithm, which resulted in a discrepancy of 20-30 %. The 2020 target is practically reached. Between 2020 and 2019, we don't have the estimated increase of +20%, however we are on track vs. the final target and comparison to the baseline 2012.

#### Indicator 2: Number of Victim Support Organisations with national coverage (implementation of Directive 2012/29/EU)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
10				27			27			27
	Actual Progress									Final
	20	22	22	27	27	27	27			27

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of victim organisations with national coverage
Cut-Off Date	21/12/2020
Data source	Fundamental Rights Agency report on Victims of crime in the EU: the extent and nature of support for victims.
Narrative	The indicators should be developed by the VSO and/or Member States and should include inter alia an appropriate geographical coverage of the country and a necessary training of the staff. The Victims' Rights Directive is not applicable to Denmark.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	We will not report on this indicator. For the new MFF, the indicator will measure the number of Civil society organisations reached by support and capacity building activities.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The target to have at least one VSO in each Member State fulfilling the quality standards/indicator was reached in 2018 and there is no point of calculating the percentage after this date. We may consider the objective has already been reached.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

#### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming					Total	
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.4.2. Key achievements and performance**

In all calls for proposals under the Justice Programme the projects shall seek to promote equality between women and men. This is required by the Article 5 of the Regulation (EU) 1382/2013 establishing a Justice Programme 2014-2020. When planning the project, the applicants should demonstrate in their proposal how this will be respected at implementation stage (gender mainstreaming aspects are considered while assessing the quality of the proposed action). Beneficiaries are required to detail in their final activity report the steps and achievements they made towards meeting this requirement.

Moreover, during proposal evaluation, the pool of evaluators is required to have a reasonable gender balance. Briefing material provided to the evaluators specifies that:

- *Gender mainstreaming* means integrating a gender perspective in the design, implementation, monitoring and evaluation of a project as appropriate. A project must not silence, stereotype, stigmatise, lay the blame or discriminate against men or women. On the contrary, measures should be pro-active and contribute to the equal empowerment of both genders, and ensure that they achieve their full potential, enjoy the same rights and opportunities. Gender mainstreaming goes beyond counting the number of women and men in a room. Rather, gender mainstreaming addresses the gender inequalities that are at the core of a project, policy or process, leading to more gender-sensitive actions.
- The project shall endeavour to build capacity within the project team and among stakeholders to ensure the continued integration of a gender perspective within the area of intervention after the project ends. In the delivery of project activities gender mainstreaming shall be ensured by:
  - Collecting sex disaggregated data to track gender equality results and assess gender impacts.
  - Monitoring access, participation, and benefits among women and men and incorporate remedial action that redresses any gender inequalities in project implementation.
  - Regularly reporting on how gender is mainstreamed and ensure that evaluations integrate gender-specific evaluation questions.

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

*SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*

Through the Justice Programme's financial support to cross-border training activities and to the European Judicial Training Network (EJTN), 10799 justice professionals participated in judicial training programmes in 2019 thereby fostering a common legal and judicial culture.

Under the Justice programme about 10 new projects promoting access to justice are awarded each year for a total budget of 3 - 3.5 million EUR.



**HEADING 2B: Resilience and Values****Citizenship, Equality, Right and Values****Lead DG:JUST**

Associated DGs:SG, EMPL

1. Overview .....	720
1.1. Challenges .....	720
1.2. Mission (general objectives) .....	721
1.3. Specific objectives .....	721
1.4. Public intervention context .....	722
1.5. Actions .....	723
1.6. Delivery mode .....	724
1.7. Graphic overview of the programme structure .....	724
1.8. Legal basis and financial programming .....	725
1.9. Link with the 2014-2020 MFF .....	725
1.10. Relevant websites providing more information .....	725
2. Where are we in the implementation ? .....	725
2.1. Programme 2021-2027 .....	725
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	726
3. How is the programme performing ? .....	727
3.1. Performance .....	727
3.2. Key achievements .....	729
3.3. Evaluations, studies and reports .....	733
4. Programme 2021-2027 - Key monitoring indicators .....	733
Specific Objective 1 :Protect and promote Union values .....	733
Specific Objective 2 : Promote rights, non-discrimination, equality, including gender equality, and advance gender and non-discrimination mainstreaming; (Equality, Rights and Gender Equality strand) .....	735
Specific Objective 3 :Promote citizens engagement and participation in the democratic life of the Union and exchanges between citizens of different Member States and to raise awareness of the common European history (Citizens' engagement and participation strand) .....	736
Specific Objective 4 :Fight violence, including gender-based violence (Daphne strand) .....	739
5. Programme 2014-2020 - Key monitoring indicators .....	740
Previous Program 1 : Rights, Equality and Citizenship programme .....	740
General Objective 1 :to contribute, to the further development of an area where equality and the rights of persons as enshrined in the Treaty on European Union, in the Treaty on the Functioning of the European Union, in the Charter of Fundamental Rights of the European Union and in the international human rights conventions to which the Union has acceded, are promoted, protected and effectively implemented .....	740
Specific Objective 1 :to promote the effective implementation of the principle of non -discrimination on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation, and to respect the principle of non-discrimination on the grounds provided for in Article 21 of the Charter .....	741
Specific Objective 2 :to prevent and combat racism, xenophobia, homophobia and other forms of intolerance .....	743
Specific Objective 3 :to promote and protect the rights of persons with disabilities .....	744
Specific Objective 4 :to promote equality between women and men and to advance gender mainstreaming .....	745
Specific Objective 5 :to prevent and combat all forms of violence against children, young people and women, as well as violence against other groups at risk, in particular groups at risk of violence in close relationships, and to protect victims of such violence .....	746
Specific Objective 6 :to promote and protect the rights of the child .....	747
Specific Objective 7 :to contribute to ensuring the highest level of protection of privacy and personal data .....	748
Specific Objective 8 :to promote and enhance the exercise of rights deriving from citizenship of the Union .....	749

Specific Objective 9 :to enable individuals in their capacity as consumers or entrepreneurs in the internal market to enforce their rights deriving from Union law, having regard to the projects funded under the Consumer Programme .....	751
Previous Program 2 : Europe for Citizens .....	753
General Objective 1 :to contribute to citizens' understanding of the Union, its history and diversity, to foster European citizenship and to improve conditions for civic and democratic participation at Union level .....	753
Specific Objective 1 :to raise awareness of remembrance, the common history and values of the Union and the Union's aim, namely to promote peace, the values of the Union and the well-being of its peoples, by stimulating debate, reflection and the development of networks .....	754
Specific Objective 2 :to encourage the democratic and civic participation of citizens at Union level, by developing citizens' understanding of the Union policy making-process and promoting opportunities for societal and intercultural engagement and volunteering at Union level .....	755
6. The programme contribution to horizontal policies .....	759
6.1. Contribution to climate mainstreaming .....	759
6.2. Contribution to biodiversity mainstreaming .....	759
6.3. Contribution to clean air financing .....	759
6.4. Contribution to gender equality .....	759
6.5. Contribution to the sustainable development goals .....	760

## 1. Overview

### 1.1. Challenges

The EU aims at promoting peace and the well-being of its people. It is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities.

To live up to its vocation, the EU needs to remember and learn from its history and to involve people in strengthening democratic societies. Yet emerging movements challenge the idea of open, inclusive, cohesive and democratic societies and threaten the enjoyment of rights and civic participation. In this context, the Citizens, Equality, Rights and Values (CERV) Programme responds to persisting gaps and emerging challenges:

- Inequalities and discrimination on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation still persist. Data show that discrimination against LGBTI<sup>1</sup> people, Roma<sup>2</sup>, persons with disabilities<sup>3</sup>, elderly people or, on the ground of religion<sup>4</sup>, as well as violence against women<sup>5</sup> and children, in the society and in the labour market, still persist; racism, xenophobia and hate speech are often amplified by the use of social network and new technologies; sensitive social and societal issues related to religion and beliefs are rising up in parallel. Significant gender inequalities persist<sup>6</sup>.
- More needs to be done to raise citizens' awareness of the values of the EU and the benefits of EU citizenship, to increase knowledge of the EU, its history, cultural heritage and diversity and to encourage a higher level of political and societal participation ;
- The rights stemming from EU citizenship are still not fully implemented, thus hindering citizens' political and societal participation.
- Economic crises, rising inequalities and new or persisting challenges such as of migration, nationalism and populism have led some people to question the fundamental rights and the values on which the EU is founded, including the rule of law, access to justice, space for civil society and the independence of the judiciary.

These challenges could jeopardise democracy and fundamental rights. Furthermore, they are common to all Member States and have cross-border dimensions. While action at national level is important, individual Member States do not have sufficient leverage to tackle these challenges. Therefore, concerted efforts at EU level are required.

<sup>1</sup> [http://ec.europa.eu/justice/discrimination/files/thematic\\_factsheet\\_lgbt\\_en.pdf](http://ec.europa.eu/justice/discrimination/files/thematic_factsheet_lgbt_en.pdf)

<sup>2</sup> <http://fra.europa.eu/en/publication/2016/eumidis-ii-roma-selected-findings>

<sup>3</sup> In 2016, a majority of respondents to a public consultation considered that people with disabilities cannot fully participate in society, do not enjoy the same rights as other citizens and face discrimination. The results of this public consultation were analysed in the Commission Staff Working Document, "Progress Report on the implementation of the European Disability Strategy (2010-2020)", SWD(2017) 29 final of 2.02.2017.

<sup>4</sup> [http://ec.europa.eu/justice/fundamental-rights/files/factsheet\\_eurobarometer\\_fundamental\\_rights\\_2015.pdf](http://ec.europa.eu/justice/fundamental-rights/files/factsheet_eurobarometer_fundamental_rights_2015.pdf)

<sup>5</sup> One in three women in the EU have experienced physical and/or sexual violence since the age of 15.; Fundamental Rights Agency (2014), Violence against women: an EU-wide survey [http://fra.europa.eu/sites/default/files/fra-2014-vaw-survey-main-resultsapr14\\_en.pdf](http://fra.europa.eu/sites/default/files/fra-2014-vaw-survey-main-resultsapr14_en.pdf).

<sup>6</sup> The current context is characterised, for instance, by an unequal participation of women and men in the labour market.

## 1.2. Mission (general objectives)

CERV will be a key instrument of the EU to protect and promote rights and values as enshrined in the EU Treaties, the EU Charter of Fundamental Rights and in the applicable international human rights conventions.

In particular, it will support civil society organisations and other stakeholders active at local, regional, national and transnational level, encourage civic democratic participation, in order to sustain and further develop open, rights-based, democratic, equal and inclusive societies based on the rule of law.

## 1.3. Specific objectives

Programme objectives

1. The general objective of the Programme is to protect and promote rights and values as enshrined in the Treaties, the Charter and in the applicable international human rights conventions, in particular by supporting civil society organisations and other stakeholders active at local, regional, national and transnational level, and by encouraging civic and democratic participation, in order to sustain and further develop open, rights-based, democratic, equal and inclusive societies based on the rule of law.

2. Within the general objective set out in paragraph 1, the programme has the following specific objectives which correspond to strands:

- (-a) to protect and promote Union values (Union values strand),
- (a) to promote rights, non-discrimination, equality, including gender equality, and advance gender and non-discrimination mainstreaming; (Equality, Rights and Gender Equality strand),
- (b) to promote citizens engagement and participation in the democratic life of the Union and exchanges between citizens of different Member States and to raise awareness of the common European history (Citizens' engagement and participation strand),
- (c) to fight violence, including gender-based violence (Daphne strand).

Union values strand

Within the general objective set out in Article 2(1) and within the specific objective set out in point (-a) of Article 2(2), the Programme shall focus on protecting, promoting and raising awareness on rights by providing financial support to civil society organisations active at local, regional and transnational level in promoting and cultivating these rights, thereby also strengthening the protection and promotion of Union values and the respect for the rule of law and contributing to the construction of a more democratic Union, democratic dialogue, transparency and good governance.

Equality, Rights and Gender Equality strand

Within the general objective set out in Article 2(1) and within the specific objective set out in point (a) of Article 2(2), the Programme shall focus on:

- (a) promoting equality and preventing and combating inequalities and discrimination on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation and respecting the principle of non-discrimination on the grounds provided for in Article 21 of the Charter;
- (b) supporting, advancing and implementing comprehensive policies
  - (i) to promote women's full enjoyment of rights, gender equality, including work-life balance, women's empowerment and gender mainstreaming;
  - (ii) to promote non-discrimination and its mainstreaming;
  - (iii) to combat racism, xenophobia and all forms of intolerance including homophobia, biphobia, transphobia and interphobia and intolerance on the basis of gender identity, both online and offline;
  - (iv) to protect and promote the rights of the child;
  - (v) to protect and promote the rights of persons with disabilities;
- (c) protecting and promoting Union citizenship rights and the right to the protection of personal data.

### Citizens engagement and participation strand

Within the general objective set out in Article 2(1) and within the specific objective set out in point (b) of Article 2(2), the Programme shall focus on:

- (a) supporting projects aimed at commemorating defining events in modern European history, including the causes and consequences of authoritarian and totalitarian regimes, and at raising awareness among European citizens, of their common history, culture, cultural heritage and values, thereby enhancing their understanding of the Union, its origins, purpose, diversity and achievements and of the importance of mutual understanding and tolerance;
- (b) promoting citizens and representative associations' participation in and contribution to the democratic and civic life of the Union by making known and publicly exchanging their views in all areas on Union action;
- (ba) promoting exchanges between citizens of different countries, in particular through town-twinning and networks of towns, so as to afford them practical experience of the wealth and diversity of the common heritage of the Union and to make them aware that these constitute the foundation for a common future;

### Daphne strand

Within the general objective set out in Article 2(1) and within the specific objective set out in point (c) of Article 2(2), the Programme shall focus on:

- (-a) preventing and combating at all levels all forms of gender-based violence against women and girls and domestic violence, also by promoting the standards laid down in the Council of Europe Convention on preventing and combating violence against women and domestic violence (the Istanbul Convention); and
- (a) preventing and combating all forms of violence against children, young people, as well as violence against other groups at risk, such as LGBTIQI persons and persons with disabilities;
- (b) supporting and protecting all direct and indirect victims of such violence, such as domestic violence exerted within the family or violence in intimate relationships, including children orphaned by domestic crimes, and supporting and ensuring the same level of protection throughout the Union for victims of gender-based violence.

In pursuing its mission, CERV targets the following specific objectives, which correspond to action strands:

1. CERV contributes to protecting and promoting Union values (Union Values strand) by providing financial support to civil society organisations active at local, regional and transnational level.
2. CERV aims to promote equality and rights (Equality, Rights and Gender Equality strand). In particular, it contributes to preventing and combating inequalities and discrimination on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation. It supports the development of comprehensive policies to promote gender equality and anti-discrimination and their mainstreaming as well policies to combat racism and all forms of intolerance. Moreover, CERV contributes to protecting and promoting the rights of the child, the rights of people with disabilities, EU citizenship rights and the right to the protection of personal data;
3. CERV promotes citizens engagement and participation in the democratic life of the EU (Citizens' engagement and participation strand). In particular, CERV contributes to increasing citizens' understanding of the EU, its history, cultural heritage and diversity. In addition, it promotes exchange and cooperation between citizens of different countries as well as citizens' civic and democratic participation allowing citizens and representative associations to publicly exchange their views in all areas of EU action
4. It contributes to the fight against violence, including gender-based violence (Daphne strand). In particular, CERV contributes to preventing and combating all forms of violence against children, young people and women, as well as violence against other groups at risk. Furthermore, it contributes to supporting and protecting victims of such violence.

## 1.4. Public intervention context

The policy challenges identified and addressed by the CERV programme are common to all EU Member States and have cross-border dimensions. While action at national level is important, the single Member States do not have sufficient leverage to tackle these challenges. The promotion and protection of rights and values require transnational cooperation mechanisms and networking opportunities, which can typically not be achieved by Member States acting alone. In that respect, action at EU level is needed following the subsidiarity principle and the principle of shared competences between EU and Member States in the area of freedom, security and justice (Article 4 of the TFEU). In many areas, such as equality and non-discrimination or citizenship, individuals are protected by European legislation, but are not sufficiently aware about their rights. Only awareness raising actions, share of best practices and training at EU level can ensure that persons in all Member States are reached, that administrative structures/authorities are informed and that a consistent message is passed on. Moreover, Member States are not in the best position to ensure consistent interpretation and coherent application of legislative instruments throughout the EU. In the area of rights,

equality and, in particular, in combatting violence against women, there is EU-added value to work with national authorities and all stakeholders to find adequate solutions to remaining challenges at European level. EU funding is crucial to support civil society directly.

The programme will ensure consistency, complementarity and synergies with other funding programmes supporting policy areas with close links to each other, in particular with the Justice programme, Erasmus+ programme, the European Social Fund+ as well as with Creative Europe programme. Synergies will be explored and created with other European funding programmes, in the fields of employment and fight against social exclusion, youth, health, citizenship, justice, migration, security, research, innovation, external relations and sustainable development.

The programme supports the implementation of many Commission's strategic policy initiatives, such as the EU anti-racism action plan 2020-2025<sup>7</sup>; the LGBTIQ Equality Strategy 2020-2025<sup>8</sup>; the EU Roma strategic framework on equality, inclusion and participation<sup>9</sup>, the Gender Equality Strategy 2020-2025<sup>10</sup>, the forthcoming EU Strategy on combating antisemitism and fostering Jewish life; EU Strategy on the rights of the child and EU disability strategy. The programme is also fully in line with the political priorities of the Commission, as highlighted in the European democracy action plan<sup>11</sup>, Rule of Law report<sup>12</sup> and the Strategy to strengthen the application of the Charter of Fundamental Rights in the EU<sup>13</sup>.

## 1.5. Actions

CERV supports a wide range of organisations that play an important role at EU, national and local level for promoting and protecting EU values and rights.

This includes non-governmental organisations at local, national and transnational level as well as European networks, public administration including the equality and human rights bodies, national, regional and local authorities and institutions.

The CERV funds actions that:

- Increase awareness of rights, values and principles underpinning the EU as well as of EU culture, and history;
- Increase knowledge of EU law and policies as well as of potential obstacles to the exercise of rights and principles guaranteed by the EU Treaties, the EU Charter of Fundamental Rights, international conventions to which the EU has acceded, and secondary EU legislation;
- Increase capacity to act in order to better implement EU law instruments and policies in the Member States;
- Foster cross-border cooperation, exchange and debate, improving mutual knowledge, mutual understanding and enhancing mutual trust among all stakeholders.

Main activities supported by the programme are:

(a) awareness raising, promotion and dissemination of information to improve the knowledge of the rights and values and policies, within the areas and objectives covered by the Programme;

(b) mutual learning through the exchange of good practices among stakeholders to improve knowledge and mutual understanding;

(c) analytical monitoring activities to improve the understanding of the situation in Member States and at Union level in the areas covered by the Programme as well as to improve implementation of EU law, policies and Union values within Member States, such as activities to include for instance the collection of data and statistics; the development of common methodologies and, where appropriate, indicators or benchmarks; studies, research, analyses and surveys; evaluations; impact assessment; the elaboration and publication of guides, reports and educational material;

(d) training relevant stakeholders to improve their knowledge of the policies and rights in the fields covered by the Programme;

(e) information and Communication Technology (ICT) tools development and maintenance;

(e a) supporting civil society organisations and non-profit stakeholders active in the areas of the Programme to increase their capacity to react and to ensure adequate access for all citizens to their services, counselling and support activities;

(e b) supporting civil society organisations and non-profit stakeholders active in the areas of the Programme to carry out advocacy activities to promote rights, thereby also strengthening the protection and promotion of Union values and the respect of the rule of law and contributing to democratic dialogue, transparency and good governance, including in cases of shrinking space for civil society;

(f) strengthening awareness among citizens, especially young people, of European culture, cultural heritage, identity and history including with regard to totalitarian and authoritarian regimes and other defining moments of recent European history so as to

<sup>7</sup> A Union of Equality: [EU anti-racism Action Plan 2020-2025](#)

<sup>8</sup> Union of Equality: [LGBTIQ Equality Strategy 2020-2025](#)

<sup>9</sup> A Union of Equality: [EU Roma strategic framework on equality, inclusion and participation](#)

<sup>10</sup> A Union of Equality: [Gender Equality Strategy](#) 2020-2025 COM(2020) 152

<sup>11</sup> [European democracy action plan](#) COM/2020/790 final

<sup>12</sup> European rule of law mechanism - 2020 Rule of Law report

<sup>13</sup> [Strategy to strengthen the application of the Charter of Fundamental Rights in the EU](#)

strengthen remembrance and European citizens' commitment to the Union and to encourage tolerance, mutual understanding, intercultural dialogue and respect for diversity;

(g) bringing together citizens of different nationalities and cultures by giving them the opportunity to participate in town-twinning activities and civil society projects, thus creating the conditions for a stronger bottom-up approach and fostering civic and democratic engagement;

(h) encouraging and facilitating active and inclusive participation in the construction of a more democratic Union, as well as raising awareness on rights and values through support to civil society organisations;

(j) developing the capacity of European networks to promote and further develop Union law, values, policy goals and strategies;

(k) financing the technical and organisational support to implement Regulation [(EU)No 211/2011], replaced, as of 1 January 2020, by the Regulation (EU) 2019/788, thereby underpinning the exercise by citizens of the right to launch and support European citizens' initiatives;

(l) enhancing knowledge of the Programme and dissemination and transferability of its results and fostering outreach, including by setting up and supporting programme contact points;

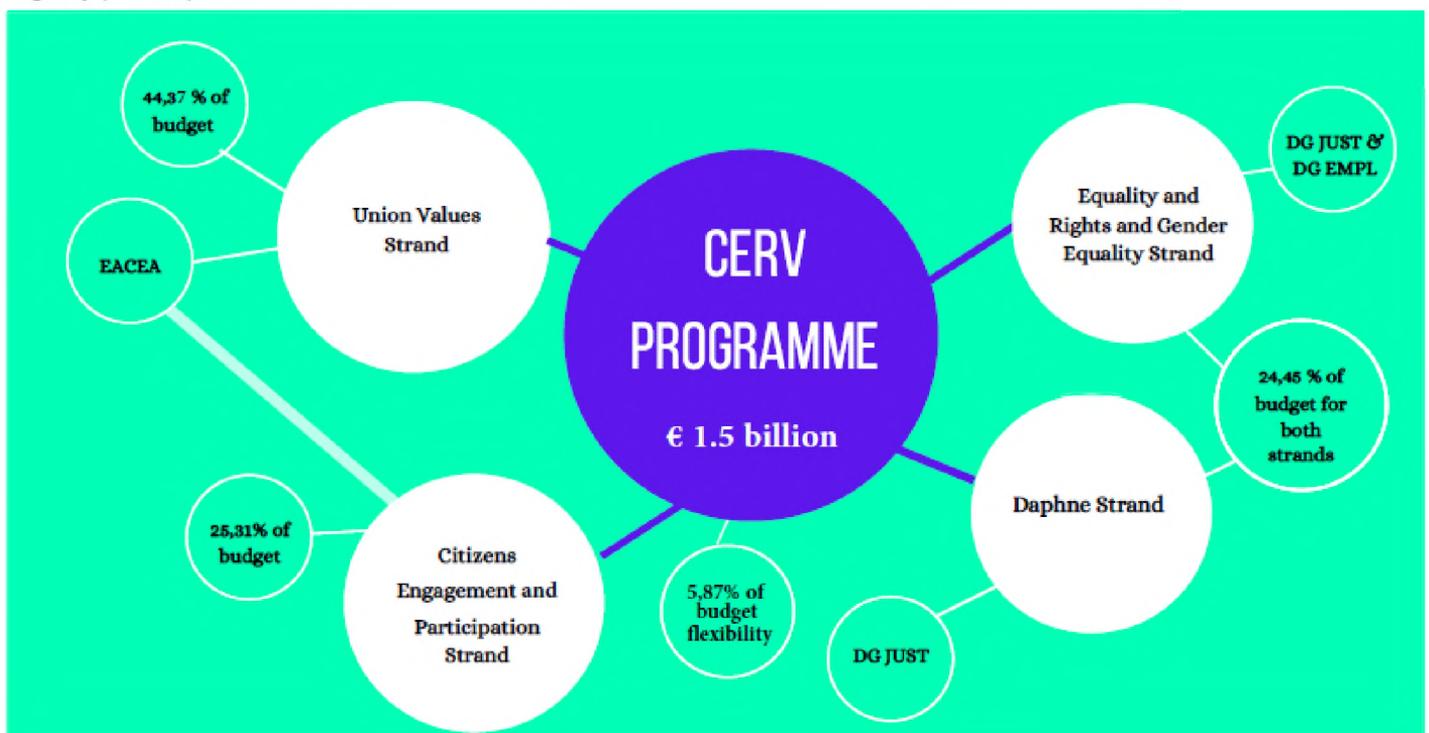
## 1.6. Delivery mode

The programme will be implemented through direct management by the Directorate-General for Justice and Consumers (DG JUST). In particular, the implementation of actions under the specific objective to protect and promote the rights of persons with disabilities will be managed by the Directorate-General for Employment, Social Affairs and Inclusion (DG EMPL). The Commission delegates powers to implement actions in the Citizens engagement and participation strand and in the Union values strand to the European Education and Culture Executive Agency (EACEA).

## 1.7. Graphic overview of the programme structure

# Citizens, Equality, Rights and Values Programme

The implementation of actions is directly managed by the Directorate-General of Justice and Consumers (DG JUST). In particular, the implementation of actions under the specific objective to promote and protect the rights of persons with disabilities is managed by the Directorate-General of Employment, Social Affairs and Inclusion (DG EMPL). The Commission delegates powers to implement actions in the Citizens engagement and participation strand and in the Union values stand to the European Education and Culture Executive Agency (EACEA).



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0207/COD COM (2018) 383: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Rights and Values programme	2021 - 2027	648,3

### 1.8.2. Legal basis explanation

Programme	Legal Basis	Content
Citizens, Equality, Rights and Values programme	Art. 16(2) - Data protection Art. 19(2) - Non-discrimination Art. 21(2) - EU citizenship rights Art. 24 - European Citizens' Initiative Art. 167 - Culture Art.168 - Public health	In line with its legal basis, the CERV programme promotes equality and Union values, while combats discrimination and gender-based violence, empowering people so that they can enjoy the rights conferred on them by the Treaty on the Functioning of the European Union (TFEU), the Treaty on European Union (TEU), the Charter of Fundamental Rights of the European Union.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>97,2</b>	<b>209,4</b>	<b>91,8</b>	<b>92,1</b>	<b>92,2</b>	<b>92,2</b>	<b>91,5</b>	<b>766,3</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The 2021-27 CERV programme is the result of merging two former funding programmes<sup>14</sup>, namely the Rights, Equality and Citizenship programme and the Europe for Citizens programme, which had both a strong societal focus and were clearly related to the promotion of rights and EU values.

This grouping is expected to bring more visibility, simplification, and mutual reinforcement. While CERV increases the potential of the EU to promote and protect values by developing synergies between previous funding programmes, it acknowledges and maintains the specificities of the single policies. A novelty introduced in the programme is the new Union Values strand that will specifically provide support to civil society organisations active at local, regional and transnational level, strengthening the protection and promotion of Union values and the respect for the rule of law.

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/info/departments/justice-and-consumers/justice-and-consumers-funding-tenders\\_en](https://ec.europa.eu/info/departments/justice-and-consumers/justice-and-consumers-funding-tenders_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

Work programme 2021-2022

Budget lines	2021 (€)	2022 (€)
<a href="#">Budget line 07 06 01: Promote equality and rights</a>	27 264 300	39 860 945
<a href="#">Budget line 07 06 02: Promote citizens engagement and participation in the democratic life of the Union</a>	13 432 019	39 592 102
<a href="#">Budget line 07 06 03: Daphne</a>	19 189 700	29 581 401
<a href="#">Budget line 07 06 04: Protect and promote Union values</a>	30 678 133	91 787 552

<sup>14</sup> In the Multiannual Financial Framework 2014-2020.

<b>TOTAL</b>	90 564 152	200 822 000
--------------	------------	-------------

### *Promote equality and rights*

The work programme envisages several calls for proposals to (i) promote equality, tackle discrimination and improve responses to racism and xenophobia in the form of hate speech and hate crime, both on- and offline; (ii) promote equal participation/representation of women and men in decision-making in politics/economics and tackle gender stereotypes; (iii) protect the rights of the child in response to the current situation and address the needs of children arising from the impact of Covid-19; (iv) support the implementation of the GDPR Regulation.

### *Promote citizens engagement and participation in the democratic life of the Union*

Calls for proposals are foreseen in this strand as well. In the area of European remembrance, the Commission will support projects aimed at commemorating defining events in modern European history, including the causes and consequences of authoritarian and totalitarian regimes and Holocaust remembrance. In the area of citizens participation, the Commission will promote citizens' civic and democratic participation, giving citizens and representative associations the possibility to participate in and contribute to the democratic and civic life of the Union. In the area of town-twinning and networks of towns, the Commission will promote exchanges between citizens of different countries, with the aim of reinforcing mutual understanding and tolerance and of giving them the opportunity to broaden perspectives and to develop a sense of European belonging and European identity.

### *Daphne*

Each year, a call for proposals will support activities on preventing and combating gender-based violence, including online violence. Violence against children will also be addressed, to contribute to the strengthening of child protection systems.

### *Protect and promote Union values*

Funds will support organisations which contribute to make our common values, rights and equality and rich diversity alive and vibrant. The ultimate objective is to nurture and sustain a rights-based, equal, open, pluralist, inclusive and democratic society. In particular, two calls for proposals are envisaged for the capacity building of civil society organisations.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

### Cumulative implementation rate for the Rights, Equality and Citizenship programme for 2014-2020:

	Commitments	Payments
Implementation Voted budget	432 520 207	323 193 841
Implementation Carry-overs	0	2 160 239
Implementation total	432 520 207	325 354 080
total envelop*	435 301 100	
cumulative implementation rate	99%	75%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

### 99 % in CA and 75 % in PA

In years 2014-2017, the year N implementation gradually increased to approach Payment execution close to 70%. As of year 2018 the year N implementation gradually improved to reach Commitments execution is close to 100% and Payments execution above 95%. In 2018 we put in place a plan (see Ares(2020)1125176) to gradually increase the percentage of year N implementation of the programme. This included among others: the adoption of the work programme and publishing of the calls for proposals at the end of year N-1, a careful follow-up of the evaluation and granting planning, as well as, increased communication efforts on the funding opportunities under the programme. All these measures were only partially in place during the early years of the programme implementation which resulted for those years to a lower implementation rate in year N. These measures were gradually introduced during the programming period and allowed to pass from a lower implementation rate in year N at the beginning of the period to a higher one in the last years of the programming period.

In 2020, 98 % of commitment appropriations were implemented according to the final budget and covering all objectives of the Rights, Equality and Citizenship programme. 96 % of the payment appropriations were consumed, covering pre-financing and final payments on pre-2020 commitments still outstanding and 2020 commitments.

In 2021, the payment appropriations will be used to cover pre-financing on 2021 commitments and final payments on pre-2021 commitments still outstanding.

As regards 2022, the payment appropriations will be used to cover final payments on pre-2022 commitments still outstanding and pre-financings on 2022 commitments.

Due to the Covid-19 crisis, the deadline of all calls for proposals for action grants, originally planned for the course of the month of April 2020, was extended by two weeks, with the good result of having received a number of applications in line with past years. However, many individual beneficiaries of the REC programme contacted DG JUST to seek solutions to the COVID-crisis related difficulties such as the necessity to cancel or postpone long planned activities such as conferences, meetings, missions or launching events for studies undertaken under their EU grant. For all the cases, DG JUST found solutions to accommodate beneficiaries on a case-by-case basis and to ensure, via individual contract amendments, that their grant would continue despite the lockdown-related difficulty or impossibility to execute the work programmes as defined in the grant agreements. A total of 262 amendments were signed in 2020 compared to 96 in 2019.

### Cumulative implementation rate for the Europe for Citizens programme for 2014-2020:

	Commitments	Payments
Implementation Voted budget	195 291 160	156 634 931
Implementation Carry-overs	0	1 187 332
Implementation total	195 291 160	157 822 263
total envelop*	195 501 935	
cumulative implementation rate	100%	81%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

#### 100 % in CA and 81 % in PA

In 2020, 100 % of commitment appropriations were implemented by the EACEA according to the final budget and covering both strand of the Europe for Citizens programme. 100 % of the payment appropriations were consumed, covering pre-financing and final payments on pre-2020 commitments still outstanding and 2020 commitments.

In 2021, the payment appropriations will be used to cover pre-financing on 2021 commitments and final payments on pre-2021 commitments still outstanding.

As regards 2022, the payment appropriations will be used to cover pre-financing on 2022 commitments and final payments on pre-2022 commitments still outstanding.

The Europe for Citizens programme was affected by the COVID-19 crisis. By 9 April 2021, 271 amendment requests were submitted, most of them related to the extension of the eligibility period. This significant number of amendments signed following requests for extending the duration of contracts due to the COVID-19 crisis will mechanically lead to delayed budgetary execution of the corresponding payment credits.

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.3. Previous programme performance

#### *Rights, Equality and Citizenship*

The Rights, Equality and Citizenship (REC) Programme provided around EUR 430 million in the period 2014-2020 in support of actions promoting justice and fundamental rights. These actions included trainings, seminars and mutual learning events, research

and studies, awareness raising and media campaigns to the ultimate benefit of EU citizens. The Programme succeeded in contributing to the further development of an area where equality and the rights of persons are promoted, protected and effectively implemented.

The REC Programme allowed for the implementation of policies that address essential needs in people's lives. It co-financed, since 2014 until 2020, more than 900 projects, to promote non-discrimination, the rights of the child, rights of persons with disabilities, EU citizenship rights and data protection, as well as to fight gender-based violence and intolerance. These projects supported trainings and capacity-building activities as crucial instruments to ensure that discrimination on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation was prohibited. The average contribution for a single project was around EUR 350.000, usually representing 80% of the total cost of the action. Belgium, Italy, Greece, Germany and Spain were the top participating country in the Programme.

During its period of implementation, more than 800 organisations across Europe received financial support from the Programme. Funding was distributed across different beneficiaries as 70% of the budget of the calls for proposals was granted to a one-time participation of an organisation. The beneficiaries were mostly civil society organisations and public authorities. Via trainings and the share of best practices, projects contributed to better implementation of existing EU legislation in the Member States, such as support for victims of hate crime and hate speech incidents as well as preventing and countering online hate speech. Through analytical studies, education and awareness raising activities, funded projects fostered the implementation of the code of conduct on countering illegal hate speech online agreed between the Commission and online platforms, as well as enhanced the understanding of the phenomenon and developed effective positive narratives.

Calls for proposals were in general highly successful, with a high number of applications received which in turn guaranteed a selection of good quality projects, for a full consumption of the budget available. In particular, three calls for proposals were outperforming, both in terms of quantity and quality: for actions to combat violence against women and children, to fight racism and to promote non-discrimination.

As evidenced by the interim evaluation report, the Programme has been relevant in contributing to the promotion of EU values, such as the respect for human dignity, fundamental rights, non-discrimination, tolerance, solidarity and gender equality and in reinforcing and supporting the development of a stronger EU citizenship. More than 80% of beneficiaries indicated that funding received was effective to a high extent, as the intervention strategy of the Programme was highly relevant in tackling and meeting the needs of its stakeholders and beneficiaries, e.g. in terms of knowledge development, training, awareness raising and structural support. In addition, over 70% of the Programme beneficiaries participating in the interim evaluation also considered that the Programme has been highly relevant and very effective in targeting the right policy areas and the most relevant target groups. In this context, the Programme provided support to legislative and policy processes for the EU accession to the Council of Europe Convention on preventing and combating violence against women, and supported the Commission's proposal for the women on boards Directive, funding trainings and awareness raising activities to improve gender balance in economic decision-making positions at all levels.

The Programme also supported 23-EU level network organisations that contributed to the promotion of justice, equality and fundamental rights across Europe. As umbrella networks, each representing between 10 and 600 grass-roots based organisations, they developed targeted communication campaigns, organized trainings and mutual learning activities, mobilizing activists to raise awareness on EU citizenship rights, to fight gender-based violence and strengthen data protection. For instance, networks were crucial in scaling-up the Programme funded awareness-raising campaign #SayNoStopVAW.

The main challenge for the last year of implementation of Rights, Equality and Citizenship Programme was ensuring the transition and visibility to the new Citizens, Equality, Rights and Values Programme (2021-2027). Another major challenge was the limited funds at disposal as compared to the increase of emerging needs from the ground. Overall, in these years, the Rights, Equality and Citizenship Programme has demonstrated its high EU added value both in its positive impact on participants and target groups and in its role as a complement to other EU funding instruments and policy initiatives. Projects were funded also by looking at the complementarity with other ongoing EU funded actions. In particular, the REC programme has shown a high added value as in absence of EU funding the projects carried out would not have taken place, due to lack of resources at national level. Interventions funded were seen as generating better results and more benefits than those funded through national/local interventions, mainly because their transnational dimension, the higher flexibility, and their higher quality and innovation as compared to projects funded at the national level. In the last year, due to the COVID-19 crisis, the Commission found solutions to accommodate REC beneficiaries on a case-by-case basis to ensure, via individual contract amendments, that their grant would continue despite the lockdown-related difficulty or impossibility to execute the work programmes as defined in the grant agreements.

### ***Europe For Citizens***

The Europe for Citizens programme played a positive overall role in encouraging civic participation and democratic engagement, while strengthening the sense of belonging together and supporting mutual understanding and identification with Europe, thereby helping to support the European integration process in the longer term. By working directly with citizens, the programme offered a forum for involving European citizens through a grassroots approach. In the area of European remembrance, the Europe for Citizens programme added value to the debates by encouraging exchange beyond national boundaries and promoting a European vision of history. Europe for Citizens offered a new approach through the development of activities linking remembrance with civic participation and democracy.

As evidenced by the mid-term evaluation, Europe for Citizens has successfully demonstrated its added value at EU level both in terms of its impact on participants and its complementary role to other EU funding programmes and policy initiatives in the fields of education, culture and EU citizenship. Aspects which have been identified for improvement mostly relate to increasing the programme's visibility, amending the monitoring indicators and strengthening the synergies with other relevant EU funding programmes and initiatives.

The analysis of the data obtained on the basis of indicators show that the Europe for Citizens programme achieved its objectives. In a challenging political, social and economic climate, the programme contributed to foster the civic engagement of citizens across Europe. It encouraged people to participate more actively in the development of the EU and promoted European fundamental values such as tolerance, solidarity and non-discrimination, through action and operating grants. A large number of projects directly addressed current political and societal issues such as migration, democracy and rule of law. The rise of Euroscepticism experienced over the years in the EU highlights the relevance of the programme and the need to encourage the development of a shared sense of European identity. Against this background, the programme offered a public forum giving people the opportunity to express their ideas about the future of Europe through a grassroots approach.

Through the European remembrance strand, the programme helped raise awareness of European historical memory and remembrance, including through the development of activities linking remembrance with civic participation and democracy in the broadest sense. In the area of town twinning, the programme achieved results by increasing and encouraging mutual understanding and friendship between citizens at a local level. Networks of towns complemented the traditional town twinning measure by offering towns and municipalities the opportunity to develop larger-scale projects with the aim of increasing their projects' impact and sustainability. The programme targeted civil society organisations through operating grants and civil society projects. The participation of stakeholder organisations in the programme influenced their perceptions of Europe. Most participating organisations noted positive effects on their knowledge of Europe and were committed to becoming more engaged with civil society.

In 2020, the Europe for Citizens programme was implemented all together in 33 eligible participating countries: 27 Member States and 6 other participating countries, i.e. Albania, Bosnia-Herzegovina, Montenegro, Serbia, Northern Macedonia and Kosovo.

Out of 1 761 applications received, 419 projects were selected, and around 1 250 000 participants were expected to be involved in the activities of the programme. The number of projects funded, as well as the number of participants that has been continuously increasing since 2014 suggests that the programme has contributed to the achievement of its general objectives.

For both strands, the available budget has been spent at a relatively even rate each year. The high number of direct and indirect participants reached by Europe for Citizens projects illustrates that the programmes has been effective at a relatively low cost. As regards sustainability of the programme's results, projects created long-lasting relationships between partners who in many cases continued to engage in further civic activities after the end of the project.

Since 2017, the 'Europe for Citizens' programme has greatly contributed to the implementation of the European Citizens' Initiative, fostering citizens' participation in the democratic life of the European Union. The programme has most notably supported the development and maintenance of the IT tools supporting the European Citizens' Initiative, as well the initiation and implementation of communication and guidance activities. The dedicated communication campaign to raise awareness of the European Citizens' Initiative led to a significant increase in the number of European citizens' initiatives compared to the years prior to the start of the campaign.

As indicated in section 2, the Europe for Citizens programme was affected by the COVID-19 crisis. This resulted in delays in implementing a certain number of projects. However, this should not impact the overall performance of projects. Where possible, projects changed their onsite events to online or hybrid meetings while staying in line with planned themes and content which impacted the schedule less heavily. For some projects however this was not an option and they had to delay the projects until sanitary conditions would allow for physical meetings in order to deliver quality results.

## 3.2. Key achievements

### *Rights, Equality and Citizenship*

31%	81%	27	96%	131
Percentage of women among non-executive directors on boards of listed companies (in 2020, from 16% in 2014)	Percentage of Europeans who consider themselves as well or very well informed of the rights they enjoy as citizens of the Union (in 2020, from 32% in 2014)	Number of Member States that set up structural co-ordination mechanisms with all stakeholders, including Roma, on the implementation of the National Roma	Percentage of people that consider that domestic violence against women is unacceptable (in 2018, from 84% in 2014)	Number of grants awarded to prevent and combat racism, xenophobia, homophobia and other forms of intolerance (in the period 2014-2020)

		Integration Strategies (in 2020)		
--	--	----------------------------------	--	--

*Specific Objective 1: to promote the effective implementation of the principle of non-discrimination on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation, and to respect the principle of non-discrimination on the grounds, provided for in Article 21 of the Charter*

The Programme supported actions that aimed at promoting non-discrimination on the grounds of religion or belief, age, disability and sexual orientation, funding transnational activities and civil society organizations. It financed actions that supported the implementation of the LGBTI List of actions as well as numerous initiatives that promoted diversity management and contributed to the effective monitoring and enforcing of non-discrimination legislations. In particular, it also contributed to the promotion of Roma integration and fighting discrimination against Roma and antigypsyism through supporting the work of National Roma Platforms, National Roma Contact Points and civil society organizations active on the area of nondiscrimination and Roma integration. The Programme supported the activities of the European Network of Equality Bodies in order to strengthen the cooperation and exchange of information between the National Equality Bodies in promoting and protecting rights and implementing the EU anti-discrimination legislation, including Commission Recommendation on standards for equality bodies and to improve the collection of equality data.

The Programme financed more than 30 projects every year to combat discrimination on multiple grounds and promote equality. For instance, ‘TOY for Inclusion’, a project implemented in 2017-2018, has been successful in fostering social inclusion for Roma children and families, enhancing social cohesion and improving Roma children’s experience of transition to primary school. Eight community-based early childhood education and care play hubs were opened, building relationships between Roma and non-Roma young children and their families, where interaction is supported in safe play spaces across all generations. About 3.200 children took part in the play hub activities, out of which around 35% were of Roma origin, and about 80 workshops and info sessions were held, including parenting support, intergenerational activities, handcraft and toy-making.

*Specific objective 2: to prevent and combat racism, xenophobia, homophobia and other forms of intolerance*

Considering the worrying increase of intolerance in our societies, the Programme has helped advancing the Commission’s work on preventing and combating racism and xenophobia. It has served to strengthen the capacity of national authorities in improving responses to racist hate crime and hate speech online, as well as to better support victims. Since 2014, it has supported more than 135 projects that have contributed to preventing and countering racist speech online and racism in the media, fostering tolerance and mutual respect and dialogue. ‘Facing all the facts’, developed online training modules targeted at public authorities, ‘Good Practice Plus’ created a toolkit for law enforcement officials and prosecutors in the partner countries, and ‘EStAR’ successfully established a network of EU experts on victims’ support. The funded activities supported the protection of refugees and migrants against the surge of populism, extremism and intolerance.

In the last years of its implementation, the Programme contributed to the effective implementation of the Code of conduct on countering illegal hate speech online, as well as enhanced the understanding of the phenomenon and fostered positive narratives through education campaigns and awareness raising activities. Projects such as ‘INACH’ and ‘SCAN’ contributed actively to the Commission-led regular monitoring exercises on the implementation of the Code of conduct. The Programme assisted public authorities in developing a common methodology on collecting data on hate crime and hate speech. Ultimately, it supported the work of the Commission’s coordinators on combating Antisemitism and anti-Muslim hatred, with a view to increase resilience and empower individuals and communities, affected by manifestations of racism, xenophobia and other forms of intolerance.

*Specific objective 3: to promote and protect the rights of persons with disabilities*

The programme supported the implementation of the European Disability Strategy 2010-2020 and the preparation of the new strategy on the rights of persons with disabilities for the period 2021-2030. It notably aimed to help people with disabilities to travel more easily between EU countries (assessment of the European Disability Card) and raised awareness through the organisation of ad-hoc campaigns (for example on Discrimination in the workplace #EuvsDiscrimination) and annual events such as the European Day of Persons with Disabilities conference and the European Access City Award. The European Disability Card helps people with disabilities to travel more easily between EU countries, by putting in place a system of mutual recognition of disability status. The Card ensured an equal access to certain specific benefits, mainly in the areas of culture, leisure, sport and transport. By piloting this Card since 2016, the REC programme concretely contributed to a more equal and inclusive European Union.

Through the organisation of the Access City Award, the Programme recognised leading European cities in terms of accessibility, promoting cities that contribute(d) to improve accessibility following a ‘design-for all’ approach, so that everybody has equal access to all the resources and venues cities have to offer, regardless of their age or disability.

The Programme also provided every year operating grants to 7 major EU-level networks of disability organisations, such as the European Disability Forum and those organised by impairment groups, blind, deaf, etc. These networks implemented a wide range of activities, from awareness raising campaigns to building capacity to support the development of equality policies or disability indicators for data collection. In 2020, the Programme also awarded 3 action grants, funding EU-wide projects related to

employment, assistive technologies and persons with visual impairment. Overall, the Programme increased awareness and bettered the implementation of the rights of people with disabilities leading to a reduction of barriers, to their full participation in society and enjoyment of their rights.

*Specific objective 4: To promote equality between women and men and to advance gender mainstreaming*

Closing gender gaps and eliminating discrimination and inequalities are key to the advancement of gender equality. The Programme promoted gender equality on the basis of Strategic Engagement for Gender Equality 2016-2019, European Pact for Gender Equality (2011-2020) and in line with the gender pay gap action plan as well as the initiative on work-life balance for working parents and carers. Since 2014, it has supported more than 85 projects that contributed to narrowing gender gaps over the life cycle and ensured equal participation of women and men in public fora, in leadership positions, in politics and in the corporate sector. Funded projects fostered the implementation of EU gender equality policies, such as the Directive on work-life balance for parents and carers.

For instance, the project ‘WELP – Women’s Empowerment in Leadership Positions’ promoted gender balanced representation on corporate boards and high-level executive positions by empowering senior women at all levels, through activities improving their skills/knowledge. The project tracked the representation of women on the boards of the Euro 600 Index through the publication of an Index analysing and measuring progress or regress in these companies. Funding under this objective also aimed at tackling gender stereotypes in educational and career choices and addressing the unequal share of unpaid care work between women and men. In addition, the REC programme supported the annual activities of European Networks active in the area of equality between women and men. Within this frame, European Women’s Lobby undertook advocacy activities for the empowerment of women and girls and to reducing the gender inequalities in politics.

*Specific Objective 5: to prevent and combat all forms of violence against children, young people and women, as well as violence against other groups at risk, in particular groups at risk of violence in close relationships, and to protect victims of such violence*

Preventing and combating all forms of violence against women, young people and children – the most funded specific objective (known by the stakeholders as ‘Daphne’) has been a success for twenty years now, both in terms of its popularity and effectiveness of the funded actions. The protection and support standards for victims of violence have improved. This is observed indirectly through the higher reporting of violence in the Member States, the lower acceptance of violence in the society and better victims’ services in place.

The Programme has funded projects to raise awareness, to provide support services to victims, to support the activities of civil society organisations working on the ground. It has addressed all forms of violence, such as domestic violence, sexual violence, trafficking in human beings, stalking and traditional harmful practices such as female genital mutilation, as well as new emerging forms of violence such as cyber-bullying and online harassment. More than 30 grants were awarded every year. For example, the ‘We Go II Building Economic Independence: the way out of Intimate Partner Violence’ project aimed at supporting the economic empowerment of women survivors of intimate partner violence by strengthening the local and national support systems, exchanging European good practices and establishing cooperation networks between private and public stakeholders.

A social media campaign "#SayNoStopVAW" has been funded by the REC programme to raise awareness and take a clear stand against violence against women. The campaign’s dedicated website includes testimonials from funded projects, information material and contacts to national support services. Through the campaign, the Commission reached out to target groups and stakeholders both directly and through social media promotion. Overall, the funded projects helped protecting and supporting the most vulnerable victims of violence through developing empowerment and intervention programmes that equipped women and men with the tools to call out and stand up to violence as bystanders and become role models in the fight against gender-based violence. Perpetrators of violence were also supported through prevention programmes in order to prevent them from offending again.

*Specific objective 6: to promote and protect the rights of the child*

The Programme strongly promoted the rights of the child as well as the prevention of and responses to violence against children. Actions in the area of the rights of the child have supported the promotion of child-friendly justice and, in particular, the protection of vulnerable children (like children leaving foster care systems and children in conflict with the law), through capacity building activities for integrated child protection systems. For instance, the project ‘Promise II’ contributed to adopting Barnahus standards in providing support to child victims and witnesses of violence in many EU Member States. Funding for protecting the rights of the child was also focused on child participation in the EU democratic and political life. The Programme supported the design and the implementation of different mechanisms and structures that ensured the rights of children were considered in the decision-making process, particularly on issues that matter to them.

Thanks to its flexibility, the Programme could also adapt to respond to the challenging migration situation. In this context, protection of rights of unaccompanied and separated children in migration was promoted via various projects funded by the Programme focusing on capacity building for professionals working directly with children (e.g. lawyers) and through the project

‘Touchstone’ which aimed at establishing the European Guardianship Network. Additionally, a database of promising practices on the protection of children in migration was developed. These targeted actions improving the situation of children in migration followed the policies agreed in the 2017 Commission Communication and in the Council Conclusions on the protection of children during all phases of migration (identification, reception, implementation of procedural safeguards and durable solutions).

*Specific objective 7: to contribute to ensuring the highest level of protection of privacy and personal data*

Following the entry into application of the General Data Protection Regulation (GDPR) and the data protection Law Enforcement Directive, the Programme contributed to the implementation in Member States of these new legislations. In particular, the programme supported national data protection authorities in raising awareness among individuals and business stakeholders, and in facilitating compliance of small and medium-sized enterprises with the General Data Protection Regulation, via general communication campaigns in local languages, local seminars in capitals and smaller towns, publication of brochures, videos on websites and international conferences. Since 2016, the programme has supported 26 projects, which increased knowledge and understanding among business and general public about data protection rules. Targeted training sessions in different European Economic Area countries for lawyers, Data Protection Officers, and local public authorities’ representatives have been organised. A successful GDPR promotional campaign was launched in 2019, which resulted into 1.7 million visits to the GDPR Portal, representing 5.6 % of all visits to Commission websites. The Programme has also supported the EU data protection reform through studies on key aspects of the legislation, building a network of Member States’ experts, supporting the functioning of the network of national Data Protection Authorities.

*Specific objective 8: to promote and enhance the exercise of rights deriving from citizenship of the Union*

To promote and enhance the exercise of rights deriving from citizenship of the Union, the Programme supported more than 29 projects during the period 2014-2020. Funded projects increased awareness concerning the rights of Union citizenship and the associated EU common values, as well as fostered the successful inclusion and political participation of mobile EU citizens in civic and political life. The Programme funded the Network of Academics, which provided advice on related policies of EU citizenship, their implementation in EU Member States and third countries of relevance. To support the integrity of free and fair elections in Europe, the preservation of democratic institutions and foster citizens’ participation, the Programme provided regular support to the national cooperation networks, responsible for bringing together the national authorities and bodies involved in elections.

*Specific objective 9: see “Single Market Programme” Programme Statement*

#### **Europe For Citizens**

976 331	1 180 000	419	2378	28
The number of persons directly reached by the Programme in 2020	The number of persons indirectly reached by the Programme in 2020	The number of selected projects in 2020	The number of partner organisations involved in selected projects in 2020	European citizens’ initiatives were registered between 2018 and 2020

The Europe for Citizens programme played a positive overall role in encouraging civic participation and democratic engagement, while strengthening the sense of belonging together and supporting mutual understanding and identification with Europe, thereby helping to support the European integration process in the longer term. By working directly with citizens, the programme offered a forum for involving European citizens through a grassroots approach. In the area of European remembrance, the Europe for Citizens programme added value to the debates by encouraging exchange beyond national boundaries and promoting a European vision of history. Europe for Citizens offered a new approach through the development of activities linking remembrance with civic participation and democracy.

#### **Project examples**

Project Title: ‘Heart of Europe’ – One example of a network of towns

The project ‘Heart of Europe-network of towns promoting heart culture, solidarity and integration’ coordinated by the Slovenian organisation DRUSTVO ZA NARAVNO UCENJE Z DOZIVLJANJEMUMETNOSTI IN NARAVE GLEDALISCE KOLENC brought together 14 partners’ organizations from 8 countries. The project has involved more than 830 direct participants during 6 international events and over 2000 estimated indirect participants during the whole duration of the project. The event addressed the problems of youth unemployment, globalization, immigration, European citizenship, Euroscepticism and stigmatization of migrants. Through discussions, guided workshops, and presentations, possible strategies were presented to cope with youth unemployment to promote active volunteering and art. The most important achievement was the creation of eight permanent and sustainable international cultural heart points. In each participating country, creative centers (‘heart points’) were established. Partners of network explored different approaches of artistic expressions with the goal to contribute to common European identity and promote EU values as cultural diversity and mutual understanding.

Project title: AUGmented Europe – One example of a civil society project

The project “AUGmented Europe” coordinated by the Italian organisation “Meet digital Communication” in partnership with Latvian, German and Greek partner organisations used digital technologies to foster the active participation of youth in the political debate on the future of EU. It put into place ‘augmented spaces’ through traditional media content and social networking. This allowed young people to gather, share ideas and co-create joint scenarios with the aim of reaching a renewed sense of European belonging. Selected youngsters were trained to facilitate remote participation. The events focussed on European challenges (immigration and social inclusion, climate change, the growing of nationalisms and poverty) and aimed at releasing creative policy recommendations to tackle these challenges. A final event was meant to put the project’s results on stage simultaneously in 4 cities (Milan, Riga, Berlin, and Thessaloniki) involving the urban population, young people, citizens and policy makers.

Project Title: ‘1918: At the end of a war. The outcome of the First World War in seven European homelands’ – One example of a European remembrance project

‘1918: At the end of a war. The outcome of the First World War in seven European homelands’ carried out by the ‘Opladener Geschichtsverein von 1979 e.V. Leverkusen’ contributed to a deeper understanding of the meaning and consequences of war in general and the First World War in particular, at a local level as well as in a comparative perspective across Europe. It portrayed the end of the First World War and the new beginnings after the war in seven European regions, notably Jülich, Leverkusen and Schwedt (Germany), Bracknell (United Kingdom), Ljubljana (Slovenia), Raciborz (Poland) and Villeneuve d’Ascq (France). The results were presented in the exhibition in Leverkusen, accompanied by a diverse programme of lectures, discussions and guided tours. Additionally, the book ‘Kriegsenden in europäischen Heimatzen’ and the exhibition catalogue ‘The ends of the war in European homelands’ in English, German and French were published.

As of 2017 the Europe for Citizens programme provided support to boost the implementation of the European Citizens’ Initiative. The funding from the Europe for Citizens programme allowed to build the central system for online collection of signatures and operating the collaborative platform ‘European Citizens’ Initiative Forum’. The communication campaign, since 2018, has clearly contributed to the overall increase of registrations in the last 3 years (28 registrations between 2018 and 2020). Overall, 75 European citizens’ initiatives were registered since 2012 (until the end of 2019). In 2020, 5 new initiatives were registered. The number of registrations was lower than in 2019 (16), which probably was due to the COVID-19 pandemic. Two new successful initiatives were submitted to the Commission after having collected at least 1 million statements of support, bringing the total number of successful initiatives to 6.

### 3.3. Evaluations, studies and reports

#### *Rights, Equality and Citizenship*

The key findings of the latest evaluation (interim evaluation)<sup>15</sup> have been presented in the Programme Statements 2021. The implementation of the Programme in 2020 confirmed these findings, whereby the intervention of the programme is relevant to contributing to the promotion of relevant EU values, such as non-discrimination and gender equality. As evidenced by the interim evaluation, the Programme has been performing generally well with regard to its specific objectives in terms of effectiveness, efficiency, relevance, coherence/complementarity/synergies and EU added value. In particular, the Programme has demonstrated its high EU added value both in its positive impact on participants and target groups and in its role as a complement to other EU funding instruments and policy initiatives. The work on the ex-post evaluation of the Programme, assessing the results and its long-term impact commenced at the end of 2020 and it will be finalized within 2021.

#### *Europe For Citizens*

The key findings of the latest mid-term evaluation of the implementation of the Europe for Citizens programme 2014-2020 (SWD(2018)86 –see: [https://ec.europa.eu/home-affairs/news/europe-for-citizens-programme-results-mid-term-evaluation\\_en](https://ec.europa.eu/home-affairs/news/europe-for-citizens-programme-results-mid-term-evaluation_en) were already presented in the Programme Statement 2019.

The mid-term evaluation confirms the programme’s use in promoting civic participation, strengthening the sense of belonging together and supporting mutual understanding. The programme’s structure, with two strands and a cross-cutting measure on valorisation has proved to work efficiently and both operating and action grants have helped deliver the desired outcomes. Europe for Citizens has demonstrated its added value at EU level both in its impact on participants and its role as a complement to other EU funding programmes and policy initiatives in the field of education, culture and EU citizenship.

## **4. Programme 2021-2027 - Key monitoring indicators**

### **Specific Objective 1 :Protect and promote Union values**

#### **Indicator 1:People reached by training activities**

<sup>(15)</sup> [Report COM/2018/508](#) on the interim evaluation of the implementation of the Rights, Equality and Citizenship Programme 2014-2020  
Citizenship, Equality, Right and Values

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives of the programme. This indicator is useful to tell about : • the increase of knowledge of Union law and policies as well as of the rights and values underpinning the Union; • the increase of understanding of the situation in Member States and in participating countries;
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: People reached by mutual learning and exchange of good practices activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. Mutual learning and exchanges of good practices between professional and citizens of participating countries will contribute to improving knowledge and understanding of Union law and policies, of potential obstacles to the exercise of rights and to promoting cross-border cooperation and enhancing mutual trust.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: People reached by awareness raising, information and dissemination activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. This indicator is useful to tell about the improved awareness of the public, the policy makers and the relevant practitioner of Union law and policies as well as of the rights, values and principles underpinning the Union.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.

Full metadata available at this address	
Justification of the trend	

**Indicator 4: Civil society organisations reached by support and capacity building activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives/strands of the programme. This indicator is useful to tell about the support dedicated to civil society organisations active in the areas of the programme at European, national regional and local level.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 : Promote rights, non-discrimination, equality, including gender equality, and advance gender and non-discrimination mainstreaming; (Equality, Rights and Gender Equality strand)****Indicator 1: People reached by training activities Support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives of the programme. This indicator is useful to tell about : • the increase of knowledge of Union law and policies as well as of the rights and values underpinning the Union; • the increase of understanding of the situation in Member States and in participating countries.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: People reached by mutual learning and exchange of good practices activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. Mutual learning and exchanges of good practices between professional and citizens of participating countries will contribute to Citizenship, Equality, Right and Values

	improving knowledge and understanding of Union law and policies, of potential obstacles to the exercise of rights and to promoting cross-border cooperation and enhancing mutual trust.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: People reached by awareness raising, information and dissemination activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. This indicator is useful to tell about the improved awareness of the public, the policy makers and the relevant practitioner of Union law and policies as well as of the rights, values and principles underpinning the Union.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Civil society organisations reached by support and capacity building activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives/strands of the programme. This indicator is useful to tell about the support dedicated to civil society organisations active in the areas of the programme at European, national regional and local level.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 : Promote citizens engagement and participation in the democratic life of the Union and exchanges between citizens of different Member States and to raise awareness of the common European history (Citizens' engagement and participation strand)****Indicator 1: People reached by training activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives of the programme. However, for specific objective “Citizens engagement and participation”, the indicator will only apply to civil society projects (see other methodological comments). This indicator is useful to tell about : • the increase of knowledge of Union law and policies as well as of the rights and values underpinning the Union; • the increase of understanding of the situation in Member States and in participating countries.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. Regarding specific objective “Citizens engagement and participation”, the indicator will be used to count participants in training activities implemented by civil society projects. Participants in town-twinning projects, network of town projects and remembrance and heritage initiatives will be counted using the indicator "people reached by mutual learning and exchanges of good practices activities". Activities undertaken by town-twinning projects, network of town projects and remembrance and heritage initiatives are indeed considered to be mutual learning.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: People reached by mutual learning and exchange of good practices activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. Mutual learning and exchanges of good practices between professional and citizens of participating countries will contribute to improving knowledge and understanding of Union law and policies, of potential obstacles to the exercise of rights and to promoting cross-border cooperation and enhancing mutual trust.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. For specific objective “Citizens participation and engagement” it might be difficult and disproportionate for project beneficiaries of very small grants to collect sex disaggregated data. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: People reached by awareness raising, information and dissemination activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. However, for strand / specific objective “Citizens engagement and participation”, the indicator will only apply to civil society projects (see other methodological comments). This indicator is useful to tell about the improved awareness of the public, the policy makers and the relevant practitioner of Union law and policies as

	well as of the rights, values and principles underpinning the Union.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. Regarding specific objective "Citizens engagement and participation" this indicator will be used to count participants in awareness raising, information and dissemination activities civil society projects may organise. Participants in town-twinning projects, network of town projects and remembrance and heritage initiatives will be counted using the indicator "people reached by mutual learning and exchanges of good practices activities". Activities undertaken by town-twinning projects, network of town projects and remembrance and heritage initiatives are indeed considered to be mutual learning. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Civil society organisations reached by support and capacity building activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives/strands of the programme. This indicator is useful to tell about the support dedicated to civil society organisations active in the areas of the programme at European, national regional and local level.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Transnational networks and initiatives focusing on European memory and heritage as a result of programme intervention

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of "action" supported by it: • transnational networks of towns and town twinnings; • projects and organisations focusing on European memory and heritage. An action can be in the form of an action grant or an operating grant; it includes a set of activities.
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to the strand/specific objective "to promote citizens engagement and participation in the democratic life of the Union and exchanges between citizens of different Member States and to raise awareness of the common European history". Co-ordinated transnational mutual learning activities implemented by transnational networks of towns and town twinnings and by European memory and heritage initiatives are necessary to promote exchanges between citizens of different countries on the wealth and diversity of the common heritage of the Union and to make them aware that these constitute the foundation for a common future. The above-mentioned objectives can only be reached by enabling individual citizens, towns and citizens' associations to interact, build capacity and exchange experiences at a transnational level. Action at national and local levels alone would be insufficient and ineffective.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be calculated for strand/specific objective "Citizens engagement and participation" only.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :Fight violence, including gender-based violence (Daphne strand)****Indicator 1:People reached by training activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives of the programme. This indicator is useful to tell about : • the increase of knowledge of Union law and policies as well as of the rights and values underpinning the Union; • the increase of understanding of the situation in Member States and in participating countries.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:People reached by mutual learning and exchange of good practices activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. Mutual learning and exchanges of good practices between professional and citizens of participating countries will contribute to improving knowledge and understanding of Union law and policies, of potential obstacles to the exercise of rights and to promoting cross-border cooperation and enhancing mutual trust.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible.All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

**Indicator 3:People reached by awareness raising, information and dissemination activities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Number of persons
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objective of the programme. This indicator is useful to tell about the improved awareness of the public, the policy makers and the relevant practitioner of Union

	law and policies as well as of the rights, values and principles underpinning the Union.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator will be broken down per sex whenever possible. All the core performance indicators which measure a number of persons participating in the funding activities are defined as results indicators. Indeed one of the aims of the programme is to raise awareness and increase cooperation therefore we consider that the number of the persons involved is a direct result of the programme.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Civil society organisations reached by support and capacity building activities

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	EC DG JUST.
Link to the objective	This indicator is linked to all the specific objectives/strands of the programme. This indicator is useful to tell about the support dedicated to civil society organisations active in the areas of the programme at European, national regional and local level.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : Rights, Equality and Citizenship programme

**General Objective 1 :to contribute, to the further development of an area where equality and the rights of persons as enshrined in the Treaty on European Union, in the Treaty on the Functioning of the European Union, in the Charter of Fundamental Rights of the European Union and in the international human rights conventions to which the Union has acceded, are promoted, protected and effectively implemented**

#### Indicator 1: progress towards equal participation in the labour market

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Female employment rate 20-64 age group										
2012	Milestones									2020
				68%			71%			71%
62,4%	Actual Progress									Final
	63,50%	64,30%	65,30%	66,40%	67,6%	67,4%	66,1%			66,1%
Employment rate of people with disabilities										
2013	Milestones									2020
				50%			55%			55%
48,5%	Actual Progress									Final
	48,70%	47,40%	48,1%	50,6%	52%					52%
Gender pay gap										
2013	Milestones									2020
				15%			14%			14%
16,8%	Actual Progress									Final
	16,70%	16,30%	16,20%	16%	15%	14,1%				14,1%
Percentage of women among non-executive directors on boards of listed companies										
2011	Milestones									2020
				30%			40%			40%
16,2%	Actual Progress									Final
	20,20%	22,70%	26,10%	27,90%	29,30%	31,4%	31%			31%

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage and rate
Cut-Off Date	08/02/2021
Data source	Eurostat, Eurostat European Union Statistics on Income and Living Conditions (EU SILC) 2018 and European Institute Gender Equality (EIGE), gender statistics database.
Narrative	Target: Female employment rate 20-64 age group: 75% (for both women and men), Europe 2020 headline target; 71% for women. Target: Employment rate of people with disabilities 55% for both women and men, Europe 2020 headline target. Target: Gender pay gap 14%, Europe 2020 headline target. Target: Percentage of women among non-executive directors on boards of listed companies, Europe 2020 headline target.
Methodology	Quantitative and qualitative methodology. For instance, gender pay gap is calculated as the difference in average gross hourly earnings between women and men. It is based on salaries paid directly to employees before income tax and social security contributions are deducted. Only companies of ten or more employees are taken into account in the calculations.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	Concerning the employment rate of people with disabilities, the Eurostat EU SILC 2018 report shows that for EU 28 in 2018: 52% employment rate for persons with disabilities as compared to 76.2% of those without disabilities and for EU 27 in 2018: 50.8% employment rate for persons with disabilities as compared to 75% of those without disabilities. It should be noted that persons with disabilities living in institutions are not included in these statistical data.
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/databrowser/view/LFSQ_ERGAN_custom_159206/default/table?lang=en">https://ec.europa.eu/eurostat/databrowser/view/LFSQ_ERGAN_custom_159206/default/table?lang=en</a> <a href="https://www.disability-europe.net/downloads/1046-edc-task-2-1-statistical-indicators-tables-eu-silc-2018">https://www.disability-europe.net/downloads/1046-edc-task-2-1-statistical-indicators-tables-eu-silc-2018</a> <a href="https://ec.europa.eu/eurostat/statistics-explained/index.php/Gender_pay_gap_statistics">https://ec.europa.eu/eurostat/statistics-explained/index.php/Gender_pay_gap_statistics</a> <a href="https://eige.europa.eu/gender-statistics/dgs/indicator/eustrat_segel619_eqldcsn_wmid_comp_compex/bar/year:2020-B1/geo:EU28_EU27_2020/EGROUP:COMP/NACE:TOT/POSITION:NON_EXEC/UNIT:PC/sex:W">https://eige.europa.eu/gender-statistics/dgs/indicator/eustrat_segel619_eqldcsn_wmid_comp_compex/bar/year:2020-B1/geo:EU28_EU27_2020/EGROUP:COMP/NACE:TOT/POSITION:NON_EXEC/UNIT:PC/sex:W</a>
Justification of the trend	There has been a moderate progress on the female employment rate 20-64 age group for the entire period of programme implementation. The progress was characterized by a steady increase until 2018 that was followed by a slight drop in the preceding years. Similarly, there has been an increase by more than 14% in the percentage of women among non-executive directors on boards of listed companies. However, there are not recent data on the progress of gender pay gap, the last available data indicate a narrowing of the gap by 1,8 %. Lastly, the progress on the employment rate of people with disabilities has been quite moderate.

### Indicator 2: percentage of Europeans who consider themselves as well or very well informed of the rights they enjoy as citizens of the Union

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
32%				54%			51%			51%
	Actual Progress									Final
		42%		54%	55%		81%			81%

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of people out of total number of people interviewed
Cut-Off Date	31/07/2020
Data source	Flash Eurobarometer 485: Report EU citizenship and democracy (July 2020)
Narrative	Target: percentage of Europeans who consider themselves as well or very well informed of the rights they enjoy as citizens of the Union 51 %, Europe 2020 headline target.
Methodology	Combined qualitative and quantitative methods
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	Data from Flash Eurobarometer (2015) and are not included in the Standard Eurobarometer.
Full metadata available at this address	<a href="https://data.europa.eu/euodp/en/data/dataset/S2260_485_ENG">https://data.europa.eu/euodp/en/data/dataset/S2260_485_ENG</a>
Justification of the trend	Beyond the target. There has been a significant increase in the percentage of Europeans who consider themselves as well or very well informed of the rights they enjoy as citizens of the Union. The progress has been highly significant, surpassing the set target by 30%.

### Specific Objective 1 :to promote the effective implementation of the principle of non -discrimination on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation, and to respect the principle of non-discrimination on the grounds provided for in Article 21 of the Charter

#### Indicator 1: Share of persons aware of their rights if they fall victims of discrimination

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
37%				55%			70%			70%
	Actual Progress									Final
		45%								

Are we on track	No data
Indicator type	Impact
Unit of measurement	Percentage of people out of total number of people interviewed
Cut-Off Date	31/12/2015
Data source	Flash Eurobarometer 2015
Narrative	Target: victims of discrimination
Methodology	Combined qualitative and quantitative methods, understanding of people's rights and discrimination.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	These data comes from a Flash Eurobarometer in 2015. A more recent Special Eurobarometer in 2019 details on the state of play of perceived levels of discrimination on grounds of religion or belief, age, disability, sexual orientation and ethnicity. However, there was no question about rights' awareness of victims of discrimination. <a href="https://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/survey/getsurveydetail/instruments/special/surveyky/2251">https://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/survey/getsurveydetail/instruments/special/surveyky/2251</a>
Full metadata available at this address	<a href="https://data.europa.eu/euodp/en/data/dataset/S691_232">https://data.europa.eu/euodp/en/data/dataset/S691_232</a>
Justification of the trend	NA - Data not collected anymore.

**Indicator 2: The number of Member States that set up structural co-ordination mechanisms with all stakeholders, including Roma, on the implementation of the National Roma Integration Strategies**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0				22	22		26			26
	Actual Progress									Final
	13	17	21	21	22	22	27			27

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of co-ordination mechanisms
Cut-Off Date	08/02/2021
Data source	European Commission
Narrative	There are 27 appointed National Roma Contact Points, one in each Member State. There are 12 Member States who have established a regular forms of dialogue, such as National Roma Platforms, namely LV, SI, BG, LT, EE, HU, IT, RO, EL, PT, SK and AT.
Methodology	Quantitative methods
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	NA
Full metadata available at this address	<a href="https://ec.europa.eu/info/policies/justice-and-fundamental-rights/combating-discrimination/roma-eu/roma-inclusion-eu-country_en">https://ec.europa.eu/info/policies/justice-and-fundamental-rights/combating-discrimination/roma-eu/roma-inclusion-eu-country_en</a>
Justification of the trend	Target reached

**Indicator 3: The number of applications and grants related to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0					123	120	130			130
	Actual Progress									Final
	286	210	120	99	104	132	117			117
Grants										
2014	Milestones									2020
0					29	30	30			30
	Actual Progress									Final
	18	32	28	32	37	40	34			34

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission

Narrative	The number of applications received and grants awarded for the specific objective
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The target for the number of grants awarded has been surpassed. The target for the number of applications received under this specific objective has been almost reached.

#### Indicator 4: The level of funding requested by applicants and granted in relation to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Requested										
2014	Milestones									2020
0					30 682 000	25 000 000	31 000 000			31 000 000
	Actual Progress									Final
	82 215 025	58 136 622	29 995 504	27 703 368	22 470 239	29 724 961	24 191 940			24 191 940
Granted										
2014	Milestones									2020
0					4 600 000	7 000 000	5 000 000			5 000 000
	Actual Progress									Final
	7 163 532	7 562 114	4 492 601	7 978 000	8 540 885	8 941 632	9 460 234			9 460 234

Are we on track	On track
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the amount of EC contribution requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The target for the level of funding granted to the beneficiaries has been successfully reached and surpassed. The level of funding requested by applicants has been lower than the target aimed for.

### Specific Objective 2 :to prevent and combat racism, xenophobia, homophobia and other forms of intolerance

#### Indicator 1: The number of applications and grants related to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0					223	240	250			250
	Actual Progress									Final
	85	134	70	199	240	159	210			210
Grants										
2014	Milestones									2020
0					20	25	32			32
	Actual Progress									Final
	9	10	14	24	21	25	28			28

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	28/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The total number of applications received and grants awarded for the specific objective
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator. The new indicator will be proportion of funded projects to the total number of applications.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The targets have been nearly attained.

**Indicator 2: The level of funding requested by applicants and granted in relation to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Requested										
2014	Milestones									2020
0	89 600 000   90 000 000   95 000 000									95 000 000
	Actual Progress									Final
	51 222 230	70 368 496	83 608 330	83 597 212	88 420 000	63 761 705	83 895 066			83 895 066
Granted										
2014	Milestones									2020
0	7 000 000   7 000 000   7 000 000									7 700 000
	Actual Progress									Final
	5 203 107	5 347 131	4 898 998	6 860 000	9 025 487	8 347 156	9 413 035			9 413 035

Are we on track	On track
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the level of funding requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The target for the level of funding granted to the beneficiaries has been successfully reached and surpassed. Given the latest trends registered on racism (Second European Union Minorities and Discrimination Survey) and hatred online, there was a high demand for funding.

**Specific Objective 3 :to promote and protect the rights of persons with disabilities****Indicator 1: The number of applications and grants related to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0	7   12   7									
	Actual Progress									Final
	16	8	8	10		7	55			55
Grants										
2014	Milestones									2020
0										
	Actual Progress									Final
	16	8	8	7	7	7	10			10

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	09/02/2021
Data source	DG for Employment, Social Affairs and Inclusion, European Commission
Narrative	The total number of applications received and grants awarded for the specific objective
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator. The new indicator will be the proportion of funded projects to the total number of applications.
Other methodological comments	The launch of call for proposals for action grants in 2019 was postponed to 2020.
Full metadata available at this address	NA
Justification of the trend	The target for the number of applications received has been successfully attained. There was no target defined for the number of grants awarded.

**Indicator 2: The level of funding requested by applicants and granted in relation to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Requested										
2014	Milestones									2020
	2 800 000   4 220 000   3 100 000									3 100 000

	Actual Progress								Final
	4 410 090	2 549 023	3 000 000	3 500 000	2 801 000	2 782 672	4 368 869		4 368 869
Granted									
2014	Milestones								2020
	Actual Progress								Final
	3 785 080	2 549 087	2 680 185	2 697 879	2 855 973	2 781 237	4 297 196		4 297 196

Are we on track	On track
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	09/02/2021
Data source	DG for Employment, Social Affairs and Inclusion, European Commission
Narrative	The indicator shows the level of funding requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	The launch of call for proposals for action grants in 2019 was postponed to 2020.
Full metadata available at this address	NA
Justification of the trend	The target for the level of funding requested by applicants has been successfully attained. There was no target defined for the level of funding granted to the beneficiaries.

## Specific Objective 4 :to promote equality between women and men and to advance gender mainstreaming

### Indicator 1:The number of applications and grants related to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0					17	18	18			18
	Actual Progress									Final
	19	123		14	49	11	46			46
Grants										
2014	Milestones									2020
0					12	12	13			13
	Actual Progress									Final
	11	10		13	12	10	13			13

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the total number of applications received and grants awarded.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator. The new indicator will be the proportion of funded projects to the total number of applications.
Other methodological comments	In 2014, 2017, and 2019 restricted call for proposals for national authorities; in 2015, 2018 and 2020 open call for proposals. There was no call for proposals for action grants in 2016.
Full metadata available at this address	NA
Justification of the trend	The targets have been successfully reached.

### Indicator 2:The level of funding requested by applicants and granted in relation to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Requested										
2014	Milestones									2020
0					7 700 000	7 000 000	8 000 000			8 000 000
	Actual Progress									Final
	6 970 769	56 674 772		6 423 195	18 226 000	4 437 994	15 045 333			15 045 333
Granted										
2014	Milestones									2020
0					3 700 000	4 000 000	4 000 000			4 000 000
	Actual Progress									Final
	3 885 203	4 3479 579		5 443 000	4 502 056	3 852 329	4 947 831			4 947 831

Are we on track	On track
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the level of funding requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	In 2014, 2017 and 2019 restricted call for proposals for national authorities; in 2015, 2018 and 2020 open call for proposals. There was no call for proposals for action grants in 2016.
Full metadata available at this address	NA
Justification of the trend	The targets have been successfully reached.

### Specific Objective 5 :to prevent and combat all forms of violence against children, young people and women, as well as violence against other groups at risk, in particular groups at risk of violence in close relationships, and to protect victims of such violence

#### Indicator 1:Percentage of people that consider that domestic violence against women is unacceptable

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
84%	Actual Progress									Final
			84%	90%			100%			100%
			96%		96%					96%

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	30/11/2016
Data source	Special Eurobarometer 449 (2016).
Narrative	The indicator shows the percentage of interviewed people that consider domestic violence against women as unacceptable.
Methodology	Survey to assess the perceptions of EU citizens about gender-based violence.
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	Percentage of people that consider that domestic violence against women is unacceptable, Europe 2020 Headline.
Full metadata available at this address	<a href="https://data.europa.eu/euodp/en/data/dataset/S2115_85_3_449_ENG">https://data.europa.eu/euodp/en/data/dataset/S2115_85_3_449_ENG</a>
Justification of the trend	Target nearly reached.

#### Indicator 2:The number of applications and grants related to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0	Actual Progress									Final
	391	379	174	177	213	175	185			185
Grants										
2014	Milestones									2020
0	Actual Progress									Final
	31	52	19	39	43	40	39			39

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the total number of applications submitted and grants awarded.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator. The new indicator will be the proportion of funded projects to the total number of applications.
Other methodological comments	NA
Full metadata available at this address	NA

Justification of the trend	The target for the number of grants awarded has been successfully reached. The number of applications has been stable in the past 5 years, since the migration to the e-grant system in 2016, ranging between 175-210. The target of 300 applications was set initially without due consideration to the migration to the e-grant system.
----------------------------	---

**Indicator 3: The level of funding requested by applicants and granted in relation to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Requested										
2014	Milestones									2020
0					99 750 000	99 000 000	12 000 000			12 000 000
	Actual Progress									Final
	115 828 887	141 024 339	62 366 927	65 755 864	87 041 000	68 270 673	74 832 577			74 832 577
Granted										
2014	Milestones									2020
0					13 300 000	16 000 000	14 000 000			14 000 000
	Actual Progress									Final
	11 407 709	11 663 047	8 268 519	16 829 000	17 614 925	17 081 784	15 411 897			15 411 897

Are we on track	On track
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the level of funding requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The targets have been successfully reached and surpassed. Given the latest trends on violence against women (European Gender Equality Strategy) there has been a high demand for funding to fight this phenomenon.

**Specific Objective 6 :to promote and protect the rights of the child****Indicator 1: The number of applications and grants related to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0					43	35	45			45
	Actual Progress									Final
	73	41	16	42	31	19	107			107
Grants										
2014	Milestones									2020
0					11	10	12			12
	Actual Progress									Final
	15	11	8	13	6	13	12			12

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the total number of applications submitted and grants awarded.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator. The new indicator will be the proportion of funded projects to the total number of applications.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The targets have been successfully reached.

**Indicator 2: The level of funding requested by applicants and granted in relation to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

Requested										
2014	Milestones									2020
0					15 600 000	10 000 000	16 000 000			16 000 000
	Actual Progress									Final
	27 725 533	14 621 487	6 833 384	15 029 812	9 941 000	5 831 329	38 416 248			38 416 248
Granted										
2014	Milestones									2020
0					4 000 000	4 000 000	4 200 000			4 200 000
	Actual Progress									Final
	4 213 515	3 461 829	3 420 985	4 216 000	1 540 000	3 623 149	4 569 512			4 569 512

Are we on track	On track
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the level of funding requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The targets have been successfully reached and surpassed. In this particular case, the Commission has invested in communication with stakeholders with an ad-hoc conference in September 2019 on EU funding opportunities for rights of the child, explaining the high increase in the number of applications.

### Specific Objective 7 :to contribute to ensuring the highest level of protection of privacy and personal data

#### Indicator 1: Number of complaints received by data protection authorities from individuals relating to data protection

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
68 569				55 000			60 000			60 000
	Actual Progress									Final
					60 000					

Are we on track	No data
Indicator type	Impact
Unit of measurement	Nominal
Cut-Off Date	31/12/2020
Data source	EDPB – IMI database (managed by DG GROW)
Narrative	It shows the cross-border cases registered by the DPA of the Member States.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	This indicator cannot be used, as data protection authorities in Member States have different methods of recording the number of complaints received from individuals, to the extent that e.g. Denmark was reporting 6 000 and Romania 25. For this reason, since the entry into force of GDPR in 2016, a more relevant indicator would be the number of cross-border cases recorded in the Internal Market Information System case register (the IMI was developed by the Commission as the IT platform to support cooperation and consistency procedures under the GDPR). In 2018, from 25 May to December: 213; in 2019: 553 and in 2020:626. In total, 1392 cases.
Full metadata available at this address	NA
Justification of the trend	Recent data indicate that there is an annual increase in the number of cross-border cases, meaning that more and more EU citizens are aware about their Data Protection rights.

#### Indicator 2: The number of applications and grants related to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0						10				
	Actual Progress									Final
			15	12		6	9			9
Grants										

2014	Milestones								2020
0						9			
	Actual Progress								Final
		6	9			4	7		7

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the total number of applications received and grants awarded.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator. The new indicator will be the proportion of funded projects to the total number of applications.
Other methodological comments	First call for proposals to support training activities on the data protection reform was launched in 2016. In 2016 and 2017 twice as much funding was available than in 2019 and 2020, in view of the entering into force of the GDPR. There was no call for proposals for action grants in 2018. More than 27 projects were financed for the period 2014-2020.
Full metadata available at this address	NA
Justification of the trend	There were no targets set for this indicator in 2020. There were received 9 applications in total, among which 7 were awarded.

### Indicator 3: The level of funding requested by applicants and granted in relation to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Requested										
2014	Milestones								2020	
0						2 500 000				
	Actual Progress								Final	
			4 825 181	2 597 737		1 661 818	1 988 972			1 988 972
Granted										
2014	Milestones								2020	
0						1 500 000				
	Actual Progress								Final	
			1 718 191	1 943 379		1 027 939	1 583 256			1 583 256

Are we on track	On track
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the level of funding requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	First call for proposals to support training activities on the data protection reform was launched in 2016. In 2016 and 2017 twice as much funding was available than in 2019 and 2020, in view of the entering into force of the GDPR. There was no call for proposals for action grants in 2018.
Full metadata available at this address	NA
Justification of the trend	There were no targets set for this indicator in 2020.

## Specific Objective 8 :to promote and enhance the exercise of rights deriving from citizenship of the Union

### Indicator 1: awareness of the Citizenship of the Union and of the rights attached to it:

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Share of the population that knows the meaning of Citizenship of the Union										
2013	Milestones								2020	
46%				50%			53%			53%
	Actual Progress								Final	
		52%					65%			65%
Share of the population considering themselves as well or very well informed of the rights they enjoy as citizens of the Union										
2013	Milestones								2020	
36%				45%			51%			51%
	Actual Progress								Final	

		42%		54%			81%			81%
--	--	-----	--	-----	--	--	-----	--	--	-----

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/07/2020
Data source	Flash Eurobarometer 485 Report EU citizenship and democracy (July 2020)
Narrative	The indicator shows the awareness of the population on the Citizenship of the Union and of the rights attached to it.
Methodology	Survey
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	NA
Full metadata available at this address	<a href="https://data.europa.eu/euodp/en/data/dataset/S2260_485_ENG/resource/fa7154f5-93e4-4e21-8b07-68e964f51a88">https://data.europa.eu/euodp/en/data/dataset/S2260_485_ENG/resource/fa7154f5-93e4-4e21-8b07-68e964f51a88</a>
Justification of the trend	The data indicate that targets were successfully reached and surpassed.

**Indicator 2: awareness of the right to vote and to stand as candidate in European election in the Member State of residence, without having the nationality of that Member State**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
72%	Actual Progress									Final
				76%			80%			80%
		67%					71%			71%

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/07/2020
Data source	Flash Eurobarometer 485 Report EU citizenship and democracy (July 2020)
Narrative	The indicator show the awareness of the population on the right to vote and to stand as candidate in European election in the Member State of residence, without having the nationality of that Member State.
Methodology	Survey
Link MFF 14-20 / MFF 21-27	NA
Other methodological comments	NA
Full metadata available at this address	<a href="https://data.europa.eu/euodp/en/data/dataset/S2260_485_ENG/resource/fa7154f5-93e4-4e21-8b07-68e964f51a88">https://data.europa.eu/euodp/en/data/dataset/S2260_485_ENG/resource/fa7154f5-93e4-4e21-8b07-68e964f51a88</a>
Justification of the trend	There has been a steady progress in reaching the target, although it has not been reached. This can be explained by the narrow policy area of work/intervention, "EU mobile citizens".

**Indicator 3: the number of applications and grants related to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Applications										
2014	Milestones									2020
0	Actual Progress									Final
					31	20	30			30
	84	0	25	14	18	9	12			12
Grants										
2014	Milestones									2020
0	Actual Progress									Final
					6	5	5			5
	6	0	5	3	4	4	4			4

Are we on track	On track
Indicator type	Output
Unit of measurement	Nominal
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the total number of applications received and grants awarded.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator. The new indicator will be the proportion of funded projects to the total number of applications.
Other methodological comments	NA
Full metadata available at this address	NA

Justification of the trend	The target for the number of awarded grants has been nearly reached. The number of received applications has been lower than the target aimed for. This can be explained by the narrow policy area of work/intervention, "EU mobile citizens".
----------------------------	--

**Indicator 4: the level of funding requested by applicants and granted in relation to this specific objective**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Requested										
2014	Milestones									2020
0					7 950 000	10 000 000	7 500 000			7 500 000
Actual Progress										
	20 724 779	0	639 136	3 973 157	12 478 000	2 036 796	3 046 737			3 046 737
Granted										
2014	Milestones									2020
0					1 500 000	1 500 000	1 300 000			1 300 000
Actual Progress										
	1 464 069	0	1 214 926	1 200 000	1 534 000	824 590	910 516			910 516

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Euro
Cut-Off Date	08/02/2021
Data source	DG for Justice and Consumers, European Commission
Narrative	The indicator shows the level of funding requested by applicants and granted to the beneficiaries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	Yes, there is a continuation in reporting for this indicator.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The targets are not reached. This can be explained by the narrow policy area of work/intervention, being "EU mobile citizens".

**Specific Objective 9 :to enable individuals in their capacity as consumers or entrepreneurs in the internal market to enforce their rights deriving from Union law, having regard to the projects funded under the Consumer Programme****Indicator 1: the perception of consumers of being protected**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
0,64				0,73			0,75			0,75
Actual Progress										
	0,70		0,76		0,72		0,8069			0,8069

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentages for data up to 2018. Difference between 2020 and 2018 in pp (percentage points) for the figure in 2020.
Cut-Off Date	
Data source	Consumer Conditions Scoreboard (Survey on consumer attitudes towards cross border trade and consumer protection).
Narrative	Survey based indicator. Percentage of consumers who agree that retailers and providers respect their rights as consumer.
Methodology	Telephone survey covering all the EU MS, plus IS, NO and UK.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The methodology was slightly revised as of 2016. Data until 2018 are on the EU28 (including the UK). Conversely, the difference 2020-2018 (in percentage points) is on the EU27 (without the UK).
Full metadata available at this address	The 2020 edition of the consumer conditions scoreboard has not been published yet. The final report for the 2018 edition of the survey on consumers is available here: <a href="https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en">https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en</a>
Justification of the trend	The target has been reached.

**Indicator 2: consumer and retailer awareness of rights and obligations:**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

Percentage of consumers who are aware of their right to keep the unordered product sent to them together with an invoice										
2011	Milestones									2020
36%	32%			37%			39%			39%
	Actual Progress									Final
	34%		34%		35%		0,2968			0,2968
Percentage of retailers in the EU who know that including invoices with marketing material (for unordered products) is prohibited										
2011	Milestones									2020
< 51%	55%			56%			60%			60%
	Actual Progress									Final
	54%			56%			58%		n.a. it cannot be updated as the survey on retailers has been stopped	

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Percentages for data up to 2018. Difference between 2020 and 2018 in pp (percentage points) for the figure on 2020.
Cut-Off Date	
Data source	Consumer Conditions Scoreboard (Survey on consumer attitudes towards cross border trade and consumer protection)
Narrative	Survey based indicator. Percentage of consumers who are aware of their right to keep the unordered product sent to them together with an invoice.
Methodology	Telephone survey covering all the EU MS, plus IS, NO and UK.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The methodology was slightly revised as of 2016. Data until 2018 are on the EU28 (including the UK). Conversely, the difference 2020-2018 (in percentage points) is on the EU27 (without the UK).
Full metadata available at this address	The 2020 edition of the consumer conditions scoreboard has not been published yet. The final report for the 2018 edition of the survey on consumers is available here: <a href="https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en">https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en</a>
Justification of the trend	The target has nearly been reached.

### Indicator 3: level of consumer confidence in cross-border online shopping, as measured by the percentage of consumers who feel confident purchasing via internet from retailers/service providers from another country

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
34%				45%			50%			50%
	Actual Progress									Final
	37%			58%			48%		0,4411	

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentages for data up to 2018. Difference between 2020 and 2018 in pp (percentage points) for the figure on 2020.
Cut-Off Date	
Data source	Consumer Conditions Scoreboard (Survey on consumer attitudes towards cross border trade and consumer protection).
Narrative	Survey based indicator. Percentage of consumers who feel confident purchasing via internet from retailers/service providers from another EU country.
Methodology	Telephone survey covering all the EU MS, plus IS, No and UK.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The methodology was slightly revised as of 2016. Data until 2018 are on the EU28 (including the UK). Conversely, the difference 2020-2018 (in percentage points) is on the EU27 (without the UK).
Full metadata available at this address	The 2020 edition of the consumer conditions scoreboard has not been published yet. The final report for the 2018 edition of the survey on consumers is available here: <a href="https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en">https://ec.europa.eu/info/policies/consumers/consumer-protection/evidence-based-consumer-policy/consumer-and-retailer-surveys_en</a>
Justification of the trend	The target has nearly been reached.

### Indicator 4: the number of applications and grants related to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020

0	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No calls for proposals for action grants or operating grants planned, only procurement activities.
Full metadata available at this address	
Justification of the trend	

### Indicator 5: the level of funding requested by applicants and granted in relation to this specific objective

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
0	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No calls for proposals for action grants or operating grants planned, only procurement activities.
Full metadata available at this address	
Justification of the trend	

### Previous Program 2 : Europe for Citizens

## General Objective 1 :to contribute to citizens' understanding of the Union, its history and diversity, to foster European citizenship and to improve conditions for civic and democratic participation at Union level

### Indicator 1:Percentage of EU citizens feeling European

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
59%				Stable at 59%			Stable at 59%			Stable at 59%
	Actual Progress									Final
	60%	64%	67%	70%	71%	70%	71%			71%

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	26/08/2020
Data source	Eurobarometer number 93 – Summer 2020.
Narrative	This indicator shows the percentage of EU citizens feeling European.
Methodology	Standard Eurobarometer
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	<a href="https://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/STANDARD/surveyKy/2262">https://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/STANDARD/surveyKy/2262</a>
Justification of the trend	While the percentage of EU citizens feeling European remains stable over the last 4 years, the target is reached and surpassed.

**Specific Objective 1 :to raise awareness of remembrance, the common history and values of the Union and the Union's aim, namely to promote peace, the values of the Union and the well-being of its peoples, by stimulating debate, reflection and the development of networks**

**Indicator 1:the number of participants who are directly involved**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
100000	100000			100000			100000			100000
	Actual Progress									Final
	100000	100000	100000	100000	100000	125000	76331			76331

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of participants
Cut-Off Date	31/12/2020
Data source	EACEA
Narrative	The number of citizens reached by the projects as indicated in the projects' final reports.
Methodology	Quantitative methods
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	We are below the target this year due to the impact of the Covid-19 pandemic on projects. 37 projects requested an extension of the eligibility period of their project as they could not organise their activities as planned. Activities are shifted to the coming year.

**Indicator 2:the number of persons indirectly reached by the Programme**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
150000	165000			180000			202500			202500
	Actual Progress									Final
	165000	185000	190000	190000	194000	260000	180000			180000

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of persons
Cut-Off Date	31/12/2020
Data source	EACEA - Final reports submitted
Narrative	The number of citizens indirectly reached by the projects as indicated in the projects' final reports.
Methodology	Quantitative.
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	We are on track despite the Covid-19 pandemic on projects. Many projects organised online events which allowed still reaching a good number of indirect participants and the targets will be reach in the coming year.

**Indicator 3:the number of projects**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
31				35			36			36
	Actual Progress									Final
	36	33	38	39	37	49	54			54

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of projects
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions
Narrative	The number of grants awarded under Strand 1 of the EfC programme based on the merit of the proposals and the budget available.
Methodology	Number of projects based on Award decisions.

Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	<a href="https://eacea.ec.europa.eu/europe-for-citizens/selection-results/european-remembrance-2020-selection-year-2020_en">https://eacea.ec.europa.eu/europe-for-citizens/selection-results/european-remembrance-2020-selection-year-2020_en</a>
Justification of the trend	Due to additional funding that became available we were able to finance the reserve list of 5 additional projects.

**Indicator 4: the quality of the project applications and the degree to which the results of selected projects can be further used, transferred**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target	
Lowest score obtained by a retained project											
2013	Milestones									2020	
80,0					81,6				83,2		
	Actual Progress										Final
	84,5	80	82,5	82,5	82,5	80,5	82,5			82,5	
Number of events organised											
2013	Milestones									2020	
50					85				95		
	Actual Progress										Final
	84	90	95,5	120	120	245	120			120	

Are we on track	On track
Indicator type	Result
Unit of measurement	Score of project applications and number of events
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions.
Narrative	The funding threshold shows the high quality of selected projects.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The funding threshold was high due to the good quality of applications despite the fact that additional budget allowed to fund more projects than previous years.

**Indicator 5: Percentage of first time applicants**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target	
2013	Milestones									2020	
0,40					0,40				0,40		
	Actual Progress										Final
	0,43	0,45	0,50	0,50	0,50	0,66	0,60			0,60	

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of first time applications in total applications submitted
Cut-Off Date	31/12/2020
Data source	EACEA - Applications submitted.
Narrative	The fact that even at the end of the programme many first time applicants apply shows the success of the action.
Methodology	Quantitative and qualitative.
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The actions keeps being of interest for new applicants.

**Specific Objective 2 :to encourage the democratic and civic participation of citizens at Union level, by developing citizens' understanding of the Union policy making-process and promoting opportunities for societal and intercultural engagement and volunteering at Union level**

**Indicator 1: the number of participants who are directly involved**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020

1 000 000	1 000 000			1 000 000			1 200 000			1 200 000
	Actual Progress									Final
	1 000 000	1 000 000	1 000 000	1 000 000	1 100 000	1 125 000	900000			900000

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of participants
Cut-Off Date	31/12/2020
Data source	EACEA
Narrative	The number of citizens reached by the projects as indicated in the projects' final reports.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	We are below the target this year due to the impact of the Covid-19 pandemic on projects. 205 projects requested an extension of the eligibility period of their project as they could not organise their activities as planned. Activities are shifted to the coming year. 7 Town Twinning projects were cancelled because they could neither carry out the event online nor postpone it.

### Indicator 2: the number of persons indirectly reached by the Programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1 000 000	1 100 000	1 150 000	1 180 000	1 200 000	1 250 000	1 300 000	1 350 000			1 350 000
	Actual Progress									Final
	1 100 000	1 100 000	1 100 000	1 200 000	1 300 000	1 500 000	1 000 000			1 000 000

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of persons
Cut-Off Date	31/12/2020
Data source	EACEA
Narrative	The number of citizens reached by the projects as indicated in the projects' final reports.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	We are on track despite the Covid-19 pandemic on projects. Many projects organised online events which, allowed still reaching a good number of indirect participants and the targets will be reach in the coming year.

### Indicator 3: the number of participating organisations

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1 000	1 000	1 300	1 350	1 400	1 500	1 600	1 700			1 700
	Actual Progress									Final
	1 100	1 300	1 550	2 100	2 300	2 310	1 740			1 740

Are we on track	On track
Indicator type	Result
Unit of measurement	number of participating organisations
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions.
Narrative	In 2020 the number of different organisations participating remains at the expected level.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The actions keep being of interest for applicants.

### Indicator 4: the perception of the Union and its institutions by the beneficiaries

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
77%	77%			Stable at			77%			77%

				77%						
	Actual Progress									Final
	60%	64%	67%	70%	71%	70%	71%			71%

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	26/08/2020
Data source	Eurobarometer number 93 – Summer 2020.
Narrative	This indicator shows the knowledge of the Union and its institutions by the citizens.
Methodology	Standard Eurobarometer.
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	
Justification of the trend	Stable for the last 4 years.

### Indicator 5: the quality of project applications

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
71	53			72,4			73,9			73,9
	Actual Progress									Final
	53	74	73	71	71	71	71			71

Are we on track	On track
Indicator type	Result
Unit of measurement	Score of submitted applications.
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions.
Narrative	The minimum threshold of 71 corresponds to the lowest score of a funded Town Twinning project.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	<a href="https://eacea.ec.europa.eu/europe-for-citizens/selection-results_en">https://eacea.ec.europa.eu/europe-for-citizens/selection-results_en</a>
Justification of the trend	The minimum funding threshold for the strand was 71. We received many applications of high quality which could not be funded due to lack of available budget especially under the Civil Society Call.

### Indicator 6: the percentage of first time applicants

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
40%	40%			-5% < 40% < 5%			-5% < 40% < 5%			-5% < 40% < 5%
	Actual Progress									Final
	40%	44%	53%	54%	66%		60%			60%

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions.
Narrative	Interest of the strand to new applicants
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	It should be noted that there are a certain number of resubmissions between round 1 and 2 of Town Twinning and Networks of Towns.

### Indicator 7: the number of transnational partnerships including different types of stakeholders

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1,3	1,6			At least 2			At least 2			At least 2
	Actual Progress									Final
	1,6	1,8	2	2	2		2			2

Are we on track	On track
Indicator type	Result
Unit of measurement	Types of stakeholders
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions.
Narrative	Transnational partnerships are composed of at least two different types of stakeholders coming from two different countries.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	This eligibility criterion for the strand remained unchanged for 2020 and required two different stakeholders per partnership. This criterion was met by applicants.

**Indicator 8: the number of networks of twinned towns**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
41	35			35			36			36
	Actual Progress									Final
	35	32	30	32	35	36	41			41

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of networks of twinned towns
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions (Rounds 1 & 2)
Narrative	The number of grants awarded under of the EfC prothis action is based on the merit of the proposals and the budget available.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	<a href="https://eacea.ec.europa.eu/europe-for-citizens/selection-results_en">https://eacea.ec.europa.eu/europe-for-citizens/selection-results_en</a>
Justification of the trend	The number of grants awarded is slightly higher as the average grant requested is slightly lower than in previous years.

**Indicator 9: the number and quality of policy initiatives following-up on activities supported by the Programme at the local or European level**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				2			2			2
	Actual Progress									Final
				2	2	2	2			2

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of policy initiatives
Cut-Off Date	31/12/2020
Data source	EACEA - Final reports
Narrative	The number of policy related outputs produced by the projects based on the objectives and priorities of the Programme.
Methodology	Quantitative
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	NA
Full metadata available at this address	NA
Justification of the trend	The trend is stable. Projects actively engage citizens and to some extent produce policy initiatives.

**Indicator 10: the geographical coverage of the activities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of Member States with appropriate national coverage (NC)										
2013	Milestones									2020
				25			25			25
	Actual Progress									Final

		23	25	25	27	27	28			28
Submitting as a lead partner										
2013	Milestones									2020
13	16			13			25			25
	Actual Progress									Final
	28	27	28	28	28	28	28			28
Selected as a lead partner										
2013	Milestones									2020
12	15			26			28			28
	Actual Progress									Final
	27	27	27	27	27	27	27			27
Submitting as a lead or co-partner										
2013	Milestones									2020
18	20			26			28			28
	Actual Progress									Final
	28	28	28	28	28	28	28			28
Selected as a lead or co-partner										
2013	Milestones									2020
15	17			26			28			28
	Actual Progress									Final
	28	28	28	28	28	28	28			28

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of eligible participating countries
Cut-Off Date	31/12/2020
Data source	EACEA - Award decisions
Narrative	Geographical coverage at EU level = number of Member States for which 90 % < NC < 110 %; NC= National coverage = % of projects submitted (or selected) per member State as a lead partner (or co-partner) / % of its population in the total population of the EU.
Methodology	NC = National coverage = % of projects submitted (or selected) per member State as a lead partner (or co-partner) / % of its population in the total population of the EU.
Link MFF 14-20 / MFF 21-27	NA - This indicator is not foreseen in the new legal basis.
Other methodological comments	Geographical coverage at EU level = number of Member States for which 90 % < NC < 110 %.
Full metadata available at this address	<a href="https://eacea.ec.europa.eu/europe-for-citizens/selection-results_en">https://eacea.ec.europa.eu/europe-for-citizens/selection-results_en</a>
Justification of the trend	No project with UK as lead or partner was selected.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

#### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
4,0	10,0						14,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.4.2. Key achievements and performance**

##### ***Rights, Equality and Citizenship***

As gender mainstreaming is enshrined in EU-level funded actions, the REC Programme envisaged specific actions to advance gender equality and was committed to promoting a gender mainstreaming approach.

First of all, the Programme had a dedicated specific objective for the promotion of equality between men and women and to the advancement of gender mainstreaming.

The Annual Work Programmes envisaged every year a call for action grants with targeted policy priorities on gender equality. In 2020, the priorities of calls for proposals focused on addressing gender equality and empowerment of women and girls through tackling gender stereotypes in education and early childhood care and in educational and career choices in a digitalised world. Following the Directive on work-life balance for parents and careers, the Programme also co-funded national governments' initiatives that aimed to increase the participation of women in the labor market and the take-up of family-related leave and flexible working arrangements. This was the aim of the call for proposal in 2019 to close gender gaps over the life cycle – work-life balance for women and men – a better sharing of care. Previous calls for proposals focused on: equal participation of women and men in leadership positions and work-life balance (2018); address gender gaps over the life-cycle (2017); prevent and combat violence against women (2016); promote good practices on gender roles and overcome gender stereotypes in education, training and in the workplace (2015); equal economic independence of women and men (2014).

In the period 2014-2020 the Programme's total contribution to the specific objective of gender equality has been of EUR 50 million, including grants and procurement activities (training seminars, studies and evaluations). It includes operating grants provided to the European Women's Lobby (€ 1 million per year).

The principles of gender mainstreaming were consistently referred to in the Annual Work Programmes, calling for all activities funded to support gender mainstreaming. In the description of the calls for proposals, the gender dimension was mentioned primarily in relation to the specific objective on gender equality as well as the specific objectives on non-discrimination and combatting violence against women. All the applicants had to demonstrate how they would mainstream gender equality perspective in the design, implementation, monitoring and evaluation of projects' activities. Similarly, gender mainstreaming was considered amongst the sub-criteria leading to the award of the grants. Finally yet importantly, during the process of evaluating proposals, the gender dimension was also considered to the extent of having an equal representation of women and men as evaluators.

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

#### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

Through the specific objective on "non-discrimination", the Programme will support projects for the inclusion of all to quality education, including minority groups such as Roma youth, and organisations promoting lifelong learning opportunities at all ages.

#### ***SDG 5 Achieve gender equality and empower all women and girls***

The Programme in all its activities will support gender mainstreaming and the mainstreaming of non-discrimination objectives. In particular, the Programme has a specific objective "to promote women's full enjoyment of rights, gender equality, including work-life balance, women's empowerment and gender mainstreaming". Projects will fund activities to tackle gender stereotypes and address silent and intersectional discrimination, as well as awareness raising and other policy activities for the promotion of equal participation/representation of women and men in decision-making in politics and economics.

#### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

Via the Equality, Rights and Gender Equality strand, the Programme will support projects for equal access to work, equal participation in labour market and the elimination of barriers to career progression in all sectors. Focus will also be put on work-life balance and on equal sharing of unpaid household and care work for children, the elderly and other dependents, between men and women which remain pillars to the equal economic independence and participation and are intrinsically related to the achievement of gender equality.

#### ***SDG 10 Reduce inequality within and among countries***

The Programme, through transnational projects sharing good practices, trainings and awareness rising activities, will contribute to the reduction of inequalities and eliminating discrimination between EU citizens and among countries.

#### ***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

Via the Citizens engagement and participation strand and the Union values strand, the Programme will promote inclusive society and the rule of law. Funds will support entities which contribute to make our common values, rights and equality and rich diversity alive and vibrant. Projects will nurture and sustain a rights-based, equal, open, pluralist, inclusive and democratic society. That includes a strong and empowered civil society that fosters people's democratic, civic and social participation and inclusiveness, and further develops the diversity of European society, based on our common values, history and memory.

## 6.5.2. Key achievements and performance

### *Rights, Equality and Citizenship*

#### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

By promoting youth Roma integration in the funded activities of non-discrimination, the Programme contributed to the goal that all girls and boys have access to quality early childhood development, care and education. Through tackling gender stereotypes, the Programme contributed to the goal of creating education facilities that are child-friendly, accessible and gender-sensitive, providing thus safe, nonviolent, inclusive and effective learning environments for all.

#### ***SDG 5 Achieve gender equality and empower all women and girls***

Via actions funded under gender violence and gender equality calls for proposals, the Programme contributed to the goals to end all forms of discrimination against all women and girls and to eliminate all forms of violence against all women and girls. In particular, the Programme contributed to the goals to ensure women's equal opportunities for leadership at all levels and to adopt enforceable legislation for the promotion of gender equality.

The Programme also promoted diversity through the projects funded within the call for proposals to promote non-discrimination. In this regards, it strengthens equal opportunities financing the EU Platform of Diversity Charters, its annual forum and expert seminars, supporting peer network, share of good practises and tools for benchmarking, measuring and monitoring.

#### ***SDG 8 Decent work and economic growth***

The Programme contributed to the goal to achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value. It funded activities sharing best practises on work-life balance and supported persons with disability in terms of awareness raising, capacity building, monitoring of their situation in terms of employment and foster education. Learning opportunities were provided to legal and policy practitioners on legal instruments that serve to protect and promote employment of persons with disabilities.

#### ***SDG 10 Reduce inequality within and among countries***

The Programme ensured equal access for travellers with disabilities to a number of benefits in the areas of culture, leisure, sport and transport, thus contributing to the inclusion of people with disabilities in society, via funding the European Disability Card project. It also helped in monitoring the poverty situation of persons with disabilities through supporting the Academic Network of European Disability experts and exchange of good practices in the social protection field.

#### ***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

Via the project Joint Programme on Access of Roma and Traveller Women to Justice (JUSTROM), the Programme supported the empowerment of Roma women through increasing their awareness about discrimination, complaint mechanisms, the justice system and human rights institutions/equality bodies. It also aimed to increase the number of cases of discrimination against Roma women admitted by human rights institutions, equality bodies and courts, as well as to enhance professional resources used at national level by the judiciary, law enforcement and NGOs/human rights advocates regarding the application of anti-discrimination standards Roma access to Justice.

The Programme financed projects focusing on a child-friendly justice, to support children before, during and after judicial proceedings and to provide capacity-building to judicial practitioners on individual assessments specified in EU law.

#### ***SDG 17 Strengthen the means of implementation and revitalize the global partnership***

Via the European network of academic experts in the field of disability, the Programme ensured the collection of essential data, analysis and monitoring on the situation of people with disabilities related to, among others, employment, education and poverty risk.

**HEADING 2B: Resilience and Values****Communication****Lead DG: COMM**

1. Overview .....	763
1.1. Challenges .....	763
1.2. Mission (general objectives) .....	763
1.3. Specific objectives .....	763
1.4. Public intervention context .....	763
1.5. Actions .....	763
1.6. Delivery mode .....	764
1.7. Graphic overview of the programme structure .....	764
1.8. Legal basis and financial programming .....	764
1.9. Link with the 2014-2020 MFF .....	764
1.10. Relevant websites providing more information .....	764
2. Where are we in the implementation ? .....	765
2.1. Programme 2021-2027 .....	765
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	765
3. How is the programme performing ? .....	765
3.1. Performance .....	766
3.2. Key achievements .....	767
3.3. Evaluations, studies and reports .....	769
4. Programme 2021-2027 - Key monitoring indicators .....	769
Specific Objective 1 : A modern, high-performing and sustainable European Commission (general objective) .....	769
Specific Objective 2 : College and services use country specific intelligence, Eurobarometer results, media analysis and stakeholders'/citizens' feedback to inform political decision-making .....	770
Specific Objective 3 : College receives strategic advice on communicating the headline ambitions and on media landscapes in the Member States .....	770
Specific Objective 4 : Corporate communication of the Commission's headline ambitions is aligned across the Commission's departments .....	770
Specific Objective 5 : Meaningful and tailored messages, focussed on the Commission's headline ambitions, are communicated to citizens, media, multipliers and stakeholders .....	771
Specific Objective 6 : Citizens engage with the EU through face-to-face events and online interactive platforms, such as the Conference on the Future of Europe, thus stimulating the sharing of EU values and interest in and ownership of EU topics .....	772
5. Programme 2014-2020 - Key monitoring indicators .....	773
Previous FIN 1 : Statement on Financial Intervention of the Communication Policy Area .....	773
General Objective 1 : Citizens perceive that the EU is working to improve their lives and engage with the EU. They feel that their concerns are taken into consideration in European decision making process and they know about their rights in the EU. ....	773
Specific Objective 1 : A simple, clear, understandable message is communicated to citizens explaining the direct impact of EU policies on their lives. ....	773
Specific Objective 2 : A coherent and effective corporate communication is developed and maintained. ....	777
Specific Objective 3 : Country specific information and analysis are fed into College's decision making process .....	777
6. The programme contribution to horizontal policies .....	778
6.1. Contribution to climate mainstreaming .....	778
6.2. Contribution to biodiversity mainstreaming .....	778
6.3. Contribution to clean air financing .....	778
6.4. Contribution to gender equality .....	778

6.5. Contribution to the sustainable development goals.....	778
---	-----

## 1. Overview

### 1.1. Challenges

In the next years, DG Communication will focus on:

- listening to citizens across all Member States developing opinions and making sure that their concerns and ideas are fed into policy-making;
- communicating on the Commission's policy priorities and headline ambitions, taking into account the post-COVID-19 economic and social context and highlighting the recovery plan and NextGenerationEU, implementing the European Green Deal, and making Europe fit for the digital age;
- engaging with citizens and the players using all available channels of the overarching media landscape citizens in all Member States in a clear and concise manner.

### 1.2. Mission (general objectives)

DG Communication, as a corporate communication service, brings Europe closer to its citizens by:

- **LISTEN** : providing intelligence to the College, Cabinets and Services
- **ADVISE** : ensuring coherence in Communication and domain leadership
- **ENGAGE** : reaching out and engaging with citizens.

### 1.3. Specific objectives

DG Communication has defined in its Strategic Plan 2020-2024 the following five Specific Objectives:

1. College and services use country specific intelligence, Eurobarometer results, media analysis and stakeholders'/citizens' feedback to inform political decision-making.
2. College receives strategic advice on communicating the political headline ambitions and on media landscapes in the Member States;
3. Corporate communication of the Commission's political headline ambitions is aligned across the Commission's departments,
4. Meaningful and tailored messages, focussed on the Commission's political headline ambitions, are communicated to citizens, media, multipliers and stakeholders;
5. Citizens engage with the EU through face-to-face events and online interactive platforms, such as the Conference on the Future of Europe, thus stimulating the sharing of EU values and interest in and ownership of EU topics.

### 1.4. Public intervention context

Communication interventions falls under the institutional prerogatives of the Commission

### 1.5. Actions

In the next years the Directorate-General for Communication will provide:

**1. Executive and corporate communication services:** providing executive services to the President and the College in support of their communication efforts and to the Spokesperson's Service and European Commission senior management by ensuring political and economic intelligence and media advice, and by feeding high quality country specific information and analysis from a variety of sources into the European Commission's decision making process. Furthermore, providing corporate communication products and services to the external communication domain of the European Commission.

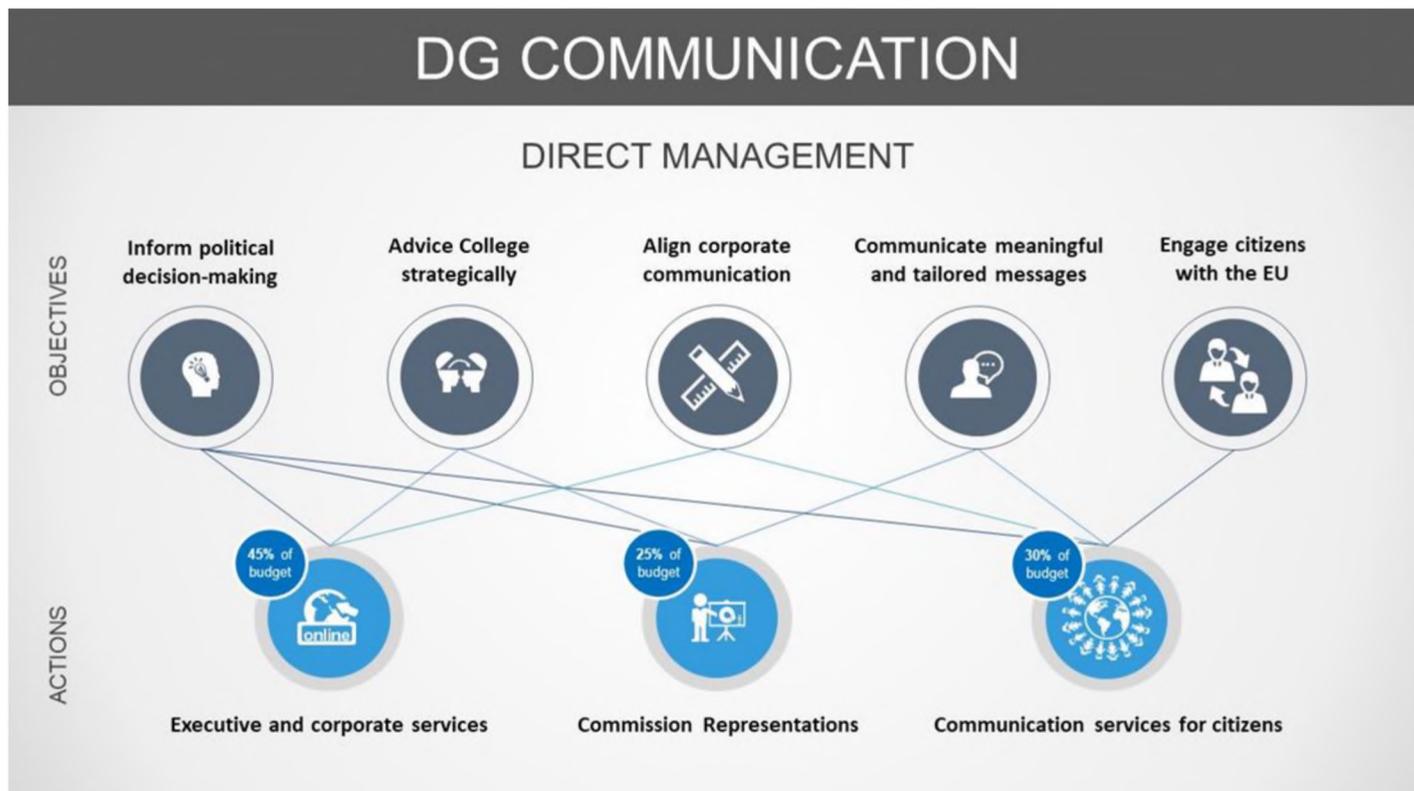
**2. Representations of the European Commission in the Member States:** acting as the official representatives of the Commission in the Member States and serving the interests of the whole Institution and the Union by connecting with national, regional and local authorities, media and stakeholders, and by reaching out to citizens in general.

**3. Communication services for citizens:** providing communication products and services directly addressed to citizens and ensuring that communication services for citizens are made available through simple, clear and understandable messages, either via a mix of channels and media (traditional and new) or by directly communicating with citizens and stimulating exchange and engagement face to face.

## 1.6. Delivery mode

DG Communication is the lead Directorate-General for implementing the above-described activities, implementation through direct management.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

### 1.8.2. Legal basis explanation

Tasks resulting from the European Commission's prerogatives at institutional level, as provided for in Article 58(2) of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012 (OJ L 193,30.7.2018 p. 1).

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	129,9	131,0	132,1	133,2	134,4	135,5	136,4	932,5

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

Throughout the MFF 2014-2020, DG Communication was under Title 16 of the Commission budget. Under the new MFF 2021–2027 communication activities are included within Heading 2 “Cohesion and Values” under the policy cluster 7 “Investing in people and values”.

## 1.10. Relevant websites providing more information

DG COMM activities:

[https://ec.europa.eu/info/departments/communication\\_en](https://ec.europa.eu/info/departments/communication_en)

The Eurobarometer website provides key statistical information;

<https://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/Survey/index#p=1&instruments=STANDARD>

DG Communication Misinformation and Disinformation site:

[https://ec.europa.eu/info/live-work-travel-eu/coronavirus-response/fighting-disinformation\\_en](https://ec.europa.eu/info/live-work-travel-eu/coronavirus-response/fighting-disinformation_en)

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

The commitment appropriations for 2021 amounted to €106,689,800 as defined in the Directorate-General for Communication Work Programme 2021<sup>1</sup>. Their implementation is through direct (public procurement) management and grants.

Payment needs for 2021 and following years are estimated taking into account the average implementation rates of previous years, by budget line. Fresh commitments made on 2021 will implement payment appropriations between 30% and 60% of the amount committed – depending on the budget lines. The RAL (Reste à Liquider) carried over from previous years is implemented at around 80%.

### **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

	Commitments	Payments
Implementation Voted budget	506 155 863	464 671 216
Implementation carry-overs	0	3 755 470
Implementation total	506 155 863	468 426 686
total envelop*	507 156 100	
cumulative implementation rate	100%	92%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

**The total expenditure of DG Communication for the period 2014-2020** was EUR 468,426,686 million (payments made). The commitments made amounted to EUR 507,156,100, with a budget implementation rate for commitments of 100% and 92% in payments.

This 92% is the percentage of payments implemented in 2014-2020 calculated against the commitments implemented in the same period. However, many commitments implemented in 2020 will be paid only in 2021 and 2022, as these budget lines work under dissociated credit rules. Taking this into account, the percentage of DG COMM will get higher in the next years, up to 96%. The difference up to 100% corresponds to the RAL decommitted during 2014-2020.

The method of calculation for payment appropriations is based on contract obligations. Payment needs are estimated taking into account recent average payment needs, by budget line. This includes both needs to cover commitments made during the current years and payments linked to commitments carried forward from previous years (“RAL”). Estimations include average de-commitment rates of 4.7% representing EUR 10,270,000 million during 2014-2020.

In 2020, DG Communication achieved 100% implementation of commitments, combining very close budget monitoring with structured internal redeployments between different communication activities. For example, as certain planned activities such as face to face events could not take place in the pandemic context, funds originally earmarked for face to face events were redeployed to communication activities on virtual communication channels.

## **3. How is the programme performing ?**

<sup>1</sup> C(2020)8492 dated 07.12.2020.

### 3.1. Performance

#### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### 3.1.3. Previous programme performance

In 2020, Europe was strongly impacted by the COVID-19 pandemic. The Commission proposed a strong and coordinated response to the health crisis as well as to the impact on Europe's economy and society. COVID-19 also posed challenges as regards performance, control, audit and assurance in relation to the 2020 EU budget. In an exercise coordinated at corporate level, all Commission services promoted the consistent and rigorous protection of the EU budget, ensuring that appropriate mitigating measures were put in place.

As regards DG Communication's specific actions, to name just a few examples of COVID specific communication activities included the Spokesperson's Service the non-interrupted daily press briefings, the corporate social media accounts, the dedicated Europa webpage, the Europe Direct Contact Centre replies to citizens' enquiries and the Representations' work on the ground, DG Communication continuously informed citizens and promoted the Commission's COVID-19 related messages on public health – including vaccines - and on EU political actions in response to the pandemic. At the same time, it coordinated the Corporate Communication Coronavirus Task Force, in view to maximise the Commission's outreach on COVID-19 action at EU, Member States, regional and local level, liaising also with other EU institutions.

When it comes to sound financial management, a set of emergency, DG Communication issued exceptional financial guidelines in order to adapt operations to rapidly evolving circumstances and to mitigate a number of risks. DG Communication was able to have a clearer understanding of the concrete impact of the its exceptional COVID-19 related measures on the ground with a specific survey among senior and middle managers, which did not provide evidence of substantial problems related to sound financial management in DG Communication.

As outlined in DG COMM's Strategic Plan 2016 – 2020 and the respective annual Management Plans 2016-2020, 'external factors and actions by other stakeholders are likely to enable or limit (the DG's) achievements'

Necessarily, the degree of control or influence of the Commission varies along the chain of communication actions and steps (of the intervention logic): whereas the Commission has full control over the outputs of its own actions, various external factors and players exert influence on the final outputs, results and impacts of EU action. This general observation applies to EU policy and law-making interventions, but it applies in particular to its communication actions.

Communication typically is a flanking measure, subject to externalities of two types. Firstly, communication actions and the perception of their effects are influenced by the content / substance of the dossiers which are supported by communication actions throughout the policy and decision-making process (legislation and enforcement as well as programmes / EU (co-)funding). Secondly, communication takes place in a complex environment of 27 national public spaces and an emerging European public space, all of those heavily influenced by, among others, the following factors (mutually influencing each other):

- International, national and regional political factors
- Level of trust in political institutions (international, national) and in media
- Media habits/practice/attitude
- Technological developments, notably in the information and communications technologies

With these important factors and constraints in mind, DG COMM has established 3 main key performance indicators and follows their evolution to measure the fulfilment of the general objective:

1. **Percentage of European Union citizens having a positive image of the European Union** (impact indicator of the overarching objective): 40 % in summer in 2020 target of  $\geq 50$  %
2. **Number of visitors to the EUROPA websites** (interinstitutional and Commission domains including the Representations' and Spokesperson's service): 305,028,564 in 2020 vs. a target of 250,000,000.
3. **Budget execution by commitments** (output indicator defined in Management Plan): 100 % for 2020 vs. a 100 % target.

In 2020, 40%<sup>2</sup> of European citizens have a positive image of the European Union, which is a 2% drop as compared to the 42% achieved in 2019. This indicator reacts sensitively to changes in the overall economic and social environment which was dominated

<sup>2</sup> External factors and actions by other stakeholders have strong influence on the value of this indicator. The degree of control or influence of the Commission varies along the chain of steps: whereas the Commission has full control over the outputs of its own actions, various external factors and players exert influence on the results and impacts of EU actions. This general observation applies to all EU policy and law-making interventions, but it pertains in particular to its communication actions.

by the effects of the COVID 19 crisis, hence the 2% decrease. On the other hand, the crisis considerably reinforced citizens' request for more information, which is reflected by a significant increase in visitors that have visited the Europa website.

The Europe Direct Contact Centre answered over 147,000 questions from citizens in 2020, representing a 19.5% increase compared to 2019. Some 22,000 (15%) of these questions related to the COVID-19 crisis and to the EU's response to it. The Contact Centre also continued to act as 'Brexit helpline' for citizens as part of the Commission's overall Brexit preparedness and readiness, handling over 4,000 Brexit-related enquiries (2.72% of the total number of enquiries).

The coherence, relevance and cost effectiveness of the Commission's web presence on Europa further improved through the strengthening of governance, better editorial and visual alignment of websites across the European Commission and increased standardisation of Information Technology solutions. In 2020, more than 300 million visitors visited the Europa website compared to 250 million in 2019.

In relation to future-oriented activities, the Commission needs to remain up to speed with the constantly evolving communications industry and media environment, anticipating trends and challenges, for example in the following fields:

- highly increase in digital and virtual communication. Due to the impossibility to organise face to face events due to Covid-19 crisis;
- innovative communication services such as social media, including in particular more localised social media messaging via representations;
- graphic design and multimedia productions, to comply with the increasing demand for attractive and visual media content;
- the increasing need for data analytics and fact-checking/rebuttals in the context of disinformation / fake news, to enhance the Commission's rebuttal and myth-busting capacity;

More details on specific objectives and indicators are found in the following sections.

### 3.2. Key achievements

DG Communication headquarters, together with the Spokesperson's Service and the Representations in the Member States, communicate with the media, stakeholders and citizens on European policies and their direct impact on citizens' daily activities. As per its Annual Activity Reports, the Directorate-General for Communication achievements in 2014 to 2020 are based on the general and specific objectives defined in its Strategic Plan 2014-2020.

The general overarching communication objective shared across the whole 'communication domain' of the Commission 2016 to 2020 was to ensure that 'citizens perceive that the EU is working to improve their lives and engage with the EU. They feel that their concerns are taken into consideration in the European decision-making process and they know about their rights in the EU'.

To reach this general objective, DG COMM defined a number of specific objectives depending on the client groups targeted. As detailed in DG COMM Strategic Plan 2016-2020 intervention logic, there are 3 main focus groups: 1) College, Cabinets and Services; 2) Line DGs, and 3) Citizens, media, multipliers and stakeholders.

Specific objectives per target group are then for example 'use of political reports, analysis and feed-back by the College and Cabinets' or 'Building a coherent web presence' or 'Citizens are in direct communication with the Commission' amongst others.

Examples of key achievements per specific objectives are detailed in the DG COMM Annual Activity Report and in this Programme Statement, as illustrated in the small selection below:

466 000 000	77 %	20 %	
to all Commission owned websites enrolled in Europa Analytics <sup>3</sup> .	Average satisfaction rate for the core website of the EU in 2020.	Overall growth in visits for the Europa domain including a 70% increase in visitors for the European Commission site in 2020.	

<sup>3</sup> +-390 websites.

<b>200</b>	<b>126</b>	<b>50</b>	
Press conferences organised by the <b>Spokesperson's Service</b> in 2020.	Midday briefings organised by the Spokesperson's Service.	Publication of news articles focusing on the messages and activities of the President of the Commission.	

<b>1 500</b>	<b>55 720</b>	<b>138 281</b>	
Number of <b>audiovisual products</b> provided to the College in 2020.	Number of TV uptakes from 'Europe by Satellite <sup>(4)</sup> ' (in minutes).	Number of items downloaded (Audio/Video/ Photo).	

<b>6 575</b>	<b>360</b>	<b>96.2%</b>	
Information Events organised by the <b>Europe Direct Information Centres</b> in 2020.	Events to increase awareness of the cohesion policy benefits in the regions.	Users who would recommend the Europe Direct Information Centre in 2020.	

<b>147 245</b>	<b>in 24</b>	<b>85%</b>	
Questions answered by the <b>Europe Direct Contact Centre</b> in 2020.	Official EU Languages	Satisfaction rate on queries answered in 2020.	

<sup>(4)</sup> The European Union's TV information service which provides EU related audiovisual material via satellite and online to media professionals.

<b>1 700 000</b>	<b>109</b>	<b>7 329 000</b>	
Visits to the <b>EU Learning corner in 2020</b> ,	Published factsheets	Number of readers / visits to publications and online materials for the general public and for young people in 2020.	

### 3.3. Evaluations, studies and reports

In 2020, DG Communication concluded the study, 'Study on Eurobarometer'. The key findings of this study were the following:

- The main focus of the study was to perform a global analysis of Eurobarometer activities within the Commission, benchmark Eurobarometer against other international surveys, show Eurobarometer's strengths and weaknesses and indicate successes and possible improvements.
- The main findings of the report include: 1) Eurobarometer's use in EU publications, Impact Assessments and academic literature is increasing over the years; 2) Eurobarometer is perceived as a trustworthy and reliable source of data within the Commission; 3) Eurobarometer is considered a unique tool in Europe in its combination of topics, timescales and geographical coverage.
- DG Communication is working on the study's recommendations, notably to improve:
  - the user friendliness and use of data (by improving the accessibility and dissemination of data through a new inter-institutional database and website as well as by adapting the format of the EB publications) and
  - internal coordination and cooperation among the Commission services (by making available more information on methodology and collection of data, by reassessing the DG Communication internal organisation and by using existing Commission-wide networks).

Concerning the forthcoming studies there are two on-going studies:

- 'Review of EC publications for citizens ' (December 2019-February 2021);
- 'Study on youth audience sub-segmentation' (May 2020- May 2021);

The planned studies to start in 2021 or later:

- 'Study on prizes and awards in the Commission' (June 2021 – December 2021);
- 'Study on target audience analysis 'A Europe Fit for the Digital Age' (2021- 2022);
- 'Study on Europe by satellite (2021-2022);
- 'Monitoring and evaluation of the communication actions under the NextGenerationEU umbrella' (February 2022- October 2024);
- 'Evaluation/Study on EC social media accounts' (2022 – 2023);
- 'Study on Europa site' (2022-2023);
- 'Evaluation/Study on the Europe Direct Contact Centre'(October 2023 – March 2024);
- 'Evaluation/Study on the Europe Direct Information Centres' (2023 - 2024);
- 'Evaluation/Study on EC Visitors' Centre and on Experience Europe RP14' (2024- 2025).
- 'Evaluation/Study on the joint strategy for the House of Europe (Before the EP elections of 2024);
- 'Evaluation/study - European Elections 2024' (June 2024 – August 2024);
- 'Evaluation/study of the corporate minimum requirements for communication and visibility under the long-term budget 2021-27' (2026 – 2026).

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :A modern, high-performing and sustainable European Commission (general objective)**

**Indicator 1:Positive and fairly positive views on the image for the European Union**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Annual
Cut-Off Date	31/12/2020
Data source	EC Eurobarometer
Link to the objective	The indicator gives the share of positive and fairly positive views on the image of the European Union.
Link MFF 14-20 / MFF 21-27	Link to MFF 14/20 General Objective 1, Indicator 1: Percentage of EU citizens having a positive image of the EU
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

### Specific Objective 2 :College and services use country specific intelligence, Eurobarometer results, media analysis and stakeholders'/citizens' feedback to inform political decision-making

**Indicator 1:Political reporting products provided by the Representations covering reactions in all Member States on EU topics**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of Reports - Annual
Cut-Off Date	31/12/2020
Data source	EC DG COMM, Political reporting tool
Link to the objective	This indicator is directly linked to Specific Objective 2
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	N/a
Justification of the trend	N/A

### Specific Objective 3 :College receives strategic advice on communicating the headline ambitions and on media landscapes in the Member States

**Indicator 1:Audio visual products provided to the College ( messages, interviews, statements, clips)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of Audiviosual products - Annual
Cut-Off Date	31/12/2020
Data source	EC DG COMM, Survey
Link to the objective	This indicator is directly linked to Specific Objective 3
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

### Specific Objective 4 :Corporate communication of the Commission's headline ambitions is aligned across the Commission's departments

**Indicator 1: Specific contracts concluded using Corporate Communication Framework Contracts**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of Contracts - Annual
Cut-Off Date	31/12/2020
Data source	EC DG COMM, Survey
Link to the objective	This indicator is directly linked to Specific Objective 4
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

**Specific Objective 5 : Meaningful and tailored messages, focussed on the Commission's headline ambitions, are communicated to citizens, media, multipliers and stakeholders****Indicator 1: Target audience able to recall the messages of corporate campaigns**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage- Annual
Cut-Off Date	31/12/2020
Data source	EC DG COMM, Survey
Link to the objective	This indicator is directly linked to Specific Objective 5
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

**Indicator 2: Users satisfied with the answers received from the Europe Direct Contact Centre**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage - Annual
Cut-Off Date	31/12/2020
Data source	EC DG COMM, Survey
Link to the objective	This indicator is directly linked to Specific Objective 5
Link MFF 14-20 / MFF 21-27	Link to MFF 14/20 Sp 3 , Indicator 3: Satisfaction rate on queries replied by the EUROPE DIRECT Contact centre
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

**Indicator 3: Visits to the European Commission core site (ec.europa.eu)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target

Milestones									
Actual Progress									
									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of visits - Annual
Cut-Off Date	31/12/2020
Data source	EC DG COMM, Survey
Link to the objective	This indicator is directly linked to Specific Objective 5
Link MFF 14-20 / MFF 21-27	Due to technology update this indicator will measure visits and not unique visitors ; Link to MFF 14/20 Sp 1 Indicator 6: Number of unique visitors to the EUROPA website.
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

### Specific Objective 6 :Citizens engage with the EU through face-to-face events and online interactive platforms, such as the Conference on the Future of Europe, thus stimulating the sharing of EU values and interest in and ownership of EU topics

#### Indicator 1:Engagement rate on social media

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	On track
Indicator type	Result
Unit of measurement	Engagements / Impressions x100 OR directly: the indicated engagement rate x 100 - Annual
Cut-Off Date	31/12/2020
Data source	DG COMM social media metric
Link to the objective	This indicator is directly linked to Specific Objective 6
Link MFF 14-20 / MFF 21-27	Link MFF 14/20 SP 1 Indicator 7: Number of followers/fans/subscribers of the EU Commission social media corporate accounts including the Representations
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

#### Indicator 2:Visitors to the Visitors' Centre per year

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of visits - Annual
Cut-Off Date	31/12/2020
Data source	EC DG COMM, Survey
Link to the objective	This indicator is directly linked to Specific Objective 6
Link MFF 14-20 / MFF 21-27	Link to MF 14/20 SP 1 Indicator 4: Percentage of visitors to the Commission very satisfied with the visits
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	N/A

#### Indicator 3:Events organised by EDICs

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target

	Milestones									
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of visits - Annual
Cut-Off Date	28/02/2021
Data source	EC DG COMM, Survey
Link to the objective	This indicator is directly linked to Specific Objective 6
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	n/a

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous FIN 1 : Statement on Financial Intervention of the Communication Policy Area*

**General Objective 1 :Citizens perceive that the EU is working to improve their lives and engage with the EU. They feel that their concerns are taken into consideration in European decision making process and they know about their rights in the EU.**

**Indicator 1:Percentage of EU citizens having a positive image of the EU**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
0,39				0,32	0,34	0,36	0,50			0,50
	Actual Progress									Final
	0,39	0,37	0,35	0,40	0,43	0,42	0,40			0,40

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Percentage - Annual
Cut-Off Date	30/08/2020
Data source	EC Eurobarometer
Link to the objective	Direct link to General Objective 1
Link MFF 14-20 / MFF 21-27	Link to MFF 21/27 SP 1 , Indicator 1: Positive and fairly positive views on the image for the European Union
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	The evolution from 43% to 40%, could be explained by the change in context brought by the pandemic and the anticipation of difficulties in the economy.

**Specific Objective 1 :A simple, clear, understandable message is communicated to citizens explaining the direct impact of EU policies on their lives.**

**Indicator 1:Percentage of the 100 top press releases consulted in EN with more than 10 000 online views**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
43%		60%		65%						
	Actual Progress									Final
		65%	100%	17%						

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rapid reporting – DG COMM. Website reported data: As of 2017, data comes from a new web analytics tool(Europa Analytics) based on the open-source platform Piwik It provides more accurate reporting than the previous, older tool (SAS Analytics) and this is reflected in this year's reported data

	for all Europa websites. On average, the new corporate analytics tool records 60% less unique visitors and visits than the previous one. This is due mainly to document downloads and internal site searches being recorded as separate indicators in the tool (e.g. as 'downloads' and 'site searches'). See IPG: <a href="http://ec.europa.eu/ipg/services/analytics/faq_en.htm#section_3_5">http://ec.europa.eu/ipg/services/analytics/faq_en.htm#section_3_5</a>
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Discontinued Indicator
Full metadata available at this address	
Justification of the trend	Since 2018 the statistical tool used by the Commission to track the online traffic was changed and this indicator was no longer in line with the reality of the Spokespersons' Service work. The current indicator "Percentage of the top 100 press releases consulted in English (EN) with more than 10 000 online views " was changed to "Number of online views of all press releases".

**Indicator 2: Number of multimedia productions downloads**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
96143		120000		150000	130000	130000	140000			140000
	Actual Progress									Final
	146094	179964	119700	112326	137861	37261	138281			138281

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of downloads - Annual
Cut-Off Date	31/12/2020
Data source	AV Analytics and Web Analytics.
Link to the objective	This indicator is directly linked to Specific Objective 1
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	For 2019, the figures were low due technical issues related to the new Audiovisual portal. The data concerning photo items were missing for the period from March to December 2019, so the forecast was influenced by this issue. For 2020, the technical problem was solved and the final count is very close to the projected target announced in the programme statement (140,000). However, exact projections in the areas covered by this indicator are not possible due to the unpredictable nature of news. For 2020, the trend is positive and in line with changing media consumption patterns.

**Indicator 3: Satisfaction rate on queries replied by the EUROPE DIRECT Contact centre**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0,82				0,85	0,90	0,90	0,95			0,95
	Actual Progress									Final
	0,83	0,87	0,84	0,875	0,842	0,853	0,85			0,85

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage rate - Annual
Cut-Off Date	31/12/2020
Data source	Ratings extracted from the EDCC citizens' enquiries database and submitted in monthly reports.
Link to the objective	This indicator is directly linked to Specific Objective 1
Link MFF 14-20 / MFF 21-27	Linked to MFF 21/27 SP 5; Indicator 2 : Users satisfied with the answers received from the Europe Direct Contact Centre.
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	For 2020, the trend is on track / stable as confirmed by satisfaction surveys. The contractual target is 80%, which has been consistently met throughout the lifetime of the Centre. The rate is also heavily dependent on the content, not only on the service. Very complex projects, such as WiFi4EU, with a difficult implementation timeline (cancelled application, external IT issues) impacted significantly the overall Europe Direct Contact Centre satisfaction rate. The achieved rate is aligned to overall industry standards.

**Indicator 4: Percentage of visitors to the Commission very satisfied with the visits**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0,69				0,80	0,85	0,90	0,90			0,90

	Actual Progress								Final
	0,80	0,90	0,94	0,93	0,90	0,83	0,91		0,91

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage Rate - Annual
Cut-Off Date	31/12/2020
Data source	Forms filled in by each visiting group.
Link to the objective	This indicator is directly linked to Specific Objective 1
Link MFF 14-20 / MFF 21-27	Change of measure to Number of visitors and not percentage of visitors' satisfaction Linked to MFF 21/27 - SP 6 Indicator 2: Visitors to the Visitors' Centre per yearLinked to MFF 21/27 - SP 6 Indicator 2: Visitors to the Visitors' Centre per year
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	The trend is on track (Commission officials replacing external speakers were only introduced as 2018/19, virtual visits introduced in 2020).

#### Indicator 5:Percentage of participants at Representations and European Public Spaces events agree that the event improved their knowledge of EU issues

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
71%				80%	75%	75%	75%			75%
	Actual Progress									Final
	71%	77%	75%	75%	74%	84,0%	91.1%			91.1%

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage Rate - Annual
Cut-Off Date	31/12/2020
Data source	Based on responses to questionnaires distributed after events.
Link to the objective	This indicator is directly linked to Specific Objective 1
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	The trend is positive reflecting more targeted event (virtual events predominant in 2020)

#### Indicator 6:Number of unique visitors to the EUROPA website

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
258298695	258298695	233635		300000000	130000000	218076623				250000000
	Actual Progress									Final
	258298695	233635832	220420315	140053076	218076623	254190470	305028564			305028564

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of unique visitors - Annual
Cut-Off Date	31/12/2020
Data source	SAS Analytics 2017: Europa Analytics.
Link to the objective	This indicator it directly linked to Specific Objective 1
Link MFF 14-20 / MFF 21-27	The changes in the technology made the baseline no longer comparable with the interim milestone and target defined in the 2016-2020 Strategic-Plan. Hence New MFF21/27 this indicator was re-defined accordingly to SP 5; Indicator 3: Visits to the European Commission core site (ec.europa.eu).
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	The trend is very positive, reflecting changing media consumption patterns.

#### Indicator 7:Number of followers/fans/subscribers of the EU Commission social media corporate accounts including the Representations

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Twitter										
2013	Milestones									2020
172 000		391 417	608 000	850 000	1 000 000	903 000	1 000 000			1 000 000
	Actual Progress									Final

	319 000	510 631	675 000	876 032	1 012 505	1 192 111	1,424,224			1,424,224
Facebook										
2013	Milestones									2020
230 000		481 250	545 000	750 000	950 000	780 000	800 000			800 000
	Actual Progress									Final
	417 500	537 017	633 700	778 696	882 847	1 014 197	1,145,194			
Google+										
2013	Milestones									2020
711 000		1 308 583	1 407 667	1 900 000	1 900 000	1 780 000	1 800 000			1 800 000
	Actual Progress									Final
	1 211 500	1 597 844	1 700 000	1 680 000	1 663 057		N/A			N/A
LinkedIn										
2013	Milestones									2020
174 591		241 326	308 061	365 000	450 000	508 265	575 000			575 000
	Actual Progress									Final
	174 591	243 601	309 000	370 000	517 216	818 572	1,064,240			1,064,240
EUtube										
2013	Milestones									2020
22 500		31 000	35 000	45 000	50 000	46 000	50 000			50 000
	Actual Progress									Final
	28 100	33 372	38 500	43 100	50 531	88 500	98,900			98,900
Representations: Twitter										
2013	Milestones									2020
88 000				540 000	613 000	735 000	883 000			883 000
	Actual Progress									Final
	164 000	306 000	420 000	511 000	559 000	607 373	644 000			644,000
Representations: Facebook										
2013	Milestones									2020
150 000				670 000	980 000	1 324 000	1 788 000			1 788 000
	Actual Progress									Final
	251 000	374 000	500 000	727 000	887 000	970 005	998 000			998 000

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of followers - Annual
Cut-Off Date	31/12/2020
Data source	Engagor (corporate social media monitoring tool) and the data available on the social media platforms themselves.
Link to the objective	This indicator is directly linked to Specific Objective 1
Link MFF 14-20 / MFF 21-27	Link to MFF 21/27 SP 6 Indicator 1: Engagement rate on social media
Other methodological comments	Due to Google closing of platform this indicator changed to number of followers on Instagram: 539,050
Full metadata available at this address	
Justification of the trend	The trend is very positive, reflecting changing media consumption patterns.

#### Indicator 8: Percentage of participants agreeing that the Citizens' Dialogue event improved their knowledge on EU issues

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
		30%	70%	80%						
	Actual Progress									Final
		73%	77%							

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Based on information collected on the site through voting devices or on responses to questionnaires distributed after events.
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Discontinued Indicator
Full metadata available at this address	
Justification of the trend	Percentage of participants agreeing that the Citizens' Dialogue event improved their knowledge on EU issues" has been discontinued in the 1st semester of 2017 because this method did not deliver meaningful insights/results.

**Specific Objective 2 :A coherent and effective corporate communication is developed and maintained.****Indicator 1:Digital Transformation/overall completions**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
547		1 class transitioned 50%, 3 classes transitioned 25%, (8.3% overall completion)	4 themes transitioned 100%, 3 themes transitioned 50%, (37% overall completion)	15 themes at 100%, (100% overall completion)	One coherent web presence for the entire Commission, to be continuously improved and maintained.	One coherent web presence for the entire Commission, to be continuously improved and maintained.	One coherent web presence for the entire Commission, to be continuously improved and maintained.			One coherent web presence for the entire Commission, to be continuously improved and maintained.
	Actual Progress									Final
	133 websites cut for all DGs; 925 070 webpages cut.	8 classes at 15%, (8 % overall completion)	(31% overall completion)	15 themes at 100%, (100% overall completion)	One coherent web presence for the entire Commission to be continuously improved and maintained.	One coherent web presence for the entire Commission to be continuously improved and maintained.	One coherent web presence for the entire Commission to be continuously improved and maintained.			One coherent web presence for the entire Commission to be continuously improved and maintained.

Are we on track	On track
Indicator type	Result
Unit of measurement	Annual
Cut-Off Date	31/12/2020
Data source	Commission sites inventory.
Link to the objective	This indicator is directly linked to Specific Objective 2
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	Trend on Track (major change management project)

**Specific Objective 3 :Country specific information and analysis are fed into College's decision making process****Indicator 1:Number of political and economic reports and analysis produced**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
940				500	450	400	500			500
	Actual Progress									Final
	940	634	606	437	478	572	1335			1335

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of reports - Annual
Cut-Off Date	31/12/2020
Data source	Political reporting tool and statistics on ESO reports (DG COMM).
Link to the objective	This indicator is directly linked to Specific Objective 3
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	Trend positive, notably because of increased report production during corona-year 2020

**Indicator 2:Satisfaction rate on the media monitoring services**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
		60%		76%	75%	70%	75%			75%
	Actual Progress									Final
		76%		80%	70,5%		84%			84%

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage Rate – Annual
Cut-Off Date	23/12/2020
Data source	DG COMM survey.
Link to the objective	This indicator is directly linked to Specific Objective 3
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	The high satisfaction rate could be explained by the constant adaption of the services to the needs of the von der Leyen Commission since December 2019.

### Indicator 3: Satisfaction rate concerning Eurobarometer products

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
				70%	70%	70%	75%			
	Actual Progress									Final
					80%	79%	N/A			

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage Rate – Annual
Cut-Off Date	31/12/2019
Data source	COMM.A1 survey - Survey conducted as of 2018 annually each Autumn.
Link to the objective	This indicator is directly linked to Specific Objective 3
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	N/A
Full metadata available at this address	
Justification of the trend	Two internal “EB satisfaction questionnaires” were carried out: one for 2017/2018 projects (global satisfaction rate of 7,96/10) and one for 2019 projects (global satisfaction rate of 7,86/10). This means the situation is “stable” (79% as compared to 80%) as this evolution is not significant. The next review will be conducted at the end of 2021, grouping 2020 and 2021 surveys.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

Not applicable

### 6.2. Contribution to biodiversity mainstreaming

Not applicable

### 6.3. Contribution to clean air financing

Not applicable

### 6.4. Contribution to gender equality

Not applicable

### 6.5. Contribution to the sustainable development goals

Not applicable

**HEADING 3A: Market related expenditure and direct payments****Common Agricultural Policy (CAP)****Lead DG: AGRI**

Associated DGs: ESTAT, JRC

1. Overview .....	780
1.1. Challenges .....	780
1.2. Mission (general objectives) .....	781
1.3. Specific objectives .....	781
1.4. Public intervention context .....	781
1.5. Actions .....	782
1.6. Delivery mode .....	782
1.7. Graphic overview of the programme structure .....	782
1.8. Legal basis and financial programming .....	782
1.9. Link with the 2014-2020 MFF .....	783
1.10. Relevant websites providing more information .....	784
2. Where are we in the implementation ? .....	784
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	784
3. How is the programme performing ? .....	791
3.1. Performance .....	791
3.2. Key achievements .....	797
3.3. Evaluations, studies and reports .....	800
5. Programme 2014-2020 - Key monitoring indicators .....	804
Previous Program 1 : European Agricultural Guarantee Fund (EAGF) .....	804
General Objective 1 : To promote a viable food production .....	804
General Objective 2 : To promote a sustainable management of natural resources and climate action .....	808
General Objective 3 : To promote a balanced territorial development .....	811
Specific Objective 1 : To improve the competitiveness of the agricultural sector and enhance its value share in the food chain .....	811
Specific Objective 2 : To foster market stability .....	812
Specific Objective 3 : To better reflect consumer expectations .....	814
Specific Objective 4 : To sustain farmers' income stability by providing direct income support .....	816
Specific Objective 5 : To promote a more market oriented agriculture, by ensuring a significant level of decoupled income support .....	817
Specific Objective 6 : Contribute to the enhancement of the environmental performance of the CAP through the greening component of the direct payments. Contribute to the development of sustainable agriculture and to making the Common Agricultural Policy more compatible with the expectations of the society through the cross compliance system. Contribute to preventing soil erosion, maintaining soil organic matter and soil structure, ensuring a minimum level of maintenance and avoiding the deterioration of habitats, and protecting and managing water through the standards of good agricultural and environmental condition of land .....	817
Specific Objective 7 : To promote local agricultural production and to ensure a fair level of prices for commodities for direct consumption and for processing by local industries in the Outermost Regions of the EU and in the Aegean Islands .....	820
Specific Objective 8 : To provide the Commission with reasonable assurance that Member States have put in place management and control systems in conformity with EU rules designed to ensure the legality and regularity of the underlying transactions financed by the EAGF, EAFRD, SAPARD and IPARD and, where this is not the case, to exclude the expenditure concerned from EU financing so as to protect the EU's financial interests .....	824
Specific Objective 9 : To inform and increase awareness of the CAP by maintaining an effective and regular dialogue with stakeholders, civil society, and specific target audiences .....	825

Specific Objective 10 :To facilitate decision making on strategic choices for the CAP and to support other activities of the DG by means of economic and policy analyses and studies.....	825
Previous Program 2 : European Agricultural Fund for Rural Development (EAFRD).....	826
Specific Objective 1 :Fostering knowledge transfer and innovation in agriculture forestry and rural areas (Priority 1).....	826
Specific Objective 2 :Enhancing farm viability and competitiveness of all types of agriculture in all regions and promoting innovative farm technologies and sustainable management of forests (Priority 2).....	828
Specific Objective 3 :Promoting food chain organisation, including processing and marketing of agricultural products, animal welfare and risk management in agriculture (Priority 3).....	828
Specific Objective 4 :Restoring, preserving and enhancing ecosystems related to agriculture and forestry (Priority 4).....	829
Specific Objective 5 :Promoting resource efficiency and supporting the shift towards a low carbon and climate resilient economy in agriculture, food and forestry sectors (Priority 5).....	831
Specific Objective 6 :Promoting social inclusion poverty reduction and economic development in rural areas (Priority 6) ...	833
6. The programme contribution to horizontal policies .....	835
6.1. Contribution to climate mainstreaming.....	835
6.2. Contribution to biodiversity mainstreaming.....	836
6.3. Contribution to clean air financing.....	838
6.4. Contribution to gender equality .....	838
6.5. Contribution to the sustainable development goals.....	838

## **Overview**

### **Challenges**

*The presentation of the Common Agricultural Policy (CAP) in this section is a preview of the policy applicable from 2023 onwards according to the reform proposals currently under discussion by the co-legislators<sup>5</sup>. The text may be adapted according to the regulations finally adopted.*

EU agriculture and rural areas face developments that have significantly changed since the implementation of the last reform of the Common Agricultural Policy (2015):

- higher market-price uncertainty has replaced the high price/high volatility and high co-movement environment after the financial crisis;
- trade negotiations have moved from multilateral to bilateral and regional agreements;
- new EU international commitments on Climate Change and on Sustainable Development Goals added new dimensions to the challenges and opportunities facing the CAP.

The new European Green Deal reinforces the need to support the transition towards a knowledge-based fully sustainable agricultural sector.

In that context, EU's agriculture and rural areas face challenges related to:

- the economic health of the farm sector, both at the level of income and competitiveness, in the current uncertain global context;
- the need to preserve natural resources in a context of climate change (requiring action both regarding mitigation and adaptation); and
- the need to preserve the economic and social fabric for the EU's rural areas.

The CAP must be further modernised to meet these challenges, simplified to do so with a minimum of administrative burden, and made even more coherent with other EU policies to maximise its contribution to the Sustainable Development Objectives.

<sup>5</sup> Proposal for a Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common Agricultural Policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council (COM(2018) 392); Proposal for a Regulation of the European Parliament and of the Council on the financing, management and monitoring of the Common Agricultural Policy and repealing Regulation (EU) No 1306/2013 (COM(2018) 393); Proposal for a Regulation of the European Parliament and of the Council amending Regulations (EU) No 1308/2013 establishing a common organisation of the markets in agricultural products, (EU) No 1151/2012 on quality schemes for agricultural products and foodstuffs, (EU) No 251/2014 on the definition, description, presentation, labelling and the protection of geographical indications of aromatized wine products, (EU) No 228/2013 laying down specific measures for agriculture in the outermost regions of the Union and (EU) No 229/2013 laying down specific measures for agriculture in favor of the smaller Aegean islands (COM(2018) 394).

Europe needs a smart, resilient, sustainable and competitive agricultural sector in order to ensure the production of safe, high-quality, affordable, nutritious and diverse food for its citizens and a strong socio-economic fabric in rural areas. A modernised Common Agricultural Policy must enhance its European added value by reflecting a higher level of environmental and climate ambition and addressing citizens' expectations for their health, the environment and the climate.

### **Mission (general objectives)**

The global and cross-border nature of the challenges faced by the EU agricultural sector and rural areas requires a strong common policy at EU level.

EU Budget support from the European Agricultural Guarantee Fund (EAGF) and the European Agricultural Fund for Rural Development (EAFRD) aims to further improve the sustainable development of farming, food and rural areas and shall contribute to achieving the following EU objectives:

- foster a smart, resilient and diversified agricultural sector ensuring food security;
- bolster environmental care and climate action and to contribute to the environmental- and climate-related objectives of the Union;
- strengthen the socio-economic fabric of rural areas.

### **Specific objectives**

Ten key objectives will be the basis upon which the future common agricultural policy (CAP) strategic plans will be built and will be the cornerstone of a more results-oriented policy. The objectives are:

1. Support viable farm income and resilience across the Union to enhance food security;
2. Enhance market orientation and increase competitiveness, including greater focus on research, technology and digitalisation;
3. Improve the farmers' position in the value chain;
4. Contribute to climate change mitigation and adaptation, as well as sustainable energy;
5. Foster sustainable development and efficient management of natural resources such as water, soil and air;
6. Contribute to the protection of biodiversity, enhance ecosystem services and preserve habitats and landscapes;
7. Attract young farmers and facilitate business development in rural areas;
8. Promote employment, growth, social inclusion and local development in rural areas, including bio-economy and sustainable forestry;
9. Improve the response of EU agriculture to societal demands on food and health, including safe, nutritious and sustainable food, food waste, as well as animal welfare
10. Modernising the sector by fostering and sharing of knowledge, innovation and digitalisation in agriculture and rural areas, and encouraging their uptake

### **Public intervention context**

The common agricultural policy (CAP) is a genuinely European policy as Member States pool resources to operate a single European policy with a single European budget. The objectives of the CAP as laid out in Article 39 of the Treaty of the Functioning of the European Union (TFEU) are:

- to increase agricultural productivity;
- to ensure a fair standard of living for the agricultural community;
- to stabilise markets;
- to assure the availability of supplies;
- to ensure that supplies reach consumers at reasonable prices.

The Treaty objectives, together with horizontal policy clauses (e.g. on the protection of the environment, consumer protection and animal welfare), provide the framework for all EU initiatives and activities.

The CAP is financed through two funds:

- the European Agricultural Guarantee Fund (EAGF) and

- the European Agricultural Fund for Rural Development (EAFRD).

By its assurance and audit activities, the Directorate General for Agriculture and Rural Development (DG AGRI) verifies that the conditions under which controls and payments have been carried out by the Member States give reasonable assurance that the CAP expenditure has been effected in conformity with EU rules and, where it is not the case, exclude the expenditure concerned from EU financing.

DG AGRI contributes to the negotiation of international agreements impacting on agricultural policy (trade in agricultural products, quality policy, food security etc.), contributes to the implementation of such international agreements and manages the relations with third countries related to agriculture.

By its regulatory and enforcement actions, DG AGRI prepares legislative proposals, negotiates these with the other EU institutions and monitors their implementation to ensure a harmonised application. The DG manages various Commission regulations laying down detailed implementing rules as well as their adaptation over time. DG AGRI also deals with infringements, control of implementation of the acquis, complaints and Ombudsman inquiries.

## Actions

The implementation of the future Common Agricultural Policy will take place in the form of 27 different CAP Strategic Plans. These plans will be programming instruments where Member States will present their proposed interventions to achieve the EU specific objectives.

The interventions will include actions funded by both the EAGF and the EAFRD. CAP Strategic Plans will be assessed and formally adopted by the European Commission and, once established, Member States will periodically report on the progress made in the implementation using a system of common indicators.

The EAGF will fund the following types of interventions:

1. Direct Payments: a) Decoupled direct payments: the basic income support for sustainability; the complementary redistributive income support for sustainability; the complementary income support for young farmers; the schemes for the climate and the environment; b) Coupled direct payments
2. Sectorial interventions: a) fruit and vegetables sector; b) apiculture products sector; c) wine sector; d) hops sector; e) olive oil and table olives sector; f) other sectors.

The EAFRD will fund the following types of interventions:

- (a) environmental, climate and other management commitments; (b) natural or other area-specific constraints; (c) Area-specific disadvantages resulting from certain mandatory requirements; (d) investments; (e) installation of young farmers and rural business start-up; f) risk management tools; g) cooperation; h) knowledge exchange and information.

The implementation of the new CAP Strategic Plans is scheduled to begin as of 2023.

A number of EAGF schemes will continue to be financed outside the CAP strategic plans, i.e.: private and public storage measures, exceptional measures; school schemes; information and promotion measures and support for the outermost regions and smaller Aegean islands.

## Delivery mode

Shared management; DG AGRI is the leading DG.

## Graphic overview of the programme structure

### Legal basis and financial programming

#### Legal basis

#### EAGF

Legal Basis	Period of application	Reference Amount (EUR million)
-------------	-----------------------	--------------------------------

Procedure 2018/0216/COD COM (2018) 392: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council Procedure 2018/0217/COD COM (2018) 393: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the financing, management and monitoring of the common agricultural policy and repealing Regulation (EU) No 1306/2013 Procedure 2018/0218/NLE COM (2018) 394: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Regulations (EU) No 1308/2013 establishing a common organisation of the markets in agricultural products, (EU) No 1151/2012 on quality schemes for agricultural products and foodstuffs, (EU) No 251/2014 on the definition, description, presentation, labelling and the protection of geographical indications of aromatised wine products, (EU) No 228/2013 laying down specific measures for agriculture in the outermost regions of the Union and (EU) No 229/2013 laying down specific measures for agriculture in favour of the smaller Aegean islands	2021 - 2027	290 534,0
--	-------------	-----------

**EAFRD**

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0216/COD COM (2018) 392: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council Procedure 2018/0217/COD COM (2018) 393: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the financing, management and monitoring of the common agricultural policy and repealing Regulation (EU) No 1306/2013 Procedure 2018/0218/NLE COM (2018) 394: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Regulations (EU) No 1308/2013 establishing a common organisation of the markets in agricultural products, (EU) No 1151/2012 on quality schemes for agricultural products and foodstuffs, (EU) No 251/2014 on the definition, description, presentation, labelling and the protection of geographical indications of aromatised wine products, (EU) No 228/2013 laying down specific measures for agriculture in the outermost regions of the Union and (EU) No 229/2013 laying down specific measures for agriculture in favour of the smaller Aegean islands	2021 - 2027	87 998,3

**Legal basis explanation****Financial programming table**

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
EAGF	40 368,0	40 298,9	41 518,0	41 649,0	41 782,0	41 913,0	42 047,0	289 575,8
EAFRD	17 732,7	18 410,5	12 108,9	12 108,9	12 108,9	12 108,9	12 108,9	96 687,6
<b>CAP</b>	<b>58 100,7</b>	<b>58 709,4</b>	<b>53 626,9</b>	<b>53 757,9</b>	<b>53 890,9</b>	<b>54 021,9</b>	<b>54 155,9</b>	<b>386 263,4</b>

**Link with the 2014-2020 MFF**

Regulation (EU) 2020/2220 prolongs the current CAP regulations in 2021 and 2022, within the budgetary framework of Council Regulation (EU, Euratom) 2020/2093 of 17 December 2020 laying down the multiannual financial framework for the years 2021-2027.

The new CAP, which will apply as of 1 January 2023, has been designed to cope with the challenges identified for the period 2023-2027. The central elements of the CAP proposals are a new performance-based delivery model, focussing on results rather than on compliance and 27 national CAP strategic plans.

To support the elaboration of the CAP Strategic Plans, DG AGRI established a Structured Dialogue with Member States as well as prepared recommendations. DG AGRI, in close cooperation with other Commission services, coordinated the establishment of this Structured Dialogue and the adoption of the Recommendations<sup>6</sup>. As stated in the Farm to Fork Strategy<sup>7</sup>, the recommendations address the specific economic, environmental and social objectives of the future Common Agricultural Policy and in particular the ambition and specific targets of the Farm to Fork Strategy and the Biodiversity Strategy for 2030.

The recommendations describe the main challenges per Member State and how they can be addressed in their Strategic Plans to meet the objectives of a viable agricultural sector, producing in a sustainable way and maintaining the social fabric of the rural areas.

## Relevant websites providing more information

<https://ec.europa.eu/info/food-farming-fisheries>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

#### *European Agricultural Fund for Rural Development (EAFRD)*

The EAFRD funding in budget years 2021 and 2022 will be implemented under the CAP transitional rules, agreed by the legislators at the end of 2020 (Regulation (EU) 2020/2220). The reform of the CAP, with the introduction of Member States' CAP Strategic Plans, is scheduled to be implemented as of 2023.

The total EAFRD budget request for 2022 amounts to EUR 12.7 billion in commitment appropriations and EUR 14.7 billion in payment appropriations, mainly to finance EAFRD support under the rural development programmes. A minor part of these amounts covers the technical assistance at the initiative of the Commission (EUR 30.3 million in commitment appropriations and EUR 25.2 million in payment appropriations).

For 2022, an additional amount stemming from the European Union Recovery Instrument will also be available for the EAFRD (EUR 5.7 billion in commitment appropriations).

### 2.2. programmes 2014-2020 : Cumulative implementation rate and explanations

#### *European Agricultural Guarantee Fund (EAGF)*

	Commitments	Payments
Implementation Voted budget	298 320 045 425	297 341 582 699
Implementation carry-overs	3 017 294 160	3 827 943 139
Implementation total	301 337 339 585	301 169 525 839
total envelop*	301 949 944 888	
cumulative implementation rate	100%	100%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

#### Market related expenditure

Within the Common Market Organisation (CMO), sector-specific support programmes are operating at various points in their respective life cycles.

- For example, for the wine national support programmes, 2019-2023 is the third programming period since the reform in 2009. Support in the wine programmes is concentrated in restructuring of vineyards, investments and wine promotion.
- The apiculture programmes follow a three-year programming period. In 2020, the current programmes were in their first year of implementation (period 2020-2022<sup>8</sup>).

<sup>6</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cap-strategic-plans\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cap-strategic-plans_en)

<sup>7</sup> COM(2020) 381 final

<sup>8</sup> Commission Implementing Decision (EU) 2019/974 of 12 June 2019, OJ L 157, 14.6.2019.

- Support for producer organisations in the fruit and vegetables sector is implemented on the basis of annual plans. Operational programmes are implemented over several years.
- The support programmes to producers' and inter-branch organisations in the olive oil and table olives sector concern normally a three-year programming period (April 2018-March 2021). Three Member States (France, Greece and Italy) benefit of this support programme. The next programming period will start in April 2021 and run until December 2022, as agreed in the frame of the CAP transitional rules (Regulation (EU) 2020/2220).

The EU school fruit, vegetables and milk scheme, bringing together the former school fruit and school milk schemes under a single legal framework, applies since school year 2017/2018. All Member States participate in it<sup>9</sup> – in 2020, the UK continued to participate according to the Withdrawal Agreement.

In 2020, the Commission adopted a range of market intervention and exceptional measures to support the agricultural and food sectors most affected by the Covid-19 pandemic, i.e.:

- (1) [private storage aid](#) for dairy products (skimmed milk powder, butter and cheese) and meat products (beef, sheep and goat meat),
- (2) temporary derogation from certain EU competition rules, with the possibility for operators in the milk, flowers and potatoes sector to self-organise and implement market measures at their level and
- (3) flexibility for [market support programmes for wine, fruit and vegetables, table olives and olive oil, apiculture and the EU school fruit, vegetables and milk scheme](#).

### Direct payments

For direct payments, financial years 2014 and 2015 covered pre-reform schemes. In addition, in 2015 the EAGF covered already some elements of the 2013 CAP reform, including the convergence of the direct payments' aid levels between Member States ("external convergence"). As of financial year 2016, the new structure of direct payments has been financed. Beyond the compulsory elements of the new direct payments schemes, Member States have considerable flexibility in the implementation, following their main implementation choices made in 2014. These choices allow Member States to target support at their specific priorities.

The Commission services have since 2014 assisted Member States in preparing and implementing the reformed direct payments through, for example, guidance documents or discussions in expert group meetings. Implementation of the direct payments has steadily improved over the years. This implementation of the direct payments has been also accompanied by a green Declaration of Assurance from the European Court of Auditors for 2016 - the first year of implementation of the 2013 reform of the direct payments schemes. Direct payments have been free from material error since then.

For financial year 2021, transitional rules have been adopted to ensure the continuation of the system applicable since 2016. In particular, Member States have the possibility to take decisions in terms of the flexibility between the CAP pillars which was initially applicable until financial year 2020 only (see below). As regards the process of convergence of the basic payment per hectare in those Member States using the system of payment entitlements for which Member states had set targets up to 2020, it was ensured that this can also be continued, although such continuation is only optional for Member States.

### Forthcoming implementation

Taking into account the delay in the ongoing legislative procedure for the reform of the Common Agricultural Policy for the period post 2020 and in order to assure the continuity in granting income support to farmers and in supporting rural development measures in 2021 and 2022, the Commission presented two proposals containing the necessary transitional arrangements. These were adopted by the co-legislators during 2020, including a two-year transitional period:

- Regulation (EU) 2020/127 of the European Parliament and of the Council of 29 January 2020 amending Regulation (EU) No 1306/2013 as regards financial discipline as from financial year 2021 and Regulation (EU) No 1307/2013 as regards flexibility between pillars in respect of calendar year 2020;
- Regulation (EU) 2020/2220 of the European Parliament and of the Council of 23 December 2020 laying down certain transitional provisions for support from the European Agricultural Fund for Rural Development (EAFRD) and from the European Agricultural Guarantee Fund (EAGF) in the years 2021 and 2022 and amending Regulations (EU) No 1305/2013, (EU) No 1306/2013 and (EU) No 1307/2013 as regards resources and application in the years 2021 and 2022 and Regulation (EU) No 1308/2013 as regards resources and the distribution of such support in respect of the years 2021 and 2022.

### Justification of changes to the financial programming and/or to the performance information for market measures

<b>08 02 03 – Market-related expenditure outside the CAP Strategic Plans</b>	<b>(appropriations + EUR 43 million)</b>
Appropriations in 2021 budget:	2 618.1

<sup>9</sup> Greece started to implement the scheme as of school year 2018-2019.

Appropriations requested in 2022 DB:	2 661.1
--------------------------------------	---------

The estimated budgetary needs for market-related expenditure in 2022 are slightly higher than in budget 2021 (+ EUR 43 million). Estimated expenditure for the Member States' wine programmes and support to the fruit and vegetables sector represent around three-quarter of the requested appropriations for budget article 08 02 03. This budget article finances also support for the outermost regions (POSEI), smaller Aegean islands, agricultural information and promotion actions, beekeeping programmes as well as the school schemes, with 2022 budget needs for these schemes showing overall only a minor variation compared to 2021.

Owing to their perishable nature of the goods and their prices being relatively high, fruit and vegetables are immediately concerned by poor economic performance. Similarly, demand for EU dairy products depends substantially on increasing demand abroad. If this is reduced due to economic downturn, the fresh milk has to be processed into large quantities of storable butter and skimmed milk powder. This usually leads to steep price drops. Overall, the uncertainty regarding the outlook for most agricultural markets remains and especially the uncertainty due to Brexit and US sanctions play a role in the development of the export demand for EU agro-food products. For olive oil, a high production for one campaign together with very high stocks led to opening a private storage aid scheme in 2019. For dairy products (skimmed milk powder, butter, cheese), beef, and sheep and goat meat, private storage aid schemes were opened in 2020 in the context of the Covid-19 pandemic. However, no remaining expenditure is expected for these schemes in 2022. Moreover, outbreaks of Avian Influenza and African Swine Fever in some Member States might cause market disturbance in the affected areas. However, the Draft Budget 2022 includes no appropriations for market support measures related to outbreaks of animal diseases or any other exceptional situation.

As usual, the Commission will update its estimates in an Amending Letter to the Draft Budget 2022, which will then take into account latest market developments and perspectives, especially linked to the Covid-19 pandemic.

#### *Justification of changes to the financial programming and/or to the performance information for direct payments*

<b>08 02 05 – Direct payments</b>	<b>(appropriations - EUR 56 million)</b>
Needs in 2021 budget before financial discipline (incl. crisis reserve):	38 934
Needs in 2021 budget after financial discipline:	38 051
Appropriations in 2021 budget after financial discipline:	37 432
Estimated assigned revenue available in 2021 budget:	619
Amount of financial discipline in 2021 budget (incl. crisis reserve):	882.9

Needs in 2022 DB before financial discipline (incl. crisis reserve):	38 424
Needs in 2022 DB after financial discipline:	37 927
Appropriations requested in the 2022 DB after financial discipline:	37 376
Estimated assigned revenue available in 2022 DB:	551
Amount of financial discipline in 2022 DB (incl. crisis reserve):	497.3

The maximum amount of direct payments which a Member State may pay in a financial year is limited by the ceiling set in Annex III to Regulation (EU) No 1307/2013. For calendar year 2021 (financial year 2022), the initial total of Annex III amounted to EUR 38 364 million. By 19 February 2021, certain Member States<sup>10</sup> notified their decision to transfer amounts between direct payments and rural development, which overall resulted in a net decrease of EUR 619 million in the direct payment ceilings for calendar year 2021. The allocation of the national envelopes to the different schemes depends to a large extent on Member States' decisions. Within the changes due to the decrease in the overall amount, certain changes between schemes have occurred, reflecting Member States' implementation choices.

In financial year (FY) 2021, the financial discipline mechanism<sup>11</sup> must be applied both to set up the crisis reserve (EUR 487.6 million in current prices) and to respect the EAGF net ceiling for financial year 2021. In FY 2022, the financial discipline is only needed to establish the crisis reserve (EUR 497.3 million), reducing accordingly the budget needs for the direct payment budget items. The need for financial discipline will be re-assessed, as appropriate, in the context of the autumn Amending Letter to the Draft Budget 2022.

For direct payments (chapter 08 02 05), the 2022 budgetary needs after financial discipline decrease by EUR 124 million to an amount of EUR 37 927 million. However, requested appropriations for this article decrease by EUR 56 million, as significantly less assigned revenue is expected to be available to finance the Basic payment scheme (from EUR 619 million in FY 2021 to EUR 551 million in FY 2022). As a consequence, the requested appropriations amount to EUR 37 376 million in FY 2022, including appropriations for the crisis reserve (EUR 497.3 million under item 08 02 05 11).

<sup>10</sup> Croatia, Luxembourg, Hungary, Malta, Poland, Portugal and Slovakia notified transfers to rural development, while Czechia, Denmark, Germany, Greece, France, Latvia and the Netherlands notified transfers to direct payments. In addition, Bulgaria, Czechia, Denmark, Estonia, Ireland, Greece, Spain, Italy, Latvia, Hungary, the Netherlands, Poland, Portugal, Slovakia and Finland notified an amount for the estimated product of reduction of direct payments to be transferred to rural development.

<sup>11</sup> Article 26 of Regulation (EU) No 1306/2013

The needs after financial discipline for the Basic payment scheme are estimated at EUR 14 725 million, which is EUR 66 million less than in FY 2021. The needs after financial discipline for the Single area payment scheme (SAPS) amount to EUR 4 433 million, an increase by EUR 27 million compared to budget year 2021. Other schemes show minor changes compared to financial year 2021, reflecting the stabilisation in the execution of these schemes. For the Payment for agricultural practices beneficial for the climate and the environment, the needs keep stable at EUR 10 780 million after financial discipline, only EUR 2 million higher than in the 2021 budget. For the Redistributive payment, needs remain similar (+ EUR 2 million) at EUR 1 612 million after financial discipline and the needs for the young farmers scheme decrease by EUR 5 million at EUR 569 million. The Voluntary coupled support scheme decreases slightly by EUR 13 million at EUR 4 006 million. The Small farmers scheme is financed from the ceilings available for other schemes. Based on the experience with the execution in previous years showing a decreasing trend, the budget needs for this scheme are estimated at EUR 621 million, EUR 86 million lower than in 2021.

***Justification of changes to the financial programming and/or to the performance information for SO 7 (POSEI)***

***Market-related expenditure***

<b>08 02 03 01 – POSEI + Smaller Aegean Islands</b>	<b>(appropriations + EUR 5 million)</b>
Appropriations in 2021 budget:	224
Appropriations requested in 2022 DB:	229

***Direct payments***

<b>08 02 05 01 – POSEI + Smaller Aegean Islands</b>	<b>(appropriations + EUR 6 million)</b>
Appropriations in 2021 budget:	431
Appropriations requested in 2022 DB:	437

For the support to the outermost regions (POSEI) and smaller Aegean islands, the programmes are divided into two types of measures: specific supply arrangements financed under item 08 02 03 01 and support for the local products which are split into market aids (item 08 02 03 01) and direct payments (item 08 02 05 01).

The requested appropriations for DB2022 increase slightly as the Member States concerned notified only minor modifications of their programmes, the financial allocations of these programmes were kept unchanged as agreed in the frame of the CAP transitional rules and a lower rate of financial discipline will have to be applied in 2022 compared to 2021.

***Justification of changes to the financial programming and/or to the performance information for SO 8***

To assist Member States carrying out on the spot checks and/or the checks by monitoring on aid applications, satellite imagery acquired is made available to the national authorities allowing them to determine the area of agricultural parcels, to identify crops and verify their status. Compared to budget 2021, the costs for the acquisition of satellite images and data management for 2022 remain at EUR 10.5 million. In addition, for Draft Budget 2022, commitment appropriations (EUR 1.8 million) and payment appropriations (EUR 1.1 million) are requested for the administrative arrangement for related technical support needed to ensure and strengthen the quality and the technical implementation of the Integrated Administration and Control System (IACS) and the Land Parcel Identification System (LPIS) and the transition from CAPISA2 to CAPISA3.

***Justification of changes to the financial programming and/or to the performance information for SO 9***

Budget item 08 02 06 03 - EAGF operational technical assistance will also finance the communication efforts of the Commission in relation to the CAP. The overall needs for Draft Budget 2022 for communication are estimated at EUR 15.8 million. This includes EUR 4.0 million destined for grants to third party organisations. Other external communication actions in 2022 financed under this budget item, such as conferences, media activities, attendance in fairs, publications, web and social media activities, will focus on the relevance of the CAP in particular in relation with the growth, jobs and investments priority theme and will amount to EUR 4.4 million. The scope, choice and intensity of these communication actions will be in line with the 2022 External Communication Action Plan of the Directorate General for Agriculture and Rural Development.

In 2022 the EAGF will also contribute to the Corporate Communication Strategy of the Commission with around EUR 7.8 million, with the EAFRD contributing EUR 3.4 million (under budget item 08 03 02).

***Justification of changes to the financial programming and/or to the performance information for SO 10***

The **Farm Accountancy Data Network (FADN)** data are essential tools for the monitoring of agriculture income and business which are used for the evaluation and the impact analysis of the agricultural measures. They provide support to the decision-making process related to the CAP. The appropriations requested for 2022 for the FADN (EUR 16.7 million) are intended to finance the standard fee for FADN farm returns transmitted by the Member States (81 795 \* EUR 180) and the development and maintenance of the information system used for the collection, processing, analysis, publication and dissemination of the farm accountancy data and analysis results (EUR 1.9 million).

Information from **Farm Structure Surveys** is systematically used in extended impact assessments, evaluation and policy conception, particularly regarding the regional situation of specific sectors. The content of the surveys is regularly adapted to answer new needs for agricultural and rural development policy and other policies (in particular regional, social and environmental

policy). In 2022, EUR 20 million in commitment appropriations are needed for the agricultural census 2023-2026. Payment appropriation needs for 2022 are EUR 28.2 million to cover payments against the past and new commitments.

Under **restructuring of systems for agricultural surveys**, the Draft Budget 2022 includes EUR 2.3 million in commitment and payment appropriations for the MARS agro-meteorological system used for monitoring crops and forecasting yields of the main crops in Europe and its neighbourhood. Furthermore, EUR 3.0 million in payment appropriations is included for the LUCAS project for surveys gathering information on land cover, land use and landscapes, while EUR 3.6 million in payment appropriations is destined for the maintenance, development and use of modelling tools used by the Commission in its agricultural economic and policy analysis including MARS neighbourhood.

### ***European Agricultural Fund for Rural Development (EAFRD)***

	<b>Commitments</b>	<b>Payments</b>
Implementation Voted budget	<b>98 324 297 611</b>	<b>63 780 339 905</b>
Implementation carry-overs	<b>1 970 095 304</b>	<b>10 506 587</b>
Implementation Recoveries		<b>1 288 161 516</b>
Implementation total	<b>100 294 392 915</b>	<b>65 079 008 008</b>
total envelop*	<b>100 312 280 489</b>	
cumulative implementation rate	<b>100%</b>	<b>65%</b>

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

### ***Implementation Status***

The implementation of the 2014-2020 rural development programmes (RDPs) remains at cruising speed. In 2020, Member States submitted their fifth Annual Implementation Reports (AIRs) on the implementation of the RDPs covering implementation until 31 December 2019.

For the 2014-2020 period, a number of initiatives were launched to improve efficiency and effectiveness of EAFRD expenditure:

- To facilitate the implementation of the EU funds, the EAFRD implementing regulation was already modified in April 2016. In addition, the EAFRD basic act was modified in 2017 through the so-called Omnibus Regulation<sup>12</sup>, amongst others to improve risk management tools for farmers, reduce administrative burden for beneficiaries and simplify conditions for financial instruments. Finally, the implementing regulation on administration and control systems (Regulation (EU) No 809/2014) was also modified in July 2017 to simplify control rules for non-area related measures.
- Simplified Cost Options (SCOs) are being increasingly used by Member States and regions in order to improve the efficiency and effectiveness of EAFRD support and to reduce the administrative burden. Currently around 76% of the RDPs are using at least one type of SCOs and the number is expected to increase. As an example, flat rates are used to cover indirect costs, unit costs for training activities or investments and lump sums for cooperation actions. Member States and regions are introducing more SCOs in the context of RDPs amendments and this trend is expected to continue. The Commission has greatly promoted the use of SCO through dedicated seminars and other networking activities.
- More than 30 workshops and capacity building events have been organised by the European Network for Rural Development since 2015 in order to share best practices and experience and to help stakeholders (including, among others, managing authorities, paying agencies, EU-wide organisations, local action groups, evaluators, etc.) to work together in a strategic manner and enhance the performance of rural development programmes. The timing and the content of the events has been specifically designed in agreement with the Commission services (in particular the Directorate General for Agriculture and Rural Development) according to the different stages of the programming cycle (e.g. defining selection criteria at the launching phase of the programmed, or addressing bottlenecks in RDP implementation in view of preparing for the Performance Review or starting the discussions on the CAP reform) and to better exploit the potential of the

<sup>12</sup> Regulation (EU) 2017/2393, OJL 350, p.15

programmes to deliver on specific issues of political relevance (e.g. generational renewal, Smart Villages, biodiversity or farm resilience).

- An increased awareness of implementation feasibility and possible errors is guaranteed through an ex-ante assessment of the rural development measures by Member States, aiming to ensure they are verifiable and controllable and taking into account the results of controls in the previous programming period.
- Regulation (EU) 1303/2013 was amended by Regulation (EU) 2020/558 of 23 April 2020 as a response to the COVID-19 outbreak. To facilitate the implementation of the EU funds and support final recipients affected by the Covid-19 health crisis the modified Common Provision Regulation allows the provision of a stand-alone working capital through EAFRD supported financial instruments. This has a significant positive implication with regards the demand for any of the instruments introducing this new possibility, reduces the administrative burden associated with control and monitoring of the instruments, and simplifies the conditions for financial instruments.
- Subsequently, Regulation (EU) 1305/2013 was also amended by Regulation (EU) 2020/872 as a response to the COVID-19 outbreak. In particular, an exceptional temporary measure was introduced aimed at providing relief to farmers or small-medium sized agri-businesses affected by COVID-19, and to ensure liquidity over the crisis period (max EUR 7 000 per farmer and max EUR 50 000 per SME). The EAFRD support for these measures is limited to a maximum of 2% of the total EAFRD contribution to the rural development programmes. As part of the CAP transitional rules, the implementation of this exceptional measure was subsequently prolonged until 30 June 2021 (with expenditure for this measure now eligible if paid by latest 31 December 2021).
- Under the technical assistance programme fi-compass, in total 34 cases of targeted coaching on financial instruments for EAFRD managing authorities were carried out over 2016-2020 of which 4 new were done in 2020. We undertook 4 EU-wide conferences with 561 attending participants in total. They formed part of the 22 conferences on EAFRD-supported financial instruments organised in the period 2015-2020. In 2020, a study assessing the gaps in financing agriculture and agro-food sectors in 24 Member States was published and the 24 national reports were disseminated. The activities related to dissemination of information were adapted to the new way of online working during the Covid-19 health crisis period and were provided through social media, specific brochures, websites, communication newsletters, etc.
- Considering the state of play in the discussions with the co-legislators on the future CAP and in order to ensure continuity in support to CAP beneficiaries in 2021 and 2022, Regulation (EU) 2020/2220 was adopted of 23 December 2020 providing certain transitional rules for the CAP for 2021-2022. This regulation aims to extend the rural development programmes by 2 years, whereby the extended programmes shall follow the existing legal framework, and adding the EAFRD allocation for the years 2021 and 2022 ('old rules – new money' principle). Furthermore, this transitional regulation also sets out the legal basis to introduce the part of the European Union Recovery Instrument earmarked to be implemented via the EAFRD into the rural development programmes. These additional financial resources shall be implemented through RDP measures that are directed at addressing the impact of the COVID-19 crisis.
- In addition, a regulation was adopted by the co-legislators end January 2020<sup>13</sup> to provide amongst others the flexibility for Member States to transfer funds between the CAP pillars for calendar year 2020.

### ***Programmes' implementation 2014-2020 (Common Strategic Framework), without pre-financing\****

Thematic objectives of the Common Strategic Framework	Commitments 2014-2020 EUR million (1)	Cumulative payments declared by Member-states at end 2020 (2)	(2)/(1)%
1. Strengthening research, technological development and innovation Outputs:	2,127.65	531.08	25.0%
2. Enhancing access to, use and quality of, information and communication technologies Outputs:	922.21	298.66	32.4%
3. Enhancing the competitiveness of the agricultural sector Outputs:	28,916.93	16,130.17	55.8%
4. Supporting the shift towards a low-carbon economy Outputs:	4,074.55	2,227.96	54.7%
5. Promoting climate change adaptation, risk prevention and management Outputs:	21,306.47	16,134.09	75.7%
6. Protecting the environment and promoting resource efficiency Outputs:	25,452.96	18,449.04	72.5%
7. Promoting sustainable and quality employment and supporting labour mobility Outputs:	2,303.25	990.53	43.0%

<sup>13</sup> Regulation (EU) 2020/127 of the European Parliament and of the Council of 29 January 2020 amending Regulation (EU) No 1306/2013 as regards financial discipline as from financial year 2021 and Regulation (EU) No 1307/2013 as regards flexibility between pillars in respect of calendar year 2020, [OJ L 27, 31.1.2020, p. 1-5](https://eur-lex.europa.eu/eli/reg/2020/127/oj)

Thematic objectives of the Common Strategic Framework	Commitments 2014-2020 EUR million (1)	Cumulative payments declared by Member-states at end 2020 (2)	(2)/(1)%
8. Promoting social inclusion and combating poverty Outputs:	11,792.63	5,461.02	46.3%
9. Investing in education, training and vocational training for skills and lifelong learning Outputs:	888.10	346.65	39.0%
<b>TOTAL</b>	<b>97,784.73</b>	<b>60,569.22</b>	<b>61.9%</b>

\*The above allocation of commitments into thematic objectives is indicative based on the Member States' programmes, situation at the end of 2020. The breakdown can be subject to changes due to possible modification of the RDPs. The cumulative amounts of payments declared by Member States are provided until Q3 2020. The cumulative payments **do not include pre-financing**, as they cannot be split per thematic objective. The amounts for Technical Assistance Measures and Discontinued Measures are not included as they do not contribute to any of the thematic objectives.

Overall, the Annual Implementation Reports screening for 2019 confirms a steady acceleration in spending levels compared to the first years of implementation. By end 2020, the budgetary commitments reached 100% of allocations for 2014-2020. Spending levels reached around 65% of total EAFRD resources for the same period (percentage of interim payments made to MS in comparison to total allocation). This is still a lower pace of implementation compared to the one reached at the equivalent point in time of the previous programming period (75%). This is due to the one year delay of the start several of the 2014-2020 rural development programmes. This implementation level for the EAFRD stands above the average implementation rate of other ESI Funds in terms of payments declared. The implementation rate should be assessed considering different factors. First, from the end of 2020, there remain still three years of the implementation period. Second, the overall level of commitment at EU level reached 100% until Q3 2020. Finally, in the case of rural development, a part of the expenditure is realised during the last years of implementation. The latter is mainly related to the late realisation of some investment projects, such as the ones for broadband development, which contribute to the relatively low implementation of thematic objective (TO) 2. The rather low execution rate of local development strategies (TOs 8 and 9) can be explained by a later implementation. Area related payments, generally associated with agri-environmental-climate commitments follow a more regular (annual) path, which explain the better implementation in TOs 5 and 6. For TO 1, the uptake and achievement of results is not yet fully in place. This is explained by the late start the measures chosen by MS, partially due to the need to adapt to the changes in the legal framework and the fact that some measures are new and have a longer project lifetime (e.g. cooperation projects and the new measure European Innovation Partnership for Agricultural Productivity and Sustainability).

#### Information about financial instrument(s) and trust fund(s) financed by the Programme

Financial instruments (FI) are a key tool for providing access to finance for the farming sector and the rural economy. They also allow, by leveraging with private capital and by their revolving nature, to complement the rural development budget. EAFRD already met the target of doubling the use of FIs as compared to the 2007-2013 programming period.

By end 2020, FIs supported by the EAFRD are programmed in 33 RDPs in thirteen Member States with a total EAFRD allocation of EUR 609 million. The amount declared to the Commission till end of 2020 equals to EUR 185 million. By end 2020, 19 Paying Agencies declared expenditure for FIs under RDPs.

Under the technical assistance programme *fi-compass*, in total 34 cases of targeted coaching on financial instruments for EAFRD managing authorities' were carried out over 2016-2020 of which 4 new were done in 2020. We undertook 4 EU-wide conferences with 561 attending participants in total. They formed part of the 22 conferences on EAFRD-supported financial instruments organised in the period 2015-2020. In 2020, a study assessing the gaps in financing agriculture and agro-food sectors in 24 Member States was published and the 24 national reports were disseminated. The activities related to dissemination of information were adapted to the new way of online working during the Covid-19 health crisis period and were provided through social media, specific brochures, websites, communication newsletters, etc. The Commission also continued the discussions with the Council and the EP on the new CAP proposal where FIs will continue to play an important part to foster investments in agriculture and rural areas, and which also introduced further legal and implementation simplifications.

Contributions were also made to the launch of the Just Transition Mechanism the Recovery and Resilience Fund as well as to the various work streams of InvestEU such as the Sustainability Proofing Guidelines (taxonomy), the Climate and Environmental Tracking, product fiches, etc.

#### Forthcoming implementation

As a result of the implementation of rural development programmes, the following targets, amongst others, are expected to be achieved at the level of the Union at the end of the programming period (target 2023 based on 2014-20 MFF allocations, as RDPs are not yet amended for the two-year transitional period): 28 million hectares of agricultural land concerned by commitments targeting biodiversity; 53% of the total rural population (147.5 million inhabitants) living in areas for which local development strategies are implemented by selected LEADER Local Action Groups (LAGs); investments in improved energy efficiency for more than 17 000 farms; support for about 176 000 young farmers to set up their businesses and for more than 320 000 farmers to

modernise and improve their production facilities. As for the rural business outside the farms gate, some 33 000 rural entrepreneurs are to receive support to develop their businesses.

The expected achievements, such as referred to above, depend on appropriate implementation rules for the EAFRD 2014-2020 expenditure, balancing purposeful policy framing and procedural simplification. The first effects on the simplification actions adopted through the Omnibus Regulation, namely regarding the use of simplified costs options and financial instruments as well as support for risk management could already be noticed in 2018: several Member States have requested to amend their rural development programmes in order to use these possibilities, while more and more Member States are extending the use of simplified cost options.

Throughout 2020 the majority of Member States amended their rural development programmes to include also short and long term responses to the COVID-19 pandemic. In many cases, this implied changes in the RDP strategies and respective adaptations to the target values in the indicator plan as well as financial reallocations.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.3. Previous programme performance**

###### ***European Agricultural Guarantee Fund (EAGF)***

The EAGF provides the funding for direct payments to farmers and market measures for the farming sector. As such, it is not a project that starts from the drawing table and finishes at the end of the MFF. It provides, year after year, stability and support to incomes for the farming sector or re-establishes stability following market disturbances.

In 2020, the Commission took a series of measures to support the European agricultural sector in view of the COVID-19 pandemic. This included amongst others several storage measures that allowed to stabilise certain markets affected by the pandemic. The continuous flow of direct payments provided a stable income for farmers in an uncertain and volatile business environment. Due to the trade agreement with the UK reached at the end of 2020, Brexit did not have any material effect, yet, on EU agricultural markets in 2020. There was no need to deploy any additional support measures under the EAGF for that purpose.

Farmers have to fulfil a number of legal and good agricultural and environmental conditions to be eligible for this income support. This gives an incentive to put farmers in the direction of a more sustainable way of working.

Overall, the EAGF is essential to provide stability for the farming sector and is an essential driver towards a sustainable future.

Following the outbreak of the Coronavirus, the European Union's agri-food sector is showing its resilience and continues to provide Europeans with high quality and safe food. Since the start of the pandemic, there has been no significant shortages in the food supply. Nonetheless, farmers and producers are facing difficulties and increasing pressure. Maintaining food security remains one of the priorities. Thus, the Commission has been in close contact with EU countries and sectoral organisations to closely monitor the situation on the agricultural markets. The Commission has issued practical advice and guidelines on the movement of goods and critical workers. The Commission also took a range of measures to support and stabilise agricultural markets, including private storage aid, authorisation for self-organisation of producers/operators and flexible use of market support programmes<sup>14</sup>. In 2020, an amendment to the rural development basic act was also adopted to provide exceptional temporary support under the European Agricultural Fund for Rural Development<sup>15</sup>. Finally, CAP procedures have been further simplified to guarantee that beneficiaries will continue to get the support they need during these challenging times.

#### **To promote a viable food production**

In order to promote a viable food production, one of the main objectives of the CAP is to ensure a fair standard of living for the agricultural community, in particular by increasing the individual earnings of farmers and agricultural employees engaged in agriculture. Agricultural factor income per full-time worker is increasing compared to 2013 levels (the agricultural factor income measured as index increased from 112 in 2013 to 123 in 2019) as well as the total factor productivity in the agricultural sector. However, agricultural income is lagging behind income compared to the rest of the economy and it is more volatile due to agricultural price volatility as well as variability of yields exacerbated by the effects of climate change.

A support study for the evaluation of the impact of CAP measures towards the general objective of 'viable food production' was published on 12 November 2020<sup>16</sup>. It confirms that direct payments allow farmers to better cope with the negative income effects caused by drops in agricultural prices, hence contribute to the stability of farms income. Yet, despite CAP direct support, a large share (74% in 2015) of farm labour does not reach the benchmark of the average national labour productivity. The study observed

<sup>14</sup> See OJ L 140, 4.5.2020, pages 1 to 39

<sup>15</sup> OJ L 204, 26.6.2020, p. 1–3

<sup>16</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/impact-cap-measures-towards-general-objective-viable-food-production\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/impact-cap-measures-towards-general-objective-viable-food-production_en)

that the CAP 2014-2020 allowed increasing efficiency, by better targeting support to farms which needed it most. However, the study argued that part of the expenditure (33% of total direct support in 2015) could be saved or redistributed more efficiently to farmers that need it most (i.e. farms that do not reach the reference benchmark). Furthermore, EU market prices are moving closer to world market prices meaning that EU farmers have become more competitive internationally while receiving non-trade distorting support. In addition, the evaluation study found that market measures helped to limit domestic prices volatility of most agricultural products. For most agricultural products concerned by market measures, volatility of domestic prices is lower than that of international prices.

Despite the positive performance of the agricultural sector, there are still important challenges that need to be addressed in the following years: farmers' income is still lagging behind salaries in the whole economy and remains dependent on direct support. On average for the last five years<sup>17</sup>, around 40% of the agricultural entrepreneurial income of the EU-farming community depends on direct support. Furthermore, a substantial part of the sector continues to face low profitability - due inter alia to the EU's high production standards, high costs of production factors and the fragmented structure of the primary sector. The crisis reserve, introduced in the 2013 reform, did not have to be called upon so far. This crisis reserve is financed each year from a cut in the direct payments to farmers (so-called financial discipline) and subsequently this cut is reimbursed to the farmers one year later. All market support measures adopted since 2014 were financed from existing EAGF availabilities and there was no need to activate the crisis reserve. The 2018 proposals for the CAP reform foresee a new agricultural reserve, financed under the EAGF ceiling and avoiding a yearly cut in direct payments and with a roll-over of the unused amounts to the next year. The agricultural reserve will finance all storage and exceptional measures, making it much more flexible and simpler reserve to address market disturbances.

In that context, the proposals for the CAP post-2020 will aim, among other objectives:

- to support viable farm income and resilience across the Union to enhance food security;
- to enhance market orientation and increase competitiveness, including greater focus on research, technology and digitalisation; and
- to improve the farmers' position in the value chain.

### **To promote a sustainable management of natural resources and climate action**

Greenhouse gas (GHG) emissions from agriculture have declined substantially between 1990 and 2010. However, the long-term decrease in greenhouse gas emissions from agriculture has slowed down in recent years. Since then, emission levels appear to be relatively stable but slightly increased in 2017. This is mainly due to an increase of the EU cattle herd, an augmented use of fertiliser as well as the farm management of cropland. The Commission services continue to monitor closely the evolution of this indicator and the future CAP will pay specific attention to it. The support study<sup>18</sup> of the evaluation of the impact of the CAP on climate change and GHG emissions assessed the impact of CAP measures on agriculture's GHG emissions and on the sector's ability to adapt to climate change. The study found that although the CAP has a strategic objective in respect of climate action, it lacks specific targets.

The support study of the evaluation of the impact of the CAP on water, published on 27 March 2020<sup>19</sup>, highlighted that Member States' implementation choices determine the extent to which the CAP measures and instruments meet the EU objective of sustainable management of water. Almost all farmers benefiting from the CAP support systematically implement cross-compliance and greening measures, which are considered effective in maintaining minimum practices beneficial for water. For the necessary adaptation of agriculture to climate change, greater attention should be paid to quantitative water issues, notably water savings.

The support study of the evaluation of the impact of the CAP on habitats, landscapes and biodiversity, published on 27 March 2020<sup>20</sup>, concluded that the presence of the CAP has raised Member States' ambition towards addressing biodiversity objectives as well as the level of funding. However, more could be done by Member States to ensure that their biodiversity priorities are well reflected in their CAP decisions. Member States have not sufficiently used the available CAP instruments and measures to protect semi-natural features, in particular grassland. This challenge is to be addressed in the future CAP, which will be mainly done via the Good Agricultural and Environmental Conditions (GAEC's), for example GAEC 1: 'maintenance of permanent grassland' and GAEC 9 that contains, for example, the conditions 'retention of landscape features' and 'a minimum share of agricultural land devoted to non-productive features or areas.'

Despite the positive contribution of the CAP to improve the environmental performance of the EU agricultural sector, substantial environmental challenges remain. The EU has committed itself to further deep cuts in greenhouse gas emissions; the key natural resources of soil, air and water are still under pressure in many areas; and the available indicators on farm and forest biodiversity still do not paint a rosy picture. European citizens expect the CAP to make a stronger contribution to care for the environment and climate. Furthermore, there is a need to improve the effectiveness and targeting of the policy. Taking these challenges into account, the future CAP has an explicit commitment to "aim higher" with regard to the environment and climate. At the same time, taking

<sup>17</sup> Please refer to Specific objective 4, indicator 1.

<sup>18</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/evaluation-policy-measures/sustainability/evaluation-cap-climate-change-and-greenhouse-gas-emissions\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/evaluation-policy-measures/sustainability/evaluation-cap-climate-change-and-greenhouse-gas-emissions_en)

<sup>19</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-water\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-water_en)

<sup>20</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-habitats-landscapes-biodiversity\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-habitats-landscapes-biodiversity_en)

into account the need for simplification, the current "greening measures" are replaced by a new green architecture based on the following three objectives:

- contribute to climate change mitigation and adaptation, as well as sustainable energy;
- foster sustainable development and efficient management of natural resources such as water, soil and air; and
- contribute to the protection of biodiversity, enhance ecosystem services and preserve habitats and landscapes.

The European Green Deal, and especially the Farm to Fork Strategy, aims to make the European food system more sustainable, amongst others by reducing the use and risk of chemical pesticides and the use of more hazardous pesticides, by reducing nutrient losses, the use of fertilisers and the sales of antimicrobials for farmed animals and in aquaculture. The Green Deal will set the ambition of the future CAP in this regard.

### To promote a balanced territorial development

Rural development policy through the CAP lifts the economic resilience of both the farm sector and non-agricultural businesses through support for setting up businesses, business development and diversification, building knowledge, making investments, establishing (and getting connected to) infrastructure and services (including in relation to ICTs), pursuing innovation and working with others in new ways. Among others, the employment rate in rural areas has increased and the gap with urban areas has disappeared. 68.9 % of the population aged 15 to 64 were in jobs in rural areas, an increase of 5.5 percentage points compared to 2013.

While many rural areas remain vibrant and continue to thrive, the impact of ageing and depopulation affects negatively some rural areas, notably those facing socio-economic decline. Demographic change presents a number of challenges for European society, not least for rural communities. Rural areas are a core part of our identity and our economic potential offering many opportunities that need support in order to be fully unleashed. These challenges and opportunities will be explored in the Long-Term Vision for Rural Areas.

### European Agricultural Fund for Rural Development (EAFRD)

The EAFRD allocates the largest share of public expenditure (EU funding plus national funding) to Specific objective 4 'restoring, preserving and enhancing ecosystems' and the targets set of 2023 to support land management practices beneficial for the biodiversity, water and soil have all been reached.

Measures specifically designed to address climate action (Specific objective 5) only represent a small share of the total public support of rural development. However, the number of planned hectares under management contracts to address the reduction of greenhouse gas emission has been reached, whereas for example investments in renewable energy (indicator 3) is lagging somewhat behind.

In general, investment type of measures take a longer time to be fully implemented compared to annual type of measures, which explains to a large extent the distance to the targets.

For example, the rural population, benefitting from (IT) infrastructure (SO6, indicator 5) is only at 22% of the target and knowledge transfer (SO1, indicator 1) is only at 21% of the target.

With the exception of indicator 3 of SO1 (number of participants trained) all indicators are assessed to be on track to reach their targets by 2023.

by end 2019				indicators % of target reached				
	planned, EUR billion	% of total	realised expenditure	1	2	3	4	5
<b>SO1</b>	cross cutting objective			<b>21%</b>	37%	41%		
<b>SO2</b>	30.75	20%	40%	55%	75%			
<b>SO3</b>	14.97	10%	39%	44%	33%			
<b>SO4</b>	68.18	45%	60%	<b>102%</b>	<b>99%</b>	<b>100%</b>		
<b>SO5</b>	10.2	7%	34%	55%	27%	26%	<b>110%</b>	94%
<b>SO6</b>	22.29	15%	30%	23%	113%	93%	58%	<b>22%</b>

Further progress has been made in terms of programme performance. For example, by end 2019, about 180 000 farms have been selected to receive financial support to restructure and modernise their holdings, and to achieve productivity gains. On climate and environmental actions in agriculture (e.g. carbon sequestration, reduction of greenhouse gases and ammonia emissions), good

progress has been made, in particular with farmers joining voluntary agri-environment-climate schemes to develop environmentally friendly farm management. The targets to reach by end of 2023 are: (i) 17% of EU agricultural land under management for biodiversity, (ii) 14% for better soil management, and (iii) 14% for better water management. In all three cases, over 99% of the targets have been reached.

At the end of 2019, the European Innovation Partnership for Agricultural Productivity and Sustainability (EIP-AGRI) was supporting 7 730 interactive innovation projects, against an overall target at the end of the implementation period of more than 13 000 projects. Knowledge and innovation developed through the EIP-AGRI projects are shared through national innovation and rural networks and the EIP-AGRI network. By end 2019, nearly 1.5 million people had taken part in vocational training activities supported by the EAFRD. In the same period, 3.7 million people had benefitted from improved infrastructures for information and communication technologies, against an overall target of 16.8 million people by the end of 2023.

The implementation of area and animal-related support in 2014-2020 (e.g. related to environmental commitments and animal welfare) is well advanced. In this context, rules concerning the EAFRD payment deadlines to the beneficiaries were introduced as from calendar year 2019, in order to align with direct payments and with a view to ensure timely disbursement of the Union support to EAFRD beneficiaries. This is also expected to further facilitate the implementation of those commitments. Some delays are still observed in relation to measures that can take several years to be completed (long-term investments such as broadband, other infrastructures) or that are conditional to the implementation of a business plan, which can take up to five years to be 'completed' (business start-up). Significant progress in the implementation of those measures has been made in 2019 and is expected to increase further in the coming years.

The CAP measures on generational renewal have a positive impact on attracting and keeping young farmers in rural areas and improving employment, despite the difficulty to isolate the effects of individual CAP measures addressing generational renewal and the strong influence of external factors. However, these measures are often insufficient on their own, to address two main barriers to generational renewal: access to land and capital that depend mostly on national legal, social and fiscal policies.<sup>21</sup>

The 2018 proposal on the CAP Strategic Plans takes into account the main lessons learnt so far from the current rural development programming period, amongst others by reducing the level of prescription of the interventions and improving the synergies with the other instruments of the CAP (i.e. direct payments and sectoral programmes). The new CAP Strategic Plans will have to pay specific attention to attracting young farmers and will also promote employment, growth, social inclusion and local development in rural areas.

The rural development support will also provide a decisive input into the new call for enhanced environmental and climate actions linked to the green deal initiative. The future CAP plans will include the following types of interventions, funded by the EAFRD: (i) environmental, climate and other management commitments; (ii) compensation for natural or other area-specific constraints; (iii) area-specific disadvantages resulting from certain mandatory requirements; (iv) investments; (v) installation of young farmers and rural business start-up; (vi) risk management tools; (vii) cooperation; (viii) knowledge exchange and information.

### *Performance related to Specific Objective 1*

This Specific Objective aims at transferring knowledge and fostering innovation in rural areas, with a focus on the following areas:

- Fostering innovation, cooperation, and the development of the knowledge base in rural areas (Focus Area 1A);
- Strengthening the links between agriculture, food production, and forestry and research and innovation (Focus Area 1B);
- Fostering lifelong learning and vocational trainings in the agricultural and forestry sector (Focus Area 1C).

The specific objective is cross-cutting which is why no public expenditure has been attributed to it as such.

Indicator 1 (percentage of RDP expenditure planned for the three measures Knowledge transfer & information action, advisory services and cooperation) shows that by end 2019, 21% of the target planned for 2023 has been realised.

Indicator 2 (number of cooperation operations) shows that by end 2019, 37% of the target planned for 2023 has been achieved.

Indicator 3 (total number of participants trained) shows that by end 2019, 41% of the target planned for 2023 has been achieved.

The uptake and achievement of results is not yet fully in place. Part of this can be explained by the fact that cooperation and EIP-AGRI projects feed into this specific objective, which require a lot of preparatory work in the setting up phase, including the search for project partners. This leads to longer project lifetimes with reportable results emerging only at a later stage. Other factors explaining also the low implementation are the long administrative procedures that the Member States have put in place and which may discourage potential beneficiaries to apply, the lack of dissemination of information and publicizing of such measures, and in general, the fact that implementation of the related measures has started relatively late. Remedial actions have included the revision of the legal provisions governing the provision of advisory services to farmers and forestry holders, in 2017 (less stringent procedural requirements for the selection of advisors) and continuous dialogue with the Member States in view of correcting the

<sup>21</sup> See the summary of the support study for the evaluation of the impact of the CAP on generational renewal in the agricultural sector in the EAGF programme statement.

limiting factors mentioned above. Several seminars have been organised by the European Network for Rural Development in 2019 and 2020 to exchange good practices related to improved efficiency under these measures.

### *Performance related to Specific Objective 2*

Specific Objective 2 aims at improving farm viability and competitiveness, with a focus on

- improving the economic performance, restructuring and modernisation of supported farms in particular through increasing their market participation and agricultural diversification (Focus Area 2A)
- facilitating the entry of adequately skilled farmers into the agricultural sector and in particular, generational renewal (Focus Area 2B)

For the period 2014-2020, Member States planned EUR 30.75 billion of public expenditure for this specific objective, corresponding to 20% of the total rural development planned public expenditure. By end 2019, 40.3% of the planned public expenditure has been realised.

Indicator 1 (share of agricultural holdings received support for investments in restructuring and modernisation) shows that by end 2019, 55% of the target value planned for 2023 has been achieved.

Indicator 2 (share of agricultural holdings with support to business development/investments for young farmers) shows that by end 2019, 75% of the target value planned for 2023 has been achieved.

The level of achievement of the targets is relatively good. It should be noted that for investment operations, normally implementation takes several years. In general, investment support increases the economic performance and market participation of the supported farms. Investments may also imply environmental benefits. Support to the entrance of adequately skilled farmers, including young farmers, can have positive effects on farm viability, especially in relation to farm productivity and competitiveness.

Additionally, operations under this specific objective contribute positively to the market participation of primary producers, farm diversification, maintenance of employment in rural areas, generational renewal in agriculture, environmental benefits, improvement of working and living conditions of farmers.

### *Performance related to Specific Objective 3*

Specific Objective 3 aims at promoting food chain organisation, including processing and marketing of agricultural products, animal welfare and risk management in agriculture, with a focus on the following areas:

- Improving the competitiveness of primary producers by better integrating them into the agri-food chain through quality schemes, adding value to agricultural products, promotion in local markets and short supply-circuits, producer groups and organisations and inter-branch organisations (Focus Area 3A);
- Supporting farm risk prevention and management (Focus Area 3B).

For the period 2014 – 2020, Member States planned EUR 14.97 billion of public expenditure for this specific objective, which corresponds to 10% of the total rural development planned public expenditure. By end 2019, 39% of the planned public expenditure has been realised.

Indicator 1 (share of agricultural holdings receiving support for participating in quality schemes, local markets, short supply circuits, and producer groups/organisations) shows that by end 2019, 44% of the target value planned for 2023 has been achieved.

Indicator 2 (share of farms participating in risk management schemes) show that by end 2019, 33% of the target value planned for 2023 has been achieved. It is lower than expected, mainly due to the fact that this type of support is still relatively new in the Member States and needs some time to be fully managed. In order to facilitate the uptake of risk management schemes, some changes in the design of the instrument were introduced in 2017 and 2020.

Member States report several achievements, such as in terms of competitiveness of primary producers by better integration in the food supply chain and introduction of quality schemes, quality of food production, promotion of local markets and short supply, participation of farms in risk prevention and management schemes and prevention of risks from flooding.

Additionally, contributions to this specific objective come from LEADER, vocational trainings, cooperation projects (including EIP-AGRI operational groups), and farm advisory services on the increase of food quality and the creation of added value, as well as on developing the knowledge base on risk prevention in the agricultural and forestry sectors.

### *Performance related to Specific Objective 4*

Specific Objective 4 aims at restoring, preserving, and enhancing ecosystems related to agriculture and forestry, with a focus on the following areas:

- restoring, preserving, and enhancing biodiversity, including in Natura 2000 areas, and in areas facing natural or other specific constraints, and high nature value farming, as well as the state of European landscapes (Focus Area 4A)
- improving water management, including fertilisers and pesticide management (Focus Area 4B)
- preventing soil erosion and improving soil management (Focus Area 4C)

For the period 2014 – 2020, Member States planned EUR 68.18 billion of public expenditure for this specific objective, which corresponds to 45% of the total rural development planned public expenditure. By end 2019, 60% of the planned public expenditure has been realised.

Indicator 1a (percentage of agricultural land under management contracts to support biodiversity and/or landscapes) shows that by end 2019, 102% of the target value planned for 2023 has been achieved.

Indicator 2a (percentage of agricultural land under management contracts to improve water management) shows that by end 2019, 99% of the target value planned for 2023 has been achieved.

Indicator 3a (percentage of agricultural land under management contracts to improve soil management and/or prevent soil erosion) shows that by end 2019, 100% of the target value planned for 2023 has been achieved.

Member States report several achievements, such as in terms of agricultural and forest land covered with management contracts to enhance biodiversity and landscape, restoring, preserving, and enhancing biodiversity (e.g. Farmland Bird Index), improvement of water quality and management, especially through a better management of fertilisers and pesticides, prevention of soil erosion and improvement of soil management, and preservation of genetic species in grasslands and livestock.

### *Performance related to Specific Objective 5*

Specific Objective 5 aims at promoting resource efficiency and supporting the shift towards a low carbon and climate resilient economy in agriculture, food, and forestry sectors, with a focus on the following areas:

- Increasing efficiency in water use by agriculture (FA 5A)
- Increasing efficiency in energy use in agriculture and food processing (FA 5B)
- Facilitating the supply and use of renewable sources of energy, of by-products, waste and residues and other non-food raw material, for the purposes of the bio-economy (FA 5C)
- Reducing greenhouse gas and ammonia emissions from agriculture (FA 5D)
- Fostering carbon conservation and sequestration in agriculture and forestry (FA 5E)

For the period 2014 – 2020, the Member States planned EUR 10.2 billion of public expenditure under this specific objective, which corresponds to 7% of the total rural development planned public expenditure. By end 2019, 34% of the planned public expenditure has been realised.

Indicator 1 (share of irrigated land switching to more efficient irrigation systems) shows that by end 2019, 55% of the target value planned for 2023 has been achieved.

Indicator 2 (total investment for energy savings and efficiency) shows that by end 2019, 27% of the target value planned for 2023 has been achieved.

Indicator 3 (total investment in renewable energy production) shows that by end 2019, 26% of the target value planned for 2023 has been achieved.

Indicator 4a (percentage of livestock units concerned by investments in livestock management in view of reducing GHG and/or ammonia emissions) shows that by end 2019, 110% of the target value planned for 2023 has been achieved.

Indicator 4b (percentage of agricultural land under management contracts targeting to the reduction of GHG and/or ammonia emissions) shows that by end 2019, 99% of the target value planned for 2023 has been achieved.

Indicator 5 (share of agricultural and forest land under management contracts contributing to carbon sequestration and conservation) shows that by end 2019, 99% of the target value planned for 2023 has been achieved.

In general, indicators relating to area- or animal-based management commitments are closer to the targets than those relating to investment support, where uptake in general is, for the time being, lower than planned, due to the different nature of the respective

interventions (annual payments versus investment projects that can take some time to materialise). Implementation delays have been subject to continuous dialogue with the Member States.

### *Performance related to Specific Objective 6*

Specific Objective 6 aims at promoting social inclusion, poverty reduction and economic development in rural areas, with a focus on the following areas:

- Facilitating diversification, creation, and development of small enterprises, as well as job creation (Focus Area 6A)
- Fostering local development in rural areas (Focus Area 6B)
- Enhancing the accessibility, use and quality of information and communication technologies (ICT) in rural areas (Focus Area 6C).

For the period 2014-2020, Member States planned EUR 22.29 billion of public expenditure under this specific objective, which corresponds to 15% of the total rural development planned public expenditure. By end 2019, 30% of the planned public expenditure has been realised.

Indicator 1 (number of jobs created in supported projects) shows that by end 2019, 23% of the target value planned for 2023 has been achieved.

Indicator 2a (percentage of rural population covered by local development strategies) shows that by end 2019, 113% of the target value planned for 2023 has been achieved.

Indicator 2b (percentage of rural population benefitting from improved services/infrastructures) shows that by end 2019, 93% of the target value planned for 2023 has been achieved.

Indicator 2c (jobs created in supported LEADER projects) shows that by end 2019, 58% of the target value planned for 2023 has been achieved.

Indicator 3 (percentage of rural population benefitting from new or improved services/infrastructures) shows that by end 2019, 22% of the target value planned for 2023 has been achieved.

Member States report achievements in several fields such as diversification, creation and development of small enterprises, jobs creation and maintenance in rural areas, development and access to services and local infrastructure in rural areas, participation in local development strategies, employment opportunities created via local development strategies, and broadband expansion and better use of ICT in rural areas.

The indicator value for services/infrastructures (ICT) is low partly due to the fact that many of these projects are large and may require several years to be implemented.

## 3.2. Key achievements

### *European Agricultural Guarantee Fund (EAGF)*

6.1 million	500 000	79%	18.2 million	20%
Farmers benefitting from direct payments in 2019	farmers benefitting from the young farmers scheme in 2019	of the total EU agricultural area was subject to at least one "greening" obligation in 2019	beehives supported in 2019	Of children in the EU benefit from the school scheme in 2018/2019

### Market related expenditure

The EU no longer offers agricultural export refunds. However, with fairness and economic efficiency, the CAP strengthens the farm and agri-food sectors' ability to compete on overseas as well as domestic markets. European agriculture showed its resilience after the recent crises, finding alternative domestic markets and abroad (in particular in Asia and the US), as evidenced by the trade statistics.

Total export values reflect an increase in 2020 compared to 2019 (+ EUR 2.6 billion of agri-food exports, +1.4%) despite a difficult economic environment determined by the Covid-19 pandemic, Brexit and US punitive sanctions against certain EU agri-food exports. Exports of wheat increased significantly in 2020, from a value of EUR 5.5 billion in 2019 to EUR 7.2 billion in 2020, i.e. a gain in export sales by EUR 1.7 billion (+31% compared to 2019) thanks to the EU competitive position and good yields. Consequently, exports of wheat contributed to further increase of the EU net trade surplus by a value of EUR 6 billion in 2020. This confirms the competitiveness and resilience of the EU wheat sector in particular in a very difficult economic environment.

In 2019, the Commission reported on the implementation of the apiculture programmes in previous years<sup>22</sup>. The report shows that the uptake of the programmes remained high, showing their relevance. The number of beehives, one indicator of the impact of the EU support measures, continued its long-term increase, reaching approximately 17.5 million beehives in 2018. The latest available reporting by Member States on the number of beehives in 2019 (18.2 million hives) further confirms this upward trend. The increase is also reflected in the 16% growth of EU honey production between 2014 and 2018 to 280 000 tonnes (latest available figures).

The implementation of the EU school fruit, vegetables and milk scheme reached 20.2 million children in the 2017/2018 school year and 19.4 million in the 2018/2019 school year<sup>23</sup> or around 20% of the total number of children aged 0 to 18 in the EU. School children received more than 65.5 million kilos of fresh fruit or vegetables in the 2017/2018 school year and 71.2 million kilos in the 2018/2019 school year, as well as 178 million litres of milk in the 2017/2018 school year and 167.8 million litres in the 2018/2019 school year. They were involved in several educational measures - lessons, lectures or workshops; tasting classes; cooking workshops; school gardens; visits to farms, dairies, farmers' markets and similar activities.

### Direct payments

In claim year 2019 (corresponding to financial year<sup>24</sup> 2020), the fifth year of implementation of the reformed system, about 6.1 million farmers benefited from direct payments (-1.3% compared to previous year, in line with the average declining trend<sup>25</sup> in the total number of farmers). The total determined area (157.9 million hectares, relatively stable<sup>26</sup> since the entry into force of the 2013 CAP reform) covered about 88% of the EU Utilised Agriculture Area (179.1 million hectares).

In claim year 2019, the re-balancing of the distribution of direct payments between Member States (external convergence) continued as agreed in the frame of the 2014-2020 multiannual financial framework. For most Member States granting the basic payment based on entitlements<sup>27</sup>, it was the last year covered by their decisions taken in 2014 to move towards a flat rate value per entitlement at national or regional level (internal convergence). The various schemes allowing further targeting of the needs of certain categories of beneficiaries, in particular the young farmers, the small farmers and certain specific sectors or regions with structural problems, are fully in place. Where necessary, Member States have revised their decisions within the limits of the flexibility given by the current rules in order to adjust the modalities of implementation building on the experiences gained in previous years.

Direct Payment Schemes (Calendar year 2019/Financial year 2020)	Number of beneficiaries (in millions)	Determined area (in millions of hectares unless otherwise stated)
Basic Payment Scheme/Single Area Payment Scheme	4.6	151.0
Redistributive payment	2.0	36.8
Young farmers scheme	0.5	0.2
Small farmers scheme	1.5	3.7
Voluntary Coupled Support (hectares)	1.3	8.6
Voluntary Coupled Support (animals)	1.1	57.6(*)

Source: DG AGRI.

<sup>22</sup> Report from the Commission to the European Parliament and the Council on the implementation of the apiculture programmes, [COM\(2019\)635](#) final of 17.12.2019

<sup>23</sup> Source: Member States monitoring reports sent by 31.1.2019 and by 31.1.2020, available at: [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/market-measures/school-fruit-vegetables-and-milk-scheme/country\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/market-measures/school-fruit-vegetables-and-milk-scheme/country_en). Selected data in agri food data portal, <https://agridata.ec.europa.eu/extensions/SchoolSchemeMonitoring/SchoolSchemeMonitoring.html>.

<sup>24</sup> The agricultural financial year covers expenditure paid and revenue received and entered in the accounts of the Funds budget by the paying agencies in respect of financial year "N" beginning on 16 October of year "N- 1" and ending on 15 October of year "N".

<sup>25</sup> The number of beneficiaries declines regularly (on average between -2.3% since 2012). This reflects the trend in the total number of farms (see for example <https://ec.europa.eu/agriculture/sites/agriculture/files/statistics/facts-figures/farm-structures.pdf>). The number of new farmers is always below the number of farmers exiting.

<sup>26</sup> Since the first year of application of the CAP reform, the determined area is relatively stable at 155-154 million ha. Before that it was around 147-148 million ha. The increase is related to the implementation of the reform, in particular the new allocation of entitlements covering more farmers and thus potentially more areas. Since 2015, the annual changes can be linked to different factors: areas found ineligible by audits excluded, entry of areas not yet declared, exit of other areas...

<sup>27</sup> Sweden had decided back in 2014 to reach the flat rate value for payment entitlements in claim year 2020.

(\*) Number of heads.

The 'greening' layer of direct payments accounts for 30 percent of Member States' annual direct payment ceilings and covers annual obligations beneficial for the environment and climate (crop diversification, maintenance of permanent grassland, and the dedication of five per cent of arable land to ecologically beneficial areas ("ecological focus areas" or EFAs). As of 2019, 79% of the total EU agricultural area was subject to at least one "greening" obligation.

Starting from 2018, the amendments of the "Omnibus Regulation" that covered for greening new optional criteria on ploughing up permanent grassland, simplification of certain EFA and crop diversification rules and the extension of the list of EFA types to some energy crops and land lying fallow for melliferous plants influenced the implementation of greening obligations<sup>28</sup>. Modifications of the delegated act for direct payments to take account of the newly introduced EFA types became applicable as of 2019.

### Common monitoring and evaluation framework

With the proposal on CAP Strategic Plans presented on 1 June 2018, the Commission has proposed to introduce the performance monitoring and evaluation framework (PMEF), which takes the place of the common monitoring and evaluation framework (CMEF). The PMEF is intended to help the CAP to move from compliance to results and therefore to explain the achievements of the CAP rather than just reporting on CAP compliance and implementation.

This new framework includes a set of output, result and impact/context indicators, each of which make a specific contribution to assessing the implementation of the CAP, its progress towards targets, its impacts and contribution to the common objectives. Whilst impact/context indicators will help assess the overall achievement of CAP general and specific objectives, result indicators will be used to monitor progress in implementation towards the specific objectives in the CAP Strategic Plans, also in view of undertaking, where needed, remedial actions. Finally, output indicators, which keep track of the implementation of the interventions in the CAP Plan, will be used primarily in the context of the performance clearance. A selection of these indicators are presented visually and interactively in the [dashboard by theme](#), including financing the CAP, environment and climate action, farming income support, climate change and air quality, market orientation, organic production, water quality and availability, soil quality, biodiversity, adding value, productivity and jobs and growth in rural areas. These dashboards were completed in 2020 with an attractive visualisation of [context indicators](#), including maps at regional level. In these dashboards, Member States can find already a large part of the information they need for the elaboration of their Strategic Plans.

By end 2021, a report to the European Parliament and the Council will present a more comprehensive assessment of the performance of the CMEF and the CAP.

### Simplification

Starting in 2015, a simplification exercise involving the Commission, Member States, other EU institutions and stakeholders has led to a series of changes to regulations and guidance documents to the benefit of Member States' administrations and farmers.

This concerned amongst others simplification in relation to voluntary coupled support, eligibility for the young farmers' payment in the case of farms managed jointly, and simplifications of the Integrated Administration and Control System (IACS) and a review of certain greening rules.

As from 2018, the Commission adopted legal provisions<sup>29</sup> and provided the technical guidance to enable Member States to take advantage of freely available satellite data (the Copernicus programme) to monitor areas claimed for aid as an alternative to carry out often costly on-the-spot checks. Several Member States have decided to introduce 'checks by monitoring' for part of the aid schemes and/or areas as from 2019. This choice of the monitoring approach will equally deliver on the assurance. The monitoring approach is expected to offer great potential for simplification of administrative and control-related tasks, but also for monitoring of the CAP's performance in a much wider sense.

In 2020, the Commission continued support to increase the uptake of new technologies with further technical guidance developed. In particular, the Commission provided documentation enabling quality assessment of the technological tools used for implementing 'checks by monitoring'.

In view of the COVID-19 pandemic, the Commission took a range of measures to support European agriculture and rural areas. In particular, Member States were allowed to pay increased advances in direct payments and rural development. For direct payments, the advances were exceptionally allowed to be disbursed before the finalisation of all checks. This aimed at improving cash flow of farms, since the agricultural sector suffered the consequences of the pandemic<sup>30</sup>. In parallel, national administrations benefited from a series of flexibilities in the execution of checks, relating to their timing and the possibility to use alternative sources of evidence.

<sup>28</sup> Providing Member States with an option not to classify grassland as 'permanent' if ploughed within a period of 5 years allows accommodating the diversity of agricultural systems across the Union. In 2018, eight MS decided to apply this option. Certain additional flexibility for farmers came from streamlined exemptions from crop diversification or EFA rules for farms with substantial shares of grasslands, fallow land, leguminous crops or crops under water. In turn, new EFA types broadened the choices that Member States may offer to farmers for meeting this requirement.

<sup>29</sup> Commission Implementing Regulation (EU) 2018/746 of 18 May 2018 amending Implementing Regulation (EU) No 809/2014 as regards modification of single applications and payment claims and checks, OJ L 125, 22.5.2018, p. 1.

<sup>30</sup> Commission Implementing Regulation (EU) 2020/531 of 16 April 2020 derogating in respect of the year 2020 from the third subparagraph of Article 75(1) of Regulation (EU) No 1306/2013 of the European Parliament and of the Council as regards the level of advance payments for direct payments and area-related and animal-related rural development measures and from the first subparagraph of Article 75(2) of that Regulation as regards direct payments, OJ L 119, 17.4.2020, p. 1.

The intensity of checks was also adjusted, whereby Member States could decide to apply a lower rate of on-the-spot checks, if the movement restrictions introduced during the pandemic prevented the normal workflow<sup>31</sup>.

For the EAGF support to the outermost regions and smaller Aegean islands, due to the measures put in place to address the pandemic of COVID-19, the rules were adapted to alleviate the conditions for the on-spot-checks for the year 2020.

### European Agricultural Fund for Rural Development (EAFRD)

The results and outputs achieved by the end of 2019 (latest figures available<sup>32</sup>) are fully representative of what is expected from the implementation. With programme implementation at cruising speed, the situation is likely to further improve in the next years, especially regarding operations linked to the creation of jobs, for which an improvement is already visible but more is expected in the coming years. The latter are operations that normally take more time to be completed and produce, with achievements materialising usually by the end of the programming period according to previous experience. Some positive results can already be pointed out, with 113% already achieved of the final target for rural population covered by local development strategies.

Key environmental and climate achievements in 2019 include:

3.8 million	766 000	17.7%	EUR 1 373 million	1 204 000	5.1 million
hectares of agricultural and forest land covered by management contracts contributing to carbon sequestration or conservation	hectares of irrigated land had switched to more efficient irrigation systems	of agricultural land were covered by management contracts contributing to biodiversity	investments in energy efficiency or renewable energy production reached	livestock units were concerned by investments in livestock management in view of reducing greenhouse gases or ammonia emissions	hectares were under land-management contracts targeting reduction of greenhouse gases or ammonia emissions

Key achievements regarding farm viability and competitiveness and knowledge transfer include (by 2019):

1.56%	1.08%	1.5 million
of the EU total agricultural holdings who received aid for investments support in restructuring and modernisation 2023 target is 2.83%	of the EU total holdings who received aid for a development plan for young farmers 2023 target is 1.44%	beneficiaries received vocational training in agriculture 2023 target is 3.6 million

Broadband access in rural areas continues to improve, with an increase of 50 percentage points in 8 years, but is still lagging behind urban areas. In 2019, 59% of rural households had next generation access compared to 86% of total EU households. There is a clear improvement on the previous year's results, though closing the connectivity gap of rural areas remains a challenge. The level of broadband access depends significantly on general developments in telecoms markets (and finance from other policy tools – including the European Regional Development Fund). The CAP plays its part by offering explicit support for setting up, expanding and improving broadband infrastructure, as well as for the provision of broadband internet access (i.e. improved connections to infrastructure), and access to e government. According to targets aggregated from the 2014-2020 RDPs, in the current programming period, the CAP will help 17 million people living in rural areas to benefit from improved access to ICT services and infrastructure. In 2020, DG AGRI continued to work closely with DG REGIO, CNECT and COMP to further develop the network of Broadband Competence Offices (BCOs) in Member States and their regions, as well as a Brussels-based Support Facility, contracted and managed by DG AGRI. By the end of 2019, the BCO network was comprised of 27 National and 92 Regional BCOs in the EU, plus 6 BCOs in the Western Balkan countries and one BCO in Norway. In 2020, DG AGRI continued its application of the rural proofing checklist in cases where MS requested programming changes to broadband funding. The handbook of best practices of rural broadband projects was approved. Given the situation with Covid, training activity switched successfully to virtual training while it was not possible to carry out missions on the spot.

### 3.3. Evaluations, studies and reports

The key findings of the following evaluations and studies were presented in the EAGF Programme Statement 2021:

<sup>31</sup> Commission Implementing Regulation (EU) 2020/532 of 16 April 2020 derogating in respect of the year 2020 from Implementing Regulations (EU) No 809/2014, (EU) No 180/2014, (EU) No 181/2014, (EU) 2017/892, (EU) 2016/1150, (EU) 2018/274, (EU) 2017/39, (EU) 2015/1368 and (EU) 2016/1240 as regards certain administrative and on-the-spot checks applicable within the common agricultural policy, OJ L 119, 17.4.2020, p. 3.

<sup>32</sup> Latest data are collected from the Annual Implementation Reports 2019 (submitted in 2020). The data on the implementation in 2020 will become available in the second half of 2021.

- Evaluation of marketing standards (contained in the CMO Regulation, the "breakfast directives" and CMO secondary legislation), published on 27 October 2020 (SWD(2020)230<sup>33</sup>)
- Study on the implementation of the conformity checks of the marketing standard in the olive oil sector throughout the EU, published on 19 January 2020<sup>34</sup>
- Study on civil dialogue groups (CDG) in policy making, published on 19 February 2020<sup>35</sup>.

Subsequently, further evaluations and studies were published.

**Commission staff working document on the evaluation of the CAP measures applicable to the wine sector**, published on 26 October 2020<sup>36</sup>. The evaluation concluded that the national support programmes play a key role in improving the competitiveness of EU wine producers and products, in particular increasing demand from third countries. The measures in these programmes are generally relevant to the needs of the sector, especially as they offer a range of tools that can be adapted to the various levels of development of EU local supply chains (i.e. restructuring and conversion, investment, and promotion). The following needs are not sufficiently addressed by the EU's wine policy: survival or adaptation of the smallest operators, better-trained workforce, renewal of businesses between generations, environmental issues, and adaptation to market demand for lower alcohol wines and sustainable products. There could also be a higher degree of coherence between the EU's wine policy and EU public health objectives but overall, the EU's wine policy is fully consistent with EU economic, social and CAP objectives.

**Study on improving crisis prevention and management criteria and strategies in the agricultural sector**, published on 30 January 2020<sup>37</sup>. The pilot project concluded that crisis prevention and management systems need to be flexible to cope with a wide variety of crises cases, and have to be integrated across farm, national and European levels. Effective coordination across all levels is essential. Crisis management often requires interactions at EU level, but national actors are key in implementing crisis management actions. Risk management tools constitute the first line of defence during a crisis as they provide the necessary liquidity support to affected producers and reduce the need for ad-hoc public aid. The slow uptake of insurance, mutual funds and income stabilisation tools across the sector is identified as a potential gap in effective crisis management responses. These risk management tools are key elements in an overall strategy to cope with extreme events, but are challenging to implement. Increased market orientation and globalisation may have rendered some crisis management instruments less efficient. Gains could be achieved by exploring new instruments and/or improving the implementation of existing ones. Crisis loans and flexible financial products could provide emergency liquidity and relief, and could complement or substitute volume management measures. Effective communication is a key dimension of crisis management as established communication channels and strategies can reduce the length of time required to bring full resolution of a crisis. In particular, market stabilisation requires timely and accurate production data notification from Member States (bottom up), as well as effective market observatories (top down).

**Evaluation support study on the CAP impact on habitats, landscape and biodiversity**, published on 27 March 2020<sup>38</sup>. The study concluded that the presence of the CAP has raised Member States' ambition towards addressing biodiversity objectives as well as the level of funding. However, the CAP's contribution and benefits are highly dependent on Member States' implementation choices and priorities. For certain Member States, their biodiversity priorities are not well reflected in their CAP decisions. The most effective measures for conserving semi-natural habitats are agri-environment-climate schemes, particularly tailored and targeted higher-level schemes, and the Natura 2000 measure, which can compensate land managers for the costs of mandatory conservation protection particularly within Natura 2000 areas. However, the impacts of agri-environment-climate schemes are often constrained by limited budgets and farmer uptake, and the Natura 2000 measure has been infrequently used by Member States. The study outcomes were however limited due to the absence of suitable monitoring data, for which it makes further recommendations. One evaluation Commission staff working document covering the CAP impact on biodiversity, water and soil will be published around June 2021.

**Evaluation support study on the impact of the CAP on water**, published on 27 March 2020<sup>39</sup>. The study assessed the CAP framework as effective for maintaining minimum practices beneficial for water quality; however, its effects on the quantitative aspects of water are rather contrasted. The effects of CAP instruments and measures on water were often difficult to assess due to lack of data. The analysis highlighted the importance of implementation choices by Member States, as only a few measures were actually supporting operations directly targeting water quality and quantity issues.

**Study on the economic value of EU quality schemes, geographical indications (GIs) and traditional specialities guaranteed (TSGs)**, published on 20 April 2020<sup>40</sup>. The study provides an update and comparison of the volume, value and trade of products registered as a protected designation of origin (PDO), protected geographical indication (PGI), geographical indication (GI) or traditional speciality guaranteed (TSG). The study provides a comparative analysis of these parameters against standard products

<sup>33</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/cmo-regulation-breakfast-directives\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/cmo-regulation-breakfast-directives_en)

<sup>34</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/evaluation-policy-measures/products-and-markets/implementation-conformity-checks-olive-oil-sector-throughout-eu\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/evaluation-policy-measures/products-and-markets/implementation-conformity-checks-olive-oil-sector-throughout-eu_en)

<sup>35</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/regulation-and-simplification/cdg-cap-analysis-eu-policy-consultation\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/regulation-and-simplification/cdg-cap-analysis-eu-policy-consultation_en)

<sup>36</sup> [https://ec.europa.eu/info/news/eu-wine-policy-contributes-maintaining-reputation-and-competitiveness-eu-wine-2020-oct-26\\_en](https://ec.europa.eu/info/news/eu-wine-policy-contributes-maintaining-reputation-and-competitiveness-eu-wine-2020-oct-26_en)

<sup>37</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/improving-crisis-prevention-and-management-criteria-and-strategies-agricultural-sector-pilot-project\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/improving-crisis-prevention-and-management-criteria-and-strategies-agricultural-sector-pilot-project_en)

<sup>38</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-habitats-landscapes-biodiversity\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-habitats-landscapes-biodiversity_en)

<sup>39</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-water\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/sustainability/impact-cap-water_en)

<sup>40</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/economic-value-eu-quality-schemes-geographical-indications-gis-and-traditional-specialities-guaranteed-tsgs\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/economic-value-eu-quality-schemes-geographical-indications-gis-and-traditional-specialities-guaranteed-tsgs_en)

and an assessment of EU-27 trade (in view of the UK's withdrawal from the Union). The study presents a rich set of data on the state of play and evolution between 2011-2017, such as:

- (i) 42% growth in the sales value of GI/TSG products since 2010, estimated at EUR 77.15 billion in EU28, which is 7% of all food and drinks in EU28 (7.3% in EU27), of which 51% generated by wine, 87% gathered by France, Italy, Germany, the UK and Spain, and with 5% of the most valuable designations (over EUR 100 million sales value) accounting for 73% of total sales value;
- (ii) estimated export value of GIs/TSGs at EUR 17.03 billion, representing 15.5% of the total EU exports of food and drinks to non-EU countries (of which 50% wine);
- (iii) 38% increase in the value premium of GIs since 2010, despite a marginal decline in the premium rate (from 2.14 to 2.07 over the same period).

**Preparatory action on EU plant and animal genetic resources in agriculture n°2**, published on 20 May 2020<sup>41</sup>. The preparatory action aimed at providing different categories of stakeholders with concrete examples to valorise the use of neglected breeds and varieties in an economically viable way. These concrete examples were delivered in twofold manner: (1) through the implementation of four valorisation projects in four different Member States (two focusing on animal genetic resources, two on plants) and; (2) the compilation of a compendium of 56 inspirational project examples. Based on these concrete examples and practical experiences gathered during the preparatory action a "user guide" for stakeholders was developed. This user guide, as the main operational output of the preparatory action, has the main function to provide guidance and encourage stakeholders to start similar valorisation projects. The overarching objective of this preparatory action was to raise awareness and interest of stakeholders in investing in neglected agricultural genetic resources (both plant and animal) and to inspire stakeholders to establish links and collaboration along the whole value chain. In order to support the implementation of the projects, disseminate and discuss the results, a communication campaign was set up and carried out throughout the whole preparatory action.

**Pilot project (study) on smart eco-social villages**, published on 29 May 2020<sup>42</sup>. The results of the pilot project are a contribution to the development of Smart Villages in the EU. A definition of "Smart Villages" has been proposed, i.e. communities in rural areas that use innovative solutions to improve their resilience, building on local strengths and opportunities. They rely on a participatory approach to develop and implement their strategy to improve their economic, social and/or environmental conditions, in particular by mobilising solutions offered by digital technologies. Smart Villages benefit from cooperation and alliances with other communities and actors in rural and urban areas. The initiation and the implementation of Smart Village strategies may build on existing initiatives and can be funded by a variety of public and private sources. The three main lessons that can be drawn are as follows: there is already a wide range of such initiatives in the EU rural areas; many smart villages share common features and appropriate policy framework.

**Evaluation support study on Synthesis of Rural Development Programmes (RDPs) ex-post evaluations of period 2007-2013**, published on 22 July 2020<sup>43</sup>. The study concludes that RDPs have been particularly successful in encouraging investments in skills building and training and in promoting competitiveness (albeit not resulting in the creation of more jobs or innovation) and successful in preserving the environment, and produced positive effects in all the domains considered under the areas for successful land management. The outcomes of the RDPs are overall consistent with the four rural development objectives/priorities to a limited to moderate extent. Overall, RDPs have contributed to addressing the social, economic and environmental needs in the programme area to a moderate extent, with some differences depending on the specific set of needs. The synthesis concluded that EAFRD funding via the RDPs ensured EU added value to a medium and variable extent, with differences per criteria.

**Evaluation support study on the impact of the EU agricultural promotion policy in internal and third countries markets**, published on 14 October 2020<sup>44</sup>. The study assessed the EU agri-food promotion policy as effective and efficient to boost competitiveness and consumption of EU products in and outside the EU. In particular, the evaluation study found that activities funded under the promotion policy contribute to increasing sales and consumption of the EU products promoted in target markets, although the quantitative extent of this is difficult to measure. The objectives of the policy are relevant to stakeholders' needs and address market challenges. No major inconsistencies exist with other EU policies, including health, climate, environmental and development policies. This evaluation will feed into an overall policy review planned for 2021, aimed at enhancing its contribution to sustainable production and consumption in line with the Commission's Farm to fork strategy's objectives. The evaluation Commission staff working document was published on 11 January 2021 (SWD(2020) 399)<sup>45</sup>.

**Evaluation support study on the impact of the CAP measures towards the general objective of viable food production**, published on 12 November 2020<sup>46</sup>. The study provides a generally positive judgement on the effectiveness, efficiency, relevance, coherence and EU added value of the relevant measures, but points towards room for improvement regarding the effectiveness of

<sup>41</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/research-innovation-and-technology/preparatory-action-eu-plant-and-animal-genetic-resources-agriculture-ndeg2\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/research-innovation-and-technology/preparatory-action-eu-plant-and-animal-genetic-resources-agriculture-ndeg2_en)

<sup>42</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/rural-areas/smart-eco-social-villages-pilot-project\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/rural-areas/smart-eco-social-villages-pilot-project_en)

<sup>43</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/rural-areas/synthesis-rural-development-programmes-rdps-ex-post-evaluations-period-2007-2013\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/rural-areas/synthesis-rural-development-programmes-rdps-ex-post-evaluations-period-2007-2013_en)

<sup>44</sup> <https://op.europa.eu/en/publication-detail/-/publication/61b15a1d-09dc-11eb-bc07-01aa75ed71a1/language-en>

<sup>45</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/evaluation-eu-agricultural-promotion-policy-internal-and-third-country-markets\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/evaluation-eu-agricultural-promotion-policy-internal-and-third-country-markets_en)

<sup>46</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/impact-cap-measures-towards-general-objective-viable-food-production\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/impact-cap-measures-towards-general-objective-viable-food-production_en)

coupled payments, decoupled direct payments and price stability tools, as well as the administrative and management efficiency of the greening payment and the active farmer clause. The study shows that CAP measures addressing viable food production have strongly supported farm income and that market measures helped to limit the volatility of domestic prices of most agricultural products. It is important to highlight that the study was subject to considerable limitations due to the short observation period and resulting lack of accurate, detailed and homogenous data. When complemented with more recent observations and complementary analysis, the study provides a good basis for the staff working document concluding the evaluation of the impact of the CAP measures towards the general objective ‘viable food production’, to be published around March 2021.

**Evaluation support study on mandatory country of origin labelling for certain meats**, published on 12 November 2020<sup>47</sup>. The study concludes that EU rules on the mandatory indication of the country origin for certain meats have proved to be an important piece of information for consumers while also being reliable. The regulation has been implemented without unnecessary burdens on the meat supply chain and the traceability systems are generally effective to ensure compliance with Regulation (EU) No 1337/2013. Cost increases, administrative burdens and traceability systems have been successfully minimised, so in this sense, the regulation is considered to be efficient. The objectives of the regulation are coherent with the objectives of other EU legislation, but there are some inconsistencies with respect to Regulation (EC) No 1760/2000 (beef), although these are not considered to be problematic (e.g. lack of mandatory indication of country of birth; exclusion from scope of meat sold loose at retail; derogation for minced meat and trimmings to use “EU/non-EU” rather than Member State provenance). The objectives of the regulation remain relevant and have an EU added value: the absence of EU legislation concerning country of origin labelling would lead to potentially significant negative impacts, and the presence of different national rules would hamper the smooth operation of the EU single market, increase difficulties for companies to navigate rules and would decrease consumer information.

### **ECA special reports**

Special report 13/2020: **Biodiversity on farmland: CAP contribution has not halted the decline**<sup>48</sup>

The European Court of Auditors (ECA) assessed whether the EU’s agricultural policy has helped to maintain and enhance farmland biodiversity and found that the formulation of the agriculture targets in the EU biodiversity strategy makes it difficult to measure progress; the way the Commission tracks biodiversity expenditure in the EU budget is unreliable; the impact of CAP direct payments is limited or unknown; and the Commission and Member States have favoured lower-impact rural development measures. The ECA recommends that the Commission improves the design of its next biodiversity strategy, enhances the contribution made to biodiversity by direct payments and rural development action, tracks biodiversity-related expenditure more accurately and develops reliable indicators that are suited to monitoring progress in farmland biodiversity.

Special report 15/2020: **Protection of wild pollinators in the EU**<sup>49</sup>

The ECA found that the Commission’s 2018 Pollinators Initiative had little effect on halting the decline of wild pollinators and that the initiative needed better management to achieve its objectives. In addition, the biodiversity and agricultural policies, and the pesticides legislation did not offer adequate measures for the protection of wild pollinators. The ECA makes recommendations to improve the protection of wild pollinators in the existing EU policies and legislation.

**Report of the European Court of Auditors on the performance of the EU budget – Status at the end of 2019**<sup>50</sup>

With respect to natural resources, the ECA found that the Commission’s 2019 reporting on the CAP’s performance presents an overly positive narrative and is not focusing on results. A key weakness is that the performance indicators for the 2014-2020 period are not based on a detailed intervention logic for providing CAP financial support. For example, direct payments to farmers have reduced farmers’ income volatility, but they are not targeted at helping farmers achieve a fair standard of living. Moreover, the CAP measures are found to have low impact in addressing climate change.

### **European Parliament – research for the AGRI Committee**

**The Green Deal and the CAP: policy implications to adapt farming practices and to preserve the EU’s natural resources**

The study provides an analysis of the potential consequences of the Green Deal and its associated strategies on agriculture as well as making recommendations aimed at strengthening the role and contribution of the future CAP to this matter. Key areas for EU action are identified as the strengthening of climatic and environmental dimension of the CAP and the need to extend the CAP in the framework of a more focused and global food policy.

**The upcoming Commission’s Communication on the long-term vision for rural areas - Context and preliminary analysis**

This in-depth analysis authored by the Policy Department for Structural and Cohesion Policies of the European Parliament provides a preliminary analysis of the upcoming Commission’s communication on a long-term vision for rural areas. It presents the key features of the communication and its implications for the CAP, takes stock of the current and future EU policy tools to support rural areas and provides background material on the economic, demographic, social and spatial challenges they are faced with. The analysis finds that the implications of the upcoming Rural Agenda for the CAP will be numerous and could possibly pave the way

<sup>47</sup> [https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/mandatory-indication-country-origin-labelling-certain-meats\\_en](https://ec.europa.eu/info/food-farming-fisheries/key-policies/common-agricultural-policy/cmef/products-and-markets/mandatory-indication-country-origin-labelling-certain-meats_en)

<sup>48</sup> <https://www.eca.europa.eu/en/Pages/DocItem.aspx?did=53892>

<sup>49</sup> <https://www.eca.europa.eu/en/Pages/DocItem.aspx?did=54200>

<sup>50</sup> <https://www.eca.europa.eu/en/Pages/DocItem.aspx?did=53900>

for a mid-term review of the CAP before 2024, which might include “rural axis” legislative actions as well as measures linked to the Farm to Fork strategy/Green Deal/Recovery Plan and corrective actions to the new CAP delivery system. The coordination between policies and in particular the coherence between the Cohesion Policy and the CAP rural development policy will be key to ensuring the implementation of the Rural Agenda and avoid overlaps.

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : European Agricultural Guarantee Fund (EAGF)

#### General Objective 1 :To promote a viable food production

##### Indicator 1:Agricultural factor income

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									
111,77	Actual Progress									Final
	112,93	109,81	111,96	125	124	129	124			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Index (2010=100)
Cut-Off Date	09/03/2020
Data source	Eurostat - economic accounts for agriculture (online data code: aact_eaa06)
Narrative	Results show a growing trend despite annual variations inevitable in the economy.
Methodology	<a href="https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetSectorial/infoC25.html">https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetSectorial/infoC25.html</a>
Link MFF 14-20 / MFF 21-27	C24 Agricultural factor income in PMEF
Other methodological comments	As the trend is more important than a comparison across countries, the index is preferred over the absolute values. Figure for 2020: first estimate.
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/aact_esms.htm">https://ec.europa.eu/eurostat/cache/metadata/en/aact_esms.htm</a>
Justification of the trend	

##### Indicator 2:Agricultural productivity

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2005	Milestones									
100	Actual Progress									Final
	107	108.6	109.9	110.2	110.7					

Are we on track	On track
Indicator type	Impact
Unit of measurement	Index (3-year moving average)
Cut-Off Date	27/01/2021
Data source	DG AGRI calculation based on Eurostat data
Narrative	Total factor productivity is increasing in the EU primarily with the increase in labour productivity and land productivity. Increase in labour productivity is due to a continuous agricultural labour outflow but also significant improvements in labour conditions with the help of machinery and equipment.
Methodology	Total factor productivity (TFP) compares total outputs relative to the total inputs used in production of the output. As both output and inputs are expressed in term of volume indices, the indicator measures TFP growth. The TFP a composite indicator for land, capital and labour productivity growth. This is an index, in the first step 2005 is set at 100, then 3 year-averages are calculated to smoothen the effect of weather for instance on the indicator.
Link MFF 14-20 / MFF 21-27	The current CAP regulations continue to apply in 2021 and 2022 (Regulation (EU) 2020/2220). Only as of 2023 the new CAP Strategic Plans will enter into force.
Other methodological comments	<a href="https://ec.europa.eu/info/sites/info/files/food-farming-fisheries/key_policies/documents/context-indicator-fiches_en.pdf">https://ec.europa.eu/info/sites/info/files/food-farming-fisheries/key_policies/documents/context-indicator-fiches_en.pdf</a> Indicator C.27 - Total factor productivity in agriculture
Full metadata available at this address	
Justification of the trend	

##### Indicator 3:EU commodity price variability

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Beef World										

2017	Milestones								Long term target
10%									EU variability lower than the world
	Actual Progress								Final
				10%	10%	9%	10%		
Beef EU									
2017	Milestones								Long term target
2%									EU variability lower than the world
	Actual Progress								Final
				2%	3%	3%	4%		
Poultry World									
2017	Milestones								Long term target
12%									EU variability lower than the world
	Actual Progress								Final
				12%	13%	14%	17%		
Poultry EU									
2017	Milestones								Long term target
2 %									EU variability lower than the world
	Actual Progress								Final
				2%	2%	2%	3%		
Pig World									
2017	Milestones								Long term target
16%									EU variability lower than the world
	Actual Progress								Final
				16%	18%	19%	23%		
Pig EU									
2017	Milestones								Long term target
10%									EU variability lower than the world
	Actual Progress								Final
				10%	9%	12%	13%		
Soft wheat World									
2017	Milestones								Long term target
10%									EU variability lower than the world
	Actual Progress								Final
				10%	8%	10%	10%		
Soft wheat EU									
2017	Milestones								Long term target
7%									EU variability lower than

										the world
	Actual Progress									Final
				7%	10%	9%	8%			
Maize World										
2017	Milestones									Long term target
7%										EU variability lower than the world
	Actual Progress									Final
					7%	6%	8%	8%		
Maize EU										
2017	Milestones									Long term target
5%										EU variability lower than the world
	Actual Progress									Final
					5%	6%	7%	5%		
Barley World										
2017	Milestones									Long term target
9%										EU variability lower than the world
	Actual Progress									Final
					9%	13%	12%	10%		
Barley EU										
2017	Milestones									Long term target
10%										EU variability lower than the world
	Actual Progress									Final
					10%	14%	12%	10%		
Butter World										
2017	Milestones									Long term target
28%										EU variability lower than the world
	Actual Progress									Final
					28%	23%	13%	14%		
Butter EU										
2017	Milestones									Long term target
29%										EU variability lower than the world
	Actual Progress									Final
					29%	25%	17%	19%		
Cheese (Cheddar) World										
2017	Milestones									Long term target
13%										EU variability lower than the world
	Actual Progress									Final
					13%	12%	8%	10%		
Cheese (Cheddar) EU										
2017	Milestones									Long term

										target
12%										EU variability lower than the world
	Actual Progress									Final
			12%	12%	4%	3%				
Skimmed milk powder (SMP) World										
2017	Milestones									Long term target
16%										EU variability lower than the world
	Actual Progress									Final
			16%	13%	18%	17%				
Skimmed milk powder (SMP) EU										
2017	Milestones									Long term target
9%										EU variability lower than the world
	Actual Progress									Final
			9%	12%	17%	19%				
Whole milk powder World										
2017	Milestones									Long term target
18%										EU variability lower than the world
	Actual Progress									Final
			18%	15%	8%	7%				
Whole milk powder EU										
2017	Milestones									Long term target
14%										EU variability lower than the world
	Actual Progress									Final
			14%	13%	5%	5%				

Are we on track	On track
Indicator type	
Unit of measurement	%
Cut-Off Date	27/01/2021
Data source	DG Agriculture and Rural Development, based on European Commission, USDA, FAO, AHDB
Narrative	Apart from butter and to a certain extent skimmed milk powder and barley, the EU markets are more stable than world ones, thanks to a combination of agricultural and trade policy measures that encourage production to adapt to market signals, provide a safety net to farm income through direct payments, and encourage cooperation along the food chain, notably through the use of contracts. Butter prices started climbing up since 2017 (combined with declining skimmed milk powder (SMP) prices). The reason was not enough butter produced due to a drop in milk production. Prices started to go down in 2019 (at the same time as SMP stocks were released and SMP prices increased) when supply and demand were more balanced. As the variation is still taking into account those extreme years, the variability is justified. In 2020, there was a slight dip in butter and SMP prices due to Covid (in spring), but they stabilised and we can expect lower variability in the coming years.
Methodology	Price variability has been calculated using coefficient of variation. That is standard deviation of the prices in the reference year and two years back divided by mean of the prices in the same period.
Link MFF 14-20 / MFF 21-27	The current CAP regulations continue to apply in 2021 and 2022 (Regulation (EU) 2020/2220). Only as of 2023 the CAP reform will enter into force.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**General Objective 2 :To promote a sustainable management of natural resources and climate action****Indicator 1:Greenhouse gas emissions from agriculture**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									Long term target
486362										To decrease
	Actual Progress									Final
	492082	486543	486905	494768	486890					

Are we on track	On track
Indicator type	Impact
Unit of measurement	Thousand tonnes of CO2 equivalent
Cut-Off Date	25/11/2020
Data source	Annual European Union GHG inventory (sectors 3.a, 3.b, 3.c, 3.d, 4.c and 4.d). The inventory is based on national submissions to the UNFCCC and to the EU Monitoring Mechanism of CO2 and other GHG emissions. It is compiled and held by the European Environment Agency (EEA) and the European Topic Centre on Air and Climate Change (ETC/ACC) and data are published in the Eurostat database. - EU28 data
Narrative	Greenhouse gas emissions from agriculture declined over the period between 1990 and 2012 and stabilised over the period 2013 and 2018.
Methodology	<a href="https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetEnvironmental/infoC45.html">https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetEnvironmental/infoC45.html</a>
Link MFF 14-20 / MFF 21-27	C43 Greenhouse gas emissions from agriculture in PMEF
Other methodological comments	Values have changed compared to figures provided in the previous Programme Statement because the EEA has updated figures also for previous years.
Full metadata available at this address	<a href="https://www.eea.europa.eu/data-and-maps/data/national-emissions-reported-to-the-unfccc-and-to-the-eu-greenhouse-gas-monitoring-mechanism-16">https://www.eea.europa.eu/data-and-maps/data/national-emissions-reported-to-the-unfccc-and-to-the-eu-greenhouse-gas-monitoring-mechanism-16</a>
Justification of the trend	

**Indicator 2:Water abstraction in agriculture: volume of water applied to soils for irrigation purposes**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Belgium										
2010	Milestones									Long term target
										To decrease
	Actual Progress									Final
Bulgaria										
2010	Milestones									Long term target
735,35										To decrease
	Actual Progress									Final
	436,6	675,72	736,13	647,2						
Czech Republic										
2010	Milestones									Long term target
19,7										To decrease
	Actual Progress									Final
	16,8	31,8	17,4	27,8						
Denmark										
2010	Milestones									Long term target
192,7										To decrease
	Actual Progress									Final
	260,1	122,1	178,9							
Germany										
2010	Milestones									Long term target
179,6										To decrease
	Actual Progress									Final
			210,133							
Estonia										
2010	Milestones									Long term target
										To decrease

	Actual Progress								Final
Ireland									
2010	Milestones								Long term target
									To decrease
	Actual Progress								Final
Greece									
2010	Milestones								Long term target
									To decrease
	Actual Progress								Final
	8 232,16	8 232,16	8 961,16						
Spain									
2010	Milestones								Long term target
									To decrease
21 300	Actual Progress								Final
	20 014	18 872	18 645						
France									
2010	Milestones								Long term target
									To decrease
3 033,12	Actual Progress								Final
Croatia									
2010	Milestones								Long term target
									To decrease
8,47	Actual Progress								Final
Italy									
2010	Milestones								Long term target
									To decrease
	Actual Progress								Final
Cyprus									
2010	Milestones								Long term target
									To decrease
148,4	Actual Progress								Final
	147,3	164,2	169,3	166,2					
Latvia									
2010	Milestones								Long term target
									To decrease
	Actual Progress								Final
Lithuania									
2010	Milestones								Long term target
									To decrease
1,2	Actual Progress								Final
	0,446	0,446	0,401	0,493					
Luxembourg									
2010	Milestones								Long term target
									To decrease
0	Actual Progress								Final
	0,001	0,058							
Hungary									
2010	Milestones								Long term target
									To decrease

	Actual Progress								Final
	98,039	110,038							
Malta									
2010	Milestones								Long term target
									To decrease
25,65	Actual Progress								Final
	27,21	24,45	24,48	24,74					
Netherlands									
2010	Milestones								Long term target
									To decrease
82,33	Actual Progress								Final
	41,89	68,97	38,05						
Austria									
2010	Milestones								Long term target
									To decrease
18	Actual Progress								Final
Poland									
2010	Milestones								Long term target
									To decrease
75,1	Actual Progress								Final
	80,8	84,9	88,524	80,713					
Portugal									
2010	Milestones								Long term target
									To decrease
	Actual Progress								Final
				3 395,447					
Romania									
2010	Milestones								Long term target
									To decrease
235	Actual Progress								Final
	226	364	330	440					
Slovenia									
2010	Milestones								Long term target
									To decrease
1,6	Actual Progress								Final
	1,7	3,63	3,3	3,9					
Slovakia									
2010	Milestones								Long term target
									To decrease
7	Actual Progress								Final
	13,7	21,6	11,5	22,4					
Finland									
2010	Milestones								Long term target
									To decrease
	Actual Progress								Final
Sweden									
2010	Milestones								Long term target
									To decrease
62	Actual Progress								Final
		48							
United Kingdom									
2010	Milestones								Long term target
									To decrease
103,9									

	Actual Progress								Final
89,2									

Are we on track	No data
Indicator type	Impact
Unit of measurement	1000 m <sup>3</sup>
Cut-Off Date	24/02/2020
Data source	Eurostat – environment statistics - env_wat_abs
Narrative	Agriculture is a major user of water, primarily for irrigation in order to enhance the yield and quality of crops. It is therefore an essential driving force in the management of water use. Water abstraction in agriculture gives an indication of the pressure which agriculture exerts on available freshwater resources. The level and trend of this indicator depends on the characteristics of the agricultural sector, on the climatic conditions and on the efficiency with which the water is transported. There are many gaps in the data due to the voluntary nature of reporting, therefore it is not possible to assess the progress of the indicator towards the target.
Methodology	<a href="https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetEnvironmental/infoC39.html">https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetEnvironmental/infoC39.html</a>
Link MFF 14-20 / MFF 21-27	C37 Water use in agriculture in PMEF – change in methodology
Other methodological comments	Data availability: No data reported for the following countries: Belgium, Estonia, Ireland, Italy, Latvia, Finland.
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/env_nwat_esms.htm">https://ec.europa.eu/eurostat/cache/metadata/en/env_nwat_esms.htm</a>
Justification of the trend	

### General Objective 3 :To promote a balanced territorial development

#### Indicator 1:Rural employment rate

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0,634	Actual Progress									Final
	0,64	0,65	0,659	0,672	0,681	0,689				

Are we on track	On track
Indicator type	Impact
Unit of measurement	% , Employment rate for the age group 15-64
Cut-Off Date	24/04/2020
Data source	Eurostat – Labour Force Survey - EU28
Narrative	Positive trend until 2019 closing the gap with urban employment rate.
Methodology	<a href="https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetSocioEconomic/infoC5.html">https://agridata.ec.europa.eu/Qlik_Downloads/InfoSheetSocioEconomic/infoC5.html</a>
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Past Results: 2010: 62.7% 2011: 62.5% 2012: 63.4%
Full metadata available at this address	<a href="https://ec.europa.eu/eurostat/cache/metadata/en/reg_lmk_esms.htm">https://ec.europa.eu/eurostat/cache/metadata/en/reg_lmk_esms.htm</a>
Justification of the trend	

### Specific Objective 1 :To improve the competitiveness of the agricultural sector and enhance its value share in the food chain

#### Indicator 1:Share of EU agricultural exports in world market

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2016	Milestones									
17,2%	Actual Progress									Share in world market maintained
				17,0%	17,3%	18,1%				Final

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage of total world agricultural exports
Cut-Off Date	
Data source	IHS Markit/Global Trade Atlas (GTA) (almost 98% world coverage)
Narrative	The EU has maintained and slightly expanded its worldwide market share, both according to the

	EU28 and EU27 calculation metric.
Methodology	(EU exports to Extra-EU)/(World exports incl. EU)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Data for 2020 available in March 2021. Figures for EU27: 2016: 19.6%; 2017: 19.4%; 2018: 19.7%; 2019: 20.3%.
Full metadata available at this address	
Justification of the trend	EU agri-food exports maintained and even slightly improved their world market share between 2017 to 2019.

## Indicator 2: Share of value added for primary producers in the food chain

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Primary sector EU28 Value added (in EUR billion)										
2015	Milestones									
214										Improved situation of primary producers in food chain
	Actual Progress									Final
	220,36	215,96	216,62	237,44	234,41					
Processing sector EU28 Value added (in EUR billion)										
2015	Milestones									
237										Improved situation of primary producers in food chain
	Actual Progress									Final
	225,61	236,52	242,86	254,11	263,26					
Retail sector - including services EU28 Value added (in EUR billion)										
2015	Milestones									
455										Improved situation of primary producers in food chain
	Actual Progress									Final
	421,45	449,35	467,44	484,75	513,34					

Are we on track	On track
Indicator type	Result
Unit of measurement	EUR billion
Cut-Off Date	27/01/2021
Data source	Eurostat – National Accounts, Structural Business Statistics
Narrative	After a period of decline, the situation recently stabilised concerning the value added retained by primary producers. The CAP provides for measures to help improving the position of farmers in the food value chain, by supporting farmers' cooperation, encouraging the use of contracts and market transparency as well as supporting quality production with higher returns to farmers (e.g. organic, PGI, PDO). EU policies also regulate unfair trading practices that may penalise farmers as weaker operators within the food supply chain.
Methodology	The indicator looks at the structure of the food chain and calculates the share of the primary production (agriculture), processing sector and retail sector for the total value added generated by different participants of the food chain (primary production, food manufacturing, food distribution and food service activities).
Link MFF 14-20 / MFF 21-27	The current CAP regulations continue to apply in 2021 and 2022 (Regulation (EU) 2020/2220). Only as of 2023 the new CAP Strategic plans will enter into force.
Other methodological comments	
Full metadata available at this address	<a href="https://ec.europa.eu/info/sites/info/files/food-farming-fisheries/key_policies/documents/result-indicator-fiches-pillar-i_en.pdf">https://ec.europa.eu/info/sites/info/files/food-farming-fisheries/key_policies/documents/result-indicator-fiches-pillar-i_en.pdf</a> Indicator R.03_PI Value added for primary producers in the food chain
Justification of the trend	

## Specific Objective 2 :To foster market stability

### Indicator 1: Export refunds Ratio of the volume of the products exported with export refunds and the total EU production per given period

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Beef										
2017	Milestones									
0%	Actual Progress									0%
					0%	0%	0%			Final
Pig meat										
2017	Milestones									
0%	Actual Progress									0%
					0%	0%	0%			Final
Poultry										
2017	Milestones									
0%	Actual Progress									0%
					0%	0%	0%			Final
Cereals, rice & sugar										
2017	Milestones									
0%	Actual Progress									0%
					0%	0%	0%			Final

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	DG AGRI
Narrative	Used only in case of market crisis (seen against market development), that is why intended target is 0%
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Public intervention, ratio of volume of the products bought in the intervention storage and the total EU production of those respective products (All sectors)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
All sectors										
2017	Milestones									
2,1%	Actual Progress									0%
					0%	0%				Final

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Market monitoring data DG AGRI and Eurostat (based on Member States' notifications) on Public Intervention stocks and agricultural production
Narrative	Public Intervention is used only in case of market crisis, that is why intended target is 0%
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No quantity entered in public intervention and public storage in the animal products sectors in 2018, 2019 and 2020. Figures for SMP: 2014: 0%; 2015: 3.4%; 2016: 22.1%; 2017: 2.0%; 2018: 0%; 2019: 0%
Full metadata available at this address	<a href="https://ec.europa.eu/info/food-farming-fisheries/farming/facts-and-figures/markets/production/production-sector/animal-products/milk-and-dairy-products_en">https://ec.europa.eu/info/food-farming-fisheries/farming/facts-and-figures/markets/production/production-sector/animal-products/milk-and-dairy-products_en</a>
Justification of the trend	

**Indicator 3: Private storage, Ratio of volume of the products placed into the publicly aided private storage and the total EU production of those respective products**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

Butter										
2017	Milestones									
0%										0%
	Actual Progress									Final
	0,99%	6,10%	6,00%	0%	0%	0%				
SMP										
2017	Milestones									
1,8%										0%
	Actual Progress									Final
	1,33%	3,40%	5,70%	1,80%	0%	0%				
Cheese										
2017	Milestones									
0										0%
	Actual Progress									Final
		0,30%	0,50%	0%	0%	0%				
Pig meat										
2017	Milestones									
0										0%
	Actual Progress									Final
		0,20%	0,40%	0%	0%	0%				

Are we on track	On track
Indicator type	
Unit of measurement	%
Cut-Off Date	
Data source	Market monitoring data DG AGRI and Eurostat (based on Member States' notifications) on Private Storage Aid stocks and agricultural production
Narrative	Private storage aid (PSA) is used only in case of market crisis, that is why the target is 0%
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	No PSA was available for animal products (dairy and meats) in years 2018 and 2019. It was introduced in 2020 in the framework of the Covid-19 pandemic crisis for skimmed milk powder, butter, cheese, beef, sheep meat and goat meat (but this is not part of this reporting exercise).
Full metadata available at this address	<a href="https://ec.europa.eu/info/food-farming-fisheries/farming/facts-and-figures/markets/production/production-sector/animal-products/milk-and-dairy-products_en">https://ec.europa.eu/info/food-farming-fisheries/farming/facts-and-figures/markets/production/production-sector/animal-products/milk-and-dairy-products_en</a>
Justification of the trend	

### Specific Objective 3 :To better reflect consumer expectations

#### Indicator 1:EU commodity prices compared to world prices

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Beef (Australia)										
2013	Milestones									
1,22										Prices brought closer to world prices
	Actual Progress									Final
	0,96	0,91	1,00	0,97	1,24	1,12	1,01			
Beef (Brazil)										
2013	Milestones									
1,71										Prices brought closer to world prices
	Actual Progress									Final
	1,45	1,48	1,48	1,56	1,78	1,57	1,47			
Pig meat (US)										
2013	Milestones									
1,22										Prices brought closer to world prices
	Actual Progress									Final
	0,93	1,06	1,22	1,24	1,29	1,42	1,76			

Pig meat (Brazil)										
2013	Milestones									
1,23										Prices brought closer to world prices
	Actual Progress									Final
	1,02	1,1	1,24	1,17	1,44	1,32	1,20			
Poultry										
2013	Milestones									
1,28										Prices brought closer to world prices
	Actual Progress									Final
	1,16	1,09	1,14	1,08	1,12	1,16	1,34			
Soft wheat EU										
2013	Milestones									
1,04										Prices brought closer to world prices
	Actual Progress									Final
	1,02	0,94	0,99	1,04	1,06	0,97	0,92			
Maize										
2013	Milestones									
1,04										Prices brought closer to world prices
	Actual Progress									Final
	1,13	1,03	1,11	1,16	1,2	1,1394613	1,18			
Barley										
2013	Milestones									
0,98										Prices brought closer to world prices
	Actual Progress									Final
	0,98	0,99	0,95	0,96	0,98	0,98	0,96			
Sugar										
2013	Milestones									
1,9										Prices brought closer to world prices
	Actual Progress									Final
	1,62	1,24	0,99	1,22	1,20	1,08	1,14			
Butter										
2013	Milestones									
1,28										Prices brought closer to world prices
	Actual Progress									Final
	1,22	1,06	1,09	1,07	1,21	0,97	0,98			
Cheddar										
2013	Milestones									
1,04										Prices brought closer to world prices
	Actual Progress									Final
	1,02	0,92	0,89	0,95	1,02	0,86	0,87			
WMP										
2013	Milestones									
0,99										Prices

										brought closer to world prices
	Actual Progress									Final
	1,11	1,1	1,06	1,07	1,06	1,03	1,06			
SMP										
2013	Milestones									
0,9										Prices brought closer to world prices
	Actual Progress									Final
	0,96	0,96	0,99	0,98	0,88	0,89	0,90			
Weighted average										
2013	Milestones									
1,2										Prices brought closer to world prices
	Actual Progress									Final
	1,09	1,06	1,10	1,13	1,19	1,12	1,16			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	27/01/2021
Data source	DG Agriculture and Rural Development, based on European Commission, USDA, World Bank, IGC, London International Financial Futures and Options Exchange, National sources (EU27).
Narrative	The indicator confirms that most of EU agricultural prices are close to the world prices, confirming the growing opening of the EU market, a dynamic that began with the 1992 CAP reform and was amplified by the 2003 CAP reform. Sugar, the latest sector to be reformed, is a case in point, with the impact of the reform of the sugar market being reflected in the gap being closed between the EU and the world prices. Yearly variations occur, and the situation is different depending whether the EU is a price maker or a price taker for a specific market.
Methodology	
Link MFF 14-20 / MFF 21-27	The current CAP regulations continue to apply in 2021 and 2022 (Regulation (EU) 2020/2220). Only as of 2023 the new CAP Strategic plans will enter into force.
Other methodological comments	The ratio between EU and World agricultural commodity prices has changed from the data presented in the previous Programme Statement due to a change of the reference price for pigmeat (US).
Full metadata available at this address	
Justification of the trend	

### Specific Objective 4 :To sustain farmers' income stability by providing direct income support

#### Indicator 1:Share of direct support in agricultural entrepreneurial income (family farm income)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									
40%										To maintain the ratio stable
	Actual Progress									Final
	41%	43%	43%	36%	38%	36%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	EAGF Financial Report and EUROSTAT Economic Accounts for Agriculture
Narrative	The indicator looks at the ratio of direct payments to agricultural income. Direct payments stay more or less stable but agricultural income changes annually.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	PFfigures updated based on the latest updates from Eurostat. 2012: 44%, 2011: 42%
Full metadata available at this address	
Justification of the trend	

### Specific Objective 5 :To promote a more market oriented agriculture, by ensuring a significant level of decoupled income support

#### Indicator 1:Percentage of total direct payments which is decoupled

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
92,24%	Actual Progress									88,35%
	93,54%	92,69%	88,89%	88,87%	88,48%	88,55%	88,37%			Final

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Budget execution figures
Narrative	2012: 92.13%
Methodology	As from financial year 2016 the figures take into account that in accordance with the methodology for implementation of the Small farmers scheme, as chosen by the Member States, part of the expenditure under that scheme is "decoupled". Execution of the Budget 2020 provisional figures. The ratio has decreased with the introduction of voluntary coupled support in direct payments (first implemented in financial year 2016). It has remained fairly stable since then, with a slight decrease due to the progress in the execution of the scheme.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 6 :Contribute to the enhancement of the environmental performance of the CAP through the greening component of the direct payments. Contribute to the development of sustainable agriculture and to making the Common Agricultural Policy more compatible with the expectations of the society through the cross compliance system. Contribute to preventing soil erosion, maintaining soil organic matter and soil structure, ensuring a minimum level of maintenance and avoiding the deterioration of habitats, and protecting and managing water through the standards of good agricultural and environmental condition of land

#### Indicator 1:Percentage of CAP payments covered by cross compliance

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									
82,4%	Actual Progress									Maintain percentage
	83,50%	85,70%	81,60%	84,80%	82,70%	81,90%	81,3%			Final

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	DG AGRI – Budget execution figures
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The percentage decreased slightly in 2020 (compared to 2019), because higher market expenditure reduced the proportion of EAGF measures covered by cross-compliance. Measures that are not falling under cross-compliance tend to have an increasing execution over the period and thus the % covered by cross-compliance is expected to decrease over the programming period. The ratio is stable for area-related measures.
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Opinion expressed by the public on cross compliance

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Support for the reduction of direct payments to farmers not complying with environmental rules										
2007	Milestones									
83%										Maintain the positive opinion
	Actual Progress									Final
	87%			88%						
Support for the reduction for non-compliance of animal welfare rules										
2007	Milestones									
84%										Maintain the positive opinion
	Actual Progress									Final
	87%			88%						
Support for the reduction of direct payments to farmers not respecting food safety rules										
2007	Milestones									
86%										Maintain the positive opinion
	Actual Progress									Final
	87%			90%						

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Eurobarometer
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Results of the latest Special Eurobarometer "Europeans, Agriculture and the Common Agricultural Policy" published in 2017; results in 2020 survey did not cover this issue. Next Special Eurobarometer on CAP is foreseen by 2022.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Control rate for GAEC**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2016	Milestones									
100%										100%
	Actual Progress									Final
	100%	100%	100%	100%	100%	100%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Control statistics notified annually by MS
Narrative	Baseline: All paying agencies fulfilled the mandatory control rate. Target: 100% implementation of the minimum regulatory control rate.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: The ratio of permanent grassland within a Member State in relation to the total agricultural area**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Before 2015	Milestones									
Reference ratio:										Reference ratio should not decrease

										more than 5%
	Actual Progress									Final
Ratio has not decreased beyond the limit of 5%	1 MS communicated decline above threshold of 5%, triggering a reconversion obligation	2 MS communicated decline above threshold of 5%, triggering reconversion obligation	No MS with ratio falling below the limit of 5%	1 MS communicated decline above threshold of 5%, triggering reconversion obligation	No MS with ratio falling below the limit of 5%					

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	MS annual notification (ISAMM – Information System for Agricultural Market Management and Monitoring)
Narrative	The maintenance of the ratio of permanent grassland means that there should not be, at national or regional level, a decrease by more than 5% of the current ratio of permanent grassland in relation to the total agricultural area by comparison with a reference ratio reflecting this ratio at a reference period. Data before 2019 for EU28.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In 2019, the data is available for 27 MS. As of 2019, the comparison ratio (rate of change compared to the reference) registered negative values in nine MS and 10 regions of the four MS with regional calculation but none exceeding the -5% threshold. However, in most cases the changes of MS'/regional annual ratios under greening and of the 'comparison ratio' resulted from a reallocation of permanent grassland (PG) areas within the terms of the ratio rather than their actual decrease. Instead, the figures reflected combined effects of an increase of/conversion to organic PG and, to a lesser extent, of decreasing PG under SFS (these areas are exempted from greening rules thus not counted within the reference/annual/comparison ratios). It was also affected by changes to agricultural areas. While some MS deemed such situations sufficient to adapt the reference ratio, others did not do it, resulting in lower or negative figures of 'comparison ratio'.
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Share of area under greening practices

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									
75%										Maintain the share
	Actual Progress									Final
		75%	77%	79%	79%	79%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	MS annual notifications (ISAMM - Information System for Agricultural Market Management and Monitoring).
Narrative	The coverage depends on the areas under the direct payment system and on changes e.g. to the farm structure and farming system. The figures reflect the relatively stable share of areas under the greening.
Methodology	The share is calculated as total agricultural area for farms with at least one greening obligation on total agricultural area from Eurostat statistics revised by DG AGRI.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Provisional information based on communications from Member States, where the assessment of notifications remains to be completed in some cases. Data before 2019 for EU28.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 7 :To promote local agricultural production and to ensure a fair level of prices for commodities for direct consumption and for processing by local industries in the Outermost Regions of the EU and in the Aegean Islands**

**Indicator 1:Support to the Local Production (SLP) to maintain/develop the agricultural production: Utilised agricultural area (variation with respect to the previous year)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
POSEIDOM: Mainland France										
	Milestones									2023
										To at least maintain and develop the agricultural production
	Actual Progress									Final
	26846459	26839405	26845812	26877355	26810521	26791216				
POSEIDOM: Guadeloupe										
	Milestones									2023
30415										To at least maintain and develop the agricultural production
	Actual Progress									Final
	30965	30695	30412	30263	30162	30162				
POSEIDOM: Martinique										
	Milestones									2023
22827										To at least maintain and develop the agricultural production
	Actual Progress									Final
	23822	23479	22827	21789	23150	23150				
POSEIDOM: Guyane										
	Milestones									2023
31208										To at least maintain and develop the agricultural production
	Actual Progress									Final
	29425	31283	31013	32374	32374	32374				
POSEIDOM: Réunion										
	Milestones									2023
41945										To at least maintain and develop the agricultural production
	Actual Progress									Final
	43411	41945	42329	41943	42095	42095				
POSEIDOM: Mayotte										
	Milestones									2023
8739										To at least maintain and develop the agricultural production
	Actual Progress									Final
			19992	20000	20000	20000				
POSEICAN: Mainland Spain										
	Milestones									2023
										To at least maintain and develop the

										agricultural production
	Actual Progress									Final
	23404800	23432684	26295539	23432297	23827370					
POSEICAN: Canaries										
	Milestones									2023
86026										To at least maintain and develop the agricultural production
	Actual Progress									Final
	85736	86026	86039	86755	107924					
POSEIMA: Mainland Portugal										
	Milestones									2023
										To at least maintain and develop the agricultural production
	Actual Progress									Final
	:	:	:	3641592	3641691	:				
POSEIMA: Madeira										
	Milestones									2023
4893										To at least maintain and develop the agricultural production
	Actual Progress									Final
	5262	5262	4893	:	:	:				
POSEIMA: Azores										
	Milestones									2023
123793										To at least maintain and develop the agricultural production
	Actual Progress									Final
	118589	118589	123793	:	:	:				
Smaller Aegean Islands										
	Milestones									2023
332091										To at least maintain and develop the agricultural production
	Actual Progress									Final
	321455	319860	332091	293920	333840	302770				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	MS Annual Reports
Narrative	The evolution of Utilised Agricultural Area in the outermost regions and the smaller Aegean islands shows a stable use, which is in line with the aims of the policy.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The Annual Implementation Report (AIR) transmitted by Member States in year N provides data corresponding to year N-1. The latest available results are 2019 data from the AIR transmitted in 2020. Yet, Spain's data are gathered late; the latest available data included in the 2020 AIR are from 2018. In addition, Portugal's farm structure data are collected every four or five years (data are available for 2013 and 2016), thus both former data and latest known data refer to year 2016.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Specific Supply Arrangements (SSA) to ensure the supply of essential products: SSA coverage rate (relation between quantities of products benefiting from SSA support and total quantities of the same products introduced in the respective outermost region)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
POSEIDOM (All products)										
	Milestones									2023
36%	Actual Progress									36%
	39%	36%	34%	35%	34%					Final
POSEICAN (Cereals only)										
	Milestones									2023
97,49%	Actual Progress									97.49%
	97,30%	99,35%	97,49%	68,86%	70,8%	99,1%				Final
POSEIMA Madeira (Cereals only)										
	Milestones									2023
99,8%	Actual Progress									99.8%
	99,2%	99,8%	99,8%	99,2%	97,8%	99,2%				Final
POSEIMA Azores (cereals only)										
	Milestones									2023
82,4%	Actual Progress									82.4%
	83,1%	82,4%	82,4%	84,0%	77,0%	79,5%				Final
Smaller Aegean Islands (Animal feed stuff only)										
	Milestones									2023
99,8%	Actual Progress									99.8%
	99,4%	99,4%	99,8%	100,59%	99,47%	98,01%				Final

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	MS Annual Reports
Narrative	Level of coverage (in %) of the local needs by certain significant products produced locally. The objective is to encourage local agriculture production in view of the self-supply of the outermost regions / smaller Aegean islands and of maintaining/developing export-oriented productions. The objective is not to cover 100% of the total quantities of the products introduced in the outermost regions with the SSA aid, but to at least maintain the level of the baseline. The baseline 2012 is maintained.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Target updated so that it corresponds to the baseline 2012.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Specific Supply Arrangements (SSA) to ensure an equitable level of prices for essential products: Price index with respect to the price in the mainland for some representative products or baskets of products**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
POSEIDOM: Average of 5 DOM/metropole										
	Milestones									
	Actual Progress									Final
POSEICAN: Canaries (Wheat 100kg)										
	Milestones									
92%	Actual Progress									Reduction of the gap within mainland prices
	123%	126%	92%	119%	110%	104%				Final

POSEICAN: Canaries (Milking cow's animal feed 100kg)										
	Milestones									
-14%										Reduction of the gap within mainland prices
	Actual Progress									Final
	13%	13%	-14%	9%	12%	13%				
POSEICAN: Canaries (Beef cattle animal feed 100kg)										
	Milestones									
0%										Reduction of the gap within mainland prices
	Actual Progress									Final
	20%	19%	0%	22%	19%	13%				
POSEIMA: Madeira										
	Milestones									
1%										Reduction of the gap within mainland prices
	Actual Progress									Final
	1%	1%	1%	1%	1%	1%				
POSEIMA: Azores (Rice)										
	Milestones									
7%										Reduction of the gap within mainland prices
	Actual Progress									Final
	7%	8%	7%	6%	4%	-4%				
POSEIMA: Azores (Granulated white sugar)										
	Milestones									
17%										Reduction of the gap within mainland prices
	Actual Progress									Final
	2%	6%	17%	18%	11%	15%				
POSEIMA: Azores (Bread)										
	Milestones									
15%										Reduction of the gap within mainland prices
	Actual Progress									Final
	16%	15%	15%	15%	13%	16%				
Smaller Aegean Islands (Animal feeding stuff)										
	Milestones									
29%										Reduction of the gap within mainland prices
	Actual Progress									Final
	27%	29%	29%	30%	31%	23,44%				
Smaller Aegean Islands (Flour)										
	Milestones									
5,72%										Reduction of the gap within

										mainland prices
	Actual Progress									Final
	9,80%	9,85%	5,72%	5,00%	8,00%	9,71%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	MS Annual Reports
Narrative	Comparison of prices for the consumer of certain products/groups of products covered under the Specific Supply Arrangements with prices of similar products in their Member States. The objective is to ensure a fair price level for products essential for human consumption or for animal feed in the outermost regions and the smaller Aegean islands.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In their annual implementation reports (AIR) for 2019, the Member States have communicated data related to the common performance indicators, as requested by Annexes VIII and II to Regulations (EU) No 180/2014 and 181/2014 respectively. However, the provided data may not be fully in line with the requirements of these annexes and thus not mutually comparable. Therefore, these indicators shall be evaluated with due caution. Discussion with the Member States concerned is ongoing in order to improve the collection of these data. The French authorities changed the methodology used in their annual reports and data source to calculate this indicator, as a consequence the series of data for this indicator is no longer available. Data provided for Madeira refers to prices for foodstuffs in general (indicator 2b). Indicator 2b is compulsory in the AIR. PT communicates no separate data for Indicator 2a and 2b, so it was agreed to use the figure provided by PT under Indicator 2b "foodstuffs".
Full metadata available at this address	
Justification of the trend	

**Specific Objective 8 :To provide the Commission with reasonable assurance that Member States have put in place management and control systems in conformity with EU rules designed to ensure the legality and regularity of the underlying transactions financed by the EAGF, EAFRD, SAPARD and IPARD and, where this is not the case, to exclude the expenditure concerned from EU financing so as to protect the EU's financial interests**

**Indicator 1:Percentage of expenditure (EAGF+EAFRD) with statistics or 100 % check**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									
90%	Actual Progress									95%
		94%	98%	98%	98%	99%				Final

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	CATS/COMBO database based on the Annual Declarations from the Paying Agency
Narrative	Percentage of expenditure (EAGF+EAFRD) with statistics or 100 % check (Art. 9(1) of Regulation (EU) No 809/2014)
Methodology	Data for Financial Year
Link MFF 14-20 / MFF 21-27	This indicator is a continuation from the period 2014-2020. This indicator will remain fully applicable and representative until FY 2022. In line with the CAP Post 2020 proposal, taking into account the transitional regulation, as of FY 2023 a gradually increasing amount of expenditure will not be covered by the obligation for the Member States to provide the control statistics. The use of this indicator for the future Programme Statements should therefore be carefully considered.
Other methodological comments	2020 not yet available, as 2020 Annual Declarations will only be received after 15.02
Full metadata available at this address	
Justification of the trend	The legislative framework provides for the obligation of the Member States to send control statistics for a major share of the CAP budget. Since FY2016, the target has been achieved. For a certain part of the schemes under market measures (ABB02), there is no requirement in the legislation for the Member States to provide control statistics. Given the decreasing trend of expenditure under ABB02 and the stable situation for ABB03 and ABB04, it is expected that the evolution of the indicator will remain stable.

### Specific Objective 9 :To inform and increase awareness of the CAP by maintaining an effective and regular dialogue with stakeholders, civil society, and specific target audiences

#### Indicator 1:Public awareness of CAP

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of Europeans who believe that agriculture and rural areas play important role for their future										
2015	Milestones									
94%										Maintain and if possible increase awareness of the CAP
	Actual Progress									Final
		95%		92%			95%			
Percentage that have heard about support that the EU gives farmers through its CAP										
2015	Milestones									
69%										Maintain and if possible increase awareness of the CAP
	Actual Progress									Final
		69%		67%			73%			

Are we on track	On track
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	Special Eurobarometer: European, agriculture and the CAP, Standard Eurobarometer
Narrative	The indicator shows the perception of the public about agriculture and public support to agriculture. There is a clear improvement for both indicators from the previous survey.
Methodology	Face to face interviews conducted following the methodology foreseen in DG COMM framework contract.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The plan is to conduct such Special EB surveys on Europeans, agriculture and the CAP every two years. The next one is foreseen in 2022.
Full metadata available at this address	<a href="https://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/SPECIAL/surveyKy/2229">https://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/SPECIAL/surveyKy/2229</a>
Justification of the trend	

### Specific Objective 10 :To facilitate decision making on strategic choices for the CAP and to support other activities of the DG by means of economic and policy analyses and studies

#### Indicator 1:Representativeness of information about the EU farm economic situation collected by the Farm Accountancy Data Network (FADN)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Farm returns collected for accounting year										
2015	Milestones									2017
82909										Maximum 86255
	Actual Progress									Final
	83252	82909	83950	84616	83437					
Coverage of the Standard Output										
2015	Milestones									2017
95%										90%
	Actual Progress									Final
	95%	95%	97%	97%	96%					
Coverage of the Utilised Agricultural Area										
2015	Milestones									2017
92%										90%
	Actual Progress									Final

	93%	92%	93%	93%	93%					
Are we on track	On track									
Indicator type	Result									
Unit of measurement	Number of farms									
Cut-Off Date										
Data source	EU FADN									
Narrative	There is general trend of decreasing number of farms in the EU, FADN sample remains rather stable but will decrease also due to Brexit.									
Methodology	FADN representativeness is based on sample of representative farms verified versus statistical Census, FSS and IFS.									
Link MFF 14-20 / MFF 21-27	FADN will be converted into Farm Sustainability Data Network (FSDN).									
Other methodological comments	The data provided is for the respective accounting years.									
Full metadata available at this address										
Justification of the trend										

**Indicator 2: Adequate knowledge of Farm's structure**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2016
Timely information on farm structures is available in the Eurostat database										All relevant indicators and factsheets updated with FSS 2016 data and published on the Europa web
	Actual Progress									Final
	See "Narrative"	See "Narrative"	See "Narrative"	See "Narrative"	See "Other methodological comments"	See "Other methodological comments"	See "Other methodological comments"			

Are we on track	On track
Indicator type	
Unit of measurement	Qualitative
Cut-Off Date	
Data source	Eurostat – Farm Structure Survey
Narrative	Results 2014-2017: 2014: Data of Farm Structure Survey 2013 delivered by Member States to Eurostat by December 2014. 2015: Data of Farm Structure Survey 2013 delivered by Member States to Eurostat by December 2014 and made available by Eurostat to users as from first quarter 2015. 2016 and 2017: Data of Farm Structure Survey 2013 have been published in the Eurostat database. The Farm Structure Survey 2016 has been carried out by Member States. Data are expected to be made available by Eurostat by the end of 2018. The legal framework for the 2020 agricultural census is under preparation.
Methodology	Linked to Eurostat methodology. Population of FSS 2016 is used for 2015-2018.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Results 2018-2020: 2018: The Farm Structure Survey 2016 was carried out by Member States. Eurostat has started to publish data from this survey in 2018 (to be completed in 2019). The new framework regulation for the 2020 agricultural census and farm surveys in 2023 and 2026 entered into force in 2018. 2019: Eurostat has published more data from the 2016 Farm Structure Survey. Grant agreements have been signed with Member States for the agricultural census 2020. Portugal started the census in October 2019. 2020: Agricultural census 2020 started in Member States, with most due to finish in 2020-2021. Eurostat will start publishing results in the second half of 2022. Member States adjusted to the Covid 19 pandemic.
Full metadata available at this address	
Justification of the trend	

**Previous Program 2 : European Agricultural Fund for Rural Development (EAFRD)****Specific Objective 1 :Fostering knowledge transfer and innovation in agriculture forestry and rural areas (Priority 1)**

**Indicator 1: % of expenditure for the three measures Knowledge transfer & information action, advisory services and cooperation in relation to the total expenditure for the RDP (Focus area 1A: Fostering innovation and the knowledge base in rural areas)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0										3,49%
	Actual Progress									Final
	0%	0%	0,10%	0,20%	0,44%	0,75%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	109 programmes include this Focus Area and are concerned by this quantified target. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of cooperation operations planned under the cooperation measure (groups, networks/clusters, pilot projects) (Focus area 1B: strengthening the links between agriculture and forestry and research and innovation)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0										13073
	Actual Progress									Final
	94	94	804	1 974	2 985	4884				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	108 programmes include this Focus Area and are concerned by this quantified target. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Total number of participants trained (Focus area 1C: fostering lifelong learning and vocational training in agriculture and forestry sectors)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0										3 649 511
	Actual Progress									Final
	12 333	12 333	258 186	1 057 714	1 481 528	1 493 963				

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	99 programmes include this Focus Area and are concerned by this quantified target. For the Specific Objective 1 the indicators as set in the rural development common monitoring and evaluation system

	are identified and presented with targets for 2023. The common performance framework does not apply to Specific Objective 1, because no EAFRD budget is allocated to that cross cutting Priority. Therefore no information on the milestones is collected from the Member States. Nevertheless, as in case of the remaining specific objectives, the Commission will be able to collect and present the real outputs for these indicators in the future.
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :Enhancing farm viability and competitiveness of all types of agriculture in all regions and promoting innovative farm technologies and sustainable management of forests (Priority 2)

**Indicator 1:% of agricultural holdings with RDP support for investment in restructuring (Focus area 2A: facilitating the restructuring of farms facing major structural problems, notably farms with a low degree of market participation, market-oriented farms in particular sectors and farms in need of agricultural diversification)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0	0,0062									0,0283
	Actual Progress									Final
	0,001	0,001	0,003	0,007	0,0115	0,0156				

Are we on track	On track
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	109 programmes include this Focus Area and are concerned by this quantified target.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:% of agricultural holdings with RDP supported business development plan for young farmers (Focus area 2B: facilitating generational renewal in the agricultural sector)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0	0,0034									0,0144
	Actual Progress									Final
	0,0006	0,0006	0,001	0,004	0,0087	0,0108				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	93 programmes include this Focus Area and are concerned by this quantified target. The indicative milestone (23% of the target for 2023), which represents an average for both Target Indicators, is based on the application of Performance Framework proxy indicator: number of agriculture holdings with RDP support for investment in restructuring or modernisation and number of agricultural holdings with RDP supported business development plan/investment for young farmers. This non mandatory indicator concerns 106 RDPs
Full metadata available at this address	
Justification of the trend	

## Specific Objective 3 :Promoting food chain organisation, including processing and marketing of agricultural products, animal welfare and risk management in agriculture (Priority 3)

**Indicator 1: % of agricultural holdings supported under quality schemes, local markets and short supply circuits, and producer groups (Focus area 3A: better integrating primary producers into the food chain through quality schemes, promotion in local markets and short supply circuits, producer groups and inter-branch organisations)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0	0,61%									1,72%
	Actual Progress									Final
	0,01%	0,01%	0,20%	0,39%	0,56%	0,76%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	85 programmes include this Focus Area and are concerned by this quantified target. The indicative milestone (34% of the target for 2023) is based on the application of Performance Framework proxy indicator: number of agricultural holdings supported under quality schemes, local markets/short supply circuits, and producer groups. This non mandatory indicator concerns 59 RDPs. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: % of agricultural holdings participating in risk management schemes (Focus area 3B: supporting farm risk management)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2023
0	4,41%									4,89%
	Actual Progress									Final
	0,04%	0,04%	0,50%	1,03%	1,38%	1,59%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	39 programmes include this Focus Area and are concerned by this quantified target. The indicative milestone (90% of the target for 2023) is based on the application of Performance Framework proxy indicator: number of agricultural holdings participating in risk management schemes. This non mandatory indicator concerns 28 RDPs. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :Restoring, preserving and enhancing ecosystems related to agriculture and forestry (Priority 4)**

**Indicator 1:Focus area 4A: Restoring and preserving biodiversity, including Natura 2000 area and high nature value farming, and the state of European landscapes**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of agricultural land under management contracts contributing to biodiversity										
2013	Milestones									2023
0	0,1191									0,1735
	Actual Progress									Final
	0,0570	0,0570	0,1290	0,1480	0,1608	0,1770				

Percentage of forest area under management contracts contributing to biodiversity										
2013	Milestones									2023
0										0,0162
	Actual Progress									Final
	0,0001	0,0001	0,002	0,003	0,004	0,005				

Are we on track	On track
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Agricultural land: Out of the 111 programmes which include this Priority, 109 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development. The indicative milestone is 70% of the target for 2023. Forest areas: Out of the 111 programmes which include this Priority, 76 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Focus area 4B: improving water management

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of agricultural land under management contracts improving water management										
2013	Milestones									2023
0					0,098					0,1439
	Actual Progress									Final
	0,045	0,045	0,088	0,1060	0,12	0,1421				
Percentage of forest area under management contracts improving water management										
2013	Milestones									2023
0										0,0088
	Actual Progress									Final
	0,0004	0,0004	0,001	0,001	0,0012	0,0024				

Are we on track	On track
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Agricultural land: Out of the 111 programmes which include this Priority, 108 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development. The indicative milestone is 70% of the target for 2023. Forest Area: Out of the 111 programmes which include this Priority, 39 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Focus area 4C: improving soil management

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of agricultural land under management contracts preventing soil erosion and improving soil management										
2013	Milestones									2023
0					0,0959					0,1394
	Actual Progress									Final
	0,045	0,045	0,09	0,1050	0,1163	0,1405				
Percentage of forest area under management contracts preventing soil erosion and improving soil management										
2013	Milestones									2023

0										0,0125
	Actual Progress									Final
	0,001	0,001	0,001	0,001	0,0021	0,0035				

Are we on track	On track
Indicator type	
Unit of measurement	Percentages
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Agricultural land: Out of the 111 programmes which include this Priority, 108 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in RD programmes which were made in accordance with the legislation for RD. The indicative milestone is 70% of the target for 2023. Forest area: Out of the 111 programmes which include this Priority, 56 are relevant for this sub-indicator. The indicative milestone, which represents an average for the three Target Indicators, is based on the application of Performance Framework proxy indicator: Agricultural land (AL) under management contracts contributing to biodiversity (ha) + AL under management contracts improving water management (ha)+ AL under management contracts improving soil management and/preventing soil erosion (ha). This non-mandatory indicator concerns 94 RDPs. No milestones are available because there is no equivalent common Performance Framework Indicators in the RD Performance Framework
Full metadata available at this address	
Justification of the trend	

### Specific Objective 5 :Promoting resource efficiency and supporting the shift towards a low carbon and climate resilient economy in agriculture, food and forestry sectors (Priority 5)

#### Indicator 1:% of irrigated land switching to more efficient irrigation systems (Focus area 5A: increasing efficiency in water use by agriculture)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0										0,1394
	Actual Progress									Final
	0,002	0,002	0,018	0,029	0,0526	0,0772				

Are we on track	On track
Indicator type	
Unit of measurement	Percentages
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	50 programmes include this Focus Area are concerned by this quantified target. No milestones are available because there is no equivalent common Performance Framework Indicators in the RD Performance Framework.
Full metadata available at this address	
Justification of the trend	

#### Indicator 2:Total investment in energy savings and efficiency (Focus area 5B: increasing efficiency in energy use in agriculture and food processing)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0										2 816 283 064
	Actual Progress									Final
	66 653 500	66 653 500	113 404 902	279 267 594	490 896 042	770 714 403				

Are we on track	On track
Indicator type	
Unit of measurement	

Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	32 programmes include this Focus Area and are concerned by this quantified target. The indicative milestone (30% of the target for 2023), which represents an average for both Target Indicators, is based on the application of Performance Framework proxy indicator: Number of investment operations in energy savings and efficiency (EUR) (5B) + Number of investment operations in renewable energy production (EUR) (5C). This non mandatory indicator concerns 66 RDPs. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Total investment in renewable energy production (Focus area 5C: Facilitating the supply and use of renewable sources of energy, of by products, wastes, residues and other non food raw material for purposes of the bio-economy)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0					730 338 147					2 293 370 868
	Actual Progress									Final
	2 173 000	2 173 000	59 103 898	255 265 515	405 632 714	593 060 998				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	64 programmes include this Focus Area and are concerned by this quantified target. The indicative milestone (30% of the target for 2023), which represents an average for both Target Indicators, is based on the application of Performance Framework proxy indicator: Number of investment operations in energy savings and efficiency (EUR) (5B) + Number of investment operations in renewable energy production (EUR) (5C). This non mandatory indicator concerns 66 RDPs. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Focus area 5D: Reducing nitrous oxide and methane emissions from agriculture**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of LU concerned by investments in life-stock management in view of reducing the GHG and ammonia emissions										
2013	Milestones									2023
0										0,82%
	Actual Progress									Final
	0,10%	0,10%	0,10%	0,30%	0,45%	0,91%				
Percentage of agricultural land under management contracts targeting reduction of GHG and ammonia emissions										
2013	Milestones									2023
0					1,44%					2,94%
	Actual Progress									Final
	2,40%	2,40%	1,60%	2%	2,40%	2,91%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	Livestock: Out of the 53 programmes which include this Focus Area, 25 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development. Agricultural land: Out of the 53 programmes which include this Focus Area, 35 are

	relevant for this sub-indicator. No milestones are available because there is no equivalent common Performance Framework Indicators in the RD Performance Framework.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicative milestone (49% of the target for 2023), which represents an average for both Target Indicators, is based on the application of Performance Framework proxy indicator: Agricultural and forest land under management to foster carbon sequestration/conservation (ha) (5E) + Agricultural land under management contracts targeting reduction of GHG and/or ammonia emissions (ha) (5D) + Irrigated land switching to more efficient irrigation system (ha) (5A). This non mandatory indicator concerns 79 RDP. Although this Performance Framework Indicator also takes into account part of the Focus Area 5A operations, this milestone is not representative for indicator 1 which has a particular implementation process compared to other operations taken into account in this indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

### Indicator 5: % of agricultural and forest area under management to foster carbon sequestration (Focus area 5E: Fostering carbon sequestration in agriculture and forestry)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0					0,53%					1,06%
	Actual Progress									Final
	0,30%	0,30%	0,60%	0,80%	0,96%	1,05%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	73 programmes include this Focus Area and are concerned by this quantified target. The indicative milestone (48% of the target for 2023), which represents an average for both Target Indicators, is based on the application of Performance Framework proxy indicator: Agricultural and forest land under management to foster carbon sequestration/conservation (ha) (5E) + Agricultural land under management contracts targeting reduction of GHG and/or ammonia emissions (ha) (5D) + Irrigated land switching to more efficient irrigation system (ha) (5A). This non mandatory indicator concerns 79 RDP. Although this Performance Framework Indicator also takes into account part of the Focus Area 5A operations, this milestone is not representative for indicator 1 which has a particular implementation process compared to other operations taken into account in this indicator.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 6 :Promoting social inclusion poverty reduction and economic development in rural areas (Priority 6)

#### Indicator 1: Number of jobs created through supported projects (outside LEADER) (Focus area 6A: Facilitating diversification, creation of new small enterprises and job creation)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0										77 612
	Actual Progress									Final
	17	17	990	4 221	10 784	17 610				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	76 programmes include this Focus Area and are concerned by this quantified target. No milestones are

	available because there is no equivalent common Performance Framework Indicators in the RD Performance Framework. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Focus area 6B: Fostering local development in rural areas**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of rural population covered by local development strategies										
2013	Milestones									2023
0	0,5243									0,54
	Actual Progress									Final
	0,2120	0,2120	0,5320	0,5990	0,6060	0,6059				
Percentage of rural population benefiting from new or improved services / infrastructures										
2013	Milestones									2023
0	0,0394									0,1670
	Actual Progress									Final
	0,007	0,007	0,116	0,126	0,1366	0,1650				
Number of jobs created through supported projects (LEADER)										
2013	Milestones									2023
0										42889
	Actual Progress									Final
	8	8	428,8	4157,4	13337	24920				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	
Methodology	Local development strategies: Out of the 110 relevant adopted programmes, 108 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development. The indicative milestone is 98% of the target for 2023. New or improved services/infrastructure: Out of the 110 relevant adopted programmes, 76 are relevant for this sub-indicator. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development. The indicative milestone is 24% of the target for 2023.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	LEADER jobs: Out of the 110 relevant adopted programmes, 108 are relevant for this sub-indicator. The indicative milestone is based on the application of Performance Framework proxy indicator: Population covered by Local Action groups (LEADER). This non-mandatory indicator concerns 107 RDPs. The indicative milestone, which represents an average for both Target Indicators, is based on the application of Performance Framework proxy indicator: Number of operations supported to improve basic services and infrastructures in rural areas. This non-mandatory indicator concerns 71 RDPs. Certain targets have been updated from last PS because of modifications in Rural Development programmes which were made in accordance with the legislation for rural development.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: % of rural population benefiting from new or improved IT infrastructures ( Focus area 6C: Enhancing accessibility to use and quality of information and communication technologies (ICT) in rural areas)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
0	1,39%									5,80%
	Actual Progress									Final
	0%	0%	0,20%	0,20%	1,00%	1,27%				

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Rural development programmes and annual implementation reports
Narrative	

Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	47 programmes include this Focus Area and are concerned by this quantified target. Certain targets have been updated from last PS because of modifications in Rural Development programmes, which were made in accordance with the legislation for rural development. The indicative milestone is 24% of the target for 2023.
Full metadata available at this address	
Justification of the trend	

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

##### *European Agricultural Guarantee Fund (EAGF)*

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
7 116,0	7 153,0	16 607,2	16 659,6	16 712,8	16 765,2	16 818,8	97 832,6

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

##### *European Agricultural Fund for Rural Development (EAFRD)*

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
8 784,0	6 931,0	4 843,6	4 843,6	4 843,6	4 843,6	4 843,6	39 933,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

##### *European Agricultural Guarantee Fund (EAGF)*

During the CAP transitional period 2021 and 2022, the current tracking method continues to apply.

The climate action contribution is calculated accordingly: the payment for agricultural practices beneficial for the climate and the environment (budget article 08 02 05) is split into three equal tiers, in analogy to the three compulsory farming practices applicable. The tiers receive the following Rio marker:

- the Rio markers take into account the climate contribution of the three compulsory green direct payment obligations: 1st tier 0% (crop diversification), 2nd tier 40% (ecological focus area), 3rd tier 100% (permanent grassland);
- plus a Rio marker of 40% applied to 20% of the remaining direct payments taking into account cross-compliance (i.e. 8% of budget article 08 02 05 direct payments without payment for agricultural practices beneficial for the climate and the environment and without payments for the Small farmers scheme which are not subject to cross-compliance).

The estimates from financial years 2023 onwards correspond to the overall target of 40% foreseen to be applied to the EAGF amounts. The methodology and figures on climate mainstreaming will have to be fine-tuned on the basis of the CAP strategic plans that MS are scheduled to submit in the beginning of 2022 and whose implementation will begin as of 1 January 2023.

##### *European Agricultural Fund for Rural Development (EAFRD)*

Calculation<sup>51</sup> based on the value of commitments respectively for Budget 2021 and DB 2022 indicative annual allocation to focus areas based on all 118 adopted rural development programmes. This calculation does not take into account the impact of flexibility decisions of the Member States regarding the 2022 Rural Development envelopes [expected end February].

<sup>51</sup> In accordance with Annex II to Regulation (EU) No 215/2014 of 7 March 2014 laying down rules for implementing Regulation (EU) No 1303/2013 of the European Parliament and of the Council laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund with regard to European Agricultural Fund for Rural Development (EAFRD)

The methodology for the calculation of the contribution to climate mainstreaming is the following: 100% of the annual commitments in the Priority Area 4 and Priority Area 5, plus 40% of the annual commitments in the focus area 3B and 6B.

The Commission's estimates of the overall climate contribution of both CAP funds are based on an EU wide agreed methodology. The method used by the Commission is sound, it has been prepared in a transparent and coordinated manner; it is based on Rio markers and it was communicated to the European Parliament and the Council. The tracking methodology for EAFRD is a reasonably reliable estimate for climate related expenditure and minimizes administrative burden. It currently represents 57.4% of EAFRD expenditure.

The tracking methodology has to remain stable during the transitional period 2021 and 2022.

### 6.1.3. Key achievements

Based on the EU climate tracking methodology, the CAP contribution to climate action is estimated at 26% for the period 2014-2020 (EUR 103 198 million), well above the 25% commitments: EUR 45 504 million for EAGF (15%) and EUR 57 694 million for EAFRD (58%). Because of its nature, the CAP has better addressed reduction of emissions from managed agricultural soils, increased carbon sequestration or protection of carbon stocks. The Good Agricultural and Environmental Conditions (GAECs) and the Greening measures play a major role in protecting permanent grasslands and the EU soil carbon stock. GAECs include obligations to keep a minimum soil cover, maintenance of soil organic matter through appropriate practices, including banning the burning of arable stubbles and appropriate land management. These measures also significantly contribute to improve adaptation of soils to changing climatic conditions. Greening practices cover crop diversification, maintenance of permanent grasslands and establishing Ecological Focus Areas (EFAs) on 5% of arable land. A number of measures have significant effects on adaptation and mitigation.

### 6.1.4. Performance

The CAP evaluation<sup>52</sup> includes a modelling estimation of a reduction in emissions by 4.6% compared to a baseline without CAP (in a scenario with medium emission reduction coefficients and based on the 2016 uptake of Pillar II measures, raising to 8.8% in the highest scenario). Pillar I (EAGF) contributes most to this reduction (19.8 million tonnes CO<sub>2</sub>eq corresponding to 3.5%), via greening and more specifically the protection of the environmentally sensitive permanent grasslands and the ecological focus areas. All actions also improve adaption of these areas to climate change. As regards Pillar II (EAFRD), the measures for which impact was quantifiable (i.e. investments in physical assets - measure 4, investments in forest area development - measure 8, agri-environment-climate - measure 10.1, organic farming - measure 11 and Natura 2000 payments - 12.1) have helped to reduce GHG emissions by ~6.4 million tonnes CO<sub>2</sub>eq/year. This corresponds to 1.1% of total emissions from agriculture based on 2016 measures uptake. The support to areas facing natural constraints prevents land abandonment and loss of grassland and thus protects carbon stocks in soil, which have a positive effects on the adaptation to climate change in these areas.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

#### *European Agricultural Guarantee Fund (EAGF)*

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
5 354,0	5 373,0	5 397,3	5 414,4	5 431,7	5 448,7	5 466,1	37 885,2

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### *European Agricultural Fund for Rural Development (EAFRD)*

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
4 588,9	3 806,3	3 623,6	3 623,6	3 623,6	3 623,6	3 623,6	26 513,2

methodologies for climate change support, the determination of milestones and targets in the performance framework and the nomenclature of categories of intervention for the European Structural and Investment Funds.

<sup>52</sup> SWD in preparation.

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

#### *European Agricultural Guarantee Fund (EAGF)*

During the CAP transitional period 2021 and 2022, the current tracking method continues to apply.

The contribution to biodiversity is calculated as follows:

- for the payment for agricultural practices beneficial for the climate and the environment (budget item 08 02 05 05) a Rio marker of 40% is applied;

- plus a Rio marker of 40% is applied to 10% of the remaining direct payments taking into account cross-compliance (i.e. 4% of budget article 08 02 05) without payments for agricultural practices beneficial for the climate and the environment and without payments for the Small farmers scheme which are not subject to cross-compliance.

The estimates for financial years 2023 onwards correspond to the global rate of years 2021 and 2022 (13%) applied to the EAGF amounts. An effective, transparent and comprehensive methodology on biodiversity mainstreaming is foreseen to be set out by the Commission, in cooperation with the European Parliament and the Council. The exact figures for biodiversity depend on the CAP strategic plans that MS will submit and whose implementation will begin as of 1 January 2023.

#### *European Agricultural Fund for Rural Development (EAFRD)*

Calculation based on the value of commitment respectively for Budget 2021 and Draft Budget 2022 indicative annual allocation to focus areas based on 118 rural development programmes. This calculation does not take into account the impact of flexibility decisions of the Member States.

The methodology for the calculation of the contribution to biodiversity is the following: 100% of the annual commitments in the Priority Area 4 with exception of the amounts for the areas facing natural constraints plus 40% of the annual commitments in the focus area 5E.

The tracking methodology has to remain stable during the transitional period 2021 and 2022.

The estimates from 2023 correspond to the extrapolation of average contribution of years 2021 and 2022 for the following years until 2027. An effective, transparent and comprehensive methodology on biodiversity mainstreaming will be set out by the Commission, in cooperation with the European Parliament and the Council. The exact figures for biodiversity depend on the CAP strategic plans that MS are expected to submit in early 2022 and with implementation to begin as of 1 January 2023.

### 6.2.3. Key achievements

Protecting biodiversity and strengthening the resilience of ecosystems are indispensable for achieving our sustainable growth objectives. As foreseen in the Commission Communication 'A budget for Europe 2020', financing the EU Biodiversity Strategy to 2020 and its objective was to halt and reverse the decline of biodiversity in the EU requires the mainstreaming of biodiversity throughout the EU budget, both within the EU via the main funding instruments and through external action funding.

Based on the EU tracking methodology, the CAP contribution to biodiversity is estimated at EUR 66 billion for the period 2014-2020.

### 6.2.4. Performance

The CAP for 2014-2020 plays an important role and provides a range of instruments that can contribute to supporting biodiversity. The cross-compliance system contributes to reaching ambitious biodiversity goals by linking some CAP payments to the respect of a set of environmental rules, and setting a baseline for other incentive measures supported by CAP funds. The wide area coverage and the compulsory nature of cross-compliance and greening measures amplify their positive effects. In addition, agri-environment-climate actions and organic farming as well as Natura 2000 payments are the main rural development measures contributing to biodiversity objectives and targets. They have significant effects in encouraging farmers to reaching ambitious biodiversity goals through the support for biodiversity-friendly agricultural practices such as maintaining existing semi-natural habitats and landscape features, or creating new habitats, which are very beneficial for biodiversity. More than 17% of EU agricultural land is under rural development management contracts supporting biodiversity and/or landscape through promoting management practices going beyond mandatory requirements and providing environmental public goods.

The potential of other relevant rural development measures should not be underestimated. In this context, the role of non-productive investments in establishing and/or restoring landscape features such as hedgerows, stonewalls, wetlands etc. can also

play an important role as well as measures for knowledge-building, innovation and co-operation. Training and provision of farm advice also play a significant role in promoting biodiversity relevant farming practices and approaches.

### 6.3. Contribution to clean air financing

#### *European Agricultural Fund for Rural Development (EAFRD)*

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
98,0	78,0						176,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

The contribution to clean air is calculated as follows:

40% of the expenditure of Focus Area 5B (energy efficiency) plus 40% of expenditure of Focus Area 5D (reducing greenhouse gases and ammonia emissions from agriculture).

### 6.4. Contribution to gender equality

#### *European Agricultural Fund for Rural Development (EAFRD)*

Rural development policy contributes to gender equality as the gender perspective is considered during the preparation and implementation of the RDPs. Under Priority 6 of the Rural Development Policy, the CAP supports social inclusion, poverty reduction and economic development in rural areas. Under this priority, the European Agricultural Fund for Rural Development (EAFRD) supports inter alia, the development of basic services in rural areas as well as for local initiatives; it finances the start-up of non-agricultural and agricultural activities and promotes the cooperation between local actors. This can help to address the special challenges that women sometimes face in rural areas and in the agricultural sector, such as the lack of quality basic services in some rural areas (such as childcare services, broadband, transports). Moreover, all rural development measures have the potential to contribute to gender equality to a various extent, e.g. by providing support to improve skills, facilitate business development, etc. Besides that, contribution to gender equality is specifically sought in the rural development policy through:

- the possibility to submit thematic sub-programmes for women in rural areas (although no Member State did so),
- the possibility to target rural development support to women through the application of selection criteria and,
- the obligation to respect an ex ante conditionality on gender equality.

It is currently not possible to establish accurate data on the portion of the CAP funding which goes to women as the data is not disaggregated by sex especially in the case of EAGF, direct payments and a number of the beneficiaries have a legal rather than natural identity.

The Commission enhanced gender dimension in the preparation of the Commission's proposal for the CAP Strategic Plans. It is important also to note that the proposals for the future CAP require Member States to establish a partnership that shall include relevant bodies including those responsible for gender equality and non-discrimination. Member States shall involve those partners in the preparation of the CAP Strategic Plans. Furthermore, under the new delivery model for the CAP, Member States will have greater flexibility to design their CAP interventions in line with their needs, but at the same time including gender issues, in respecting the EU Charter of the Fundamental rights. The Commission continuously invites Member States to consider gender in their SWOT analysis and address it in their needs assessment for the strategic plans. In the recommendations addressed to Member States as well as in the accompanying communication in the context of the European Green Deal and the Farm to Fork Strategy, the Commission asks Member States to give careful consideration of the specific needs of women in agriculture and rural areas in order to deliver on gender equality.

### 6.5. Contribution to the sustainable development goals

#### Goals

#### *SDG 1 End poverty in all its forms everywhere*

The CAP aims to ensure a **fair standard of living for farmers** – and more broadly, to **reduce poverty** in rural areas.

Relevant CAP tools include direct payments to farmers, market support instruments, and rural development support for job creation and training (agricultural and non-agricultural).

At global scale, with 80% of the very poor depending on agriculture for their livelihoods, the EU is facilitating responsible private investments in developing countries, notably in the agri-food sector to create growth and jobs and address root causes of irregular migration.

***SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture***

The CAP aims to help provide a stable (as well as safe and sustainably produced) supply of food at reasonable prices for consumers. Doing so for EU consumers contributes in itself to global food security. The EU makes a further contribution by supplying large amounts of food (worth around EUR 120 billion a year) according to global demand and without any export refunds, in contrast to previous decades.

Relevant CAP tools include direct payments and market instruments (to safeguard production potential against serious disruption), the EU School Scheme (which encourage healthy diets among schoolchildren), and various tools which foster the environmental aspect of sustainability (see SDG 15).

***Illustrative example***

The EU school scheme supports the distribution of fruit, vegetables and milk to schools across the European Union as part of a wider programme of education about European agriculture and the benefits of healthy eating. The consumption of fresh fruit and vegetables and of milk in the EU does not meet the international or national nutritional recommendations while that of processed food that is often high in added sugar, salt, fat or additives is on the rise. Unhealthy diets, together with low physical activity, result in overweight and obesity. This is why the EU takes action to help children follow a healthy diet and lead healthy lifestyles.

***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The CAP aims to improve knowledge transfer in the farm and forestry sectors and in rural areas overall, as a means of improving sustainability and productivity of agriculture and the economic, environmental and social conditions in rural areas.

Relevant tools include support through rural development programmes for training, coaching, workshops, demonstration projects, use of tailored advice etc. – for persons engaged in the agriculture, food and forestry sectors, as well as for land managers and SMEs operating in rural areas.

***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

The CAP aims to foster sustainable management of natural resources. This explicitly includes the objectives of improving water management (including in terms of water quality) and making the farm sector more water-efficient.

Pertinent tools include the water-relevant components of cross-compliance and "greening" (see SDG 15 for further information), various payments through rural development programmes to make farming less intensive (especially agri-environment-climate measures), and support for investments in more efficient irrigation systems.

***SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all***

The CAP aims to increase efficiency of energy use in farming and food processing, as well as to facilitate the supply and use of renewable sources of energy.

Relevant tools include rural development support for investments in generating renewable energy (including on the farm) and in infrastructure for its distribution – with regard to biomass and other renewable sources (for solar, geothermal and wind power).

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

The CAP aims to improve the viability of all types of agriculture in all regions, as well as to foster wider social inclusion and reduce poverty in rural areas.

Relevant tools include direct payments and market instruments (for the development of the farm sector, to which many other sectors are connected), the recent initiative to tackle unfair trading practices, as well as risk management tools and rural development support for business start-ups (for new young farmers and non-agricultural businesses) and investments in further business development.

***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

The CAP aims to foster innovation in agriculture, forestry and rural areas, as well as to help provide what is needed for general economic development in rural areas (including access to IT services).

Relevant tools include rural development support for the development of new products, practices, processes and technologies in the agriculture, food and forestry sectors (especially through the European Innovation Partnership for Agricultural Productivity and Sustainability) as well as for broadband infrastructure, general small-scale infrastructure and training.

***Illustrative example***

The CAP offers explicit support for setting up, expanding and improving broadband infrastructure, as well as for the provision of broadband internet access (i.e. improved connections to infrastructure), and access to e government. According to targets

aggregated from the 2014-2020 rural development programmes, in the current programming period, the CAP will help 18 million people living in rural areas to benefit from improved access to ICT services and infrastructure.

### *SDG 12 Ensure sustainable consumption and production patterns*

One of the CAP's main objectives is to provide a stable, sustainably produced supply of safe food at affordable prices for consumers. This includes for examples an EU framework on organic farming, and the integration of environmental concerns, such as biodiversity, water management and use and climate change, into the CAP. The CAP is committed to sustainable use of natural resources and the environmentally-sound management of waste, also for food losses.

With regard to the key tools which help to ensure environmentally sustainable production, see SDG 15.

### *SDG 13 Take urgent action to combat climate change and its impacts*

The CAP aims to assist **climate change mitigation and adaptation**.

Relevant tools include those elements of cross-compliance and "greening" (see SDG 15) pertinent to climate change - as well as rural development support for a range of practices and investments that cut greenhouse gas and ammonia emissions from farming (e.g. through more climate-friendly equipment), fix carbon in the soil (e.g. through forest-planting) and make farming more climate-resilient (e.g. with less water-intensive cropping patterns).

### *SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss*

The CAP aims to ensure the **sustainable use of natural resources** – including in terms of biodiversity, soil, water and landscapes.

A wide range of tools are relevant. Within the system of direct payments to farmers, "cross-compliance" links payments to various basic environmental, public, animal and plant health and animal welfare standards. Beyond that, the "greening" layer of the system rewards farmers for implementing crop diversity, preserving permanent grassland and maintaining biodiversity-friendly zones or landscape features. Within rural development policy, various area-based payments help farmers to pursue organic farming, improve animal welfare, implement certain Natura 2000 requirements, farm sustainably in areas facing natural disadvantages (especially mountainous areas), and (through agri-environment-climate measures) make extra efforts to benefit soil, water, air and wildlife. Support for eco-friendly investments can cover resource-efficient technologies, establishment of landscape features, and various forest-related activities (planting, protection against fire and other natural threats etc.) Support for training, the use of advice, and innovation is also relevant.

#### *Illustrative example*

Recent production and market trends show the importance that organics has gained over the last decade. Organic farming responds to a specific consumer demand for sustainable food products, promoting more sustainable farming practices and contributing to the protection of the environment and improved animal welfare.

For the 2014-2020 period, the rural development support planned for organic farming amounts to EUR 11.2 billion.

The share of the EU's utilised agricultural area with organic farming has increased from 5.6% in 2012 to 7.5% in 2018 corresponding to an increase from 10.05 to 13.44 million hectare.

**HEADING 3B: Other programmes of Natural Resources and Environment****European Maritime Fisheries and Aquaculture Fund****Lead DG:MARE**

1. Overview .....	841
1.1. Challenges .....	841
1.2. Mission (general objectives) .....	842
1.3. Specific objectives .....	842
1.4. Public intervention context .....	843
1.5. Actions .....	843
1.6. Delivery mode .....	843
1.7. Graphic overview of the programme structure .....	843
1.8. Legal basis and financial programming .....	846
1.9. Link with the 2014-2020 MFF .....	847
1.10. Relevant websites providing more information .....	847
2. Where are we in the implementation ? .....	847
2.1. Programme 2021-2027 .....	847
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	847
3. How is the programme performing ? .....	848
3.1. Performance .....	848
3.2. Key achievements .....	850
3.3. Evaluations, studies and reports .....	850
4. Programme 2021-2027 - Key monitoring indicators .....	851
Specific Objective 1 :Fostering sustainable fisheries and the conservation of marine biological resources .....	852
Specific Objective 2 :Contributing to food security in the Union through competitive and sustainable aquaculture and markets .....	855
Specific Objective 3 :Enabling the growth of the blue economy and fostering prosperous coastal communities .....	855
Specific Objective 4 :Strengthening international ocean governance for safe, secure, clean and sustainable managed seas .....	855
5. Programme 2014-2020 - Key monitoring indicators .....	855
Previous Program 1 : European Maritime and Fisheries Fund (EMFF) .....	855
Specific Objective 1 :Promoting competitive, environmentally sustainable, economically viable and socially responsible fisheries and aquaculture .....	855
Specific Objective 2 :Fostering the development and implementation of the Union's Integrated Maritime Policy in a complementary manner to Cohesion policy and to the Common Fisheries Policy .....	859
Specific Objective 3 :Promoting a balanced and inclusive territorial development of fisheries and aquaculture areas .....	861
Specific Objective 4 :Fostering the implementation of the Common Fisheries Policy .....	862
6. The programme contribution to horizontal policies .....	865
6.1. Contribution to climate mainstreaming .....	865
6.2. Contribution to biodiversity mainstreaming .....	865
6.3. Contribution to clean air financing .....	866
6.4. Contribution to gender equality .....	866
6.5. Contribution to the sustainable development goals .....	866

**1. Overview****1.1. Challenges**

As a global ocean actor and a major producer of seafood, the EU has a responsibility to protect and sustainably use the oceans and their resources. This is also in its socio-economic interest regarding the availability of food supplies, the competitiveness of the maritime economy and the livelihood of coastal communities.

In this respect, the European Maritime, Fisheries and Aquaculture Fund (EMFAF) for the 2021-2027 period supports the common fisheries policy (CFP), the EU maritime policy and the EU's international commitments for international ocean governance. Such support is an enabler for sustainable fisheries and the conservation of marine biological resources, for food security through the supply of seafood products, for the growth of a sustainable blue economy and for healthy, safe, secure, clean and sustainably managed seas and oceans. It also contributes to the achievement of Sustainable Development Goal 14 of the United Nations ('conserve and sustainably use the oceans, seas and marine resources'), to which the EU is committed.

## 1.2. Mission (general objectives)

The EMFAF supports the CFP, the EU maritime policy and the EU agenda for international ocean governance along the following four priorities:

1. Fostering sustainable fisheries and the restoration and conservation of aquatic biological resources;
2. Fostering sustainable aquaculture activities, and processing and marketing of fisheries and aquaculture products, thus contributing to food security in the Union;
3. Enabling a sustainable blue economy in coastal, island and inland areas, and fostering the development of fishing and aquaculture communities;
4. Strengthening international ocean governance and enabling seas and oceans to be safe, secure, clean and sustainably managed.

These are further explained in section 1.5. The EMFAF also contributes to the implementation to the European Green Deal, and in particular the Farm to Fork Strategy and the EU Biodiversity Strategy for 2030, including their external dimension, but also for the preparation of the future EU Strategy for Adaptation to Climate Change. For this purpose, the Commission is preparing a new approach for a sustainable blue economy, to replace the Blue Growth strategy from 2012. This new Communication will have a particular focus on the contribution of the blue economy to economic recovery (DG MARE 2021 management plan).

## 1.3. Specific objectives

The following Specific Objectives for the EMFAF are established under shared management, as defined in Annex II of the Regulation.

- Strengthening economically, socially and environmentally sustainable fishing
- Increasing energy efficiency and reducing CO2 emissions
- Promoting the adjustment of fishing capacity to fishing opportunities and contributing to a fair standard of living in cases of certain temporary cessation of fishing activities
- Fostering efficient fisheries control and reliable data for knowledge-based decision-making
- Promoting a level-playing field for fishing and aquaculture products produced in the outermost regions
- Contributing to the protection and restoration of aquatic ecosystems
- Promoting sustainable and economically viable aquaculture activities, in accordance with Article 34(1) of Regulation (EU) No 1380/2013
- Developing competitive, transparent and stable markets for fisheries and aquaculture products, as well as processing of these products, in accordance with Article 35 of Regulation (EU) No 1380/2013 and with Regulation (EU) No 1379/2013
- Strengthening sustainable sea and ocean management through the promotion of marine knowledge, maritime surveillance and/or coastguard cooperation
- Developing fishing and aquaculture communities in coastal and inland areas

Under direct management, the focus is rather at priority level. The areas to be supported are:

- Implementation of the CFP;
- Promotion of clean and healthy seas and oceans;
- Market intelligence;
- Maritime policy and development of a sustainable blue economy;
- European marine observation and data network;
- Maritime security and surveillance;
- International ocean governance.

## 1.4. Public intervention context

The EU has exclusive competence for the conservation of marine biological resources<sup>1</sup>, both in EU waters and in relation to the international obligations deriving from UNCLOS<sup>2</sup> and from other UN agreements to which the EU is a Party. The exclusive competence equally applies to the bilateral fisheries agreements signed with third countries. All these areas are regulated by the Common Fisheries Policy (CFP). The EMFAF helps Member States and thereby stakeholders to comply with the rules of the Common fisheries policy (CFP) being necessary for the attainment of the objectives of the policy, such as the sustainable management of fisheries. The EMFAF is directed at maintaining sustainable fisheries, aquaculture and processing sectors, as well as the local communities dependent on fisheries dependent areas. This is supported through innovation and diversification of activities to reduce environmental impacts and enhance protection and biodiversity while sustaining this important economic sector. The EMFAF supports the implementation of programmes designed by MS to support the specific needs of the sector in the MS.

## 1.5. Actions

Under priority 1, the EMFAF should ensure that fishing activities are environmentally sustainable in the long-term and managed in a way that is consistent with the objectives of achieving economic, social and employment benefits, and of contributing to the availability of food supplies. In particular, it aims to achieve and maintain sustainable fishing based on the Maximum Sustainable Yield and to minimise the negative impacts of fishing activities on the marine ecosystem. That support includes innovation and investments in low-impact, climate resilient and low-carbon fishing practices and techniques.

Under priority 2, the EMFAF may support the promotion of a sustainable aquaculture, and the promotion of marketing, quality and value added of fishery and aquaculture products, as well as the processing of these products.

Under priority 3, it may support actions that contribute to enabling sustainable blue economies in coastal, island and inland areas, and to fostering the sustainable development of fishing and aquaculture communities.

Under priority 4, the EMFAF may support actions to strengthen international ocean governance and enable safe, secure, clean and sustainably managed seas and oceans through the promotion of marine knowledge, maritime surveillance and coastguard cooperation.

Brexit has so far had a limited impact on programme planning and implementation. DG MARE will continue to monitor its effects and will respond as appropriate.

## 1.6. Delivery mode

As during the 2014-2020 programming period, the EMFAF will mainly be managed under shared management (87% of the budget allocation), where the Common Provision Regulation (CPR) for the European Structural and Investment Funds (ESIF) is applicable. Thus, the EMFAF shares common rules with other ESI funds, such as the European Regional Development Fund and European Social Fund Plus, sharing common objectives, principles and rules related to planning, programming, monitoring and reporting. The EMFAF further specifies details within this framework, including the common result indicators, types of interventions and climate coefficients which must be used when planning and reporting.

The remaining part of the financial envelope (13%) is implemented through direct or indirect management modes. The direct management part of the fund will be managed either directly by DG MARE or delegated to an Executive Agency. This will finance CFP related projects, market intelligence, scientific advice, sustainable blue economy and International Ocean Governance, as well as contributions to international organisations or to the functioning of the Advisory Councils. The budget under direct management shares the same set of common result indicators and principles as shared management to allow full and consistent reporting on the achievements of the EMFAF as a whole.

## 1.7. Graphic overview of the programme structure

---

<sup>1</sup> 3 (1) (d) of the Treaty on the Functioning of the European Union (TFEU).

<sup>2</sup> United Nations Convention for the Law of the Sea

PRIORITY	SPECIFIC OBJECTIVES UNDER SHARED MANAGEMENT	SCOPE UNDER DIRECT MANAGEMENT
<p><b>(1) Fostering sustainable fisheries and the restoration and conservation of aquatic biological resources</b></p>	<p>Strengthening economically, socially and environmentally sustainable fishing activities</p>	<p>Provision of scientific advice and knowledge for the purpose of promoting sound and efficient fisheries management decisions under the CFP</p>
	<p>Increasing energy efficiency and reducing CO2 emissions through the replacement or modernisation of engines of fishing vessels</p>	<p>Regional cooperation on conservation measures</p>
	<p>Promoting the adjustment of fishing capacity to fishing opportunities in cases of permanent cessation of fishing capacity and contributing to a fair standard of living in cases of temporary cessation of fishing activities</p>	<p>Development and implementation of a Union fisheries control system</p>
	<p>Fostering efficient fisheries control and enforcement, including fighting against IUU, as well as reliable data for knowledge-based decision-making</p>	<p>Functioning of Advisory Councils</p>
	<p>Promoting a level-playing field for fishery and aquaculture products from the outermost regions</p>	<p>Voluntary contributions to the activities of international organisations dealing with fisheries</p>
	<p>Contributing to the protection and restoration of aquatic biodiversity and ecosystems</p>	<p>Promotion of clean and healthy seas and oceans</p>

PRIORITY	SPECIFIC OBJECTIVES UNDER SHARED MANAGEMENT	SCOPE UNDER DIRECT MANAGEMENT
(2) Fostering sustainable aquaculture activities, and processing and marketing of fisheries and aquaculture products, contributing to food security in the Union	<p>Promoting sustainable aquaculture activities, especially strengthening the competitiveness of aquaculture production while ensuring that the activities are environmentally sustainable in the long term</p> <p>Promoting marketing, quality and value added of fisheries and aquaculture products, as well as processing of these products</p>	Development and dissemination of market intelligence for fishery and aquaculture products by the Commission

PRIORITY	SPECIFIC OBJECTIVES UNDER SHARED MANAGEMENT	SCOPE UNDER DIRECT MANAGEMENT
(3) Enabling a sustainable blue economy in coastal, island and inland areas, and fostering the development of fishing and aquaculture communities	<p>Enabling a sustainable blue economy in coastal, island and inland areas and fostering the sustainable development of fishing and aquaculture communities</p> <p><i>Community-led local development</i></p>	<p>Promotion of a sustainable, low carbon and climate resilient blue economy</p> <p>Promotion of an integrated governance and management of the maritime policy, including through maritime spatial planning, sea basin strategies and maritime regional cooperation</p> <p>Enhancement of the transfer and uptake of research, innovation and technology in the sustainable blue economy</p> <p>Improvement of maritime skills, ocean literacy and sharing of socio-economic and environmental data on the sustainable blue economy</p> <p>Development of project pipelines and innovative financing instruments</p>

PRIORITY	SPECIFIC OBJECTIVES UNDER SHARED MANAGEMENT	SCOPE UNDER DIRECT MANAGEMENT
(4) Strengthening international ocean governance and enabling safe, secure, clean and sustainably managed seas and oceans	Strengthening sustainable sea and ocean management through the promotion of marine knowledge, maritime surveillance and coastguard cooperation	<p>Implementation of the European marine observation and data network (EMODnet)</p> <p>Promotion of maritime security and surveillance, including through data sharing, coastguard and agencies cooperation and fight against criminal and illegal activities at sea</p> <p>Voluntary contributions to international organisations active in the field of ocean governance</p> <p>International cooperation in the context of the UN Convention on the Law of the Sea, the 2030 Agenda for Sustainable Development and other international agreements</p> <p>Implementation of ocean partnerships between the Union and relevant ocean actors</p> <p>Implementation of international agreements that aim to promote better ocean governance</p> <p>Implementation of international agreements to prevent, deter and eliminate illegal, unreported and unregulated fishing</p> <p>International cooperation on ocean research and data</p>

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0210/COD COM (2018) 390: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the European Maritime and Fisheries Fund and repealing Regulation (EU) No 508/2014 of the European Parliament and of the Council	2021 - 2027	6 108,0

### 1.8.2. Legal basis explanation

After 2½ years of negotiations following the adoption of the Commission's proposal for a future EMFF post 2020, the co-legislators reached political agreement on the EMFAF on 4 December 2020. The Regulation is expected to be adopted and enter into force in June 2021.

In addition to the legal basis mentioned above, the shared management strand of the EMFAF is regulated by the Common Provisions Regulation (CPR), which lays down common provisions on the European Regional Development Fund, the European Social Fund Plus, the Cohesion Fund, the Just Transition Fund, and the EMFAF. It also lays down financial rules for all the aforementioned Funds, plus the Asylum and Migration Fund, the Internal Security Fund and the Border Management and Visa Instrument.

The rules on management, programming, monitoring and auditing to be applied by the shared management strand of EMFAF are provided for in the CPR, whereas the rules for direct management are provided for in the EMFAF Regulation itself.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>760,7</b>	<b>971,9</b>	<b>940,4</b>	<b>907,3</b>	<b>819,5</b>	<b>835,9</b>	<b>848,3</b>	<b>6 084,0</b>

### 1.8.4. Financial programming explanation

### 1.9. Link with the 2014-2020 MFF

The EMFAF maintains the same overall range of support as the 2014-2020 EMFF. The structure has been simplified and streamlined, with increased commonalities with the common rules applied to other shared management funds set out in the Common Provisions Regulation. The EMFAF has a more flexible structure with the elimination of detailed and specific measures, giving Member States more flexibility provided that support falls under the scope of the Priorities and Specific Objectives, is not explicitly ineligible and is in accordance with applicable Union law. The monitoring and reporting structure has also been simplified to align with the core performance structure of the MFF, to cover both shared and direct management, to use fewer, more targeted common result indicators, and deliver more frequent reporting.

### 1.10. Relevant websites providing more information

Link to impact assessment accompanying the legislative proposal:

<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=SWD%3A2018%3A295%3AFIN>

Link to sea basin analyses:

<http://www.cc.cec/sg/vista/home?specificDossierDetails&SDRef=DTS/2020/6454&ComCat=SPINE>

New EMFAF webpages are under development.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted Budget	6 340 548 211	2 802 866 050
Implementation carry-overs	28 169 090	3 962 144
Implementation Recoveries and Repaid advances		572 235 930
Implementation total	6 368 717 301	3 379 064 124
total envelop*	6 381 637 417	
cumulative implementation rate	100%	53%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

For 2019 (the most recent year for which complete, validated data are available), the pace of implementation was comparable to 2018. EUR 3.21 billion of EMFF funding was committed, corresponding to 56.5% of the total EMFF funding available. Payments to beneficiaries continued to advance and reached EUR 1.73 billion (or 30.5% of the total EMFF funding), with around one-third of all payments made in 2019. These sums concern approximately 47,000 operations.

At the end of 2020, as regards shared management, cumulative EMFF net payments to Member States totalled just over €2.4 billion. This represents 43% of the total amounts allocated to the programmes, and shows significant progress from the position at the end of 2019 (29%). This trend is comparable to that seen in the other ESI Funds, and signals that the measures introduced by the Commission to help Member States tackle the effects of the COVID-19 pandemic (described in detail in section 3.1 below) were broadly effective. Member States continued to submit payment claims, and n+3 decommitment levels were kept to manageable levels (€44 million at the end of 2020, with 4 Member States affected).

### **Comparison of implementation with the 2007-13 European Fisheries Fund (EFF) programming period**

The cumulative payment position is approximately fifteen percentage points lower than that for the corresponding point in the EFF payment cycle. Although COVID has undoubtedly put a brake on implementation, other factors that are likely to have had an influence include:

- Late adoption of the EMFF regulation in 2014, 5 months into the programming period (the EFF regulation was adopted in 2006, i.e. before the programming period had started);
- The process of designation of authorities for the EMFF, which was placed under the control of Member States (under the EFF, Member States could not implement until the Commission had completed its systems compliance assessments). However, the process of designation often took longer still, leading to a late start in programme implementation;
- Tighter de-commitment rules under the EFF: n+2, rather than n+3. This was a natural “accelerator” for implementation of the EFF.

### **Decommitment**

#### *Key reasons*

Only 4 Member States sought exemption from EMFF decommitments under Article 87 CPR. COVID 19 restrictions were cited, but only in general terms. The main reasons cited by MS were:

- Suspensions of administrative procedures (including public procurement), preventing grant decisions from being taken;
- Claims that beneficiaries did not submit payment applications (despite contracts being in place);
- Lack of means and general interruptions (without further elaboration).

Following discussions that took place on 8 February between Stock Taking Group representatives from REGIO, EMPL, MARE and AGRI, it was agreed that all services should be consistent in their approach when assessing such requests. To be acceptable, such requests must:

- fulfil the “force majeure” test (i.e. the circumstances were beyond the control of the person claiming force majeure, they were abnormal and unforeseeable, and could not have been avoided despite the exercise of all due care);
- clearly specify, and quantify, the direct consequences of the force majeure on the implementation of (part of) the programme (i.e. the amount that could not have been spent due to force majeure).

3 of the 4 requests were returned to Member States for additional information and clarifications.

#### *Measures taken to keep decommitments at a reasonable level*

MS are reminded each autumn in the Expert Group meeting of the n+3 decommitment risk, and geographical Units take all reasonable steps to encourage MS to submit claims in due time. Decommitments were comparable to previous years.

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

2020 was an exceptionally challenging year for Member States and the Commission, primarily because of the COVID pandemic. A complete picture of the effects of the outbreak on financial absorption and programme performance will not be available until later this year, when Member States submit their Annual Implementation Reports (AIRs).

DG MARE continued to support the implementation of the fisheries and maritime policies, encouraging Member States to improve absorption of the EU funds, including for dedicated climate related actions, and to cater for the impact of the COVID-19 crisis. The fisheries and aquaculture sectors were among the most immediately affected by the economic disruption caused by the COVID-19 outbreak. A first package of support measures was adopted in March 2020 under the Coronavirus Response Investment Initiative and under a specific Temporary State aid framework. Additional specific measures for the fisheries and aquaculture sector became available under an amendment of the EMFF as part of a second package, adopted by the co-legislators in April 2020.

These packages feature a range of temporary and targeted measures to address the challenges faced by the seafood community, most notably support for the temporary cessation of fishing activities due to coronavirus, support to aquaculture farmers for the suspension of production and additional costs, and support to producer organisations for the storage of fishery and aquaculture products. Additional amendments to the EMFF Regulation allowed for more flexible reallocation of financial resources within the operational programmes of each Member State and a simplified procedure for amending operational programmes with respect to the introduction of the new measures, thereby reducing the administrative burden for all parties. Finally, the deadline for submission of the 2019 AIRs was extended to September 2020.

The Commission also responded to the collapse in Baltic cod stock by proposing a regulation (adopted in December 2020) to protect the communities most severely affected.

All these measures safeguarded the interest of the sector's objectives while helping to increase EMFF absorption.

### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### **3.1.3. Previous programme performance**

**Programme performance in specific areas was as follows:**

#### Support to the fishing fleet

Member States committed EUR 280.6 million to operations linked to vessels. This accounts for 8.8% of the total EMFF funding committed. By the end of 2019, the EMFF had supported a total of 9 874 unique vessels (14.6% of the total active fleet). With an average of EUR 28 400 per vessel. This type of support helped improve health and safety conditions on-board, as well financing fishing gear innovations to reduce environmental impact and improve energy efficiency.

#### Small-scale coastal fisheries

The small-scale fishing sector is made up of smaller vessels and is particularly important as it typically represents micro and small enterprises operating in small coastal communities. To date, the EMFF has supported 4 547 such small-scale vessels, with an average contribution of EUR 17 800 per vessel.

#### Landing obligation and innovation

Discarding is the practice of returning unwanted catches to the sea, either dead or alive, because they are undersized, due to market demand, the fisherman has no quota or because catch composition rules impose this. The introduction of the landing obligation since the reform of the Common Fisheries Policy (CFP) of 2013 aims at gradually eliminating this wasteful practice of discarding. Member States committed EUR 116.7 million in EMFF support to facilitate implementation of the Landing Obligation, EUR 164.1 million in EMFF support to innovation. Nearly half of all the funding committed to innovation was related to aquaculture.

#### Natura 2000, biodiversity, and climate change

Member States committed EUR 336 million in EMFF support to measures directly or potentially supporting the Natura 2000 network, and EUR 1.4 billion for supporting operations in relation to protection and restoration of biodiversity and ecosystems. Overall, the EMFF contribution to climate change objectives by the end of 2019 was EUR 599 million, or 18.3% of the total EMFF funding committed to date.

#### Outermost regions

Spain, France and Portugal committed EUR 131 million to support the economic viability of operations in the outermost regions.

### **Programme performance overview**

Operations financed via shared management continue to help improve the sustainability of fishing and aquaculture, as well as to maintain and protect the natural environment, encourage innovation and adoption of new technology and increase cooperation and partnerships between businesses, thus contributing to the achievement of these objectives.

In fostering the implementation of the CFP, the Commission has been managing the fisheries conservation policy to achieve maximum sustainable yield (MSY) for fish stocks by 2020, which is demonstrated by a positive trend in the indicator on MSY levels. Recent economic data also show that sustainable fisheries pays off in terms of higher and stable yields, fleet profitability and jobs (see the indicators 'Profitability of the EU fishing fleet' and 'Fuel efficiency of fish capture'). Despite the overall improvement, there are areas such as the Mediterranean Sea and the Black Sea where most of the stocks remain exploited beyond sustainable levels. The Commission adopted and implemented concrete regional action plans to reverse the stocks situation and improve science and control. An example of this is the adoption of stand-alone fishing opportunities for both the Mediterranean and the Black Sea for the first time in December 2019. Besides, the Commission is further pursuing its efforts in the fight against illegal, unreported and unregulated (IUU) fishing, especially in the frame of negotiations on the proposed revision of the fisheries control system.

Finally, performance indicators for the 2021-2027 EMFAF have been adapted to take into account both shared and direct management; work is underway to develop an IT system that can gather the data with little effort.

### 3.2. Key achievements

#### Concrete examples of achievements

9 800 <sup>(1)</sup>	At least 100 000 <sup>(2)</sup>	47 000 <sup>(3)</sup>
Fishing vessels benefited from the EMFF between 2014 and 2019 (about 19% of the EU fleet). 46% of the vessels belonged to the small-scale coastal fishing fleet.	Fishermen and 442 000 members of producer organisations (31 000 from production and marketing plans and 411 000 from marketing measures) benefitted from the EMFF between 2014 and 2019. 53 500 employees of processing companies also benefitted from the EMFF between 2014 and 2019.	Operations were selected to receive funding under the EMFF between 2014 and 2019, almost 43 000 of them were addressed to SMEs or private persons.

EUR 164 million <sup>(4)</sup>	8 445 <sup>(5)</sup>	5 000 <sup>(6)</sup>
Was the contribution from the EMFF to support innovation and new technologies through 815 operations between 2014 and 2019.	Projects addressing environment and resources efficiency were selected between 2014 and 2019, with an EMFF contribution of EUR 1 312 million.	Operations were supported related to better management of Natura 2000 and other marine protected areas between 2014 and 2019, with an EMFF contribution of EUR 220 million. Of it, 55 operations with an EMFF contribution of EUR 8 million targeted other marine protected areas.

- (1) Total vessels in EU operations were taken from Infosys Standard Report (2014-2019) pg. 8. Number of vessels under SSCF was taken from EMFF implementation report December 2020, pg. 6 & 32. The total EU fleet figure is from the FAME SU SSCF periodic reports, Scoping Report, August 2020.
- (2) Source: Infosys reports as of 31/12/2019. Data regarding fishermen benefitting and members of producer organizations benefitting should be treated with caution as the values reported by MS are often subject to errors as double counting and over-reporting. Whereas, figures on employees in processing companies are less error prone
- (3) Source: Infosys reports as of 31/12/2019.
- (4) Source: EMFF implementation report December 2020, pg. 36.
- (5) Projects addressing environment and resources efficiency fall under TO6 "Preserving and protecting the environment and promoting resource efficiency". According to FAME and DG MARE correspondence related to ad-hoc request 201907 FAME communicated the following: "10 104 projects addressing environment and resources efficiency with an EMFF contribution of EUR 573.23 million." We are not aware of how the numbers of 14 893 projects and EUR 532 million were obtained. In line with EMFF implementation report of December 2020 based on Infosys reporting, the values for TO6 are as follows: 8 445 operations and EUR 1.312 billion of EMFF committed.
- (6) Reported values of N2000 areas and other MPAs in km2 by MS are prone to errors due to applying wrong measurement units and over-reporting. As a result, it is suggested to report only number of operations and EMFF committed. This approach was already applied in the EMFF implementation report 2019. In relation to Natura 2000 only directly contributing EMFF Articles were selected (Art.40.1 b-g and i, Art. 40.1.h, Art.54, Art.80.1.b).The following formulation was suggested: "In 5 018 operations, the MS committed EUR 220 million to directly support the Natura 2000 network or to other Marine Protected Areas."

### 3.3. Evaluations, studies and reports

No studies were conducted for the shared management component of the EMFF in 2020.

An interim evaluation of the direct management component of the EMFF was published in October 2020. It assessed the efficiency, effectiveness, relevance, coherence and added value of the measures managed under direct management. The results will be used to guide the implementation of the last year of the programme and its follow-up in 2021-2027.

The evaluation concluded that, overall, the direct management part of the EMFF is relevant to meeting the objectives of the EU's maritime and fisheries policies. It is effective and efficient in that the results could not have been achieved at a lower cost and would not have happened without EU financial support. The actions are coherent with other EU initiatives. Nevertheless, demonstrating this would have been easier if the results and impacts had been made available in a more structured way. Based on lessons learned with this evaluation, the Commission is considering taking remedial action as part of the EMFF follow-up in 2021. This will include analysing the longer-term impact, which was not possible here due to the short period during which the fund has been operational.

For the direct management component of the EMFF, the table below represents the situation in 2020, with a total of 13 new studies that were signed under CFP scientific advice and knowledge budget line (11 06 62 01). Some of them addressed the same topic in different sea-basins (split into lots) to better reflect the regional specificities of the matter under analysis. The topics covered by those studies are detailed below:

Study	Budget	Start date / duration
Ecosystem mapping in the Central Arctic Ocean (CAO) during the SAS-ODEN expedition	1 300 000 €	January 21 / 18 months
Improving environmental sustainability of deep sea fisheries with emphasis on the conservation of Vulnerable Marine Ecosystems (VMEs)	324 200 €	January 21 / 24 months
Overview of the effects of offshore wind farms on fisheries and aquaculture	129 650 €	June 2020 / 8 months
Study on the main impacts of the COVID-19 pandemic on the EU fishing and aquaculture sectors (2 lots)	99 930 €	August 2020 / 5 months
Study on state-of-the-art scientific information on the impacts of aquaculture activities in Europe (2 lots)	449 010 €	January 2021 / 8 months
Synthesis of the Landing Obligation Measures and Discard Rates for the Mediterranean and the Black Sea	249 345 €	November 2020 / 12 months
Study on ecosystem-based approaches applied to fisheries management under the Common Fisheries Policy	544 320 €	January 2021 / 24 months
Study on CFP Regionalisation (2 lots)	599 765 €	January 2021 / 12 months
Climate change and the Common Fisheries Policy: adaptation and building resilience to the effects of climate change on fisheries and reducing emissions of greenhouse gases from fishing (2 lots)	799 495 €	January 2021 / 12 months

#### **4. Programme 2021-2027 - Key monitoring indicators**

## Specific Objective 1 :Fostering sustainable fisheries and the conservation of marine biological resources

### Indicator 1:Businesses created

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Businesses with higher turnover

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3:Jobs created

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4:Jobs maintained

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5:Persons benefitting (from EMFF support)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6:Actions contributing to Good Environmental Status; nature restoration, conservation, protection of ecosystems, biodiversity, health and welfare**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7:Energy consumption leading to CO2 emissions reduction**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	

Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8:SMEs supported**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 9:Fishing vessels equipped with electronic position and catch reporting devices**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 10:Local action groups**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 11:Small-scale coastal fisheries beneficiaries**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :Contributing to food security in the Union through competitive and sustainable aquaculture and markets**

**Specific Objective 3 :Enabling the growth of the blue economy and fostering prosperous coastal communities**

**Specific Objective 4 :Strengthening international ocean governance for safe, secure, clean and sustainable managed seas**

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : European Maritime and Fisheries Fund (EMFF)*

**Specific Objective 1 :Promoting competitive, environmentally sustainable, economically viable and socially responsible fisheries and aquaculture**

**Indicator 1:Labour productivity (in terms of gross value added per employee) in the EU fisheries sector**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
1										
2011	Milestones									2023
38 700										Increase in fisheries sector's productivity: (%) equals or exceeds that of the EU economy (%)
	Actual Progress									Final
	41 300	42 800	49 000	51 200	41 290					
2										
2011	Milestones									2023
44 000										Increase in fisheries sector's productivity: (%) equals or exceeds that of the EU economy (%)
	Actual Progress									Final

	49 600	52 500	57 300	56 700	57 100					
3										
2011	Milestones									2023
53 500										Increase in fisheries sector's productivity: (%) equals or exceeds that of the EU economy (%)
	Actual Progress									Final
	59 100	52 400	47 700	57 400	(***)					

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	(*) Data are available for fishing fleet and aquaculture in the month of August of year N+2 after the approval of the Scientific Technical and Economic Committee for Fisheries (STECF). In the case of fish processing it becomes available later.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Profitability of the EU fishing fleet by fleet segment

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Average EU fishing fleet Net profit margin										
2012	Milestones									2023
6%				6-9%	6-9%	6-9%	10-12%			10-12%
	Actual Progress									Final
	11%	11%	17%	16.9	12%					
Small scale fleet										
2012	Milestones									2023
8%										
	Actual Progress									Final
	4%	10%	14%	12%	9.8%					
Large scale fleet										
2012	Milestones									2023
5,3%										
	Actual Progress									Final
	8%	12%	19%	17%	13.2%					
Long distance water fleet										
2012	Milestones									2023
5,6%										
	Actual Progress									Final
	24%	6%	15%	15%	5.8%					

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	(*) Data are available for fishing fleet and aquaculture in the month of August of year N+2 after the approval of the Scientific Technical and Economic Committee for Fisheries (STECF). In the case of fish processing it becomes available later.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Fuel efficiency of fish capture**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2023
Ratio catches to fuel consumption : ca. 2.05 kg of fish for 1 litre of fuel				5% increase			10% increase			10% increase
	Actual Progress									Final
	2,20%	2,15%	1,81%	2.2%	2.23%					

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	(*) An increase in this indicator shows that more fish tends to be caught with a lower amount of fuel.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Volume of discards of commercially exploited species**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2023
23%		21%		10%		Max 5%	Reduced			Reduced
	Actual Progress									Final

Are we on track	No data
Indicator type	
Unit of measurement	Percentage of discarded catches
Cut-Off Date	
Data source	
Narrative	The EMFAF, as now agreed, will support innovation and investments that contribute to the full implementation of the landing obligation, as well as the development and implementation of conservation measures contributing to selectivity. It offers a higher aid intensity rate than the one that applies to other operations to investments in selective fishing gears, in the improvement of port infrastructures and in the marketing of unwanted catches. It also offers a maximum aid intensity rate of 100 % to the design, development, monitoring, evaluation and management of transparent systems for exchanging fishing opportunities between Member States ('quota swaps'), in order to mitigate the 'choke species' effect caused by the landing obligation. In addition, the new Technical Measures framework has established a modern and simplified mechanism to help the industry cope with the challenges of the CFP and the landing obligation.
Methodology	DG MARE has also been coordinating and aligning the different delegated regulations specifying the details of implementation of the landing obligation of the different sea basins, and participating in STECF and other stakeholders meetings on this topic. It has also set up a study on synthesis of landing obligation measures and discard rates.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The Commission closely monitors the implementation of the Landing Obligation and reports annually to the European Parliament and the Council based on information provided by Member States, the Advisory Councils and other relevant sources. However, information on discard quantities presented by Member States is scant and, based on the questionnaires. In parallel, the Commission adopted its post 2020 EMFF legislative proposal in June 2018 where it emphasised the need to facilitate the implementation of the Landing Obligation through the support of investments in selective fishing gears, in the improvement of port infrastructures and in the marketing of unwanted catches. The Commission has also emphasised the need for a more effective enforcement and control of the Landing Obligation in its recent proposal for a revision of the Control Regulation, by proposing that certain vessels are equipped with continuous recording electronic monitoring devices including Closed Circuit Televisions.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Value of aquaculture production in the EU**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2023
3,85							4,89			4,89
	Actual Progress									Final
	3,89	4,13	4,9	3,87	4,7					

Are we on track	Moderate progress
Indicator type	
Unit of measurement	EUR billion
Cut-Off Date	
Data source	<a href="https://ec.europa.eu/eurostat/databrowser/view/tag00075/default/table?lang=en">https://ec.europa.eu/eurostat/databrowser/view/tag00075/default/table?lang=en</a>
Narrative	Target: At least + 27% compared to the baseline 2013. Unit of measure: EUR billion.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	For the year 2017 there is a 2.25% increase of annual growth compared to previous year.
Full metadata available at this address	
Justification of the trend	Improvement is not sufficient to reach the milestone in 2020.

**Indicator 6: Relative value or volume of products placed on the market by Producers Organisations (POs), associations of POs or inter-branch organisations**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
BEL										
	Milestones									2023
73 100	73 300	73 500	73 700	73 900	74 100	74 300	75 100			75 100
	Actual Progress									Final
DNK										
	Milestones									2023
285 235	286 035	286 835	287 635	288 435	289 235	290 035	293 235			293 235
	Actual Progress									Final
DEU										
	Milestones									2023
176 419	176 639	176 859	177 079	177 299	177 519	177 739	178 619			178 619
	Actual Progress									Final
EST										
	Milestones									2023
1 900	1 940	1 980	2 020	2 060	2 100	2 140	2 300			2 300
	Actual Progress									Final
IRL										
	Milestones									2023
171 426	173 426	175 426	177 426	179 426	181 426	183 426	191 426			191 426
	Actual Progress									Final
GRC										
	Milestones									2023
45	7 976	15 908	23 859	31 771	39 702	47 633	79 359			79 359
	Actual Progress									Final
ESP										
	Milestones									2023
1 342 243	1 352 104	1 361 965	1 371 825	1 381 686	1 391 547	1 401 408	1 440 851			1 440 851
	Actual Progress									Final
FRA										
	Milestones									2023
653 288	655 688	658 088	660 488	662 888	665 288	667 688	677 288			677 288
	Actual Progress									Final
HRV										

	Milestones								2023
0	0	889	1 778	2 667	3 556	4 444	8 000		8 000
	Actual Progress								Final
ITA									
	Milestones								2023
165 468	168 686	171 904	175 121	178 339	181 557	184 775	197 646		197 646
	Actual Progress								Final
LVA									
	Milestones								2023
8 794	8 794	8 794	8 794	8 794	8 794	8 794	8 794		8 794
	Actual Progress								Final
LTU									
	Milestones								2023
317 916	318 416	318 916	319 046	319 916	320 416	320 916	322 916		322 916
	Actual Progress								Final
NLD									
	Milestones								2023
419 723	419 753	419 783	419 813	419 843	419 873	419 903	420 023		420 023
	Actual Progress								Final
POL									
	Milestones								2023
46 080	46 610	47 140	47 670	48 200	48 730	49 260	51 380		51 380
	Actual Progress								Final
PRT									
	Milestones								2023
143 826	148 826	150 826	152 826	154 826	156 826	158 826	166 826		166 826
	Actual Progress								Final
ROM									
	Milestones								2023
11 713	11 749	11 785	11 820	11 856	11 892	11 927	12 070		12 070
	Actual Progress								Final
SWE									
	Milestones								2023
776 649	776 723	776 797	776 871	776 945	777 019	777 093	777 389		777 389
	Actual Progress								Final
GBR									
	Milestones								2023
424 665	426 315	427 965	429 615	431 265	432 915	434 565	441 165		441 165
	Actual Progress								Final

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	EMFF operational programmes. Milestones are a linear extrapolation from the targets set for 2023
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :Fostering the development and implementation of the Union's Integrated Maritime Policy in a complementary manner to Cohesion policy and to the Common Fisheries Policy

**Indicator 1: Marine knowledge 2020 initiative: Degree of use of the European Marine Observation and Data Network (EMODnet) measured by the number of users downloading data**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
1 212	1 212			5 000			17 000			17 000
	Actual Progress									Final
	1 234	2 645	4 967	20 210	14 536	42 964	64 041			

Are we on track	On track
Indicator type	
Unit of measurement	Unique visitors per month to the central portal (since 2017 it represents the number of unique visitors).
Cut-Off Date	31/12/2020
Data source	VLIZ Matomo analytics since 2017 to 2020.
Narrative	The indicator of Unique visitors shows the progress of EMODnet (Central Portal). Since the data and data products in EMODnet are increasing and the size of data is very variant, depending on the parameter, the introduction of a more consistent indicator is preferable.
Methodology	
Link MFF 14-20 / MFF 21-27	DG MARE will continue reporting on this indicator for MFF 2021-2027.
Other methodological comments	This indicator has been changed since 2017. The actual progress (years 2017 to 2020) represent the unique visitors of EMODnet Central Portal. There is a steady to positive trend in the use of EMODnet.
Full metadata available at this address	<a href="https://piwik.vliz.be/">https://piwik.vliz.be/</a>
Justification of the trend	This indicator is not measured anymore. For the purpose of the strategic plan 2016-2020 this indicator was revised and replaced by 'Degree of use of the European Marine Observation and Data Network (EMODnet) in terms of unique visitors. The Unique visitors for EMODnet Central Portal were 64041 in 2020, while the overall EMODnet unique visitors across all portals were more than 414.000 in the same year.

**Indicator 2: Maritime Surveillance: Percentage of available cross-sectorial and/or cross-border data, as a percentage of the total information gap identified in the Impact Assessment on CISE (Common Information Sharing Environment)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
						10	12			12
	Actual Progress									Final
						10	12			

Are we on track	On track
Indicator type	
Unit of measurement	This indicator "Percentage of available cross-sectorial and/or cross-border data, as a percentage of the total information gap identified in the Impact Assessment on CISE (Common Information Sharing Environment) " is outdated and it has been changed. The new indicator starting 2019 is: Number of established nodes connecting Member States' authorities or EU Agencies to the CISE network. Unit of measurement (since 2019): a tally of the number of CISE nodes. Maritime security measured by the number of nodes connecting Member States' authorities or EU Agencies to the CISE (Common Information Sharing Environment).
Cut-Off Date	31/12/2020
Data source	European Maritime Safety Agency (EMSA) report.
Narrative	Maritime security measured by the number of CISE (Common Information Sharing Environment) connections/nodes. Explanation: This indicator measures the capacity of Member States and other institutions (cf. European agencies) to connect to CISE and share maritime surveillance data.
Methodology	A simple tally of the number of CISE nodes
Link MFF 14-20 / MFF 21-27	DG MARE will continue to report on this indicator in the MFF 2021-2027. In the next few months we will define new indicators in cooperation with the European Maritime Safety Agency to monitor the implementation of CISE.
Other methodological comments	In April 2019, CISE entered in a transitional phase to operations, managed by EMSA under a Grant Agreement signed with MARE. The full impact of CISE will be measured only as of 2023, when CISE is expected to become operational. N.B. Up to 2019 the previous indicator was measuring % changes in data exchange (which is outdated/irrelevant). The transitional phase of CISE has been extended to 2023. DG MARE working with EMSA will define new progress indicators for CISE in the coming months; these will indicate CISE progress retro-actively.
Full metadata available at this address	<a href="http://emsa.europa.eu/cise.html">http://emsa.europa.eu/cise.html</a>
Justification of the trend	

**Indicator 3: Percentage of the surface area of marine waters conserved through spatial protection measures in the context of Article 13.4 of MSFD**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Exclusive Economic Zone										
2012	Milestones									2020
0,059	Actual Progress									Final
			0,108	0,108	0,108	0,108	0,12			
0-12 nm zone										
2012	Milestones									2020
0,1	Actual Progress									Final
							0,2			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	ETC/ICM Technical Report 04/2017 "Report on Spatial Analysis of Marine Protected Area Networks in Europe's Seas II, Volume A, 2017" <a href="https://icm.eionet.europa.eu/ETC_Reports/SpatialAnalysisOfMarineProtectedAreaNetworksInEuropesSeas_VolumeA_2017/Spatial%20Analysis%20MPA%20Networks_v1.5.pdf">https://icm.eionet.europa.eu/ETC_Reports/SpatialAnalysisOfMarineProtectedAreaNetworksInEuropesSeas_VolumeA_2017/Spatial%20Analysis%20MPA%20Networks_v1.5.pdf</a> Last reports from EEA show 8.7% are now within N2k network and 12% of sea is covered by MPAs by end 2019 post-Brexit. <a href="https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-report-3-2020-spatial-analysis-of-marine-protected-area-networks-in-europe2019s-seas-iii">https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-report-3-2020-spatial-analysis-of-marine-protected-area-networks-in-europe2019s-seas-iii</a> Source: <a href="https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-reports/spatialanalysis-of-marine-protected-area-networks-in-europe2019s-seas-ii-volume-a-2017">https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-reports/spatialanalysis-of-marine-protected-area-networks-in-europe2019s-seas-ii-volume-a-2017</a> Source: <a href="https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-report-3-2020spatial-analysis-of-marine-protected-area-networks-in-europe2019s-seas-iii">https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-report-3-2020spatial-analysis-of-marine-protected-area-networks-in-europe2019s-seas-iii</a>
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	By end 2016 10.8% of EEZ EU-28 24.2% of territorial waters EU-28 Source: <a href="https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-reports/spatialanalysis-of-marine-protected-area-networks-in-europe2019s-seas-ii-volume-a-2017">https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-reports/spatialanalysis-of-marine-protected-area-networks-in-europe2019s-seas-ii-volume-a-2017</a> By end 2019 12% of EEZ EU-27 27% of territorial waters EU-27 Source: <a href="https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-report-3-2020spatial-analysis-of-marine-protected-area-networks-in-europe2019s-seas-iii">https://www.eionet.europa.eu/etcs/etc-icm/products/etc-icm-report-3-2020spatial-analysis-of-marine-protected-area-networks-in-europe2019s-seas-iii</a> By the end of 2016, 10.8 % of the surface of Europe's seas had been designated as MPAs. The % of areas designated as Marine Protected Areas has increased over last years, but the official information as published in 2017 is based on 2016
Full metadata available at this address	
Justification of the trend	EU is well on track although, due to Brexit, the data are not comparable along the reporting period. Despite the good progress on the indicator about area coverage, management effectiveness continue being a challenge.

**Specific Objective 3 : Promoting a balanced and inclusive territorial development of fisheries and aquaculture areas**
**Indicator 1: Employment created/maintained in the fisheries and aquaculture sectors with support from the EMFF**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Employment created										
	Milestones									2023
	Actual Progress									Final
			105	190	935	2966				
Employment maintained										
	Milestones									2023
	Actual Progress									Final
			952	1929	8486	18984				

Are we on track	Moderate progress
Indicator type	

Unit of measurement	
Cut-Off Date	
Data source	The figures come from the Annual Implementation Reports for 2019 submitted by the MS to the Commission in 2020.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The figures come from the Annual Implementation Reports for 2018 submitted by the MS to the Commission in May 2019.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of local strategies selected by Fisheries Local Actions Groups (FLAGs)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0				276			276			276
	Actual Progress									Final
			277	368	368	367	367			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	68 FLAGs were approved by the end of 2017, however one in Bulgaria did not start up. No more FLAGs may be approved in the current programming period, therefore the figure of 367 will never increase. The withdrawal of the UK from the EU at the end of January 2020 reduced the number of flags to 348. The number of local strategies selected as of the end of 2019 is 413.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :Fostering the implementation of the Common Fisheries Policy****Indicator 1: Number of apparent infringements of CFP rules by operators found in the framework of joint deployment plans (JDPs) divided by the number of inspections conducted**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
18%				15%			10%			10%
	Actual Progress									Final
	5,38%	4,11%	3,49%	4,00%	2,6%	2,3%	3,80%			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Data collected from the EFCA JDP's reports.
Narrative	
Methodology	Number of apparent infringements/number of inspections (ratio).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Due to the Coronavirus disease (COVID-19) pandemic outbreak, MS have adopted national measures to ensure the limitation of physical contact between their nationals to try to control the spread of COVID-19. This resulted in decreased number of physical inspections at sea and in ports of landing.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of Member States with an effective control system**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
6				Max. 5 MS			No Member			0

				are under an action plan.			States are under an action plan meaning that all MS have an effective control system			
Actual Progress										Final
6	9	9	13	13	11	15				

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Please note that this indicator was changed in the 2020 MP / AAR to better reflect the situation. The amendment has been agreed by Unit E2. So from 2021, the indicator should be “Number of control action plans implemented within deadline (result indicator: Effectiveness of Member States fisheries control systems measured by the number of control action plans implemented within the deadline set)”.
Cut-Off Date	
Data source	
Narrative	Number of Member States under an action plan to overcome shortcomings in their fisheries control system with a target that no Member State is under an action plan, meaning that all Member States have an effective control system. Therefore from 2021 the result indicator should be the number of action plans implemented within deadline. Nevertheless, the implementation of an action plan can serve as a useful indicator for the effectiveness of Member States’ fisheries control systems. Therefore from 2021 the result indicator should be the number of action plans implemented within deadline.
Methodology	In addition, action plans have been used and are being used to also progressively go beyond the minimum requirements set in the legislations, thus not necessarily reflecting a situation of non-compliance, at least not for all actions. Each control action plan is established in agreement with the Member State concerned and contains a detailed and time-bound roadmap for the improvement of certain parts of the Member State's fisheries control system, based on the shortcomings identified during the verifications/inspections/audits performed. Hence, an update on the implementation of control action plans does not always give the full picture of the state of the fisheries control systems in a Member State. Besides, a control action plan only covers specific parts of the Member States' fisheries control systems. Consequently, the full implementation of a control action plan does not mean that the entire fisheries control system is effective.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	10 actions plans have been closed. It should be noted that the “number of action plans” may not be the ideal performance indicator and should not be viewed in isolation. Most importantly, the absence of action plans (which is the 2020 target) does not necessarily mean that the Member States’ fisheries control systems are satisfactory. This is because other instruments - such as infringements, EU pilots, etc. - also are used to address weaknesses. Besides, considering that audits of the MS systems are performed on a regular basis and that an action plan only covers specific part of the MS’ control system, the “zero”-target for 2020 does not appear realistic anymore. The 2020 target (no MS under an action plan) did not take into account the fact that certain actions would have taken longer than expected (notably those linked to IT development), nor the fact that more action plans could have been opened due to the increased auditing activity of DG MARE.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Proportion or number of stocks that are fished at MSY levels

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
ICES area										
2015 & 2016	Milestones									2020
		59%	59%							100%
Actual Progress										
59%				See justification of the trend, Methodology and Other methodological comments	See justification of the trend, Methodology and Other methodological comments					
Mediterranean Sea										
2015 &	Milestones									2020



**Indicator 4: Degree of adequate responses to data calls under the data collection framework (100% minus failures to deliver the full data set required)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target	
2010	Milestones									2020	
92%				96%				100%			100%
	Actual Progress									Final	
	91%	81%	79%	78%	94%	89%					

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Generally speaking the DCF has improved a lot over the period but the indicator does not reflect this very well. For the coming period, we would like to revise the indicator for something that will give a more accurate and complete picture.
Full metadata available at this address	
Justification of the trend	

**6. The programme contribution to horizontal policies****6.1. Contribution to climate mainstreaming****6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
109,3	145,9	140,2	134,2	119,0	121,4	123,3	893,3

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

**6.1.2. Explanation and justification on the financial contribution**

Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement, and the commitment to the United Nations Sustainable Development Goals, the actions under the EMFAF should contribute to the achievement of a 30 % target of all MFF expenditure spent on mainstreaming climate objectives and should contribute to the ambition of providing 7,5 % of annual spending under the MFF to biodiversity objectives in 2024 and 10 % of annual spending under the MFF to biodiversity objectives in 2026 and 2027, while considering the existing overlaps between climate and biodiversity goals.

The first EMFAF Programmes will be in place by the end of 2021. The calculation of the contribution to climate change is based on historical estimates as EMFAF programmes do not include specific climate change targets. Values achieved will be updated in future.

**6.1.3. Key achievements**

Climate: The programme has contributed EUR 0.97 billion in the 2014-2020 period.

**6.2. Contribution to biodiversity mainstreaming****6.2.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
84,1	112,3	107,8	103,3	91,6	93,4	94,8	687,3

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

## 6.2.2. Explanation and justification on the financial contribution

Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement, and the commitment to the United Nations Sustainable Development Goals, the actions under the EMFAF should contribute to the achievement of a 30 % target of all MFF expenditure spent on mainstreaming climate objectives and should contribute to the ambition of providing 7,5 % of annual spending under the MFF to biodiversity objectives in 2024 and 10 % of annual spending under the MFF to biodiversity objectives in 2026 and 2027, while considering the existing overlaps between climate and biodiversity goals.

The first EMFAF Programmes will be in place by the end of 2021. The calculation of the contribution to biodiversity is based on historical estimates as EMFAF programmes do not include specific biodiversity targets. Values achieved will be updated in future.

## 6.2.3. Key achievements

Biodiversity: The programme has contributed EUR 0.86 billion in the 2014-2020 period.

## 6.3. Contribution to clean air financing

Not applicable

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming					Total	
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

This horizontal principle is enshrined in Article 6a(2) of the draft Common Provisions Regulation, viz.:

Member States and the Commission shall ensure that equality between men and women, gender mainstreaming and the integration of gender perspective are taken into account and promoted throughout the preparation, implementation, monitoring reporting and evaluation of programmes.

Furthermore, per Article 67(1) of the same Regulation, for the selection of operations, the managing authority shall establish and apply criteria and procedures which are non-discriminatory, transparent, ensure accessibility to persons with disabilities, gender equality and take account of the Charter of Fundamental Rights of the European Union and the principle of sustainable development and of the Union policy on the environment in accordance with Articles 11 and 191(1) of the TFEU.

These requirements apply equally to the EMFAF regulation.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

### 6.5.2. Key achievements and performance

#### *SDG 1 End poverty in all its forms everywhere*

The EMFF contributes to SDG 1 (End poverty in all its forms everywhere), by: contributing to the improvements of the economic results of the EU fisheries sector, and to the improvements of the living standards of the coastal populations which depend on that sector; allowing operators to modernise their productive tools, to diversify their sources of income or to switch to alternative economic activities.

#### *SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture*

By promoting the conservation of the marine living resources and the protection of the marine ecosystem, the EMFF contributes to the sustainability of the production of the EU fisheries sector of healthy quality food, and thus to SDG 2 (End hunger, achieve food security and improved nutrition and promote sustainable agriculture) and SDG 3 (Ensure healthy lives and promote well-being for all at all ages).

***SDG 5 Achieve gender equality and empower all women and girls***

Please, see the section on gender mainstreaming above.

***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

The main objective of the EMFF is to support the implementation of the Common Fisheries Policy (CFP) and the Integrated Maritime Policy (IMP), thereby contributing first and foremost to SDG 14 (Conserve and sustainably use the oceans, seas and marine resources for sustainable development). To date the EMFF has funded nearly 15,000 projects on preserving the marine environment and ensuring better resource efficiency. This has been supported with an EMFF contribution of EUR 532.42 million. The EMFF has also supported over 2000 operations related to better management of Natura 2000 areas, covering an area of at least 74 000 km<sup>2</sup>, and more than 1500 operations associated with other marine protected areas, covering an area of at least 704 055 km<sup>2</sup>.

The United Nations 2030 Agenda for Sustainable Development identified conservation and sustainable use of oceans as one of the 17 Sustainable Development Goals (SDG 14). The Union is fully committed to that goal and its implementation. In that context, it has committed to promote a sustainable blue economy which is consistent with maritime spatial planning, the conservation of biological resources and the achievement of good environmental status, to prohibit certain forms of fisheries subsidies which contribute to overcapacity and overfishing, to eliminate subsidies that contribute to illegal, unreported and unregulated fishing and to refrain from introducing new such subsidies. This outcome should result from the World Trade Organisation fisheries subsidies negotiation. In addition, in the course of World Trade Organisation negotiations at the 2002 World Summit of Sustainable Development and at the 2012 United Nations Conference on Sustainable Development (Rio+20), the Union has committed to eliminate subsidies contributing to fisheries overcapacity and overfishing.

**HEADING 3B: Other programmes of Natural Resources and Environment****Sustainable Fisheries Partnership Agreements (SFPAs) and Regional Fisheries Management Organisations (RFMO)****Lead DG:MARE**

1. Overview .....	868
1.1. Challenges .....	869
1.2. Mission (general objectives) .....	869
1.3. Specific objectives .....	869
1.4. Public intervention context .....	869
1.5. Actions .....	869
1.6. Delivery mode .....	870
1.7. Graphic overview of the programme structure .....	870
1.8. Legal basis and financial programming .....	870
1.9. Link with the 2014-2020 MFF .....	871
1.10. Relevant websites providing more information .....	871
2. Where are we in the implementation ? .....	871
2.1. Programme 2021-2027 .....	871
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	871
3. How is the programme performing ? .....	871
3.1. Performance .....	871
3.2. Key achievements .....	872
3.3. Evaluations, studies and reports .....	873
4. Programme 2021-2027 - Key monitoring indicators .....	873
Specific Objective 1 :To establish, through Sustainable Fisheries Agreements, a legal, economic and environmental governance framework for fishing activities carried out by Union fishing vessels in third country waters, in coherence with other EU policies. ....	873
Specific Objective 2 :To promote, through active involvement in international organisations, sustainable development for fisheries management and maritime governance in line with the Common Fisheries Policy objectives, and ensure that fishery resources are maintained above or restored above levels capable of producing maximum sustainable yield.....	874
5. Programme 2014-2020 - Key monitoring indicators .....	874
Previous FIN 1 : Compulsory contributions to Regional Fisheries Management Organisations (RFMOs) and other international organisations and Sustainable Fisheries Partnership Agreements (SFPAs) .....	874
Specific Objective 1 :To promote, through active involvement in international organisations, sustainable development for fisheries management and maritime governance in line with the CFP objectives, and ensure that fishery resources are maintained above or restored above levels capable of producing maximum sustainable yield .....	874
Specific Objective 2 :To establish, through Sustainable Fisheries Agreements, a legal, economic and environmental governance framework for fishing activities carried out by Union fishing vessels in third country waters, in coherence with other EU policies.....	875
6. The programme contribution to horizontal policies .....	876
6.1. Contribution to climate mainstreaming .....	876
6.2. Contribution to biodiversity mainstreaming.....	877
6.3. Contribution to clean air financing.....	878
6.4. Contribution to gender equality .....	878
6.5. Contribution to the sustainable development goals.....	878

**1. Overview**

## 1.1. Challenges

While 79% of all EU catches are taken in EU waters, 13% come from the international high seas, and 8% are caught in the exclusive economic zones (EEZs) within 200 nmi of the partner countries' waters. For the latter, it is essential that appropriate regulation mechanisms are put in place to ensure that catches are sustainable. EU fishing in the high seas for straddling and highly migratory stocks is regulated through regional fisheries management organisations (RFMOs), while in the waters of non-EU countries, EU fishing is preferably taking place through bilateral agreements negotiated by the European Union with partner countries named Sustainable Fisheries Partnership Agreements (SFPAs).

## 1.2. Mission (general objectives)

The EU negotiates, concludes and implements bilateral Sustainable Fisheries Partnership Agreements (SFPAs) between the European Union and third countries and pays compulsory annual budget contributions deriving from EU membership in international bodies, including various Regional Fisheries Management Organisations (RFMOs).

RFMOs are international bodies set up to promote the conservation and sustainability of straddling and highly migratory fish stocks. The EU is present in all of the world's oceans through its fleets and is obliged under the United Nations Convention on the Law of the Sea (UNCLOS) to cooperate with other parties by participating in these Organisations.

Within the framework of the SFPAs, the Commission maintains a political dialogue on fisheries related policies with third countries concerned, in coherence with the principles governing the Common Fisheries Policy (CFP) and the commitments under other relevant European policies. In addition, SFPAs provide a financial contribution whose aim is to support the sustainable development of the fisheries sector in the partner countries and contribute to better governance of their fisheries. That includes notably the improvement of scientific and technical knowledge of relevant fisheries, the contribution to control and surveillance and the fight against illegal, unreported and unregulated fishing (IUU fishing) and the support for better global governance of fisheries.

## 1.3. Specific objectives

To promote, through active involvement in RFMOs, the sustainable development for fisheries management and maritime governance in line with the Common Fisheries Policy objectives, and ensure that fishery resources are maintained above or restored above levels capable of producing maximum sustainable yield and the conservation of marine ecosystems. This includes the promotion of decisions based scientific advice and improved science in those organisations, action against IUU fishing, compliance with the existing rules and regular performance reviews in line with the Common Fisheries Policy objectives and the Ocean Governance communication. Consistent with the Green Deal objectives, RFMOs also promote the protection of the fragile ecosystems (Biodiversity Strategy) and ensure more sustainable food systems (Farm to Fork). Finally, RFMOs offer an opportunity to strengthen the role of the EU as a global actor.

To establish, through Sustainable Fisheries Agreements, a legal, economic and environmental governance framework for fishing activities carried out by Union fishing vessels in third country waters, in coherence with other EU policies. In particular, specific objectives pursued by SFPAs are:

- To give the European fleet access to fishing grounds under a clearer, uniform and more stable legal framework, offering greater legal certainty for European vessel owners, and contributing to their competitiveness;
- To foster scientific cooperation between the EU and its partner countries;
- To promote transparency and sustainability in the partner countries that also apply to other agreements between the partner countries concerned and other fleets present in their EEZ. This is therefore contributing to the sustainable management of fishing resources worldwide;
- To encourage improved governance and management of the local fisheries sector by supporting the monitoring, control and surveillance of national and foreign fleets' activities, contributing to the sustainable development of local fishing activities, and to the fight against illegal, unreported and unregulated (IUU) fishing.

## 1.4. Public intervention context

The fisheries policy is an exclusive competence of the European Union. The EU, represented by the Commission, plays an active role in 5 tuna and 12 non-tuna RFMOs and advisory bodies. The EU position in RFMOs is based on the principles and objectives of the CFP, the Ocean Governance communication, the Biodiversity the Farm to Fork strategies and the Council negotiating directives for each RFMO ('mandate') mirroring the CFP. The transposition into EU law of the provisions adopted by RFMOs is done through Regulations.

SFPAs are also negotiated by the Commission on behalf of the EU, in close cooperation with other EU Institutions. The Commission also ensures the monitoring of the implementation of SFPAs, in particular through regular Joint Committee meetings with partner third countries.

## 1.5. Actions

**SFPAs:** Under its exclusive competence of negotiating bilateral fisheries agreements the Commission negotiates, concludes and implements bilateral SFPAs between the European Union and third countries with the objective of contributing to a regulated framework for EU long-distance fishing fleet while ensuring a suitable exploitation of the third countries' relevant fisheries resources and supporting competitiveness of the Union's fishing fleet.

There are currently 12 active SFPAs, mostly in West Africa but also in the Indian and Pacific Oceans. In 2020 a new SFPA protocol with the Republic of Seychelles has started to be implemented. Moreover, negotiations have taken place in order to conclude new SFPAs with Greenland, Mauritania, Madagascar and Gabon.

Each SFPA is an exclusive Agreement: once in place, EU vessels can only fish under this SFPA, and cannot enter into private agreements with the partner country. The SFPA ensures a level playing field and establishes minimum standards for sustainable resource management as it includes provisions prohibiting the granting of more favourable conditions to other foreign fleets. There are currently around 200 vessels from 12 EU Member States are benefiting from the SFPAs.

Following the withdrawal of the United Kingdom from the EU in January 2021, the Commission has made a proposal for a Council Regulation to reallocate the fishing opportunities previously allocated to the UK in the SFPAs with Morocco and with Mauritania among interested Member States. Other SFPAs are unaffected by the Brexit.

**RFMOs and international organisations:** Given the exclusive competence of the EU for the conservation of marine living resources and international obligations deriving from the United Nations Convention on the Law of the Sea and the implementation of the United Nations Fish Stocks Agreement, to which the EU is a Party, the Commission pays compulsory annual contributions deriving from EU membership in international bodies. This includes various RFMOs where the EU has an interest and bodies set up by the United Nations Convention on the Law, namely the International Seabed Authority and the International Tribunal for the Law of the Sea. In line with the external dimension of the Common Fisheries Policy, the EU will promote better international fisheries and ocean governance, the sustainable management of international fish stocks, and defend EU economic and social interests within these organisations. Regarding the Brexit effects, after leaving the EU the United Kingdom has now acceded to a number of RFMOs. The Trade and Cooperation Agreement concluded between the EU and the UK, establishes that the Parties shall work together on conservation and trade-related aspects of fishery policies and measures, including in RFMOs, as appropriate, with the aim of promoting sustainable fishing.

## 1.6. Delivery mode

SFPA and RFMO agreements are managed under direct management. SFPAs consist of a part covering access rights, and other part on sectoral support which is devoted to sustainable development of the fisheries sector of the partner countries and enhancement of their overall fisheries governance capacity.

## 1.7. Graphic overview of the programme structure

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

### 1.8.2. Legal basis explanation

The 2013 CFP 'Basic' Regulation<sup>1</sup> refers to the Sustainable Fisheries Partnership Agreements (SFPAs)<sup>2</sup> specifically, in its title II, Articles 31 and 32. The Regulation provides that SFPAs with third countries should ensure that Union fishing activities in third country waters are based on the best available scientific advice and relevant information exchange, ensuring a sustainable exploitation of the marine biological resources, transparency as regards the determination of the surplus and, consequently, a management of the resources that is consistent with the objectives of the CFP. Those agreements provide for access to resources commensurate with the interests of the Union fleet in exchange for a financial contribution from the Union and contribute to the establishment of a high-quality governance framework.

According to the United Nations Convention on the Law of the Sea (UNCLOS), RFMOs are the responsible bodies for the sustainable management of straddling and highly migratory fish stocks. They play a critical role in promoting the preservation and restoration of marine ecosystems and biodiversity, while contributing to food security, fair, healthy and sustainable food systems, the fight against illegal, unreported and unregulated (IUU) fishing, as well as sustainable growth and jobs. RFMOs also offer an opportunity to increase the role of the EU as a global actor and to promote the same principles and standards as those applicable under Union law in the areas of the CFP and a level-playing field for Union operators in line with Article 28 of the basic regulation.

<sup>1</sup> [Regulation \(EU\) No 1380/2013](#) of the European Parliament and of the Council of 11 December 2013 on the Common Fisheries Policy, amending Council Regulations (EC) No 1954/2003 and (EC) No 1224/2009 and repealing Council Regulations (EC) No 2371/2002 and (EC) No 639/2004 and Council Decision 2004/585/EC

<sup>2</sup> [https://ec.europa.eu/fisheries/cfp/international/agreements\\_en](https://ec.europa.eu/fisheries/cfp/international/agreements_en)

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>142,4</b>	<b>142,6</b>	<b>132,5</b>	<b>135,3</b>	<b>138,1</b>	<b>140,9</b>	<b>143,1</b>	<b>974,9</b>

### 1.8.4. Financial programming explanation

### 1.9. Link with the 2014-2020 MFF

During the new period 2021-2027, the Commission will continue to monitor carefully the implementation of the SFPAs and will put emphasis on appropriate reporting of activities financed under the SFPA sectoral support component, raising awareness on concrete actions achieved. The general objectives of the funding for the international dimension of the Common Fisheries Policy, as well as the Sustainable Fisheries Partnership Agreements for the new period does not substantially deviate from the 2014-2020. It seeks, however, to consolidate the achievements of the previous period (2014-2020) while it incorporates as much as possible into its actions the new priorities of the Commission for the 2014-2020 notably concerning climate change, the Biodiversity and the Farm to Fork strategies.

### 1.10. Relevant websites providing more information

<http://europa.eu/!mH87VG>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	860 406 527	839 547 309
Implementation carry-overs*		
Implementation total	860 406 527	839 547 309
total envelop*	868 761 401	
cumulative implementation rate	99%	97%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

### **Fisheries Agreements – Compulsory Contributions to Regional Fisheries Management Organisations and Other International Organisations and Sustainable Fisheries Partnership Agreements (SFPA and RFMO)**

Cumulative implementation in CA at 31/12/2020 represents 99% of the total envelope for the period 2014-2020. This is due to timely signature of all protocols, in line with the budget forecasting.

Cumulative implementation in PA at 31/12/2020 represents 97% of the total envelope for the period 2014-2020. For some protocols, sectorial support payments have been executed later than the initial forecasting.

## 3. How is the programme performing ?

### 3.1. Performance

### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.2. Active programme performance

### 3.1.3. Previous programme performance

Overall, the EU has remained the key driver for progress in RFMOs and for increasing their performance with concrete proposals. The EU's voluntary contributions to the scientific advice of RFMOs played a key role in several RFMOs. The Commission continued to deliver on its commitment to achieve more sustainable fisheries worldwide: 88% of all conservation measures adopted in 2019 by RFMOs to which the EU is a member were in line with scientific advice. The 2020 target of 100% could not be achieved as the rate for that year was 74%.

Regarding the tuna and tuna-like stocks fished by the EU fleet in 2020, of the total commercial tuna catch worldwide, 87% came from stocks at 'healthy' levels of abundance. Out of 20 tuna and tuna-like stocks targeted by the EU fleet, 17 were fished at sustainable level. Additionally, fishing of one of tuna and tuna-like stocks is on its way to sustainability.

The outcomes regarding these two objectives account for the impact of the pandemic in the works of RFMOs and the fact that decisions are taken by consensus.

Due to the virtual format of the meetings in 2020, scientific bodies could not cover their full agendas and the main bodies of RFMOs resorted, in some cases, to a roll-over of existing measures based on the precautionary approach, which is by any means a conservative decision.

Concerning the fight against illegal, unreported and unregulated (IUU) fishing, there are currently listing procedures in place in all RFMOs. Almost all RFMOs have adopted port state measures. In addition to that, an increasing number of RFMOs have cross listing procedures and/or specific provisions to address the responsibility of nationals involved in illegal, unreported and unregulated fishing. The adoption of Catch Documentation Scheme measures during that period was put on-hold by RFMOs pending the completion of parallel work on guidelines by the FAO.

No further progress could be achieved in 2020, as the Covid-19 outbreak forced many RFMOs to postpone and move their annual meetings in 2020 to a virtual format and limit their agenda to decisions essential for the functioning of those organisations. As a result, many key decisions could not be adopted, also because the complexity of the discussions were not suitable for a virtual format. Once again, consensus is required in the decision making procedure set out in RFMOs and the EU is not the only actor involved. Nevertheless, it can be considered that, although improvements are always possible (e.g. measures against nationals involved in IUU fishing or cross-listing amongst RFMOs), all in all RFMOs have the proper tools to fight against IUU based on conservation measures that were many times proposed by the EU.

With a total number of 12 SFPAs protocols currently in place and the perspective to renew or conclude new SFPAs, the target objective of reaching 16 protocols in place in 2024 should be achieved. The main change in relation to the previous year relates to Liberia as the last Protocol expired on 8 December 2020 and negotiations for its renewal will not start until the "yellow card" in the framework of the IUU dialogue is withdrawn. This should be seen as a temporary reduction in the number of SFPAs and should not affect the achievement of the target as a new SFPA protocol has been agreed upon with Gabon offering new perspectives for the EU fleet. As for the take-up of fishing opportunities in the framework of SFPAs, which reflects the level of fishing activities within these bilateral agreements, the number of fishing opportunities for 2020 is actually relatively stable and in line with what could be observed over the previous years. One can even note an increase of the number of fishing opportunities for mixed agreements, which is most likely due to a good utilization rate of these agreements (Morocco, Mauritania, Guinea-Bissau and Greenland).

At the same time, SFPAs have also been contributing positively to the development of the fisheries sector in the partner countries and to better governance of their fisheries sector. A significant part of the total EU budget for SFPAs has been devoted to the concrete projects funded under sectoral support and related mostly to control and surveillance capacities, small port infrastructures, and the support to small-scale fishermen. At the same time, they contributed to eliminating illegal fishing and providing good framework conditions for local fishermen, thus also contributing to food security. Concrete projects financed include for example the supply of fishing equipment for small fishermen, including localisation and safety kits, the reinforcement of sanitary control capacity in ports, landing facilities with storage and ice facilities, financing the acquisition of patrol boats and their maintenance, training of fisheries inspectors and observers, etc.

Overall, the SFPAs have been successful in fostering better governance of fisheries at global level and contributing to the sustainable development of the fisheries sector in partner countries and hence globally. These agreements have also contributed to economic activity and job creation both in the EU and in partner countries. All RFMOs are equipped with the basic tools to fight against IUU fishing.

The number of fishing authorisations issued in the framework of the SFPAs in force remains high and has reached a total of 483 authorisations for 2020 (338 in mixed agreements and 145 in tuna agreements).

## 3.2. Key achievements

<b>74%</b>	<b>17</b>
of conservation measures adopted by RFMOs for the management of the stocks under their purview were in line with scientific advice.	out of 20 tuna and tuna-like stocks targeted by the EU fleet were fished at sustainable level and one is on its way to sustainability.

<b>15 000</b>	<b>70%</b>
jobs created and maintained through SFPAs in the EU (6 000 direct, 9 000 indirect)	of the tuna catches made in the context of SFPAs are processed in a partner country.

### 3.3. Evaluations, studies and reports

Not applicable for RFMOs.

A global evaluation of the implementation of the SFPAs has been launched end 2020 with the objective to provide with an overall analysis of the SFPAs features, content, implementation, results and impacts. The results of the evaluation should help the Commission to understand what has worked well, be considered of added value or a success and, what could have been improved. It will analyse the contribution of the SFPAs implementation to the EU policies, their contribution to the sustainable development of the partner countries and will include an in-depth analysis of the sectoral support performance and best practices.

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :To establish, through Sustainable Fisheries Agreements, a legal, economic and environmental governance framework for fishing activities carried out by Union fishing vessels in third country waters, in coherence with other EU policies.**

**Indicator 1:Sustainable Fisheries Agreements in force**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Fishing possibilities for EU vessels - tuna**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	

Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Fishing possibilities for EU vessels - mixed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :To promote, through active involvement in international organisations, sustainable development for fisheries management and maritime governance in line with the Common Fisheries Policy objectives, and ensure that fishery resources are maintained above or restored above levels capable of producing maximum sustainable yield.**

**5. Programme 2014-2020 - Key monitoring indicators**

*Previous FIN 1 : Compulsory contributions to Regional Fisheries Management Organisations (RFMOs) and other international organisations and Sustainable Fisheries Partnership Agreements (SFPAs)*

**Specific Objective 1 :To promote, through active involvement in international organisations, sustainable development for fisheries management and maritime governance in line with the CFP objectives, and ensure that fishery resources are maintained above or restored above levels capable of producing maximum sustainable yield**

**Indicator 1: Conservation measures based on scientific advice adopted, for all species under the purview of RFMOs to which the EU is a member**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
49 out of 53				95% of the conservation measures adopted						All conservation measures adopted
	Actual Progress									Final
				55 out of 57 (96%)	52 out of 59 (88%)	57 out of 65 (88%)	32 out of 43 (74%)			

Are we on track	On track
Indicator type	
Unit of measurement	Conservation measures adopted by RFMOs in their annual meeting are in line with the best available scientific advice.
Cut-Off Date	
Data source	
Link to the objective	

Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The Commission continued to deliver on its commitment to achieve more sustainable fisheries worldwide: 88% of all conservation measures adopted in 2019 by RFMOs to which the EU is a member were in line with scientific advice. The 2020 target of 100% could not be achieved as the rate for that year was 74%. This outcome accounts for the impact of the pandemic in the works of RFMOs and the fact that decisions are taken by consensus. However, despite the declining term, the performance over that period is relatively stable at an average rate very close to 90%.

**Indicator 2: Tools to fight IUU fishing adopted in RFMOs**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
IUU listing in place in all relevant RFMOs, port state measures adopted only in some RFMOs							IUU listing procedures in place and operational in all RFMOs (annual).			IUU listing procedures in place and operational in all RFMOs (annual)
	Actual Progress									Final
							Postponed their annual meetings in 2020 to virtual meetings (Covid).			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The EU was a very active player in the fight against IUU during the period 2014-2020. In line with the final target, currently there are listing procedures in place in all RFMOs and almost all RFMOs have adopted port state measures. Our involvement in the promotion of measures to establish IUU cross-listing procedures and against nationals involved in IUU was particularly important, and, as a result, an increasing number of organisation have those measures in place. The adoption of CDS measures during that period was put on-hold by RFMOs pending the completion of parallel work on guidelines by the FAO. The Commission has planned its activities regarding SFPAs with the objective to renew and possibly increase the number of agreements in order to ensure the continuity of the fishing activity and of the partnership with third countries. The Covid-19 outbreak had forced many RFMOs to postpone and move their annual meetings in 2020 to a virtual format and limit their agenda to decisions essential for the functioning of those organisations. As a result, many key decisions could not be adopted, also because the complexity of the discussions were not suitable for a virtual format.

**Specific Objective 2 :To establish, through Sustainable Fisheries Agreements, a legal, economic and environmental governance framework for fishing activities carried out by Union fishing vessels in third country waters, in coherence with other EU policies****Indicator 1: Number of Sustainable Fisheries Agreements in force**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
10	13	13	14	14	15	15	15			15
	Actual Progress									Final
	13	13	14	12	9	13	12			

Are we on track	On track
-----------------	----------

Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Extensive work has been done on new Protocols with Gabon and Greenland (the work done in 2020 already shows results in 2021 with an important SFPA with Greenland established in Q1 2021; the Protocol with Gabon will be also be established in Q2 2021). In addition, Protocols with Cook, Madagascar and Mauritania are well underway.

**Indicator 2: Fishing possibilities for EU vessels**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Tuna vessels										
2013	Milestones									2020
118	120	120	120	120	120	120	120			120
	Actual Progress									Final
	134	115	121	121	121	128	129			
Vessels for mixed SFAs										
2013	Milestones									2020
63	100	100	100	100	100	100	100			100
	Actual Progress									Final
	112	123	165	160	160	207	264			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of matrix adopted for the follow-up of the sectoral support (matrix of objectives, indicators and targets adopted with the third country, for each protocol in force)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013										
	Milestones									2020
10	13	13	14	14	15	15	15			15
	Actual Progress									Final
	13	14	14	12	9	13	12			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Extensive work has been done on new Protocols with Gabon and Greenland (the work done in 2020 already shows results in 2021 with an important SFPA with Greenland established in Q1 2021; the Protocol with Gabon will be also be established in Q2 2021). In addition, Protocols with Cook, Madagascar and Mauritania are well underway.

**6. The programme contribution to horizontal policies****6.1. Contribution to climate mainstreaming**

### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
14,1	14,1	14,1	14,1	14,1	14,1	14,1	98,7

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.1.2. Explanation and justification on the financial contribution

The actions financed by the European Commission support the integration of climate change considerations in the management of the marine biological resources, and their ecosystems, both in RFMOs with the final objective of promoting their adaptation and resilience towards climate change, and at bilateral level, through SFPAs.

SFPAs: contribution to climate action represents 40% of the sectoral support.

RFMOs: contribution to climate action represents 40% of the total amount allocated to RFMOs.

### 6.1.3. Key achievements

Climate change considerations are, where appropriate and available, incorporated into the scientific and stock management discussions in RFMOs. They are also reflected in SFPAs, which refer to management decisions of RFMOs, and contribute to their implementation.

Climate: SFPAs have contributed with EUR 72.5 million in the 2014-2020 period.

Climate: RFMOs have contributed with EUR 13.7 million in the 2014-2020 period.

### 6.1.4. Performance

Although there seems to be progress on the enhancing climate change considerations in RFMOs and SFPAs, it is too early to assess performance for the current period.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
4,4	4,4	4,4	4,4	4,4	4,4	4,4	30,8

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

The actions financed by the European Commission in RFMOs are consistent with the objectives of the EU Biodiversity Strategy to conserve marine stocks, prevent the loss of biodiversity and protect fragile ecosystems. In addition, actions supported through the sectoral support component of SFPAs, promote long-term resource conservation, good governance and the sustainable development of our partners' local fisheries sector, with a positive effect on biodiversity.

SFPAs: it is estimated that EUR 1 million per year concerns biodiversity (this is rather a conservative estimation).

RFMOs: 60% of the total amount concerns biodiversity.

### 6.2.3. Key achievements

87% of the total commercial tuna catch worldwide, including the tuna and tuna-like stocks fished by the EU fleet in 2020, are at 'healthy' levels of abundance. Out of 20 tuna and tuna-like stocks targeted by the EU fleet, 17 were fished at sustainable level. Additionally, fishing of one of tuna and tuna-like stocks is on its way to sustainability. Biodiversity is also taken into account in SFPAs as well which contribute to sustainable fishing, including through measures aimed at reducing by-catches of non-targeted species and marine mammals. In addition, part of sectoral support funds of SFPAs contribute to support actions contributing to biodiversity (e.g. creation and management of Maritime Protected areas, coral restoration, surveillance operations to fight illegal fishing).

Biodiversity: SFPAs have contributed EUR 7 million in the 2014-2020 period.

Biodiversity: RFMOs have contributed EUR 20.6 million in the 2014-2020 period.

#### 6.2.4. Performance

The action is performing satisfactorily although there is room improvement to reach a higher percentage of tuna and tuna-stocks management sustainably and an increased impact of SFPAs on biodiversity protection. We continue to work towards the achievement of more sustainable fisheries worldwide.

#### 6.3. Contribution to clean air financing

Not applicable

#### 6.4. Contribution to gender equality

##### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.5. Contribution to the sustainable development goals

##### 6.5.1. Goals

##### *SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture*

Sustainable Fisheries Partnership Agreements provide the guarantee that only surplus resources will be fished by EU fishing fleet operating in third country waters. They therefore contribute to the sustainable management of fisheries resources and to food security for local population dependent on fishing resources. This is being reinforced in some SFPAs through provisions regarding compulsory landings, or in-kind donation of fish which also contribute directly or indirectly to improved nutrition in developing countries.

Likewise, RFMOs play a key role in promoting a sustainable access to affordable sources of protein.

##### *SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development*

Sustainable Fisheries Partnership Agreements are a tool to help promote long-term resource conservation, good governance and the sustainable development of our partners' fisheries sector. In addition, thanks to the sectoral support, the scientific, administrative and technical capacity of local partners for the sustainable development of their fisheries is being reinforced, in coordination with development policy tools. SFPAs therefore contribute directly to the sustainable management of fisheries worldwide.

RFMOs promote have as their main mandate to promote the conservation and sustainable management of the stocks under their purview and their ecosystems.

**HEADING 3B: Other programmes of Natural Resources and Environment****Programme for the Environment and Climate Action (LIFE)****Lead DG:ENV**

Associated DGs:ENER, CLIMA

1. Overview .....	880
1.1. Challenges .....	880
1.2. Mission (general objectives) .....	880
1.3. Specific objectives .....	881
1.4. Public intervention context .....	881
1.5. Actions .....	881
1.6. Delivery mode .....	881
1.7. Graphic overview of the programme structure .....	882
1.8. Legal basis and financial programming .....	882
1.9. Link with the 2014-2020 MFF .....	882
1.10. Relevant websites providing more information .....	883
2. Where are we in the implementation ? .....	883
2.1. Programme 2021-2027 .....	883
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	884
3. How is the programme performing ? .....	885
3.1. Performance .....	885
3.2. Key achievements .....	886
3.3. Evaluations, studies and reports .....	890
4. Programme 2021-2027 - Key monitoring indicators .....	891
Specific Objective 1 :Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network; .....	891
Specific Objective 2 :Develop, demonstrate and promote innovative techniques and approaches and apply best practice in relation to nature and biodiversity .....	896
Specific Objective 3 :Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society; .....	899
Specific Objective 4 :Play a catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions .....	901
5. Programme 2014-2020 - Key monitoring indicators .....	902
Previous Program 1 : Programme for the Environment and Climate Action (LIFE) .....	902
General Objective 1 :To contribute to the shift towards a resource-efficient, low-carbon and climate-resilient economy, to the protection and improvement of the quality of the environment and to halting and reversing biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems .....	902
General Objective 2 :To improve the development, implementation and enforcement of Union environmental and climate policy and legislation, and to act as a catalyst for, and promote, the integration and mainstreaming of environmental and climate objectives into other Union policies and public and private sector practice, including by increasing the public and private sector's capacity .....	905
General Objective 3 :To support better environmental and climate governance at all levels, including better involvement of civil society, NGOs and local actors .....	906
General Objective 4 :To support the implementation of the 7th Environment Action Programme .....	907
Specific Objective 1 :Contribute to a greener and more resource-efficient economy and to the development and implementation of EU environmental policy and legislation (Environment and Resource Efficiency priority area) .....	907

Specific Objective 2 :Halting and reversing the biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems (Biodiversity priority area) .....	909
Specific Objective 3 :Support better environmental governance and information at all levels (Environmental Governance and Information priority area).....	912
Specific Objective 4 :Reduction of EU greenhouse gas emissions and development and implementation of EU climate policy and legislation (Climate Change Mitigation priority area).....	913
Specific Objective 5 :Increased resilience of the EU to climate change (Climate Change Adaptation priority area).....	915
Specific Objective 6 :Support better climate governance and information at all levels (Climate Governance and Information priority area).....	916
6. The programme contribution to horizontal policies .....	918
6.1. Contribution to climate mainstreaming.....	918
6.2. Contribution to biodiversity mainstreaming.....	919
6.3. Contribution to clean air financing.....	920
6.4. Contribution to gender equality .....	921
6.5. Contribution to the sustainable development goals.....	921

## **1. Overview**

### **1.1. Challenges**

All current and future EU generations are affected by environmental and climate problems. These problems impact on citizens' health and quality of life, as well as the availability and status of natural resources, implying social and economic costs.

The EU confirmed its commitment to act with its multi-annual strategic general objective - the European Green Deal - a growth strategy that aims to transform the EU into a fair and prosperous society, with a modern, resource-efficient and competitive economy in which:

- (1) There are no net emissions of greenhouse gases in 2050;
- (2) Economic growth is decoupled from resource use;
- (3) The EU's natural capital is protected, conserved and enhanced;
- (4) The health and well-being of citizens is protected from environment-related risks and impacts.

Given the global challenges of climate change and environmental degradation require a global response, the EU will lead by example and continue to promote and implement ambitious environment, climate and energy policies across the world.

Action is needed to support environmental protection with respect to biodiversity, chemicals and health, water quality and management, waste management, ambient air quality, resource management, clean energy, climate change mitigation and adaptation.

In particular the EU agreed to make at least 30% of EU expenditure climate-related in the years 2021-2027 and to work towards the ambition of providing 7.5% of annual spending under the Multiannual Financial Framework (MFF) to biodiversity objectives in the year 2024 and 10% of annual spending under the MFF to biodiversity objectives in 2026 and 2027.

Ongoing challenges arising from public goods failure; imperfect information; negative externalities; government, institutional, regulatory or policy failure; eco-innovation failure; societal failure; infrastructure lock-in and investment failure need to be addressed.

### **1.2. Mission (general objectives)**

EU level intervention is needed:

- To achieve the shift towards a sustainable, circular, energy-efficient, renewable energy-based, climate-neutral and -resilient economy.
- To protect, restore and improve the quality of the environment, including the air, water and soil.
- To halt and reverse biodiversity loss and to tackle the degradation of ecosystems.

The LIFE programme occupies a niche between EU programmes for research and innovation and large development programmes. As such, LIFE bridges the gap between research and policy implementation, addressing the external factors related to environmental and climate innovations by testing and demonstrating practical solutions.

### 1.3. Specific objectives

The LIFE Programme aims to facilitate the shift towards a sustainable, circular, energy-efficient, renewable energy-based, climate-neutral and climate-resilient economy. LIFE will contribute to reduce GHG emissions and our vulnerability to the harmful effects of climate change to protect, to restore and improve the quality of the environment, including air, water and soil, and to halt and reverse biodiversity loss. Moreover, it will tackle the degradation of ecosystems, including through supporting the implementation and management of the Natura 2000 network, thereby contributing to sustainable development.

The LIFE Programme shall also support the implementation of general action programmes adopted in accordance with Article 192(3) TFEU. The LIFE Programme shall have the following specific objectives:

- (a) To develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on the environment (including nature and biodiversity), and on climate action (including the transition to renewable energy and increased energy efficiency). In addition, the programme will contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network;
- (b) To support the development, implementation, monitoring and enforcement of the relevant Union legislation and policy on environment, including nature and biodiversity, and on climate action and the transition to renewable energy and increased energy efficiency. This will be achieved by improving governance at all levels, in particular through enhancing the capacities of public and private actors, and involving civil society organisations;
- (c) To catalyse the large-scale deployment of successful technical and policy-related solutions for implementing the relevant Union legislation and policy on environment, including nature and biodiversity, and on climate action and the transition to renewable energy and increased energy efficiency. This will be achieved by replicating results, integrating related objectives into other policies and into public and private sector practices, and by mobilising investment and improving access to finance.

### 1.4. Public intervention context

Environment is an area of shared competence between the European Union and the Member States. The Union is therefore able to legislate and adopt binding acts. Its scope for action is limited by the principle of subsidiarity: the Union may act only when the objectives of an action cannot be sufficiently achieved at the Member States level, and could be better achieved at the Union level.

Articles 11 and 191 to 193 of the Treaty on the Functioning of the European Union (TFEU) define the scope of action of the Union.

The EU has some of the world's highest environmental standards, developed over decades. EU environmental legislation protect natural habitats and safeguards the health and wellbeing of people living in the EU, targeting clean air and water, proper waste disposal and management of toxic chemicals.

The EU formulates and implements environmental and climate policies and strategies, taking a leading role in international negotiations on environment climate. It is a party to numerous global, regional or sub-regional environmental agreements on a wide range of issues, such as nature protection and biodiversity, climate change, transboundary air or water pollution. It is committed to ensuring the successful implementation of the Paris Agreement and implementing the EU's Emissions Trading System (EU ETS). In this regard, EU countries have agreed to meet various targets in the years to come.

### 1.5. Actions

The financial envelope for the implementation of the LIFE Programme is implemented via four sub-programmes: (1) Nature and Biodiversity; (2) Circular Economy and Quality of Life; (3) Climate Change Mitigation and Adaptation; (4) Clean Energy Transition.

Funding can be mobilised via the following activities:

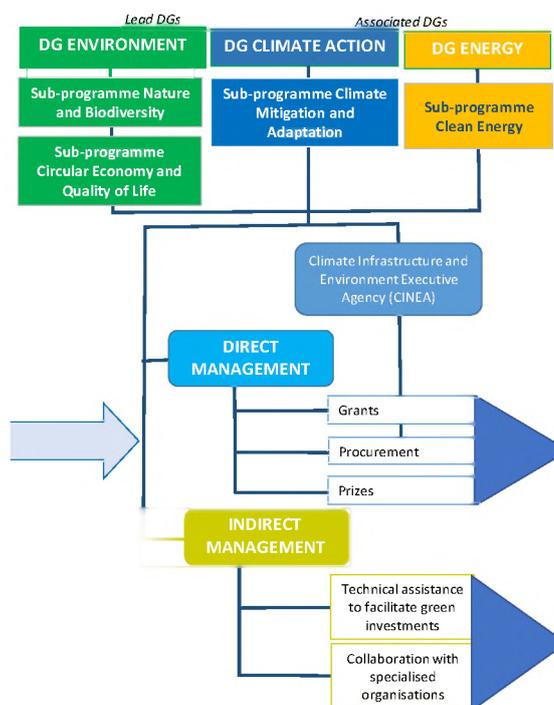
- Grants (which includes Strategic Nature Projects, Strategic Integrated Projects, Standard Action Projects, Technical Assistance Projects, Other Actions and Operating Grants);
- Procurement;
- Prizes;
- Blending operations.

### 1.6. Delivery mode

The budget of the LIFE programme is mainly implemented through direct management (grants, procurement and prizes). Indirect management can be used for specific activities, like support to programmes or activities of international organisations or other assimilated bodies. Indirect management has been used rarely in LIFE.

For the programme implementation under direct management, the Directorate-General for Environment (DG ENV) is the lead with support from the Directorate-General for Climate Action (DG CLIMA) and the Directorate-General for Energy (ENER). The new Climate, Infrastructures and Environment Executive Agency (CINEA) is entrusted with the management of the bulk of grants and some procurement activities mainly linked to project management.

### 1.7. Graphic overview of the programme structure



### 1.8. Legal basis and financial programming

#### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0209/COD COM (2018) 385: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing a Programme for the Environment and Climate Action (LIFE) and repealing Regulation (EU) No 1293/2013	2021 - 2027	5 432,0

#### 1.8.2. Legal basis explanation

The new LIFE programme for the period 2021-2027 includes the traditional ENV and CLIMA parts of the LIFE programme (2014-2020) and also the Clean Energy Transition programme of DG ENER. The programme will support a variety of actions to be materialised through grants (with Calls or with no Calls), procurement, and blending.

#### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>738,5</b>	<b>708,0</b>	<b>728,3</b>	<b>755,2</b>	<b>788,0</b>	<b>830,1</b>	<b>876,0</b>	<b>5 424,2</b>

#### 1.8.4. Financial programming explanation

### 1.9. Link with the 2014-2020 MFF

The number of sub-programmes has increased from two (Environment; and Climate Action) to four (Nature and Biodiversity; Circular Economy and Quality of Life; Climate Change Mitigation and Adaptation; and Clean Energy Transition).

Clean Energy Transition incorporates a set of actions for capacity-building supporting sustainable energy, energy efficiency and renewable energy, which was previously funded under Horizon 2020 (until 2020).

A reinforced focus on nature and biodiversity is ensured.

Building on the Strategic Integrated Projects first launched under the 2014-2020 LIFE programme, the 2021-2027 LIFE programme will continue to support this project type (to a slightly greater scale than previously). A dedicated source of funding to support strategic nature projects has been introduced under the Nature and Biodiversity sub-programme.

Financial instrument operations will be managed under InvestEU, while the programme, based on the lessons learnt from the pilot experiences run between 2014 and 2020, will support capacity-building by providing, on pilot basis, technical assistance for facilitating green investments and for greening other investments.

Taking into account the excellent results obtained with the BEST (Biodiversity and Ecosystem Services in Territories of European Overseas) programme, LIFE will ensure its continuation by expanding the scope of its activities to Overseas Countries and Territories.

### **1.10. Relevant websites providing more information**

The main website for the LIFE Programme is: <https://ec.europa.eu/easme/en/life>

It provides information on the LIFE programme itself, funding opportunities, project management and links with the database including information on all LIFE projects (<https://ec.europa.eu/environment/life/project/Projects/index.cfm>), the best LIFE projects (<https://ec.europa.eu/easme/en/section/life/life-best-projects>) and publications (<https://ec.europa.eu/easme/en/section/life/life-programme-publications>).

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

The programme is on track as regards the 2014-2020 activities, for which implementation will go on during 2021. However, activities related to the 2021-2027 programme are expected to be delayed following the late adoption of the Multiannual Financial Framework (MFF) and, as a consequence, of the expected adoption of the LIFE Regulation in the first half of 2021.

The adoption of the LIFE Regulation 2021-2027 is expected in the second quarter of 2021. The Commission services are endeavouring to avoid delays in the implementation of the programme and the associated launch of the calls for proposals.

In 2021, the work for the preparation of the first multiannual work programme (which is well advanced) will be finalised before starting the implementation of commitments and payments.

The launch of the calls for proposals is expected to follow a similar pattern to previous years, although delays are possible. Beyond the annual routine management, the work will continue to incorporate priorities linked to the European Green Deal and the actions included in the roadmap.

Extensive work is ongoing to support the definition, implementation and evaluation of the following policies and legislation:

- EU strategy on adaptation
- The European Climate Pact
- Other pieces of climate legislation (i.e. the EU Emissions Trading System (EU ETS), the Effort Sharing Regulation, the Land Use, Land Use Change and Forestry Regulation, the CO2 standards for cars and vans Regulation (light-duty vehicles) to raise the EU's ambition on reducing net greenhouse gas emissions to at least 55% below 1990 levels
- Sustainable buildings
- Microplastics
- Clean air
- The Zero pollution action plan for water, air and soil
- Bathing Water Directive
- EU-wide Strategy for textiles
- EU Pollinators Initiative

- Environmental Noise Directive
- EU Biodiversity Strategy for 2030
- Co-operation with national judges in the field of environmental law

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	3 464 408 617	1 514 214 699
Implementation carry-overs	0	33 582 750
Implementation total	3 464 408 617	1 547 797 449
total envelop*	3 466 443 579	
cumulative implementation rate	100%	45%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The programme is on track as regards as the 2014-2020 activities, for which implementation will go on during 2021. Despite the pandemic, all the calls for proposals have been launched on time and the grant agreements concluded according to the initial schedule. Several measures have been introduced to support beneficiaries in this difficult situation (e.g., increase in pre-financing, extended deadlines for submission of offers, information support to prepare proposals). A specific call for proposals was launched to support environmental non-governmental organisations (NGOs) adversely affected by the pandemic, and also to mobilise and strengthen civil society participation in the implementation of the European Green Deal. As can be seen from the data below, the response exceeded expectations.

Following the calls for proposals for traditional projects launched in 2019, around 1 300 proposals were received leading to the financing of 147 (grant) projects, for which the grant agreements have been signed in 2020. More than 1 100 proposals were submitted under the sub-programme for Environment, including Resource Efficiency and Nature and Biodiversity, leading to the financing of 108 projects. In addition, there were around 170 for Climate Mitigation and Adaptation, with 39 projects being financed.

The call for proposals for traditional projects, which launched in 2020 and is ongoing, registered a strong increase in the number of the proposals received: more than 1500 for environment and more than 250 for climate mitigation and adaptation. The evaluation of these calls for proposals is underway at time of writing.

For the integrated projects, 30 proposals were received in 2019. This led to the financing of 12 additional integrated projects in 2020. The total LIFE financing of EUR 121 000 000 for these projects should facilitate the co-ordinated use of more than EUR 5 000 000 000 complementary funding. On the basis of the proposals received, for each euro financed by the LIFE programme, an additional EUR 43 of complementary funding is expected to be financed from other sources for the implementation of the targeted plans. Experience shows that the amount of additional funds mobilised by the integrated projects tends to increase during the project lifetime.

Following the call for proposals for integrated projects launched in 2020, a 43% increase in the number of proposals was registered, with the submission of 43 proposals. This confirmed the success of this project type.

For projects on resource efficiency and climate change mitigation, a high proportion of beneficiaries are from the private sector (50% and 46% respectively). Under these priority areas, the LIFE programme is more attractive to private companies than to public bodies or to civil society organisations.

Public sector organisations are the main beneficiaries of climate adaptation supports (57% of the total beneficiaries), and of nature and biodiversity projects (58% of the beneficiaries). In fact, private non-commercial organisations account for 31% of the total number of beneficiaries for biodiversity projects.

The cumulative implementation rate is in line with expectations. It reflects the experience acquired in the previous LIFE programmes, while taking into account a few novelties which have been introduced in the current programme (integrated projects and financial instruments).

The commitment rate shows that the implementation of the programme activities is on track. Currently there are about 900 ongoing projects, and only a limited number of these have been completed.

The payment rate reflects the project life cycle. This has an important impact given that the bulk of the budget is allocated to projects (81% of the budget according to the LIFE Regulation 2014-2020) which are mainly financed through grants.

In the 2014-2020 period, two additional elements have impacted on the payment rate. The first was the introduction, in the years 2014-2020, of integrated projects. These were conceived to support the full implementation of plans and strategies and last longer (around eight years) than other types of projects. The second factor was the implementation rate of the two pilot innovative financial instruments; the Natural Capital Financing Facility (NCFE), and the Private Finance for Energy Efficiency (PF4EE). The introduction of these instruments was slower and more challenging than expected.

At present very few projects financed under the predecessor programme LIFE+ 2007-2013 are still open.

### **Natural Capital Financing Facility**

The NCFE is intended to test the feasibility of providing loans for investments, which benefit biodiversity and climate adaptation within projects able to generate a return on investment and a revenue stream, which can be used for paying back the loan. At the end of 2020, 7 operations out of the 14 initially foreseen were financed. By end-2020, the NCFE Investments have reached around EUR 41 million, with 17 recipients benefiting from the support facility.

More operations are in the pipeline and the Commission is assessing the option of prolonging the NCFE's financing capacity as a stand-alone instrument within InvestEU. Alternatively, NCFE's financing role may be retained within the framework of InvestEU's existing financial products. This will enable investments in nature and biodiversity under the Sustainable Infrastructure window. The real demand for NCFE loans, despite the slow start-up, and the resulting deal flow, has demonstrated that there are specific challenges that any follow-up instrument to the NCFE will need to address. These are related in particular to the bankability of this category of project. They need specific assistance from an early stage of development, in terms of capacity building and/or technical advisory services, to support the proponents to transform good plans into bankable projects. In addition, early funding is required due to the relatively high transaction costs for these projects, allied to the opportunity to combine 'pure' biodiversity/climate adaptation projects with broader natural capital and circular economy projects. The lessons learned from NCFE's implementation is helping to frame the design of future support regimes for natural capital investments under LIFE.

### **Private Finance for Energy Efficiency**

The Private Finance for Energy Efficiency (PF4EE) aims to develop the capacity of intermediary banks to establish credit lines addressing energy efficiency investments. The instrument was scaled-up after its initial pilot phase, with additional funding amounting to EUR 25 million for the 2018-2020 period.

At the end of 2020, 11 collateral agreements with intermediary banks were signed (one of which cancelled) for a total targeted amount of EUR 73.5 million, of which EUR 36 million was actually deposited.

In total, 9 261 energy efficiency loans were signed, with 9 195 final recipients receiving a total of EUR 186 782 805. Total investments in energy efficiency measures based on the loans under PF4EE amount to EUR 263 802 231.

Options for its possible continuation under InvestEU with additional funding are under analysis.

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.2. Active programme performance**

The LIFE programme continues to implement actions set in place mainly under the previous LIFE (for the period 2014-2020) while few projects still run from the period before. The LIFE Regulation under the current MFF is pending the final vote by the EP (due in the last week of April 2021) and is expected to be set in place, together with the LIFE Multiannual programme for the period 2021-2024, in June 2021.

#### **3.1.3. Previous programme performance**

The sub-programme for Environment has intervened:

- on nature and biodiversity by improving the conditions of over 247 wildlife species, and the status of 1.6 million ha of natural and semi-natural habitats;
- on - Environment and resource efficiency through a wide range of actions addressing, among others, circular economy, clean air, clean water and water savings;

The sub-programme for Climate Action has contributed to: a reduction in greenhouse gas emissions; and to the adoption of climate adaptation measures which increase society's resilience to climate change and reduce the associated impacts and costs.

The LIFE Programme should act as a catalyst for changes in policy development and implementation by providing and disseminating solutions and best practices to achieve environmental and climate goals, and by promoting innovative environmental and climate change technologies.

It is particularly difficult to quantify the catalytic effect of the programme. This notwithstanding, the current performance of the programme can be measured mainly in terms of expected results of the projects (grant-aided), which represent more than 81% of the overall budget.

Given the length of the award procedures and the time necessary for the project implementation (the projects are expected to last five years on average), the first anticipated results can be provided only for the year 2019. Related values for the output indicators are available also for 2020.

To measure the expected results of the programme on annual basis, LIFE projects are required to report on their outcomes using a dedicated Key Performance Indicators (KPI) web-tool. The information provided by the LIFE projects is verified by the external monitors, who are experts in the field and in the country of the project. The data at project level is then aggregated to provide a proxy of the performance at programme level.

The 2019-2020 data continue the previous indicators trend and largely confirm the results of the mid-term evaluation as regards as the effectiveness and the EU added value of the programme.

In particular the LIFE activities are currently exceeding the 2020 milestones related to 14 out of 21 indicators.

These overachievements could be linked to:

- An initial underestimation of the potential project results and/or;
- The high quality of projects, which are selected following a strong competition.

For four indicators the programme is on track to achieve the 2020 milestones. For only one indicator the 2020 milestone will probably not be reached: the number of water bodies covered by ongoing projects which progress towards or finalised projects which achieved an improved ecological status.

Data on two indicators – the number of stakeholders and citizens participating in awareness-raising activities in the framework of LIFE interventions and the percentage of increase in the participation of NGOs in consultations on EU environmental policy – are not available and collecting these data would not be cost-effective.

Results of the [annual report of the Court of Auditors on the implementation of the budget concerning the financial year 2018](#) (2019/C 340/01), were presented in the previous programme statements. No new Court of Auditors report on the budget performance of the LIFE programme was published.

### 3.2. Key achievements

247	1.7 million	10 million	25 000	1,6 million	2 500
wildlife species are being addressed by 108 LIFE projects through specific actions for improving their conditions	ha is the area in which the conservation status of natural and semi-natural habitats is being improved or maintained thanks to 110 LIFE projects	t/year of reduction of greenhouse gases emissions is targeted by 173 on-going LIFE projects	t/year of waste are being recycled in the framework of 139 LIFE projects which are improving waste management	people have already benefitted from a reduction of air emissions (cleaner air) thanks to 14 LIFE finished projects	sq km is the area in which 20 LIFE projects are improving the ecological status of water

The LIFE programme has a wide scope, encompassing: (1) nature and biodiversity; (2) climate action; (3) environment and resource efficiency; (4) support to governance at all levels and promote awareness-raising and exchange of best practices; (5) support to the design, update and evaluation of the environmental and climate legislation and policies; (6) contribution to implementation and enforcement of the environmental and climate legislation and policies; and (7) activities to improve the environmental and climate performance of the European Commission itself. At present around 220 projects across the different areas of intervention have ended and the related results have been or are being validated.

Therefore, while expected results based on aggregated value of the estimated project impact are available, actual achievements can be provided mainly on anecdotal basis.

(1) The impact of LIFE projects on **nature and biodiversity** are as follows:

- Improving the conditions of **over 247 wildlife species**, and **the status of 1.6 million ha of natural and semi-natural habitats**.

One example is the LIFE for safe grid project. It aims to ensure an increase of the globally-endangered Imperial eagle population (*Aquila heliaca*) in Bulgaria, by addressing the main cause of death of young Imperial eagles: electrocution by uninsulated electricity power line poles. To address this issue, a partnership was set up between the power company EP Yug (formerly EVN Bulgaria AD) and the Bulgarian Society for the Protection of Birds. Together, they planned and constructed 43 km of underground cables that replaced 70 km of hazardous overhead power lines in the most important Natura 2000 network sites for the Imperial eagle. Other project activities, which also included the capacity of key stakeholders (e.g., other

electricity line operators), involved electricity power line insulation within 26 Imperial eagle territories, representing 79% of the known breeding territories for the species, leading to a 10% increase in the population of Imperial eagle in Bulgaria.

Another example is the WOLFLIFE project that successfully developed a National Action Plan for the wolf (*Canis lupus*) in Romania. The plan, approved in July 2018 by the Romanian Minister for the Environment, includes effective wolf management and conservation strategies, as well as pioneering methods for estimating the national wolf populations. The project implemented diverse conservation actions for wolf populations in 18 Natura 2000 network sites. It helped positive attitude changes to reduce conflicts between livestock farmers and the wolf population through best practices and demonstration actions, such as the establishment of the Centre for the Reproduction, Care and Surveillance of Livestock Guarding Dogs (CRISCPS), including the setting-up of a kennel for the breeding of native dog breeds traditionally used by shepherds for farm protection. In addition, the project established training areas, accommodation space, and veterinary treatment facilities for the native dog breeds.

(2) LIFE projects on **climate action** are contributing to: (a) a reduction in greenhouse gas emissions; and (b) to the adoption of climate adaptation measures which increase society's resilience to climate change and reduce the associated impacts and costs.

(a) A total of 173 LIFE projects that target carbon dioxide (CO<sub>2</sub>) has the potential to decrease emissions by about 10.5 million t/year. Moreover, since the signature of the first collateral agreement, investments supported by the PF4EE are expected to generate primary energy savings of 336 Gwh/year and to reduce the level of CO<sub>2</sub> emissions by 87 222 tons of CO<sub>2</sub> by the end of the implementation period.

An example of projects on climate mitigation is ICEGREEN. It aims to demonstrate the technical feasibility, safety and commercial viability of innovative ice cream machines operating with very low Global Warming Potential (GWP) propane refrigerant. These replace the currently used hydrofluorocarbons (HFC) refrigerants, while complying with the new reference standards of the F-Gas Regulation. Compared to the current baseline, the expected CO<sub>2</sub> reduction is estimated at 99.95 %. The required certifications have been granted and the project co-ordinator, Nemox, has already produced 259 commercial machines. The project has received orders from customers in several countries and 1 879 units will be produced by January 2021. By 2023, Nemox plans to put onto the market 20 000 new ice cream machines fuelled with the alternative refrigerant, for a total saving of around 13 000 tons of CO<sub>2</sub>.

Another example is the LIFE RE Mida project. The project tested an innovative technique using microbial oxidation to reduce methane emissions in landfills. Methane has a high global warming potential, and it accounts for about 66% of waste-related emissions. The project developed full-scale biofilter and bio-windows in two pilot landfill sites. The solution is significantly low cost compared to business-as-usual practices. Key achievements include:

- 60-80 % reduction of methane emissions using biofilters and 70-98 % methane reduction using biowindows;
- The risk associated with emissions of carcinogen compounds was reduced on average by 72%, while the cumulative risk associated with emissions of hazardous non-carcinogen compounds was reduced on average by 90%;
- The solution tested the abatement of odorous compounds, thus improving the health and well-being of communities that live near landfills, as well as the working conditions of workers;
- Contributing to improving the national law on landfills. The project identified and addressed a policy barrier at national level: biofilters and biowindows were not allowed except for experimental sites. The project team with the support of DG Environment proposed a modification to the law which was accepted into a new Italian Law on Landfill published in September 2020;
- The new EU Methane strategy released in 2020 contains a reference to the LIFE RE Mida project as the best practice in the field.

(b) A total of 83 projects on climate adaptation are increasing **resilience to climate change** for at least 650 000 people<sup>1</sup> by adopting new processes and technologies developed to counter extreme weather events. Among the projects are two that take a novel approach to drainage systems:

- The LIFE AERFIT project is testing Fast High-Volume Infiltration (FHVI), an innovative solution for rainwater infiltration. With this technique, large quantities of rainwater can be infiltrated into the soil in a short period, helping to prevent flooding and replenishing groundwater in cities. In a FHVI system, rainwater flows into a drain which retains larger rubbish, such as leaves and litter. The water then runs into a well where it is purified by a filter. Next, it flows into a larger infiltration well, a long pipe that opens onto a permeable soil layer (e.g. sand). The rainwater enters the soil through holes at the end of this pipe. More info: <https://aerfit.eu/en/animatie-over-fhvi-techniek/>
- The LIFE Naturadapt project aims at integrating climate change adaptation into the management and protection of natural sites by developing methods, tools and services to carry out climate change vulnerability assessments and to develop adaptation plans for natural protected areas. The project also aims at facilitating access to knowledge on how protected sites should be managed. A methodological guide has been established and has been tested on 6 pilot sites and 15 sites in all Europe are now implementing the guidance. The project has developed online training courses respectively for professionals and the public. 21 vulnerability diagnoses and adaptation plans have been developed and are currently

<sup>1</sup> This is a conservative estimate, given this indicator was added to the KPI database only in 2019.

under implementation, contributing to the development of territorial adaptation strategies. On the policy side, the project contributed to the development of the National Strategy for Protected Areas in France, in June 2020.

(3) **LIFE projects on Environment and resource efficiency** include a wide range of actions addressing, among others, (a) circular economy, (b) clean air, (c) clean water and water savings:

(a) Several projects are facilitating the transition to the circular economy. These include projects that improve **waste management and energy efficiency**. Up to 139 projects are expected to reduce waste by improving recycling for a total of 25 000 t/year by project end. Meanwhile, finance was provided for 101 LIFE projects, which employed technology to significantly reduce **energy consumption**. **A total of 24 projects, which have already finished**, reported a reduction of energy consumption by about 11 000 MgWh/ year (which correspond to the consumption of about 3 000 households per year).

- For example the Citruspack project<sup>2</sup> is demonstrating a process that enables treated wastes from the citrus industry to be used in packaging of cosmetic products. This innovative process optimises waste management by recovering the natural fibres from the citrus peel and using this to reinforce biodegradable plastic packaging for juices. The pulp residues serve as a source of natural antioxidants, pectin or essential oils in cosmetic creams, replacing other compounds. Thus, the food, plastic and cosmetic sectors are integrated in a single waste recovery and reuse model. Juice bottles based on bio-based and eco-friendly bottles will have to comply with very serious technical requirements. In addition, creams with natural additives from these by-products will be fabricated. The packaging will also be reinforced with the same material as the bottles. One of the project partners was recognised with a corporate sustainability award in 2019. The Citruspack bottle was part of this success story.
- Another project is focused on fostering environmental sustainability throughout the entire production chain of Grana Padano cheese from farm to packaging. The project is actively building synergies with other LIFE projects (i.e. LIFE DOP on Parmigiano Reggiano) and has attracted media attention.<sup>3</sup> Crucially, this project has strong replication potential in the dairy sector, given that the operators of Comte cheese are active in the partnership. It could also be applied to other Protected Designation of Origin (PDO) products like meat and wine.

(b) A total of 54 projects are active in improving **air quality** by experimenting in innovative methods and techniques to decrease emissions of carbon monoxide (CO), ammonia, nitrogen oxide (NO<sub>x</sub>), particulate matter emissions (PM) and sulphur oxide (SO<sub>x</sub>).

- For example, the LIFE CLINSH project addresses the problem of high levels of emissions of the air pollutants NO<sub>x</sub> and PM<sub>10</sub> in Inland Waterway Transport (IWT). The project is expected to improve air quality in urban areas situated close to ports and inland waterways by accelerating IWT emissions reduction. The project is evaluating measures for emissions reduction in selected vessels over two years. In tandem, the project team will undertake air quality modelling for different scenarios to show the impact on NO<sub>x</sub> and PM<sub>10</sub> concentrations, a methodology that will provide input for the further development of a Clean Shipping Index (CSI). The methodology will be disseminated to policy-makers, ship owners and suppliers, and other decision-makers, and will help to improve the competitiveness of the inland navigation sector.

(c) Up to 20 projects are ameliorating the ecological status of water covering 2 500 sq km, while a further 13 projects aim to reduce freshwater consumption by one million of cubic meters per year.

- For example the project INADAR has successfully implemented an **innovative approach to dam rehabilitation** (at hydro power stations Offingen and Oberelchingen - Germany) **and the ecological improvement of riverbanks**. The project's construction of eco-beams has ensured efficient dam rehabilitation and raising, and led to a considerable ecological enhancement of the bank areas. The poor ecological situation of the river bank (concrete slabs) has been greatly improved ('good ecological status' in terms of the EU Water Framework Directive). The main outputs of the project are: lower costs for the hydro power operator, ecological enhancement in the river and at the river bank instead of damage in the adjacent alluvial forest, easier planning permission and legal compliance, as well as benefits for the local population and fishermen.
- The LIFE SouPLess project aims to demonstrate new systems for riverine plastic removal and an innovative software tool to predict movement and accumulation hotspots of plastic litter in rivers. It will develop a software package that predicts where plastic waste accumulates in rivers. It will then demonstrate new water treatment techniques for removing microplastics from the rivers. In the framework of its demonstration activities, the project is expected to collect some 100 tonnes of plastic waste from rivers, avoiding some 100 kg of toxic chemicals leaching out of it; to optimise a sustainable and cost-effective process for disposing of the plastic collected and to mitigate 125 to 250 tonnes of CO<sub>2</sub> by recycling more than half the plastic collected. In this way the project will support the EU Water

<sup>2</sup> See [https://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n\\_proj\\_id=6273](https://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n_proj_id=6273)

<sup>3</sup> See [https://www.greenandblue.it/dossier/forme-sostenibili/2020/10/30/news/il\\_grana\\_padano\\_abbraccia\\_la\\_sostenibilita\\_-271785953/](https://www.greenandblue.it/dossier/forme-sostenibili/2020/10/30/news/il_grana_padano_abbraccia_la_sostenibilita_-271785953/)

Framework Directive by tackling pollution in European water bodies and contribute to the Marine Strategy Framework Directive by reducing the amount of plastic waste making its way to the ocean.

(4) To support **environmental and climate governance at all levels** and promote **awareness-raising and information on climate and environment issues and the exchange of best practices**.

LIFE has empowered NGOs and citizens to take legal action when environmental laws are not being enforced by statutory bodies in Member States. Projects are giving ‘citizen enforcement’ a boost by sharing knowledge about rights of access to justice and bridging the gap between lawyers, judges, authorities and the public for better environmental governance. They are giving local authorities and regional administrations guidelines on air quality legislation and building capacity among NGOs to push for better enforcement.

- For example the LIFE-Food.Waste.StandUp project addressed food waste at different levels of the supply chain, from production to distribution, and final consumption, reducing all the associated environmental, economic and social costs. According to a recent report the amount of foodstuff annually wasted in Italy is valued at EUR 12.6 billion. LIFE-Food.Waste.StandUp raised awareness of surplus food management and food waste prevention among three key actors of the food supply chain: agri-food companies, food retailers and consumers. With the invaluable collaboration of Fondazione Banco Alimentare Onlus, which co-operated in the definition and development of content, several strategies and tools were designed. The ambitious aim of reaching all targets in the best possible way was achieved by adding to the traditional media (leaflets, articles, newsletters, etc.) more innovative channels such as a storytelling video in four episodes and the development of an app that helps consumers reduce food waste. See <http://www.lifefoodwastestandup.eu/en/video-collection>.

(5) LIFE non-grant activities play a unique role in the monitoring and evaluation of environmental and climate legislation and policies. These activities take the form of: (1) studies, (2) stakeholder consultation activities and information, (3) communication and awareness-raising activities. Projects financed by LIFE support the design of environmental and climate policies and legislation, while technical assistance and service contracts help complete all impact assessments and evaluations. These activities feed into better regulation. In 2020 the LIFE programme supported some of the key actions included in the roadmap of the European Green Deal, such as:

- The EU Biodiversity Strategy for 2030 adopted in May 2020 to protect nature and reverse the degradation of ecosystems. It includes, in particular, the establishment of a larger EU-wide network of protected areas on land and at sea. In addition, it involves the launch of an a comprehensive, ambitious and long-term EU nature restoration plan;
- The proposal of a European Climate Law<sup>4</sup> that will enshrine the goal of EU 2050 climate neutrality into legislation, providing predictability and making the transition towards a climate-neutral economy irreversible. The pace of emission reductions is mapped out from 2030 to 2050, showing what needs to be done, and at what speed. It includes the revised 2030 emissions reduction target of at least 55% as a stepping-stone to the 2050 climate neutrality goal.
- The plan to raise the EU's ambition on reducing net greenhouse gas emissions to at least 55% below 1990 levels by 2030. This is a substantial increase compared to the previous target of at least 40%. A comprehensive impact assessment and proposal<sup>5</sup> adopted in September 2020 show how all sectors of the economy and society can contribute. The proposal also sets out the policy actions required to achieve this goal.
- The Commission proposed a new Batteries Regulation which aims to ensure that batteries placed in the EU market are sustainable and safe throughout their entire life cycle. It includes mandatory requirements for all batteries (i.e. industrial, automotive, electric vehicle and portable) placed on the EU market, such as use of responsibly-sourced materials with restricted use of hazardous substances, minimum content of recycled materials, carbon footprint, performance and durability and labelling, as well as collection and recycling targets. This will contribute to the development of more sustainable and competitive battery industry across Europe and around the world.
- The proposal for the 8th Environmental Action Programme submitted in October 2020 confirms the vision to ensure well-being for all while staying within the planetary boundaries and calls for active stakeholder engagement at all levels of governance to ensure that EU climate and environment laws are effectively implemented. It forms the EU's basis for achieving the United Nation's **2030 Agenda** and its **Sustainable Development Goals**.
- The launch of the European Climate Pact in December 2020. This aims to engage citizens and all parts of society in climate action, by spreading awareness and supporting action. Furthermore, it invites people, communities and organisations to make climate-conscious choices. The ideas and views shared during an extensive consultation of stakeholders (i.e. live sessions, open public consultation, webinars, etc.) have shaped the Communication on Climate Pact, adopted on 9 December 2020<sup>6</sup>. The first European Climate Pact ambassadors have been selected, leading by example and engaging their communities in climate action. The Pact will also invite organisations and collectives to register their climate initiatives and turn them into climate action pledges. To increase the outreach of the Pact, DG CLIMA joined

<sup>4</sup> [Commission proposal for a Regulation: European Climate Law](#)

<sup>5</sup> [Stepping up Europe's 2030 climate ambition, COM\(2020\) 562 final](#)

<sup>6</sup> COM(2020)788final.

forces with global climate campaign Count Us In. A dedicated website was set up and LIFE is financing the Pact's secretariat, which will implement and co-ordinate the activities of the Pact.

- (6) In terms of support for the **implementation and enforcement of environment and climate legislation and policies**, the LIFE programme has a unique role by supporting the management of the timely and correct transposition, implementation and practical application of the acquis. This is achieved through enforcement, including infringement procedures, and more generally through compliance promotion. The latter includes targeted support actions addressed to the Member States in all sectors of the environmental acquis and incentives to lead by example. In this framework, LIFE supports, for example:
- The Environmental Implementation Review (EIR). EIR aims to support the delivery of the objectives of existing EU environmental policies and legislation, addressing the specific implementation gaps in EU environmental policy and law in each Member State. In addition, it provides new solutions complementary to legal enforcement, as well as addressing the underlying root (and often cross-sectoral) causes of gaps in EU environmental policy and law. EIR also aims to stimulate exchanges of good practices. The Commission is ready to accompany the Member States' own efforts with technical and financial support and, if necessary, with expertise underpinning structural reforms.
  - LIFE projects also support the capacity of a European network of environmental prosecutors to share information and develop best practice to tackle environmental crime. LIFE has developed strategic partnerships with organisations representing inspectors (IMPEL), judges, the police and other enforcement agencies, and shared information relating to environmental prosecutions throughout the EU and the rest of the world. Projects have provided training and handbooks, set up bird crime and poisoning databases and established networks of stakeholders to stop the illegal killing of protected species.
  - The assessment of area-specific MS implementation plans, such as for example the River Basin Management Plans prepared under the Water Framework Directive, the National Air Pollution Control Programmes, the MS reports submitted for the implementation of the Nitrates Directive or the Seveso Directive, and the support to the EU and Member States reports to international fora (COPs, UN, OECD), such as reporting on the implementation of the mandatory elements of the Nagoya Protocol (legislated via the ABS Regulation).
  - The operation of the EU emissions trading system (EU ETS), which is the main instrument to ensure a well-functioning EU carbon market. The Union registry serves to guarantee accurate accounting for all allowances issued under the EU ETS. The registry keeps track of the ownership of allowances held in electronic accounts, just as a bank has a record of all its customers and their money. LIFE is financing important measures positively affecting the confidentiality, integrity and/or availability of the system, thus protecting the financial interests of the Member States and the Union.
  - The better and earlier identification of the intrinsic properties of chemical substances for the protection of human health and the environment. This is done by the four processes of REACH, namely the registration, evaluation, authorisation and restriction of chemicals. In this framework LIFE also supports ongoing work to address the issue of endocrine disruptors, the action for the protection of animals used for scientific purposes, and to support the restriction of the use of certain hazardous substances.
  - The European Green Capital and European Green Leaf to reward cities, which are making efforts to improve the urban environment and move towards healthier and sustainable living areas. This promotes the implementation of the Green City Accord to mobilise cities that are ready to become environmental leaders in delivering EU environmental policy objectives in the areas of air quality, noise, water, waste management, nature and biodiversity.
- (7) At bilateral and multilateral level, LIFE also contributes to promoting, convincing and supporting non EU countries, to commit toward and to implement ambitious environmental and climate policies across the world. LIFE supports the EU leading role in international climate and environmental negotiations in the framework of a number of agreements to which the Union is party (for example in the framework of the Convention on Biological Diversity on biodiversity, or in the context of the Conference of the Parties [COP] to the UNFCCC<sup>7</sup>). At bilateral level the LIFE programme supports co-operation with non EU countries, particularly with advanced and emerging economies based on tailor-made approaches, towards the transition to global climate neutrality (e.g. with China, Japan, the USA, the EU neighbourhood, as well as G20 partners in Africa and Latin America) or circular economy (e.g. with China). It supports bilateral dialogues on international carbon markets to strengthen cooperation between carbon markets.
- (8) Last but not least, in 2020 LIFE also supported activities to improve the environmental and climate performance of the Commission itself, e.g. with a feasibility and scoping study to make the Commission climate neutral by 2030, as well as an analysis to improve the methodology for tracking biodiversity expenditures across the EU budget. This analysis will provide a forward-looking contribution towards the agreed increase of the climate mainstreaming target and the new biodiversity ambition. This is in line with the Commission approach to lead by example.

### 3.3. Evaluations, studies and reports

The key findings of the latest evaluation ([COM\(2017\) 642 final](#) – [SWD\(2017\) 356 final](#)) have been presented in the Programme Statement 2018.

<sup>7</sup> See [https://ec.europa.eu/environment/international\\_issues/agreements\\_en.htm](https://ec.europa.eu/environment/international_issues/agreements_en.htm) for lists of international agreements.

The impact assessment accompanying the Commission Proposal for the LIFE programme 2021-2027 (see [SWD\(2018\) 292 final](#)), takes stock from the existing programme to plan for further improvements.

Last year publications on the LIFE programme are available at <https://ec.europa.eu/easme/en/section/life/life-programme-publications> and include the following:

- Together for biodiversity - 2020
- Cherishing nature's services - 2020
- Peatlands for LIFE - 2020
- Protecting Europe's threatened invertebrates - 2020
- LIFE & Urban Resilience poster - 2020
- Bringing nature back through LIFE - The EU LIFE programme's impact on nature and society - October 2020
- LIFE and invertebrates: ex-post exercise 2019 summary report – 2020.

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network;**

**Indicator 1: Number of projects that are developing, demonstrating and promoting innovative techniques and approaches to contribute to the shift towards a sustainable, circular, energy-efficient, renewable energy-based, climate-neutral and -resilient economy**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data									
Indicator type	Output									
Unit of measurement	Number of projects									
Cut-Off Date										
Data source	LIFE project database / E-grant									
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular to "develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"									
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.									
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.									
Full metadata available at this address										
Justification of the trend										

**Indicator 2: Number of projects, including strategic integrated projects, implementing key plans and strategies**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data									
Indicator type	Output									
Unit of measurement	Number of projects									
Cut-Off Date										
Data source	LIFE project database / E-grant									
Link to the objective	Link to Specific Objectives 1 "Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy", 3 "Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action"									

	and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society” and 4 “Play a catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions”
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Population benefitting from an improvement in air quality

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of individuals
Cut-Off Date	
Data source	LIFE Key project indicator database
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base”
Link MFF 14-20 / MFF 21-27	This indicator was included at the end of the 2014-2020 period. Few data are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Area of land with improving soil quality

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Square kilometre
Cut-Off Date	
Data source	LIFE key performance indicator database
Link to the objective	Link to specific objectives 1 Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and 2. Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity and, in particular, "to develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, including nature and biodiversity, and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. However, data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data on anticipated project results will be available starting from 2024. Values are cumulative.
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Water bodies with improving ecological status

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
----------	------	------	------	------	------	------	------	------	------	--------

Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Square kilometre
Cut-Off Date	
Data source	LIFE Key indicator database
Link to the objective	Link to specific objectives 1 Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and 2. Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity and, in particular, "to develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, including nature and biodiversity, and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. However, data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative. This indicator does not catch the overall amount of results triggered by LIFE project on the improvement of water quality. It does not include the results of projects expressed in kilometers.
Full metadata available at this address	
Justification of the trend	

#### Indicator 6: Water management with increasing efficiency

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Cubic meter
Cut-Off Date	
Data source	LIFE Key Performance Indicator database
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. However, data on this indicator in the period 2014-2020 are available.
Other methodological comments	This indicator measures the volume of water which management efficiency is improving due to increased water reuse and avoided water loss. Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

#### Indicator 7: Waste which management is improving

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Tonnes per year
Cut-Off Date	
Data source	LIFE Key indicator database

Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. This indicator was introduced during 2014-2020. Partial data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Reduction in the use of dangerous chemicals**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	kilogram per year
Cut-Off Date	
Data source	LIFE Key Indicator Database
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	This is a new indicator. For the 2014-2020 programming period, the LIFE KPI monitored the reduction/ substitution of dangerous substances. Substances were previously reported by EC list number and grouped by different categories.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 9: Population benefitting from a reduction in noise pollution**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of individuals
Cut-Off Date	
Data source	LIFE Key indicator database
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	This indicator was included in the period 2014-2020. Few data are available for the projects of the years 2014-2020.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 10: Reduction of Greenhouse Gas Emissions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Tonnes of CO2 equivalent per year (CO2e/year).
Cut-Off Date	
Data source	
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. However, data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

### Indicator 11: Population benefitting from a reduction of their vulnerability to the adverse effects of climate change

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of individuals
Cut-Off Date	
Data source	
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	This is a new indicator introduced for the 2021-2027 programming period that cannot be compared with the previous one (2014-2020).
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

### Indicator 12: Additional annual primary energy savings

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Gigawatt/year
Cut-Off Date	
Data source	LIFE Key Indicator Database + data from the Clean Energy Transition Sub-programme
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	This indicator was not available in this form for the LIFE Programme in the period 2014-2020. Its addition is linked to the integration of the Clean Energy Transition sub-programme.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme

	implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 13: Additional annual renewable energy production**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Gigawatt per year
Cut-Off Date	
Data source	LIFE Key indicator database and Data from the Clean Energy Transition Programme
Link to the objective	Link to Specific Objective 1: Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and in particular "Develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base"
Link MFF 14-20 / MFF 21-27	This indicator was not available in this form for the LIFE Programme in the period 2014-2020. Its addition is linked to the integration of the Clean Energy Transition sub-programme.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data on anticipated project results will be available starting from 2024.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :Develop, demonstrate and promote innovative techniques and approaches and apply best practice in relation to nature and biodiversity****Indicator 1: Number of projects that are developing, demonstrating and promoting innovative techniques and approaches and applying best practices for nature and biodiversity**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	LIFE key indicator database and E-grant
Link to the objective	Link to the Specific Objective 2: Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity" and in particular to "develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, including nature and biodiversity, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of projects, including strategic nature projects, implementing plan, strategies or programmes of action for mainstreaming Nature and biodiversity**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	
Link to the objective	Link to the Specific Objectives 2: Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity”, 3 “Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society” and 4 “Play a catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions”
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Area of habitats where loss of biodiversity is being halted or reversed

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	LIFE Key indicator database and E-grant data
Link to the objective	Link to the Specific Objective 2: Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity” and in particular to “develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, including nature and biodiversity, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network”
Link MFF 14-20 / MFF 21-27	It was not included as such in the indicators reported in previous programme statements. Data on this indicator on the predecessor projects (Integrated projects for Nature) in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data on anticipated project results will be available starting from 2024. Values are cumulative.
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Number of species where loss is being halted or reversed.

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Hectares
Cut-Off Date	
Data source	LIFE Key performance database
Link to the objective	Link to the Specific Objective 2: Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity” and in particular to “develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, including nature and biodiversity, and

	to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network"
Link MFF 14-20 / MFF 21-27	It was not included as such in the indicators reported in previous programme statements. However, data on this indicator for the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Area of land with improving soil quality**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Square kilometers
Cut-Off Date	
Data source	LIFE key performance indicator database.
Link to the objective	Link to specific objectives 1 Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and 2. Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity and, in particular, "to develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, including nature and biodiversity, and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. However, data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data on anticipated project results will be available starting from 2024. Values are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Water bodies with improving ecological status**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Square kilometers
Cut-Off Date	
Data source	LIFE Key indicator database
Link to the objective	Link to specific objectives 1 Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy and 2. Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity and, in particular, "to develop, demonstrate and promote innovative techniques, methods and approaches for reaching the objectives of the Union legislation and policy on environment, including nature and biodiversity, and on climate action, including the transition to renewable energy and increased energy efficiency, and to contribute to the knowledge base and to the application of best practice, in particular in relation to nature and biodiversity, including through the support of the Natura 2000 network"
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. However, data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024. Data are cumulative. This indicator does not catch the overall amount of results triggered by LIFE project on the improvement of water quality. It does not include the results of projects expressed in kilometers.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society;**

**Indicator 1: Number of projects for the development, implementation, monitoring and enforcement of Union legislation and policies on environment and climate action**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	LIFE key indicators database and E-gra,t
Link to the objective	Link to specific objective 3: Contribute to putting Union legislation and policy into practice, and to improving governance, and, in particular, “to support the development, implementation, monitoring and enforcement of the relevant Union legislation and policy on environment, including nature and biodiversity, and on climate action and the transition to renewable energy or increased energy efficiency, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society”.
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of projects improving governance at all levels, in particular through enhancing the capacities of public and private actors and the involvement of civil society**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	LIFE Key indicator database
Link to the objective	Link to specific objective 3: Contribute to putting Union legislation and policy into practice, and to improving governance, and, in particular, “to support the development, implementation, monitoring and enforcement of the relevant Union legislation and policy on environment, including nature and biodiversity, and on climate action and the transition to renewable energy or increased energy efficiency, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society”.
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are partially available, given a particular type of traditional projects was devoted to improving environmental and climate governance, at all levels.
Other methodological comments	Taking into account the project life cycle and the delays in the start-up of the programme implementation, data will be available starting from 2024.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of projects, including strategic integrated projects, implementing key plans and strategies**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										

	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	LIFE project database / E-grant
Link to the objective	Link to Specific Objectives 1 “Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy”, 3 “Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society” and 4 “Play a to catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions”
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Number of projects, including strategic nature projects, implementing programmes of action for mainstreaming Nature and biodiversity

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	
Link to the objective	Link to the Specific Objectives 2: Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity”, 3 “Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society” and 4 “Play a to catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions”
Link MFF 14-20 / MFF 21-27	This indicator was not available as such in the years 2014-2020. Strategic nature projects represent an evolution of integrated projects for nature financed in the period 2014-2020.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024.
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Number of organisations involved in projects or receiving operating grants

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of organisations
Cut-Off Date	
Data source	LIFE key indicators database and E-grant
Link to the objective	Link to specific objective 3: Contribute to putting Union legislation and policy into practice, and to improving governance, and, in particular, “to support the development, implementation, monitoring and enforcement of the relevant Union legislation and policy on environment, including nature and

	biodiversity, and on climate action and the transition to renewable energy or increased energy efficiency, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society”.
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 4 :Play a to catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions

#### Indicator 1: Number of projects having a catalytic effect .

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	
Link to the objective	Link to specific objective 3: Contribute to putting Union legislation and policy into practice, and to improving governance, and, in particular, “to support the development, implementation, monitoring and enforcement of the relevant Union legislation and policy on environment, including nature and biodiversity, and on climate action and the transition to renewable energy or increased energy efficiency, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society”.
Link MFF 14-20 / MFF 21-27	Data on this indicator are not available for the period 2014-2020
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Cumulative investments triggered by the projects or finance accessed

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Million EUR
Cut-Off Date	
Data source	
Link to the objective	Link to specific objective 4: Play a catalytic role in the replication and the triggering of large scale deployment of successful technical and policy-related solution and, in particular, “to catalyse the large-scale deployment of successful technical and policy-related solutions for implementing the relevant Union legislation and policy on environment, including nature and biodiversity, and on climate action and the transition to renewable energy or increased energy efficiency by replicating results, integrating related objectives into other policies and into public and private sector practices, mobilising investment and improving access to finance”.
Link MFF 14-20 / MFF 21-27	Data on this indicator are only partially available for the period 2014-2020.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024. Data are cumulative.
Full metadata available at this address	
Justification of the trend	

#### Indicator 3: Number of projects, including strategic integrated projects, implementing key plans and strategies

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	LIFE Key indicator database
Link to the objective	Link to Specific Objectives 1 “Contribute to the shift toward a clean, circular, energy efficient, low-carbon and climate resilient economy”, 3 “Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society” and 4 “Play a catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions”
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024. Data are cumulative. It is expected that the values for the indicators will start slowly and will be progressively improving.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Number of projects, including strategic nature projects, implementing plan, strategies or programmes of action for mainstreaming Nature and biodiversity

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects
Cut-Off Date	
Data source	LIFE project database / E-grant
Link to the objective	Link to the Specific Objectives 2: Develop, demonstrate and promote innovative technique and approaches and apply best practices in relation to nature and biodiversity”, 3 “Contribute to support the development, implementation, monitoring and enforcement of the Union legislation and policy on environment and climate action and to improve governance, including by improving governance at all levels, in particular through enhancing capacities of public and private actors and the involvement of civil society” and 4 “Play a catalytic role in the replication and the triggering of large-scale deployment of successful technical and policy-related solutions”
Link MFF 14-20 / MFF 21-27	It was not included in the indicators reported in previous programme statements. Data on this indicator in the period 2014-2020 are available.
Other methodological comments	Taking into account the project life cycle and the delays in the start up of the programme implementation, data will be available starting from 2024.
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : Programme for the Environment and Climate Action (LIFE)

**General Objective 1 :To contribute to the shift towards a resource-efficient, low-carbon and climate-resilient economy, to the protection and improvement of the quality of the environment and to halting and reversing biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems**

#### Indicator 1:Attributable environmental and climate improvements

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
0				80%			≥ 80%			≥ 80% of ongoing projects progress towards/of finalised projects achieved environmental and/or c
	Actual Progress									Final
	98%	88%	92%	95%	96.1%	97,5%				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of projects
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	The LIFE programme 2014-2020 has four objectives: (1) Help move towards a resource-efficient, low carbon and climate resilient economy, improve the quality of the environment and halt and reverse biodiversity loss; (2) Improve the development, implementation and enforcement of EU environmental and climate policy and legislation, and act as a catalyst for, and promote, the mainstreaming of environmental and climate objectives into other policies and practices;(3) Support better environmental and climate governance at all levels, including better involvement of civil society, NGOs and local actors; (4) Support the implementation of the 7th environmental action plan.This indicator monitors the percentage of projects that are producing results and, thus, contributing to all the LIFE objectives.
Methodology	This indicator monitors the percentage of LIFE projects which are registering an improvement in comparison with their respective baselines in the LIFE KPI database. Data are cumulative.
Link MFF 14-20 / MFF 21-27	Other indicators were selected for monitoring the performance of the programme in the period 2021-2027.
Other methodological comments	The frequency of up-date limits the comparability of the values across different years
Full metadata available at this address	
Justification of the trend	The data show an overachievement that could be linked to -- an initial underestimation of the potential project results and/or -- the high quality of projects, which are selected following a strong competition and/or - the fact that many projects are still under implementation and few projects already ended.

### Indicator 2:Percentage of the Natura 2000 network targeted by LIFE projects restored or brought to adequate management

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				10%			12%			12%
	Actual Progress									Final
	26%	28%	34%	37%	37,24%	40,32%				

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of Natura 2000 sites
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	One of the objectives of the LIFE programme 2014-2020 is to contribute to improve the quality of the environment and halt and reverse biodiversity loss.
Methodology	Percentage of the Natura 2000 network targeted by on-going projects which are progressing towards restoration/ adequate management. Cumulated figures.Target: 12% of the Nature 2000 targeted by ongoing projects progress towards/of finalised projects achieved environmental and/or climate improvements
Link MFF 14-20 / MFF 21-27	This indicator was not retained as core performance indicators for the programme 2021-2027.
Other methodological comments	Values for this indicator are based on the assessment made by project coordinators on anticipated project results at the time of submission of the proposal and then up-dated during project implementation. Evaluation experts, monitors and project officers check the assessments.
Full metadata available at this address	
Justification of the trend	Annual changes in the value of the indicator reported at programme level will result from: - The growing total number of LIFE projects awarded for which anticipated results are aggregated - Revisions to anticipated results.

**Indicator 3:Percentage of surface and type of ecosystems targeted by LIFE projects restored**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Milestones										2020
0				10%			≥ 10% of ecosystem surfaces and type targeted by ongoing projects are progressing towards			≥ 10% of ecosystem surfaces and type targeted by ongoing projects are progressing towards
Actual Progress										Final
	45%	67%	63%	57%	55,3%	58,5%				

Are we on track	
Indicator type	Result
Unit of measurement	Percentage of surface and ecosystem type
Cut-Off Date	12/01/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	The LIFE programme 2014-2020 contributes to improve the quality of the environment and halt and reverse biodiversity loss;
Methodology	Percentage of ecosystem surfaces and type targeted by ongoing projects and progressing towards improvement.
Link MFF 14-20 / MFF 21-27	This indicator has not been retained for the core performance indicator of the programme 2021-2027. The successor indicator for the MFF 2021-2027 is focused on the area of habitats which conservation status is improving
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Annual changes in the value of the indicator reported at programme level will result from: - The growing total number of LIFE projects awarded for which anticipated results are aggregated - Revisions to anticipated results. It is extremely difficult to identify the reasons of this overachievement. It could be linked to an initial underestimation of the potential project results (done in 2014), due to a lack of experience with LIFE indicators, and/or to the high quality of nature and biodiversity projects, which are selected following a strong competition or to an overestimate of the project anticipated results (many projects are still under implementation and few projects have already ended)

**Indicator 4:Percentage of types of habitats and of species targeted with improving conservation status**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Habitats										
Milestones										2020
0				10%			≥ 10% of types of habitats and of species targeted by ongoing projects are progressing towards			≥ 10% of types of habitats and of species targeted by ongoing projects are progressing towards
Actual Progress										Final
	51%	98%	99%	97%	98,380%	99,3%				
Species										
Milestones										2020
0				10%			≥ 10% of types of habitats and of species targeted by ongoing projects are progressing towards			≥ 10% of types of habitats and of species targeted by ongoing projects are progressing towards
Actual Progress										Final
	51%	34%	36%	32%	33,596%	36,7%				

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of types of habitats and species
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	The LIFE programme 2014-2020 contributes to improve the quality of the environment and halt and reverse biodiversity loss;
Methodology	The reported percentages take into account the habitats and species - targeted by LIFE projects - which conservation status is considered to be improving as a result of the LIFE projects.
Link MFF 14-20 / MFF 21-27	Data on this indicator are still available under another form (areas of habitats and number of species which conservation status is improving as a result of LIFE projects), but it was not retained as core performance indicators for the programme 2021-2027
Other methodological comments	Percentage of types of habitats and of species targeted by ongoing/ finalised projects are progressing towards an improved conservation status.
Full metadata available at this address	
Justification of the trend	Annual changes in the value of the indicator reported at programme level will result from: - The growing total number of LIFE projects awarded for which anticipated results are aggregated - Revisions to anticipated results. It is extremely difficult to identify the reasons of this overachievement. It could be linked to an initial underestimation of the potential project results (done in 2014), due to a lack of experience with LIFE indicators, and/or to the high quality of nature and biodiversity projects, which are selected following a strong competition or to an overestimate of the project anticipated results (many projects are still under implementation and few projects have already ended)

**General Objective 2 :To improve the development, implementation and enforcement of Union environmental and climate policy and legislation, and to act as a catalyst for, and promote, the integration and mainstreaming of environmental and climate objectives into other Union policies and public and private sector practice, including by increasing the public and private sector's capacity**

**Indicator 1: Number of interventions developed or undertaken that implement plans, programmes or strategies pursuant to Union environmental or climate policy or legislation**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				27			70			70
	Actual Progress									Final
		15	23	37	47	59				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of integrated projects
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler)
Narrative	The LIFE programme 2014-2020 has the objective to contribute to improve the development, implementation and enforcement of EU environmental and climate policy and legislation, and to act as a catalyst for, and promote, the mainstreaming of environmental and climate objectives into other policies and practices;
Methodology	Although many LIFE interventions will implement plans, programmes or strategies pursuant to Union environmental or climate policy or legislation, integrated projects (IPs), which are new under the LIFE programme, are specifically designed for this and are therefore used as the reference de minimis indicator.
Link MFF 14-20 / MFF 21-27	Taking into account the experience acquired, it was decided to privilege the role of the successors of integrated projects for the implementation of environmental and climate legislation and policies and their catalytic effect in the core performance indicators for the LIFE programme 2021-2027.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The trend is on line with the estimates

**Indicator 2: Number of LIFE interventions (projects, measures, approaches) suitable for being replicated or transferred**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0	0			360			≥ 900			≥ 900
	Actual Progress									Final

	280	310	392	470	657	781			
Are we on track	On track								
Indicator type	Output								
Unit of measurement	Number of ongoing projects/of finalised projects implement replicable/transferable actions.								
Cut-Off Date	01/12/2020								
Data source	Database of LIFE Key Performance Indicators (KPIs)								
Narrative	LIFE 2014-2020 contributes to improve the development, implementation and enforcement of EU environmental and climate policy and legislation, and act as a catalyst for, and promote, the mainstreaming of environmental and climate objectives into other policies and practices;								
Methodology	Estimates of the projects that may anticipate the implementation of replicable/transferable actions.								
Link MFF 14-20 / MFF 21-27	The indicator was not been retained as core performance indicator for the LIFE programme 2021-2027								
Other methodological comments	Projects within the meaning of Articles 2 and 18 (a), (b), (c) and (h) Regulation No 1293/2013 will be specifically assessed for their potential replicability/transferability and are therefore used as the reference indicator. It is expected that 80% of these projects implement replicable/transferable actions. Number of ongoing/finalised projects implementing replicable/transferable actions.								
Full metadata available at this address									
Justification of the trend	We are on track. In 2021 the projects which call for proposals was launched in 2020 will be awarded. This should allow reaching the target.								

### Indicator 3: Number of interventions achieving synergies with or mainstreamed into other Union funding programmes, or integrated into public or private sector practice

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				27			70			70
	Actual Progress									Final
		15	23	37	47	59				

Are we on track	On track								
Indicator type	Output								
Unit of measurement	Number of Integrated Projects								
Cut-Off Date	01/12/2020								
Data source	Database of LIFE projects (Butler)								
Narrative	The LIFE Programme has the objective to improve the development, implementation and enforcement of EU environmental and climate policy and legislation, and to act as a catalyst for, and promote, the mainstreaming of environmental and climate objectives into other policies and practices.								
Methodology	Although all projects should to a certain degree promote synergies and integration into practice, integrated projects (IPs), which are new under the LIFE programme, are specifically designed for this and are therefore used as the reference indicator.								
Link MFF 14-20 / MFF 21-27	Taking into account the experience acquired, it was decided to privilege the role of the successors of integrated projects for the implementation of environmental and climate legislation and policies and their catalytic effect in the core performance indicators for the LIFE programme 2021-2027.								
Other methodological comments									
Full metadata available at this address									
Justification of the trend	The actual values are in line with the estimates								

### General Objective 3 :To support better environmental and climate governance at all levels, including better involvement of civil society, NGOs and local actors

#### Indicator 1: Number of interventions to ensure better governance, dissemination of information and awareness of environmental and climate aspects

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				420			800			800
	Actual Progress									Final
	122	252	324	496	648	731	792			

Are we on track	On track								
Indicator type	Output								
Unit of measurement	Number of governance projects								
Cut-Off Date	01/12/2020								
Data source	Database of LIFE projects (Butler)								

Narrative	One of the LIFE objective is to support better environmental and climate governance at all levels, including better involvement of civil society, NGOs and local actors;
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator will be used also for the LIFE Programme 2021-2027
Other methodological comments	Although all interventions contain an information, dissemination and/or awareness raising component, the interventions financed to "support better environmental and climate governance and information" (budget item 07 02 03 and 34 02 03), whether funded through grants or procurement, are specifically designed to address this objective and are therefore used as the reference indicator. They include the operating grants. The figures are cumulative and in 2017 include the European Solidarity Corps initiatives financed by LIFE.
Full metadata available at this address	
Justification of the trend	The programme is on track with the initial milestone and is expected to reach the target

## General Objective 4 :To support the implementation of the 7th Environment Action Programme

### Indicator 1: Number of interventions to support the implementation of the 7th Environment Action Programme

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				1300			1700			1700
	Actual Progress									Final
		970	1305	1625	2089	2507	2704			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of projects and other programme actions (e.g. prizes, procurement contract)
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler) and database on the actions of the Annual Management Plan
Narrative	One of the objectives of the LIFE Programme 2014-2020 is to support the implementation of the 7th Environmental Action Programme. All types of LIFE interventions are supposed to contribute to the 7th Environmental Action Programme.
Methodology	This indicator monitors the number of LIFE interventions which are registering an improvement in comparison with their respective baselines.
Link MFF 14-20 / MFF 21-27	Other indicators were selected for monitoring the performance of the programme in the period 2021-2027.
Other methodological comments	All LIFE interventions, whether funded through grants, procurement or financial instruments, support the implementation of at least one of the priority objectives of the 7th Environment Action Programme. Figures include interventions over 100.000 EUR and are cumulative.
Full metadata available at this address	
Justification of the trend	The data show an overachievement that could be linked to an initial underestimation of the number of LIFE interventions and/or the number of interventions producing results -

## Specific Objective 1 :Contribute to a greener and more resource-efficient economy and to the development and implementation of EU environmental policy and legislation (Environment and Resource Efficiency priority area)

### Indicator 1: Number of water bodies covered by projects and thus progressing towards or having reached an improved ecological status

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				100			170			170
	Actual Progress									Final
	70	83	93	102	105	110				

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Water bodies are covered by ongoing projects which progress towards or finalised projects which achieved an improved ecological status
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to help move towards a resource-efficient, low carbon and climate resilient economy, improve the quality of the environment and halt and reverse biodiversity loss

Methodology	LIFE contribution is calculated taking into account an estimated total of 138 000 water bodies and the fact that 43% of water bodies already achieved good ecological status according to the Commission Communication, A Blueprint to Safeguard Europe's Water Resources. COM(2012) 673 final of 14th November 2012. Number of water bodies covered by ongoing projects and progressing towards an improved ecological status.
Link MFF 14-20 / MFF 21-27	The indicator has been slightly modified to focus on the area of water bodies which ecological status is being improving
Other methodological comments	
Full metadata available at this address	
Justification of the trend	LIFE has a bottom up approach. The number of projects awarded depends from the number of proposals submitted and their quality. Only 20 on-going projects are focused on water quality. They are working to improve the ecological status of 248 km of rivers.

### Indicator 2: Population benefiting from improved air quality

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				1000000			1400000			1400000
	Actual Progress									Final
	370000	842600	934000	1100000	1500000	1638500				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Persons covered by ongoing projects which progress towards or finalised projects which achieved improved air quality.
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	One of the objectives if the LIFE programme 2014-2020 is to help move towards a resource-efficient, low carbon and climate resilient economy, improve the quality of the environment and halt and reverse biodiversity loss;
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator is part of the core performance indicators selected for monitoring the performance of the LIFE Programme 2021-2027
Other methodological comments	Number of persons covered by ongoing/ finalised projects which progress towards improved air quality.
Full metadata available at this address	
Justification of the trend	The programme performance is in line with the intial estimates

### Indicator 3: Percentage of regions covered by waste IPs and thus progressing towards or having reached adequate waste management

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				2%			3%			3%
	Actual Progress									Final
		1,8%	2,5%	2,5%	3,9%	4,3%				

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of regions that are covered by waster IPs and progress towards or achieved adequate waste management.
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to help move towards a resource-efficient, low carbon and climate resilient economy, improve the quality of the environment and halt and reverse biodiversity loss
Methodology	This indicator monitors the regions targeted by LIFE integrated projects where comprehensive Waste Management plans are being implemented.
Link MFF 14-20 / MFF 21-27	This indicator has not been retained as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	Four interated projects are focused on waste covering 12 regions, in which the project activities have started
Full metadata available at this address	
Justification of the trend	The trend is in line with the initial estimates.

### Indicator 4: Percentage of River Basin Districts (RBD) covered by IPs and thus progressing towards or having reached adequate management

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				3%			5%			5%
	Actual Progress									Final
		2%	4%	5%	8%	8,3%				

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of RBD are covered by integrated projects that progress towards or have achieved adequate management.
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to help move towards a resource-efficient, low carbon and climate resilient economy, improve the quality of the environment and halt and reverse biodiversity loss
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core-performance indicator for the monitoring of the performance of the LIFE Programme 2021-2027
Other methodological comments	Percentage of RBD covered by integrated projects and progressing towards adequate management. Ten integrated projects, out of twelve integrated projects on water, are addressing the management of river basin districts and have started their activities.
Full metadata available at this address	
Justification of the trend	The data show an overachievement that could be linked to -- an initial underestimation of the potential project results and/or -- the high quality of integrated projects, and/or - the fact that all integrated projects are still under implementation and few projects already ended.

#### Indicator 5: Number of interventions to improve the knowledge base for Union environmental policy and legislation, and for assessing and monitoring factors, pressures and responses having an impact on the environment

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				300			680			680
	Actual Progress									Final
	120	285	382	462	588	681	777			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of interventions (projects and other LIFE activities e.g. studies, prizes, etc)
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler) and database on the actions of the Annual Management Plan
Narrative	One of the objective of the LIFE Programme 2014-2020 is to help move towards a resource-efficient, low carbon and climate resilient economy, improve the quality of the environment and halt and reverse biodiversity loss
Methodology	Estimated to be 100% of the interventions financed by the 07 02 01. Cumulative figures.
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	The size of the interventions implies a difference in the values for this indicator.
Full metadata available at this address	
Justification of the trend	The trend is on line with the initial estimates.

#### Specific Objective 2 :Halting and reversing the biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems (Biodiversity priority area)

##### Indicator 1:Percentage of surface and type of ecosystems targeted by LIFE projects restored

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				10%			≥ 10%			≥ 10%
	Actual Progress									Final
	51%	67%	63%	57%	55%	58,5%				

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage of ecosystem surfaces and types targeted by ongoing projects progress towards/by

	finalised projects achieved improvement/restoration.
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	The LIFE programme 2014-2020 contributes to improve the quality of the environment and halt and reverse biodiversity loss.
Methodology	Percentage of ecosystem surfaces and type targeted by ongoing projects and progressing towards an improvement of their status.
Link MFF 14-20 / MFF 21-27	This indicator has not been retained for the core performance indicator of the programme 2021-2027. The successor indicator for the MFF 2021-2027 is focused on the area of habitats which conservation status is improving
Other methodological comments	Percentage of ecosystem surfaces and types targeted by ongoing projects and progressing towards improvement/ restoration. It is extremely difficult to identify the reasons of this overachievement. It could be linked to an initial underestimation of the potential project results and/or to the high quality of nature and biodiversity projects, which are selected following a strong competition.
Full metadata available at this address	
Justification of the trend	Annual changes in the value of the indicator reported at programme level will result from: - The growing total number of LIFE projects awarded for which anticipated results are aggregated - Revisions to anticipated results. It is extremely difficult to identify the reasons of this overachievement. It could be linked to an initial underestimation of the potential project results (done in 2014), due to a lack of experience with LIFE indicators, and/or to the high quality of nature and biodiversity projects, which are selected following a strong competition or to an overestimate of the project anticipated results (many projects are still under implementation and few projects have already ended)

### Indicator 2: Percentage of habitats targeted progressing towards or improving conservation status as a consequence of LIFE interventions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				10%			≥ 10%			≥ 10%
	Actual Progress									Final
	46%	98%	99%	97%	98.38%	99,3%				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of habitats targeted by ongoing projects progress towards/of finalised projects achieved improved conservation status.
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	The LIFE programme 2014-2020 contributes to improve the quality of the environment and halt and reverse biodiversity loss.
Methodology	The reported percentage takes into account the habitats - targeted by LIFE projects - which conservation status is considered to be improving as a result of the LIFE projects.
Link MFF 14-20 / MFF 21-27	Data on this indicator are still available under another form (areas of habitats which conservation status is improving as a result of LIFE projects), but it was not retained as core performance indicators for the programme 2021-2027
Other methodological comments	Percentage of habitats targeted by ongoing projects and progressing towards improved conservation status.
Full metadata available at this address	
Justification of the trend	Annual changes in the value of the indicator reported at programme level will result from: - The growing total number of LIFE projects awarded for which anticipated results are aggregated - Revisions to anticipated results. It is extremely difficult to identify the reasons of this overachievement. It could be linked to an initial underestimation of the potential project results (done in 2014), due to a lack of experience with LIFE indicators, and/or to a different interpretation and/or to the high quality of nature and biodiversity projects, which are selected following a strong competition or to an overestimate of the project anticipated results (many projects are still under implementation and few projects have already ended)

### Indicator 3: Percentage of species targeted progressing towards or improving conservation status as a consequence of LIFE interventions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				0,10			0,10			0,10
	Actual Progress									Final
	0,66	0,34	0,36	0,32	0,33596	0,367				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of species targeted by ongoing projects progress towards/of finalised projects achieved improved conservation status.
Cut-Off Date	12/01/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	The LIFE programme 2014-2020 contributes to improve the quality of the environment and halt and reverse biodiversity loss.
Methodology	The reported percentage monitors the species - targeted by LIFE projects - which conservation status is considered to be improving as a result of the LIFE projects.
Link MFF 14-20 / MFF 21-27	Data on this indicator are still available under another form (number of species which conservation status is improving as a result of LIFE projects), but it was not retained as core performance indicators for the programme 2021-2027
Other methodological comments	Percentage of species targeted by ongoing/ finalised projects are progressing towards an improved conservation status.
Full metadata available at this address	
Justification of the trend	Annual changes in the value of the indicator reported at programme level will result from: - The growing total number of LIFE projects awarded for which anticipated results are aggregated - Revisions to anticipated results. It is extremely difficult to identify the reasons of this overachievement. It could be linked to an initial underestimation of the potential project results (done in 2014), due to a lack of experience with LIFE indicators, and/or to the high quality of nature and biodiversity projects, which are selected following a strong competition or to an overestimate of the project anticipated results (many projects are still under implementation and few projects have already ended)

#### Indicator 4: Percentage of the Natura 2000 sites covered by nature IPs and thus progressing towards the implementation of prioritised actions frameworks

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				4%			6%			6%
	Actual Progress									Final
			12%	20%	23,4%	34%				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of the Natura 2000 sites are targeted by nature IPs and progress towards or achieved the implementation of prioritised actions frameworks.
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler)
Narrative	One of the objectives of the LIFE programme 2014-2020 is to contribute to improve the quality of the environment and halt and reverse biodiversity loss.
Methodology	The indicator monitors percentage of the Natura 2000 sites targeted by LIFE integrated projects implementing prioritised action frameworkq
Link MFF 14-20 / MFF 21-27	This indicator was not retained as core performance indicators for the programme 2021-2027.
Other methodological comments	At present n.18 integrated projects (IPs) are supporting the implementation of Prioritized Action Frameworks developed in Belgium, Czech Republic, Finland, Hungary, Italy, Germany, Netherlands, Portugal, Slovenia, Spain, France, Lithuania, Sweden, Greece, Denmark, Estonia, Ireland and Cyprus pursuant to Article 8 of the Habitats Directive.
Full metadata available at this address	
Justification of the trend	At present n.23 integrated projects (IPs) are supporting the implementation of Prioritized Action Frameworks developed in Belgium, Czech Republic, Finland, Hungary, Italy, Germany, Latvia, Netherlands, Portugal, Slovenia, Slovakia Spain, France, Lithuania, Sweden, Greece, Denmark, Estonia, Ireland and Cyprus pursuant to Article 8 of the Habitats Directive. ; Source: Database of LIFE projects (Butler);

#### Indicator 5: Number of interventions to improve the knowledge base for Union nature and biodiversity policy and legislation and for assessing and monitoring factors, pressures and responses having an impact on nature and biodiversity

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				300			700			700
	Actual Progress									Final
	19	80	214	323	519	615	695			

Are we on track	On track
Indicator type	Output

Unit of measurement	Number of interventions (projects and other LIFE activities e.g. studies, prizes, etc)
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler) and database on the actions of the Annual Management Plan
Narrative	One of the objectives of the LIFE programme 2014-2020 is to contribute to improve the quality of the environment and halt and reverse biodiversity loss.
Methodology	Estimated to be 100% of the interventions financed by the 07 02 02 plus the number of "Nature" projects and 1/3 of the operating grants financed under 07 02 03
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	Cumulative figures
Full metadata available at this address	
Justification of the trend	The values are on line with the initial estimates

### Specific Objective 3 :Support better environmental governance and information at all levels (Environmental Governance and Information priority area)

#### Indicator 1: Number of stakeholders and citizens participating in awareness raising activities in the framework of LIFE interventions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0							1 000 000			1 000 000
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Stakeholders or citizens
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The data collected are not available in the form required by this indicator. The external study carried out for the mid term evaluation reported that almost 63 million individuals have visited the projects websites, with an average duration of the visits of about six minutes. A total of almost 271 thousand project documents and communication material has been downloaded by interested users. More than 48 thousand individuals, over 1,400 companies, and over 1,500 NGOs and 1,300 public bodies have been interviewed
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Number of interventions to support communication, management and dissemination of information in the field of environment and to facilitate knowledge sharing

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
				420			800			800
	Actual Progress									Final
	101	294	362	494	748	833	890			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of interventions (projects and other LIFE activities e.g. studies, prizes, etc)
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler) and database on the actions of the Annual Management Plan
Narrative	One of the objectives of the LIFE programme 2014-2020 is to support better environmental and climate governance at all levels, including better involvement of civil society, NGOs and local actors.
Methodology	Although all interventions contain an information, dissemination and awareness-raising element, governance and information interventions, whether funded through grants or procurement, are specifically designed to address this objective and are therefore used as de minimis value for this indicator
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	The size of the interventions implies a difference in the values for this indicator.

Full metadata available at this address	
Justification of the trend	The trend is in line with the initial estimates.

### Indicator 3:Percentage of projects promoting and contributing to a more effective compliance with and enforcement of Union environmental law

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				5%			≥ 5%			≥ 5%
	Actual Progress									Final
		39%	42%	49%	57%	63,49%	67,87%			

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of ongoing governance and information projects
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to improve the development, implementation and enforcement of EU environmental and climate policy and legislation
Methodology	It is expected that information and governance projects focusing on enforcement and compliance promotion will significantly increase awareness of relevant public bodies and civil society, leading in some projects that progress towards or reach actual improvements. Cumulative figures.
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	Although all interventions contain an information, dissemination and awareness-raising element, governance and information interventions, whether funded through grants or procurement, are specifically designed to address this objective and are therefore used as the reference indicator. Cumulative figures.
Full metadata available at this address	
Justification of the trend	The data show an overachievement that could be linked to an initial underestimation of the potential number of projects targeting compliance and enforcement of union environmental law

### Indicator 4:Percentage of increase in the participation of NGOs in consultations on EU environmental policy

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				12%			≥ 12 % increase			≥ 12 % increase
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage of increase..
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The consultations on EU environmental policy not always include data on the type of respondents/organisations. The collection of this kind of information would be extremely cumbersome and not cost effective, given the results could change significantly basing on the subject matter of the consultation. All NGO's funded by operating grants are expected to increase their participation in consultations on EU environmental policy. All the beneficiaries of NGO operating grants interviewed during the mid-term evaluation declared that their participation increased but were not able to provide a percentage. This indicator should be modified.
Full metadata available at this address	
Justification of the trend	

### Specific Objective 4 :Reduction of EU greenhouse gas emissions and development and implementation of EU climate policy and legislation (Climate Change Mitigation priority area)

#### Indicator 1:Number and coverage of climate change mitigation strategies or action plans developed or implemented through LIFE

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									
In 2012 less than 10%							Support dev.and/or impl.of at least 1 climate change mitigation strategy or action plan per MS			Support dev.and/or impl.of at least 1 climate change mitigation strategy or action plan per MS
	Actual Progress									Final
	7	13	20	26	33	38				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of climate change mitigation strategies or action plans covering at least one region and supported by LIFE projects
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to contribute to move towards a resource-efficient, low carbon and climate resilient economy
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The data show an overachievement that could be linked to the increasing attention that is being devoted to the need to have climate change mitigation plans and strategies

### Indicator 2: Tons of greenhouse gases reduced by new technologies, systems, methods or instruments and/or other best practice approaches developed and taken up following LIFE examples

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Reduction in tons of greenhouse gasses per project										
	Milestones									2020
				-20%			-20%			Relative reduction in tons of greenhouse gasses per project of at least 20%
	Actual Progress									Final
Percentage of project promoting innovative technologies and/or best practices										
	Milestones									2020
				80%			80%			80%
	Actual Progress									Final
	43%	53%	63%	68%	72,3%	82%				

Are we on track	On track
Indicator type	Result
Unit of measurement	(1) Average percentage of reduction of tons of greenhouse gas emissions for climate mitigation projects. (2) Percentage of the projects funded in climate change mitigation priority area 2014-2018 that promote innovative technologies and/or other best practice solutions for the reduction of greenhouse gas emissions.
Cut-Off Date	01/12/2020
Data source	Database of LIFE Key Performance Indicators (KPIs)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to contribute to move towards a resource-efficient, low carbon and climate resilient economy
Methodology	On the reduction of Green house gasses per project, although currently 173 LIFE projects are expected to achieve a 10 million t/year reduction of greenhouse gases emissions, data on the percentages of reduction per project in comparison to the respective initial baselines are not available.
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027

Other methodological comments	
Full metadata available at this address	
Justification of the trend	The data are broadly in line with the initial estimates.

**Indicator 3: Number of interventions to improve the knowledge base for Union climate policy and legislation, and for assessing and monitoring factors, pressures and responses having an impact on the climate (cf. Article 14(b) Regulation 1293/2013)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Integrated projects										
0	Milestones									2020
				80%	80%	80%	100%			100%
	Actual Progress									Final
		100%	100%	100%	100%	100%				
Traditional projects										
	Milestones									2020
				30%	30%	30%	25%			25%
	Actual Progress									Final
		34%	39%	41%	40%	35%				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of (1) integrated projects and (2) traditional projects
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to contribute to move towards a resource-efficient, low carbon and climate resilient economy
Methodology	
Link MFF 14-20 / MFF 21-27	These indicators have not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	
Full metadata available at this address	
Justification of the trend	All the integrated projects include activities to improve the knowledge base for Union climate policy and legislation, and for assessing and monitoring factors, pressures and responses having an impact on climate (cf. Article 14(b) Regulation 1293/2013). For the traditional projects, being LIFE based on a bottom up approach, data can change from year to year.

**Specific Objective 5 :Increased resilience of the EU to climate change (Climate Change Adaptation priority area)**

**Indicator 1: Number and coverage of climate change adaptation strategies or action plans developed or implemented**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
16				28	28	28	28			28
	Actual Progress									Final
			21	25	25	26	26			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number of Member States that have adopted an adaptation strategy
Cut-Off Date	01/12/2020
Data source	Annual activity report DG CLIMA – 2020
Narrative	One of the objective of the LIFE Programme 2014-2020 is to contribute to move towards a resource-efficient, low carbon and climate resilient economy
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The data are broadly in line with the initial estimates

**Indicator 2: Attributable climate resilience, broken down by sector, due to the demonstrated new technologies, systems, instruments and/or other best practice approaches developed and taken up following LIFE examples**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Increasing climate resilience: Under the 2012 call of the LIFE+ regulation, only 15% of climate project proposals submitted were on adaptation. The projects promoting innovative policy approaches										
2012	Milestones									2020
80%				80%	80%	80%	80%			80%
	Actual Progress									Final
		73%	69%	70%	69%	72%				

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Percentage of projects
Cut-Off Date	01/12/2020
Data source	LIFE project database (Butler)
Narrative	One of the objective of the LIFE Programme 2014-2020 is to contribute to move towards a resource-efficient, low carbon and climate resilient economy
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The current percentage shows an increased attention toward the support offered by LIFE on climate adaptation projects.

**Indicator 3: Number of interventions to improve the knowledge base for Union climate policy and legislation, and for assessing and monitoring factors, pressures and responses having an impact on the climate resilience (cf. Article 15(b) Regulation 1293/2013)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
IPs										
	Milestones									2020
30%				80%	80%	80%	100%			100%
	Actual Progress									Final
		100%	100%	100%	100%	100%				
Traditional projects										
	Milestones									2020
				30%	30%	30%	25%			25%
	Actual Progress									Final
		37%	38%	36%	34%					

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Percentage of the traditional projects funded in climate change adaptation priority area 2014-2018: No 20 out of 56 traditional projects on climate change adaptation.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 6 :Support better climate governance and information at all levels (Climate Governance and Information priority area)**

**Indicator 1: Number of stakeholders and citizens participating in awareness raising activities in the framework of LIFE interventions**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				70 000			140 000			140 000
	Actual Progress									Final

Are we on track	No data
-----------------	---------

Indicator type	
Unit of measurement	Number of stakeholders and citizens having participated in specific climate awareness raising or information activities at local, regional, national or cross-border levels.
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The data collected are not available in the form required by this indicator. The external study carried out for the mid term evaluation reported that almost 63 million individuals have visited the projects websites, with an average duration of the visits of about six minutes. A total of almost 271 thousand project documents and communication material has been downloaded by interested users. More than 48 thousand individuals, over 1,400 companies, and over 1,500 NGOs and 1,300 public bodies have been interviewed
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of interventions to support communication, management and dissemination of information in the field of climate change mitigation and adaptation and to facilitate knowledge sharing**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Percentage of projects targeted to specific governance										
2012	Milestones									2020
Less than 5% of the traditional climate project proposals submitted				10%	10%	10%	All LIFE			All LIFE
	Actual Progress									Final
		13%	16%	16%	16%	20,8%				
Percentage of projects achieving knowledge sharing										
2012	Milestones									2020
All LIFE projects				All LIFE projects under the priority area			All LIFE projects under the priority area climate governance			
	Actual Progress									Final
		All LIFE projects	All LIFE projects	All LIFE projects	All LIFE projects	All LIFE projects				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage of projects
Cut-Off Date	01/12/2020
Data source	Database of LIFE projects (Butler)
Narrative	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Methodology	Percentage of climate projects targeting specific climate change governance issues and of climate projects achieving knowledge sharing
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The trend is broadly in line with the initial estimates. The little overachievement related to the projects targeting specific governance issues could be due to the increased attention to climate change issues by national and local authorities and citizens

**Indicator 3: Share of projects promoting and contributing to a more effective compliance with and enforcement of Union climate law**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0				5%	5%	5%	More than 5%			More than 5%
	Actual Progress									Final

	11%	13%	11%	13%	10%			
Are we on track	On track							
Indicator type	Output							
Unit of measurement	Percentage of projects							
Cut-Off Date	01/12/2020							
Data source	Percentage of governance and information projects progress towards improved compliance and enforcement of Union climate law.							
Narrative	One of the objective of the LIFE Programme 2014-2020 is to contribute to move towards a resource-efficient, low carbon and climate resilient economy							
Methodology	Percentage of projects targeting a more effective compliance and enforcement of Union climate law							
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027							
Other methodological comments	Percentage of governance and information projects progressing towards improved compliance and enforcement of Union climate law: No 2 projects out of 19 on governance and information projects.							
Full metadata available at this address								
Justification of the trend	The share of the projects targeting a more effective compliance and enforcement is higher than initially foreseen, thus underlining the interest for the related issues.							

#### Indicator 4: Number of interventions emanating from NGOs funded by LIFE with an impact on EU policy

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
6				Stable level.			Stable level.			Stable level.
	Actual Progress									Final
		5	6	6	9	9	9			

Are we on track	On track							
Indicator type	Output							
Unit of measurement	Number of NGOs presenting a climate related work programme receiving an operating grant.							
Cut-Off Date	01/12/2020							
Data source	Database of LIFE projects (Butler)							
Narrative	Baseline: Under the 2012 call of the LIFE + Regulation, the work programme of 6 specific climate NGO's proposals plus a number of environmental NGO's that also have a climate focus were co-funded.							
Methodology								
Link MFF 14-20 / MFF 21-27	This indicator has not been selected as core performance indicator for the evaluation framework of the LIFE Programme 2021-2027							
Other methodological comments								
Full metadata available at this address								
Justification of the trend	The trend is in line with the initial estimates.							

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
445,7	430,0	441,3	455,5	471,7	492,1	512,7	3 249,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

The LIFE-CLIMA programme will provide 100% of its allocated as a contribution to climate mainstreaming, supporting all the range of the needed action for climate mitigation and climate adaptation contributing 100% to the climate mainstreaming target. Furthermore, actions within the LIFE ENV, in particular those targeting the reduction of pollution and emissions, support the communication and promotional activities for the EU Green Deal as well as biodiversity related actions, will also bring benefits to climate mitigation and adaptation. They will thus be contributing to climate mainstreaming at a percentage of 40%, (based on the Rio markers applicable to climate mainstreaming).

#### 6.1.3. Key achievements

Relevant objective/output	Budget 2019	Budget 2020 - estimated	Budget 2020 - achieved
Contributing to the reduction of greenhouse gas emissions	73,1	85,9	75,7

Contributing to increased resilience to climate change	38,0	47,5	48,8
Support better climate governance and information	15,4	17,6	26,5
Contribute to a greener and more resource-efficient economy and to the development and implementation of EU environmental policy and legislation	48,7	50,3	52,4
Halting and reversing the biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems	69,2	71,6	81,8
<b>Total</b>	<b>244,4</b>	<b>272,9</b>	<b>285,2</b>

In the case of LIFE the contribution of the different activities to climate mainstreaming has been defined taking into account the expenditures under each budget article.

**Contributing to the reduction of greenhouse gas emissions:** Estimated to be the total operational budget for the priority areas climate change mitigation (budget article 34 02 01);

**Contributing to increased resilience to climate change:** Estimated to be the total operational budget for the priority areas climate change adaptation (budget article 34 02 02);

**Support better climate governance and information:** Estimated to be the total operational budget for the priority area climate governance and information (budget article 34 02 03);

**Contribute to a greener and more resource-efficient economy and to the development and implementation of EU environmental policy and legislation:** Estimated to be 40% of the projects financed under the priority area resource efficiency (budget article 07 02 01 total budget for 2019 is EUR 150,3 million, out of which EUR 121.8 million are devoted to projects. In 2020 the total budget materialised was EUR 151,7 million, out of which EUR 131,1 million were devoted to projects. A 40% of these operations is attributed to Climate mainstreaming.

**Halting and reversing the biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems :** Estimated to be 40% of the projects financed under the priority area nature and biodiversity (budget article 07 02 02 – total budget for 2019 is 213,6 million EUR, out of which EUR 173,0 million are devoted to projects. In 2020, final year of the MFF, the total amount materialised was EUR 221,2 million with EUR 204,6 million devoted to projects. A 40% of these operations is attributed to Climate mainstreaming.

The final column provides the implementation on Budget 2020 actually achieved, following the tracking included with the climate markers implemented already in 2020.

The results for the climate mainstreaming for the period 2014-2020 (figures of 2020 are the achieved commitment implementation) can be summarised below:

2014-2017				2018-2019 estimates		2020 – actual	Total
2014	2015	2016	2017	2018	2019	2020	
186,0	199,7	213,5	229,0	247,2	255,2	285,2	<b>1 615,8</b>

(\*)The appropriations for the year 2014 have been reviewed to take account of the transfer to subsequent years of the allocations not used in 2014 (reprogramming exercise carried-out in 2015 in accordance with Article 19 of the Multiannual Financial Framework Regulation).

#### 6.1.4. Performance

The outcomes of the projects from the previous LIFE implemented already or continued to be implemented, are being reported.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
346,3	332,2	343,8	360,2	381,3	409,1	441,1	2 614,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

It is expected that the LIFE-ENV programme will provide 60% of its resources as a contribution to biodiversity, supporting the implementation of the Natura 200 network and projects targeting biodiversity protection. These actions will contribute 100% to the biodiversity mainstreaming target. Furthermore, the remaining actions of LIFE ENV, in particular those targeting the reduction of pollution and emissions, the support of communication and promotional activities, etc. will also bring benefits to biodiversity, thus contributing to it (at a percentage of 40% similarly to the Rio markers applicable to climate mainstreaming).

### 6.2.3. Key achievements

Relevant objective/output	Budget 2019	Budget 2020	Budget 2020 – achieved
Contribute to a greener and more resource-efficient economy and to the development and implementation of EU environmental policy and legislation	48,7	50,3	60,4
Halting and reversing the biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems	213,6	220,8	221,1
Support better environmental governance and information at all levels	7,0	8,0	10,7
Contributing to increased resilience to climate change	14,9	18,6	19,5
<b>Total</b>	<b>284,2</b>	<b>297,7</b>	<b>311,7</b>

In the case of LIFE the contribution of the different activities to biodiversity has been defined taking into account the expenditures under each budget article.

**Contribute to a greener and more resource-efficient economy and to the development and implementation of EU environmental policy and legislation:** Estimated to be 40% of the projects financed under the priority area resource efficiency (budget article 07 02 01 total budget for 2019 was EUR 150,3 million, out of which EUR 121.8 million were devoted to projects. In 2020 the total budget implemented was EUR 151,7 million (out of which EUR 131 million were devoted to projects);

**Halting and reversing the biodiversity loss, including the support of the Natura 2000 network and tackling the degradation of ecosystems:** Estimated to be the 100% total operational budget for the priority area nature and biodiversity (budget article 07 02 02); In 2020 the total budget implemented was EUR 122,2 million (out of which EUR 204,6 million were devoted to projects);

**Support better environmental governance and information at all levels:** Estimated to be 100% of the projects focused on nature and biodiversity financed under the priority area governance and information (budget article 07 02 03 - total budget for 2019 was EUR 48 million, out of which EUR 14 million were devoted to projects, out of which EUR 7 million were for projects focused on nature and biodiversity. In 2020, the final year of the MFF, the total amount allocated was EUR 53,6 million, out of which EUR 14,7 million were devoted to projects. Some EUR 10,7 million were devoted to nature and biodiversity, considering an equal split of this line between circular economy and biodiversity actions and then a 40% marker;

**Contributing to increased resilience to climate change :** Estimated to be 40% of the total operational budget for the priority areas climate change adaptation devoted to projects (budget article 34 02 02 - total budget for 2019 is EUR 41,5 million, out of which EUR 37,3 million are devoted to projects. The total budget for 2020, the final year of the MFF, was EUR 48,8 million (out of which EUR 47,8 million were devoted to projects). A 40% of these operations is attributed to Biodiversity mainstreaming.

The final column provides the implementation on Budget 2020 actually achieved, following the tracking included with the climate markers implemented already in 2020.

The results for the biodiversity mainstreaming for the period 2014-2020 (figures of 2020 are the achieved commitment implementation) can be summarised below:

2014-2017				2018-2019 estimates		2020 - actual	Total
2014	2015	2016	2017	2018	2019	2020	
195,1	217,1	227,6	242,8	265,6	282,6	311,7	1 742,5

(\*)The appropriations for the year 2014 have been reviewed to take account of the transfer to subsequent years of the allocations not used in 2014 (reprogramming exercise carried-out in 2015 in accordance with Article 19 of the Multiannual Financial Framework Regulation).

#### 6.2.4. Performance

The outcomes of the projects from the previous LIFE implemented already or continued to be implemented, are being reported.

### 6.3. Contribution to clean air financing

#### 6.3.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.3.2. Explanation and justification on the financial contribution

The table below provides a view of the expected contribution of the LIFE Programme to air quality and indicates the way in which it is calculated:

Action	Marker	LIFE Contribution (EUR)
LIFE projects focused on clean air	100%	84.242.292,00

LIFE projects contributing to clean air as a secondary benefit	40%	20.768.463,20
Total		105.010.755,20

The methodology for calculating air quality spending was defined at the beginning of 2020 based on Rio markers, with the intention to capture the contribution of the programme to “clean air”, thus encompassing actions towards increasing air quality and reducing air pollution).

The financing for air quality has to be assessed at project level as follows:

- LIFE spending for projects focused on clean air (100 %);
- LIFE expenditures for projects significantly contributing to clean air as secondary benefit (40 %) and
- other LIFE expenditures (0 %).

This is the second year that the contribution of the LIFE Programme to air quality is required, however there are limited data available on all the on-going 2014-2018 projects. In particular, data on projects focused on clean air are available for the 2014-2018 projects and data on projects having clean air as secondary benefit (40%) are not available for 2018 and cover only two projects in 2017.

As a consequence, the contribution of the LIFE programme to clean air which appears in the table is underestimated.

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming					Total	
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

Gender mainstreaming in LIFE has been developed at project level. The tracking methodology remained stable compared with previous years and is largely based on an existing OECD methodology (‘Rio markers’), adapted to provide for quantified financial data.

A gender dimension is taken into account in some specific areas of interventions of the LIFE Programme to identify how men and women relate to the environment in a different way, i.e. how the effects of hazardous chemicals and waste affect men and women. However, the LIFE programme does not include any specific gender equality objective.

In terms of action, in line with the Stockholm, Basel and Rotterdam Conventions, a gender dimension is taken into account to identify and highlight the different impacts of hazardous chemicals and wastes on men and women and to promote the consideration of gender issues in hazardous chemicals and waste management at the national and regional levels.

The contribution of the LIFE programme to the gender equality is not significant, given the related activities are components of multidimensional projects.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

#### *SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture*

The LIFE programme contributes to the **SDG 2** because it supports the transition towards sustainable food systems along the whole value chain and encourages an environmentally friendly agriculture, in view of the protection, preservation and improvement in the quality of water, air and soil and the protection of bio-diversity.

A preliminary analysis of the projects financed through LIFE in the period 2014-2018 has identified nearly 140 projects relevant to agriculture and food systems. The majority of them relate to sustainable agricultural production. Other areas covered are food processing and food services, sustainable food consumption and reduced food loss and waste.

To improve resource efficiency in food production and reduce impact on water resources, LIFE is also promoting sustainable nutrients management in agriculture.

The project LIFE PRIORAT+MONTSANT demonstrated sustainable production techniques centred on increasing efficiency in resource use in winemaking, in particular the use of water, fertilizers and chemical biocides/pesticides in vineyards. 74 wineries and

31 winegrowers in the Priorat County (Spain) participated in the project, corresponding to an overall area of 1217 ha. Some project results include: a reduction in water consumption for irrigation of between 22% and 29% in the vineyards that followed strictly the project recommendations; 100% reduction in the use of chemical fertilisers in the targeted estates (nearly 120 ha) substituting pesticide with pheromone traps; the definition of a set of best practices regarding energy consumption and water use adapted to several types of wineries. The project also contributed to increasing consumer awareness on the environmental footprint of wine and in this context developed a tool to calculate the EU Product Environmental Footprint category rules for wine (PEFcrWine).

Another project, LIFE AMMONIA TRAPPING, worked on reducing ammonia emissions from livestock wastes (poultry litter and pig slurry) and from wastes treatment processes such as anaerobic digestion and composting, by using the gas permeable membrane technology that will recover the ammonia in the form of a nitrogen fertilizer. Project results so far are positive with a reduction of 51% of ammonia emissions at the level of the demonstrative pig farm.

Moreover, the National Emission Ceilings Directive for air pollutants, the Member States' targets to reduce Greenhouse Gas emissions as well as the proposal to integrate the land use sector into the EU 2030 Climate and Energy Framework are aimed at incentivising Member States to take additional sustainable action in their agriculture sectors.

As an example, project LIFE AGRI ADAPT demonstrated how three of the most important farming systems in the EU (arable, livestock and permanent crops) can become more climate-resilient through the implementation of feasible and sustainable adaptation measures. The project was implemented with partners in each of the four EU Climate Risk Regions: Southern, Western, Central and Northern Europe. Different adaptation measures were tested on 126 pilot farms across Europe and the conclusions were used to elaborate general proposals for key farming systems with positive crosscutting environmental benefits. In addition, the project developed 30 adaptation action plans for each of the four climatic regions, in Spain, France, Germany and Estonia.

Many LIFE projects also work on the interlink between nature protection and sustainable agriculture production, as much of the now threatened and protected habitats and species in Europe depend on the continuation of extensive and small-scale farming practices. Abandonment of such traditional practices is one of the main threats to the habitat types and species associated with them. Important conservation activities in these areas include restoring habitats, testing agri-environment measures, and introducing dedicated land use techniques such as extensive mowing and grazing regimes. LIFE projects, the Integrated Projects in particular, are a lever for mobilising further funding to ensure continued biodiversity-friendly management of agricultural landscapes.

For instance, the Integrated project LIFE NATUREMAN - The Farmer as a Manager of Nature: aiming at a favourable conservation status for Natura 2000 sites by making nature management a sound branch of farming, is focusing on preserving and protecting alkaline fens, petrifying springs and grassland in 11 Natura 2000 sites in Himmerland and Midtjylland. It will do this by purposefully working to make it economically interesting for agriculture to have natural areas with grazing or harvesting of biomass in the operation, thereby developing nature management a sound branch of farming. The initiatives in the project are determined in close cooperation between the Ministry of the Environment and Food, eight municipalities and the farming organizations.

Furthermore, LIFE is activating in reducing food waste. For example, the FLAW4LIFE project aimed to change food consumption habits and create an alternative market for 'ugly' (or not meeting the market distribution standard and less than perfect-looking) fruit and vegetables. It aimed to bring about the equal marketing of all quality fruit and vegetables regardless of their size, colour and shape. The project achieved this goal by replicating nationally an innovative methodology (called Fruta Feia or Ugly Fruit), which had been tested initially in Lisbon. Fruta Feia's methodology consist of buying weekly from local producers the small, big or misshaped products that they cannot sell in the regular market and then selling these products to Fruta Feia's associated consumers, who pick them up at the end of the day at fixed delivery points. During its implementation, the project avoided approximately 460 tonnes of waste annually. It resulted in 14.6 tonnes less fruit and vegetable waste per week (from a goal of 11.9 tonnes per week), increased farm efficiencies – saving 16 054 m<sup>3</sup> of water/week, 20 975 kWh/week of energy and 16 ha of arable soil – and reduced GHG emissions from transportation and decomposition by 13,021 kg CO<sub>2</sub> eq/week. First tested in Lisbon, the deliveries were rolled out to other cities (Porto, Gaia, Matosinhos, Braga, Amadora and Almada) and all those environmental benefits are sustainably maintained.

LIFE also indirectly contributes to promoting sustainable and organic agriculture by providing financial supports to the activities of non-governmental organizations active in this area, such as the International Federation of Organic Agriculture Movements EU Group (IFOAM EU Group) and Slow Food.

### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

On **SDG 3**, taking into account that environmental stressors having significant impacts on health, LIFE complements Member States' action through legislation and other initiatives on environment related health problems, which are linked to air quality, industrial emissions, chemicals, waste and water.

Examples include the EU Biodiversity Strategy to 2030 or the rules on the sustainable use of pesticides which underline the link with health policy aspects.

The EU Chemicals Policy also covers regulation on persistent organic pollutants; trade in hazardous chemicals; fluorinated gases; and hazardous waste. The so-called "REACH" framework aims to improve the protection of human health and the environment from the risks that can be posed by chemicals, while enhancing the competitiveness of the EU chemicals industry.

LIFE is funding a number of projects working on improving air quality and specific air pollutants and to reduce the risks from chemicals.

For example, the Polish Integrated Project LIFE-IP MAŁOPOLSKA aims at the full implementation of the Małopolska Air Quality Plan (MAQP). The project estimates that through its actions it will reduce PM10 and PM2.5 emissions by about 25 000 kg/day and 21 000 kg/day respectively. It is worth noting that the project has a transnational approach assisting cooperation within the hotspot (southern Poland, Slovakia and the Czech Republic) by joint activities as well as exchange of experiences in the area of air quality improvement. In addition to the IP budget itself, the project will facilitate the coordinated use of €798 million complementary funding from the European Agricultural Fund for Rural Development (EAFRD), the ERDF, National and Regional Fund for Environmental Protection and Water Management, and national and private fund, as applicable.

The project LIFE Fit for REACH is working on the reduction of emissions by substitution of hazardous chemicals and resource efficiency. The project offers Baltic SMEs a full “chemicals management package”, including proposals on how to implement substitution as a core action to reduce environmental impacts and support in communicating this good environmental performance to the society. Amongst other activities, LIFE Fit for REACH will test and implement a set of complex measures in six companies which shall substitute some of the identified hazardous substances or increase the efficiency of the resource use and lead to reduction of emissions of these substances. It will also implement “low effort – low costs” measures to substitute hazardous substances or to introduce good chemicals management practices in additional 50-80 SMEs. The project is also helping Latvia’s largest producer of household chemicals to get “greener”.

### ***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

The EU water policy is a cornerstone of the LIFE Programme and provides for a framework to address water protection and achieve good ecological status for inland surface waters, transitional waters, coastal waters and groundwater. It comprises regulation including on drinking water, bathing water and urban wastewater, prevention of pollution caused by nitrates, industrial emissions, pesticides and persistent organic pollutants.

The transition to a circular economy should also lead to greater resource efficiency for example by improving the conditions for water re-use in several sectors.

LIFE projects are working on sustainable management of water bodies. In particular, LIFE projects are reducing the water bodies affected by water pressures and risks. This is done through a variety of actions, like reducing pollution of aquatic bodies from contaminated water/fluids, removal of barriers within rivers, implementation of River Basin Management Plans, etc.

As a first example, LIFE Impetus demonstrated technical solutions for improving the removal of pharmaceuticals (PhCs) in urban wastewater treatment plants (WWTPs) that use conventional activated sludge (CAS) treatment. The project team performed extensive monitoring and field testing in two Portuguese CAS-WWTPs. Up to 908 wastewater (and 72 sludge) samples were analysed for 24 PhCs/hormones found in wastewater. The project also demonstrated improved control of PhCs in conventional wastewater treatment using an innovative technical solution based on powdered activated carbon (PAC) from renewable materials. This solution resulted in small extra cost investment, energy consumption or indirect greenhouse gas (GHG) emissions. In fact, costs of PAC addition to bioreactor were found to be lower than those of technology-intensive solutions particularly for low plant capacity. In turn, by maximising energy efficiency and improving treated water quality, cost savings potential from CAS-operation improvement were identified.

As another example, LIFE ECORKWASTE demonstrated the possible uses of a cork waste valorisation system. The cork was used as absorbent material in wetlands, for the elimination of organic compounds in winery wastewater treatment systems and as a substrate for energy valorisation in a gasification process. Through this improved wastewater treatment in long terms, the project aimed to alleviate the pressure on 850 km<sup>2</sup> of wetlands in the Llobregat Basin). The reduction in pressure included removal of several emerging pollutants at high rate (85% of phenol and 80% of hydrogen-sulphide) from the winery wastewater within the project duration (with initial values measured at 60 mg/year and 102 mg/year, respectively).

The German Integrated project Living River Lahn aims at achieving a good ecological status/potential of surface waters in the catchment area of the Lahn river in Germany. Among other activities, this project will identify sources of pollution and improve the water quality of the Lahn and its tributaries; prepare and implement measures for linear ecological connectivity for barrages and weirs, investigate the options for the creation of retention areas along the river and improved ecosystem services; re-establish natural water regulation wherever possible; and elaborate integrated pilot strategies and implementation plans on how to organise and finance inland waterways in order to achieve ‘good ecological status/potential’. The solutions identified by the project should be transferred to several other rivers in Germany, facing similar issues. In addition to the project budget itself, the project will facilitate the coordinated use of around €27 million of complementary funding from the European Agricultural Fund for Rural Development (EAFRD) and national funds.

### ***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

Through the new [Circular Economy Action Plan](#), LIFE addresses economic and environmental concerns by maximizing efficiency in the use of resources, and thus contributes to **SDG 8**. On 10 November 2020, the Commission adopted the first Action Plan’s

milestone: a proposal for a Regulation to modernise EU legislation on batteries. The aim is that batteries placed on the EU market are sustainable, circular, high-performing and safe all along their entire life cycle, that they are collected, repurposed and recycled, becoming a true source of valuable raw materials.

Moreover, the proposal for the 8<sup>th</sup> Environment Action Programme confirms that EU prosperity and healthy environment stem from an innovative, circular economy where nothing is wasted and where natural resources are managed in a sustainable way, and biodiversity is protected, valued and restored.

An example of how LIFE contributed to tackling marine litter pollution while promoting additional income for fishermen/women is the project LIFE LEMA. The project provided local administrations with a methodological guide and prediction tools for the efficient management of floating marine litter in the southeast waters of the Bay of Biscay. The project established statistical models to predict the movement and accumulation points of floating marine litter; developed a computer tool to integrate data on floating marine litter collection, detection and prediction methods; designed a management plan to prevent and reduce floating marine litter; and used innovative technologies to detect floating marine litter. Through its work, the project demonstrated marine litter collection actions that could provide fishermen/women with an additional source of income while reducing marine pollution. Quantitatively, the project achieved the collection of more than 40 tons of floating marine litter and another 40 tons of floating wood.

In addition, LIFE PSLOOP is aiming at enabling the recycling of construction waste containing polystyrene. The project's process for producing recycled polystyrene material is much more energy and resource efficient than the production of polystyrene from virgin raw materials. The project will construct a recycling plant to demonstrate this process on an industrial scale, aiming at 3000 tons/year of recycled polystyrene. In addition, the project aims to create a relevant value chain with recycling and collection companies by demonstrating a standard collection and pre-treatment system.

Another example is LIFE ECO TILES that managed to produce a new generation of roof tiles products made almost entirely (up to 70%) with recycled materials (Construction & Demolition Waste (CDW) and glass from urban and industrial waste). Three versions of tiles (5-10% of tile market) with up to 77% content of recycled CDW and glass waste, collected from exclusively local sources, through a network specifically created by the beneficiaries, were delivered. The project demonstrated up to 20% reduction in energy consumption, avoiding landfilling of CDW (31.25 kg per m<sup>2</sup> of tiles) and glass waste (between 33.10 and 34.56 kg per m<sup>2</sup> of tiles), and satisfactory quality and price results. Demonstrating sustainability, customers already ordered 2000 m<sup>2</sup> of tiles (recycling of about 60 t of CDW + 60 t of waste glass).

#### ***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

The 2030 Climate and Energy Policy Framework strives for a competitive low-carbon and climate-resilient economy and the EU Strategy on Adaptation to Climate Change identifies resilient infrastructure as a priority action area under the strategic objective of mainstreaming adaptation measures.

The circular economy fosters eco-innovation and sustainability objectives.

LIFE is working on improving the climate resilience of infrastructures. In particular, more than 20 LIFE projects are aiming to increase the number of infrastructures targeted for climate resilience. Such infrastructures may include public, private and industrial buildings or services situated in urban or rural environments. These could range from large power generation plants, to water services, households or agricultural farms.

As an example, the LIFE DERRIS project successfully tested an innovative model of public-private partnership between insurers, public administrations and SMEs to increase urban resilience to climate change, including through risk reduction tools for SMEs. Such tools included a Climate Risk Assessment and Management Tool to help enterprises to identify adaptation measures that they should implement to enhance resilience, as well as company climate adaptation action plans that outlined numerous specific steps the participating companies could take to cope with floods, drought, high temperatures, high winds and other extreme weather events. During the project, 156 companies produced such plans and this number is expected to increase to 550 five years after the project-end.

#### ***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

LIFE finances difference actions toward the improvement of the urban environment, such as

The Green City Accord is a movement of European mayors committed to making cities cleaner and healthier. It aims to improve the quality of life of all Europeans, and accelerate the implementation of relevant EU environmental laws. By signing the Accord, cities commit to addressing five areas of environmental management: air, water, nature and biodiversity, circular economy and waste, and noise.

The European Green Capital and the green Leaf award to reward cities, which are making efforts to improve the urban environment and move towards healthier and sustainable living areas. The award enables cities to inspire each other and share examples of good practices in situ.

Other environmental and climate policies and legislation are vital for sustainable urban development such as Noise Legislation, the EU's Biodiversity and Sustainable Building Strategies, Drinking Water and Urban Wastewater Treatment, the framework on energy performance of building, the strengthen of the resilience of urban settings through climate related risks.

Urban energy consumption generates about three quarters of global carbon emissions. Therefore, cities play a crucial role in terms of energy and climate policy (the Clean Air Package, Air Quality, etc.). The EU Covenant of Mayors for Climate and Energy is a bottom-up local and regional action for tackling in an integrated manner climate change mitigation and adaptation, and access to secure, sustainable and affordable energy.

Moreover, the circular economy package contributes to this SDG under many aspects, such as by addressing sustainable waste sorting and recycling and by shifting energy consumption onto more sustainable pathways.

LIFE is funding projects with direct impact on this topic. For example, LIFE-SOUNDLESS aimed at a sustainable and healthy future for urban areas through the demonstration of the effectiveness of innovative noise-reducing asphalt mixes using recycled waste materials, to mitigate noise pollution. The project also encouraged public bodies to integrate environmental factors into their calls for tender in street construction. By recycling and re-using waste from different industries, the project also helped with implementing waste management objectives. Concretely, the project achieved a reduction of noise levels by 6dB, as compared to the original situation, and 3dB, as compared to the reference asphalt mixture AC 16 surf.

Other examples include the Polish Integrated Project LIFE-IP MAŁOPOLSKA and LIFE IMPETUS mentioned above in SDG3 and SDG6 respectively. They also include the Maltese Integrated Project LIFE-IP-RBMP-Malta, which is working on the implementation of the 2<sup>nd</sup> River Basin Management Plan in Malta. The project aims at reducing domestic water demand by ~ 5% resulting in estimated impact of 3.5 million m<sup>3</sup> of water savings per year.

### ***SDG 12 Ensure sustainable consumption and production patterns***

In view of reaching **SDG 12**, resource efficiency and circular economy actions aim to decouple economic growth from resource use and environmental degradation. By covering the whole cycle from production and consumption to waste management, they are at the core of the LIFE actions under the priority areas Environment and Resource Efficiency.

Moreover, the 7<sup>th</sup> Environment Action programme had as a key objective to turn the Union into a resource-efficient, green, and competitive low-carbon economy. Another related key objective was to safeguard EU citizens from environment-related pressures and risks to health and wellbeing. These objectives have been taken up in the 8<sup>th</sup> EAP, currently discussed with the Council and the European Parliament.

Several LIFE projects are working on improving Waste Management.

The LIFE M3P project, for example, aimed to promote and develop industrial symbiosis by connecting SMEs to foster alternative uses of their waste streams. The objective was to close the loop by identifying and characterising industrial waste, and turning it into a resource (secondary raw material) for another industry. This was achieved through the development and use of a digital online platform – M3P (Material Match Making Platform) – at the European level. LIFE M3P demonstrated the feasibility of a more efficient use of raw materials, by the systematic application of eco-design techniques to facilitate the recovery and re-use of parts that would previously have become waste. Through the above activities, during its implementation, the project enabled a waste reduction of about 60 000 tons (10% reduction within the context of the project).

Another example is the French Integrated Project LIFE SMART WASTE supporting the implementation of a regional waste management plan. In particular the plan aims to reduce the production of household and similar waste by 10%. The project estimates an improvement of waste management by 320 thousand tonnes per year. In addition, by reinforcing the overall waste management framework, the project enhance businesses opportunities toward circularity.

### ***SDG 13 Take urgent action to combat climate change and its impacts***

Climate change mitigation and climate change adaptation are two priority areas of the LIFE programme. The 2015 Paris Agreement is a historically significant landmark in the global fight against climate change; a success for the world and a confirmation of the EU's path to a low-carbon and climate resilient economy. With the support of LIFE, ambitious 2030 targets have been set up to reduce greenhouse gas emissions, improve energy efficiency and increase the share of renewable energy. Now, the Commission's proposal for the first European Climate Law aims to write into law the goal set out in the European Green Deal – for Europe's economy and society to become climate-neutral by 2050. This means achieving net zero greenhouse gas emissions for EU countries as a whole, mainly by cutting emissions, investing in green technologies and protecting the natural environment.

The EU Emissions Trading System (ETS) is another key tool for cutting greenhouse gas emissions from large-scale facilities in the power and industry sectors, as well as the aviation sector.

The EU Strategy on Adaptation to Climate Change provides a framework and mechanisms to improve the preparedness of the EU for current and future impacts of climate change, thus contributing to a more climate-resilient society.

LIFE projects are aiming at reducing CO<sub>2</sub> emissions and promote renewable energy production.

As a practical example, LIFE METHAmorphosis demonstrated, at industrial-scale, two innovative waste treatment systems, one in an urban waste treatment plant, and the other in an agro-industrial waste treatment plants, to produce upgraded high quality bio-methane. The participating automotive sector tested the biofuel in passenger vehicles and heavy duty vehicles during thousands of kilometres driving. The car manufacturer SEAT aims to use the results for rolling out their bio-methane strategy, which has the potential of saving millions of tons of CO<sub>2</sub> emissions in the transport sector. The project estimates that 5 years after its end the two

prototypes could produce over 176 million kWh renewable biomass energy annually (translated to electricity, this value is close to the annual electricity consumption of 50 000 homes).

On a larger scale, the Belgian Integrated project BE-REEL! aims to create the conditions for the full implementation of the strategic housing renovation plans of Flanders and Wallonia regions in Belgium. The demonstration and pilot actions are estimated to lead to more than 8000 renovated dwellings. The direct GHG emission reductions due to all the project actions will amount to over 18 600 tonnes of CO<sub>2</sub> per year. In the long run, the goal of the strategies is to renovate all existing housing, achieving a reduction of 75-80% of CO<sub>2</sub> emissions and energy use by 2050 and to influence the low-emission strategies of all cities and communities in Flanders and Wallonia, as well as the Brussels Capital Region.

Nature is a vital ally in the fight against climate change. Restoring wetlands, peatlands and coastal ecosystems, or sustainably managing marine areas, forests, grasslands and agricultural soils, are essential for emission reduction and climate adaptation. Since its creation in 1992, the LIFE Programme financed hundreds of projects restoring natural habitats. For example LIFE has played a very important role for restoration peatlands in Europe. So far 363 projects to conserve and restore peatlands have been co-financed by LIFE, targeting the 13 habitat types of raised bogs, mires, fens and bog woodland. 28% of these projects focus primarily on peatlands, while others include peatland restoration and associated habitats as part of a larger landscape approach. Commonly applied restoration actions focus on rewetting by blocking outflow in drainage ditches, installing bunds, removing dikes and fragmenting infrastructure. Other actions include halting the pumping in polders, top-spoil removal and the elimination of woodland to reduce trees competing with peat forming vegetation. More information is available here; <https://op.europa.eu/en/publication-detail/-/publication/a3c16594-b42d-11ea-bb7a-01aa75ed71a1/language-en>

Another example of LIFE project demonstrating an approach for reduction of GHG in dairy production is LIFE Carbon Dairy - The main objective of the LIFE Carbon Dairy project was to promote a milk production approach that is capable of reducing GHG emissions by 20% over 10 years. To achieve this goal, the project aimed to: provide livestock farmers with tools to understand the issue so they can modify their technical choices to reduce GHG emissions and preserve carbon stored in soils; promote innovative livestock farming systems and associated practices; launch a national campaign to demonstrate to livestock farmers and agricultural advisers the feasibility of a 'climate roadmap' for milk production; and develop this 'roadmap' for milk production with carbon action plans adapted to each production system and a relevant partnership strategy implemented at the national level. See: [https://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n\\_proj\\_id=4699](https://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=search.dspPage&n_proj_id=4699)

#### ***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

The EU's biodiversity strategy for 2030 is a comprehensive, ambitious and long-term plan to protect nature and reverse the degradation of ecosystems. The strategy contains specific commitments and actions to be delivered by 2030. One of this is the establishment a larger EU-wide network of protected areas on land and at sea.

At the same time, the Commission, with LIFE support, is working to a proposal for legally binding EU nature restoration targets. Restoring EU's ecosystems will help to increase biodiversity, mitigate and adapt to climate change, and prevent and reduce the impacts of natural disasters.

Moreover, to tackle marine litter and pollution, LIFE supports a wide set of instruments, including regulation on waste management and prevention, port reception facilities for ship generated waste and cargo residues.

LIFE is funding large Integrated Projects within the marine environment. One such example is the Spanish Integrated Project LIFE-IP INTEMARES working on an integrated, innovative and participatory management for Natura 2000 network in the Marine Environment. Its objective is to implement the Priority Action Framework for Natura 2000 in the Spanish marine Natura 2000 network and ensure its effective management. Through this approach, the project expects to ensure the maintenance or restoration of the favourable conservation status of priority habitats and species. To achieve this the project will improve critical knowledge for the management of the Natura 2000 network activities; improve monitoring of habitat types and species listed in the annexes of the Nature Directives for a better assessment of their conservation status; and provide information, training and adequate awareness to all stakeholders for achieving conservation targets in Natura 2000 sites. Furthermore, the project will promote sustainable tourism and employment related to the Natura 2000 network. It is worth noting that the project estimates that it will facilitate the coordinated use of €22 million complementary funding from EMFF, ESF and national funds.

Another example is the French Integrated Project LIFE IP - MarHa that aims to achieve or maintain a favourable conservation status for French marine habitats listed in Annex I of the Habitats Directive. To achieve this, the integrated project will ensure effective and transparent management of the sites; coordinated implementation of the Habitats Directive, Marine Strategy Framework Directive and Water Framework Directive, while incorporating the connection between land and sea; improved capacities and tools for implementing Natura 2000 policy; the integration of marine users and activities; and assessment of the conservation status of marine habitats on a biogeographical scale and monitoring devices for adaptive management. The project should also strive to achieve greater recognition by society of the marine Natura 2000 initiative as well as reinforcement of international cooperation.

#### ***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

The protection, restoration, conservation and sustainable use of terrestrial, inland-water and mountain ecosystems represent a large share of the projects financed by the LIFE programme in particular in connection to the Natura 2000 network and the implementation of the Birds and Habitats Directives, as well as the EU Biodiversity Strategy and the EU Forest Strategy.

A study carried out in 2020 entitled “[Bringing nature back through LIFE](#)” presented the results and impacts of LIFE projects since the creation of the programme (1992) for the improvement of conservation status species and habitat groups, as well as the creation and management of the EU Natura 2000 network and other biodiversity aspects. Forest habitats are represented in 40% of the sampled projects, followed closely by grasslands with 35%. One quarter of these projects targets freshwater habitats (27%) and bogs, mires and fens (23%). Coastal and halophytic habitats are included in one out of seven projects (16%). Heathlands, sclerophyllous scrub and dunes are less commonly covered (12-13%). Rocky habitats are included in only 9% of all sampled projects.

The significant support provided to forest ecosystems reflects also the relative importance of this habitat group in the Natura 2000 network. In fact, over a third of the habitat types covered by the Habitats Directive are forests, making up 491,900 km<sup>2</sup> of area. Some 27% of the total forest area in the EU-28 is part of the Natura 2000 network. An example of project focusing on forest ecosystems is LIFEFORHAB that aims to improve the conservation status, and to increase the habitat coverage, of seven priority forest habitats listed in Annex I of the Habitats Directive, within six target Bulgarian Natura 2000 network sites, using technology that has not been used before in Bulgaria. To improve the forest conditions and their conservation status the project works on the gene pool of priority forest species and habitats. It identifies sources of propagating material from forest Natura 2000 areas throughout Bulgaria and establishes a high capacity operational production line for containerised seedlings. By the end of the project in 2021 more than 7 tonnes of seeds will be collected and processed from 50 forest species representative of 14 priority habitats, more than 860,000 containerised seedlings from priority forest species produced and more than 104 ha of priority forest habitats restored in the targeted Natura 2000 sites.

Another project is LIFE ALNUS that aims at a better understanding of conservation issues at the regional level, as well as improvement in management planning and habitat conservation in 24 SACs and 950 linear km of river areas – 485 km within Natura 2000 sites and 465 km along interconnecting water courses in three river basins in Catalonia. A visible improvement of the conservation status should be achieved in the mid-term through the improvement of the legal and physical protection of alluvial forests on more than 2,200 ha, through improvements at existing sites (some 130 ha), a proposed new Natura 2000 site (980 ha), and additional protection by supplementary legal action (about 1,100 ha). Far reaching direct conservation actions on the target alluvial forest habitat are implemented on 480 ha, including forestry measures and regulation of river use (280 ha), the creation of more than 300 small core habitat areas from which plants can expand to recover restored habitat areas, and the development of four demonstration sites (total 162 ha) to test possible solutions to the most complex problems threatening this habitat type.

The LIFE Programme also holds a rich portfolio of freshwater projects. The projects frequently target measures to restore hydromorphological functions, improve in-stream habitats, remove barriers, establish riparian zones, control invasive species and address pollution from land-based sources. In this area there are also a number of LIFE Integrated Projects.

- LIFE-IP Waters of Life - Protect and restore high ecological status waterbodies in Ireland
- LIFE IP CleanEST - Development of an integrated water management and its modern tools in Estonia - strategic choices for future
- GRIP on LIFE-IP - Using functional water & wetland ecosystems and their services as a model for improving green infrastructure and implementing PAF in Sweden
- FRESHABIT - Towards integrated management of freshwater Nature 2000 sites and habitats

For Wildlife species, on-going projects are expected to lead to an increase in the population of the species and/or to lead to increase in their site area or length. Originally, the LIFE Programme only funded projects targeting species that are listed in the annexes of the Habitats and Birds Directives. However, the 2014-2020 LIFE Programme went further and has opened its scope to species and habitats listed as threatened in the European Red Lists. LIFE BEETLES (LIFE18 NAT/PT/000864) is an example of project that targets three species endemic to the Azores classed as critically endangered on the IUCN Red list.

As an example, LIFE for Safe Flight aims to reinforce the red-breasted goose (*Branta ruficollis*) population globally by mitigating threats, including legal acts against hunting/poaching and removing power lines; raising awareness about the species and the threats it faces; as well as establishing monitoring schemes to protect it. Based on the above, the project is expected to increase the population of the red-breasted goose by about 15 000 individuals (27% increase against the baseline situation at the project's start) and increase its area of habitat by about 7 000 ha (1% increase).

LIFE also supports activities aimed at preventing and reducing wildlife crime across the EU. As referred in the publication ‘LIFE & wildlife crime’ until 2017, the Programme has invested more than €70 million in 43 LIFE projects that have targeted illegal activities connected to wildlife. Key achievements of implementing such LIFE activities include:

- monitoring and data collection with new satellite tagging technologies;
- database of incidents (potential to become pan-European);
- anti-poison detection and prevention patrols in almost all EU Mediterranean countries;
- anti-poison networks involving hunters and shepherds etc.;

- working with technology and people, often cross-border;
- getting the media involved – making people aware that wildlife crime is a crime;
- awareness-raising campaigns across MS;
- specialised awareness raising and training for statutory authorities, police, customs, public prosecutors, environmental lawyers and judges;
- strong and clear penalties, more routinely enforced.

An example is the project LIFE FOR DANUBE STURGEONS - Sustainable protection of lower Danube sturgeons by preventing and counteracting poaching and illegal wildlife trade, that targets sturgeons, the most threatened fish species worldwide. Of the five surviving sturgeon species in the Danube basin, the IUCN Red List categorises four as critically endangered and one as vulnerable. Population trends for all five are decreasing. Within the EU, the lower Danube and north-western Black Sea area is the only region still holding viable, naturally-reproducing sturgeon populations. The overall objective of the project is the survival and recovery of sturgeons in the entire lower Danube region and their long-term protection against illegal fishing and trade.

Another area covered by the LIFE Programme is Invasive Alien Species (IAS). Between 2014 and 2017 75 projects either exclusively targeted invasive alien species, or included actions to tackle IAS that were relevant to achieving the main conservation objectives of the project. In accordance with the EU IAS Regulation, LIFE projects have tackled eradication and management of IAS but have been increasingly including actions for the development of early warning and rapid response systems (EWRR), the identification of IAS entry or introduction pathways, and the active participation of stakeholders and citizen scientists in the identification and control of IAS.

An example of project dealing with IAS, LIFE ASAP implemented at the national scale in Italy, focused on prevention and early detection. It targeted stakeholders from the public sector, the commercial sector, NGOs, science, and private citizens. It offered an extensive training, capacity building, information and awareness raising campaign, attracting over 160 public bodies to the project. More than 500 technical personnel of public bodies, multipliers of the project, were trained. To better manage the pathways of intentional introduction and promote native species as alternatives to IAS, the project developed Codes of conduct for stakeholders (e.g. trade and use of flora and fauna, fishermen, hunters, pet shops, etc.). The formal acceptance of the Codes of Conduct by 36 botanic gardens and the Italian Botanic Society is an important result. Also, a brochure on gardening alternative species was produced. LIFE ASAP supported the adaptation of Italian legislation, including a Black list of IAS of Italian concern, to implement the EU IAS Regulation. In order to facilitate early detection and rapid response, a citizen science campaign was organised and a Smart-App was developed, so that the citizen scientists and trained public officials use it to report on the presence of IAS in Italy. The project is a reference for all issues related to the invasive species in Italy.

Finally, LIFE also contributes to the integration of ecosystem and biodiversity values into national and local planning and accounts. For instance, as part of the Integrated Project LIFE-IP 4 NATURA that will implement concrete conservation measures and apply legal instruments for habitats and species of community interest that are facing significant pressures and are threatened both on a national and multiregional scale in Greece, will implement a country-wide ecosystem services assessment and will develop natural capital accounting methodology. This will be applied in four case-study areas in each of the four regions participating in the project.

## 6.5.2. Key achievements and performance

### *SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture*

The LIFE programme supports this **SDG 2** because it encourages an environmentally friendly agriculture, in view of the protection, preservation and improvement in the quality of water, air and soil and the protection of bio-diversity.

To improve resource efficiency in food production and reduce impact on water resources, LIFE is also promoting sustainable nutrients management in agriculture.

Moreover, the National Emission Ceilings Directive for air pollutants, the Member States' targets to reduce Greenhouse Gas emissions as well as the proposal to integrate the land use sector into the EU 2030 Climate and Energy Framework are aimed at incentivising Member States to take additional sustainable action in their agriculture sectors.

As an example, project LIFE AGRI ADAPT aims to increase the resilience of EU agriculture to climate change by demonstrating sustainable best-practice adaptation measures with an ecosystem-based approach at farm level. The overall objective of the AgriAdapt project is to demonstrate that three of the most important farming systems in the EU (livestock, arable and permanent crops) will become more climate-resilient through the implementation of feasible and sustainable adaptation measures which also have positive crosscutting environmental benefits. To this end, different measures will be tested in 120 pilot farms across the four main EU Climate Risk Regions and the conclusions obtained will be used to elaborate General proposals for key farming systems. The project will also promote sustainable adaptation measures among farmers, farmers associations, technical consultants, food standard organisations and agricultural assurance companies.

Furthermore, LIFE is acting in reducing food waste. For example, LIFE project FLAW4LIFE aims at raising the consumers' awareness on the food waste issue and providing support to the farmers at the same time. In particular, the project is targeting the acceptance of 'ugly fruit' within the community. Through its approach, the project expects an increase of involved farmer's

productivity, with 157 farmers involved per year. As a result, total of 165 tons of waste were avoided during 2015, corresponding to 125.031 KgCO<sub>2</sub>eq.

### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

On **SDG 3**, taking into account that environmental stressors having significant impacts on health, LIFE complements Member States' action through legislation and other initiatives on environment related health problems, which are linked to air quality, industrial emissions, chemicals, waste and water.

Examples include the 7th Environment Action Programme, the EU Biodiversity Strategy to 2020, or the rules on the sustainable use of pesticides which underline the link with health policy aspects.

The EU Chemicals Policy also covers regulation on persistent organic pollutants; trade in hazardous chemicals; fluorinated gases; and hazardous waste. The so-called 'REACH' framework aims to improve the protection of human health and the environment from the risks that can be posed by chemicals, while enhancing the competitiveness of the EU chemicals industry.

LIFE is funding a number of projects working on improving air quality and specific air pollutants and to reduce the risks from chemicals.

For example, the Polish Integrated Project LIFE-IP MAŁOPOLSKA aims at the full implementation of the Malopolska Air Quality Plan (MAQP). The project estimates that through its actions it will reduce PM<sub>10</sub> and PM<sub>2.5</sub> emissions by about 25 000 kg/day and 21 000 kg/day respectively. It is worth noting that the project has a transnational approach assisting cooperation within the hotspot (southern Poland, Slovakia and the Czech Republic) by joint activities as well as exchange of experiences in the area of air quality improvement. In addition to the IP budget itself, the project will facilitate the coordinated use of €798 million complementary funding from the European Agricultural Fund for Rural Development (EAFRD), the ERDF, National and Regional Fund for Environmental Protection and Water Management, and national and private fund, as applicable.

The project LIFE Fit for REACH is working on the reduction of emissions by substitution of hazardous chemicals and resource efficiency. The project offers Baltic SMEs a full 'chemicals management package', including proposals on how to implement substitution as a core action to reduce environmental impacts and support in communicating this good environmental performance to the society. Amongst other activities, LIFE Fit for REACH will test and implement a set of complex measures in six companies, which shall substitute some of the identified hazardous substances or increase the efficiency of the resource use and lead to reduction of emissions of these substances. It will also implement 'low effort – low costs' measures to substitute hazardous substances or to introduce good chemicals management practices in additional 50-80 SMEs. The project is also helping Latvia's largest producer of household chemicals to get 'greener'.

### ***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

The EU water policy is a cornerstone of the LIFE Programme and provides for a framework to address water protection and achieve good ecological status for inland surface waters, transitional waters, coastal waters and groundwater. It comprises regulation including on drinking water, bathing water and urban wastewater, prevention of pollution caused by nitrates, industrial emissions, pesticides and persistent organic pollutants.

The transition to a circular economy should also lead to greater resource efficiency for example by improving the conditions for water re-use in several sectors.

LIFE projects are working on sustainable management of water bodies. In particular, LIFE projects are reducing the water bodies affected by water pressures and risks. This is done through a variety of actions, like reducing pollution of aquatic bodies from contaminated water/fluids, removal of barriers within rivers, implementation of River Basin Management Plans, etc.

As an example, LIFE ECORKWASTE will demonstrate the possible uses of a cork waste valorisation system. The cork will be used as absorbent material in wetlands, for the elimination of organic compounds in winery wastewater treatment systems or as substrate for energy valorisation in a gasification process. Through this improved wastewater treatment, the project aims to alleviate the pressure on 930 km<sup>2</sup> of wetlands in the Llobregat Basin (a decrease of approximately 3 % within the context of the project). The reduction in pressure includes removal of 90 % of both phenol and hydrogen-sulphide from the winery wastewater within the project duration (estimated at 50 mg/year and 82 mg/year, respectively).

The German Integrated project Living River Lahn aims at achieving a good ecological status/potential of surface waters in the catchment area of the Lahn river in Germany. Among other activities, this project will identify sources of pollution and improve the water quality of the Lahn and its tributaries; prepare and implement measures for linear ecological connectivity for barrages and weirs, investigate the options for the creation of retention areas along the river and improved ecosystem services; re-establish natural water regulation wherever possible; and elaborate integrated pilot strategies and implementation plans on how to organise and finance inland waterways in order to achieve 'good ecological status/potential'. The solutions identified by the project should be transferred to several other rivers in Germany, facing similar issues. In addition to the project budget itself, the project will facilitate the coordinated use of around €27 million of complementary funding from the European Agricultural Fund for Rural Development (EAFRD) and national funds.

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

Through the circular economy package and the plastic strategy, LIFE addresses economic and environmental concerns by maximizing efficiency in the use of resources, and thus contributes to **SDG 8**.

Moreover, the 7<sup>th</sup> Environment Action Programme confirmed that EU prosperity and healthy environment stem from an innovative, circular economy where nothing is wasted and where natural resources are managed in a sustainable way, and biodiversity is protected, valued and restored.

An example of how LIFE contributes to tackling marine litter pollution while promoting additional income for fishermen/women is the project LIFE LEMA. This project aimed to provide local administrations with a methodological guide and prediction tools for the efficient management of floating marine litter in the southeast waters of the Bay of Biscay. The project established statistical models to predict the movement and accumulation points of floating marine litter; developed a computer tool to integrate data on floating marine litter collection, detection and prediction methods; designed a management plan to prevent and reduce floating marine litter; and used innovative technologies to detect floating marine litter. Through its work, the project demonstrated marine litter collection actions that could provide fishermen/women with an additional source of income while reducing marine pollution. Quantitatively, the project achieved the collection of more than 40 tons of floating marine litter and another 40 tons of floating wood.

In addition, LIFE PSLOOP is aiming at enabling the recycling of construction waste containing polystyrene. The project's process for producing recycled polystyrene material is much more energy and resource efficient than the production of polystyrene from virgin raw materials. The project will construct a recycling plant to demonstrate this process on an industrial scale, aiming at 3000 tons/year of recycled polystyrene. In addition, the project aims to create a relevant value chain with recycling and collection companies by demonstrating a standard collection and pre-treatment system

***SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation***

The 2030 Climate and Energy Policy Framework strives for a competitive low-carbon and climate-resilient economy and the EU Strategy on Adaptation to Climate Change identifies resilient infrastructure as a priority action area under the strategic objective of mainstreaming adaptation measures.

The circular economy fosters eco-innovation and sustainability objectives.

LIFE is working on improving the climate resilience of infrastructures. In particular, 21 LIFE projects are working on increasing the number of infrastructures targeted for climate resilience. Such infrastructures may include public, private and industrial buildings or services situated in urban or rural environments. These could range from large power generation plants, to water services, households or agricultural farms.

As an example, the LIFE DERRIS project successfully tested an innovative model of public-private partnership between insurers, public administrations and SMEs to increase urban resilience to climate change, including through risk reduction tools for SMEs. Such tools included a Climate Risk Assessment and Management Tool to help enterprises to identify adaptation measures that they should implement to enhance resilience, as well as company climate adaptation action plans that outlined numerous specific steps the participating companies could take to cope with floods, drought, high temperatures, high winds and other extreme weather events. During the project, 156 companies produced such plans and this number is expected to increase to 550 five years after the project-end.

***SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable***

The 7<sup>th</sup> Environment Action Programme has as a horizontal priority objective to make the Union's cities more sustainable.

Other environmental and climate policies and legislation are vital for sustainable urban development such as Noise Legislation, the EU's Biodiversity and Green Infrastructure Strategies, Drinking Water and Urban Wastewater Treatment, the framework on energy performance of building, the strengthen of the resilience of urban settings through climate related risks.

Urban energy consumption generates about three quarters of global carbon emissions. Therefore, cities play a crucial role in terms of energy and climate policy (the Clean Air Package, Air Quality, etc.). The EU Covenant of Mayors for Climate and Energy is a bottom-up local and regional action for tackling in an integrated manner climate change mitigation and adaptation, and access to secure, sustainable and affordable energy.

Moreover, the circular economy package contributes to this SDG under many aspects, such as by addressing sustainable waste sorting and recycling and by shifting energy consumption onto more sustainable pathways.

LIFE is funding projects with direct impact on this topic. For example, LIFE-SOUNDLESS is aiming at a sustainable and healthy future for urban areas through the demonstration of the effectiveness of innovative noise-reducing asphalt mixes using recycled waste materials, to mitigate noise pollution. The project will also encourage public bodies to integrate environmental factors into their calls for tender in street construction. By recycling and re-using waste from different industries, the project will also help implement waste management objectives. Concretely, the project is aiming at a reduction of at least 6 dB in noise level compared with the current situation in the demonstration road sections.

Another example is LIFE IMPETUS which is working on improving current barriers for controlling and removing pharmaceutical compounds (PhC) in urban wastewater treatment plants with conventional activated sludge treatment. The project examined PhC concentration, control methods in urban waste-water treatment plants, bacterial antibiotic resistance and PhC bioaccumulation in

clams situated near the exit of the plants. In addition, the project tested at semi-industrial scale, a novel activated carbons material made of pine nuts for removal of PhC in waste-water plant processes. The project collected two years of data of PhC in 2 urban CAS-urban waste-water treatment plants (~ 9000 results) and isolated 7000 antibiotic-resistant colonies in raw and treated waste-water.

### ***SDG 12 Ensure sustainable consumption and production patterns***

In view of reaching **SDG 12**, resource efficiency and circular economy actions aim to decouple economic growth from resource use and environmental degradation. By covering the whole cycle from production and consumption to waste management, they are at the core of the LIFE actions under the priority areas Environment and Resource Efficiency.

Moreover, the 7th Environment Action programme has as a key objective to turn the Union into a resource-efficient, green, and competitive low-carbon economy. Another related key objective is to safeguard EU citizens from environment-related pressures and risks to health and wellbeing.

Several LIFE projects are working on improving Waste Management.

The LIFE M3P project, for example, aims to promote and develop industrial symbiosis by connecting SMEs to foster alternative uses of their waste streams. It aims to close the loop by identifying and characterising industrial waste, and turning it into a resource (secondary raw material) for another industry. This will be achieved through the use of a digital online platform – M3P (Material Match Making Platform) – at the European level. LIFE M3P will also demonstrate the feasibility of a more efficient use of raw materials, by the systematic application of eco-design techniques to facilitate the recovery and re-use of parts that would previously have become waste. Through the above activities the project aims at a waste reduction of about 60 000 tons (10 % reduction within the context of the project) during its implementation.

### ***SDG 13 Take urgent action to combat climate change and its impacts***

Climate change mitigation and climate change adaptation are two priority areas of the LIFE programme. The 2015 Paris Agreement is a historically significant landmark in the global fight against climate change; a success for the world and a confirmation of the EU's path to a low-carbon and climate resilient economy. With the support of LIFE, ambitious 2030 targets have been set up to reduce greenhouse gas emissions, improve energy efficiency and increase the share of renewable energy. Now, the Von Der Leyen Commission is proposing even more ambitious targets to be enshrined in the Climate Law Renewable energies and energy efficiency play an increasingly important role in tackling climate change.

The EU Emissions Trading System (ETS) is a key tool for cutting greenhouse gas emissions from large-scale facilities in the power and industry sectors, as well as the aviation sector.

The EU Strategy on Adaptation to Climate Change provides a framework and mechanisms to improve the preparedness of the EU for current and future impacts of climate change, thus contributing to a more climate-resilient society.

LIFE projects are aiming at reducing CO2 emissions and promote renewable energy production.

As a practical example, LIFE METHAmorphosis demonstrated, at industrial-scale, two innovative waste treatment systems, one in an urban waste treatment plant, and the other in an agro-industrial waste treatment plants, to produce upgraded high quality bio-methane. The participating automotive sector tested the biofuel in passenger vehicles and heavy duty vehicles during thousands of kilometres driving. The car manufacturer SEAT aims to use the results for rolling out their bio-methane strategy which has the potential of saving millions of tons of CO2 emissions in the transport sector. The project estimates that 5 years after its end the two prototypes could produce over 176 million kWh renewable biomass energy annually (translated to electricity, this value is close to the annual electricity consumption of 50 000 homes).

On a larger scale, the Belgian Integrated project BE-REEL! aims to create the conditions for the full implementation of the strategic housing renovation plans of Flanders and Wallonia regions in Belgium. The demonstration and pilot actions are estimated to lead to more than 8000 renovated dwellings. The direct GHG emission reductions due to all the project actions will amount to over 18 600 tonnes of CO2 per year. In the long run, the goal of the strategies is to renovate all existing housing, achieving a reduction of 75-80 % of CO2 emissions and energy use by 2050 and to influence the low-emission strategies of all cities and communities in Flanders and Wallonia, as well as the Brussels Capital Region.

### ***SDG 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development***

The 7th Environment Action Programme sets the objective to protect the Union's natural capital to, inter alia, reduce the impact of pressures on marine waters, in order to achieve or maintain good environmental status.

The Birds and Habitats legislation complement the Marine Strategy Framework by protecting 5 % of the EU sea area through a network of Marine Protected Areas part of 'Natura 2000'.

Moreover, to tackle marine litter and pollution, LIFE supports a wide set of instruments, including regulation on waste management and prevention, port reception facilities for ship generated waste and cargo residues.

LIFE is funding large Integrated Projects within the marine environment. One such example is the Spanish Integrated Project LIFE-IP INTEMARES working on an integrated, innovative and participatory management for Natura 2000 network in the Marine Environment. Its objective is to implement the Priority Action Framework for Natura 2000 in the Spanish marine Natura 2000

network and ensure its effective management. Through this approach, the project expects to ensure the maintenance or restoration of the favourable conservation status of priority habitats and species. To achieve this the project will improve critical knowledge for the management of the Natura 2000 network activities; improve monitoring of habitat types and species listed in the annexes of the Nature Directives for a better assessment of their conservation status; and provide information, training and adequate awareness to all stakeholders for achieving conservation targets in Natura 2000 sites. Furthermore, the project will promote sustainable tourism and employment related to the Natura 2000 network. It is worth noting that the project estimates that it will facilitate the coordinated use of €22 million complementary funding from EMFF, ESF and national funds.

Another example is the French Integrated Project LIFE IP – MarHa that aims to achieve or maintain a favourable conservation status for French marine habitats listed in Annex I of the Habitats Directive. To achieve this, the integrated project will ensure effective and transparent management of the sites; coordinated implementation of the Habitats Directive, Marine Strategy Framework Directive and Water Framework Directive, while incorporating the connection between land and sea; improved capacities and tools for implementing Natura 2000 policy; the integration of marine users and activities; and assessment of the conservation status of marine habitats on a biogeographical scale and monitoring devices for adaptive management. The project should also strive to achieve greater recognition by society of the marine Natura 2000 initiative as well as reinforcement of international cooperation.

***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

The environmental *acquis* provides a high level of protection in areas such as water quality and nature conservation, though the development and implementation of the Birds and Habitats Directives and of the Natura 2000 network.

The EU Forest Strategy has as one of its key principles global forest responsibility, promoting sustainable production and consumption of forest products.

The circular economy offers an opportunity for modernising the economy, making it more green and competitive. It also contributes to lower carbon dioxide emission levels and energy savings as well as decreased air, soil and water pollution. It focuses on resource efficiency and minimising waste and has a strong potential in terms of new jobs and growth and for stimulating sustainable consumption and production patterns.

LIFE is funding a significant number of project aiming at improving ecosystem health and wildlife species.

All 12 types of ecosystem are being addressed by on-going projects.

For Wildlife species, on-going projects are expected to lead to an increase in the population of the species and/or to lead to increase in their site area or length.

As an example, LIFE for Safe Flight aims to reinforce the red-breasted goose (*Branta ruficollis*) population globally by mitigating threats, including legal acts against hunting/poaching and removing power lines; raising awareness about the species and the threats it faces; as well as establishing monitoring schemes to protect it. Based on the above, the project is expected to increase the population of the red-breasted goose by about 15 000 individuals (27 % increase against the baseline situation at the project's start) and increase its area of habitat by about 7 000 ha (1 % increase).

**HEADING 3B: Other programmes of Natural Resources and Environment****Just Transition Mechanism (JTM)****Lead DG:REGIO**

1. Overview .....	933
1.1. Challenges .....	933
1.2. Mission (general objectives) .....	934
1.3. Specific objectives .....	935
1.4. Public intervention context .....	935
1.5. Actions .....	935
1.6. Delivery mode .....	937
1.7. Graphic overview of the programme structure .....	937
1.8. Legal basis and financial programming .....	939
1.9. Link with the 2014-2020 MFF .....	939
1.10. Relevant websites providing more information .....	939
2. Where are we in the implementation ? .....	939
2.1. Programme 2021-2027 .....	939
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	939
3. How is the programme performing ? .....	940
3.1. Performance .....	940
3.2. Key achievements .....	940
3.3. Evaluations, studies and reports .....	940
4. Programme 2021-2027 - Key monitoring indicators .....	940
Specific Objective 1 :Enabling regions and people to address the social, employment, economic and environmental impacts of the transition towards the Union's 2030 target for climate and a climate-neutral economy by 2050, based on the Paris Agreement .....	940
Specific Objective 2 :Pillar II .....	953
Specific Objective 3 :Increasing public sector investments, which address the development needs of regions identified in the territorial just transition plans, by facilitating the financing of projects that do not generate a sufficient stream of own revenues to cover investment costs, in order to prevent the replacement of potential support and investment from alternative resources .....	954
5. Programme 2014-2020 - Key monitoring indicators .....	958
6. The programme contribution to horizontal policies .....	958
6.1. Contribution to climate mainstreaming .....	958
6.2. Contribution to biodiversity mainstreaming .....	958
6.3. Contribution to clean air financing .....	958
6.4. Contribution to gender equality .....	959
6.5. Contribution to the sustainable development goals .....	959

**1. Overview****1.1. Challenges**

The Commission proposed in January 2020 a Just Transition Mechanism (JTM) as part of the European Green Deal Investment Plan, to make sure that no one and no region is left behind in the transition to a climate-neutral economy. The primary goal of the mechanism is to provide support to the most negatively affected regions and to help them to alleviate the socio-economic costs of the transition.

The transition towards climate-neutrality will provide opportunities, but it will also challenge regions and sectors differently. Two main challenges to be faced are expanding the **transition from fossil energy to other sectors** and **including the private sector**

**and civil society in the transition.** Some regions will face more challenges than others and not all will have the same capacity to deal with the costs of adjusting to the climate transition.

The first pillar of JTM is the Just Transition Fund (JTF). It aims at **alleviating the economic, environmental and social cost** of the transition towards climate neutrality, for the benefit of the territories that are most negatively affected by the transition, in line with the objective of achieving EU climate-neutrality by 2050 in an effective and fair manner. The Fund's support is focused on economic reconversion measures, reskilling of affected workers and job seeking assistance.

The second pillar of the Just Transition Mechanism is the dedicated just transition scheme under InvestEU. A portion of financing under InvestEU will be focused on just transition objectives to support economically viable investments by private and public sector entities. This pillar is not part of this programme statement (it is managed by another Directorate-General and subject to another statement).

The third pillar of the Just Transition Mechanism is the public sector loan facility. It will support projects that do not generate a sufficient stream of revenues to cover investment costs. Loans (provided by finance partners such as the EIB) will be combined with grants to provide public sector entities with resources to meet the development needs in the transition towards a climate neutral economy. Supported investments will cover a wide range from energy and transport infrastructure, district-heating networks, energy efficiency, as well as up- and re-skilling, training and social infrastructure, including social housing. Currently the regulation for the third pillar is still under negotiation.

While the Just Transition Fund will provide funding primarily in the form of grants, the two other financing streams (InvestEU scheme and public sector loan facility) planned as part of the Just Transition Mechanism will leverage public and private investment by backing investment projects of financial partners such as the EIB.

## **1.2. Mission (general objectives)**

The objective to support the people, economy and environment of territories facing economic and social transformation in their transition to a climate-neutral economy, cannot be sufficiently achieved by the Member States alone. Disparities between the levels of development of the various territories are significant as well as the backwardness of the least favoured territories; financial resources of the Member States and territories are limited. There is also a need for a coherent implementation framework covering several Union funds under shared management as well as technical assistance to support this very complex process. Those objectives can be better achieved at Union level.

### **Pillar I of the Just Transition Mechanism – Just transition Fund**

The JTF is established within the framework of cohesion policy, which is the main EU policy instrument to reduce regional disparities and to address structural change in Europe's regions –sharing cohesion policy's objectives in the specific context of the transition towards climate neutrality. It comes in addition to the substantial contribution of the EU's budget through all instruments directly relevant to the transition, notably the European Regional Development Fund ('ERDF'), the Cohesion Fund and the European Social Fund Plus ('ESF+'). The resources from the JTF should complement the other resources available under cohesion policy. It will concentrate resources on territories most negatively affected, with a specific governance mechanism, dedicated funding, limited scope of intervention and specific programming framework (Territorial Just Transition Plans, TJTP).

The primary focus of the Just Transition Fund is on the economic diversification of the territories most affected by the climate transition, reconversion of the territories concerned and the reskilling and active inclusion of their workers and jobseekers. Investments and actions supported from the JTF may include a wide variety of interventions from business support to reskilling of workers through interventions to enhance the circular economy or even rehabilitation of affected areas. The mix of actions will depend on the circumstances of the territory affected by the climate transition challenge, and on the adopted Territorial Just Transition Plans annex to the relevant Programmes.

In addition, a Just Transition Platform has been launched that serves as a communication point for sharing knowledge and good practice on the transition to a climate-neutral economy. The platform also provides technical and advisory support to the territories in the implementation of the Territorial Just Transition Plans and will develop project and expert data bases for the JTM.

### **Pillar III of the Just Transition Mechanism – Public Sector Loan Facility**

The public sector loan facility constitutes the third pillar of the Just Transition Mechanism. It aims at supporting the investments of public sector entities required to meet the development needs resulting from the transition challenges described in the Territorial Just Transition Plans.

In accordance with Article [3(1)] of the Public sector loan facility regulation, the general objective of the Facility is to address serious socio-economic challenges arising from the transition process towards a carbon neutral economy. The Facility shall benefit the Union territories identified in the territorial plans for equitable transition drawn up by the Member States in accordance with

Article 7 of the JTF Regulation. The exact wording of the general objective is discussed as part of the negotiations on the Regulation.

### 1.3. Specific objectives

#### Pillar I of the Just Transition Mechanism – Just transition Fund

In accordance with the second subparagraph of Article [4(1)] of CPR Regulation, the JTF shall contribute to the single specific objective of ‘enabling regions and people to address the social, employment, economic and environmental impacts of the transition towards the Union’s 2030 target for climate and a climate-neutral economy by 2050, based on the Paris Agreement’.

The aim of the JTF is to mitigate the adverse effects of the climate transition by supporting the most affected territories and workers concerned and to promote a balanced socio-economic transition. In line with the JTF specific objective, actions supported by the JTF should directly contribute to alleviate the impact of the transition by financing the diversification and modernisation of the local economy and by mitigating the negative repercussions on employment. The JTF shall support the investment for jobs and growth goal in all Member States.

#### Pillar III of the Just Transition Mechanism – Public Sector Loan Facility

In accordance with the Article [3(2)] of the Public sector loan facility Regulation the public sector loan facility will have the specific objective of increasing public sector investments, which address the development needs of regions identified in the Territorial Just Transition Plans, by facilitating the financing of projects that do not generate a sufficient stream of own revenues. The exact wording of the specific objective is discussed as part of the negotiations of the Regulation.

### 1.4. Public intervention context

To support Member States in the transition towards climate neutrality, the Commission proposed the Just Transition Mechanism (JTM) in January 2020. At the time being, the JTF Regulation has been approved by the co-legislators and the publication is to be expected in the first half of 2021. Where Member States want to make use of the possibility to receive support under pillars 2 or 3 of the Just Transition Mechanism, the Territorial Just Transition Plans shall set out the sectors and areas envisaged to be supported under those pillars. This means that access to the three pillars is unlocked by the Territorial Just Transition Plans.

JTF resources could be reinforced on a voluntary basis with complementary funding from the ERDF and the ESF+. The respective amounts transferred from the ERDF and the ESF+ should be consistent with the type of operations set out in the Territorial Just Transition Plans.

### 1.5. Actions

The JTF programming process, including the identification of the territories for intervention and corresponding actions, is subject to a dialogue between the Commission and each Member State. It is steered by the European Semester process. The territories identified need to be those that are most negatively affected based on the economic and social impacts resulting from the transition, in particular with regard to expected job losses and the transformation of the production processes of industrial facilities with the highest greenhouse gas intensity.

Taking into account the Commission’s analysis in that exercise, Member States are preparing one or more Territorial Just Transition Plans, providing an outline of the transition process until 2030, consistent with the National Energy and Climate Plans and the transition to a climate-neutral economy and identifying subsequently the most impacted territories that should be supported. For each of these territories, the Territorial Just Transition Plans will set out the social, economic and environmental challenges and give details on needs for economic diversification, reskilling and environmental rehabilitation as appropriate.

There are some general aspects that are relevant to a well-designed strategy, as outlined in the Territorial Just Transition Plans:

- understanding the needs of local and regional stakeholders,
- proximity of decision-makers to the most affected citizens,
- thorough understanding of the most pressing problems in the region and the ability to offer tailor-made solutions,
- clear vision of development,
- deep knowledge of the mechanisms of the regional economy,
- established leadership in regional development,
- complementarity to other public policies,
- ensuring the same implementation strategy in all regions,
- and allocation of decision-making power and responsibility for the transition.

In order to ensure the effectiveness of the Just Transition Fund, the support provided needs to be concentrated. The territories identified will therefore correspond to NUTS level 3 regions or could be parts thereof.

#### Pillar I of the Just Transition Mechanism – Just Transition Fund

The actions under JTF give a unique opportunity to fulfil the aims connected with the European Green Deal. The Commission services already included their preliminary views on the territories expected to be the most vulnerable to transition in a dedicated Annex D to the 2020 Country Reports.

The support in these regions from the JTF will be based on the Territorial Just Transition Plans and programmed under one or more priorities. The Territorial Just Transition Plans will be part of the programmes and will be adopted by the same Commission decision as the programme. Territorial Just Transition Plans have to be based on evidence and data to address the most pressing issues and must focus on measures that will facilitate sustainable long-term development of the affected regions. They need to include commitments on key climate and energy transition steps and must be in line with national energy and climate plans.

The plans should detail the challenges and needs of those territories (including island, insular areas and outermost regions), taking into account depopulation risks, and identify the type of operations needed to contribute to job creation at the level of the plan and in a manner that ensures the coherent development of climate-resilient economic activities. These need to be consistent with the transition to climate-neutrality and the objectives of the European Green Deal. Only investments in accordance with the Territorial Just Transition Plans should receive financial support from the JTF.

All supported activities in these regions should be pursued in full respect of the climate, and environmental and social commitments and priorities of the Union. The investments should support local economies through stimulating their endogenous growth potential in accordance with the respective smart specialisation strategies. The projects financed should contribute to a transition to a sustainable, climate-neutral and circular economy, including measures aiming at increasing resource efficiency.

Types of investments for which expenditure may be supported by the JTF if appropriately justified in the Territorial Just Transition Plans:

- Productive investments in SMEs, including microenterprises and start-ups, leading to economic diversification, modernisation and reconversion;
- Investments in the creation of new firms, including business incubators and consulting services; leading to job creation
- Investments in research and innovation activities, including by universities and public research institutions and fostering the transfer of advanced technologies;
- Investments in the deployment of technology as well as in systems and infrastructures for affordable clean energy, including storage technologies, and in-greenhouse gas emission reduction;
  - investments in renewable energy in accordance with the Renewable Energy Directive (EU) 2018/2001<sup>1</sup>, including the sustainability criteria set out therein, and in energy efficiency, including for the purposes of reducing energy poverty;
  - investments in smart and sustainable local mobility, including decarbonisation of the local transport sector and its infrastructure;
  - rehabilitation and upgrade of district heating networks with a view to improving energy efficiency of district heating systems and investments in heat production provided that they are supplied exclusively by renewable energy sources;
- Investments in digitalisation, digital innovation and digital connectivity;
- Investments in regeneration and decontamination of brownfield sites, land restoration and including where necessary green infrastructure and repurposing projects, taking into account 'polluter pays' principle;
- Investments in enhancing the circular economy, including through waste prevention, reduction, resource efficiency, reuse, repair and recycling;
- Upskilling and reskilling of workers;
- Job-search assistance to jobseekers;
- Active inclusion of jobseekers
- Technical assistance
- Other activities in the areas of education and social inclusion including, where duly justified, infrastructure for the purposes of training centres, child and elderly care facilities as indicated in Territorial Just Transition Plans in accordance with Article 7 of the JTF Regulation;
- Productive investments in enterprises other than SMEs may be supported provided that such investments have been approved as part of the Territorial Just Transition Plan. Such investments shall only be eligible where they are necessary for the implementation of the Territorial Just Transition Plan, where they contribute to the transition to a climate-neutral economy by 2050 and to related environmental targets, and where their support is necessary for job creation in the identified territory, and where they do not lead to relocation as required under Article 60 of the CPR Regulation

### **Pillar III of the Just Transition Mechanism – Public Sector Loan Facility**

The public sector loan facility will support public investments, through preferential lending conditions. These investments will benefit the territories most negatively affected by the climate transition as identified in the Territorial Just Transition Plans for the purpose of the Just Transition Fund.

<sup>1</sup> Directive (EU) 2018/2001 of the European Parliament and of the Council of 11 December 2018 on the promotion of the use of energy from renewable sources (recast) (OJ L 328/82, 21.12.2018, p. 82).

In this respect, the public sector loan facility will cover a wide range of investments, on condition that they contribute to meet the development needs in the transition towards a climate neutral economy, as described in the Territorial Just Transition Plans. The investments supported may cover energy and transport infrastructure, district heating networks, green mobility, smart waste management, clean energy and energy efficiency measures including renovations and conversions of buildings, support to transition to a circular economy, land restoration and decontamination, as well as up- and re-skilling, training and social infrastructure, including social housing. Infrastructure developments may also include solutions leading to their enhanced resilience to withstand disasters. Comprehensive investment approach should be favoured in particular for territories with important transition needs. Investments in other sectors could also be supported if they are consistent with the adopted Territorial Just Transition Plans.

## 1.6. Delivery mode

The JTF will be implemented through shared management in close cooperation with national, regional and local authorities and stakeholders. This will ensure ownership of the transition strategy and provide the tools and structures for an efficient management framework. Under the shared management mode, the co-legislators fix the legal framework and the overall funding and determine the allocations by Member States and category of region. The Commission adopts the programmes. As regards implementation, the Commission cooperates with Member States' administrations (at national, regional and local level), which are in charge of the operational implementation.

### **Pillar I of the Just Transition Mechanism – Just transition Fund**

JTF is a novelty and the delivery mode will only start after the JTF programmes at national or regional level are adopted and underpinned by a properly designed implementation strategy. The development and implementation of the Territorial Just Transition Plans is a long-term project. In order to ensure the undisturbed development and implementation of the territorial plans, it is crucial to adapt transitional and flexible approach towards governance mechanism

### **Pillar III of the Just Transition Mechanism – Public Sector Loan Facility**

The public sector loan facility will provide support in the form of grants provided by the Union combined with loans provided by a finance partner. The grant component of the public sector loan facility will be implemented through direct management by DG REGIO and the European Climate, Infrastructure and Environment Executive Agency (CINEA). The management of the facility will take the form of financing not linked to costs. This form of financing will help incentivise project promoters to participate and contribute to the achievement of the facility's objectives in an efficient way relative to the size of the loan.

The loan component will be provided by the European Investment Bank. The public sector loan facility may also be extended to other finance partners providing the loan component, where additional resources for the grant component become available or where it is required for the correct implementation.

## 1.7. Graphic overview of the programme structure

## Just Transition Mechanism - structure (Pillars I and III)



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
	2021 - 2027	8 452,8

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
Just Transition Fund *	1 137,0	1 159,7	1 182,9	1 206,6	1 230,7	1 255,3	1 280,5	8 452,8
Public Sector Loan Facility under the Just Transition Mechanism			50,0	50,0	50,0	50,0	50,0	250,0
<b>Total *</b>	<b>3 259,4</b>	<b>5 489,4</b>	<b>5 649,2</b>	<b>1 256,6</b>	<b>1 280,7</b>	<b>1 305,3</b>	<b>1 330,5</b>	<b>19 571,3</b>

\* These amounts do not take into account the contributions of ERDF and ESF+.

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The JTM is a new programme. The JTF is a new fund for 2021-2027 and the Public Sector Loan Facility is a new Union instrument. They are complementary to the cohesion policy funds and complete the allocations proposed under the new Multi-annual Financial Framework.

## 1.10. Relevant websites providing more information

The main website of the Just Transition Mechanism provides all the necessary details about the nature and structure of the Fund, its legal basis, news about the Fund and further practical guidance. The Cohesion Open Data Platform - <https://cohesiondata.ec.europa.eu> - provides data on investment financing and achievements under the ESI Funds 2014-2020 and the extension of coverage to the 2021-2027 programmes is already planned.

[https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal/actions-being-taken-eu/just-transition-mechanism/just-transition-platform\\_en](https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal/actions-being-taken-eu/just-transition-mechanism/just-transition-platform_en)

[https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal/actions-being-taken-eu/just-transition-mechanism/just-transition-funding-sources\\_en](https://ec.europa.eu/info/strategy/priorities-2019-2024/european-green-deal/actions-being-taken-eu/just-transition-mechanism/just-transition-funding-sources_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

#### Pillar I of the Just Transition Mechanism – The Just Transition Fund

Implementation will only start after the JTF programmes are adopted. The first programmes are expected to be adopted during 2021.

#### Pillar III of the Just Transition Mechanism – Public Sector Loan Facility

The first calls for proposals will be launched once a sufficient number of Territorial Just Transition Plans are adopted. The first calls for proposals are expected to be launched towards the end of 2021 and the first grant agreements are expected to be signed early 2023.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

Not applicable

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Common output and result indicators, as set out in Annex III and, where duly justified in the Territorial Just Transition Plan, programme-specific output and result indicators, shall be established in accordance with [point (a) of the second subparagraph of Article 12(1)], [point (d)(ii) of Article 17(3)] and [point (b) of Article 37(2)] of Regulation (EU) [new CPR].

For output indicators, baselines shall be set at zero. The milestones set for 2024 and targets set for 2029 shall be cumulative. Targets shall not be revised after the request for programme amendment submitted pursuant to Article [14(2)] of Regulation (EU) [new CPR] has been approved by the Commission.

Where a JTF priority supports the activities referred to in points (h), (i) or (j) of Article 4(2), data on the indicators for participants shall only be transmitted where all the data relating to that participant, required in accordance with Annex III are available.

##### **3.1.2. Active programme performance**

As the fund is still comparatively young, there is not enough data regarding the Territorial Just Transition Plans so far. The Commission therefore lacks the basis on which to assess the different investment priorities and intensities.

##### **3.1.3. Previous programme performance**

Not applicable

#### **3.2. Key achievements**

Not applicable

#### **3.3. Evaluations, studies and reports**

As a key instrument of the Green Deal Investment Plan, the proposal for a Just Transition Fund, as the first pillar of the Just Transition Mechanism, has not been underpinned by dedicated ex-ante assessment. It is nonetheless embedded in the cohesion policy, pursuing similar objectives, for which the legal proposals have been built on a comprehensive set of evaluations and in-depth analyses. In addition, a JTF-related study (in 2022) will assess the outcome and impact of the establishment of Territorial Just Transitions Plans.

### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :Enabling regions and people to address the social, employment, economic and environmental impacts of the transition towards the Union’s 2030 target for climate and a climate-neutral economy by 2050, based on the Paris Agreement**

**Indicator 1:Enterprises supported (of which: micro, small, medium, large)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Enterprises supported by grants										
	Milestones									
	Actual Progress									Final
Enterprises supported by financial instruments										
	Milestones									
	Actual Progress									Final
Enterprises with non-financial support										
	Milestones									
	Actual Progress									Final
Start-ups supported										

Milestones										
Actual Progress										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Enterprises cooperating with research institutions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Enterprises supported to achieve the reduction of greenhouse-gas emissions from activities listed in Annex I to Directive 2003/87/EC**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4:Digital services and products developed for enterprises**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	

Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5:Capacity of incubation created**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6:Dwellings with improved energy performance**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7:SMEs investing in skills development**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8:Public buildings with improved energy performance**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 9: Additional production capacity for renewable energy (of which: electricity, thermal)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 10: Additional capacity for waste recycling

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 11: Cities and towns with new or modernised digitised urban transport systems

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 12:Surface area of rehabilitated land supported**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 13:Systems for monitoring air pollution installed for participants**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 14:Unemployed, including long-term unemployed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Long-term unemployed										
	Milestones									
	Actual Progress									Final
Inactive										
	Milestones									
	Actual Progress									Final
Employed, including self-employed										
	Milestones									
	Actual Progress									Final

Below 30 years of age										
	Milestones									
	Actual Progress									
										Final
Above 54 years of age										
	Milestones									
	Actual Progress									
										Final
With lower secondary education or less (ISCED 0-2)										
	Milestones									
	Actual Progress									
										Final
With upper secondary (ISCED 3) or post-secondary education (ISCED 4)										
	Milestones									
	Actual Progress									
										Final
With tertiary education (ISCED 5 to 8)										
	Milestones									
	Actual Progress									
										Final
Total number of participants										
	Milestones									
	Actual Progress									
										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 15: Jobs created in supported entities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									
										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 16: Private investments matching public support (of which: grants, financial instruments)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 17:SMEs introducing product or process innovation**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 18:SMEs introducing marketing or organisational innovation**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 19:SMEs innovating in-house**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	

Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 20: Patent applications submitted to European Patent Office**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 21: Estimated greenhouse-gas emissions from activities listed in Annex I to Directive 2003/87/EC in supported enterprises**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 22: Users of new public digital services and applications**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Users of new digital products, services and applications developed by enterprises										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 23: 3-year-old enterprises surviving in the market**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 24:SMEs using incubator services one year after the incubator creation

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 25:Apprenticeships supported in SMEs

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 26:SMEs staff completing Continuing Vocational Education and Training (CVET) (by type of skill: technical, management, entrepreneurship, green, other)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 27: Annual primary energy consumption (of which: dwellings, public buildings, enterprises, other)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 28: Estimated greenhouse gas emissions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 29: Total renewable energy produced (of which: electricity, thermal)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

**Indicator 30: Renewable energy: Capacity connected to the grid (operational)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 31: Population served by waste recycling facilities and small waste management systems**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 32: Waste recycled**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 33: Recycled waste used as raw materials**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type										
Unit of measurement										
Cut-Off Date										
Data source										
Link to the objective										
Link MFF 14-20 / MFF 21-27										
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Indicator 34:Waste recovered**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type										
Unit of measurement										
Cut-Off Date										
Data source										
Link to the objective										
Link MFF 14-20 / MFF 21-27										
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Indicator 35:Annual users of new or modernised public transport**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type										
Unit of measurement										
Cut-Off Date										
Data source										
Link to the objective										
Link MFF 14-20 / MFF 21-27										
Other methodological comments										
Full metadata available at this address										
Justification of the trend										

**Indicator 36:Population benefiting from measures for air quality**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track										
Indicator type										
Unit of measurement										
Cut-Off Date										
Data source										
Link to the objective										
Link MFF 14-20 / MFF 21-27										

Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 37: Rehabilitated land used for green areas, social housing, economic or community activities for participants**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 38: Participants engaged in job searching upon leaving**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 39: Participants in education or training upon leaving**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 40: Participants gaining a qualification upon leaving**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 41: Participants in employment, including self-employment, upon leaving

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 2 :Pillar II

#### Indicator 1: Small and medium-sized enterprises (SMEs) introducing product or process innovation

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: SMEs introducing marketing or organisational innovation

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	

Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:SMEs innovating in-house**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4:Patent applications submitted to European Patent Office**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Increasing public sector investments, which address the development needs of regions identified in the territorial just transition plans, by facilitating the financing of projects that do not generate a sufficient stream of own revenues to cover investment costs, in order to prevent the replacement of potential support and investment from alternative resources**

**Indicator 1:Volume of grants awarded**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	

Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Volume of loans signed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Individual loans										
	Milestones									
	Actual Progress									Final
Loan schemes										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Overall investment mobilised, divided as follows**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Amount of private financing mobilised										
	Milestones									
	Actual Progress									Final
Amount of public financing mobilised										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of projects receiving support, including geographical coverage**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Country										
	Milestones									
	Actual Progress									Final

NUTS 2 region											
	Milestones										
	Actual Progress										Final
Just transition territory supported											
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Number of projects receiving financing under the Facility

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 6: Number of projects by sector

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
Transport											
	Milestones										
	Actual Progress										Final
Social infrastructure											
	Milestones										
	Actual Progress										Final
Public utilities (water, wastewater, district heating, energy, waste management)											
	Milestones										
	Actual Progress										Final
Direct support to climate transition, (renewable energy, decarbonisation, energy efficiency)											
	Milestones										
	Actual Progress										Final
Environmental objectives											

	Milestones									
	Actual Progress									Final
Urban infrastructure and housing										
	Milestones									
	Actual Progress									Final
Others										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7:Greenhouse gas emission reduced, where relevant**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8:Job creation, where relevant**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

### **6. The programme contribution to horizontal policies**

#### **6.1. Contribution to climate mainstreaming**

##### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
3 259,4	5 489,5	5 649,3	1 256,6	1 280,7	1 305,3	1 330,5	19 571,3

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

##### **6.1.2. Explanation and justification on the financial contribution**

According Annex I CPR, JTF allocations shall be counted as contributing 100% to climate mainstreaming (Exact wording to be checked when Annex I is final).

##### **6.1.3. Key achievements**

As the mechanism is still in an early planning phase, details and predictions about the fund's contributions to this category cannot be made to date. More details will become available in the course of the year.

##### **6.1.4. Performance**

To be reported from 2022 onwards

#### **6.2. Contribution to biodiversity mainstreaming**

##### **6.2.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

##### **6.2.2. Explanation and justification on the financial contribution**

As the mechanism is still in an early planning phase, details and predictions about the fund's contributions to this category cannot be made to date. More details will become available in the course of the year.

##### **6.2.3. Key achievements**

To be reported from 2022 onwards

##### **6.2.4. Performance**

To be reported from 2022 onwards

#### **6.3. Contribution to clean air financing**

##### **6.3.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

##### **6.3.2. Explanation and justification on the financial contribution**

As the mechanism is still in an early planning phase, details and predictions about the fund's contributions to this category cannot be made to date. More details will become available in the course of the year.

**6.4. Contribution to gender equality**

Not applicable

**6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING 4: Migration and Border Management****Asylum, Migration and Integration Fund (AMIF)****Lead DG:HOME**

1. Overview .....	961
1.1. Challenges .....	961
1.2. Mission (general objectives) .....	961
1.3. Specific objectives .....	961
1.4. Public intervention context .....	961
1.5. Actions .....	962
1.6. Delivery mode .....	962
1.7. Graphic overview of the programme structure .....	962
1.8. Legal basis and financial programming .....	963
1.9. Link with the 2014-2020 MFF .....	964
1.10. Relevant websites providing more information .....	964
2. Where are we in the implementation ? .....	964
2.1. Programme 2021-2027 .....	964
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	964
3. How is the programme performing ? .....	967
3.1. Performance .....	967
3.2. Key achievements .....	972
3.3. Evaluations, studies and reports .....	976
4. Programme 2021-2027 - Key monitoring indicators .....	976
Specific Objective 1 :Strengthen and develop all aspects of the common European asylum system, including its external dimension .....	976
Specific Objective 2 :To strengthen and develop legal migration to the Member States in accordance with their economic and social needs, and to promote and contribute to the effective integration of third-country nationals.....	977
Specific Objective 3 :To contribute to countering irregular migration, enhancing effective, safe and dignified return and readmission, as well as to contribute to and to promote effective initial reintegration in third countries .....	979
Specific Objective 4 :To enhance solidarity and responsibility sharing between the Member States, in particular towards those most affected by migration and asylum challenges, including through practical cooperation .....	980
5. Programme 2014-2020 - Key monitoring indicators .....	981
Previous Program 1 : Asylum, Migration and Integration Fund .....	981
General Objective 1 :to contribute to the efficient management of migration flows and to the implementation, strengthening and development of the common policy on asylum, subsidiary protection and temporary protection and the common immigration policy, while fully respecting the rights and principles enshrined in the Charter of Fundamental Rights of the European Union .....	981
Specific Objective 1 :to strengthen and develop all aspects of the Common European Asylum System, including its external dimension .....	983
Specific Objective 2 :to support legal migration to the Member States in accordance with their economic and social needs, such as labour market needs, while safeguarding the integrity of the immigration systems of Member States, and to promote the effective integration of third-country nationals .....	986
Specific Objective 3 :to enhance fair and effective return strategies in the Member States which contribute to combating illegal immigration, with an emphasis on sustainability of return and effective readmission in the countries of origin and transit....	988
Specific Objective 4 :to enhance solidarity and responsibility-sharing between the Member States, in particular with those most affected by migration and asylum flows, including through practical cooperation.....	990
6. The programme contribution to horizontal policies .....	991
6.1. Contribution to climate mainstreaming .....	991
6.2. Contribution to biodiversity mainstreaming.....	991

6.3. Contribution to clean air financing.....	991
6.4. Contribution to gender equality .....	991
6.5. Contribution to the sustainable development goals.....	991

## **1. Overview**

### **1.1. Challenges**

The role of the EU budget has been pivotal in implementing the European Agenda on Migration (2015-2020). In this context, the EU has been supporting the management of asylum seekers and migrants, supporting legal migration and integration and managing effective returns. The EU budget has also been financing common measures for the effective control and surveillance of the Union's external borders to compensate the abolition of internal border controls.

However, the EU will continue to face major challenges in the area of migration in the 2021-2027 programming period. The regular reports compiled in the context of the delivery of the European Agenda on Migration confirmed the persisting need to reduce the incentives for irregular migration, to sustain efforts to save lives at sea and to secure the EU external borders, and to support actions for a strong common asylum policy and a new policy on legal migration. The new Asylum, Migration and Integration Fund (AMIF) will have a key role to play in responding to these challenges and supporting the full implementation of the European migration policy for the next seven years.

The challenges in the areas of asylum and migration are, by their nature, interlinked, transnational phenomena and cannot be adequately addressed by the Member States acting alone.

### **1.2. Mission (general objectives)**

The integrated management of the EU's external borders and the strengthening of the Common European Asylum System are the most effective ways to share these responsibilities and their financial implications between Member States fairly. EU funding in the area of integration of third country nationals is indispensable to increase the quality of support to newcomers in the early stages after their arrival. This is a crucial component to ensure their full inclusion in EU societies in the long- run, if they receive permanent protection.

The AMIF will aim to further increase the added value achieved in the previous programming period in terms of supporting actions with a transnational dimension. These actions aim at boosting national capacities and optimising procedures related to migration management, as well as enhancing solidarity and responsibility sharing between Member States, in particular through emergency assistance and the relocation mechanism as evidenced by the interim evaluation of the AMIF 2014-2020.

### **1.3. Specific objectives**

The AMIF contributes to an efficient management of migration flows and to the implementation, strengthening and development of the common policy on asylum, and the common immigration policy, in line with the relevant EU acquis and fully respecting the international obligations of the Union and the Member States arising from international instruments to which they are parties. In this context, it pursues the following objectives:

- to strengthen and develop all aspects of the common European asylum system, including its external dimension;
- to strengthen and develop legal migration to the Member States, in accordance with their economic and social needs and to promote and contribute to the effective integration and social inclusion of third-country nationals;
- to contribute to countering irregular migration and enhancing effective, safe and dignified return and readmission as well as to contribute to and to promote effective initial reintegration in third countries;
- to enhance solidarity and responsibility sharing between the Member States, in particular towards those most affected by migration and asylum challenges, including through practical cooperation.

### **1.4. Public intervention context**

The evolving migratory challenges addressed by the AMIF make it a key instrument in realising the Union's objective of constituting an area of freedom, security and justice under Article 67(2) of the Treaty on the Functioning of the European Union (TFEU), which is an area of **shared competence** between the EU and the Member States (Article 4 TFEU). The objectives of the AMIF support actions focusing on one or more target groups within the scope of Articles 78 and 79 TFEU, and in particular Article 78(2) and Article 79(2) and (4) thereof. Furthermore, the principle of solidarity and fair sharing of responsibility between the Member States, emphasised by the renewed AMIF, is established in Article 80 TFEU.

Since the overarching objective of the AMIF, namely to contribute to an effective management of migration flows in the Union, cannot be sufficiently achieved by the Member States acting alone and can be better achieved at Union level, the AMIF is based on the principle of subsidiarity as set out in Article 5 of the Treaty on European Union (TEU).

The AMIF is complemented by a range of other EU activities and instruments with an impact on developments in the policy area.

The New Pact on Migration and Asylum, adopted by the Commission in September 2020, covers all of the various elements needed for a comprehensive European approach on migration, asylum, integration, return, border management and cooperation with partner countries. It is accompanied by a number of legislative and non-legislative initiatives as well as proposals for other key actions.

Stronger cooperation with key partner countries in the area of migration is also essential. The Commission focuses on comprehensive, tailor-made partnerships with third countries on all aspects of migration. In that context, funding can be provided mainly by external instruments such as the NDICI.

## 1.5. Actions

The AMIF supports a broad range of actions in line with the principles highlighted in the New Pact on Migration and Asylum. This includes in particular:

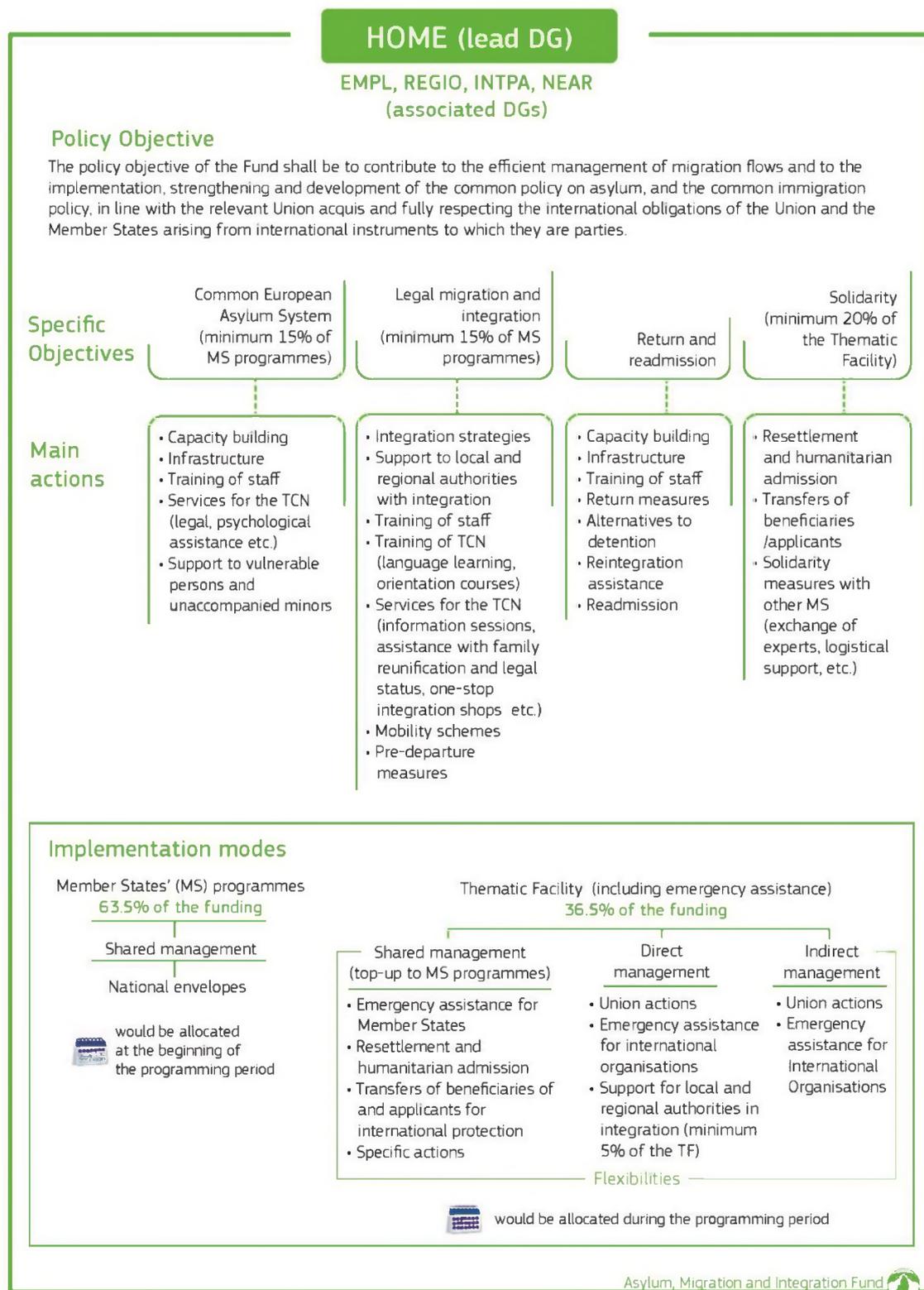
- ensuring a uniform application of the EU acquis and of the priorities related to the Common European Asylum System, legal migration and return;
- providing support and services consistent with the status and the needs of the person concerned, in particular the vulnerable groups;
- supporting resettlement, humanitarian admission and transfers of applicants for and beneficiaries of international protection;
- supporting the development and implementation of policies promoting legal migration, such as the development of mobility schemes to the EU and raising awareness of the appropriate legal channels for immigration;
- supporting integration measures such as tailored support in accordance with the needs of third-country nationals and integration programmes focusing on education, language and other training such as civic orientation courses and professional guidance preparing their active participation in and their acceptance by the receiving society.
- supporting infrastructures for the reception or detention of third country nationals, including the possible joint use of such facilities by more than one Member State;
- ensuring provision of legal remedies during the return procedures such as access to free legal aid;
- supporting the development and use of alternatives to detention;
- supporting an integrated and coordinated approach to return management at the EU and Member States' level, development of capacities for effective and sustainable return and reducing incentives for irregular migration;
- contributing to addressing key deficiencies and challenges for the Member States' return systems, identified during Schengen evaluations in the field of return, and requiring urgent action;
- supporting assisted voluntary return and reintegration;
- cooperation with third countries on asylum, legal migration, countering irregular migration and on effective return and readmission for the purpose of managing migration.

## 1.6. Delivery mode

The AMIF will be implemented under shared, direct or indirect management. The largest part of the resources (63.5% of the total budget) will be allocated to the Member States' programmes under shared management. The remaining part (36.5% of the total budget) will be allocated to a thematic facility to be used for specific actions (implemented by the Member States nationally or transnationally), Union actions (direct/indirect management), emergency assistance (shared, or direct or indirect management), transfers of beneficiaries of and applicants for international protection and resettlement (shared management) and the European Migration Network (direct management).

Technical assistance at the initiative of the Commission will be implemented by direct management. Since the AMIF is also covered by the Common Provisions Regulation, DG HOME closely coordinates with DG REGIO, EMPL and MARE. In relation to the external dimension, DG HOME closely coordinates with DG INTPA, NEAR and FPI.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
-------------	-----------------------	--------------------------------

COM (2018) 471: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Asylum and Migration Fund	2021 - 2027	9 882,0
--	-------------	---------

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>873,3</b>	<b>1 099,5</b>	<b>1 318,8</b>	<b>1 401,4</b>	<b>1 686,3</b>	<b>1 705,6</b>	<b>1 797,2</b>	<b>9 882,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The 2021-27 AMIF builds on the successful implementation of and lessons learnt from the AMIF 2014-2020. In this regard, it further strengthens the external dimension by adding areas under pre-integration, return and reintegration, which could not be fully covered in the programming period. The New Pact on Migration and Asylum, published on 23 September 2020, confirms the importance of providing humanitarian legal pathways. The *Commission Recommendation on legal pathways to protection in the EU* calls on Member States to provide more places of admission for people in need of international protection through increasing their resettlement programmes but also through humanitarian admission and other complementary pathways.

It also ensures more flexibility in the implementation, by having a well-balanced mix of shared, direct and indirect management. This will also make it possible to steer the funds towards EU priorities as well as pressing challenges, which cannot always be predicted or planned for from the onset. Simplification is another important element of the new Fund, as common rules for programming, reporting and financial management for eight shared management funds<sup>1</sup> have been established and the Fund has been aligned with similar EU funding instruments. Finally, the common monitoring and evaluation framework has been further developed to ensure a strengthened performance orientation, as well as improved and more frequent reporting on the progress towards targets and milestones.

### 1.10. Relevant websites providing more information

On the Commission website, the reader will be able to see a description of the scope and the budget allocation of the Funds, illustrated by supportive visuals and info-graphics.

<https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=608305737>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

For the programming period 2021-2027, the Commission will this year support Member States in the preparation of their future programmes, to be adopted as soon as possible after the adoption of the legal basis for the financial period 2021-2027. The Commission will also prepare a 2021-2022 Work Programme for the Thematic Facility to ensure the programming of the funding for indirect/direct and shared management on top of the initial allocations for the Member States' programmes.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	7 194 159 114	4 420 470 759
Implementation carry-overs	391 288 415	7 573 636
Implementation Recoveries and Repaid advances		69 268 058
Implementation total	7 585 447 528	4 497 312 454
total envelop*	7 595 033 948	
cumulative implementation rate	100%	59%

<sup>1</sup> European Regional Development Fund, European Social Fund Plus, Just Transition Fund, European Maritime, Fisheries and Aquaculture Fund, Asylum, Migration and Integration Fund, Internal Security Fund, Instrument for Financial Support for Border Management and Visa.

\*based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

At the end of 2020, **for the national programmes only**, 63% of the total envelope of the fund has been paid, meaning that MS actually spent EUR 2.88 billion over the period 2014-2020 out of EUR 4.58 billion allocated under the National Programmes.

In 2017, **the national programmes** were substantially modified to include additional funding linked to resettlement (EUR 455.6 million), return (EUR 140.8 million) and measures implementing the EU Action Plan on the integration of third-country nationals (EUR 140 million), in particular those carried out by civil society organisations and local authorities in the context of Member States' Migrant Integration Strategy.

In 2018, the national programmes were again revised

- To include EUR 30 million and EUR 20 million to support respectively the integration of third-country nationals and the return of irregular migrants.
- To reflect the outcome of the mid-term review exercise carried out in accordance with article 15 'Mid-term review' of the Regulation laying down general provisions on AMIF and ISF.

In December 2018, the AMIF Regulation was amended to allow the reuse of the non-consumed resources for the two Council Decisions dating from 2015 on relocation and the Council Decision dating 2016 on legal admission for other Union migration priorities beyond 2018.

Furthermore, in 2019, the national programmes were revised to include additional resources of EUR 97.6 million for resettlements to be carried-out by the Member States in 2020 and 2021. The national programmes were revised again in 2020, and increased by EUR 77.9 million, to include additional funding for resettlement.

By 15 February (or 1 March upon justified request) 2021, Member States submitted their annual accounts covering the financial year 2020; together they have requested a total amount of EUR 626 million. By 31 March 2021, the Annual Implementation Reports for AMIF were submitted by Member States. Over the period 2014-2020, EUR 2.88 billion was actually spent by the MS, equivalent to an absorption rate of 63%.

Implementation in the year 2020 was marked by the effort to address the impact of the COVID-19 pandemic. Although, Member States largely managed to address the effects without any changes to the current budget, the pandemic led to some delays in project implementation and the procurement processes. The most affected types of intervention were those with actions where the final beneficiary needs face-to-face interaction with the target audience (asylum, integration, return, relocation, resettlement), those where NGOs and other organisations were prohibited to enter reception centres, the suspension of mental health services in the context of reception/asylum and the suspension of return flight operations.

Mitigating measures included an increase in the co-financing rates, an extension of the duration of projects where needed, adaptations or modifications of project content. Project expenditure related to the COVID-19 pandemic, such as online training platforms and hardware, the procurement of masks, the installation of protective measures (windows, etc.) or the cancellation costs of defaulted measures were accepted as eligible. Member States also put in place measures to protect the health of vulnerable persons in reception centres, beneficiaries of international protection and other Third Country Nationals housed in reception centres.

The implementation of AMIF will run until end-2022, and thus 2 years of implementation remain. Up to 2020, AMIF has attained an overall absorption rate of 63%, which can be considered overall satisfactory. In 2020, Member States have submitted EUR 626 million of payments to the Commission, similar to the level of the 2019 expenditure (EUR 583 million).

### **Trust Fund**

AMIF has been contributing to the EU Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa. From 2017 to 2020, AMIF contributed EUR 135 million in order to address funding gaps identified especially for the North Africa window of the EUTF, and where needs relating to the root causes of migration are more pressing. For 2020, AMIF contributes with EUR 5.2 million. Between 2017 and December 2020, EUR 50 million were paid (out of EUR 135 million available). The assumption is that payments will be made until 2024 and will exhaust the totality of the EUR 135 million committed.

### **Emergency assistance**

The **emergency assistance** instrument provides financial assistance to Member States, International Organisations and (exceptionally) EU Agencies to address urgent and specific needs in the event of an emergency situation in a Member State, in particular in the areas of migration, border management and security. It is the Commission's main tool to provide strategic operational support of EU added value at short notice in the form of grants and contribution agreements. By end-December 2020, the total amount of AMIF emergency assistance allocated to Member States since 2015 had reached EUR 2 029 million. In 2020, 15 grants and contribution agreements were signed for a total of EUR 688.7 million, of which EUR 506.4 million for actions

implemented by two international organisations (UNHCR and IOM) for the benefit of Greece. Other grants signed in 2020 were for the benefit of Cyprus, Spain, Italy, Ireland, Finland and France., Malta

### **Emergency assistance in Greece**

Between 2015 and 2020, a total of approx. EUR 1.5 billion were allocated to Greece through emergency assistance grants. Nevertheless, the islands remain overcrowded and the reception capacities, both in the islands and in mainland, are stretched to the maximum.

In 2020, 13 840 arrivals have been recorded in Greece (9 048 by sea and 4 792 by land) compared to 70 142 arrivals recorded in the same period of 2019 (80% decrease). In 2021 so far, 1 420 arrivals have been recorded in Greece (761 by sea and 659 by land), compared to 8 942 in the same period of 2020 (84% decrease). In particular concerning the Aegean islands, 761 migrants have arrived so far in 2021, compared to 7 207 arrivals recorded in the same period of 2020 (89% decrease).

In 2020, 61 999 people have applied for asylum, while 2 150 transfers under Dublin III have taken place. In addition, under the Greek AMIF National Programme, 5 430 refugee children up to the age of 15 have received access to the national education scheme. The decrease in arrivals has created an opportunity to develop a more structural migration management scheme in Greece. The next programming period will focus on improving living conditions for the hosted population in the sites, including through the creation of 5 new Multi-Purpose Reception and Identification Centres in the five Eastern Aegean islands. In addition, specific attention will be paid to integration measures for recognized refugees and beneficiaries of international protection.

Due to the continuously increased arrivals, the Greek authorities, with the support from the Commission, needed and still need to further step up their efforts to address the shortcomings in migration management, in particular on the reception capacity and asylum processing sides. That is why it was necessary to further reinforce emergency funding for Greece in 2020 by means of a budget authority transfer, which covered, among others, a significant part of the reception needs in the mainland and in the islands, the protection of the unaccompanied minors through the provision of accommodation, guardianship and foster care services, as well as the access to the Greek Asylum Service, an Integration project and the Assisted Voluntary Return scheme.

### **Emergency assistance in Cyprus**

The migratory situation in the Eastern Mediterranean route also led to the granting of further emergency assistance to Cyprus. More specifically, in December 2019 the Commission awarded an emergency assistance grant of EUR 1.8 million under AMIF to strengthen the existing structures and operational capacity of the Social Welfare Services to cope with the rapidly increasing numbers of asylum seekers and unaccompanied minors. Another emergency assistance grant of EUR 3.6 million under AMIF was awarded in April 2020 to strengthen the existing structures and operational capacity of the Asylum Service and Civil Registry and Migration Department with additional staff and equipment, as well as with infrastructure for the Asylum Service.

Moreover, the Commission awarded in July 2020 another emergency assistance grant of EUR 1.2 million under AMIF to cover the needs for staff, office space and equipment of the Law Office of the Republic of Cyprus.

### **Emergency assistance in Malta**

Although there was a 33% decrease in the number of arrivals to Malta in 2020 (2 281) compared to 2019 (3 405), given its size, Malta consistently faces major challenges in the reception of those present on the island. In July 2019, the Commission awarded an emergency assistance grant under AMIF for the voluntary relocation of persons from Malta to EU Member States and Associated States of Relocation. The total amount granted, following an amendment to the grant agreement, was almost EUR 950 000.

A revision of the national programmes took place in 2020 in order to include the additional funding for resettlements to be carried-out by MS in 2020 and 2021.

### **Emergency assistance in Spain**

AMIF Emergency assistance in Spain focussed since 2018 on actions deployed by the national authorities to deal with the irregular migration flow to Southern Spain and the Canarias islands, for a total EUR 76 million AMIF funds allocated by end 2020. In 2020, arrivals by sea (40 106) increased by 54% compared to 2019. 23 023 of those were arrivals to the Canary Islands, almost 9 times more than in 2019, raising a serious challenge to the capacity to provide reception and ensure effective procedures for migrants. A project operated by the Ministry of Inclusion, Social Security and Migration was amended with an additional EUR 42 million EU funds support to set-in place six temporary sheltering capacity of an overall capacity of 7 200 persons in the Canarias islands.

### **Union actions**

In 2020, a large number of **Union actions projects** selected under the 2016 annual work programme was closed, while the rest and those selected under the 2017 and 2018 programmes were still running. The implementation of the Union actions have been impacted by COVID-19 pandemic, which resulted in impossible to foresee delays in projects implementation and hence the extensions of the numerous grant agreements. New grant agreements and contribution agreements were concluded for actions under the 2019 annual work programme and their implementation started in the end of 2020 or in early 2021. The AMIF 2020 work programme for **Union actions** was adopted on 26 June 2020 for a total envelope of EUR 101.8 million and the relevant calls will be finalised in 2021.

Grant agreements under the AMIF 2020 annual work programme for Union actions will be concluded in 2021 and the implementation of the actions will start as of early 2022. In continuation of previous years, they will cover the area of integration of

third-country nationals, for which six topics have been established in the annual work programme. It will also concern the asylum and migration policy, including the external dimension of this component to enhance third countries' capacity to provide that asylum-seekers and refugees receive effective protection, assistance and durable solutions (repatriation, local integration and/or resettlement) (Regional Development and Protection Programmes). Those will be the last grants to be concluded under the MFF 2014-2020. Those grants will be progressively phasing out until end 2025.

In October 2020 a single call for proposals covering themes such as developing and implementing local integration strategies, reducing obstacles and promoting access to basic services for third-country nationals, promoting participation of migrants in design and implementation of integration policies, promoting complementary pathways and further integration of people in need of protection, assistance, support and integration of victims of trafficking in human beings as well as migrant children's transition to adulthood, was published with a deadline of 16 February 2021. This call attracted a lot of interest with 377 applications received, which will be evaluated in the spring and summer of 2021.

Apart from the open call for proposals mentioned above, this work programme also supports the multilingual online information portal for prospective migrants – Infomigrant, the Regional Development and Protection Programmes in North Africa and in the Horn of Africa, the implementation of the Migration Partnership Facility, as well as procurements to support the Commission's activities.

The AMIF also continued to support the **European Migration Network (EMN)** and under the 2019-2020 work programme for the EMN, for an amount of EUR 18 million, financed grants for the National Contact Points for the period ending on 31 December 2020 as well as procurement actions to support the Network's activities.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

Taking into account the volatile and challenging migration situation throughout the 2014-2020 period, it is important to stress that the AMIF is achieving its objectives. AMIF provides the financial means to push forward the EU's agenda on migration. The Commission works to establish a comprehensive approach on this agenda, developing legislative proposals to establish and improve common EU action, monitoring and enforcing the correct implementation of applicable rules by the Member States.

The AMIF focuses on the three areas identified in its acronym: Asylum, Migration and Integration. It encompasses several domains in the Asylum Systems, fighting Irregular migration, whether through awareness raising information campaigns explaining the risks of embarking on a dangerous irregular migration route, or through voluntary return. It also included Resettlement and Relocation schemes, Legal Migration, and integration of third-country nationals in the EU, with the creation networks of national, regional or local public entities. Whenever appropriate, AMIF has also drawn the focus on some vulnerable groups, such as integration of victims of trafficking of human beings, or providing support to children or unaccompanied minors, women.

Whereas in the first years a stronger focus was placed in the Asylum schemes, e.g. via resettlement and relocation, the latter years have focused increasingly on legal migration and integration addressing different target groups as well as establishing legal pathways at European level, complementing and developing Member States' efforts.

Overall, AMIF has generated important EU added value, despite the relatively small size of the funds in comparison with the important challenges imposed by the crisis that occurred during this period. The main benefit at EU level arises from the transnational dimension of certain actions but also the benefit of burden-sharing at EU level, supported in particular by the Emergency assistance and the relocation mechanism.

The European Court of Auditors (ECA) concludes in its Report on the performance of the EU budget – Status at the end of 2019, published on 13 November 2020, that the AMIF provided substantial support to help Member States face the costs and challenges of asylum and migration action, such as relocation and resettlement, migrant support schemes and funding to build and upgrade accommodation. The ECA stresses that this support is provided in a sensitive political context characterised by diverse Member State positions.

Sustainability, in the sense of investment targeting structural changes, has been thoroughly considered by AMIF both at programming and implementation stages of national programmes, and to a lesser extent in the Emergency assistance due to the nature of the actions. Overall, most of the innovative measures (e.g. simplified cost-options, multiannual programming) are considered particularly beneficial by beneficiaries and appear to have achieved simplification. Room for improvement appears to exist, especially in what concerns the internal coherence of the fund (among AMIF management modes) because there is little awareness among beneficiaries about the actions and projects realised within the AMIF framework. Similarly, the administrative

burden appeared to be the main factor that undermined the efficiency, including some control measures that appeared too stringent for the Member States even if AMIF has led to simplification relative to the past. Finally, the monitoring and evaluation system under AMIF in line with the Better Regulation guidelines needs further improvement, including in terms of definitions of its indicators and the collection of data. The European Court of Auditors identified room for improvement as regards data reliability. It specifically pointed out that information on EMAS funding is not covered by the performance indicators. Although the Court concluded that the information available points to the relevance of spending and its EU added-value, it stresses that the indicators defined do not provide evidence about economy and efficiency.

In terms of performance, for many of the indicators set in the AMIF, either the milestones have been exceeded or even the targets have been achieved.

### **Strengthening the Common European Asylum System (CEAS)**

According to Eurostat data, the number of asylum applications decreased by 33%.<sup>2</sup> At the end of 2020, in total 765 655 applications for international protection were still under consideration by the national authorities. The decrease was largely driven by Covid-19 and the related travel restrictions.

The Commission continued to make efforts to facilitate discussions on the legislative package to reform CEAS, but the European Parliament and the Council could not reach an agreement. To respond to the need for structural reform of EU migration policy and building on progress made in this field since 2016, the Commission put forward a New Pact on Migration and Asylum and a number of legislative proposals, adopted by the Commission in September 2020. The initiative covers all of the different elements needed for a comprehensive European approach to migration management based on solidarity and fair sharing of responsibility.

In the meantime, AMIF continued to provide the necessary emergency assistance to the Member States faced with migration pressure to improve their asylum systems and to reception capacities. Emergency assistance is the main tool of the Commission to provide strategic operational support of EU added value at short notice in the form of grants and contribution agreements. The interim evaluation of the Fund also confirmed the emergency assistance as being one of the main benefits at EU level. By the end of January 2021, the total amount of AMIF emergency assistance since 2015 reached over EUR 2 billion.

In this context, special attention was paid to the most vulnerable, particularly the unaccompanied minors due to the high number of unaccompanied children present in the Member States. For example, in 2020, the Commission supported Greece, through the allocation of EUR 30 million in Emergency Assistance, in the relocation of unaccompanied minors, families, sick children and beneficiaries of international protection.

Via **voluntary relocations**, 13 Member States and three associated countries have offered (via pledges) a safe space in their countries for 5 250 unaccompanied minors, severely ill children together with their families, vulnerable persons and recognised refugees from Greece. DG HOME is in the forefront, coordinating the relocation exercise. The voluntary relocation scheme started in March 2020 following the dramatic events at the Greek-Turkish land border. Initially, 11 Member States had pledged to receive around 2 500 unaccompanied minors and minors with severe medical conditions and their core family members. Following the fire at the Moria camp on 9 September 2020, two more Member States, as well as three associated countries joined the scheme. It was agreed to expand the scheme to vulnerable asylum seeking families, as well as beneficiaries of international protection. In 2020, 11 countries relocated 2 213 people, the remaining relocations, to fulfil the rest of the pledges, are taking place in 2021. Additionally, 30 vulnerable persons were relocated from Cyprus in 2020. The relocations could proceed at a relatively steady pace despite Covid-related restrictions.

As regards the AMIF national programmes, already in 2020, the Fund reached its targets in the field of **asylum**: 2 442 140 target group persons have received assistance since 2014 as compared to the target of 1.26 million. The number of persons trained in asylum-related topics largely exceeds the target, with more than 63 378 persons trained since 2014 as compared to a target of 25 205 persons. Targets are also exceeded for the number country-of-origin information products (achievement of 85 790 in comparison to a target of 72 246) and this is due to the activities of one Member State, which has produced far more products than initially planned.

Regarding the creation of new asylum reception capacity, fewer places were created in 2020 (4 128) and 2020 (3 893), than in 2017 (16 200). Due to the reduced number of asylum seekers, a number of Member States seem not to need to create new capacity with support from the Fund. Cumulatively, a total number of 36 346 places have been created with support provided under the national programmes, as compared to the target of 51 028 places. A Commission taskforce on migration management is working intensively, in close collaboration with the Greek authorities, EU Agencies and international organisations on the ground, to build new reception facilities in the Eastern Aegean.

Coordinated resettlement efforts, providing to persons in need of international protection a safe and legal way to reach the EU, have continuously increased since 2015 and were recognised as one of the 'Top 20 achievements of the Juncker Commission'.<sup>3</sup> Also in 2020, good progress was made on resettlement despite very difficult circumstances and disruptions caused by the Covid-19 pandemic. In total, 13 Member States welcomed 14 800 resettled migrants in 2020, mainly from Syria (about 9 000 persons), Sudan

<sup>2</sup> 471 630 in 2020 compared to 698 760 in 2019 and 1 282 690 in 2015.

<sup>3</sup> Communication from the Commission; Europe in May 2019: Preparing for a more united, stronger and more democratic Union in an increasingly uncertain world  
The European Commission's contribution to the informal EU27 leaders' meeting in Sibiu (Romania) on 9 May 2019, COM/2019/218 final, Annex III.

(1 200), and Eritrea, Somalia and the Democratic Republic of the Congo (about 1 000 each)<sup>4</sup>. Taking into account the success of the previous schemes and considering that the Recommendation on Resettlement (linked to the Pact) had not yet been adopted, a new **ad hoc resettlement scheme** was put in place for 2020–2021. The Commission put in place a new ad hoc resettlement scheme covering the year 2020 with a target of 20 000 persons. Responding to the Commission's call, Member States collectively pledged almost 30 000 resettlement places. This generous pledge – going beyond initial expectations – confirms the Member States' commitment to resettlement and their resolve to scale up safe and legal pathways to protection in Europe. The collective EU pledge for 2020 represents almost 50% of global pledges. The expansion of EU resettlement is in line with the UNHCR 3-year (2019-2021) Strategy and was welcomed by all stakeholders at the Global Refugee Forum last in December 2019.

Resettlement operations are an important part of the AMIF, with almost EUR 1.07 billion allocated to them under the national programmes in the 2014-2020 programming period, which constitute almost ¼ of the overall financial value for the Fund. This corresponds to 108 680 persons to be resettled, of which 77 463 persons have been reported in payment claims to the Commission up to 2020 included (71% implementation). Due to the delays in reporting, once the final accounts have been submitted in 2023, it is expected that also the latest resettlement scheme will reach a high implementation rate.

In terms of resettlement, in their accounts, Member States reported a total of 14 812 persons resettled in 2020 in comparison to 23 764 in 2019. This brings the number of resettled persons for the period 2014-2020 up to a total of 77 463. The Member States, which resettled most in 2020 were Sweden, followed by Germany, the Netherlands and France. Austria, Czech Republic, Estonia, Croatia, Hungary, Lithuania, Latvia, Malta and Slovenia did not resettle anybody in 2020. With the submission of the accounts in February 2021, ten reached an absorption rate of more than 70% with Sweden reaching an absorption rate of 100%. On the other end of the spectrum, there are seven Member States with an absorption rate below 30%, with four Member States with an absorption rate of 0%.

### Effective integration and legal migration

The gap between the employment rates of third-country nationals compared to EU nationals is used as an indicator to measure progress in integrating third country nationals in EU societies. The gap between the employment rates of third-country nationals compared to EU nationals has effectively increased from 13.1 percentage points in 2014 to 15.9 in 2020.

The Commission supports the Member States in their efforts to integrate third-country nationals, through the use of EU funding, some of which is provided by the AMIF, more is provided by the European Structural and Investment Funds.

The Commission continued to work closely with North African Countries on migration and security. By supporting in 2017-2020 the EU-Emergency Trust Fund for Africa under the Union actions with an overall amount of EUR 135 million, out of which EUR 5 million in 2020, the Commission contributed to shaping the strategic approach to countries of North Africa. Financial support to specific areas in Morocco contributed to reducing the number of irregular migrants on the Western Mediterranean route from roughly 57 000 in 2018 to roughly 41 800 in 2020. To build up or strengthen asylum and reception systems and to address protection needs in African countries, the Commission contracted in 2020 EUR 30 million through the Regional Development and Protection Programme (EUR 20 million for North Africa, and EUR 10 million for Horn of Africa), rolling out new actions in Algeria, Egypt, Libya, Mauritania, Morocco, Niger, Tunisia and Sudan.

Under the AMIF national programmes, more than 6.9 million persons have received integration assistance already surpassing the target of 2.6 million. Moreover, number of local, regional and national policy frameworks already exceed the target: 10 458 were already put in place as opposed to the target of 7 443.

However, measuring the number of persons who participated in pre-departure measures, gives results far below the target set (88 603 persons supported versus a target of 240 920). The data up to 2020 shows very uneven results in Member States. There are Member States exceeding their targets significantly, others remain at zero or are at a very early stages of fulfilling their targets. The reasons can vary from Member State to Member State: the target have been largely overstated, lack of pre-departure programmes, lack of target groups, efficiency of national administrations, etc. Furthermore, of the 62 cooperation projects foreseen by Member States, up to 2020, only 49 have been reported. Nevertheless, it should be noted, that, through Union Actions, the Commission has promoted cooperation projects between local and regional authorities through targeted calls for proposals.

In the period 2014–2020, EUR 830 million have been allocated under the Asylum, Migration and Integration Fund to support measures on integration and legal migration. In 2020, Member States reported expenditure for EUR 101 million, reaching a cumulative value of EUR 419 million (50% absorption rate).

In November 2020, the Commission adopted the Action plan on Integration and Inclusion 2021-2027, COM (2020) 758, highlighting the horizontal and sectoral priorities for integration including the use of the different funding sources. The plan sets out a strong framework to strengthen and step up integration and inclusion policies across the EU. The implementation of the actions presented in the action plan will be monitored, progress will be reported and actions adapted where needed.

### Effective return policies

For the asylum system to be credible, migrants with no right to stay in the EU need to be **returned**. However, return is seen as an area where further improvement should be made. Prospects of improvement depend both on better cooperation by third countries and on Member States' effectiveness in implementing returns. In this respect, Schengen evaluations in the field of return help to

<sup>4</sup> Data source: Member States' Annual Accounts for the financial year 2020 (16.10.2019–15.10.2020).

orient Member States on specific actions that have to be prioritised in order to achieve set objectives. Unsatisfactorily low return rates persist due to inefficient enforcement of existing instruments at EU and national level, and a common readmission policy that does not fully deliver. In 2018, the total return rate of irregular migrants of EU-27 was 33.5% (35.79% in 2018). The rate of effective return of EU-27 to third countries slightly decreased to 28.97% (31.95% in 2018).

This decrease is partially explained by the combination of a significant increase in return decisions issued (around 34 000 more than in 2018, in particular in some Member States; i.e. Greece, Czech Republic, France, Hungary, Slovenia, Finland and the Netherlands), that has not been matched by a similar trend in numbers of effected returns to third countries (around 9 000 less than in 2018). This trend prevailed for a number of important countries of return. Even the Western Balkans and Eastern Partnership countries, which traditionally pushed the average EU rate up with rates close to 100%, witnessed in 2019 (like in 2018) a decrease and influenced significantly the overall rate due to the high proportion of return decisions issued to their nationals out of total number of decisions.

Additional efforts are required to address key challenges to the effectiveness of returns through measures both in Member States and with third countries. Actions taken include the following:

- the Commission put forward a proposal for a recast of the Return Directive and will continue to push for its adoption;
- In 2020 with Frontex coordinated flights, 12 072 non-EU country nationals returned (24% decrease comparing with 2019), out of which:
  - 7 952 persons by charter flights to 28 destinations, 3 981 persons by scheduled flights to 83 destinations and 145 returned to TR under the EU-TR statement);
- the Commission will continue to negotiate and implement readmission agreements and informal arrangements with non-EU countries; Member States should make full use of the arrangements already in place.
- Enhance the Assisted Voluntary Return Programmes.

Under the EU-Turkey Statement, returns of Syrians to Turkey have continued, but at a very slow pace. In 2019, 30 Syrians were returned from the Greek islands to Turkey and 37 in 2020. In total, 2 140 persons were returned to Turkey between March 2016 and March of 2020 under the EU-Turkey Statement. However, on 16 March 2020, the Turkish authorities informed that they will not carry out any return operations for the time being due to measures related to the prevention of COVID-19 contamination.

In total, EUR 1 billion have been allocated to priorities in return (voluntary and forced) under the national programmes in 2014–2020 and EUR 577 million have been spent so far, reaching an absorption rate of 58%. In 2020, Member States declared payments of EUR 120 million to the Commission returning 39 966 persons.

The AMIF supported Member States in the return of 39 966 persons in 2020 significantly below the level of 2019, when 65 035 persons were returned with the support of the Fund. The 2020 data shows a decrease in both forced returns (20 816 persons in 2020 versus 35 982 in 2019) as well as voluntary returns (19 150 in 2020 versus 29 053 in 2019).

In their return activities Member States are encouraged to use the available support both from Frontex and through AMIF in a complementary way. AMIF contributed to the implementation of the national return strategies by providing Member States with the necessary assistance in different areas of the return policy: introducing assisted voluntary return and reintegration programmes, increasing detention capacity when insufficient and improving its conditions; ensuring the implementation of safeguards (e.g. free legal assistance), covering the costs of return operations in cases where Frontex could not offer support or where the Agency's assistance was not considered necessary by the Member States.

EU actions also support non-EU countries to improve their capacity to manage readmission processes effectively (identification, re-documentation) in their cooperation with Member States; such support is financed by the Readmission Capacity Building Facility under AMIF. There are 24 existing EU agreements and arrangements on readmission and the new Pact on Migration and Asylum will mobilise all EU policies, tools and instruments, to prioritise the effective implementation of these agreements, complete ongoing readmission negotiations, and explore options for new agreements.

#### ***Enhancing solidarity and responsibility-sharing between the Member States***

As the 2016 Commission proposal for the recast Dublin Regulation aiming, inter alia, at ensuring fair sharing of responsibilities between Member States by complementing the system with a corrective allocation mechanism, has not been adopted by the European Parliament and the Council, there has been a need for emergency measures to support the Member States facing unproportioned numbers of arrivals. Therefore, in addition to their national allocations, several Member States, notably Greece, Italy and Spain, benefit from the AMIF emergency assistance, allowing them to save more lives at sea, receive the arriving migrants in conditions, attaining better humanitarian standards, ensure basic healthcare as well as protection to vulnerable groups. The emergency assistance amounts granted up to end-December 2020 to Greece are EUR 1.515 billion and to Italy EUR 190 million.

In addition, since 2019, the Commission has been coordinating the voluntary relocation of asylum applicants disembarked in Italy and Malta after rescue operations in the Central Mediterranean to other Member States who are voluntarily showing solidarity. 2 634 applicants have been relocated so far from Italy and Malta with the support of EUR 3.2 million AMIF emergency funding. More relocations are due to take place in the following months, as rescues continue in the Central Mediterranean. In March 2020, following the dramatic events at the Greek-Turkish border and then the Moria campfire in September 2020, voluntary relocation started to be implemented also in Greece, with EUR 31.8 million AMIF support to put in place procedures for processing and

relocation. 2 213 of the most vulnerable applicants have already been relocated, out of the 5 250 places pledged by Member States and associated countries. Additionally, 30 vulnerable persons were relocated from Cyprus in 2020.

As the arrival of migrants continues across the Mediterranean, voluntary solidarity in the shorter-term can help build confidence among Member States by demonstrating that solidarity is still working on the ground as an important way to support migration management in particular in Member States most affected by migratory flows. It can also assist in showcasing how the different elements of solidarity listed in the Pact can provide meaningful support as a precursor to the legal proposals.

The funding to support the emergency relocation scheme was allocated in the 2016 Budget for a total number of persons of 160 000 persons. On expiry of the scheme, the Commission proposed the amendment of Article 18 of the AMIF Regulation to open up the possibility for Member States to use the remaining unused funds for the relocation (EUR 505 million) for other actions. This was agreed by the co-legislators (Regulation (EU) 2018/2000). Accordingly, through revision of national programmes in 2019, this funding has been reallocated to voluntary relocation (EUR 26 million) and resettlement (EUR 116 million), among other key priorities in the migration area and the remaining amount to other policy areas such as asylum, integration or return. The national programmes set out to relocate a total number of 38 703 persons. This target includes voluntary relocation. Up to 2020, in the annual accounts, Member States reported a total number of 32 256 relocated persons. This corresponds to a target achievement rate of almost 83%.

It is to be noted that the role of the emergency assistance tool within the future AMIF will remain important for the period 2021-2027 in order to address unforeseen events linked to the volatile migration situation.

The European Court of Auditors issued recommendations on the **strengthening of the management of the AMIF emergency assistance and national programmes**. They cover in particular strengthening the performance monitoring framework by monitoring and reporting the outcomes achieved by EMAS funded projects, ensuring that EMAS project contain output and outcome indicators with clean targets and baselines etc. In that respect, it should be noted that the indicators below are only encompassing national programmes projects (see comments below the tables)

### Lessons learnt

The new AMIF 2021-2027 provides financial resources to ensure a comprehensive approach to management of migration grounded on mutual trust, solidarity and fair sharing of responsibility among Member States and Union institutions, with the objective of ensuring a common sustainable Union policy on asylum and immigration. Lessons learned and incorporated into the design of the new AMIF include an allocation which reflects the different needs and pressures of Member States, and a thematic facility offering flexible funding for a number of priorities including support for solidarity and responsibility efforts between the Member States, specific attention to effective returns, and emergency assistance.

The main lessons learnt during the programming period 2014-2020 include:

*Insufficient cooperation, coordination and strategic steering in the implementation of the AMIF with other EU level initiatives:* This challenge was addressed by including eight shared management funds, including the AMIF, in a single legal framework. This allows for a closer coordination and cooperation of the shared management funds both at strategic level as well as at the level of implementation.

*A need for simplification:* in order to simplify and build on synergies, the rules applicable to the shared management funds will be aligned with rules applicable to the management of other Union Funds under shared management ('single rule book'). This provides better guidance on the management and control systems and audit requirements, and ensures that the eligibility rules under shared management make full use of simplified cost options (SCOs).

*Insufficient flexibility to respond to changing needs during the programming period:* This challenge was addressed in two ways. Firstly, Member States will be provided with around 52.9% to Member States programmes. An additional share of 10.6% of the total budget will be allocated at mid-term (technical adjustment of the distribution key subject to financial performance according to which a Member State should have submitted payment claims covering at least 10% of the initial amount of payment appropriations). Secondly, a financial envelope of 36.5% should be managed through the thematic facility, which will periodically provide funding for a number of priorities defined in Commission financing decisions. This facility in particular offers flexibility in the management of the instrument by allowing the disbursement of funds to the technical assistance at the initiative of the Commission and the following components of the thematic facility: support for specific actions, providing additional funding for dedicated actions of high EU added value, through the Member States' national programmes; support for Union actions, managed through direct and indirect management; and emergency assistance.

*The third main challenge was the need to strengthen the performance monitoring in terms of quality and frequency of the fund in general.* In order to address this challenge, the Commission proposed greatly improved performance monitoring with more regular and reliable data setting out common output and result indicators. In cooperation with the Member States, the Commission services will develop definitions for each of these indicators. This will ensure a common understanding of each indicator across all Member States and programmes. Moreover, it will not only greatly contribute to improving data quality, it will also enhance data comparability. Member States will be required to develop this performance framework for each of its programmes and underpin it by methodological considerations. The managing authority, in its yearly management declaration and as part of the annual assurance package, will have to confirm the reliability of submitted data relating to indicators and the progress of the programme. The annual performance review will be an occasion for a policy dialogue with the Member States on issues of programme

implementation and performance. In particular, the annual performance reports will provide qualitative information on programme implementation going beyond the quantitative data submitted for the indicators. It will complement the bi-yearly transmission of structured data and strengthen the performance review process. In the context of the performance framework, Commission services will hold at least two meetings with Member States during the programming period. All data required for monitoring progress in programme implementation will be transmitted electronically. Twice a year, Member States will transmit to the Commission structured data on the common output and result indicators. Thus, the Commission services will have a much more updated picture of programme performance than in the current period. In addition, the AMIF programmes will now also use the open data platform, which had been established in the current programming period for the European Structural and Investment Funds. It will allow stakeholders to access almost real time data on programme implementation. This is an important novelty for the HOME funds, which in the current period do not publish data on the open data platform.

Moreover, Member States are now required to set up a system of electronic data exchange between beneficiaries and managing authorities, and between different authorities of the management and control system. This requirement builds on the current Common Provisions Regulation, which did not cover the 2014-2020 AMIF, and further develops certain aspects of data collection. It is thus a novelty for the HOME funds in general. Beneficiary and project information, as well as the performance reports will be published on a dedicated website run by the managing authority. This will give greater visibility to achievements and allow better communication.

### 3.2. Key achievements

<i>2014-2020 cumulative number</i>	<i>Explanation of the number</i>
2 442 140	Number of target group persons provided with assistance through projects in the field of reception and asylum systems supported under the Fund
36 346	Capacity (i.e. number of places) of new reception accommodation infrastructure set up in line with the common requirements for reception conditions set out in the Union acquis and of existing reception accommodation infrastructure improved in accordance with the same requirements as a result of the projects supported under the Fund and percentage in the total reception accommodation capacity
63 378	Number of persons trained in asylum-related topics with the assistance of the Fund
85 790	Number of country-of-origin information products and fact-finding missions conducted with the assistance of the Fund
77 463	Number of persons resettled with support of the Fund
88 603	Number of target group persons who participated in pre-departure measures supported under the Fund
6 924 718	Number of target group persons assisted by the Fund through integration measures in the framework of national, local and regional strategies
10 458	Number of local, regional and national policy frameworks/measures/tools in place for the integration of third-country nationals and involving civil society and migrant communities, as well as all other relevant stakeholders, as a result of the measures supported under the Fund
29 620	Number of persons trained on return-related topics with the assistance of the Fund
129 326	Number of returnees who received pre or post return reintegration assistance co-financed by the Fund
316 463	Number of returnees whose return was co-financed by the Fund
35 131	Number of monitored removal operations co-financed by the Fund
32 256	Number of applicants and beneficiaries of international protection transferred from one Member State to another with support of the Fund

The Asylum, Migration and Integration Fund remained in 2020 a key source of financial assistance to cope with increased migratory flows and reception of asylum seekers.

In 2020, 353 653 **asylum seekers** received assistance from the programme (2019 – 377 768).

The Commission also supports Member States in their efforts to integrate third country nationals. In 2020, 959 222 third-country nationals have received integration assistance (compared to 971 385 in 2019). This assistance covered, among others, language and civic orientation training, preparatory actions to facilitate access to the labour market and capacity building.

Coordinated **resettlement efforts**, providing to persons in need of international protection a safe and legal way to reach the EU, have continuously increased since 2015 (14 812 in 2020 compared to 23 764 in 2019) and were recognized as one of the ‘Top 20 achievements of the Juncker Commission’.

Resettlement operations are an important part of the AMIF, with almost EUR 1 billion allocated to them in the 2014-2020 programming period, which constitute almost  $\frac{1}{4}$  of the overall financial value for the Fund. This corresponds to 101 116 persons to be resettled, of which 77 463 persons have been reported in payment claims to the Commission up to 2020 included. Reporting will continue until 2023 and it is therefore expected that the implementation rate will rise significantly.

Taking into account the success of the implementation of the ‘50 000’ scheme and the delays in the adoption of the Union Resettlement Framework by the co-legislators, the Commission has put in place a new ad hoc resettlement scheme covering the year 2020 with a target of 20 000 persons. Responding to the Commission’s call, Member States collectively pledged almost 30 000 resettlement places. This generous pledge – going beyond initial expectations – confirms the Member States’ commitment to resettlement and their resolve to scale up safe and legal pathways to protection in Europe. The collective EU pledge for 2020 represents almost 50% of global pledges. The expansion of EU resettlement is in line with the UNHCR 3-year (2019-2021) Strategy was welcomed by all stakeholders at the Global Refugee Forum in December 2019.

In order to reduce incentives for irregular migration, the Fund contributed in 2020 to the return of 39 966 persons (both voluntary and forced), which was significantly below the level of 2019, when 65 035 persons were returned. This corresponds to EUR 120 million in payments declared by the Member States in 2020 to the Commission. In particular, through the financial support given to the Member States for the Assisted Voluntary Returns and Reintegration Programmes, 19 150 persons have been returned voluntarily in 2020. Among return related projects, it is important to mention the ERRIN project run by the Netherlands in cooperation with other Member States, which contributed to assistance with voluntary return of 11 000 persons to 17 third countries, with a perspective of 20 000 persons until June 2021. The EU funding for this project will be extended until 1 July 2022 for two purposes: (1) to allow for reaching the target of 25 000 persons and (2) to prepare for the transition of the network activities to the European Border and Coast Guard Agency (EBCGA).

In 2020, 11 097 of the returned migrants received pre or post return reintegration assistance co – financed by the fund. The return operations organised by the Member States complement the return operations organised by the European Border and Coast Guard Agency. In 2020 with Frontex coordinated flights, 12 072 non-EU country nationals returned (24% decrease comparing with 2019), out of which: 7 952 persons by charter flights to 28 destinations, 3 981 persons by scheduled flights to 83 destinations and 145 returned to Turkey under the EU-TR statement. In total between March 2016 and March 2020, 2 140 persons were returned to Turkey.

It is worth recalling that the Agency can only assist Member States to implement enforceable return decisions issued by competent national authorities.

AMIF also provided, together with the United Nations Refugee Agency and the Greek Ministry of Migration and Asylum, over EUR 91.5 million to meet accommodation needs and over EUR 115 million for the cash based intervention project on the Greek mainland and the islands. On an annual basis, 27 000 places are being provided under the ESTIA (Emergency Support to Integration and Accommodation) scheme and more than 96 000 asylum seekers are receiving cash assistance. Moreover, in cooperation with the International Organisation for Migration (IOM) provided over EUR 124 million to meet accommodation needs of approximately 30 000 asylum seekers in 32 sites in the mainland. In 2020, the Fund also provided, together with international partner organisations, nearly EUR 20 million for the protection of children in Greece, and ensure access to schools and basic education. Until end-2020, approximately 1 500 places have been made available in shelters for unaccompanied children in the mainland and more than 12 000 children are estimated to have attended education at public schools.

### **Examples of success stories under shared management**

#### **Germany**

Terre des hommes Deutschland is running the project ‘Child-oriented reception of unaccompanied minors through qualification, knowledge and networking’ for a total EU Contribution of EUR 576 224. It was conceived in response to the increasing number of unaccompanied minors (UM) arriving in Germany since 2015, who were applying for asylum and the resulting high number of requests for advice, networking and training (pedagogical and legal, in particular) by all people involved in assisting UM, in particular employees of youth welfare institutions and social services, guardians, judges. The goal of the project is to improve the quality in assisting UM through specific education and training of relevant stakeholders involved with the reception and asylum procedures of UM. The project also enhances the networking among these stakeholders, thereby supporting the exchange of expertise on matters relating to child welfare and legal aid and representation for UM.

#### **Sweden**

The project ‘Stadsdelsmors’, for a total EU Contribution of EUR 513 991, is running from 2016 till 2020 and it aims to break down social isolation and increase the participation of a particular target group of third country nationals in society, namely those who are living in social exclusion (legally resident third-country nationals or those who are in the process of acquiring legal residence). The

project is developed in close exchange with similar projects in other European and Schengen countries (Denmark, Norway and Germany). The aim is that the target group should have access to social and professional networks in order to extend their networks and social health and this is realised *inter alia* through the provision of information on social issues in easy Swedish. Until now, 1512 persons were helped in the context of this project.

### Greece

Under the AMIF National Programme, Greece launched in February 2020 a call of EUR 10 million public contribution (EUR 7.5 million EU contribution) to subsidize the operation of **Semi-independent Living apartments (SILs)** for unaccompanied minors aged above 16 years old. The call was intended to cover the period until the end of 2022. The main purpose of this action is to support unaccompanied minors through personalized care and protection in the context of semi-autonomous living with a hosting framework that aims at their gradual autonomy.

The main goal of the action is to meet the basic needs of minors and to provide support services with a view to their protection, social inclusion and gradual autonomy. The specific model of hospitality promotes the support and empowerment of unaccompanied adolescents for the transition to adulthood, their gradual integration into the local community and the strengthening of the possibility of self-preservation. The current call covers 500 accommodation places.

### Italy

In the context of its AMIF national programme, Italy attached particular attention to the **social integration of young migrants**. The project “Piano Regionale Multi-Azione CASPER II” (EU contribution: EUR 1.3 million) supported the promotion of young and second-generation migrants’ social inclusion by tackling early school drop-out and performance gap. It fostered integration paths through the establishment of an integrated system of territorial services for the provision of qualified information, the promotion of participation in the socio-economic and cultural life of the host society and the reinforcement of associations of migrants. The project, which is ongoing since October 2018, has so far achieved important results such as:

- support to over 400 minors for their integration in the national education system;
- 35 vulnerable migrants assisted by the medical and social services;
- 74 third-country nationals assisted with the procedures linked to their residence permit (particularly important in light of the recent important legislative changes in this domain);
- 90 media workers trained in communication in the field of migration;
- 11 migrants associations supported in the implementation of integration paths.

Another milestone of Italy’s activities under its AMIF national programme is the **assisted voluntary return and reintegration** in the migrants’ country of origin. For example, project ERMES 3 (EU contribution: EUR 0.5 million) builds upon three pillars of activities: a) dissemination of information in Italy; b) support to pre-departure phase in Italy and support to development of reintegration plan as well as c) assistance upon arrival and up to 6-months long support period in the country of return. The project concerns measures for the AVRR of 300 third-country nationals to their home countries by end of 2021. Two Italian NGOs, namely *Centro Informazione e Educazione allo Sviluppo/CIES ONLUS* and *Comitato Internazionale per lo sviluppo dei popoli/CISP*, jointly manage the project.

### Examples of success stories under emergency assistance

AMIF emergency assistance funding played an important role in supporting front line Member States facing increased numbers of arrivals. Below some successful examples of this funding:

### Greece

To address this situation, the Commission has awarded towards International Organisations and Greek authorities a number of emergency assistance projects in order to alleviate the situation. EUR 125 million were granted to IOM to run the project for Site Management Support for the provision of accommodation and related services in 32 camps in the mainland for approximately 28 000 places. The project lasted the whole of 2020, and was extended until the end of March 2021. Furthermore, in March 2020 the Commission awarded 91.5 million in the Emergency Support to Integration and Accommodation (ESTIA) programme, for the year period 1 January 2020 to 31 December 2020. The project was implemented jointly by the Greek Ministry of Migration and Asylum and the United Nations Refugee Agency (UNHCR) and provided approximately 25 000 places in apartments and adequate shelters on the mainland and several islands for most vulnerable cases. During 2020, the programme was successfully transitioned from UNHCR to the Greek authorities, in line with the aim to maintain and enhance reception capacity in Greece by ensuring adequate and appropriate accommodation for vulnerable asylum seekers, in line with the EU Directive on Reception Conditions.

Moreover, in July 2019, the Commission awarded to the International Organisation for Migration (IOM) the HELIOS project, which is a pilot integration project composed of three different components: education, accommodation and employability. The beneficiaries enrolled (beneficiaries of international protection), have the obligation to attend language courses and simultaneously, with the assistance of IOM and its partners, find apartments for rent. For the period from 16 July until the end of January 2021, **25 541** were enrolled to HELIOS project and received support for independent living and 10 319 beneficiaries received rental subsidies upon finding independent housing. The aim is that in the next phase the beneficiaries will be able to integrate into the labour market. The amount of the project reaches EUR 57 million and the end of the project is scheduled for the end of February 2021 (the project is expected to be continued under ESF+ for the programming period 2021-2027).

In addition, since April 2020, the Relocation from Greece project is being implemented by IOM (in cooperation with UNHCR, UNICEF and EASO). The project amounts EUR 30 million and the end of the project is 30 April 2021. Until 22 January 2021, **2 269 beneficiaries have been relocated** (586 unaccompanied minors, 388 beneficiaries of international protection and 1 295 member of families with sick persons).

### Italy

Italy has received AMIF emergency assistance to improve the performance of its asylum procedures through the provision of asylum experts, interim administrative staff, IT equipment, inter-cultural mediation and other services to assist with the registration and processing of asylum applications. Under two on-going EMAS projects, for a total amount of EU contribution of EUR 22.3 million, the Ministry of Interior receives support to implement the procedure for the recognition of international protection: 289 resources, among which inter-cultural mediators, legal and administrative officers, are deployed at the Immigration Offices at the local Questure and Air Borders offices to assist Police Officers in the immediate registration of asylum requests. The administrative activity at Police Offices, offices of the Territorial Commissions and of the National Commission has been simplified to reduce, for example, the average time dedicated to the analysis of requests and for first instance decisions.

Other successful EMAS actions were the project (EUR 0.7 million) for the humanitarian evacuation of up to 700 vulnerable migrants stranded in Libya to Italy with the support of UNHCR, as well as the project on assisted voluntary return and reintegration carried out with IOM (EUR 6 million) and the project (EUR 9 million) supporting emergency health assistance to vulnerable migrants hosted in Italy's reception system.

EUR 30.2 million of AMIF emergency assistance were deployed in 2020 to implement a pilot project to tackle the problem of migrant labour exploitation in Southern Italy. The project aims to eradicate the social emergency by providing appropriate housing, transportation, health and social assistance to victims of labour exploitation. Following the outbreak of the COVID pandemic and the immediate risks on the target population, in May 2020 anti-COVID prevention measures were put in place by the Italian Red Cross and NGO Intersos at the "Casa Sankara", where several hundred migrants were transferred from informal settlements.

Moreover, in August 2020 IOM received from the Commission EUR 2.2 million AMIF emergency assistance to carry out activities necessary for the voluntary relocation of 2 200 asylum seekers from Italy to other EU countries and Schengen Associated States. A total of 286 relocation transfers have been completed successfully through the project until 31/1/2021, in close cooperation with the Italian Ministry of Interior and the Commission.

### Malta

In addition, throughout 2020 a number of MS, continued voluntary relocation supported by the AMIF emergency funding. For instance, in January 2020, the Commission extended the emergency support to the International Organization for Migration (IOM) under AMIF for the voluntary relocation of up to 1 000 persons from Malta to EU Member and Associated States of Relocation until end of February 2021 for an EU contribution of nearly EUR 1 million. By the end of 2020, a total of 600 persons had been assisted in their relocation. The project is expected to be extended until end of May 2021 in order to carry out relocations from the remaining open pledges (estimated 260 persons) without additional funding awarded. Due to the ongoing pandemic the project also covered unforeseen COVID-19 related costs such as protective equipment, COVID testing, charter flights etc.

### Union actions

Examples of AMIF funded Union actions can be found in the Snapshots and Factsheets published by the Commission at the following links:

[https://ec.europa.eu/home-affairs/publications/amif-more-snapshot-e-book\\_en](https://ec.europa.eu/home-affairs/publications/amif-more-snapshot-e-book_en)

and

[https://ec.europa.eu/home-affairs/publications/amif-factsheet-compilation\\_en](https://ec.europa.eu/home-affairs/publications/amif-factsheet-compilation_en)

In 2020, under 2019 AMIF call, five new projects have been selected and awarded touching for the first time upon the area of complementary pathways, for a total amount of EUR 3.8 million euro under the topic "Fostering the integration of persons in need of protection through private sponsorship schemes". Such schemes, with strong involvement of local communities and civil society organisations, allow to strengthen capacities at local level to provide adequate support for integration. AMIF has also the external dimension – under 2019 AMIF call, six new projects have been selected and awarded in 2020 under the topic "Awareness raising and information campaigns on the risks of irregular migration in selected third countries and within Europe." These projects, paired with a recurring support via a direct award grant for a consortium of leading EU public media led by France Médias Monde for the multilingual online information portal for prospective migrants Infomigrant, are part of the broader approach to prevent irregular migration and in particular migrant smuggling. The main goal is to provide potential migrants with trusted, factual, balanced information on the risks of irregular migration – during the journey (dangers of migrating irregularly) and after arrival (living in the EU irregularly and return). A total budget of EUR 6.5 million euro was allocated to these actions.

### **Examples of success stories under direct management:**

Migrant women often find it harder to integrate into European society than migrant men do. This is down to the fact that these women tend to be charged with taking care of the entire family and as a result miss out on finding a job and integrating socially.

The 2016 action plan on integration showed that there was an urgent need for better measures to improve female migrant integration across the EU. Examples of good practice could feed back into government policy, helping to improve their lives in Europe. Urbagri4Women was a 2-year project that helped integrate migrant women into the labour market and society by

encouraging them to participate in various urban farming initiatives. The women's entrepreneurial spirit resulted in urban rehabilitation, which has in turn brought economic, environmental and social benefits. The project covered seven Member States: Austria, Cyprus, France, Greece, Italy, Portugal and the UK with a budget of 0.6 million EUR. The project promoted social inclusion, female empowerment and served to rehabilitate the abandoned or decaying urban areas. The local communities actively participated with more than 200 cultural organisations, educational establishments and businesses providing practical support.

The results of this project will feed into future national and European policy designed to help and integrate migrant women. From a wider angle, previously barren urban areas have been regenerated and transformed into areas with economic, environmental and social benefits.

### 3.3. Evaluations, studies and reports

The key findings of the latest Interim evaluation of the Asylum, Migration and Integration Fund 2014-2017 (SWD (2018) 340 final <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018SC0339&from=EN>) have been presented in the Programme Statements DB2020.

By 31 December 2023, the Member States will provide an ex-post evaluation report on the effects of actions under their national programmes and by 30 June 2024 the Commission will present an ex-post evaluation report on the effects of the legal bases.

At the same time, DG HOME implements the **Action Plan** following the internal audit findings on the monitoring and reporting on the implementation and performance of National Programmes. In particular, DG HOME has strengthened its processes for monitoring the National Programmes and increased its efforts to improve the reliability of performance data reported by the Member States in their Annual Implementation Reports submitted annually. More attention will be given to the consistency of data reported by the Member States. Together with the Member States, DG HOME will develop common definitions for each common indicator set out in the Fund Regulation.

Moreover, the European Court of Auditors issued recommendations on the strengthening of the management of the AMIF emergency assistance and national programmes. They cover in particular strengthening the performance monitoring framework by monitoring and reporting the outcomes achieved by EMAS funded projects, ensuring that EMAS project contain output and outcome indicators with clean targets and baselines etc.

While the Commission started implementing the ECA's recommendations already under the ongoing programmes, the main structural recommendations will be put in place in the context of the next MFF, including on performance reporting on EMAS projects.

## 4. Programme 2021-2027 - Key monitoring indicators

### Specific Objective 1 :Strengthen and develop all aspects of the common European asylum system, including its external dimension

#### Indicator 1: Number of participants who consider the training useful for their work

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

#### Indicator 2: Number of participants who report three months after the training activity that they are using the skills and competences acquired during the training

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of persons placed in alternatives to detention

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :To strengthen and develop legal migration to the Member States in accordance with their economic and social needs, and to promote and contribute to the effective integration of third-country nationals

### Indicator 1: Number of participants in language courses who have improved the proficiency level in the host-country language upon leaving the language course by at least one level in the Common European Framework of the Reference for Languages or national equivalent

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of participants who report that the activity was helpful for their integration**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of participants who applied for their qualification/skills acquired in a third country to be recognised/assessed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of participants who applied for a long-term status**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :To contribute to countering irregular migration, enhancing effective, safe and dignified return and readmission, as well as to contribute to and to promote effective initial reintegration in third countries**

**Indicator 1: Number of returnees voluntarily returned**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of returnees who were removed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of returnees subject to alternatives to detention**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :To enhance solidarity and responsibility sharing between the Member States, in particular towards those most affected by migration and asylum challenges, including through practical cooperation**

**Indicator 1: Number of applicants for and beneficiaries of international protection transferred from one Member State to another**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States have monitored this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of persons resettled**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States have monitored this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of persons admitted through humanitarian admission**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States do not monitor this indicator
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in

	the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

### *Previous Program 1 : Asylum, Migration and Integration Fund*

**General Objective 1 :to contribute to the efficient management of migration flows and to the implementation, strengthening and development of the common policy on asylum, subsidiary protection and temporary protection and the common immigration policy, while fully respecting the rights and principles enshrined in the Charter of Fundamental Rights of the European Union**

**Indicator 1:Effectiveness of return policy as reflected by the ratio between the number of irregular migrants returned to their country of origin compared to return decisions issued**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2022
39.2%				Increased ratio						Increased ratio
	Actual Progress									Final
	31.91%	33.85%	45.15%	35.67%	31.95%	28.97%				

Are we on track	On track
Indicator type	
Unit of measurement	Ratio
Cut-Off Date	01/04/2021
Data source	Eurostat
Narrative	
Methodology	The indicator measures the number of third country nationals who have been returned to third countries.
Link MFF 14-20 / MFF 21-27	This indicator is not included in the core performance indicators for the MFF 2021-2027.
Other methodological comments	Extract from Eurostat on 15/02/2021. Data are revised on a continuous basis according to the most recently updated data provided by the countries. For accuracy purposes, the indicator should be called: 'Effectiveness of return policy as reflected by the ratio between the total number of irregular migrants returned compared to return decisions issued'. All data, including historical data, refers to EU-27
Full metadata available at this address	
Justification of the trend	In light of the declining return rate, the Pact includes measures for stepping up returns, notably by closing loopholes between asylum and return procedures – including at the external borders by means of a border procedure – through the recast Return Directive and the amended proposal for an Asylum Procedure Regulation. The Pact announces a new strategy to reinforce voluntary return and reintegration, foresees the appointment of a Return Coordinator who will be supported by a High-Level Network which will provide technical support and bring together the strands of the EU return policy. Moreover, the implementation of the European Border and Coast Guard Agency (Frontex) mandate on returns and measures for enhancing cooperation with third countries will further contribute to returns.

### **Indicator 2:Ratio voluntary/forced return**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2022
45.5%				Increased						Increased ratio
	Actual Progress									Final
	58.4%	86.8%	133%	136%	109.2%	100.2%				

Are we on track	On track
Indicator type	
Unit of measurement	Ratio
Cut-Off Date	01/04/2021
Data source	Eurostat
Narrative	This indicator is not included in the AMIF Regulation.
Methodology	The number of voluntary returns divided by the number of enforced returns.

Link MFF 14-20 / MFF 21-27	This indicator is not included in the core performance indicators for the MFF 2021-2027.
Other methodological comments	Please note that not all MS report this indicator. Also, some MS do not report it every year so the figures are not fully comparable. It will become obligatory to report this breakdown from reference year 2021.
Full metadata available at this address	
Justification of the trend	The Commission has always promoted the voluntary return as a preferred option for being more dignified concerning potential returnees. The Pact announces a new strategy to reinforce voluntary return and reintegration. Moreover, the implementation of the European Border and Coast Guard Agency (Frontex) mandate on returns implies also an increase of the support that the Agency is able to provide to MS in the field of Assisted Voluntary Returns including through the takeover of the European Return and Reintegration Network (ERRIN)

### Indicator 3: Difference in employment rates of third-country national (TCN) compared to that of EU nationals

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Points of difference										
2013	Milestones									2022
13.2	Actual Progress									Decrease
	13.1	13.7	14.9	15.1	14.3	13.9	15.9			Final
Employment rate of Third-country nationals										
2013	Milestones									2022
	Actual Progress									Final
	55.7%	56.0%	55.9%	57.0%	58.8%	60.0%	57.4%			
Employment rate of EU nationals										
2013	Milestones									2022
	Actual Progress									Final
	68.8%	69.7%	70.8%	72.1%	73.1%	73.9%	73.3%			

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	Percentage points and percentages respectively
Cut-Off Date	01/04/2021
Data source	Eurostat
Narrative	
Methodology	The gap in percentage points in the EU27 between the employment rate of EU27 citizens aged 20 to 64 and the employment rate of non-EU27 citizens aged 20 to 64
Link MFF 14-20 / MFF 21-27	This indicator is not included in the core performance indicators for the MFF 2021-2027
Other methodological comments	In line with Eurostat methodology, the employment rate for EU nationals is no longer calculated on the basis of EU28 but based on EU27. Data for previous years now also reflect the employment rate for EU27.
Full metadata available at this address	
Justification of the trend	Integration is a long term process and results of funding cannot be seen in the short term. This indicator is used to measure progress in integrating third country nationals in EU societies. In 2020, the gap increased with 2% to 15.9. The reason for this is that extra-EU workers are particularly vulnerable to forced shutdowns such as those provoked by the COVID19 crisis, being more frequently employed in non-teleworkable occupations (e.g. cleaners and helpers), on temporary contracts and belonging more to the bottom of the income distribution than native workers. This is based on an analysis carried out by JRC on the issue of employment rates of non-EU workers <a href="https://publications.jrc.ec.europa.eu/repository/bitstream/JRC120730/online.pdf">https://publications.jrc.ec.europa.eu/repository/bitstream/JRC120730/online.pdf</a>

### Indicator 4: Convergence of recognition rates for international protection by Member States for asylum applicants from the same third country

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2022
	Actual Progress									Lower (increased convergence)
	24	24.2	28.3	25.3	22.4	28.1	24.2			Final

Are we on track	On track
Indicator type	

Unit of measurement	Decisions of the Member States' determining authorities on the applications for international protection of Afghan nationals, annual.
Cut-Off Date	
Data source	Calculations based on Eurostat data
Narrative	This indicator aims to measure the harmonisation of rules and practices in the EU regarding asylum procedures. This is done by using a proxy: the ratio between the number of Afghan nationals who are granted international protection at first instance in the Member States and the number of first instance decisions concerning Afghan nationals. The target is to reach a lower standard deviation than in 2014. Notwithstanding progress achieved in the development of the Common European Asylum System, there are still significant disparities between the Member States, and in 2019 the standard deviation increased compared to 2014. The New Pact on Migration and Asylum aims to further harmonise rules and practices in the EU and decrease the deviation.
Methodology	The standard deviation of the recognition rate of Afghan nationals, calculated among a pre-defined group of ten Member States that took the highest number of first instance decisions on asylum applications from Afghan nationals in the period from 2016-2018. To get the recognition rate, the number of positive decisions (refugee status and subsidiary protection, not including humanitarian status) granted in first instance for Afghan nationals are divided by the total number of decisions in first instance relating to this nationality.
Link MFF 14-20 / MFF 21-27	This indicator will continue to be reported. However, it is not included in the list of core performance indicators for the MFF 2021-2027
Other methodological comments	Under the previous methodology (considering Member States taking at least 100 decisions), the number and range of Member States considered varies from year to year, distorting the calculation.
Full metadata available at this address	
Justification of the trend	The objective to be reached is to have more streamlined asylum decisions across Member States' determining authorities, meaning that if e.g. an Afghani national makes an application for international protection in Member State X, he should have a similar outcome on his application were it made in Member State Y. Although the EU asylum acquis integrates this objective as an important one, and some convergence is starting to show, Member State practices still result in some divergence. With the New Pact on Asylum and Migration, adopted in September 2020, as well as instruments such as practical guidance developed by EASO, it is expected that further convergence will emerge; and time is needed for its impact to be visible. However, it can be concluded that the indicator is on track, as the elements for convergence are in place.

### Specific Objective 1 :to strengthen and develop all aspects of the Common European Asylum System, including its external dimension

#### Indicator 1: Number of target group persons provided with assistance through projects in the field of reception and asylum systems supported under the Fund

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
				643350						1263700
	Actual Progress									Final
	155246	396734	898859	1351630	1710719	2088487	2442140			

Are we on track	On track
Indicator type	
Unit of measurement	Number of persons, milestones and target are cumulative, actual results are cumulative
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will report on the following indicators: Number of participants supported; of which number of participants who received legal assistance; of which number of participants benefiting from other types of support, including information and assistance throughout the asylum procedure; of which number of vulnerable participants assisted; These indicators are, however not included in the list of core performance indicators.
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	The values are reflecting the crisis in 2016 and the current situation in migration flows which is decreasing.

#### Indicator 2: Capacity (i.e. number of places) of new reception accommodation infrastructure set up in line with the common requirements for reception conditions set out in the Union acquis and of existing reception accommodation infrastructure

**improved in accordance with the same requirements as a result of the projects supported under the Fund and percentage in the total reception accommodation capacity**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
				25389						51028
	Actual Progress									Final
	1533	3068	8668	24868	28325	32453	36346			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year. Availability of Data: Based on latest data submitted by Member States as of 31/03/2020, reflecting the current situation on migration flow which is decreasing. It appears that the Member States are reducing the capacity of new reception accommodation infrastructure, likely linked to the reduced number of asylum seekers in some countries.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will report data on the following indicators: Number of newly created places in reception infrastructure in line with Union acquis; of which number of newly created places for unaccompanied minors; Number of renovated/refurbished places in reception infrastructure in line with Union acquis; of which number of renovated/refurbished places for unaccompanied minors. These indicators are not included in the list of core performance indicators. The following indicators are included in the list of core performance indicators. Number of persons placed in alternatives to detention; of which number of unaccompanied minors placed in alternatives to detention of which number of families placed in alternatives to detention.
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Values increased as of 2017 when implementation picked up. Still away from the 2022 target due to delays in procurement and refurbishment projects in a number of MS.

**Indicator 3: Number of persons trained in asylum-related topics with the assistance of the Fund, and that number as a percentage of the total number of staff trained in those topics**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of persons trained in asylum-related topics with the assistance of the Fund										
	Milestones									2022
0	0			12 603						25 205
	Actual Progress									Final
	0	1 826	7799	22898	39752	54048	63378			
Percentage of persons trained in asylum-related topics with the assistance of the Fund of the total number of staff trained in those topics										
	Milestones									2022
0%	0%			28%						56%
	Actual Progress									Final
	0%	4.75%	9.33%	14%	16.66%	18.22%	19.23%			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will report on the Number of participants in training activities. This indicator is, however not included in the list of core performance indicators. The following indicators for the period MFF 2021-2027 are included in the list of core performance indicators: Number of participants who consider the training useful for their work; Number of participants who report three months after the training activity that they are using the skills and competences acquired during the training
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement
Full metadata available at this address	

Justification of the trend	Initial target slightly underestimated, more personnel resources had to be trained on asylum-related topics. Percentage however is underachieved showing that resources other than the AMIF fund were also used to train the personnel.
----------------------------	---

#### Indicator 4: Number of country-of-origin information products and fact-finding missions conducted with the assistance of the Fund

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0	0			36 123						72 246
	Actual Progress									Final
	0	11 799	22 659	34 711	49 867	66 214	85 790			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Member States will not monitor this indicator in MFF 2021-2027
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement
Full metadata available at this address	
Justification of the trend	The indicator is on track and in line with increased efforts to improve asylum procedures in the recent years.

#### Indicator 5: Number of projects supported under the Fund to develop, monitor and evaluate asylum policies in Member States

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
				72						132
	Actual Progress									Final
	2	41	57	68	70	83	89			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Member States will not monitor this indicator in MFF 2021-2027
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement
Full metadata available at this address	
Justification of the trend	Progress is slow and target still away. The delay in adopting the EU migration pact possibly contributed to this trend. Achievement of the target by 2022 appears ambitious but not unrealistic

#### Indicator 6: Number of persons resettled with support of the Fund

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2022
0	7362			30139						108860
	Actual Progress									Final
	0	3766	16189	24844	38887	62651	77463			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	15/02/2021
Data source	Provided in the accounts submitted by Member States on 15/2 each year.
Narrative	

Methodology	
Link MFF 14-20 / MFF 21-27	Member States will continue to monitor this indicator in MFF 2021-2027
Other methodological comments	Although Member States report resettlement data also in their Annual Implementation Report, the Commission has decided to use the resettlement data provided by the Member States in their annual accounts for this purpose. It appears that the resettlement data submitted in the annual accounts is up to date and thus provides an accurate and updated picture of resettlement.
Full metadata available at this address	
Justification of the trend	Member States are committed to resettlement which is shown by the gradually increasing number of pledges and the very good implementation rates (almost 90% for the “50 000 scheme” in 2018-2019). In 2020, the implementation of the pledges was disrupted by the COVID-19 pandemic. Despite these difficulties, 14 812 people were resettled in the EU in 2020.

**Specific Objective 2 :to support legal migration to the Member States in accordance with their economic and social needs, such as labour market needs, while safeguarding the integrity of the immigration systems of Member States, and to promote the effective integration of third-country nationals**

**Indicator 1: Number of target group persons who participated in pre-departure measures supported under the Fund**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0	0			120 460						240 920
	Actual Progress									Final
	0	9 259	20 573	33 039	52800	71135	88603			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Member States will continue to monitor this indicator in the MFF 2021-2027
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year’s programme statement.
Full metadata available at this address	
Justification of the trend	Underachieved. Member States often opt to provide comparable support after arrival. Hence, when setting this ambitious target, this approach may not have been known.

**Indicator 2: Number of target group persons assisted by the Fund through integration measures in the framework of national, local and regional strategies**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
				1312031						2618062
	Actual Progress									Final
	51456	120210	1561763	2916841	4954111	5925496	6924718			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027 Member States will report the following indicators: Number of participants in language courses who have improved their proficiency level in the host-country language upon leaving the language course by at least one level in the Common European Framework of Reference for Languages or national equivalent; Number of participants who report that the activity was helpful for their integration; Number of participants who applied for their qualification / skills acquired in a third country to be recognised / assessed; Number of participants who applied for a long-term status.
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year’s programme statement.

Full metadata available at this address	
Justification of the trend	Overachieved. In general MS made consistent efforts to implement actions under SO2. Top ups were allocated in 2017 and 2018

**Indicator 3: Number of local, regional and national policy frameworks/measures/tools in place for the integration of third-country nationals and involving civil society and migrant communities, as well as all other relevant stakeholders, as a result of the measures supported under the Fund**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0				3722						7443
	Actual Progress									Final
	8	402	2314	4806	7512	8966	10458			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will report the following indicator, which is however ,not included in the list of core performance indicators: Number of integration projects where local and regional authorities are the beneficiary
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Overachieved. In general MS made consistent efforts to implement actions under SO2. Top ups were allocated in 2017 and 2018

**Indicator 4: Number of cooperation projects with other Member States on the integration of third-country nationals supported under the Fund**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0	0			31						62
	Actual Progress									Final
	0	0	0	17	20	45	49			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member State will not report on this indicator.
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	On track. In general MS made consistent efforts to implement actions under SO2. Top ups were allocated in 2017 and 2018

**Indicator 5: Number of projects supported under the Fund to develop, monitor and evaluate integration policies in Member States**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0				67						134
	Actual Progress									Final
	1	4	29	46	67	82	189			

Are we on track	On track
Indicator type	

Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will not continue to report on this indicator
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Overachieved. The Commission is using all possible channels, including participation in the monitoring committee meetings to encourage Member States to step up their efforts.

**Specific Objective 3 :to enhance fair and effective return strategies in the Member States which contribute to combating illegal immigration, with an emphasis on sustainability of return and effective readmission in the countries of origin and transit**

**Indicator 1: Number of persons trained on return-related topics with the assistance of the Fund**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0	0			14 020						28 040
	Actual Progress									Final
	40	1 033	4 533	8 572	17 879	25 273	29 620			

Are we on track	On track
Indicator type	
Unit of measurement	Milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	The number of participants in training activities will be monitored by the Member States in the MFF 2021-2027
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Well on track

**Indicator 2: Number of returnees who received pre or post return reintegration assistance co-financed by the Fund**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0	0			101 810						200 020
	Actual Progress									Final
	7 638	27 933	51 671	67 979	91 756	118 229	129 326			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of returnees, Milestones and target are cumulative, actual results are cumulative
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	The following indicator will be monitored by the Member States in MFF 2021-2027: Number of returnees who received re-integration assistance
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement
Full metadata available at this address	
Justification of the trend	Underachieved, in-line with the decreased numbers of persons effectively returned

**Indicator 3: Number of returnees whose return was co-financed by the Fund**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total										
	Milestones									2022
0				307050						612400
	Actual Progress									Final
	5981	48593	87840	141213	211462	276497	316463			
Voluntary returns										
	Milestones									2022
0				158050						297930
	Actual Progress									Final
	4574	37647	67663	88591	129220	158273	177423			
Forced returns										
	Milestones									2020
0				148965						297930
	Actual Progress									Final
	1407	10946	20177	52622	82242	118224	139040			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of returnees, milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will monitor the following indicators included in the list of core performance indicators: Number of returnees voluntarily returned; Number of returnees who were removed; Number of returnees subject to alternatives to detention
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Underachieved, in line with the implementation of return projects which is slow with difficulties reported more on forced return but also on voluntary return. Many return operations have been delayed or cancelled due to disagreements with the receiving countries or legal obstacles.

#### Indicator 4: Number of monitored removal operations co-financed by the Fund

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0	0			3 428						6 856
	Actual Progress									Final
	29	4 695	10 793	17 566	21 126	30 098	35 131			

Are we on track	On track
Indicator type	
Unit of measurement	Number of operations, milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Member States will not monitor this indicator in the MFF 2021-2027
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Overachieved, original target set lower.

#### Indicator 5: Number of projects supported under the Fund to develop, monitor and evaluate return policies in Member States

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0				22						44
	Actual Progress									Final
	2	6	10	19	19	31	44			

Are we on track	On track
Indicator type	
Unit of measurement	Number of projects, milestones and target are cumulative, actual results are cumulative
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will not monitor this indicator
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	On track. In 2020 Commission offered support to MS for improving return policies and operations

### Specific Objective 4 :to enhance solidarity and responsibility-sharing between the Member States, in particular with those most affected by migration and asylum flows, including through practical cooperation

#### Indicator 1: Number of applicants and beneficiaries of international protection transferred from one Member State to another with support of the Fund

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0				16000						38703
	Actual Progress									Final
	0	34	5175	24523	31375	32069	32256			

Are we on track	On track
Indicator type	
Unit of measurement	Number of persons, milestones and target are cumulative, actual results are cumulative
Cut-Off Date	15/02/2021
Data source	Provided in the annual accounts sent by Member States on 15 February each year.
Narrative	
Methodology	This indicator monitors relocation operations under the two Council decisions of September 2015 as well as under ad hoc voluntary operations. It should be noted that the number of persons relocated under the two 2015 Council decisions is 34,708 persons, reported by Greece and Italy. It includes relocations to Schengen associated countries.
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member states will continue to monitor this indicator, which is included in the list of core performance indicators
Other methodological comments	Although Member States report resettlement data also in their Annual Implementation Report, the Commission has decided to use the data provided by the Member States in their annual accounts for this purpose. It appears that the data submitted in the annual accounts provides an up-to-date and accurate picture.
Full metadata available at this address	
Justification of the trend	On track - transfers are taking place under both shared and direct management. Increased disembarkations in frontline MS since 2018 increased the demand for pledges and actual persons transferred

#### Indicator 2: Number of cooperation projects with other Member States on enhancing solidarity and responsibility sharing between the Member States supported under the Fund

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0				3						6
	Actual Progress									Final
	0	0	0	0	1	3	5			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of projects, milestones and target are cumulative, actual results are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will not monitor this indicator

Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Moderate progress, reflecting the current situation on migration flow which is decreasing.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

#### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming					Total
	2022	2023	2024	2025	2026	
0,0	0,0					0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.4.2. Key achievements and performance**

The AMIF Regulation (Regulation (EU) No 516/2014), covering the previous programming period, stipulates that eligible actions need to take account of the human rights-based approach to the protection of migrants, refugees and asylum seekers and should, in particular, ensure that special attention is paid to, and a dedicated response is provided for, the specific situation of vulnerable persons, in particular women, unaccompanied minors and other minors at risk. Support for third country national victims of trafficking is ensured on this ground.

*The new AMIF regulation for the MFF 2021-2027, which is politically agreed, but still needs to be adopted (late June/early July) stipulates under article 6 about gender equality and non-discrimination. The Member States and the Commission must ensure the integration of the gender perspective and that gender equality and gender mainstreaming are taken into account and promoted throughout the preparation, implementation, monitoring, reporting and evaluation of programmes and projects supported under the Fund. Moreover, the Member States and the Commission must take appropriate steps to exclude any form of discrimination prohibited by Article 21 of the Charter. The AMIF will apply a horizontal expenditure tracking methodology in order to assess impacts of gender mainstreaming in the AMIF.*

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

##### ***SDG 1 End poverty in all its forms everywhere***

AMIF supports the most vulnerable groups by providing material aid, providing assistance in housing, means of subsistence, health, psychological and social care including through adapting reception centres and services to the most vulnerable groups such as unaccompanied minors.

Under the national programme of Romania, a project 'My place' financed between 2017 and 2019 aimed at providing a bridge for the integration of beneficiaries of international protection and third-country nationals in Romania. The general objective of the project was to support the socioeconomic and cultural integration of beneficiaries of international protection and third-country nationals into Romanian society through an integrated approach by providing the necessary information and services and by enhancing the active collaboration and involvement of the authorities/institutions, the private sector and other entities with relevance to the field of migrant integration. The target group was beneficiaries of international protection and third-country nationals with the right of residence on the Romanian territory (long- or short-term residence permit), in need of support with accommodation and integration in a specific region. The project's aim was to provide assistance to a group of at least 150 migrants receiving some form of protection in Romania, or granted refugee status or subsidiary protection, along with some 109 third-country nationals or stateless persons with the right of residence in Romania.

***SDG 10 Reduce inequality within and among countries***

AMIF makes a meaningful contribution to safe migration by supporting information campaigns on legal migration channels to the EU, legal migration through resettlement and family reunification and by promoting mobility schemes to EU such as circular or temporary migration schemes. AMIF also contributes to social inclusion of third country nationals by supporting their integration, active participation in the society and their acceptance in the receiving society through for instance, actions focusing on civic orientation and training, including language trainings to newcomers, or promoting meaningful contact and constructive dialogue between third country nationals and the receiving society.

The project ‘Stadsdelsmammor 2.0’ (‘neighbourhood mothers 2.0’) financed between 2016 and early 2020 under the Swedish national programme was a project in the city of Helsingborg in southern Sweden. Helsingborg, like most major cities in Sweden, is characterised by great challenges of segregation and polarisation. The ‘neighbourhood mothers’ method was based on an existing need to reach those residents who were the most socially isolated. For many years, there has been an upward trend in societal disparities, for example between the economic and social resources of residents in different residential areas. The project aimed at reducing social and economic gaps by engaging local newly arrived mothers and creating meeting places and social activities for them, while at the same time contributing to city development.

**6.5.2. Key achievements and performance*****SDG 1 End poverty in all its forms everywhere***

AMIF supports the most vulnerable groups by providing material aid, providing assistance in housing, means of subsistence, health, psychological and social care including through adapting reception centres and services to the most vulnerable groups such as unaccompanied minors.

***SDG 10 Reduce inequality within and among countries***

AMIF makes a meaningful contribution to safe migration by supporting information campaigns on legal migration channels to the EU, legal migration through resettlement and family reunification and by promoting mobility schemes to EU such as circular or temporary migration schemes. AMIF also contributes to social inclusion of third country nationals by supporting their integration, active participation in the society and their acceptance in the receiving society through for instance, actions focusing on civic orientation and training, including language trainings to newcomers, or promoting meaningful contact and constructive dialogue between third country nationals and the receiving society.

**HEADING 4: Migration and Border Management****Integrated Border Management Fund****Lead DG:HOME**

1. Overview .....	994
1.1. Challenges .....	994
1.2. Mission (general objectives) .....	994
1.3. Specific objectives .....	994
1.4. Public intervention context .....	995
1.5. Actions .....	995
1.6. Delivery mode .....	996
1.7. Graphic overview of the programme structure .....	996
1.8. Legal basis and financial programming .....	998
1.9. Link with the 2014-2020 MFF .....	999
1.10. Relevant websites providing more information .....	999
2. Where are we in the implementation ? .....	999
2.1. Programme 2021-2027 .....	999
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	999
3. How is the programme performing ? .....	1001
3.1. Performance .....	1001
3.2. Key achievements .....	1004
3.3. Evaluations, studies and reports .....	1005
4. Programme 2021-2027 - Key monitoring indicators .....	1006
Specific Objective 1 :Supporting effective European integrated border management at the external borders implemented by the European Border and Coast Guard as a shared responsibility of the European Border and Coast Guard Agency and of the national authorities responsible for border management, to facilitate legitimate border crossings, to prevent and detect illegal immigration and cross-border crime and to effectively manage migratory flows .....	1006
Specific Objective 2 :Supporting the common visa policy to facilitate legitimate travel and prevent migratory and security risks .....	1009
Specific Objective 3 :Contributing to adequate and equivalent results of customs controls through the transparent purchase, maintenance and upgrade of relevant, state-of-the-art, such as secure, safe and environmental-friendly, and reliable customs control equipment, thereby supporting the customs authorities acting as one to protect the interests of the Union .....	1011
5. Programme 2014-2020 - Key monitoring indicators .....	1011
Previous Program 1 : Internal Security Fund .....	1011
General Objective 1 :To contribute to ensuring a high level of security in the Union .....	1011
Specific Objective 1 :Supporting a common visa policy to facilitate legitimate travel, provide a high quality of service to visa applicants, ensure equal treatment of third-country nationals and tackle illegal immigration .....	1012
Specific Objective 2 :Supporting integrated border management to ensure, on one hand, a uniform and high level of control and protection of the external borders, and on the other hand, the smooth crossing of the external borders in conformity with the Schengen acquis, while guaranteeing access to international protection for those needing it, in accordance with the obligations contracted by the Member States in the field of human rights .....	1014
6. The programme contribution to horizontal policies .....	1016
6.1. Contribution to climate mainstreaming .....	1016
6.2. Contribution to biodiversity mainstreaming .....	1016
6.3. Contribution to clean air financing .....	1016
6.4. Contribution to gender equality .....	1016
6.5. Contribution to the sustainable development goals .....	1016

## **1. Overview**

### **1.1. Challenges**

The effective management and protection of EU external borders is a prerequisite for ensuring the safe area for the free movement of persons and goods within the Union. The achievement of an internal area without borders brings important benefits, both to European citizens as well as to businesses. The significance of the Schengen area makes it even more necessary to strengthen efforts aiming to safeguard its integrity, especially in times of challenges posed by migratory pressure, and reinforce it so that it can address serious cross-border crime and ensure a high level of internal security within the EU. Customs services help to safeguard the financial interests of the Union and of the Member States and, in their role as guardians of the external EU border for goods, also protect the public against terrorist, health, environmental and other threats.

The challenges in the areas of the management of the external borders and common visa policy cannot be adequately addressed by the Member States acting alone. The abolition of internal border controls must be accompanied by common measures for the effective control and surveillance of the Union's external borders as well as a common asylum and migration policy. At the same time, customs services, as gatekeeper for the passage of goods across the EU external borders, play a central role in protecting the external border of the internal market, safeguarding the financial interests of the Union, protecting the public, enabling the free flow of goods inside the market and managing the trade flows into the EU.

This is necessary to preserve the European Union as an area without internal border controls, preventing and addressing any secondary movements as well as ensuring the integrity of the single market. EU funding in this area is indispensable to ensure strong and effective integrated border management while safeguarding the free movement of persons and goods in the EU.

### **1.2. Mission (general objectives)**

The Integrated Border Management Fund (IBMF) will address these challenges through its two instruments, namely the instrument for financial support for customs control equipment (CCEI) and the instrument for financial support for border management and visa policy (BMVI).

In particular, the mission of the newly established CCEI is to provide financial support to Member States customs administrations for the purchase, maintenance and upgrade of relevant state-of-the-art customs control equipment that should also be secure, safe, and environmental-friendly and will be deployed at for Border Crossing Points (BCPs) and customs laboratories. It is the first funding instrument dedicated entirely to strengthening Member States' capacities to perform customs controls and comes as a response to the long-standing calls by the Member States for a structured solution to provide national customs administrations with adequate and effective technical equipment for controlling goods entering and leaving the EU.

The CCEI supports actions, which aim to deliver on the Commission's Political Guidelines by equipping the Customs Union with a stronger framework that will allow it to better protect EU citizens and the single market. CCEI is in full compliance with the Union's commitments on fundamental rights, as it contributes to guaranteeing a high level of security in the EU and aiming to provide vital and reinforced support to the Member States to secure the common external borders of the Union. EU funding is the mechanism, which gives effect to the financial implications of this principle.

BMVI's mission is to provide support to Member States, to ensure strong and effective European integrated border management at the external borders, thereby contributing to ensuring a high level of internal security within the Union, while safeguarding the free movement of person within it and fully respecting the relevant Union *acquis* and the international obligations of the Union and the Member States arising from the international instruments to which they are party. Article 80 TFEU states that the common policies on asylum, migration and external borders are based on the principle of solidarity and fair sharing of responsibilities between Member States. EU funding through the BMVI is the mechanism, which gives effect to the financial implications of this principle.

### **1.3. Specific objectives**

CCEI's mission is operationalised through:

- \* Its general objective to support the customs union and customs authorities to protect the financial and economic interests of the Union and its Member States, to ensure security and safety within the Union and to protect the Union from unfair and illegal trade while facilitating legitimate business activity.
- \* Its specific objective to contribute to adequate and equivalent results of customs controls through the transparent purchase, maintenance and upgrade of relevant, state-of-the-art, such as secure, safe and environmental-friendly, and reliable customs control equipment, thereby supporting the customs authorities acting as one to protect the interests of the Union.

BMVI's mission is operationalised through the pursuit of the following specific objectives:

- \* To support effective European integrated border management at the external borders, implemented by the European Border and Coast Guard, as a shared responsibility of the European Border and Coast Guard Agency and of the national authorities responsible

for border management, to facilitate legitimate border crossings, to prevent and detect illegal immigration and cross-border crime and to effectively manage migratory flows.

\* To support the common visa policy to ensure a harmonised approach with regard to the issuance of visas and to facilitate legitimate travel, while helping prevent migratory and security risks.

#### 1.4. Public intervention context

EU powers regarding customs policy are of **exclusive** competence as per Article 3 TFEU. The Customs Union means that the customs authorities of all 27 EU countries work together as if they were one. They apply the same tariffs to goods imported into their territory from the rest of the world, and apply no tariffs internally. Customs administrations are involved in the implementation and enforcement of EU legislation on import and export from and to non-EU countries.

The Customs Control Equipment instrument has the general objective to support the customs union and customs authorities to protect the financial and economic interests of the Union and its Member States, to ensure security and safety within the EU and to protect it from illegal trade while facilitating legitimate business activity. The CCEI supports the Member States to purchase, maintain and upgrade customs control equipment that will enable them to improve the performance of the customs union and to contribute to adequate and equivalent results of customs controls. It will thus contribute to improving the performance of the customs union with a view to the long-term aim of harmonised application of customs controls by the Member States.

The IBMF is complemented by a range of other EU activities and instruments with an impact on developments in the policy area.

EU powers regarding common policy on border management are **shared** with the Member States. While Article 71 TFEU facilitates cooperation among Member States to strengthen internal security, Member States retain the competence to exercise law-enforcement power when they enforce measures adopted pursuant to EU provisions on operational cooperation and border control (Article 72 TFEU) and on national security (Article 4(2) TEU) to engage in forms of administrative cooperation in matters of national security (Article 73 TFEU).

#### 1.5. Actions

For the CCEI, this includes in particular actions supporting the purchase, maintenance and upgrade of customs controls equipment that has one or more of the following customs control purposes:

- \* non-intrusive inspection;
- \* indication of hidden objects on humans;
- \* radiation detection and nuclide identification;
- \* analysis of samples in laboratories;
- \* sampling and field analysis of samples;
- \* handheld search;
- \* other types of innovative non-intrusive detection technology equipment.<sup>1</sup>

The BMVI supports a broad range of actions, in line with the European Agenda on Migration and the Security Union Strategy. This includes, in particular, the following actions:

- \* support the capabilities of the Member States acting as national components of the European Border and Coast Guard
- \* Support of large-scale IT systems and their interoperability;
- \* Support of training, exchange of information, innovation and studies;

---

<sup>1</sup> Not part of the original proposal, proposed by Council and supported by the European Parliament, therefore highly likely to remain in the final text if adopted

- \* Support for infrastructure and equipment;
- \* Deployment of experts and immigration liaison officers

## 1.6. Delivery mode

The Commission implements the actions under CCEI under direct management. The lead Directorate General is DG TAXUD. For the purposes of the CCEI, DG TAXUD closely cooperates with OLAF, in relation to the Anti-Fraud programme managed by the latter. Cooperation with other Commission services managing funding programmes that might have an impact on the actions that the CCEI will finance is also envisaged.

The BMVI is implemented under shared, direct or indirect management. The largest part of the resources (initially 57.5% of the total BMVI budget) will be allocated to the Member States' programmes under shared management. The remaining budget will be allocated to a thematic facility<sup>2</sup> to be used for specific actions (implemented by the Member States nationally or transnationally), EU actions (direct/indirect management), and emergency assistance (shared, direct or indirect management). The lead Directorate General is DG HOME

Since the BMVI is also covered by the Common Provisions Regulation, there will be close cooperation between the Commission services DG HOME, REGIO, EMPL and MARE. Close cooperation and coordination will be ensured between the two DGs managing the IBMF's instruments, DG TAXUD and DG HOME, e.g. by regular interservice meetings between the two Directorates, to provide for consistency in their implementation. In relation to the external dimension, DG HOME closely coordinates with DGs INTPA and NEAR.

## 1.7. Graphic overview of the programme structure

Instrument for Border Management and Visa (BMVI)

---

<sup>2</sup> Thematic facility covers 42.5% of the total BMVI funding when including the additional amount of EUR 1.141 billion to the European Council conclusions of 17-21 July 2020 agreed between the European Parliament, the Council and the Commission.

**HOME (lead DG)**

**TAXUD, EMPL, REGIO, INTPA, NEAR**  
(associated DGs)

**Policy Objective**

Ensuring strong and effective European integrated border management at the external borders while safeguarding the free movement of persons within it, and fully respecting the relevant Union acquis and the international obligations of the Union and the Member States arising from international instruments to which they are party.

**Specific Objectives**

Support effective European integrated border management

Support the Common Visa policy (minimum 10% of MS programmes)

**Main actions**

- Development of national component of European Border and Coast Guard
- Large scale IT systems
- Interoperability of EU information systems
- Inter-agency cooperation
- Infrastructure and equipment
- Training, Innovation and studies
- Deployment of experts and immigration liaison officers

- Large scale IT-systems
- Interoperability of EU information systems
- Training of staff
- Consular cooperation
- Improving visa application processing

**Implementation modes**

Member States' (MS) programmes  
**57.5% of the funding**

Shared management



would be allocated at the beginning of the programming period

Thematic Facility (including emergency assistance)  
**42.5% of the funding**

Shared management (top-up to MS programmes)      Direct management      Indirect management

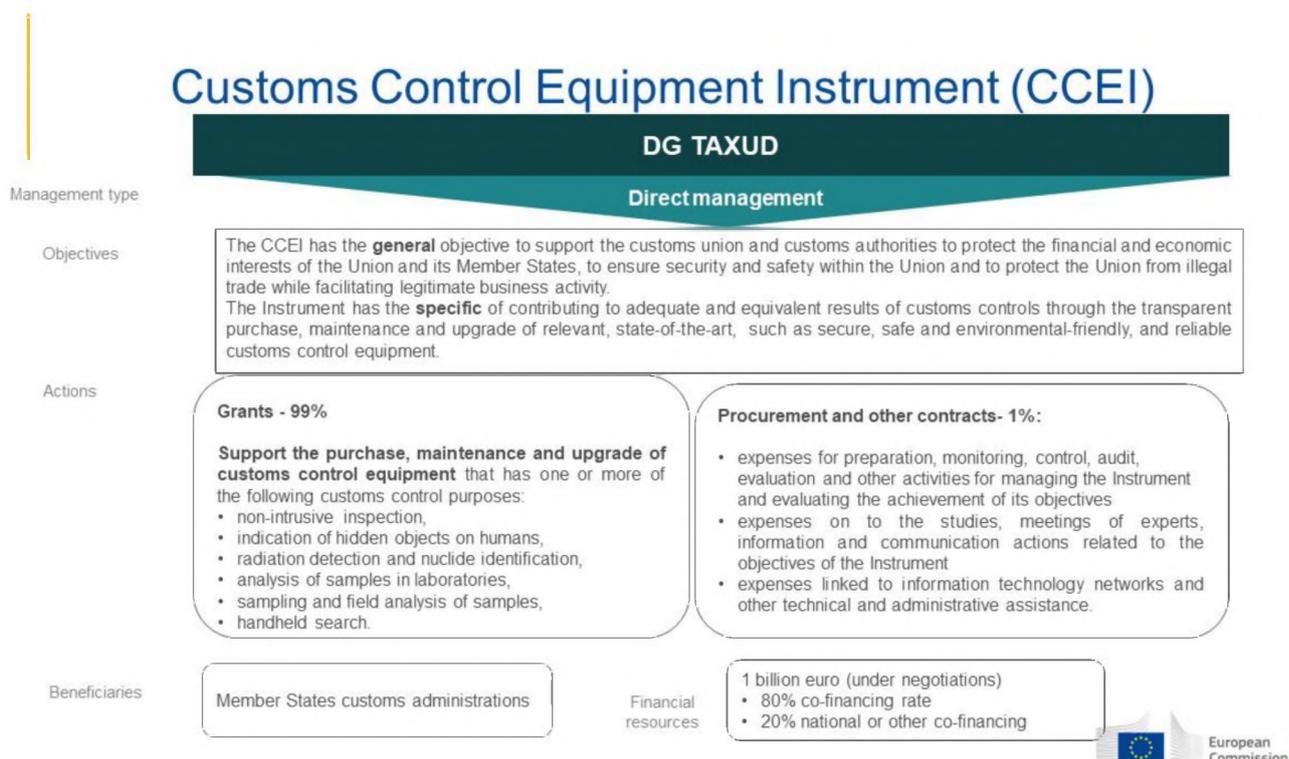


Flexibilities would be allocated during the programming period

**Beneficiaries**

Constituent elements of the European Border and Coast Guard, i.e. national authorities of Member States responsible for border management, including coast guards to the extent that they carry out border control tasks, the national authorities responsible for return and the European Border and Coast Guard Agency (Frontex) Other state and federal authorities, in charge of carrying out implementing tasks related to European integrated border management and the common visa policy of the EU, local public bodies, non-governmental organisations, international organisations, Union agencies, private and public law companies, networks, education and research organisations.

## Customs Control Equipment Instrument (CCEI)



## 1.8. Legal basis and financial programming

## 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
	2021 - 2027	5 241,0
	2021 - 2027	1 006,4

## 1.8.2. Legal basis explanation

Legal basis	Period of application	Reference amount (EUR million)
Regulation (EU) 2021/XXX (CCEI)	2021-2027	
Regulation (EU) 2021/XXX (BMVI)	2021-2027	6 165 528

The legal basis of the CCEI is the Regulation of the European Parliament and of the Council Establishing, as part of the Integrated Border Management Fund, the instrument for financial support for customs control equipment. The draft Regulation is currently (February 2021) under negotiations with the co-legislators.

## 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
Border Management and Visa Instrument	398,0	646,1	726,2	766,0	902,0	811,0	890,2	5209.5
Customs Control Equipment	135,5	138,2	141,0	143,8	146,6	149,6	151,8	1 006,4
<b>Total</b>	<b>533,5</b>	<b>784,3</b>	<b>867,2</b>	<b>909,8</b>	<b>1048,6</b>	<b>1030,6</b>	<b>1042,0</b>	<b>6215.9</b>

## 1.8.4. Financial programming explanation

2021-2027 programme	2021	2022
Commitment appropriations	135 403 000	138 111 000
Payment appropriations	32 887 000	103 620 000

The Customs Control Equipment Instrument is a brand new programme with a total budget of EUR 1 005 832 000. There is no financial data of a predecessor programme that can be used for precise calculation of payment appropriations. It is expected that the bulk of payments of the initial 2021 grant agreements will only take place in 2022 and beyond.

BMVI

2021-2027 programme	2021	2022
Commitment appropriations	398 014 000	642 173 000
Payment appropriations	67 805 000	193 615 000

### 1.9. Link with the 2014-2020 MFF

The Commission proposal for the CCEI comes as a response to the long-standing calls by the Member States for a structured solution providing national customs administrations with adequate technical equipment to control goods crossing the EU's external borders. It is a newly established instrument that forms part of the EU Multiannual-financial framework for the first time.

The BMVI builds on the lessons learned during the programming period 2014-2020 such as the need to ensure sufficient cooperation, coordination and strategic steering between the HOME funds and other relevant EU funds, and the need to increase flexibility to address unforeseen needs. The BMVI addressed these challenges to facilitate the steering of the funds towards Union priorities, as well as towards pressing, yet unforeseeable challenges. Simplification is another important element of the new Fund, with the establishment of common rules for programming, reporting and financial management and the alignment of the Fund with similar EU funding instruments. Finally, a common monitoring and evaluation framework has been further developed to ensure a strengthened performance orientation, as well as improved and more frequent reporting on the progress towards targets and milestones.

### 1.10. Relevant websites providing more information

On DG HOME website, the reader will be able to see a description of the scope and the budget allocation of the Funds, illustrated by supportive visuals and info-graphics.

<https://webgate.ec.europa.eu/fpfis/wikis/display/WEBRAT/Integrated+Border+Management+Fund>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

For the BMVI, due to the delays in the adoption of the legal basis for 2021-2027 and time needed for the programming procedure in shared management, it is expected that shared management programmes may only be formally approved by late 2021 or early 2022.

Other implementation measures will concern direct and indirect management (Union Actions) through the Thematic Facility. These actions and priorities include according to initial planning among others innovative methods for assessing the impacts of future border control systems, support for national components of the EBCG Standing Corps, EU-wide secure, interoperable Communication for all security practitioners (including Border and Coast Guard), campaigns on EES, ETIAS and SIS and ILO Network.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

Given that the CCEI is a newly established programme, the information under this section is not relevant to it.

For 2014-2020, actions concerning the management of external borders and a common visa policy are financed under the Internal Security Fund (ISF) – Borders and Visa instrument.

#### Internal Security Fund 2014-2020

	Commitments	Payments
Implementation Voted budget	3 837 540 702	2 169 944 722
Implementation carry-overs	61 948 970	8 032 263

Implementation Recoveries and Repaid advances		110 991 748
Implementation total	3 899 489 672	2 288 968 733
total envelop*	3 942 653 977	
cumulative implementation rate	99%	58%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The table above presents the cumulative implementation rate of the Internal Security Fund 2014-2020 both strands: Border and Visa and Police.

#### Shared management

After an initial delay in the adoption of the legal bases of the Home Affairs Funds by the co-legislators, all ISF Member State national programmes were adopted in 2015 with their implementation reaching a cruising speed in 2017.

The four Schengen Associated Countries (SAC), Switzerland, Norway, Iceland and Liechtenstein, also participate in the ISF-Borders and Visa instrument. The process regarding the participation of SAC has been successfully finalised.

Since 2017, the ISF national programmes have been revised on several occasions:

- for ISF-Borders and Visa, to include in 2017 an additional EUR 76 million and in 2018, EUR 128.7 million for the purchase of equipment to be put at the disposal of the EBCG Agency during joint operations;
- in addition, still in 2018, to include an overall amount of EUR 192.3 million allocated equally to all the Member States participating in the ISF-Borders and Visa instrument to cover certain costs for the implementation of the Entry/Exit System (EES): each Member State received a top-up to their national programme of EUR 6 million;
- in 2018, to include an additional overall amount of EUR 158.6 million (EUR 128 million foreseen in article 6(1)c) of the ISF-Borders & Visa regulation plus EUR 30.6 million as contribution from three SAC), through the revision of the national programmes;
- in 2019, to include an overall amount of EUR 212.4 million allocated to all the Member States participating in the ISF-Borders & Visa instrument, to cover costs related to the adoption of European Travel Information and Authorisation System (ETIAS) and the recast of the SIS II Regulations, as well other substantial costs incurred with the development of border management IT systems. Of the total amount, EUR 96.5 million was allocated for ETIAS, EUR 36.8 million for the SIS-recast, and EUR 79 million, funded from the SAC contribution to ISF-Borders & Visa, for IT systems in general;
- in 2020, to include an overall amount of EUR 78.9 million to seven Member States for support to border control activities, in particular in those Member States confronted with high migratory pressure at the external borders.

As regards the **Internal Security Fund – Borders and Visa**, for the period 2014-2020, EUR 2.42 billion were allocated to the national programmes of the Member States. Up to 2020, Member States have actually spent EUR 1.32 billion equivalent to an absorption rate of 54.55%.

In terms of overall performance of the Fund, for many of the indicators set in the Regulation, either the milestones have been exceeded or even the targets have already been achieved. The implementation of ISF-Border and Visa will run until end-2022, and thus two years of implementation remain. Up to 2020, ISF-Borders and Visa has attained an absorption rate of 54.55% which can be considered overall satisfactory, given that the Fund is implemented mainly through long-term projects for heavy equipment or development of relevant large scale IT systems and the fact the national programmes were reinforced considerably with funding over period 2017-2020. In 2020, the Member States have submitted EUR 386.63million of payments to the Commission, higher than the level of 2019 expenditure (EUR 313.11 million). The payments are broken down as follows: EUR 241.15 million in the area of border management, EUR 91.24 million for operating support, EUR 29.35 million for the Special Transit Scheme in Lithuania, EUR 17.52 million for common visa policy and EUR 7.36 million for technical assistance.

In the latest Annual Implementation Reports concerning 2020, Member States mostly reported that the COVID-19 pandemic did report delays in project implementation due to e.g. delays in public procurement procedures, travel restrictions, hiring processes of staff, construction works due to lockdown and other restrictions related to COVID-19. Training activities were particularly negatively affected by the travel restrictions imposed in the course of the COVID-19 pandemic. Mitigating measures included the extension of duration of projects, increasing the co-financing rates for some projects.

In order to strengthen external border checks and to close existing information gaps, including those necessary to detect identity fraud, the co-legislators adopted in May 2019 **the interoperability package**<sup>3</sup>, which encompasses SIS II, Eurodac, VIS as well as

<sup>3</sup> Regulation (EU) 2019/817 of the European Parliament and of the Council of 20 May 2019 on establishing a framework for interoperability between EU information systems in the field of borders and visa and amending Regulations (EC) No 767/2008, (EU) 2016/399, (EU) 2017/2226, (EU) 2018/1240, (EU) 2018/1726 and (EU) 2018/1861 of the European Parliament and of the Council and Council Decisions 2004/512/EC and 2008/633/JHA

the Entry/Exit System and ETIAS, allowing the front line law enforcement officers, border guards and migration officials to make the best use of existing information systems in a timely manner, thus contributing to improving internal security and border management. The Fund's resources are, *inter alia*, being used to support its implementation to meet the politically agreed timeline of end 2023.

Evaluation of the Schengen Information System and adoption of three new regulations on the operational and use of the Schengen Information System at the end of 2018 [SIS Recast]. Those new regulation are being implemented in different stages, with requirement for the work to be accomplished by the end of 2021. One of the elements of the package is the deployment of a fingerprint search functionality of SIS in Member States, for which EU funding was used.

Following the information received in the 2020 Annual Accounts and Annual Implementation Reports for ISF – Borders and Visa, the implementation of the Funds has gained further momentum, notably as regards the absorption of the extra allocations provided for IT systems in late 2018 (EES) and late 2019 (ETIAS, SIS-recast and IT systems in general). The implementation of those IT systems has reached a critical phase, most of the developments have to be completed by the end of 2021 and the use of these extra allocations will reflect the progress of the different projects. It is also anticipated that actions such as purchase of equipment, which implies heavy procurement procedures (e.g. automated border surveillance systems or equipment to be put at the disposal of Frontex), will be mature enough for the equipment to be delivered and become operational by the end of 2022. In the course of 2021, Member States will need to prepare the **integration of their national systems for the Schengen Information System, including SIRENE, to the interoperability infrastructure and ETIAS**. This is not a new policy initiative but the consequence of an ongoing policy initiative.

The Commission intends to steer the Member States even more to enhance the implementation of the programme in its final phase, among others through the (virtual) participation to national monitoring committee meetings, bilateral discussions, monitoring visits, messages at political level, etc.

For the period 2014-2020, the ISF – Borders and Visa committed 413.63 million for EMAS.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

As the implementation of the CCEI has not started yet, information on it under this section is not relevant.

The Performance and Measurement framework (PMF) to establish the indicators and intervention logic is currently being developed. It is based on a PMF study carried out by a contractor and finalised in December 2020 and is expected to be finalised in Q2 2021.

##### **3.1.2. Active programme performance**

Given that the CCEI is a newly established programme, the information under this section is not relevant to it.

##### **3.1.3. Previous programme performance**

Taking into account the difficult situation at the borders due to migration pressure as well as the continuous security challenges, it is important to stress that until the end of 2020, ISF-Borders and Visa has proven an efficient fund getting closer to its set objectives – ensuring an efficient protection of the EU's external borders and a high level of security in the Union.

The instrument for border and visa policy builds on the investment and achievements made with the support of the predecessors: the External Borders Fund, the Internal Security Fund - Borders and Visa. The fund has supported overall EU policies in the area of external border management and visas, such as the uniform implementation of the Schengen acquis, Eurosur, the purchase of the border management equipment for the use by the European Border and Coast Guard Agency, the common visa policy and the relevant IT systems for Home affairs. Support under direct management has mainly contributed to the relevant supporting studies for the IT system, relevant evaluation mechanisms scheme, some transnational projects in the area of buying and employing the operational equipment and trainings.

##### ***Strengthening the protection of EU's external borders and supporting a common visa policy***

The protection of the external border and supporting a common visa policy are closely intertwined objectives. Therefore, the section will first present achievements at the level of the fund overall and then present the achievements at the level of individual specific objectives.

In 2020, the Commission worked to address the root causes of irregular migration and strengthen the protection of EU's external borders. With support of the Commission activities and funding, the total number of detected irregular border crossings decreased further in 2020 to 125 000 compared to 142 000 in 2019.

As pointed out in the impact assessment,<sup>4</sup> the **ISF-Borders and Visa** is making a crucial contribution to the application of the Schengen acquis. The Commission has considerably invested in the effective control of the external borders through the information systems at EU level and their interoperability (SIS II, VIS, Eurodac, EES and ETIAS), providing to border guards and police officers with relevant information. The Fund has also contributed to the reinforcement of Member States' authorities component for border management which act as the national components of the European Border and Coast Guard, mainly through funding their technical capabilities and infrastructure.

In addition, the European Border Surveillance System (Eurosur) funded from the ISF-Borders and Visa provides further support to border authorities and helps to strengthen the external borders security. Even though each of these systems created for a specific purpose, all together at EU level, have facilitated the sharing of information among but also within the Member States.

As regards information technology systems, for the Schengen Information System and the Visa Information System it can be said that Member States have extensively used the Fund's resources to cover their needs in this area, including for operating support. For the latest Information Technology systems such as the Entry Exit System and the European Travel Information and Authorisation System Member States still need a lot of support to be able to use the funds properly. Time is however short in particular for the Entry Exit System that will enter into operation in the second quarter of 2022. The European Travel Information and Authorisation System will enter into operation by end 2022. The full implementation of all Information Technology systems and their interoperability should be in place by the end of 2023. As the systems are not yet fully operational, it is too early to provide a comprehensive assessment of the efficiency of the related EU funding. Special attention will be paid to the use of funds also in this area, to ensure that all funding made available through the ISF National Programmes will be duly absorbed by December 2022.

Member States have received additional support ('top-up') from the ISF – Borders and Visa for the development of the Schengen Information System. Funding is also provided for the maintenance and evolution of the national systems for Schengen Information System and the Supplementary Information Request at National Entries (SIRENE) Bureaux.

The Fund is also fostering a better use of resources by increasing the capacity of Member States through e.g. specialised training of border guards or study visits to undertake border surveillance and by developing consular cooperation between Member States. After a slow start of actions consisting of the purchase of border surveillance equipment subject to heavy procurement procedures, the implementation of the ISF - Borders and Visa programme is in full swing.

### **Supporting a common visa policy**

In 2020, Member States have implemented projects for a value of EUR 17.53 million under the specific objective "Support a common visa policy" and EUR 91.24 million under the specific objective "Operating Support".

Between 2014 and 2020, a total of 430 consular cooperation activities have developed with the help of the Instrument. The trend shows that the cumulative values reported by Member States have steadily been increasing and have already exceeded the set milestones and targets. The forms of consular cooperation include co-locations, common application centres, representations and others. The trend towards more cooperation between Member States is correlated with savings in this area and the need to achieve economies of scale in consular support.

However, Member States are still not achieving the milestones and are significantly below the targets for training of staff in the area of visa and border management. No particular reasons for lower numbers of trained staff nor the number of training courses can be identified from the individual programmes or reports. It is possible that the training needs on the Member States side have decreased or that other funding than ISF – Borders and Visa was used to accomplish the trainings or that due to changing priorities the funding had to be shifted elsewhere. Up to 2020, 4 322 persons have been trained in the area of visa policy, which is far below the target of 11 365 persons. As pointed out above, training activities, were the most negatively affected by the COVID-19 pandemic. Consequently, the number of persons trained decreased to 433 in 2020 compared to 1 224 in 2019.

With the support of the Instrument, a total of 759 specialised posts in third countries were supported by the Instrument. This is largely due to the fact that cooperation with third countries in the area of border management and tackling irregular migration has taken a flight in the past years. This coincides with the trend of deploying increasing numbers of ILOs and other specialised staff to third countries. This explains the target has been exceeded.

A total number of 2 680 of consulates were developed or upgraded with the help of the Instrument. With this number, the target set for 2022 (923) has already been overachieved. In principle, the number of consulates in third countries is not necessarily increasing, but it is possible that Member States have reported a variety of expenditure under this indicator (even for small scale upgrades of consulates).

### **Strengthening the EU external borders**

---

<sup>4</sup> SWD(2018)347, 12.6.2018.

In 2020, Member States have implemented projects for a value of EUR 241.15 million in view of strengthening the EU external borders.

In the area of border management, 29 903 border guards have been trained up to 2020, also below the target of 34 603. Data at Member State level shows different degrees in the delivery of training to staff on border management topics as compared to the target: some Member States have already attained their targets or are 80% above the target, while others are yet to report projects for trainings.

In total up to 2020, the instruments supported the development or upgrade of 33 516 border control (checks and surveillance actions) infrastructure and means, which is well above the target of 19 902. Training of staff activities are relatively unpredictable, whereas the number of infrastructure for border management to be upgraded can be planned more easily, which is visible from the trend, i.e. the achieved values are more aligned with the target.

It should also be noted that the number of incidents reported by Member States to the European Situational Picture is largely below the target set in the national programmes (with 95 169 incidents reported up to 2020 as compared to the target of 157 593). This actually represents a positive trend as it matches the situation on the ground with a significant decrease in the irregular border crossings observed since the peak of the migration crisis in 2015.

### **Lessons learnt**

*Insufficient cooperation, coordination and strategic steering in the implementation of the ISF with other EU level initiatives:* This challenge was addressed by including eight shared management funds, including the HOME funds, in a single legal framework. This allows for a closer coordination and cooperation of the shared management funds both at strategic level as well as at the level of implementation.

A need for simplification: in order to simplify and build on synergies, the rules applicable to the shared management funds will be aligned with rules applicable to the management of other Union Funds under shared management ('single rule book'). This provides better guidance on the management and control systems and audit requirements, and ensures that the eligibility rules under shared management make full use of simplified cost options (SCOs).

*Insufficient flexibility to respond to changing needs during the programming period:* This challenge was addressed in two ways. Firstly, Member States will initially be provided with around 47.9% to Member States programmes. An additional share of 9.6% of the total budget will be allocated at mid-term (technical adjustment of the distribution key subject to financial performance according to which a Member State should have submitted payment claims covering at least 10 % of the initial amount of payment appropriations). Secondly, a financial envelope of 42.5% will be managed through the thematic facility, which will periodically provide funding for a number of priorities defined in Commission financing decisions. This facility in particular offers flexibility in the management of the instrument by allowing the disbursement of funds to the technical assistance at the initiative of the Commission and the following components of the thematic facility: support for specific actions, providing additional funding for dedicated actions of high EU added value, through the Member States' national programmes; support for Union actions, managed through direct and indirect management; and emergency assistance.

*The third main challenge was the need to strengthen the performance monitoring in terms of quality and frequency of the data.* In order to address this challenge, the Commission proposed greatly improved performance monitoring with more regular and reliable data setting out common output and result indicators. In cooperation with the Member States, the Commission services will develop definitions for each of these indicator. This will ensure a common understanding of each indicator across all Member States and programmes. Moreover it will this not only greatly contribute to improving data quality, it will also enhance data comparability. Member States will be required to develop this performance framework for each of its programmes and underpin it by methodological considerations. The managing authority, in its yearly management declaration and as part of the annual assurance package, will have to confirm the reliability of submitted data relating to indicators and the progress of the programme. The annual performance review will be an occasion for a policy dialogue with the Member States on issues of programme implementation and performance. In particular, the annual performance reports will provide qualitative information on programme implementation going beyond the quantitative data submitted for the indicators. It will complement the biyearly transmission of structured data and strengthen the performance review process. In the context of the performance framework, Commission services will hold at least two meetings with Member States during the programming period. All data required for monitoring progress in programme implementation will be transmitted electronically. Twice a year, Member States will transmit to the Commission structured data on the common output and result indicators. Thus, the Commission services will have a much more updated picture of programme performance than in the current period. In addition, the HOME programmes will now also use the open data platform, which had been established in the current programming period for the European Structural and Investment Funds. It will allow stakeholders to access almost real time data on programme implementation. This is an important novelty for the HOME funds, which in the current period do not publish data on the open data platform.

Moreover, Member States are now required to set up a system of electronic data exchange between beneficiaries and managing authorities, and between different authorities of the management and control system. This requirement builds on the current CPR regulation, which did not cover the HOME funds, and further develops certain aspects of data collection. It is thus a novelty for the HOME funds. Beneficiary and project information, as well as the performance reports will be published on a dedicated website run by the managing authority. This will give greater visibility to achievements and allow better communication.

### 3.2. Key achievements

Given that the CCEI is a newly established programme, the information under this section is not relevant to it.

<i>Cumulative number for 2014-2020</i>	<i>Explanation of the number</i>
Number of hits in SIS: 209 178 Total number of alerts: 93 419 371 Ratio: 0.22%	Number of hits in the Schengen Information Systems in relation to the total number of alerts. The number of hits dropped as a consequence of travel restrictions imposed under the Covid-19 crisis.
430	Cumulative number of consular cooperation activities developed with the help of the Instrument.
759	Cumulative number of specialised posts in third countries supported by the Instrument.
33 516	Number of border control (checks and surveillance) infrastructure and means developed or upgraded with the help of the Instrument

#### Shared management

Following several reinforcements between 2017-2020, the total allocation to the national programmes under the **Internal Security Fund – Borders and Visa** instrument now reaches EUR 2.42 billion.

A lot of progress was reached in protecting the EU external borders through **building new and strengthening the existing IT systems and technologies**, increasing internal security and facilitating regular border crossings.

#### Examples of national programme success stories

##### **Bulgaria**

To protect an important part of the EU external border the ISF Borders and Visa has been supporting Bulgaria in the establishment and development of the Integrated Surveillance System at the Bulgarian-Turkish border with funding amounting to EUR 26.3 million. This is an example of a big action funded through various management modes – the national programme contributed EUR 6 million, EUR 26 million was provided from the emergency assistance envelope of ISF Borders and Visa and under Union Actions EUR 0.3 million. The surveillance system covers the main part of the 274 km Bulgarian-Turkish border from the Black Sea coast to the Bulgarian-Greek border, and includes stationary and mobile surveillance equipment. The Integrated Surveillance System will continue to be supported also under the new Border Management and Visa Instrument.

##### **Germany**

Another good example is the “Document and Visa advisors” project implemented by the German Bundespolizei (Federal Police) since 2015, with a total of 4 consecutive projects and a total allocated EU contribution of EUR 11.2 million. The project funds the posting of currently 53 Bundespolizei officers in 33 locations in 25 third countries, where they work to prevent travelling into the EU without valid documents, by training and advising personnel of visa offices (German and from other EU-MS or SAC) and airlines employees on the assessment of the authenticity of documents presented by visa applicants or travellers.

##### **Greece**

During 2020, Greece initiated the important project of extending the integrated border surveillance system in the Evros area using a number of autonomous automated border surveillance facilities at key points of the border between Turkey and Greece. After completion – estimated for 2022 – this will ensure the transmission of accurate information regarding the entire length of the border in real time to the staff dedicated to the control of the external borders at the Operations Centres. The project is implemented by the Hellenic Police Headquarters and the EU contribution amounts to EUR 11.24 million.

#### Direct management

On 10 September 2019, the Commission awarded EUR 6.9 million to the International Organization for Migration (IOM) within the framework of the Internal Security Fund - Borders and Visa Emergency Assistance. The project awarded has concluded all the necessary construction works for the creation of a new Reception and Identification Centre (RIC) in Samos, with approximately 1 400 places and will integrate the upcoming Multi-purpose RIC making a total capacity of 5 000 places. The conclusion of the Project is only pending on the final necessary tests on the functioning of the water and treatment and sewage disposal to hand it over to the Greek authorities until June 2021.

On 22 June 2020, the Commission awarded one emergency assistance project amounting to a total of EUR 10.75 million within the framework of the Internal Security Fund – Borders and Visa to the European Development Programmes Division (EDPD), a Division of the Greek Ministry of Citizen Protection. The project - implemented by the Hellenic Police – aims to address the unpredictable migration flows and their impact at the Evros region and the eastern Aegean borders with human resources reinforcement. This will help to increase the control and the management of reception and registration tasks as well as the security in the first reception centres on the islands. The grant also envisages the reinforcement of the Greek border authorities with vehicles, operational equipment and non-food items (NFIs).

**Croatia** completed in November 2019 an ISF-Borders and Visa emergency assistance grant of EUR 6.8 million, which contributed to the strengthening of the management of the external border by supporting costs incurred with overtime work and the deployment of 370 border police officers, running costs for operational vehicles and purchasing protective items/materials for border police officers. Furthermore, the emergency assistance grant supported activities relating to the monitoring of border control at the external borders of Croatia, such as controls by the Border Police Directorate, revision/development of standard operating procedures, training and awareness raising activities carried out by trainees of the Ministry of the Interior and non-governmental/international organisations. The Commission continued and expanded such support in December 2019 by awarding a new ISF-Borders and Visa emergency assistance grant of EUR 11.35 million which foresaw the increase of the number of border police officers deployed to 500, and in addition support for the running costs of the surveillance equipment, as well as the continuation of the activities relating to monitoring border control. This project ended on 30 November 2020.

Between 2015 and 2017 the Commission provided considerable emergency assistance (EUR 80.8 million) to Italy to support a variety of border activities. EU funding supported the strengthening of border surveillance of the second longest coastal boards of the EU. *Inter alia*, it helped the enhancement of the Italian air-naval system for controlling borders and surveillance of migrant arrivals, refitting of boats and helicopters and support to Search And Rescue operations at sea and in the air. The general aims were both the improvement of the capacity of border surveillance and the safety and rescue of human lives at sea.

In **Spain**, emergency assistance (EUR 15.7 under ISF – Borders and Visa) mainly funded actions related to tackling irregular migration in Southern Spain. A new ISF – Borders and Visa project was selected in 2020, to help the national police to acquire necessary equipment (IT equipment, scanners and software) in view of an efficient registration of the irregular migrants in the EURODAC database.

On 19 December 2018, the Commission awarded an emergency assistance grant of EUR 3.15 million under ISF Borders to the Ministry of Interior of **Cyprus**, in order to support needs for staff, equipment and consumables for operating the ‘Pournara’ First Reception Centre. The project was completed in January 2021.

### **Union actions**

Examples of ISF funded Union actions can be found in the Snapshot published by the Commission at the following link: [https://ec.europa.eu/home-affairs/e-library/multimedia/publications/20190909\\_snapshot-2019-eu-asylum-migration-integration-internal-security-fund\\_en](https://ec.europa.eu/home-affairs/e-library/multimedia/publications/20190909_snapshot-2019-eu-asylum-migration-integration-internal-security-fund_en)

During 2019, **31 announced and 3 unannounced Schengen evaluation** visits as well as 4 revisits and 1 thematic evaluation were carried out under the Schengen evaluation mechanism<sup>5</sup> to verify the correct application of the Schengen acquis in all relevant policy fields, including management of the external border, common visa policy, return, police cooperation, the Schengen Information System and data protection as well as the absence of border control at the internal borders. The mission expenditure, trainings and equipment necessary for the implementation of the mechanism are supported by the Union actions under the Internal Security Fund-Borders. Following these evaluations, the Commission reported in October 2019 that Croatia had taken the measures needed to ensure that the necessary conditions for the full application of Schengen rules and standards were met. In December 2019, the Schengen evaluation of Slovakia marked the successful completion of the first five-year multiannual evaluation programme (2015-2019) of the Schengen Member States managed by the Commission. The five-year report on the functioning of the Schengen Evaluation and Monitoring Mechanism was adopted on 25 November 2020 (COM(2020) 779 final). The new evaluation cycle started in 2020. Due to the COVID-19 pandemic, only 15 out of 29 scheduled announced evaluations were conducted, while the outstanding ones were rescheduled for 2021 and 2022.

### **3.3. Evaluations, studies and reports**

<sup>5</sup> OJL 295, 6.11.2013, p. 27.

The key findings of the latest Interim evaluations of the Internal Security Fund - Borders and Visa 2014-2017<sup>6</sup> and of the Internal Security Fund - Police<sup>7</sup> have been presented in the Programme Statements DB2020.

By 31 December 2023, the Member States will provide an ex-post evaluation report on the effects of actions under their national programmes and the Commission will present by 30 June 2024 an ex-post evaluation report on the effects of the legal bases.

At the same time, the Commission is implementing the Action Plan following the internal audit findings on the monitoring and reporting on the implementation and performance of National Programmes. In particular, the Commission has strengthened its processes for monitoring the National Programmes and increased its efforts to improve the reliability of performance data reported by the Member States in their Annual Implementation Reports submitted annually. More attention will be given to the consistency of data reported by the Member States. The Commission will provide guidance to the Member States with a view to ensure common understanding of the indicators established in the Fund and to establish better links with information provided in the accounts.

Moreover, the European Court of Auditors (ECA) issued recommendations on the strengthening of the management of the ISF emergency assistance and national programmes. They cover in particular strengthening the performance monitoring framework by monitoring and reporting the outcomes achieved by projects funded by emergency assistance, ensuring that such projects contain output and outcome indicators with clean targets and baselines etc.

While the Commission started implementing the ECA's recommendations already under the ongoing programmes, the main structural recommendations will be put in place in the context of the next MFF.

A PMF study on the funding programmes managed by DG TAXUD was carried out in 2020 and finalised in December 2020. In designing the PMF on the CCEI the Commission will aim to take into account, to the extent possible, the recommendations provided by the contractor in this report.

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :Supporting effective European integrated border management at the external borders implemented by the European Border and Coast Guard as a shared responsibility of the European Border and Coast Guard Agency and of the national authorities responsible for border management, to facilitate legitimate border crossings, to prevent and detect illegal immigration and cross-border crime and to effectively manage migratory flows**

**Indicator 1: Number of persons who have applied for international protection at the border crossing points**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of items of equipment registered in the Technical Equipment Pool of the European Border and Coast Guard Agency**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
----------	------	------	------	------	------	------	------	------	------	--------

<sup>6</sup> SWD(2018)340final [https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612\\_swd-2018-340-commission-staff-working-document\\_en.pdf](https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612_swd-2018-340-commission-staff-working-document_en.pdf);

<sup>7</sup> SWD(2018)341final [https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612\\_swd-2018-341-commission-staff-working-document\\_en.pdf](https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612_swd-2018-341-commission-staff-working-document_en.pdf)

	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator. It reflects the growing focus of the Commission to strengthen operational capacity of the EBCGA.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Number of items of equipment put at the disposal of the European Border and Coast Guard Agency

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator. It reflects the growing focus of the Commission to strengthen operational capacity of the EBCGA.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Number of initiated / improved forms of cooperation of national authorities with the Eurosur National Coordination Centre (NCC)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, an indicator monitored the number of national border surveillance infrastructure established/further developed in the framework of EUROSUR
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Number of border crossings through Automated Border Control gates and e-gates

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020 a similar indicator was monitored: Number of border crossings of the external borders through ABC gates supported from the Instrument out of the total number of border crossings
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Number of addressed recommendations from Schengen Evaluations and from vulnerability assessments in the area of border management**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This indicator is new as it reflects the growing focus the Commission puts on the recommendations of Schengen evaluation
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Indicator 7: Number of participants who report three months after the training activity that they are using the skills and competences acquired during the training**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator as it monitors for the first time the effectiveness of the training
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Indicator 8: Number of persons refused entry by border authorities**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, we report in the programme statement the following indicator: Number of irregular migrants apprehended at the EU external borders. The data for this indicators is provided by Frontex.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :Supporting the common visa policy to facilitate legitimate travel and prevent migratory and security risks

### Indicator 1: Number of new/upgraded consulates outside the Schengen area

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States reported in their Annual Implementation Report on the percentage and number of consulates developed or upgraded with the help of the instrument out of the total number of consulates.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Number of addressed recommendations from Schengen Evaluations in the area of the common visa policy

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This indicator is new as it reflects the focus the Commission puts on the recommendations of Schengen evaluation.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in

	the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of visa applications using digital means**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator and it reflects the digitalisation agenda of the Commission
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of initiated / improved forms of cooperation set up among Member States in visa processing**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, an indicator monitored the number of consular cooperation activities developed with the help of the Instrument.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Number of participants who report three months after the training activity that they are using the skills and competences acquired during the training**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator as it monitors for the first time the effectiveness of the training
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. DG HOME intends to engage in a thorough consultation of the

	Member States in order to establish a sound common understanding on the metadata
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Contributing to adequate and equivalent results of customs controls through the transparent purchase, maintenance and upgrade of relevant, state-of-the-art, such as secure, safe and environmental-friendly, and reliable customs control equipment, thereby supporting the customs authorities acting as one to protect the interests of the Union**

**Indicator 1:Percentage of BCPs and customs laboratories which have equipment that meets the common list of equipment that should be available per customs laboratory/type of BCP (i.e. land, sea, air, postal, rail)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
				60%			80%			80%
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	
Data source	Applications for funding and annual reporting by Member States
Link to the objective	Ensuring that border crossing points and laboratories have customs equipment meeting the common list of equipment that should be available will give them the practical means to responds to the threats they are exposed to and apply customs controls in a harmonised way.
Link MFF 14-20 / MFF 21-27	N/A (new programme)
Other methodological comments	External factors may influence the evolution of this indicator, notably the policies and resources of Member States and the evolution of threats applicable to border crossing points.
Full metadata available at this address	Not available yet
Justification of the trend	N/A

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : Internal Security Fund*

**General Objective 1 :To contribute to ensuring a high level of security in the Union**

**Indicator 1:Number of irregular migrants apprehended at the EU external borders**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2022
				750 000						250 000
73 042	Actual Progress									Final
	283 532	2 104 975	2 616 022	2 820 676	2 969 712	3 111 453	3 236 566			

Are we on track	On track
Indicator type	
Unit of measurement	Number of crossings
Cut-Off Date	
Data source	<a href="https://frontex.europa.eu/along-eu-borders/migratory-map/">https://frontex.europa.eu/along-eu-borders/migratory-map/</a>
Narrative	
Methodology	Cumulative numbers over the years
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Number of persons refused entry by border authorities' will be monitored in the MFF 2021-2027. The data will be provided by the Member States in their annual performance report.
Full metadata available at this address	
Justification of the trend	A forecast is difficult to make because of the high volatility of the relevant external factors, including the political situation in the main third countries of transit and origin of irregular migration, the migration crisis due to the war in Syria, and the evolution of the COVID pandemic). These factors are very difficult to predict and control. For instance, an unexpected event in a third country (e.g. a conflict or revolution) may constitute a push factor for third country nationals to migrate to the EU. The full lifting of border restriction measures introduced for the COVID-19 pandemic may lead to an

	increase of migratory flows in the medium term. The deep socio-economic impact of the pandemic in the third countries may also be factor at play in the increase of migration flows. In addition, the better availability of vaccines in the EU as opposed to third countries may constitute an additional pull factor, given that vaccine doses are likely to be generally available in receiving countries of migration, less so in countries of origin. Finally, several ongoing crisis situations in third countries (e.g. in Syria, Ethiopia or Libya) may lead to future flows towards the EU. Please note that the number refers to crossings and not to persons as the same persons may have been detected and counted more than once when crossing different external borders
--	--

### Specific Objective 1 :Supporting a common visa policy to facilitate legitimate travel, provide a high quality of service to visa applicants, ensure equal treatment of third-country nationals and tackle illegal immigration

**Indicator 1:Cumulative number of consular cooperation activities developed with the help of the Instrument. Broken down in co-locations, common application centres, representations, others**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2022
0				73						146
	Actual Progress									Final
	14	59	104	177	268	399	430			

Are we on track	On track
Indicator type	
Unit of measurement	Number of consular cooperation, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator will not be monitored in MFF 2021-2027. However, cooperation in visa processing will be monitored through the following indicator: 'Number of initiated / improved forms of cooperation set up among Member States in visa processing'
Other methodological comments	The cumulative number provides a cumulative picture without providing insight into the type of cooperation activities developed. Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	The trend shows that the cumulative values reported by Member States have steadily been increasing and have already exceeded the set milestones and targets. The forms of consular cooperation include co-locations, common application centres, representations and others. The trend towards more cooperation between Member States is correlated with savings in this area the need to achieve economies of scale in consular support.

**Indicator 2:Cumulative number of staff trained and number of training courses in aspects related to the common visa policy with the help of the Instrument**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Staff	Milestones									2022
0				5 683						11 365
	Actual Progress									Final
	0	418	1 099	1 886	2 665	3 889	4 322			
Regional training courses	Milestones									2022
0				92 137						184 273
	Actual Progress									Final
		173	2 446	5 456.5	8 333.5	10 872.8	12385.8			

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	Actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	The indicator is based on hours of training delivered. In the Annual Implementation Report, the

	Responsible Authority will indicate the cumulative amount of hours of training delivered during the financial year. In general, the duration of the training courses is limited to the hours spent for training purposes hence it is a good practice to take out lunch breaks if these last an hour or more. However, there is no need to deduct also the shorter breaks. If a person attends several course s/he is counted each time because s/he acquires different knowledge.
Link MFF 14-20 / MFF 21-27	Training remains an important area of support of the BMVI. Therefore, number of participants in training as well as the number of participants who report three months after the training activity that they are using the skills and competences acquired during the training will be monitored
Other methodological comments	Under the sub-indicator, it is not clear whether Member States provided data on whole courses, on training days or training hours. Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	The COVID 19 pandemic certainly had an effect on the limited number of training conducted in 2020. Apart from that there are no particular reasons for lower numbers of trained staff nor the number of training courses that can be identified from the individual programmes. It is possible that the training needs on the Member States side have decreased, that other funding than ISF-B was used to accomplish the trainings or that due to changing priorities the funding had to be shifted elsewhere.

### Indicator 3: Cumulative number of specialised posts in third countries supported by the Instrument. Broken down by ILOs, others

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
30				198						395
	Actual Progress									Final
	0	31	234	388	529	610	759			

Are we on track	On track
Indicator type	
Unit of measurement	Actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Indicators under MFF 2021-2027 will continue to monitor the number of staff deployed to consulates in third countries with a specific focus on number of staff deployed for visa processing, as well as the number of joint liaison officers deployed to third countries
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement. The table above only shows the total number of specialised posts and not the breakdown.
Full metadata available at this address	
Justification of the trend	Cooperation with third countries in the area of border management and tackling irregular migration has taken a flight in the past years. This coincides with the trend of deploying increasing numbers of ILOs and other specialised staff to third countries. The set milestones and targets have been exceeded.

### Indicator 4: Percentage and number of consulates developed or upgraded with the help of the Instrument out of the total number of consulates

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2022
0				462						923
	Actual Progress									Final
	2	36	352	700	1300	2353	2680			

Are we on track	On track
Indicator type	
Unit of measurement	Number
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, indicators will monitor the support setting up new or upgrading consulates outside the Schengen area, including the consulates, which upgraded to enhance client-friendliness for Visa applicants
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data

	retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	The ISF-B has more than expected (looking at the milestones and targets) been used to develop or upgrade consulates. In principle the number of consulates in third countries is not necessarily increasing, but it is possible that Member States have reported a variety of expenditure under this indicator (even for small scale upgrades of consulates).

**Specific Objective 2 :Supporting integrated border management to ensure, on one hand, a uniform and high level of control and protection of the external borders, and on the other hand, the smooth crossing of the external borders in conformity with the Schengen acquis, while guaranteeing access to international protection for those needing it, in accordance with the obligations contracted by the Member States in the field of human rights**

**Indicator 1: Number of staff trained and number of training courses in aspects related to border management with the help of the Instrument**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Staff										
2013	Milestones									2022
0				17 302						34 603
	Actual Progress									Final
	43	2 303	5 414	8 260	13 279	15 979	29 903			
Courses										
2013	Milestones									2022
0				167 162						334 323
	Actual Progress									Final
	34	382.5	10 261.5	28 887.5	49 262.55	88 882.5	130 664			

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	Actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	The indicator is based on hours of training delivered. In the Annual Implementation Report, the Responsible Authority will indicate the cumulative amount of hours of training delivered during the financial year. In general, the duration of the training courses is limited to the hours spent for training purposes hence it is a good practice to take out lunch breaks if these last an hour or more. However, there is no need to deduct also the shorter breaks. If a person attends several course s/he is counted each time because s/he acquires different knowledge.
Link MFF 14-20 / MFF 21-27	Training remains an important area of support of the BMVI. Therefore, number of participants in training as well as the number of participants who report three months after the training activity that they are using the skills and competences acquired during the training will be monitored
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	There are no particular reasons for lower numbers of trained staff nor the number of training courses that can be identified from the individual programmes. It is possible that the training needs on the Member States side have decreased, that other funding than ISF-B was used to accomplish the trainings or that due to changing priorities the funding had to be shifted elsewhere.

**Indicator 2: Number of border control (checks and surveillance) infrastructure and means developed or upgraded with the help of the Instrument. Broken down by infrastructure, fleet (air, land, sea borders), equipment, others**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Milestones										
				10577						19902
Actual Progress										
	348	1159	7091	10697	22352	27727	33516			

Are we on track	On track
Indicator type	
Unit of measurement	Actual results, milestones and target are cumulative.

Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	a) Infrastructures are non-moveable objects, such as buildings. Equipment are moveable objects and should hence not be counted here. In the case of IT system, large-scale IT infrastructures are considered as infrastructure, small IT equipment are considered as equipment. b) The indicators should be counted until the end of the eligibility period (period covered: 1 Jan 2014 to 31.12.2022).c) All equipment should be counted, not high value investments only. d) Only the number of infrastructure should be counted, not the upgrades. Under this indicator it is possible to report border crossings where infrastructure will be replaced/upgraded as well as means (including e.g. replacement of vehicles, drug detectors et.). Member States can use both interpretations for the purpose of annual implementation reports as this indicator is broken down in sub-categories to measure, among others, infrastructure and means.
Methodology	The most important is to ensure consistency throughout the years. Member States were advised that methodology/interpretation used to set your targets during the programming phase should be the same used to report data.
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027 indicators will continue to monitor the number of facilities for border crossing points constructed / upgraded
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Differently from the training of staff, that is more unpredictable, the number of infrastructure for border management to be upgraded can be planned more easily and it is visible from the trend that the data on the indicators is more or less aligned with the set milestone and target.

**Indicator 3: Number of border crossings of the external borders through ABC gates supported from the Instrument out of the total number of border crossings**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
										357233078
	Actual Progress									Final
	0	7225887	18782564	34639176	55527805	99117387	107074849			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, an indicator will monitor the number of border crossings through Automated Border Control gates and e-gates
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	The number of border crossing points through ABC gates is continuously growing. The peculiar thing about this indicator is the fact that the Fund cannot contribute to the number of border crossings as such. Instead, this indicator aims at showing that the ABC gates will contribute to a smoother crossing of the external borders – which is the case; an increasing number of border crossings is taking place through the ABC gates co-financed with the Fund.

**Indicator 4: Number of national border surveillance infrastructure established/further developed in the framework of EUROSUR. Broken down by National Coordination Centres, Regional Coordination Centres, Local Coordination Centres, other types of coordination centres**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
19	30			30						30
	Actual Progress									Final
	30	30	30	30	30	30	30			

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	31/12/2014

Data source	Eurosur Regulation. The 19 MS having external borders to the east and to the south were required by the Eurosur Regulation to set up their NCCs by December 2013. All the NCCs were set up by December 2014.
Narrative	The indicator was set up to monitor the setting up of national coordination centres stipulated by the Eurosur Regulation.
Methodology	The Regulation stipulates only one national coordination centre per Member State
Link MFF 14-20 / MFF 21-27	This indicator will be not be monitored in MFF 2021-2027 as the target is already implemented. However, an indicator will be established to monitor the number of initiated / improved forms of cooperation of national authorities with the Eurosur National Coordination Centre (NCC).
Other methodological comments	The indicator reports the number of National Coordination Centres (1 NCC per Member State), which during these years were gradually upgraded and received more competencies. We consider setting up more relevant than the further developing of the NCCs. The data provided by Member States in the Annual Implementation reports is not presented here.
Full metadata available at this address	
Justification of the trend	There is no trend to be reported because the data remained stable.

**Indicator 5: Number of incidents reported by Member States to the European Situational Picture. Broken down by illegal immigration, including incidents relating to a risk to the lives of migrants, cross-border crime, crisis situations**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
				78 797						157 593
	Actual Progress									Final
	9309	16 780	26 790	36 638	50 133	73 345	95169			

Are we on track	Deserves attention**
Indicator type	
Unit of measurement	Number of incidents, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, this indicator will be discontinued as the link with the support of the fund is rather weak.
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	This indicator is not linked to the Fund, but is rather a number collected by MS that is reported in the ISF-B annual implementation report for information purposes. The numbers depend on the pressure at the border and cannot be planned in advance.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

##### ***SDG 10 Reduce inequality within and among countries***

All actions funded under the Border Management and Visa Instrument, including those carried out in third countries, should be implemented in full compliance with the rights and principles enshrined in the Union acquis, the Charter of Fundamental Rights of the European Union, and should be in line with the international obligations of the Union and the Member States arising from international instruments to which they are party, in particular by ensuring compliance with the principles of non-discrimination and non-refoulement.

The Border Management and Visa Instrument is committed to the horizontal approach of the EU budget in which equality between women and men, as well as rights and equal opportunities for all, and the mainstreaming of these objectives should be taken into account and promoted throughout the preparation, implementation and monitoring of relevant programmes.

In the broader context, in order to receive payments from the Commission, Member States programmes for HOME funds will have to comply with the number of horizontal enabling conditions, one of which concerns the effective application and implementation of the EU Charter of Fundamental Rights, including the equality of men and women. The horizontal enabling conditions have to remain fulfilled throughout the entire programming period and MS have to report on their application to the programme monitoring committee and the Commission.

The BMVI facilitates orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies.

### ***SDG 13 Take urgent action to combat climate change and its impacts***

In line with the Union's commitments to work towards achieving the United Nations Sustainable Development, the CCEI Regulation commits to contributing to the achievement of the Union's goal of spending at least 30% of the total amount of Union budget on supporting climate objectives and of the Union's ambition to spend 7.5% of the annual Union budget on biodiversity in 2024 and 10% in both 2026 and 2027, while considering the existing overlaps between climate and biodiversity goals.

### ***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

The policy objective of the Border Management and Visa Instrument is to develop and implement a strong and effective European integrated border management at the external borders, thereby contributing to ensuring a high level of internal security within the Union, while safeguarding the free movement of persons within it, and fully respecting the relevant Union acquis and the international obligations of the Union and the Member States arising from international instruments to which they are party.

The Fund facilitates legitimate travel, while preventing irregular migration and security risks, was identified as one the main objectives of the Union's approach presented in the Commission's Communication on *A New Pact on Migration and Asylum*<sup>8</sup>.

A project financed under the Slovak ISF programme aims at training officers of the Border and Foreign Police in English, Russian and Ukrainian. The will help police officers to communicate in English, Russian and Ukrainian with third-country citizens. The project started in 2017 and will be finalised in 2021.

---

<sup>8</sup> COM(2020) 609 final of 23.09.2020

**HEADING 5: Security and Defence****Internal Security Fund (ISF)****Lead DG:HOME**

1. Overview .....	1018
1.1. Challenges .....	1019
1.2. Mission (general objectives) .....	1019
1.3. Specific objectives .....	1019
1.4. Public intervention context .....	1019
1.5. Actions .....	1019
1.6. Delivery mode .....	1020
1.7. Graphic overview of the programme structure .....	1020
1.8. Legal basis and financial programming .....	1022
1.9. Link with the 2014-2020 MFF .....	1022
1.10. Relevant websites providing more information .....	1022
2. Where are we in the implementation ? .....	1022
2.1. Programme 2021-2027 .....	1022
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1022
3. How is the programme performing ? .....	1023
3.1. Performance .....	1023
3.2. Key achievements .....	1026
3.3. Evaluations, studies and reports .....	1028
4. Programme 2021-2027 - Key monitoring indicators .....	1029
Specific Objective 1 :Better information exchange .....	1029
Specific Objective 2 :Increased operational cooperation .....	1030
Specific Objective 3 :Strengthened capabilities to combat and to prevent crime .....	1032
5. Programme 2014-2020 - Key monitoring indicators .....	1034
Previous Program 1 : Internal Security Fund .....	1034
General Objective 1 :To contribute to ensuring a high level of security in the Union .....	1034
Specific Objective 3 :Crime prevention, combating cross-border, serious and organised crime including terrorism, and reinforcing coordination and cooperation between law enforcement authorities and other national authorities of Member States .....	1035
Specific Objective 4 :Enhancing the capacity of Member States and the Union for managing effectively security-related risks and crises, and preparing for and protecting people and critical infrastructure against terrorist attacks and other security-related incidents .....	1037
Previous Program 2 : Justice Programme .....	1038
Specific Objective 4 :to support initiatives in the field of drugs policy as regards judicial cooperation and crime prevention aspects closely linked to the general objective of the Programme, insofar as they are not covered by the Internal Security Fund or by the Health for Growth Programme .....	1039
6. The programme contribution to horizontal policies .....	1040
6.1. Contribution to climate mainstreaming .....	1040
6.2. Contribution to biodiversity mainstreaming .....	1040
6.3. Contribution to clean air financing .....	1040
6.4. Contribution to gender equality .....	1040
6.5. Contribution to the sustainable development goals .....	1040

**1. Overview**

## 1.1. Challenges

Over recent years, security threats have intensified and diversified in Europe. They have come in the form of terrorist attacks, new types of serious and organised crime, as well as cybercrime. Security has an inherent cross-border dimension and therefore a strong, coordinated EU response is required. Beyond internal security challenges, Europe faces complex external threats that no Member State can meet on its own.

## 1.2. Mission (general objectives)

While terrorist and other serious and organised crime networks increasingly operate across borders/in a globalised manner, Member States remain with a responsibility towards their citizens to deliver public security, in full compliance with EU fundamental rights, but the EU can support these actions. In this regard, the Treaties envisage the need to ensure a high level of security, including through preventive measures and through coordination and cooperation between police, judicial and other competent authorities.

The Internal Security Fund is set up to contribute to a high level of security in the Union through facilitating cross-border cooperation and exchange of information between Member States' competent authorities, in particular by enabling the interoperability of the different security-relevant EU information systems and by facilitating joint operational actions, as well as by providing support for trainings, for the construction of essential security-relevant facilities, and for maintaining and upgrading the infrastructure necessary for the collection and processing of passenger name record (PNR) data. It aims at intensifying cross-border operational cooperation in relation to the prevention, detection and investigation of cross-border crime and at supporting efforts aimed at strengthening the capabilities to prevent such crime, including terrorism, in particular through increased cooperation between public authorities, civil society and private partners from across the Member States.

## 1.3. Specific objectives

There are three specific objectives:

1. To improve and facilitate the exchange of information among and within competent authorities of the Member States and relevant Union bodies, and where relevant, with third countries and international organisations;
2. To improve and intensify cross-border cooperation, including joint operations among and within Member States' competent authorities in relation to terrorism and serious and organised crime with a cross-border dimension;
3. To support the strengthening of the Member States' capabilities in relation to preventing and combating crime, terrorism radicalisation as well as managing security-related incidents, risks and crises, including through increased cooperation between public authorities, the relevant Union agencies, civil society and private partners across the Member States.

## 1.4. Public intervention context

The evolving security challenges addressed by the ISF make it a key instrument in realising the Union's objective of constituting an area of freedom, security and justice under Article 67(3) of the Treaty on the Functioning of the European Union (TFEU), which is an area of **Shared Competence** between the EU and the Member States (Article 4, TFEU). The ISF shall support measures to promote and support the action of Member States in the field of crime prevention, joint training and police and judicial cooperation in criminal matters in line with Articles 84 and 87 TFEU.

The Commission in 2020 put forward the "New way forward on Internal Security", the specific Home Affairs related part of the Security Union Strategy. It focuses on three priority areas: organised crime; terrorism and radicalisation; and fighting crimes in a digital age. At the end of 2020, the Commission presented a new Counter-Terrorism Agenda for the EU, which sets the way forward for actions to counter terrorism at EU level, including measures to tackle terrorism financing and to better protect public spaces and critical entities. The Commission is currently working on an evaluation of the Directive on combating terrorism to assess the added value of the Directive, including its impact on fundamental rights and freedoms, the rule of law, and the level of protection and assistance provided to victims of terrorism.

Other important instruments in this policy area are directives such as Directive on combating money laundering, the Advance Passenger Information Directive, and the Directive on the freezing and confiscation of the proceeds of crime. The Commission monitors their effective implementation by Member States. Other actions at EU level cover inter alia EU police cooperation, the Prüm framework (exchange of DNA, fingerprint and vehicle registration data), anti-corruption measures.

Since the overarching objective of the ISF, namely to contribute to ensuring a high level of security in the Union, cannot be sufficiently achieved by the Member States acting alone and can be better achieved at Union level, the ISF is based on the principle of subsidiarity as set out in Article 5 of the Treaty on European Union (TEU).

## 1.5. Actions

The Fund shall in particular support:

- setting up, adapting and maintaining IT systems and communication networks contributing to the achievement of the objectives of this Regulation, training on the use of such systems, testing and improving the interoperability components and data quality of such systems;

- actions supporting the set-up and development of effective and coordinated cooperation to anticipate and respond to cross-border crime and terrorism.
- monitoring of the implementation of Union law and Union policy objectives in the Member States in the area of security information systems, including data protection, privacy and data security;
- implementing or facilitating the implementation of the EU Policy Cycle / EMPACT<sup>1</sup> activities and operational actions;
- actions supporting an effective and coordinated response to crisis linking up existing sector-specific capabilities, expertise centres and situation awareness centres, including those for health, civil protection, terrorism and cybercrime;
- actions developing innovative methods or deploying new technologies with a potential for transferability to other Member States, especially projects aiming at testing and validating the outcome of Union-funded security research projects;
- actions that improve resilience to emerging threats including trafficking via online channels, hybrid threats, malicious use of unmanned aerial systems and chemical, biological, radiological and nuclear threats;
- support to thematic or cross-theme networks of specialised national units and national contact points to improve mutual confidence, exchange and dissemination of know-how, information, experiences and best practices, pooling of resources and expertise in joint centres of excellence;
- education and training of staff and experts of relevant law enforcement and judicial authorities and administrative agencies taking into account operational needs and risk analyses, and in cooperation with CEPOL and, when applicable, the European Judicial Training Network including on prevention policies with special emphasis on fundamental rights training;
- cooperation with the private sector, for instance in the fight against cybercrime, in order to build trust and improve coordination, contingency planning and the exchange and dissemination of information and best practices among public and private actors including in the protection of public spaces and critical infrastructure;
- actions empowering communities to develop local approaches and prevention policies, and awareness-raising and communication activities among stakeholders and the general public on Union security policies;
- equipment, means of transport, communication systems and essential security-relevant facilities;
- cost of staff involved in the actions that are supported by the Fund or actions requiring involvement of staff for technical or security-related reasons.

## 1.6. Delivery mode

The Internal Security Fund will be implemented under shared, direct and indirect management. The largest part of the resources (70% of the total budget) will be allocated to the national programmes under shared management. The remaining part will be allocated to a Thematic Facility to be used for specific actions (implemented by the Member States nationally or transnationally), Union actions (direct/indirect management) and emergency assistance (shared, direct or indirect management). Technical assistance at the initiative of the Commission will be implemented by direct management.

The Union actions will be designed in the new tool, Thematic Facility, as a part of the overall strategy for the implementation of the Home Affairs budget, keeping the necessary links with the Member States' programming of the three Home Affairs Funds and other EU Programmes. They will follow clear and well identified needs and priorities for funding.

The lead DG is DG HOME. Since the ISF is also covered by the Common Provisions Regulation, DG HOME closely coordinates with DG REGIO, EMPL and MARE. In relation to the external dimension, DG HOME closely coordinates with DG INTPA, NEAR and FPI. It also coordinates with RTD and CNECT.

## 1.7. Graphic overview of the programme structure

---

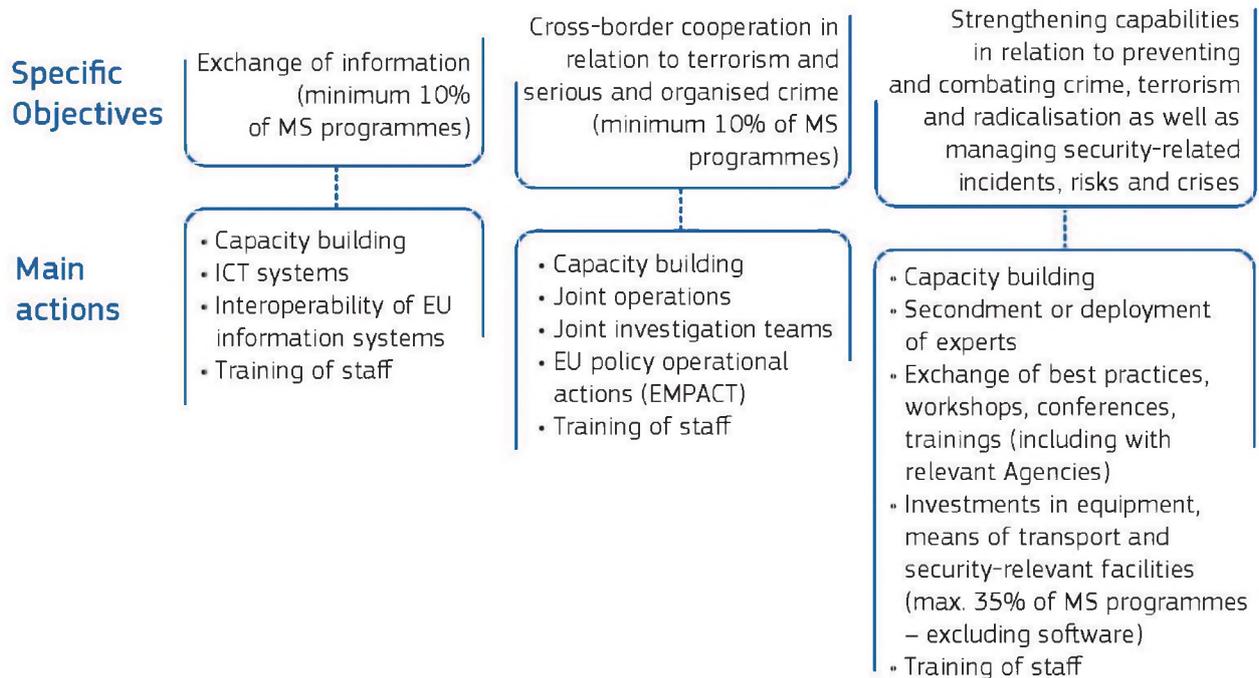
<sup>1</sup> EMPACT: European Multidisciplinary Platform Against Criminal Threats.  
Internal Security Fund (ISF)

## HOME (lead DG)

EMPL, REGIO, INTPA, NEAR, CNECT, RTD  
(associated DGs)

### Policy Objective

Contribute to ensuring a high level of security in the Union, in particular by preventing and combating terrorism and radicalisation, serious and organised crime, and cybercrime, and by assisting and protecting victims of crime as well as by preparing for, protecting against and effectively managing security related incidents, risks and crises within the scope of this Regulation



### Implementation modes

Member States' (MS) programmes

**70% of the funding**

Shared management



would be allocated at the beginning of the programming period

Thematic Facility (including emergency assistance)

**30% of the funding**

Shared management (top-up to MS programmes)    Direct management    Indirect management

Flexibilities



would be allocated during the programming period

### Beneficiaries

State/Federal Police, Customs and other specialised law enforcement services (including national cybercrime units, anti-terrorism and other specialised units), local public bodies, non-governmental organisations, international organisations, Union agencies, private and public law companies, networks, Research Institutes and Universities

## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0250/COD COM (2018) 472: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Internal Security Fund	2021 - 2027	1 931,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>175,6</b>	<b>227,1</b>	<b>282,8</b>	<b>289,9</b>	<b>320,9</b>	<b>331,4</b>	<b>303,2</b>	<b>1 931,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

In the period 2014-2020, the support for police cooperation was financed through the police instrument of the Internal Security Fund, which also included an instrument for border management and visa. In the MFF 2021-2027, the Internal Security Fund is fully supporting police cooperation.

The policy objective of the Fund remains the same but with a new viewpoint taken on the specific objectives of the Fund. In particular, the specific objectives in the 2014-2020 period were focused on crime and crisis whereas the new objectives are more horizontal in nature. Its scope has been enlarged as it also includes the non-health related demand side of drugs, taking over a part of the drugs component of the former Justice programme.

The implementation modalities of the Fund will also remain the same – a split between shared and direct management;

## 1.10. Relevant websites providing more information

On the Commission website the reader will be able to see a description of the scope and the budget allocation of the Funds, illustrated by supportive visuals and info-graphics.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

For programming period 2021-2027, the Commission will this year support Member States in the preparation of their future programmes, to be adopted as soon as possible after the adoption of the legal basis for the financial period 2021-2027. The Commission will also prepare a 2021-2022 Work Programme for the Thematic Facility to ensure the programming of the funding for indirect/direct and shared management on top of the basic allocations for the national programmes.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	3 837 540 702	2 169 944 722
Implementation carry-overs	61 948 970	8 032 263
Implementation Recoveries and Repaid advances		110 991 748
Implementation total	3 899 489 672	2 288 968 733
total envelop*	3 942 653 977	
cumulative implementation rate	99%	58%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The table above presents the cumulative implementation rate of the Internal Security Fund 2014-2020 both strands: Border and Visa and Police.

For the period 2014-2020, for the ISF-Police, EUR 751.56 million were allocated to the national programmes of the Member States. Up to 2020 MS spent EUR 503 million equivalent to an absorption rate of 66.93%, which can be considered satisfactorily. By 31 March 2021, the 2020 Annual Implementation Reports for ISF were submitted by Member States.

In 2017, the ISF-Police national programmes received a top-up of EUR 70 million for the Passenger Name Record (PNR) and EUR 22 million for information exchange and interoperability of information systems.

Information exchange projects under ISF P include on the one hand the inter-connection of national databases and IT tools of different national police entities, and on the other hand the connection of national databases and IT tools with their EU equivalents in view of cross-border exchange of structured data on crime. The data exchanged is for example in relation to the Prüm Decisions, to step up cross-border cooperation to combat terrorism and cross-border crime by fast and efficient data exchange of DNA analysis files, automated fingerprint identification systems and vehicle registration data. Other examples of data exchange projects could be related to the Passenger Name Record system, the Schengen Information System, the Europol Information System, the Interpol Stolen and Lost Travel Documents database, or related to the exchange of forensic data on the chemical composition of seized drugs, firearms, explosives, economic and financial crime related information, trafficking in human beings, environmental crime etc. Projects are also about better information exchange, namely finding technical solutions to filter results and to improve data quality.

The co-legislators adopted in May 2019 **the interoperability package**<sup>2</sup> to close existing information gaps. The law enforcement component of this package allows police authorities to perform identity checks in the territory of the Member States by querying the Central Identity Repository (CIR). CIR includes data from five central EU information systems: EES, VIS, ETIAS, Eurodac and ECRIS-TCN. Projects eligible under ISF P include for instance the purchase of software and hardware to query the CIR, thus allowing law enforcement officers to make the best use of existing information systems in a timely manner and contribute to improve internal security.

In the latest Annual Implementation Reports concerning 2020, Member States mostly reported that the COVID-19 pandemic did lead to delays in project implementation due to e.g. delays in public procurement procedures, travel restrictions, difficulties in the hiring processes of staff, construction works due to lockdown and other restrictions related to COVID-19. Training activities were particularly negatively affected by the travel restrictions imposed in the course of the COVID-19 pandemic. Mitigating measures included extension of duration of projects, increasing the co-financing rates for some projects.

### **Direct and indirect management**

In 2020, **ISF-Police emergency assistance** was made available to address urgent and specific needs. To support Member States, the overall amount granted since 2014 amounts to EUR 12 million.

In 2020, most of the **Union actions projects** selected under the 2016 annual work programme were closed, while the remaining and those selected under the 2017 and 2018 programmes continue running. The implementation of the Union Actions have been significantly impacted by the COVID-19 pandemic, which resulted in delays in projects' implementation and extensions of the numerous grant agreements. New grant agreements were concluded for actions under the 2019 annual work programme and their implementation has started in the end of 2020 or in early 2021. Data on the grant agreements concluded in 2020 have been inserted in the output tables per Specific Objective.

The ISF 2020 work programme for Union actions in the area of police cooperation was adopted on 27 July 2020 for a total amount of EUR 98.6 million and then amended twice, notably increased to EUR 115.1 million. The work programme includes EUR 1 million for emergency assistance. The calls for proposals planned under the work programme were published and invitation of the beneficiaries of direct award of grants identified under the work programme to submit the grant applications is scheduled to be finalised in the first half of 2021. Actions implemented through procurement are ongoing.

Under ISF Police, no supplementary funding was provided since 2017. The Commission intends to steer the Member States even more to enhance the implementation of the programme, among others through the participation to national monitoring committee meetings, bilateral discussions, monitoring visits, messages at political level, etc.

Grant agreements under the ISF 2020 annual work programmes for Union actions will be concluded in 2021 and the implementation of the actions will start. Those will be the last grants to be concluded under the MFF 2014-2020. They will be progressively phasing out until end 2025.

## **3. How is the programme performing ?**

### **3.1. Performance**

<sup>2</sup> Regulation (EU) 2019/817 of the European Parliament and of the Council of 20 May 2019 on establishing a framework for interoperability between EU information systems in the field of borders and visa and amending Regulations (EC) No 767/2008, (EU) 2016/399, (EU) 2017/2226, (EU) 2018/1240, (EU) 2018/1726 and (EU) 2018/1861 of the European Parliament and of the Council and Council Decisions 2004/512/EC and 2008/633/JHA

Regulation (EU) 2019/818 of the European Parliament and of the Council of 20 May 2019 on establishing a framework for interoperability between EU information systems in the field of police and judicial cooperation, asylum and migration

### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.3. Previous programme performance

#### Internal Security Fund: Police strand

The majority of security threats, which the EU is facing are cross-border by nature. Taking into account the continuous security challenges, it is important to stress that until the end of 2020, ISF-Police has proven an efficient fund getting closer to its general objective to contribute to a high level of security in the Union. In particular, the interim evaluation concluded that the Fund has been shown to be flexible enough to respond to the changing needs which emerged as a consequence of the security crises. This assessment was carried over into the impact assessment on which the new ISF is based.<sup>3</sup>

The ISF supports overall EU policies in the area of internal security, e.g. on police cooperation, preventing and combatting crime (including counterterrorism), protection of people and critical infrastructures and combatting drugs smuggling. Through Union actions, transnational projects and projects of particular EU interest are being financed. The needs of both policy and its stakeholders evolve continually. Therefore, the (bi)annual programming for Union actions offers a unique chance to align the actions to most urgent and important needs identified on the ground (e.g. recently with a special focus on fighting cyber criminality and protection of places of worship), as well as allowing continuity, for example where it comes to financing various projects of European Police Networks.

In terms of overall performance of the Fund, for many of the indicators set in the Regulation, the targets have been either achieved or exceeded. The implementation of ISF will run until end-2022, and thus 2 years of implementation remain. Up to 2020, ISF-Police has attained an absorption rate of 66.93%, which can be considered overall satisfactory. In 2020, the Member States have submitted EUR 82.75 million of payments to the Commission.

#### Crime prevention, combating cross-border, serious and organised crime including terrorism and enhancing the capacity of Member States and the Union for managing effectively security-related risks and crises

The EU Security Union Strategy presented in 2020, sets out the strategic framework for the period 2020–2025 and aims at the closing of information gaps, building digital and electoral resilience, denying terrorists the means to act and addressing radicalisation. These policy priorities will steer the implementation of the remaining part of the 2014-2020 ISF programmes and the new ISF 2021-2027. By focusing on EU policy priorities, the EU added value of ISF funding will be strengthened.

Driven by the needs of national authorities working on keeping citizens safe, the EU-level support has focused on legislative and operational measures where joint action can have an impact on the security of Member States. The ISF-Police instrument provides the financial means to implement such measures. Where necessary, additional funding was provided to the Member States in order to advance EU policies, i.e. EUR 70 million for the Passenger Name Record (PNR) and EUR 22 million for interoperability of information systems. In order to **strengthen mutual trust and information sharing between national authorities** (for instance for law enforcement) the fund finances 21 **European networks** through grants in the area of security which allow for regular meetings, exchanges of best practices etc. For example, in 2020, the Commission took further steps to support the work of the Radicalisation Awareness Network and continued to support the exchanges on radicalisation at national, regional and local levels, notably through the signature of two new framework contracts. In 2020, the Commission increased support to develop approaches for disengagement and reintegration programmes, in particular by launching a call for proposals addressing this priority.

In addition, Member States have also continued to organise expert meetings, workshops, seminars, conferences, publications, websites and online consultations organised, with 796 such events organised in 2020, and almost reaching the cumulative target (2647 in total since 2014 versus the target of 892).

The Fund also supports **joint investigations teams (JITs) and the European Multidisciplinary Platform Against Criminal Threats (EMPACT)**. Member States reported a total number 287 JITs and EMPACT operational activities funded by the ISF-P between 2014 and 2020. Moreover, the ISF Police finances the set-up of the **national Passenger Name Record (PNR) systems**, allowing national law enforcement authorities to exchange information on suspect air passengers.

However, Member States are still not achieving the milestones and are significantly below the targets for training of law enforcement officials. For instance, up to 2020, 36 771 persons have been trained on cross-border related issues (in 2020, 13 431 persons trained as compared to the 8 070 in 2019). Data at Member State level shows different degrees in the delivery of training to staff on border management topics as compared to the target: some Member States have already attained their targets or are 80% above the target, while others are yet to report projects for training. It seems that some Member States have also set very high targets.

Up to 2020, Member States have submitted expenditure to the Commission for an amount of EUR 503 million, equivalent to an absorption rate of 66.93%. In 2020, they have implemented projects for a value of EUR 64.97 million in the area of crime prevention and EUR 13 million in the area of assessment and management of risk.

#### Lessons learnt

<sup>3</sup> SWD(2018)347, 12.6.2018.

The new ISF 2021-2027 provides financial resources with the objective to contribute to ensuring a high level of security in the Union, in particular by preventing and combating terrorism and radicalisation, serious and organised crime, and cybercrime and, by assisting and protecting victims of crime as well as by preparing for, protecting against and effectively managing security related incidents, risks and crises. Lessons learned and incorporated into the design of the new ISF include an allocation which reflects the different needs and pressures of Member States, and a thematic facility offering flexible funding for a number of priorities including support for solidarity and responsibility efforts between the Member States.

The main lessons learnt during the programming period 2014-2020 include:

*Insufficient cooperation, coordination and strategic steering in the implementation of the ISF with other EU level initiatives:* This challenge was addressed by including eight shared management funds, including the ISF, in a single legal framework. This allows for a closer coordination and cooperation of the shared management funds both at strategic level as well as at the level of implementation.

*A need for simplification:* in order to simplify and build on synergies, the rules applicable to the shared management funds will be aligned with rules applicable to the management of other Union Funds under shared management ('single rule book'). This provides better guidance on the management and control systems and audit requirements, and ensures that the eligibility rules under shared management make full use of simplified cost options (SCOs).

*Insufficient flexibility to respond to changing needs during the programming period:* This challenge was addressed in two ways. Firstly, Member States will be provided with around 58.3 % to Member States programmes. An additional share of 11.7% of the total budget will be allocated at mid-term (technical adjustment of the distribution key subject to financial performance according to which a Member State should have submitted payment claims covering at least 10 % of the initial amount of payment appropriations). Secondly, a financial envelope of 30% should be managed through the thematic facility, which will periodically provide funding for a number of priorities defined in Commission financing decisions. This facility in particular offers flexibility in the management of the instrument by allowing the disbursement of funds to the technical assistance at the initiative of the Commission and the following components of the thematic facility: support for specific actions, providing additional funding for dedicated actions of high EU added value, through the Member States' national programmes; support for Union actions, managed through direct and indirect management; and emergency assistance.

*The need to strengthen the performance monitoring in terms of quality and frequency of the fund in general.* In order to address this challenge, the Commission proposed greatly improved performance monitoring with more regular and reliable data setting out common output and result indicators. In cooperation with the Member States, the Commission services will develop definitions for each of these indicators. This will ensure a common understanding of each indicator across all Member States and programmes. Moreover, it will not only greatly contribute to improving data quality it will also enhance data comparability. Member States will be required to develop this performance framework for each of its programmes and underpin it by methodological considerations. The managing authority, in its yearly management declaration and as part of the annual assurance package, will have to confirm the reliability of submitted data relating to indicators and the progress of the programme. The annual performance review will be an occasion for a policy dialogue with the Member States on issues of programme implementation and performance. In particular, the annual performance reports will provide qualitative information on programme implementation going beyond the quantitative data submitted for the indicators. It will complement the biyearly transmission of structured data and strengthen the performance review process. In the context of the performance framework, Commission services will hold at least two meetings with Member States during the programming period. All data required for monitoring progress in programme implementation will be transmitted electronically. Twice a year, Member States will transmit to the Commission structured data on the common output and result indicators. Thus, the Commission services will have a much more updated picture of programme performance than in the current period. In addition, the ISF programmes will now also use the open data platform, which had been established in the current programming period for the European Structural and Investment Funds. It will allow stakeholders to access almost real time data on programme implementation. This is an important novelty for the HOME funds, which in the current period do not publish data on the open data platform.

Moreover, Member States are now required to set up a system of electronic data exchange between beneficiaries and managing authorities, and between different authorities of the management and control system. This requirement builds on the current Common Provisions Regulation, which did not cover the ISF, and further develops certain aspects of data collection. It is thus a novelty for the HOME funds in general. Beneficiary and project information, as well as the performance reports will be published on a dedicated website run by the managing authority. This will give greater visibility to achievements and allow better communication.

### **Justice programme: Drugs initiatives**

The actions of the programme as far as the *Specific Objective 4: Drugs initiatives* is concerned are achieving their goals.

Several projects have been financed through the Justice Programme over the last years, which have lasting impact on the drug situation in the EU. A very good example are the different wastewater examination programmes. These allow checking of what drugs are being taken in a certain area, which then helps the drug services in the area to adapt their offers if needed. This analysis has become a standard test, also used by the European Monitoring Centre for Drugs and Drug Addiction for their data collection.

Drugs trafficking is typically a cross-border and Union-wide challenge that the Programme aims to address. Programme activities support initiatives in the field of drugs policy as regards judicial cooperation and crime prevention aspects, in so far as they are not

covered by the Internal security fund for financial support for police cooperation, preventing and combating crime, and crisis management or by the Health for Growth Programme. In parallel to the legislative work, the key focus within the drugs-related objective was on expanding the knowledge base on the phenomenon of New Psychoactive Substances (NPS), and in particular on identification methods and protocols, enhancing cross-border cooperation within the EU in this area and exploring the area of epidemiology of use of New Psychoactive Substances. In addition, an emphasis was put on strengthening the capacity of civil society organisations to contribute to the implementation of the EU Drug Strategy 2013-2020 and its Action Plan.

Illicit drugs are a complex social and health problem that affects millions of people in the EU and globally. More drugs being available in Europe year-by-year, overdose deaths increasing, new marketplaces becoming available, and Europe has a growing role in synthetic drug production. The current EU Drugs Strategy, EU Action Plan on Drugs and corresponding EU financial instruments set out a balanced, integrated and evidence-based approach to drugs, which joins law enforcement and public health considerations.

The key focus within the drugs-related objective continues to be on expanding the knowledge base on the phenomenon of New Psychoactive Substances, and in particular on identification methods and protocols, enhancing cross-border cooperation within the EU in this area and exploring the area of epidemiology of use of New Psychoactive Substances. In addition, an emphasis was put on strengthening the capacity of civil society organisations to contribute to the implementation of the EU Drug Strategy and its current Action Plan.

The two indicators, which are used to measure effects of the Programme related to this specific objective demonstrate stability in the impact of the programme's actions in this field however there are deviations compared to the targets set at the beginning of the programming period. This is due to programme related factors but can be also explained by external factors/context:

- The first indicator concerns the number of New Psychoactive Substances assessed (including through testing, if necessary) to enable the EU or the Member States to take appropriate action to protect consumers, depending on the type and level of risk that they may pose when consumed by humans. The indicator is based on the actual number of New Psychoactive Substances (NPS) detected and notified to the European Union Early Warning System Network. The data is provided by the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA). Changes of this indicator as compared with previous years should be interpreted with caution – ideally, we would prefer to see zero NPS reported, as ideally, there would be no illicit NPS on the market whatsoever. On the other hand, many of the newly reported substances – while fewer in number – are more dangerous, cause addiction more rapidly, and present more serious environmental harms. When the milestones were defined at the beginning of the programming period, the situation on what concerns the NPS was very different from what we see today. The number of detected NPS was much higher – of around 100 per year, and we were at the beginning of setting regulatory and law enforcement response to this emerging issue. Now, we see a lower number of detected substances overall, which explains the difference from the milestone and target; figures continued to decline in 2014-2019, with 47 NPS newly reported substances in 2020. As the detection as well as legal and law enforcement response to the challenge improved substantially since 2014, we see a corresponding change on the illicit market for NPS. This explains the difference from the milestones and final targets on this indicator.
- The second indicator concerns the percentage of problem opioid users that are in drug treatment (substitution treatment (OST) and other treatment) across the EU. The proportion provides only partial information as such, as it is based on the overall figure of problem opioid users. The increase or decrease of this indicator should be interpreted based on a more detailed narrative: there were 1.3 million of high-risk opioid users, of which 660 000 received treatment, according to the latest available information – based on the latest available data provided by the European Drug Report 2020. The number of opioid users who received substitution treatment was 654 000 in 2019, 628 000 in 2018, 630 000 in 2017, 644 000 in 2016, 700 000 in 2015 and 700 000 in 2014 while the total number of problem/high risk opioid users was around 1.3 million across the reporting period. As compared to 2019, the number of opioid users who received treatment in 2020 increased by about 6 000.<sup>4</sup> When this indicator was first set, the situation on what concerns the illicit opioids was different from what we see today. Europe has experienced different waves of heroin addiction, and in many Member States we now observe an ageing, stable group of problematic opioid drug users. On what concerns the availability of substitution treatment, one has to consider emerging threats of other illicit substances, such as cocaine and NPS, which absorbed much of limited public resources allocated to counter the challenge of illicit drugs; therefore, limiting resources available to substitution treatments for problematic opioid users.

### 3.2. Key achievements

#### 2014-2020 period

<i>Cumulative number for the period 2014-2020</i>	
287	Number of joint investigation teams (JITs) and European Multidisciplinary Platform against Criminal Threats (EMPACT) operational projects supported by the Instrument, including the participating Member States and authorities.

<sup>4</sup> Source: [https://www.emcdda.europa.eu/system/files/publications/13236/TDAT20001ENN\\_web.pdf](https://www.emcdda.europa.eu/system/files/publications/13236/TDAT20001ENN_web.pdf)  
Internal Security Fund (ISF)

466	Number of projects in the area of crime prevention
102	Number of projects supported by the Instrument, aiming to improve law enforcement information exchange which are related to Europol data systems, repositories or communication tools. Broken down by type of crime (Art. 83 TFEU)
406	Number and tools put in place and/or further upgraded with the help of the Instrument to facilitate the protection of critical infrastructure by Member States in all sectors of the economy
108.3	Number of projects relating to the assessment and management of risks in the field of internal security supported by the Instrument
2 647	Number of expert meetings, workshops, seminars, conferences, publications, websites and online consultations organised with the help of the Instrument. Broken down by relating to critical infrastructure protection, and relating to crisis and risk management

### ***Internal Security Fund: Police strand***

#### **Shared management**

Following a reinforcement in 2017, the total allocation for the **Internal Security Fund – Police** equals EUR 751.56 million.

In 2020, the Fund (Police part) significantly contributed to **enhancing exchanges of information and cooperation among national authorities**. With the support of the ISF – Police, 36 771 law enforcement officers have received training on cross-border related topics with a strong focus on terrorism (7 659 officers trained) and organized crime (7 879 officers trained).

A good example of how the Fund enhances exchange of information between police and other law enforcement authorities, is found under the National Programme of **Germany**. Through several activities over a number of years, the Programme supports the “Police Information and Analysis Network” (PIAV) for EUR 32 million (with 17 beneficiaries). The initiative consists of a number of projects implemented at Federal and Land level to improve police data exchange and information management by connecting all federal and regional police authorities in one system.

In the same vein, the establishment of **national PNR systems** and development of national Passenger Information Units were also supported by the Fund in all Member States with EUR 70 million in top-ups to the national programmes in 2017.

Moreover, ISF Police allowed to support actions implementing the **joint investigation teams (JIT)**. ISF Police also allowed to support activities of the **European Multidisciplinary Platform Against Criminal Threats (EMPACT)**, which led to tangible operational results and many achievements in various fields, such as training and capacity building, prevention, cooperation with non-EU partners, fighting online crime, arresting high-value targets<sup>5</sup>.

According to Europol Te-Sat report figures, in 2019 the number of **terrorist attacks** fell to 119 (compared to 129 in the previous year) and the number of terrorist related deaths increased by 10 in 2019 (compared to an increase of 13 in 2018).

#### **Examples of national programme success stories**

##### **Italy**

Under the Police component of its ISF national programme, in 2020 Italy completed the implementation of project **Strengthening of the information and operational capacity of the Anti-Mafia Investigation Directorate in relation to the functioning of the European anti-mafia network @ ON**. Through this project, the Italian Ministry of Interior acquired highly sophisticated hardware and software to fight crimes such as money laundering, corruption, weapons, drugs and waste smuggling. The project also enabled the MoI to enhance exchange of information with other MS and Europol, particularly in the framework of Europol-led coordination mechanisms such as the Operational Network/@ON established by the JHA Council Resolution of 4 December 2014.

#### **Direct management**

##### **Examples of success stories under emergency assistance:**

In **Spain**, the emergency funds (EUR 52 million for the years 2018 and 2019) mainly funded actions related to illegal migration. Under the ISF - Police, a software to detect terrorism activities in the internet and social media, as well as automatic number plate equipment have been acquired and used by the police.

##### **Union actions**

Examples of ISF funded Union actions can be found in the Factsheets and Snapshots published by the Commission at the following link: [https://ec.europa.eu/home-affairs/publications/snapshot-action-europe-eu-projects-enhance-security-and-effectively-manage-migration\\_en](https://ec.europa.eu/home-affairs/publications/snapshot-action-europe-eu-projects-enhance-security-and-effectively-manage-migration_en) and [https://ec.europa.eu/home-affairs/publications/isfp-and-just-drugs-factsheet-compilation\\_en](https://ec.europa.eu/home-affairs/publications/isfp-and-just-drugs-factsheet-compilation_en).

To date there are **21 European networks** which are financed via direct grants under Union Actions for ISF-Police. The networks carry out activities with specific characteristics that require a particular type of body on accounts of its technical competence, its

<sup>5</sup> EMPACT results in 2019: <https://data.consilium.europa.eu/doc/document/ST-7623-2020-INIT/en/pdf>

EMPACT results in 2018: <https://www.consilium.europa.eu/en/infographics/fight-against-organised-crime-2018-results/>

high degree of specialisation or its administrative powers and that do not fall within the scope of calls for proposals. The networks support co-operation between authorities across borders and carry out activities such as trainings and simulations, cooperation meetings, while producing together guidance manuals and operational tools. Without EU support, these cross-border activities are unlikely to materialise as they would be wholly dependent on the willingness of individual Member States to pay for the activity at European level, including notably the travel expenses of representatives of other countries involved. For example, in order for the European police cooperation to thrive in a world where crime is transnational, the network activities need to be financed on a regular basis by the EU. The networks also provide useful fora for exchange of good practices, the testing of new methods and tools and exchanges of views with experienced practitioners on the relevance of new policies. They are crucial players and act as mediators between policy making and project development.

In addition to these established networks, Union actions support transnational projects selected through **calls for proposals**, for example:

In 2019, a grant agreement was signed to support EU Member States law enforcement authorities to work with law enforcement authorities along African migratory routes towards the EU to enhance the criminal justice response to migrant smuggling through more effective investigations and prosecutions. During 2020, the implementation of this project started, despite the challenges caused by the COVID-19 pandemic. In addition, during 2020 three grant agreements were signed with consortia of competent authorities in Member States to establish a Common Operational Partnership with third countries to prevent and fight against migrant smuggling along migratory routes towards the EU. The selected projects include a project with The Gambia, a project setting up a network of existing Common Operational Partnerships in West and Central Africa and a project with Turkey and Western Balkan countries.

In 2020, two important calls under ISF-Police to enhance the protection of places of worship and other public spaces were published and the evaluation of the proposals completed in less than three months. The Commission will grant EUR 23 million to Member States and religious communities to enhance the protection of places of worship and other public spaces from terrorist threats, as part of the new Counter-Terrorism Agenda for the EU. Nine of them will receive EUR 20 million worth of funds and will involve entities from 20 Member States. These projects will focus on the protection of places of worship belonging to different faith communities (churches, synagogues, mosques); the protection of other types of public spaces such as public transport systems and major sports venues; and the detection of threats by detection dogs. Finally, EUR 3 million will fund a project to test solutions countering possible threats posed by drones. The Commission organised a conference on the protection of public places and places of worship on 25 March 2021 to present some of the selected projects to the public.

**CERBERUS** stands for "Child Exploitation Response by Beating Encryption and Research to Unprotect Systems". It is a 2017 project selected under the ISFP-2017-AG-CYBER call and financed 90% by ISF Police Union Actions with a total budget of some EUR 2.6 Million, running from February 2019 until the end of January 2021. In 2020, the project provided the fundamentals that allowed the French Gendarmerie to crack the EncroChat network, a Europe-based communications network and service provider used (exclusively) by organised crime groups.

As an immediate operational impact, a joint investigation between European law enforcement authorities thereafter made it possible to intercept, share and analyse millions of messages (+/-120 million) that were exchanged between criminals to plan serious crimes.

At a joint press conference on 2 July 2020, French and Dutch law enforcement and judicial authorities, Europol and Eurojust presented the impressive results of this joint investigation team to dismantle EncroChat. For an important part, EncroChat messages were read by law enforcement in real time, over the shoulder of the unsuspecting senders between April and July 2020. By January 2021, this European wide investigation has grown into the largest law enforcement operation Europol ever coordinated.

### 3.3. Evaluations, studies and reports

#### **Internal Security Fund: Police strand**

The key findings of the latest Interim evaluations of the Internal Security Fund - Borders and Visa 2014-2017<sup>6</sup> and of the Internal Security Fund - Police<sup>7</sup> have been presented in the Programme Statements DB2020.

By 31 December 2023, the Member States will provide an ex-post evaluation report on the effects of actions under their national programmes and the Commission will present by 30 June 2024 an ex-post evaluation report on the effects of the legal bases.

At the same time, the Commission is implementing the Action Plan following the internal audit findings on the monitoring and reporting on the implementation and performance of National Programmes. In particular, the Commission has strengthened its processes for monitoring the National Programmes and increased its efforts to improve the reliability of performance data reported by the Member States in their Annual Implementation Reports submitted annually. More attention will be given to the consistency of data reported by the Member States. The Commission will provide guidance to the Member States with a view to ensure

<sup>6</sup> SWD(2018)340final [https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612\\_swd-2018-340-commission-staff-working-document\\_en.pdf](https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612_swd-2018-340-commission-staff-working-document_en.pdf) ;

<sup>7</sup> SWD(2018)341final [https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612\\_swd-2018-341-commission-staff-working-document\\_en.pdf](https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-migration/20180612_swd-2018-341-commission-staff-working-document_en.pdf)

common understanding of the indicators established in the Fund and to establish better links with information provided in the accounts.

Moreover, the European Court of Auditors issued recommendations on the strengthening of the management of the ISF (both Border and Visa and Police strands) emergency assistance and national programmes. They cover in particular strengthening the performance monitoring framework by monitoring and reporting the outcomes achieved by EMAS funded projects, ensuring that EMAS projects contain output and outcome indicators with clean targets and baselines etc.

While the Commission started implementing the ECA's recommendations already under the ongoing programmes, the main structural recommendations will be put in place in the context of the next MFF.

#### **Justice programme: Drugs initiatives**

Concerning the *Drugs initiatives* objective, assessment of the conformity of the transposition into national law of Council Framework Decision 2004/757/JHA and its amendments was launched in 2020. The Council Framework Decision 2004/757/JHA of 25 October 2004 lays down minimum provisions on the constituent elements of criminal acts and penalties in the field of illicit drug trafficking. The assessment is intended to support the Commission in making an informed decision on what actions may be necessary to ensure that the Member States comply with their obligations under this legislation, including, if appropriate, legal action.

## **4. Programme 2021-2027 - Key monitoring indicators**

### **Specific Objective 1 :Better information exchange**

#### **Indicator 1: Number of ICT systems made interoperable in the Member States/with security relevant EU and decentralised information systems/with international databases**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This indicator is new. It was not reported in the MFF 2014-2020.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

#### **Indicator 2: Number of administrative units that have set up new or adapted existing information exchange mechanisms/procedures/tools/guidance for exchange of information with other Member States/EU agencies/international organisations/third countries**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States report on the 'Number of projects supported by the Instrument, aiming to improve law enforcement information exchange which are related to Europol data systems, repositories or communication tools.'
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in

	the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of participants who consider the training useful for their work**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States did not report on the effectiveness of the training, They only reported on the number of law enforcement officials trained
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of participants who report three months after the training activity that they are using the skills and competences acquired during the training**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States did not report on the effectiveness of the training, They only reported on the number of law enforcement officials trained
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :Increased operational cooperation****Indicator 1: The estimated value of assets frozen in the context of cross-border operations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	

Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator not reported in the MFF 2014-2020
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

### Indicator 2: Quantity of illicit drugs seized in the context of cross-border operations by type of product

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	Drug related indicators with a different scope are reported in the MFF 2014-2020
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Quantity of weapons seized in the context of cross-border operations by type of weapon

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator not monitored in MFF 2014-2020
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Number of administrative units that have developed/adapted existing mechanisms/procedures/ tools/guidance for cooperation with other Member States/EU agencies/international organisations/third countries

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States report on the 'Number of projects supported by the

	Instrument, aiming to improve law enforcement information exchange which are related to Europol data systems, repositories or communication tools.’
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Number of staff involved in cross-border operations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States reported on the cumulative number of joint investigation teams (JITs) and European Multidisciplinary Platform against Criminal Threats (EMPACT) operational projects supported by the Instrument, including the participating Member States and authorities. Broken down by Leader (Member State), Partners (Member State), participating authorities, participating EU Agency (Eurojust, Europol), if applicable
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Number of Schengen Evaluation Recommendations addressed**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This indicator is new as it reflects the growing focus the Commission puts on the recommendations of Schengen evaluation
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Strengthened capabilities to combat and to prevent crime****Indicator 1: Number of initiatives developed / expanded to prevent radicalisation**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator not reported in the MFF 2014-2020
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of initiatives developed / expanded to protect / support witnesses and whistle-blowers**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	This is a new indicator not reported in the MFF 2014-2020
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of critical infrastructure/public spaces with new/adapted facilities protecting against security related risks**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States reported on the number and tools put in place and/or further upgraded with the help of the Instrument to facilitate the protection of critical infrastructure by Member States in all sectors of the economy.
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Number of participants who consider the training useful for their work**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States did not report on the effectiveness of the training, They only reported on the number of law enforcement officials trained
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Number of participants who report three months after leaving the training that they are using the skills and competences acquired during the training**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	In the MFF 2014-2020, Member States did not report on the effectiveness of the training, They only reported on the number of law enforcement officials trained
Other methodological comments	The metadata is not yet available for any of the indicators of the active programme due to the delay in the adoption of the legal basis. The Commission intends to engage in a thorough consultation of the Member States in order to establish a sound common understanding on the metadata.
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

### *Previous Program 1 : Internal Security Fund*

#### **General Objective 1 :To contribute to ensuring a high level of security in the Union**

#### **Indicator 2:Volume of terrorism in the EU expressed by the number of failed, foiled or completed terrorist attacks in the EU**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Attacks										
2012	Milestones									2022
152				170						120
	Actual Progress									Final
	226	211	142	205	129	119				
Deaths										
2012	Milestones									2022
7				0						0
	Actual Progress									Final
	4	119	261	329	342	352				

Are we on track	On track
Indicator type	
Unit of measurement	Number of terrorist attacks
Cut-Off Date	31/12/2019
Data source	Annual EU Terrorism Situation & Trend Report (Te-Sat) produced by Europol in June each year.
Narrative	

Methodology	The Directive (EU) 2017/541 on combating terrorism and replacing Council Framework Decision (2002/475/JHA) and amending Decision (2005/671/JHA) define terrorist offences, as well as offences related to terrorist groups or offences linked to terrorist activities. The notion of terrorist offence is a combination of: objective elements (murder, bodily injuries, hostage taking, extortion, committing attacks, threat to commit any of the above, etc.); and subjective elements (acts committed with the objective of seriously intimidating a population, destabilising or destroying structures of a country or international organisation or making a government abstain from performing actions). A terrorist group as a structured group of two or more persons, established over a period of time and acting in concert to commit terrorist offences. Data relate to criminal preparatory acts as offences linked to terrorist activities - examples include public provocation to commit a terrorist offence.
Link MFF 14-20 / MFF 21-27	This indicator will not be reported by the Member States in the context of the data reporting requirements as the link to the support of the ISF is very weak. Europol will continue to collect this data
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Following a series of deadly terrorist attacks in 2015 and 2016 (incl. in Paris, Brussels and Nice), the EU and its Member States stepped up their efforts in fight against terrorism. Actions have been implemented or proposed which include preventing and combatting radicalisation and terrorist financing, protecting public spaces and restricting the use of Chemical, Biological, Radiological, Nuclear and Explosive (CBRN-E) materials, improving the controls on explosives precursors. As a result, the number of deaths related to terrorism significantly decreased in the past two reporting years (2018 and 2019).

### Specific Objective 3 :Crime prevention, combating cross-border, serious and organised crime including terrorism, and reinforcing coordination and cooperation between law enforcement authorities and other national authorities of Member States

**Indicator 1: Cumulative number of joint investigation teams (JITs) and European Multidisciplinary Platform against Criminal Threats (EMPACT) operational projects supported by the Instrument, including the participating Member States and authorities. Broken down by Leader (Member State), Partners (Member State), participating authorities, participating EU Agency (Eurojust, Europol), if applicable**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2022
0	Actual Progress									216
	6	6	7	114	202	253	287			Final

Are we on track	On track
Indicator type	
Unit of measurement	Number of JITs, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year.
Narrative	
Methodology	As the main principle, data should be reported only by the leaders of JITs and EMPACT projects therefore double counting should be avoided. Data on participating authorities include authorities from both leading and participating countries. The partners are the participating countries but the participating authorities should be indicated on the top of that.
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will report on the total number of cross-border operations, on the number of joint investigation teams as well as on EU policy cycle operational actions.
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Overall, MS are well on track to achieve the target. No particular issues to report.

**Indicator 2: Cumulative number of law enforcement officials trained on cross-border-related topics with the help of the Instrument, and the duration of their training (person days). Broken down by type of crime (Art. 83 TFEU), and horizontal area of law enforcement**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Officials trained	Milestones									2022
2013	Actual Progress									128 110
0	Actual Progress									Final

	283	1 109	2 172	7 975	15 270	23 340	36 771			
Person days										
2013	Milestones									2022
0	99 038									198 075
	Actual Progress									Final
	142	4 822	16 209	44 602,96	70 207,23	94 210,73	124 781,35			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Number of participants, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year
Narrative	
Methodology	Member States could chose the structure of data reporting by types of crime or horizontal area of crime, without double counting of outputs. The outputs can relate to any cross-border, serious and organised crimes, beyond those indicated in Article 83 TFEU• In principle, the structure should be kept for the entire eligibility period. If the focus areas of trainings change substantially during it, the structure of their reporting will be impacted a) The unit of measurement established by the basic acts is "persons/days". For instance - 20 officers x 5 days = 100 person days b) Double counting in the same operations should be avoided. The main topics/policy area should be identified if the training related to many issues.
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will continue to report on the number of participants in training activities. In addition, they will report on the number of participants who considered the training useful for their work as well as on the number of participants who report three months after leaving the training that they are using the skills and competences acquired during the training
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Overall, MS are lagging behind with the provision of training in terms of numbers of persons trained. However, in terms of numbers of person days, the delay is far less. Target achievement appears within reach. In terms of backlog of persons trained, this may be due to a backlog in reporting for these indicator values, with some MS still waiting for a project to be finalised before reporting indicator values. In addition, the situation deteriorated as of March 2020 with the outbreak of COVID, which became a real obstacle to the provision of training. MS had to get organised to go virtual, which in addition is not possible for all types of training. For the training days, it appears that Member States focus more on longer training activities than initially planned.

### Indicator 3: Number and financial value of projects in the area of crime prevention. Broken down by type of crime (Art. 83 TFEU)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number										
	Milestones									2022
0	189									375
	Actual Progress									Final
	5	34	136	251	359	428	466			
Financial value										
	Milestones									2022
0	130000000									260436836
	Actual Progress									Final
	1621577	18983299	59551467	164755939	266200860	318718579	351630768			

Are we on track	On track
Indicator type	
Unit of measurement	Number of projects and financial value, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year
Narrative	
Methodology	Instruction to the Member States: On the breakdown of type of crime: If the project deals with multiple types of crime, the primary type of crime/the most important (financial value, operational importance) should be selected. If two or more crime types are the main focus, please categorise under one of these. Cybercrime/computer crime only includes cyber offences (i.e. attacks against information systems). It does not include other activities such as drug trafficking where elements such as the sale, payment, or organisation/logistics take place online.
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will continue to report on the indicator 'number of projects to prevent crime'

Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement. Under this indicator, Member States provided decimal numbers. In the above table, we report rounded numbers. Reporting decimals under this indicator suggests that there is an issue with the reliability of data.
Full metadata available at this address	
Justification of the trend	Targets exceeded. Importance of crime prevention increased. Progressive increase of the indicator value as the projects implementation advances.

**Indicator 4: Number of projects supported by the Instrument, aiming to improve law enforcement information exchange which are related to Europol data systems, repositories or communication tools. Broken down by type of crime (Art. 83 TFEU)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0				67						134
	Actual Progress									Final
	10	14	27	56	78	90	102			

Are we on track	On track
Indicator type	
Unit of measurement	Number of projects, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year
Narrative	
Methodology	Member States were invited to preferably classify the actions by the Europol tools and services. Member States allowed to add amounts if they wish so but amount only informs about the share of the fund used for this project. Impact or result indicators were considered more relevant than amount. Tool is meant as any working aid developed that contributes to or assists authorities/operators in performing their mission such as manual, guidance, IT applications etc.
Link MFF 14-20 / MFF 21-27	In order to monitor the improvement of information exchange, the Member States will report on the following indicator: Number of administrative units that have set up new or adapted existing information exchange mechanisms/procedures/tools/guidance for exchange of information with other Member States/EU agencies/international organisations/third countries
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	This indicator is on track. At the beginning of the programming period, MS possibly prioritise the inter-connection of national databases and IT tools as a first step towards connection to the EU Europol data systems. However, in the second half of the period, Member States are increasingly focusing on relevant projects.

**Specific Objective 4 :Enhancing the capacity of Member States and the Union for managing effectively security-related risks and crises, and preparing for and protecting people and critical infrastructure against terrorist attacks and other security-related incidents**

**Indicator 1: Number and tools put in place and/or further upgraded with the help of the Instrument to facilitate the protection of critical infrastructure by Member States in all sectors of the economy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
			1	239						478
	Actual Progress									Final
	0	46	141	236	266	337	406			

Are we on track	On track
Indicator type	
Unit of measurement	Number, actual results, milestones and target are cumulative
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Member States will report on the following indicator in the MFF 2021-2027: Number of critical infrastructure/public spaces with new/adapted facilities protecting against security related risks

Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement. Under this indicator, Member States provided decimal numbers. In the above table, we report rounded numbers. Reporting decimals under this indicator suggests that there is an issue with the reliability of data.
Full metadata available at this address	
Justification of the trend	Some MS understood the definition of critical infrastructure protection (CIP) in a much wider sense, also including public spaces. Though it is correct that the ISF-P can in theory also be used to finance certain activities related to the physical protection of critical infrastructure, these are very limited amounts of funding and their use is further restricted by the focus on security. Resilience of critical infrastructures goes much further than security, however, and is therefore better covered by other complementary EU funding sources which include in their scope resilience against natural disasters, technological accidents, hybrid threats, business continuity, disaster mitigation strategies, etc.

**Indicator 2: Cumulative number of projects relating to the assessment and management of risks in the field of internal security supported by the Instrument**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2022
0		30	45	54						109
	Actual Progress									Final
	2	12	38	61	80	99	108			

Are we on track	On track
Indicator type	
Unit of measurement	Number of projects, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator will no longer be monitored in the 2021-2027 MFF
Other methodological comments	The wording of this indicator is rather vague and it thus allows to report quite a diverse number of projects under this indicator. It is not possible to assess the effectiveness of the support based on this indicator. Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Implementation advances as planned.

**Indicator 3: Number of expert meetings, workshops, seminars, conferences, publications, websites and online consultations organised with the help of the Instrument. Broken down by relating to critical infrastructure protection, and relating to crisis and risk management**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2022
0			15	446						893
	Actual Progress									Final
	0	20	215	670	1246	1851	2647			

Are we on track	On track
Indicator type	
Unit of measurement	Number, actual results, milestones and target are cumulative.
Cut-Off Date	31/03/2021
Data source	Provided in the annual implementation reports sent by Member States on 31 March each year
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	In the MFF 2021-2027, Member States will continue to report on 'Number of expert meetings/workshops/study visits' as well as on 'Number of exchange programmes/workshops/study'
Other methodological comments	Every year, together with the Annual Implementation Report, Member States can update data retroactively. This explains why data for previous years are changed in comparison to e.g. last year's programme statement.
Full metadata available at this address	
Justification of the trend	Well on track.

**Previous Program 2 : Justice Programme**

**Specific Objective 4 :to support initiatives in the field of drugs policy as regards judicial cooperation and crime prevention aspects closely linked to the general objective of the Programme, insofar as they are not covered by the Internal Security Fund or by the Health for Growth Programme**

**Indicator 1: Number of new psychoactive substances assessed (including through testing, if necessary) to enable the EU or the Member States to take appropriate action to protect consumers, depending on the type and level of risk that they may pose when consumed by humans**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
68				86			95			95
	Actual Progress									Final
	101	100	66	52	55	53	47			47

Are we on track	On track
Indicator type	Result
Unit of measurement	See section “other methodological comments” below.
Cut-Off Date	31/12/2020
Data source	See section “other methodological comments” below.
Narrative	See section “other methodological comments” below.
Methodology	See section “other methodological comments” below.
Link MFF 14-20 / MFF 21-27	Efforts co-funded by the anti-drugs chapter of the Justice Programme will be mainly continued by demand-reduction relevant efforts co-funded by the Health Programme in 2021-2027. Complementary security-focused measures will be funded by the Internal Security Fund in 2021-2027.
Other methodological comments	The indicator is based on the actual number of New Psychoactive Substances detected and notified to the European Union Early Warning System Network. The data is provided by the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA), an EU Agency based in Lisbon. Changes of this indicator as compared with previous years should be interpreted with caution – ideally we would prefer to see zero NPS substances reported, as ideally, there would be no illicit NPS on the market whatsoever. On the other hand, many of the newly reported substances – while fewer in number – are more dangerous, cause addiction more rapidly, and present more serious environmental harms.
Full metadata available at this address	NA
Justification of the trend	Despite the lower number of dangerous illicit New Psychoactive Substances (NPS), as compared to the baseline situation from 2012, the number of substances assessed does enable to EU and the Member States to take appropriate action to protect consumers, depending on the type and level of risk that they may pose when consumed by humans. It is important to highlight that the fact that we do not achieve the milestone should be considered as a good result: the fewer new psychoactive substances are on the market, the better. See also section “other methodological comments” above.

**Indicator 2: Percentage of problem opioid users that are in drug treatment**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
50%				55%			60%			60%
	Actual Progress									Final
	50%	50%	50%	50%	50%	48%	50%	51%		

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	See section “other methodological comments” below.
Cut-Off Date	31/12/2020
Data source	<a href="https://www.emcdda.europa.eu/system/files/publications/13236/TDAT20001ENN_web.pdf">https://www.emcdda.europa.eu/system/files/publications/13236/TDAT20001ENN_web.pdf</a>
Narrative	See section “other methodological comments” below.
Methodology	See section “other methodological comments” below.
Link MFF 14-20 / MFF 21-27	Efforts co-funded by the anti-drugs chapter of the Justice Programme will be mainly continued by demand-reduction relevant efforts co-funded by the Health Programme in 2021-2027. Complementary security-focused measures will be funded by the Internal Security Fund in 2021-2027. The indicator, however will no longer be monitored. Instead, Member States will report on the following drug-related indicator: ‘Quantity of illicit drugs seized in the context of cross-border operations by type of product’.
Other methodological comments	The estimated percentage of problem opioid users in substitution treatment (OST) across the EU. The indicator reflects the proportion of problematic opioid users that are in drug treatment. The proportion provides only partial information as such, as it is based on the overall figure of problem opioid users. The increase or decrease of this indicator should be interpreted based on a more detailed narrative: there were 1.3 million of high-risk opioid users, of which 660 000 received treatment, according to the latest available information (based on the latest available data provided by the European Drug Report

	2020). According to EMCDDA reports the number of opioid users who received substitution treatment: 654 000 in 2019, 628 000 in 2018, 630 000 in 2017, 644 000 in 2016, 700 000 in 2015 and 700 000 in 2014 while the total number of problem/high risk opioid users was around 1.3 million across the reporting period.
Full metadata available at this address	<a href="https://www.emcdda.europa.eu/system/files/publications/13236/TDAT20001ENN_web.pdf">https://www.emcdda.europa.eu/system/files/publications/13236/TDAT20001ENN_web.pdf</a>
Justification of the trend	Moderate progress, in line with the details provided in the section “other methodological comments” above. There are numerous factors to be taken into account. The percentage of clients in treatment for opioid-related problems is a minimum value, not accounting for opioid clients registered as polydrug users. There are also different ways of counting “treatment” entry in some Member States, e.g. in some Member States opioid users who go to a mobile substitution facility are not counted as number of people, but number of substitution drugs given; and therefore the numbers are not included in the overall number of users in treatment. Also, in some countries opioid substitution treatment is not “accepted” politically, but still organised by NGOs, but not counted.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

*SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*

By supporting the fight against crime and terrorism, the ISF contributes to fighting and preventing organised crime and tackling radicalisation terrorist ideas and beliefs, while at the same time guaranteeing fundamental rights and values. As such it supports, the development of modern police and law enforcement authorities working together to contribute towards a more peaceful and inclusive society.

‘Keeping people safe’ is a project, initiated in 2019 in IE which aims to combat intolerance and radicalisation and create positive relationships with community-based stakeholders form a key part of the project. To achieve this, one aspect of the project was the hosting of a conference that was attended by over 220 Garda diversity officers and regional inspectors, tackling themes such as combating radicalisation and intolerance, diversity in policing and hate crime. Over the course of 2 days, the conference saw 14 specialist speakers from across the diversity spectrum.

‘Change of viewpoint’ project in DE, implemented between 2016 and 2019 aimed to introduce lasting measures for de-radicalisation, the prevention of radicalisation, and the protection of the citizen against politically motivated crime, with the emphasis on work in and with the social media. The project is intended to enable members of the public more easily to recognise extreme right-wing propaganda, to offer alternative sources of information, to generate a better exchange of information by means of networking between public authorities and players in civil society, and to step up de-radicalisation measures in social networks.

**HEADING 5: Security and Defence****Nuclear decommissioning (Lithuania)****Lead DG:ENER**

1. Overview .....	1041
1.1. Challenges .....	1041
1.2. Mission (general objectives) .....	1042
1.3. Specific objectives .....	1042
1.4. Public intervention context .....	1042
1.5. Actions .....	1043
1.6. Delivery mode .....	1043
1.7. Graphic overview of the programme structure .....	1043
1.8. Legal basis and financial programming .....	1043
1.9. Link with the 2014-2020 MFF .....	1045
1.10. Relevant websites providing more information .....	1045
2. Where are we in the implementation ? .....	1045
2.1. Programme 2021-2027 .....	1045
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1045
3. How is the programme performing ? .....	1046
3.1. Performance .....	1046
3.2. Key achievements .....	1046
3.3. Evaluations, studies and reports .....	1047
4. Programme 2021-2027 - Key monitoring indicators .....	1047
Specific Objective 1 :To carry out the dismantling and decontamination of the equipment and reactor shafts of the Ignalina Nuclear Power Plant in accordance with the decommissioning plan, including the management of radioactive waste resulting from the decommissioning activities, and to continue with the safe management of the decommissioning and legacy waste. .	1047
5. Programme 2014-2020 - Key monitoring indicators .....	1048
Previous Program 1 : Nuclear decommissioning assistance programme in Lithuania .....	1048
General Objective 1 :To assist Lithuania towards the decommissioning end state of units 1 and 2 of the Ignalina nuclear power plant .....	1048
Specific Objective 1 :Defueling of the reactor core of unit 2 and the reactor fuel ponds of units 1 and 2 into the dry spent fuel storage facility .....	1049
Specific Objective 2 :Safely maintaining the reactor units .....	1050
Specific Objective 3 :Performing dismantling in the turbine hall and other auxiliary buildings and safely managing the decommissioning waste in accordance with a detailed waste management plan .....	1050
6. The programme contribution to horizontal policies .....	1051
6.1. Contribution to climate mainstreaming .....	1051
6.2. Contribution to biodiversity mainstreaming .....	1051
6.3. Contribution to clean air financing .....	1051
6.4. Contribution to gender equality .....	1051
6.5. Contribution to the sustainable development goals .....	1051

**1. Overview****1.1. Challenges**

The decommissioning of a nuclear installation such as a power plant or research reactor is the final step in its lifecycle. It starts with shutdown, then it proceeds with removal of nuclear materials, decontamination, dismantling and demolishing until the environmental restoration of the site. The aim of nuclear decommissioning is the progressive removal of hazards inherently

associated with the concerned installations. The corresponding phasing out of the necessary safety measures and associated costs is stepwise in nature, mainly because the removal of major batches of radioactive materials is obtained over several stages.

At this point in time, the decommissioning operator in Ignalina (Lithuania) is focusing on dismantling activities. Dismantling and decontamination works are well advanced in the turbine hall and auxiliary buildings. In addition, the key safety-related project to remove the spent nuclear fuel from the Chernobyl type reactor buildings is now nearly completed. However, important technical and financial challenges remain: never before has a large power reactor with a graphite core been dismantled. The removal of the graphite is planned for after 2027. The focus of the programme over the 2021-2027 period will be the preparation of this key task. While the funds dedicated by the EU and Lithuania cover the activities planned under this MFF, they are not sufficient to ensure the completion of the decommissioning programme until 2038.

## 1.2. Mission (general objectives)

The general objective of the Programme is to assist Lithuania in implementing the decommissioning of the Ignalina Nuclear Power Plant, with specific emphasis on managing the safety challenges in respect thereof, while creating knowledge with regard to the nuclear decommissioning process and the management of radioactive waste resulting from the decommissioning activities.

## 1.3. Specific objectives

The specific objective of the programme is to carry out the dismantling and decontamination of the equipment and reactor shafts of the Ignalina Nuclear Power Plant in accordance with the decommissioning plan, including the management of radioactive waste resulting from the decommissioning activities, and to continue with the safe management of the decommissioning and legacy waste.

The programme will assist with activities included in the decommissioning plan submitted by Lithuania, in particular the following:

- a) dismantling and decontamination of the reactor shafts' top and bottom zones and equipment in accordance with the decommissioning plan;
- b) the design for the dismantling and decontamination of the reactor shafts' central zones (graphite cores). This objective is to be accomplished before 2027, when the relevant authorisations will be granted to carry out the actual dismantling and decontamination, which is scheduled to occur after 2027;
- c) safe management of the decommissioning and legacy waste up to interim storage or to disposal (depending on the waste category), including the completion of the waste management infrastructure where necessary. This objective is to be accomplished in accordance with the decommissioning plan;
- d) implementation of the building demolition programme;
- e) obtaining the decommissioning licence once Unit 1 and Unit 2 of the Ignalina Nuclear Power Plant are defueled;
- f) downgrading of radiological hazards.

Furthermore, knowledge and experience gained and lessons learnt under the programme with regard to the decommissioning process shall be disseminated among Union stakeholders, thus enhancing the EU added value of the programme.

## 1.4. Public intervention context

The decommissioning of a nuclear installation such as a power plant or research reactor is the final step in its lifecycle. It involves activities from shutdown and removal of nuclear material to the environmental restoration of the site. The whole process is complex and lengthy (typically 20 to 30 years), and it is carried out with the highest safety standards.

In accordance with its Act of Accession to the Union, Lithuania anticipated the shutdown of the two nuclear reactors in Ignalina within the agreed deadlines (2004 and 2009). The Union committed to provide financial support for the decommissioning, in accordance with approved plans, while keeping the highest level of safety.

The Council Directives 2014/87/Euratom and 2011/70/Euratom, establish the ultimate responsibility of Member States for the safety of nuclear installations and for the safe management of spent fuel and radioactive waste. That principle of national responsibility, as well as the principle of prime responsibility of the licence holder for the safety of its installations, include the decommissioning operations.

Lithuania has appointed a Programme Coordinator responsible for overseeing the programming, coordination and monitoring of the Ignalina decommissioning programme. The decommissioning operator, as the licence holder, is responsible for implementing the decommissioning programmes under the supervision of the Programme Coordinators. The decommissioning operator in Lithuania is the Ignalina Nuclear Power Plant (INPP).

**1.5. Actions**

The actions to be funded by the Ignalina programme are within the scope of the decommissioning plan presented to the Commission. The actions focus on activities related to the delivery of the general and specific objectives and with the highest EU added value, i.e. removal of radiological hazards and creation and dissemination of relevant knowledge. When preparing the multiannual work programme, the Commission, in close cooperation with Lithuania, will consider distributing the available funds as per the priorities identified in the legal basis.

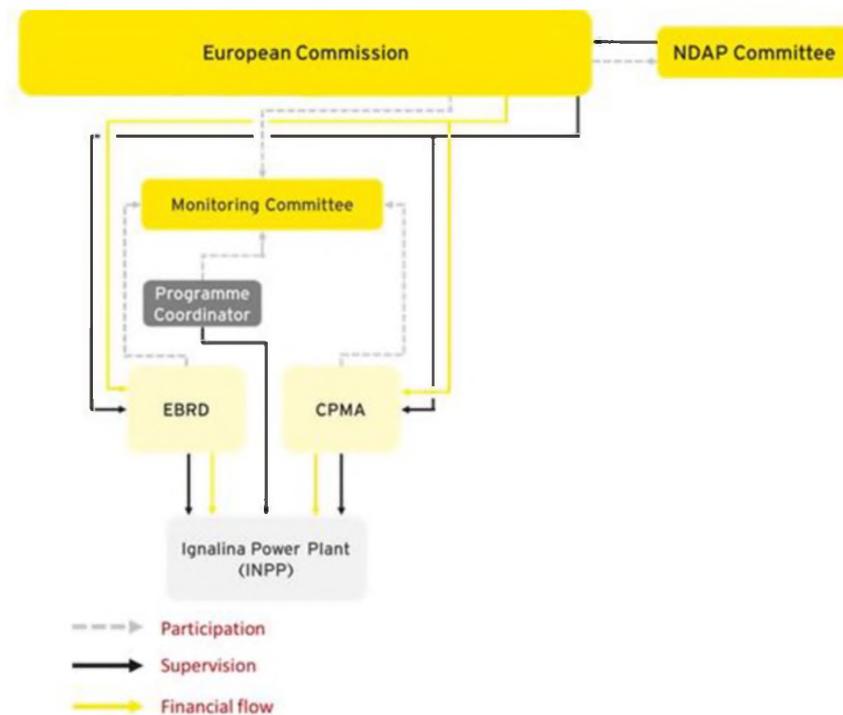
**1.6. Delivery mode**

Indirect Management entrusted to the EBRD (European Bank for Reconstruction and Development) and CPMA (Central Project Management Agency – national agency in Lithuania).

The Directorate-General for Energy manages directly a limited fraction of the funds for preparatory, monitoring, control, audit and evaluation activities.

**1.7. Graphic overview of the programme structure**

Graphic overview Ignalina NDAP structure:



**1.8. Legal basis and financial programming**

**1.8.1. Legal basis**

Legal Basis	Period of application	Reference Amount (EUR million)
-------------	-----------------------	--------------------------------

Procedure 2018/0251/NLE COM (2018) 466: Proposal for a COUNCIL REGULATION establishing the nuclear decommissioning assistance programme of the Ignalina nuclear power plant in Lithuania (Ignalina programme); and repealing Council Regulation (EU) No 1369/2013	2021 - 2027	552,0
---	-------------	-------

### 1.8.2. Legal basis explanation

When joining the European Union in 2004, Lithuania committed to close and proceed with the decommissioning of its Chernobyl type nuclear reactors at Ignalina. The Union declared its willingness to provide financial assistance to Lithuania for the decommissioning of the nuclear power plant in accordance with its decommissioning plans.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>72,5</b>	<b>98,9</b>	<b>68,8</b>	<b>74,6</b>	<b>74,7</b>	<b>80,1</b>	<b>82,4</b>	<b>552,0</b>

### 1.8.4. Financial programming explanation

Legal basis	Period of application	Reference amount (EUR million)
Council Regulation (EU) 2021/101 of 25 January 2021 establishing the nuclear decommissioning assistance programme of the Ignalina nuclear power plant in Lithuania and repealing Regulation (EU) No 1369/2013, <i>OJ L 34, 1.2.2021, p. 18–28</i>  <a href="https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32021R0101">https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32021R0101</a>	2021-2027	552 (current prices)

	Financial programming (EUR million)							Total Programme
	2021	2022	2023	2024	2025	2026	2027	
<b>Financial programming (1)</b>	<b>72.5</b>	<b>71.4</b>	<b>78.3</b>	<b>83.6</b>	<b>83.7</b>	<b>80.1</b>	<b>82.4</b>	<b>552.0</b>
of which contribution to XX (2)								
Operational expenditure	72.5	71.4	78.3	83.6	83.7	80.1	82.4	552.0
Administrative support expenditure								
Joint undertakings								
Executive agencies								
Other bodies								
Contribution from XX to operational appropriations (3)								
Contribution from XX to Executive Agencies (3)								
Contribution from XX								

(3)								
<b>Financial programming corrected (1)-(2)+(3)</b>	72.5	71.4	78.3	83.6	83.7	80.1	82.4	552.0

### 1.9. Link with the 2014-2020 MFF

The decommissioning of the Ignalina nuclear power plant (LT) has received EU support since 2001 under various instruments. The EU assistance in the MFF 2021-2027 is the continuation of the long-term programme scheduled over the period 2001-2038.

During the MFF 2014-2020, the Ignalina programme progressed steadily towards the decommissioning end state, in accordance with its decommissioning plan, whilst maintaining the highest level of safety. The process will continue in the MFF 2021-2027 and a new objective will be pursued: the dissemination of knowledge to all EU Member States on the decommissioning process. The activities funded in the period 2021-2027 will be subject to a EU co-financing rate of 86%. This rate was not explicitly set previously.

### 1.10. Relevant websites providing more information

[https://ec.europa.eu/energy/topics/nuclear-energy/decommissioning-nuclear-facilities\\_en](https://ec.europa.eu/energy/topics/nuclear-energy/decommissioning-nuclear-facilities_en)

<https://www.iae.lt/en/activity/decommissioning-projects/155>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

With the completion of the Interim Spent Fuel Storage Facility, the transfer of spent-fuel assemblies from the reactor buildings (units 1 and 2) to the new facility started in September 2016. By the end of 2020, 98% of the spent fuel had been removed from the reactor buildings and transferred to dry safe storage. The removal and decontamination of equipment in the turbine hall is coming to an end.

The next step, the dismantling of the Ignalina reactors is a first-of-a-kind challenge: never before has a large power reactor with a graphite core been dismantled. In a first phase (2020 to 2027), the decommissioning operator will remove all equipment around and on top of the reactor shaft. The subsequent removal of the graphite from the shaft is being prepared with an optioneering study and detailed design of the preferred solution and a facility for the temporary storage of irradiated graphite waste.

New radioactive waste processing and storage facilities have been completed during the period 2014-2020. They are now operational. The construction of the landfill facility for very low-level waste was completed and the procurement procedure of the near surface repository for low-level waste is under-way. With those two facilities, the decommissioning operators in Ignalina will have all the tools it needs for the management, storage and disposal of the radioactive waste under the decommissioning plan.

In accordance with the updated performance baseline, the programme completion date remains for 2038. The selection of the technical solution for the dismantling of the reactor graphite cores will be decisive for the confirmation of the programme end-date and overall funding needs after 2027.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	450 814 650	100 164 951
Implementation carry-overs		
Implementation total	450 814 650	100 164 951
total envelop*	450 818 000	
cumulative implementation rate	100%	22%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

Including the payments made during the period 2014-2020 on the previous MFF commitments, the total of payments made for the Ignalina NDAP programme is EUR 430 058 299, which represent 95.5% of the committed amount for the same period (EUR 450 448 000). Therefore, the rhythm of payments has been aligned with the commitments during the period 2014-2020. Decommissioning projects are, in many cases, highly complex from the procurement and implementation point of view and extend on a long period of time. This explains the inherent interval between the commitments and the payments of the programme, and that most of the payments during the 2014-2020 period were related to commitments from the previous period. The figures in the table above are expressed in EUR million.

The cost of work carried out since 2014 is within budget.

COVID-19 crisis affected the progress at the site, which meant temporary furlough for some staff and limited access by foreign experts and contractors. Measures to ensure that activities could continue safely included physical distancing, use of additional protective equipment and testing. These measures significantly reduced the short-term impact on project milestones. The EU continued to support the salaries of the workers in these difficult times.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

The general objective of the Ignalina programmes in the period 2014-2020 was to assist the Member State concerned in implementing the steady process towards the decommissioning end state of units 1 and 2 of the Ignalina nuclear power plant in accordance with its decommissioning plan, whilst maintaining the highest level of safety.

For the Ignalina programme, the situation in 2014 was:

- Unit 1 reactor core was defueled, Unit 2 reactor core was partially defueled;
- the spent fuel ponds in units 1 and 2 were loaded to maximum capacity;
- facilities for waste management treatment and storage were being constructed;
- start of dismantling works in turbine hall of unit 1.

The first specific objective for the period 2014-2020 (dismantling and decontamination of the equipment and reactor shafts in accordance with the decommissioning plan, and to continue with the safe management of the decommissioning and legacy waste) is being achieved ahead of schedule. The reactor core of unit 2 has been fully emptied of its spent fuel in 2018; by the end of 2020 all undamaged spent fuel assemblies had been transferred to the new safe storage facility and the transfer of damaged fuel assemblies had started. The removal of spent fuel assemblies from the Unit 1 and 2 spent fuel ponds has reached 109% of the cumulative planned amount in 2020 and 98% of the final target.

The second specific objective, safely maintaining the reactor units has been consistently achieved. No incidents were registered during the period 2014-2020.

Activities related to the third specific objective (performing dismantling in the turbine hall and other auxiliary buildings and safely managing the decommissioning waste in accordance with a detailed waste management plan) have progressed well. The dismantling operations in the 800 meters long turbine hall have been completed and it is proceeding as planned in auxiliary buildings. The lower than planned quantity of dismantled equipment is due to the overestimation of the material inventory: there is simply less material to dismantle in reality than in the plan.

Construction works at the interim spent fuel storage facility and the solid radioactive waste management facility are complete. The facilities started operation in 2016 and in 2017 respectively. The design of the near-surface repository for low- and intermediate-level short-lived waste has been completed and the procurement procedure for its construction has been launched in 2020. Construction of the landfill facility for very low-level short-lived waste was completed; formal acceptance of the facility is planned in 2021 with the first loading campaign to follow soon after.

#### **3.2. Key achievements**

43 730	98%	191	42 703	0
--------	-----	-----	--------	---

tonnes of material were dismantled from the turbine hall by 2020, a task completed in August 2019. The large hall is now used to store and process materials from other buildings.	of spent-fuel assemblies were safely stored vs. a target of 90% by 2020.	new storage casks were delivered by February 2020, a year ahead of schedule.	m <sup>3</sup> of radioactive waste were processed and stored from the turbine hall and auxiliary buildings by the end of 2020 vs a target of 42 314 m <sup>3</sup> .	incidents were observed over the period 2014-2020.  Maintaining the highest level of safety is part of the general objective of the Ignalina programme.
--	--	--	---	---

### 3.3. Evaluations, studies and reports

#### Nuclear Decommissioning Assistance Programme (NDAP)

The Commission, in close cooperation with the Member States, has launched an *ex post* evaluation on the effectiveness and efficiency of the Nuclear Decommissioning Assistance Programme for the period 2014 to 2020.

The evaluation will rely on existing reports on the progress of the technical and financial implementation of the programme.

The following studies are underway or recently finished:

- study to support the *ex post* evaluation of the nuclear decommissioning assistance programme 2014-2020;
- safety culture maturity of the NDAP operations, supporting the *ex post* evaluation 2014-2020;
- development and try-out of an on-site process for sharing knowledge created in the frame of the NDAP;
- gap analysis of Earned Value Management Systems in use by operators under the NDAP.

The following evaluations, studies and reports have been published in the past years:

- Progress report period 2010-2014 [COM(2015) 78];
- Progress report 2015 and previous years [COM(2016) 405];
- Progress report 2016 and previous years [COM(2017) 328];
- Mid-term evaluation [COM(2018) 468];
- Progress report 2018 and previous years [COM(2019) 215];
- Progress report 2019 and previous years [COM(2020) 82];
- support to the ex post evaluation of the NDAP Energy window 2007-2013 [ISBN 978-92-76-08716-8];
- support to the mid-term evaluation of the NDAP [ISBN 978-92-76-08717-5, 978-92-76-08789-2];
- assessment of the robustness of the NDAP financing plans and of the relevance and feasibility of the detailed decommissioning plans [ISBN 978-92-76-08798-4].

The results of the NDAP mid-term evaluation and of the latest report on NDAP from the European Court of Auditors were communicated in the Draft Budget 2019.

## **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :To carry out the dismantling and decontamination of the equipment and reactor shafts of the Ignalina Nuclear Power Plant in accordance with the decommissioning plan, including the management of radioactive waste resulting from the decommissioning activities, and to continue with the safe management of the decommissioning and legacy waste.**

**Indicator 1:Radioactive waste management: quantity and type of waste safely stored or disposed of, with annual objectives by type, meeting the milestones of the Programme.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Short lived very low waste (Class A) – disposed of										
Milestones										
Actual Progress										
										Final
Short lived low and intermediate level waste (Class B and C) – disposed of										
Milestones										



Unit 2 reactor core is partially defueled. (See narrative)				Spent Fuel Storage Facility	defueled		fuel from Unit 1			oning Plan 2014
	Actual Progress									Final
			Start commissioning Interim Spent Fuel Storage Facility		Unit 2 reactor core fully defueled		Start of transferring damaged fuel from Unit 1			

Are we on track	On track
Indicator type	Result
Unit of measurement	Info on achieved milestones (yearly)
Cut-Off Date	31/12/2020
Data source	National authorities, implementing bodies, decommissioning operator
Narrative	This is a general overview of the implementation of the Ignalina Detailed Decommissioning Plan, based on the main milestones to be achieved during the period 2014-2020 (e.g. defueling of Unit 2, start of transferring damaged fuel from Unit 1). Baseline 2014: - Unit 1 reactor core is defueled, unit 2 reactor core is partially defueled. - The spent fuel ponds in units 1 and 2 are loaded to maximum capacity. - Facilities for waste management treatment and storage are being constructed.- Start of dismantling works in turbine hall of unit 1. Please refer to Detailed Decommissioning Plan 2014 for the target 2020. The planned completion date for the decommissioning of Ignalina units 1 and 2 is 2038.
Methodology	Data and information obtained from Monitoring Reports provided by National Authorities every 6 months.
Link MFF 14-20 / MFF 21-27	Updated indicators are defined for the period 2021-2027.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	By December 2020, the Ignalina programme has started transferring damaged fuel from Unit 1, following the commissioning of trials of damaged fuel handling equipment in Unit 1.

### Specific Objective 1 :Defueling of the reactor core of unit 2 and the reactor fuel ponds of units 1 and 2 into the dry spent fuel storage facility

#### Indicator 1:Cumulative number of unloaded fuel assemblies

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Removal of spent fuel assemblies from Units 1 and 2 spent fuel ponds										
2014	Milestones									2022
Unit 1 reactor core defueled	0	0	0	3519	7159	10799	13984	15461	15630	15630
	Actual Progress									Final
	0	0	267	3519	7796	12255	15243			
Removal of spent fuel assemblies from Unit 2 reactor core										
2014	Milestones									2019
Unit 2 reactor core partially defueled into the spent fuel ponds	0	0	0	454	908	1134	1134			1134
	Actual Progress									Final
	0	0	0	887	1134	1134	1134			1134

Are we on track	On track
Indicator type	Result
Unit of measurement	Spent fuel assemblies (cumulative)
Cut-Off Date	31/12/2020
Data source	National authorities, implementing bodies, decommissioning operator
Narrative	Safe storage of spent fuel from the operation of the nuclear power plant and the ability to safely handle and store radioactive waste produced during dismantling works are key prerequisites for the decommissioning activities.
Methodology	Data and information obtained from Monitoring Reports provided by National Authorities every 6 months, and the monthly report from the implementing body.
Link MFF 14-20 / MFF 21-27	The completion of this task is scheduled for 2022 and no progress indicator is defined for the period 21-27.
Other methodological comments	The removal of spent fuel assemblies could not start before the commissioning of the Interim Spent

	Fuel Storage Facility.
Full metadata available at this address	
Justification of the trend	The objective of removing spent fuel assemblies from Unit 2 reactor core (1 134 spent fuel assemblies) was achieved in 2018. Both reactors Units 1 and 2 are completely defueled. The removal of spent fuel assemblies from the Unit 1 and 2 spent fuel ponds has progressed ahead of schedule and reached up to 15 273 assemblies by December 2020 i.e. 109% of the cumulative planned amount in 2020 and 98% of the total amount planned for 2022 (15 630 assemblies).

## Specific Objective 2 :Safely maintaining the reactor units

### Indicator 1: Number of registered incidents

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
Safe maintenance performed without incidents	0	0	0	0	0	0	0			0
	Actual Progress									Final
	0	0	0	0	0	0	0			0

Are we on track	On track
Indicator type	Output
Unit of measurement	Number of incidents (yearly), as defined by Regulation (EU) No 1369/2013
Cut-Off Date	31/12/2020
Data source	National authorities, decommissioning operator
Narrative	The general objective of the Ignalina programme is to assist the Member State concerned in implementing the steady process towards the decommissioning end state of units 1 and 2 of the Ignalina nuclear power plant in accordance with its decommissioning plan, whilst maintaining the highest level of safety.
Methodology	Data and information obtained from Monitoring Reports provided by National Authorities every 6 months.
Link MFF 14-20 / MFF 21-27	The Council Regulations (EU) 2021/101 sets as objective the downgrading of the radiological hazards but does not define a related key monitoring indicator for the period 2021 - 2027.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	No incidents were observed on the period 2014-2020. The installation has been operated with the highest level of safety as highlighted by the absence of registered incidents since this indicator is reported.

## Specific Objective 3 :Performing dismantling in the turbine hall and other auxiliary buildings and safely managing the decommissioning waste in accordance with a detailed waste management plan

### Indicator 1: Type and number of auxiliary systems dismantled and the quantity and type of safely conditioned waste

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Dismantled equipment (tonne)										
2014	Milestones									2020
Dismantled equipment (tonne):	5650	12669	25916	29268	34900	40658	47277	51981	55695	47277
	Actual Progress									Final
	5790	16922	23530	30291	34415	39767	43730			
Primary processed waste (m3)										
2014	Milestones									2020
Primary processed waste (m³):	4700	5800	14872	15372	25392	35234	42314	49303	55327	42314
	Actual Progress									Final
	5637	10756	14649	19615	26969	33894	42703			

Are we on track	On track
Indicator type	Output
Unit of measurement	Dismantled equipment (tonne) and Primary processed waste (m³) – (Cumulative)
Cut-Off Date	31/12/2020
Data source	National authorities, implementing bodies, decommissioning operator
Narrative	The dismantling in the turbine hall and other auxiliary buildings and safely managing the decommissioning waste in accordance with a detailed waste management plan are part of the Ignalina Detailed Decommissioning Plan.
Methodology	Data and information obtained from Monitoring Reports provided by National Authorities every 6

	months.
Link MFF 14-20 / MFF 21-27	The completion of this task is scheduled for 2025 and no specific indicator is defined for the period 21-27. More generally, the quantity and type of waste safely stored or disposed of by all activities is being monitored.
Other methodological comments	The difficulty with indicators based on quantity of waste is that less than expected waste could be due to a slower execution but also to a better decontamination and sorting. In the case of Ignalina, there is simply less material to dismantle in reality than in the plan.
Full metadata available at this address	
Justification of the trend	The overall performance is satisfactory. The amounts of equipment dismantled and the overall quantity of radioactive waste processed and stored reached respectively 93% and 101% of the cumulative planned amounts by end of 2020. The lower than planned quantity of dismantled equipment is due to the overestimation of the material inventory.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING 5: Security and Defence****Nuclear Safety and decommissioning (incl. For Bulgaria and Slovakia)****Lead DG:ENER**

Associated DGs:JRC

1. Overview .....	1053
1.1. Challenges .....	1053
1.2. Mission (general objectives) .....	1053
1.3. Specific objectives .....	1053
1.4. Public intervention context .....	1054
1.5. Actions .....	1054
1.6. Delivery mode .....	1055
1.7. Graphic overview of the programme structure .....	1055
1.8. Legal basis and financial programming .....	1057
1.9. Link with the 2014-2020 MFF .....	1058
1.10. Relevant websites providing more information .....	1058
2. Where are we in the implementation ? .....	1059
2.1. Programme 2021-2027 .....	1059
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1059
3. How is the programme performing ? .....	1060
3.1. Performance .....	1060
3.2. Key achievements .....	1061
3.3. Evaluations, studies and reports .....	1061
4. Programme 2021-2027 - Key monitoring indicators .....	1062
Specific Objective 1 :To carry out the activities included in the respective decommissioning plans, the dismantling and decontamination of Units 1 to 4 of the Kozloduy Nuclear Power Plant and Units 1 and 2 of the Bohunice VI Nuclear Power Plant, including associated systems, structures and components and auxiliary buildings, the safe management of radioactive waste in line with the needs identified in the respective decommissioning plans, and human resources support; and to pursue the release of Units 1 to 4 of the Kozloduy Nuclear Power Plant and Units 1 and 2 of the Bohunice VI Nuclear Power Plant from regulatory controls. ....	1062
Specific Objective 2 :To support the decommissioning plan and to carry out the activities in accordance with the national law of the host Member State for the dismantling and decontamination of the Commission's nuclear installations at the JRC sites, to carry out the safe management of associated radioactive waste and, when appropriate, to prepare the optional transfer of the related nuclear liabilities from the JRC to the host Member State .....	1064
Specific Objective 3 :For the JRC to develop ties and exchanges among Union stakeholders on nuclear decommissioning, with a view to ensuring the dissemination of knowledge and the sharing of experience in all relevant areas, such as research and innovation, regulation and training, and developing potential Union synergies. ....	1065
5. Programme 2014-2020 - Key monitoring indicators .....	1065
Previous Program 1 : Nuclear decommissioning assistance programmes in Bulgaria and Slovakia .....	1065
General Objective 1 :To assist the Member States towards the decommissioning end state of Kozloduy units 1 to 4 (Bulgaria) and Bohunice VI units 1 and 2 (Slovakia), whilst maintaining the highest level of safety .....	1065
Specific Objective 1 :(Kozloduy) Performing dismantling in the turbine halls of units 1 to 4 and in auxiliary buildings .....	1066
Specific Objective 2 :(Kozloduy) Dismantling of large components and equipment in the reactor buildings of units 1 to 4 .....	1067
Specific Objective 3 :(Kozloduy) Safely managing the decommissioning waste in accordance with a detailed waste management plan .....	1067
Specific Objective 4 :(Bohunice) Performing dismantling in the turbine hall and auxiliary buildings of reactor VI .....	1068
Specific Objective 5 :(Bohunice) Dismantling of large components and equipment in the VI reactor buildings .....	1068
Specific Objective 6 :(Bohunice) Safely managing the decommissioning waste in accordance with a detailed waste management plan .....	1069
6. The programme contribution to horizontal policies .....	1070

6.1. Contribution to climate mainstreaming.....	1070
6.2. Contribution to biodiversity mainstreaming.....	1070
6.3. Contribution to clean air financing.....	1070
6.4. Contribution to gender equality .....	1070
6.5. Contribution to the sustainable development goals.....	1070

## 1. Overview

### 1.1. Challenges

The decommissioning of a nuclear installation such as a power plant or research reactor is the final step in its lifecycle. It starts with shutdown, then it proceeds with removal of nuclear materials, decontamination, dismantling and demolishing until the environmental restoration of the site. The aim in nuclear decommissioning is the progressive removal of hazards inherently associated with the concerned installations. The corresponding phasing out of the necessary safety measures and associated costs is stepwise in nature, mainly because the removal of major batches of radioactive materials is obtained over several stages.

At this point in time, the decommissioning operators of the **Nuclear Decommissioning Assistance Programme (NDAP)** in Bohunice (Slovakia) and Kozloduy (Bulgaria) are carrying out decontamination and dismantling. In Bohunice the programme has advanced the most and is at the stage of dismantling in the reactor building, while in Kozloduy dismantling is well advanced in the auxiliary buildings and has started in the reactor buildings.

The **Decommissioning of Nuclear Facilities and Management of Radioactive Waste Programme (D&WMP)** is involved in the nuclear research installations of the Joint Research Centre (JRC). They are located at four sites: Ispra (Italy), Geel (Belgium), Karlsruhe (Germany) and Petten (the Netherlands). Nuclear *research* installations at JRC sites are subject to the regulatory framework and supervision in the *host* country.

The implementation of the D&WM programme at the JRC-Ispra site has focused on the design and building of several waste handling and interim storage installations for waste sorting, characterisation, decontamination, material "clearance" from radiological control, and condition and temporary storage of radioactive waste until adequate radioactive waste interim long-term storage facilities or waste disposal facilities are available in Italy.

The other JRC nuclear research installations, located in Petten, Geel and Karlsruhe, are still in operation. Decommissioning of the related operating facilities will not start before their shutdown. Waste management and pre-decommissioning activities are carried out including the dismantling of out-of-use equipment from past research work and for the removal off-site (including transfer of ownership) of obsolete nuclear spent fuel and nuclear materials.

### 1.2. Mission (general objectives)

The general objective of the Programme is to provide funding for the decommissioning of nuclear facilities and the management of radioactive waste, in line with the needs identified in the respective decommissioning plan.

On the basis of the current needs for the period from 1 January 2021 to 31 December 2027, the Programme, in addition to creating knowledge with regard to the nuclear decommissioning process and the management of radioactive waste resulting from the decommissioning activities, aims in particular to:

- (a) assist Bulgaria and Slovakia in implementing the Kozloduy programme and the Bohunice programme respectively, including with regard to the management and storage of radioactive waste in line with the needs identified in the respective decommissioning plan, with specific emphasis on managing the safety challenges in respect thereof;
- (b) support the JRC decommissioning and waste management programme.

This Programme is the continuation of the Nuclear Decommissioning Assistance Programmes in Bulgaria and Slovakia, and this last EU assistance will help bring both sites to their planned end state.

The Decommissioning of Nuclear Facilities and Management of Radioactive Waste Programme (D&WMP) was formally launched in 1999 to eliminate historical and future liabilities at all nuclear sites of the JRC and will proceed under this programme.

The decommissioning of nuclear facilities and the management of the arising waste under a common instrument aim to take advantage of **synergies and knowledge sharing** with a view to ensure dissemination of knowledge and return of experience in all relevant areas such as research and innovation, regulation, training, and to develop potential Union synergies.

### 1.3. Specific objectives

The specific objectives of the programme are as follows:

- (a) to carry out the activities included in the Kozloduy and Bohunice respective decommissioning plans, the dismantling and decontamination of Units 1 to 4 of the Kozloduy Nuclear Power Plant and Units 1 and 2 of the Bohunice VI Nuclear Power Plant, including associated systems, structures and components and auxiliary buildings, the safe management of radioactive waste in line with the needs identified in the respective decommissioning plans, and human resources support; and to pursue the release of Units 1 to 4 of the Kozloduy Nuclear Power Plant and Units 1 and 2 of the Bohunice VI Nuclear Power Plant from regulatory controls;
- (b) to support the decommissioning plan and to carry out the activities in accordance with the national law of the host Member State for the dismantling and decontamination of the Commission's nuclear installations at the JRC sites, to carry out the safe management of associated radioactive waste and, when appropriate, to prepare the optional transfer of the related nuclear liabilities from the JRC to the host Member State;
- (c) for the JRC to develop ties and exchanges among Union stakeholders on nuclear decommissioning, with a view to ensuring the dissemination of knowledge and the sharing of experience in all relevant areas, such as research and innovation, regulation and training, and developing potential Union synergies.

#### 1.4. Public intervention context

The decommissioning of a nuclear installation such as a power plant or research reactor is the final step in its lifecycle. It involves activities from shutdown and removal of nuclear material to the environmental restoration of the site. The whole process is complex and lengthy (typically 20 to 30 years), and it is carried out with the highest safety standards.

In accordance with their respective Act of Accession to the Union, Bulgaria anticipated the shut down of units 1 to 4 in Kozloduy Nuclear Power Plant and Slovakia of units 1 and 2 in Bohunice VI Nuclear Power Plant. The Union committed to provide financial support for the decommissioning, in accordance with approved plans, while keeping the highest level of safety. With the financial support provided under the MFF 2021-2027 bringing both Kozloduy and Bohunice programmes to completion, the Union will have fulfilled its commitment.

The Council Directives 2014/87/Euratom and 2011/70/Euratom, establish the ultimate responsibility of Member States for the safety of nuclear installations and for the safe management of spent fuel and radioactive waste. That principle of national responsibility, as well as the principle of prime responsibility of the licence holder for the safety of its installations, include the decommissioning operations.

Each Member State has appointed a Programme Coordinator responsible for overseeing the programming, coordination and monitoring of the respective decommissioning programme. In each concerned MS, the decommissioning operator, as the licence holder, is responsible for implementing the decommissioning programme under the supervision of the Programme Coordinator. The decommissioning operators are the State Enterprise for Radioactive Waste (SERAW) in Bulgaria, and the Nuclear and Decommissioning Company (Jadrová a vyrad'ovacia spoločnosť or JAVYS) in Slovakia.

The JRC was established under the Euratom Treaty and site agreements were signed during the period 1960-1962 between the Community, Germany, Belgium, Italy and the Netherlands. In the cases of Italy and the Netherlands, national nuclear installations were transferred to the Community. An infrastructure geared to nuclear research and comprising new installations was put in place at the four sites. Some of those installations are still in use today, while others have been shut down, in some instances more than 20 years ago, and have mostly become obsolete.

On the basis of the Euratom Treaty the JRC has to manage its nuclear liabilities and decommission its installations once they have been definitively shut down. The D&WM programme relates to all JRC nuclear installations at the sites of Ispra, Karlsruhe, Petten and Geel, either already shutdown or staying in operation.

#### 1.5. Actions

The actions to be funded under the Kozloduy programme and the Bohunice programme are within the scope of the respective decommissioning plans presented to the Commission. The actions focus on activities related to the delivery of the general and specific objectives and with the highest EU added value, i.e. removal of radiological hazards and creation and dissemination of relevant knowledge.

During the 2021-2027 period, Ispra will be the main site for the decommissioning and waste management activities of the JRC. The gradual shift from safe conservation and pre-decommissioning to relatively large decommissioning and waste management tasks will continue, enabled by the relevant authorisations and licenses released by the safety authority and by the start of the operation of new supporting facilities. By 2024, all waste treatment facilities in Ispra should be ready for operation. In Karlsruhe, the requalification and removal of legacy low-level waste and glove boxes and the optimisation of spent fuel inventories will

continue. In Petten, a multi-year campaign to dispose of the nuclear material/waste batches owned by JRC will be launched. Contacts with Dutch counterparts, aiming at defining an effective frame for the future decommissioning of the High Flux Reactor, will continue. In Geel, an effort to reduce/optimize the inventories of nuclear materials owned by the JRC and to remove waste will be implemented in agreement with the licensing authority.

## **1.6. Delivery mode**

### **Kozloduy (BG) - NDAP**

Indirect Management entrusted to EBRD (European Bank for Reconstruction and Development).

### **Bohunice (SK) - NDAP**

Indirect Management entrusted to EBRD (European Bank for Reconstruction and Development) and the SIEA (Slovak Innovation and Energy Agency – national agency in Slovakia).

The Commission has selected the EBRD as entrusted entity for the NDAP since 2001. On the proposal of the Slovak authorities, the Bohunice programme funding is also channelled through a national implementation channel, the Slovak Innovation and Energy Agency (SIEA).

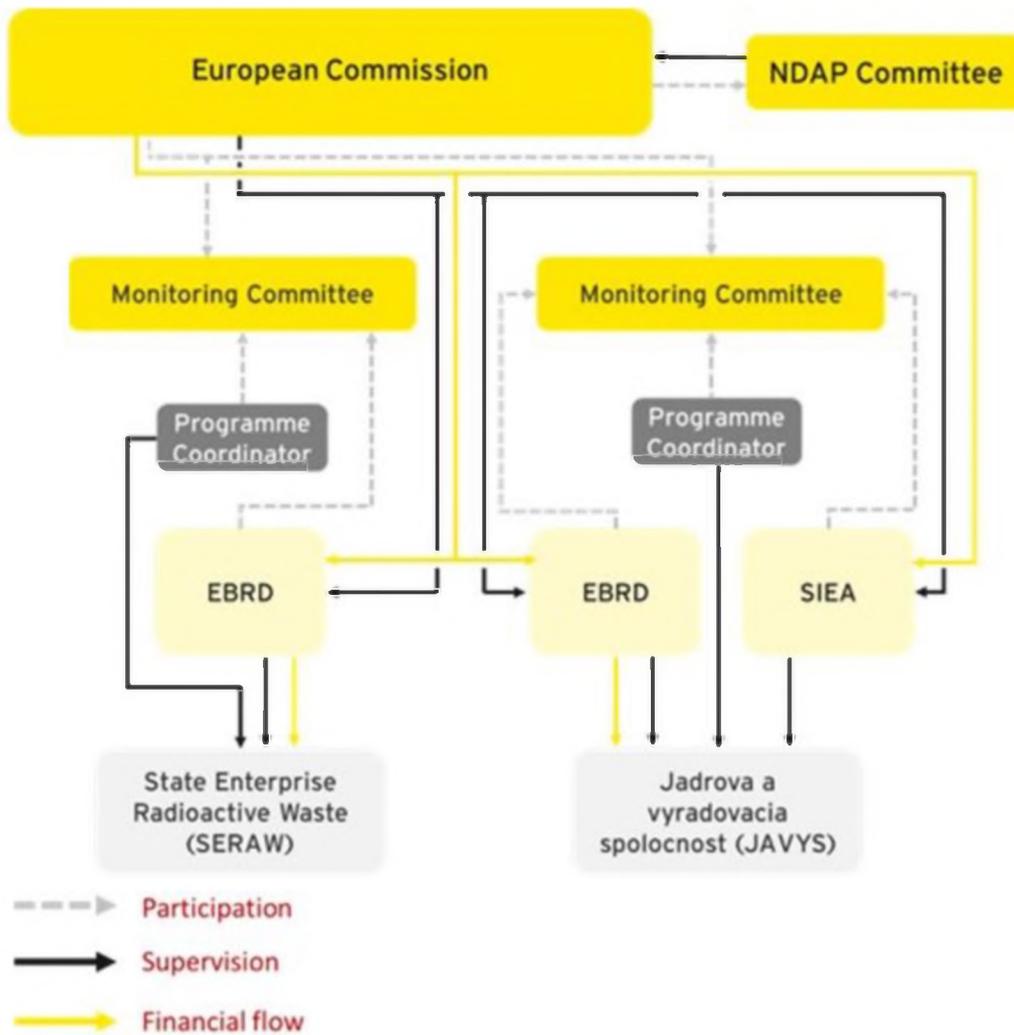
The Directorate-General for Energy is the lead DG for the implementation of the programme. It manages directly a limited fraction of the funds for preparatory, monitoring, control, audit and evaluation activities.

### **JRC (BE, DE, IT, NL) - D&WM programme**

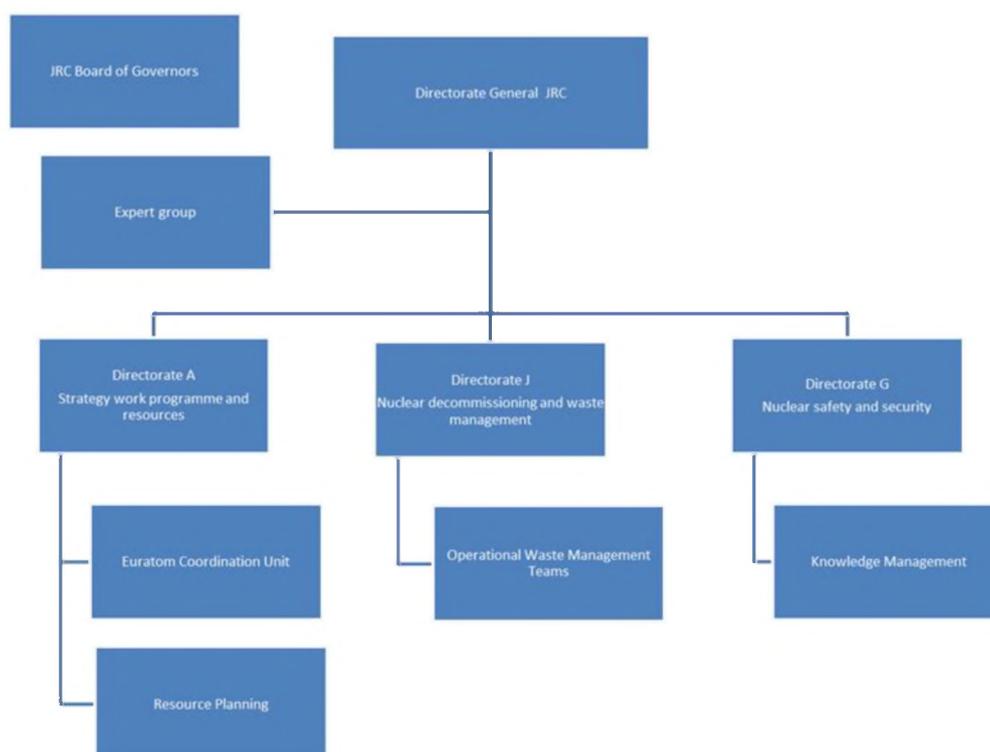
Direct Management by JRC.

## **1.7. Graphic overview of the programme structure**

Graphic overview of NDAP structure (BG, SK):



A new Directorate for Nuclear Decommissioning and Waste Management has been established with the mission of implementing the JRC Decommissioning and Nuclear Waste Management (D&WM) programme in line with the identified needs.



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0252/NLE COM (2018) 467: Proposal for a COUNCIL REGULATION establishing a dedicated financial programme for decommissioning of nuclear facilities and management of radioactive waste, and repealing Council Regulation (Euratom) No 1368/2013	2021 - 2027	466,0

### 1.8.2. Legal basis explanation

When Bulgaria and Slovakia joined the European Union, they committed to close and proceed with the decommissioning of six Soviet-designed, first generation nuclear reactors at two nuclear power plant sites. The Union declared its willingness to provide financial assistance to the concerned Member States for the decommissioning of Kozloduy units 1 to 4 and Bohunice V1 units 1 and 2 in accordance with their respective decommissioning plans.

On the basis of Article 8 of the Euratom Treaty and in line with Article 7 of Council Directive 2011/70/Euratom the JRC has managed its historical nuclear liabilities and decommissions its shut-down nuclear installations in accordance with the respective national legislation. Accordingly, the JRC decommissioning and waste management programme was launched in 1999.

JRC decommissioning programme concerns the nuclear decommissioning and radioactive waste management of the nuclear installations at the JRC sites, namely JRC-Geel in Belgium, JRC-Karlsruhe in Germany, JRC-Ispira in Italy and JRC-Petten in the Netherlands.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>69,2</b>	<b>43,9</b>	<b>57,2</b>	<b>62,3</b>	<b>70,5</b>	<b>73,1</b>	<b>89,8</b>	<b>466,0</b>

### 1.8.4. Financial programming explanation

Legal basis	Period of application	Reference amount (EUR million)

Council Regulation (Euratom) 2021/100 of 25 January 2021 establishing a dedicated financial programme for the decommissioning of nuclear facilities and the management of radioactive waste, and repealing Regulation (Euratom) No 1368/2013, OJ L 34, 1.2.2021, p. 3–17  <a href="https://eur-lex.europa.eu/eli/reg/2021/100">https://eur-lex.europa.eu/eli/reg/2021/100</a>	2021-2027	466
---	-----------	-----

	Financial programming (EUR million)							Total Programme
	2021	2022	2023	2024	2025	2026	2027	
<b>Financial programming (1)</b>	82.873	87.187	63.651	63.965	63.779	56.816	47.730	466.000
of which contribution to XX (2)								
Operational expenditure	81.498	85.798	62.248	62.548	62.348	55.371	46.271	456.084
Administrative support expenditure	1.375	1.388	1.402	1.416	1.430	1.445	1.459	9.916
Joint undertakings								
Executive agencies								
Other bodies								
Contribution from XX to operational appropriations (3)								
Contribution from XX to Executive Agencies (3)								
Contribution from XX (3)								
<b>Financial programming corrected (1)-(2)+(3)</b>	82.873	87.187	63.651	63.965	63.779	56.816	47.730	466.000

### 1.9. Link with the 2014-2020 MFF

The decommissioning of Bohunice (SK) and Kozloduy (BG) has received EU support since 2001 under various instruments. The co-funding in the MFF 2021-2027 is the last to complete the programme.

During the MFF 2014-2020, the Kozloduy and Bohunice programme progressed steadily towards the decommissioning end state, in accordance with their respective decommissioning plans, whilst maintaining the highest level of safety. The process will continue in the MFF 2021-2027 and a new objective will be pursued: the dissemination of knowledge to all EU Member States on the decommissioning process. The activities funded in the period 2021-2027 will be subject to a maximum EU co-financing rate of 50%. This rate was not explicitly set previously.

The JRC decommissioning programme was previously performed under direct management under a different financial instrument. It was launched in 1999<sup>1</sup> as an activity with separate ad-hoc budget line. Since the beginning, the Commission is regularly reporting to the Council and the European Parliament on its progress and status<sup>2</sup>. Moreover, JRC reports on an annual basis on the mid-term targets and the progress achieved (JRC Management Plan, JRC Activity Report).

### 1.10. Relevant websites providing more information

<sup>1</sup> Historical liabilities resulting from nuclear activities carried out at the JRC under the Euratom Treaty – Decommissioning of obsolete Nuclear Installations and Waste Management, COM(1999)114 final

<sup>2</sup> Communication from the Commission to the Council and the European Parliament - Decommissioning of nuclear installations and waste management - Nuclear liabilities arising out of the activities of the Joint Research Centre (JRC) carried out under the Euratom Treaty: SEC(2004)621 final; COM(2008)903 final; COM(2013)734 final.

NDAP (SK, BG): [https://ec.europa.eu/energy/topics/nuclear-energy/decommissioning-nuclear-facilities\\_en](https://ec.europa.eu/energy/topics/nuclear-energy/decommissioning-nuclear-facilities_en)

JRC: <https://ec.europa.eu/jrc/en/research-topic/nuclear-waste-management-and-decommissioning/road-to-green-fields>

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

The Kozloduy programme has prepared for the decontamination and dismantling of the reactors main pipes, pumps and valves (also reusing equipment and experience from the Bohunice programme). The programme progressed dismantling in the auxiliary buildings. The plasma melting facility, a first-of-its-kind facility for the high-performance volume reduction of radioactive waste, is now in industrial operation. In parallel, construction works are underway for the National Disposal Facility, i.e. the low and intermediate level waste surface repository, which will receive large quantities of radioactive waste from 2024. In accordance with the updated performance baseline, the programme completion date remains 2030.

The Bohunice programme has entered the last phase of the decommissioning process. The dismantling of the large components in the reactor building is underway. After the removal of all steam generators, the decommissioning operator initiated the segmentation and packaging of the reactor pressure vessels, i.e. where the nuclear core was enclosed. The decommissioning operator has initiated a thorough review of the scheduling of the remaining tasks, which will result in a modification in the end-date of the programme, currently foreseen in 2025.

The nuclear Decommissioning and Waste Management Programme of JRC entails a complex set of specific activities and projects with related objectives. Different levels of advancement/implementation characterize the situation at the four nuclear sites of JRC. In Ispra, where most of the nuclear facilities ceased to operate before 1999 and where there is a well-established organizational structure since the launch of the programme, the objectives include safe conservation, pre-decommissioning, decommissioning and waste management targets covering a variety of obsolete large installations and waste batches. For the other sites the objectives are to a large extent focused on legacy waste management, dismantling of obsolete equipment and relatively small facilities, and on the definition of plans and teams to implement future decommissioning and waste management activities. Due to the fact that in Karlsruhe, Petten and Geel most nuclear facilities are in operation performing nuclear R&D in the frame of the EURATOM Research and Training programme, no decommissioning of large installations is being implemented yet. In the future (between 2020 and 2060), significant decommissioning activities will need to be implemented also at the JRC sites in Karlsruhe, Geel and Petten.

During the 2021-2027 period, JRC Ispra (IT) will be the main site for the decommissioning and waste management activities of the JRC. The gradual shift from safe conservation and pre-decommissioning to relatively large decommissioning and waste management tasks will continue, enabled by the relevant authorisations and licenses released by the safety authority and by the start of the operation of new supporting facilities. By 2024, all waste treatment facilities in Ispra should be ready for operation. In Karlsruhe (DE), the requalification and removal of legacy low-level waste and glove boxes and the optimisation of spent fuel inventories will continue. In Petten (NL), a multi-year campaign to dispose of the nuclear material/waste batches owned by JRC will be launched. Contacts with Dutch counterparts, aiming at defining an effective frame for the future decommissioning of the High Flux Reactor, will continue. In Geel (BE), an effort to reduce/optimize the inventories of nuclear materials owned by the JRC and to remove waste will be implemented in agreement with the licensing authority.

### **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

	<b>Commitments</b>	<b>Payments</b>
Implementation Voted budget	<b>518 422 657</b>	<b>266 095 980</b>
Implementation carry-overs		
Implementation total	<b>518 422 657</b>	<b>266 095 980</b>
total envelop*	<b>518 442 000</b>	
cumulative implementation rate	<b>100%</b>	<b>51%</b>

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The figures relate only to the past implementation of the Kozloduy and Bohunice programmes. The JRC decommissioning programme was performed under a different financial instrument and is not reported here. Including the payments made during the period 2014-2020 on the previous MFF commitments, the total of payments made for the Kozloduy and Bohunice programmes is

EUR 858,528 million, which represents 165,8% of the committed amount for the same period (EUR 517,892 million). Therefore, the rhythm of payments has been aligned with the commitments during the period 2014-2020. Decommissioning projects are, in many cases, highly technical from the procurement and implementation point of view, and extend on a long period of time. This explains the inherent interval between the commitments and the payments of the programme, and that most of the payments during the 2014-2020 period were related to commitments from the previous period. The figures in the table above are expressed in EUR million.

The cost of the work carried out since 2014 is within budget.

Progress at these two sites was affected by the COVID-19 crisis, which affected the supply chain of equipment and meant limited access by foreign experts and contractors to the sites. Measures to ensure that activities could continue safely significantly reduced the short-term impact on project milestones.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

The Decommissioning of Nuclear Facilities and Management of Radioactive Waste Programme (D&WMP) was previously managed under another instrument and its performance subject to a different framework. Therefore its past performance is not reported here.

The general objective of the Kozloduy and Bohunice programmes in the period 2014-2020 was to assist the Member States towards the decommissioning end state of Kozloduy units 1 to 4 (Bulgaria) and Bohunice VI units 1 and 2 (Slovakia), whilst maintaining the highest level of safety.

For the Kozloduy programme, the situation in 2014 was:

- preparatory works had started for the decontamination and dismantling activities in turbine halls and auxiliary buildings;
- the dismantling of large components and equipment in the reactor buildings had not started;
- the facilities for the treatment and conditioning of waste were being put in place.

The first specific objective for the period 2014-2020 (performing dismantling in the turbine halls of units 1 to 4 and in auxiliary buildings) has been achieved with the decontamination and dismantling activities in the turbine halls completed in 2019.

Progress towards the second specific objective (dismantling of large components and equipment in the reactor buildings of units 1 to 4) was significant. Dismantling activities inside the reactor building Units 1-2 have started in 2015 and a total of 948 systems and equipment have been dismantled in the reactor buildings of units 1 to 4, which is 79% of the target at the end of 2020. The activity had started at a slower pace than planned but recovered steadily over the years. However the COVID-19 pandemic impeded the approval process by the nuclear regulator during the last year.

Activities related to the third specific objective (safely managing the decommissioning waste in accordance with a detailed waste management plan) have progressed well but some aspects stayed slightly below expectations. At the end of 2020, the quantity of material released from regulatory control (free release) has reached 39 320 tonnes i.e. 90% of the target. The COVID-19 pandemic worsened the production rate. At the same date, the production of final waste packages (i.e. Reinforced-Concrete Containers) for legacy waste and decommissioning waste was about 106% of the target in end 2020.

The plasma melting facility (a first-of-its-kind high-temperature incineration facility for volume reduction of radioactive waste) produces a waste form that is particularly stable and safe. The project was launched in 2009 and reached the operational stage in 2019. The first three operational campaigns demonstrated that it could reduce the volume of waste by a factor of 50.

Construction of the near-surface repository for low- and intermediate-level waste (National Disposal Facility) started in 2017. The large earth works are completed and the foundations have been laid down. The construction works do not imply any radiation or nuclear safety risk, however activities were suspended from December 2019 to June 2020 following a fatal accident on the building site. This project is critical to the progress of decommissioning in the MFF 2021-2027 and to meet the planned end-date in 2030.

For the Bohunice programme, the situation in 2014 was:

- dismantling of V1 turbine hall had started;

- dismantling of external buildings (phase 1) had started;
- preparation of decontamination of V1 primary circuits had started;
- stage 1 decommissioning waste management had started.

The first specific objective for the period 2014-2020 (dismantling in the turbine hall and auxiliary buildings of reactor V1) has been achieved. The dismantling in the turbine halls has been completed in 2018. An important landmark has been removed in 2018 with the demolition of the four cooling towers. Eventually the dismantling of the auxiliary buildings was completed in 2019.

The progress towards the second specific objective concerning the dismantling of large components and equipment in the V1 reactor buildings deserves attention. Important milestones have been achieved with the dismantling of the Auxiliary Building Systems, Spent Fuel Pools and contaminated tanks in 2018; the transfer of the 12 steam generators, each made of 145 tonnes of steel, to the former turbine hall in 2019 and the transportation of the reactor pressure vessel and other activated components to pools reconfigured as underwater cutting workshops. However, previous milestones have been merged with the project 'Nuclear Steam Supply System' (original target date 2020) which has been rescheduled to the end of 2022.

Activities related to the third specific objective (safely managing the decommissioning waste in accordance with a detailed waste management plan) have progressed well but stayed slightly below expectations. By December 2020 the quantity of material released from regulatory control (free release) has reached 134 124 tonnes, i.e. 90% of the target. The production of hazardous waste and radioactive waste remained slightly under plan. This is the consequence of the lower than planned quantity of material to be removed from the site and also from slower operations due to the COVID-19 restrictions.

To date the work has been realised on or below budget. The analysis of the critical path until the end of the programme is showing that there are important challenges to complete the programme within the planned end date (2025).

### 3.2. Key achievements

29 448	134 124	392
tonnes of metals were originated from the dismantling of the turbine hall in Kozloduy programme by end 2020.	tonnes of conventional recyclable material dismantled by end 2020 in the Bohunice programme.  This material was transported to the recycling facilities outside Bohunice decommissioning site.	reinforced-concrete containers of radioactive waste produced in the Kozloduy programme by end 2020.  The production of final waste packages (i.e. reinforced-concrete containers) for legacy waste and decommissioning waste was 106% of the target by end 2020.

### 3.3. Evaluations, studies and reports

#### Nuclear Decommissioning Assistance Programme (NDAP)

The Commission, in close cooperation with the Member States, has launched an *ex post* evaluation on the effectiveness and efficiency of the Nuclear Decommissioning Assistance Programme for the period 2014 to 2020.

The evaluation will rely on existing reports on the progress of the technical and financial implementation of the programme.

The following studies are underway or recently finished:

- study to support the *ex post* evaluation of the nuclear decommissioning assistance programme 2014-2020;
- safety culture maturity of the NDAP operations, supporting the *ex post* evaluation 2014-2020;
- development and try-out of an on-site process for sharing knowledge created in the frame of the NDAP;
- gap analysis of Earned Value Management Systems in use by operators under the NDAP.

The following evaluations, studies and reports have been published in the past years:

- Progress report period 2010-2014 [COM(2015) 78];
- Progress report 2015 and previous years [COM(2016) 405];
- Progress report 2016 and previous years [COM(2017) 328];
- Mid-term evaluation [COM(2018) 468];
- Progress report 2018 and previous years [COM(2019) 215];
- Progress report 2019 and previous years [COM(2020) 82];

- support to the ex post evaluation of the NDAP Energy window 2007-2013 [ISBN 978-92-76-08716-8];
- support to the mid-term evaluation of the NDAP [ISBN 978-92-76-08717-5, 978-92-76-08789-2];
- assessment of the robustness of the NDAP financing plans and of the relevance and feasibility of the detailed decommissioning plans [ISBN 978-92-76-08798-4].

The results of the NDAP mid-term evaluation and of the latest report on NDAP from the European Court of Auditors were communicated in the Draft Budget 2019.

#### Decommissioning of Nuclear Facilities and Management of Radioactive Waste Programme (D&WMP)

The following evaluations, studies and reports are underway or recently finished:

- IAS audit report: IAS.C4-2017-JRC-002 Draft audit report on nuclear decommissioning and waste management programme (D&WMP) implementation in DG JRC;
- The organisational structure for the JRC nuclear decommissioning programme: an ex-ante assessment – Final report March 2019;
- Ares(2017)6208486 Budget requirements to implement the JRC Decommissioning & Waste Management Programme (D&WMP) strategy;
- Ares(2017)620848 Manpower needs to implement the JRC Decommissioning & Waste Management Programme (D&WMP) strategy;
- Ares(2017)3518519 Strategy for Decommissioning & Waste Management Programme (D&WMP) of JRC.

The following evaluations, studies and reports have been published in the past years:

- IAS audit report IA – 11 – 03 (206) Decommissioning – risk and project management at the Ispra site;
- Expert group reviews reported in CircaBC;
- Communication from the Commission to the Council and the European Parliament: Decommissioning of nuclear installations and waste management. Nuclear liabilities arising out of the activities of the Joint Research Centre (JRC) carried out under the Euratom Treaty (SEC/2004/621).

## **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :To carry out the activities included in the respective decommissioning plans, the dismantling and decontamination of Units 1 to 4 of the Kozloduy Nuclear Power Plant and Units 1 and 2 of the Bohunice V1 Nuclear Power Plant, including associated systems, structures and components and auxiliary buildings, the safe management of radioactive waste in line with the needs identified in the respective decommissioning plans, and human resources support; and to pursue the release of Units 1 to 4 of the Kozloduy Nuclear Power Plant and Units 1 and 2 of the Bohunice V1 Nuclear Power Plant from regulatory controls.**

**Indicator 1:(Kozloduy) Radioactive waste management: quantity and type of waste safely stored or disposed of, with annual objectives by type, meeting the milestones of the Programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Materials under the activity threshold (Category 1) – free released										
	Milestones									
	Actual Progress									Final
Low and intermediate level waste (Category 2) – disposed of										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Tonnes or m3 (cumulative)
Cut-Off Date	
Data source	National authorities, implementing bodies, decommissioning operator
Link to the objective	Indicator defined in the Council Regulation (Euratom) 2021/100.
Link MFF 14-20 / MFF 21-27	This objective is the continuation of the MFF 2014-2020 objective “Safely managing the

	decommissioning waste in accordance with a detailed waste management plan".
Other methodological comments	The classification of radioactive waste follows the respective national regulations. The timeline extends to the scheduled completion of the decommissioning (2030).
Full metadata available at this address	
Justification of the trend	

**Indicator 2:(Kozloduy) Dismantling and decontamination: quantity and type of materials removed, with annual objectives by type, meeting the milestones of the Programme.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Metal dismantled (tonne)										
	Milestones									
	Actual Progress									Final
Concrete removed (tonne)										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Tonnes (cumulative)
Cut-Off Date	
Data source	National authorities, implementing bodies, decommissioning operators
Link to the objective	Indicator defined in the Council Regulation (Euratom) 2021/100.
Link MFF 14-20 / MFF 21-27	This objective is the continuation of the objective "Dismantling of large components and equipment in the reactor buildings of Kozloduy units 1 to 4".
Other methodological comments	The timeline extends to the scheduled completion of the decommissioning (2030).
Full metadata available at this address	
Justification of the trend	

**Indicator 3:(Bohunice) Radioactive waste management: quantity and type of waste safely stored or disposed of, with annual objectives by type, meeting the milestones of the Programme.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Very low-level radioactive waste – disposed of										
	Milestones									
								NA	NA	
	Actual Progress									Final
								NA	NA	
Low-level radioactive waste – disposed of										
	Milestones									
								NA	NA	
	Actual Progress									Final
								NA	NA	
Intermediate-level radioactive waste - safely stored										
	Milestones									
								NA	NA	
	Actual Progress									Final
								NA	NA	

Are we on track	
Indicator type	Output
Unit of measurement	Tonnes or m3 (cumulative)
Cut-Off Date	
Data source	National authorities, implementing bodies, decommissioning operators
Link to the objective	Indicator defined in the Council Regulation (Euratom) 2021/100.
Link MFF 14-20 / MFF 21-27	This objective is the continuation of the MFF 2014-2020 objective "Safely managing the decommissioning waste in accordance with a detailed waste management plan".
Other methodological comments	The classification of radioactive waste follows the respective national regulations.
Full metadata available at this address	
Justification of the trend	

**Indicator 4:(Bohunice) Dismantling and decontamination: quantity and type of materials removed, with annual objectives by type, meeting the milestones of the Programme.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Metal dismantled (tonne)										
	Milestones									
								NA	NA	
	Actual Progress									Final
								NA	NA	
Concrete removed (tonne)										
	Milestones									
								NA	NA	
	Actual Progress									Final
								NA	NA	

Are we on track	
Indicator type	Output
Unit of measurement	Tonnes (cumulative)
Cut-Off Date	
Data source	National authorities, implementing bodies, decommissioning operators
Link to the objective	Indicator defined in the Council Regulation (Euratom) 2021/100.
Link MFF 14-20 / MFF 21-27	This objective is the continuation of the MFF 2014-2020 objective "Dismantling of large components and equipment in the Bohunice V1 reactor buildings".
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :To support the decommissioning plan and to carry out the activities in accordance with the national law of the host Member State for the dismantling and decontamination of the Commission's nuclear installations at the JRC sites, to carry out the safe management of associated radioactive waste and, when appropriate, to prepare the optional transfer of the related nuclear liabilities from the JRC to the host Member State**

**Indicator 1:Radioactive waste management: quantity and type of waste safely stored or disposed of , with annual objectives by type, meeting the milestones of the Programme**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Quantity of radioactive waste and obsolete material removed (% of inventory)										
	Milestones									
	Actual Progress									Final
Quantity of legacy low level radioactive waste removed (% of "backlog" inventory)										
	Milestones									
	Actual Progress									Final
Quantity of radioactive waste material removed (% of inventory)										
	Milestones									
	Actual Progress									Final
Quantity (kg of HM) of nuclear material removed from facilities to be decommissioned										
	Milestones									
	Actual Progress									Final
Quantity (metric tons) of processed radioactive waste or material										
	Milestones									
	Actual Progress									Final

Are we on track

Indicator type	Output
Unit of measurement	% (cumulative), Kg of Heavy Metal (cumulative), Metric tons (cumulative)
Cut-Off Date	
Data source	JRC Progress Report, Monitoring Report, Monitoring Mission, Annual Work Programme, Detailed Decommissioning Plan, Assembly of Contributors
Link to the objective	Indicator defined in the Council Regulation (Euratom) 2021/100. The indicator "Radioactive waste management: quantity and type of waste safely stored or disposed of" do not apply for the 2021-2027 timeframe.
Link MFF 14-20 / MFF 21-27	The JRC decommissioning programme was performed under a different financial instrument and is therefore new to the NDAP.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Dismantling and decontamination: quantity and type of materials removed, with annual objectives by type, meeting the milestones of the Programme.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Quantity of obsolete equipment removed (number of legacy glove boxes dismantled)										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of legacy glove boxes dismantled (cumulative)
Cut-Off Date	
Data source	JRC Progress Report, Monitoring Report, Monitoring Mission, Annual Work Programme, Detailed Decommissioning Plan, Assembly of Contributors
Link to the objective	Indicator defined in the Council Regulation (Euratom) 2021/100.
Link MFF 14-20 / MFF 21-27	The JRC decommissioning programme was performed under a different financial instrument and is therefore new to the NDAP.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :For the JRC to develop ties and exchanges among Union stakeholders on nuclear decommissioning, with a view to ensuring the dissemination of knowledge and the sharing of experience in all relevant areas, such as research and innovation, regulation and training, and developing potential Union synergies.**

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : Nuclear decommissioning assistance programmes in Bulgaria and Slovakia*

**General Objective 1 :To assist the Member States towards the decommissioning end state of Kozloduy units 1 to 4 (Bulgaria) and Bohunice VI units 1 and 2 (Slovakia), whilst maintaining the highest level of safety**

**Indicator 1:Number of major components and systems dismantled in all the concerned nuclear reactors in accordance with the respective decommissioning plans**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Kozloduy programme										
2014	Milestones									2020
Kozloduy programme (See Narrative)	Decommissioning Licence for Units 1-2		Decommissioning Licence for Units 3-4							Ref. Detailed Decommissioning Plan 2014
	Actual Progress									Final
	Licence		Licence							All licences

	issued for Decommissioning for Units 1-2		issued for Decommissioning for Units 3-4							issued
Bohunice programme										
2014	Milestones									2020
Bohunice programme (see Narrative)		Decommissioning licence 2nd (final) stage								Ref. Detailed Decommissioning Plan 2014
	Actual Progress									Final
	Licence issued for Decommissioning 2nd (final) stage									All licenses issued

Are we on track	On track
Indicator type	Result
Unit of measurement	Licence for nuclear decommissioning (yearly)
Cut-Off Date	31/12/2020
Data source	National authorities, Implementing bodies, decommissioning operator
Narrative	Obtaining a decommissioning licence is a compulsory requirement for the nuclear decommissioning of Kozloduy and Bohunice. Baseline Kozloduy programme (2014): - Preparatory works have started for the decontamination and dismantling activities in turbine halls and auxiliary buildings. - Dismantling of large components and equipment in the reactor buildings not yet started. - Facilities for the treatment and conditioning of waste are being put in place. Baseline Bohunice programme (2014): - Dismantling of V1 turbine hall has started. - Dismantling of external buildings (Phase 1) has started. - Preparation of decontamination of V1 primary circuits has started. - Stage 1 decommissioning waste management has started
Methodology	
Link MFF 14-20 / MFF 21-27	Over the period 21-27, indicators monitor the dismantling and decontamination of the reactors' buildings and components.
Other methodological comments	-
Full metadata available at this address	
Justification of the trend	The licences for decommissioning were issued at the time planned (or even before).

## Specific Objective 1 :(Kozloduy) Performing dismantling in the turbine halls of units 1 to 4 and in auxiliary buildings

### Indicator 1: Number and type of systems dismantled

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Systems dismantled										
2014	Milestones									2020
Systems dismantled	28	55	82	110	135	141	141			141
	Actual Progress									Final
				85	107	141	141			141
Metal dismantled										
2014	Milestones									2020
Metal dismantled	5 772	11 544	17 316	23 088	28 088	29 448	29 448			29 448
	Actual Progress									Final
	4 854	10 901	16 697	18 968	27 430	29 448	29 448			29 448

Are we on track	On track
Indicator type	Result
Unit of measurement	Numbers of systems dismantled from target, and tonnes of metal (cumulative)
Cut-Off Date	31/12/2020
Data source	National authorities, Implementing bodies, Decommissioning operator
Narrative	Performing dismantling in the turbine halls of units 1 to 4 and in auxiliary buildings is part of the Detailed Decommissioning Plan (last update on 2017) for the Kozloduy programme. The completion of the dismantling of equipment in the turbine hall has been achieved in 2019, a year earlier than scheduled.
Methodology	Data is based on the Monitoring Report provided by the national authority every six months.
Link MFF 14-20 / MFF 21-27	Metal dismantled will also be reported in a new indicator for the period 2021-2027.

Other methodological comments	
Full metadata available at this address	
Justification of the trend	The total target of 141 systems were dismantled and the overall objective has been achieved (Units 1-4 turbine hall fully dismantled). The initial target value was updated (141 instead of 160) as 19 support systems have to remain in operation to support decommissioning operation. The total quantity to be dismantled equipment has been re-evaluated to 29 448 tonnes of metals (instead of 33 216 tonnes), as it is the final amount that was originated from the dismantling of the Turbine Halls. The final target is lower than the original planned target established prior 2014 using data available at that time.

## Specific Objective 2 :(Kozloduy) Dismantling of large components and equipment in the reactor buildings of units 1 to 4

### Indicator 1: Number and type of systems and equipment dismantled

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
0	0	200	400	600	800	1000	1200			1200
	Actual Progress									Final
	0	147	299	326	525	723	948			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of dismantled large components and equipment in the reactor buildings of units 1 to 4 (cumulative)
Cut-Off Date	31/12/2020
Data source	National authorities, Implementing bodies, decommissioning operator
Narrative	Dismantling of large components and equipment in the reactor buildings of units 1 to 4 is part of the Detailed Decommissioning Plan of Kozloduy Programme.
Methodology	Data is based on the Monitoring Report provided by the national authority every six months.
Link MFF 14-20 / MFF 21-27	There is a specific indicator for the period 2021-2027 for the dismantling and decontamination in the reactors' buildings in accordance with the decommissioning plan.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Dismantling activities inside the reactor building Units 1-2 have started. The activity had started at a slower pace than planned but recovered steadily over the years. There was an underestimation of time needed for regulatory approval caused by the implementation of a procedure never used before for authorisation of activities associated to decommissioning and waste management. Furthermore, the COVID-19 pandemic has also impeded the approval process by the nuclear regulator.

## Specific Objective 3 :(Kozloduy) Safely managing the decommissioning waste in accordance with a detailed waste management plan

### Indicator 1: The quantity and type of safely conditioned waste

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Free release of materials										
2014	Milestones									2020
Free release of materials	5 762	11 318	19 998	23 998	31 054	38 054	43860			43860
start	Actual Progress									Final
	4 791	7 923	15 954	18 827	28 725	34 678	39 320			
Treatment of historical radioactive waste										
2014	Milestones									2020
Treatment of historical radioactive waste	30	51	231	249	290	320	370			370
	Actual Progress									Final
	30	51	231	249	289	324	392			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Quantity and type of materials processed (tonnes, containers) – (cumulative)
Cut-Off Date	31/12/2020
Data source	National authorities, Implementing bodies, Decommissioning operator
Narrative	Safely managing the decommissioning waste in accordance with a detailed waste management plan is

	part of the Kozloduy Detailed Decommissioning Plan.
Methodology	Data is based on the Monitoring Report provided by the national authority every six months.
Link MFF 14-20 / MFF 21-27	There will be a specific indicator for the period 2021-2027 for the safe management of the decommissioning and radioactive waste and of activated materials and dismantling materials.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	At the end of 2020, the quantity of material released from regulatory control (free release) has reached 39 320 tonnes i.e. 90% of the target. The COVID-19 pandemic worsened a systematic underproduction rate caused by the lack of available materials to be processed. At the same date, the production of final waste packages (i.e. Reinforced-Concrete Containers) for legacy waste and decommissioning waste was about 106% of the target in end 2020.

### Specific Objective 4 :(Bohunice) Performing dismantling in the turbine hall and auxiliary buildings of reactor V1

#### Indicator 1: Number and type of systems dismantled

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
Auxiliary Circuit System for Secondary Circuit - Phase 2	Electricity production system	Secondary Circuit Cooling System				Control System for Consumption of Electricity				All systems in the turbine hall and auxiliary buildings of reactor V1 dismantled
	Actual Progress									Final
Auxiliary Circuit System for Secondary Circuit - Phase 1 dismantled	Auxiliary Circuit System for Secondary Circuit - Phase 2 dismantled	Electricity production, Auxiliary Circuit, Normal and Emergency Electric Power Supply Systems	Secondary Circuit Cooling System dismantled			Control System for Consumption of Electricity dismantled				All systems in the turbine hall and auxiliary buildings of reactor V1 dismantled

Are we on track	On track
Indicator type	Result
Unit of measurement	Number and type of systems dismantled (yearly)
Cut-Off Date	31/12/2020
Data source	National authorities, Implementing bodies, Decommissioning operator
Narrative	Dismantling in the turbine hall and auxiliary buildings of reactor V1 is part of the Bohunice Detailed Decommissioning Plan.
Methodology	Data is based on the Monitoring Report provided by the national authority every six months.
Link MFF 14-20 / MFF 21-27	-
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Dismantling in the turbine halls and auxiliary buildings was completed in 2019

### Specific Objective 5 :(Bohunice) Dismantling of large components and equipment in the V1 reactor buildings

#### Indicator 1: Number and type of systems and equipment dismantled

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2022
Dismantling in reactor building not started			Primary Circuit Equipment Insulation		Auxiliary Building Systems / Parts of Spent Fuel Pools and			External Pipeline Systems	Nuclear Steam Supply System	Nuclear Steam Supply System

					Other Contaminated Tanks– Part 1					
Actual Progress										Final
			Primary Circuit Equipment Insulation dismantled		Auxiliary Building Systems / SFP and contaminated tanks dismantled					

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	Information on achieved milestones in dismantling of large components and equipment in the V1 reactor buildings (Yearly)
Cut-Off Date	31/12/2020
Data source	National authorities, Implementing bodies, Decommissioning operator
Narrative	Dismantling of large components and equipment in the V1 reactor buildings is part of the Bohunice Detailed Decommissioning Plan.
Methodology	Data is based on the Monitoring Report provided by the national authority every six months.
Link MFF 14-20 / MFF 21-27	There is a specific indicator for the period 2021-2027 for the dismantling and decontamination in the reactors' buildings in accordance with the decommissioning plan.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Previous milestones have been merged with the project 'Nuclear Steam Supply System' (original target date 2020) which has been rescheduled to the end of 2022. This indicator is linked to the successful dismantling of radiologically contaminated components of the main reactor systems. Dismantling has started in the reporting period January to June 2020 and major milestones have been achieved with the start of the size reduction of the reactor vessel and the steam generators. The target "external pipeline systems" was re-scheduled, with a new completion date in August 2021. The tasks within the project for the dismantling of the Reactor Coolant System Large Components were re-ordered to reflect the actual material logistics, interfaces and prioritization of specific activities with the overall objective to reduce the programme implementation time.

## Specific Objective 6 :(Bohunice) Safely managing the decommissioning waste in accordance with a detailed waste management plan

### Indicator 1:Quantity and type of safely conditioned waste

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Conventional waste produced										
2014	Milestones									2020
Conventional waste produced	23 151	74 632	74 752	86 298	146 152	147 617	149 297			149 297
	Actual Progress									Final
	23 151	74 093	74 751	86 298	130 624	131 736	134 124			
Hazardous waste produced										
2014	Milestones									2020
Hazardous waste produced	54	180	183	4 608	4 611	4 618	4 813			4 813
	Actual Progress									Final
	54	174	182	4 608	4 617	4 617	4 623			
Radioactive waste produced										
2014	Milestones									2020
Radioactive waste produced	387	909	1 440	1 608	2 003	4 026	6 474			6 474
	Actual Progress									Final
	387	909	1 440	1 608	1 953	3 331	5 520			

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	The quantity (tonnes) and type of safely conditioned waste (cumulative)
Cut-Off Date	31/12/2020
Data source	National authorities, Implementing bodies, Decommissioning operator
Narrative	Safely managing the decommissioning waste in accordance with a detailed waste management plan is part of the Detailed Decommissioning Plan (Bohunice). In 2020 decommissioning activities at Bohunice V1 produced a total of 2 388 tonnes of conventional recyclable material. In addition,

	dismantling activities in the controlled area produced 2 189 tonnes of material: of these, 732 tonnes were decontaminated and recycled as non-radioactive material.
Methodology	Data is based on the Monitoring Report provided by the national authority every six months.
Link MFF 14-20 / MFF 21-27	There is a specific indicator for the period 2021-2027 for the safe management of the decommissioning and radioactive waste and of activated materials and dismantling materials.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	By 31 December of 2020 the quantity of material released from regulatory control (free release) has reached 134 124 tonnes, i.e. 90% of the target by end 2020. The slowdown of the conventional waste production results from the impact of covid-19 and of the lower than planned quantity of material to be removed from the site.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

Not applicable.

**HEADING 5: Security and Defence****European Defence Fund (EDF)****Lead DG:DEFIS**

1. Overview .....	1071
1.1. Challenges .....	1071
1.2. Mission (general objectives) .....	1072
1.3. Specific objectives .....	1072
1.4. Public intervention context .....	1072
1.5. Actions .....	1072
1.6. Delivery mode .....	1072
1.7. Graphic overview of the programme structure .....	1073
1.8. Legal basis and financial programming .....	1073
1.9. Link with the 2014-2020 MFF .....	1073
1.10. Relevant websites providing more information .....	1074
2. Where are we in the implementation ? .....	1074
2.1. Programme 2021-2027 .....	1074
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1074
3. How is the programme performing ? .....	1075
3.1. Performance .....	1075
3.2. Key achievements .....	1076
3.3. Evaluations, studies and reports .....	1076
4. Programme 2021-2027 - Key monitoring indicators .....	1077
Specific Objective 1 :Support collaborative research that could significantly boost the performance of future capabilities throughout the Union .....	1077
Specific Objective 2 :Support collaborative development of defence products and technologies consistent with defence capability priorities commonly agreed by Member States notably within the Capability Development Plan .....	1079
5. Programme 2014-2020 - Key monitoring indicators .....	1080
Previous Program 1 : European Defence Industrial Development Programme .....	1080
Specific Objective 1 :To foster the competitiveness, efficiency and innovation capacity of the EU defence industry, by supporting actions in their development phase .....	1080
Specific Objective 2 :To support and leverage the cooperation between undertakings, including small and medium-sized enterprises and midcaps, and collaboration between Member States in the development of defence products or technologies. ....	1081
Specific Objective 3 :To foster better exploitation of the results of defence research and contribute to closing the gaps between research and development. ....	1082
6. The programme contribution to horizontal policies .....	1082
6.1. Contribution to climate mainstreaming .....	1082
6.2. Contribution to biodiversity mainstreaming .....	1082
6.3. Contribution to clean air financing .....	1083
6.4. Contribution to gender equality .....	1083
6.5. Contribution to the sustainable development goals .....	1083

**1. Overview****1.1. Challenges**

The European defence sector is essential for Europe's future. It plays a key role in ensuring the EU's strategic sovereignty and its capacity to act as a security provider. The sector nevertheless faces challenges that put into question the preservation of its

competitiveness and its technological edge. These may weaken the technological advantage of the sector and hamper its ability to develop defence systems crucial for the security of the Union and its Member States. More particularly, these challenges are:

- For over more than a decade, defence spending by EU Member States has been subject to significant cuts that have particularly affected defence Research and Development (R&D). Despite increases in defence spending in recent years, R&D is still lagging behind. Defence Research & Technology (R&T) for instance amounts to only 0.9% of defence expenditures against a target of 2% agreed between EU Member States.<sup>1</sup>
- The costs of defence systems are raising and include a high proportion of R&D costs. Combined with limited spending, this increasingly puts the development of new high-end defence systems beyond the capacity of individual EU Member States.
- Cooperation in the defence sector remains very weak. European collaborative equipment expenditures stand at only 17.8% of defence equipment spending against a benchmark of 35%. Only 7.3% of defence research is collaborative, against a target of 20%. EU defence industry and markets remain fragmented along national borders with unnecessary duplications often present despite limited investments.

## 1.2. Mission (general objectives)

These challenges and trends provide strong reasons for intervention at the EU level to foster collaboration, overcome fragmentation and foster the competitiveness and the technological sovereignty of the European defence industry.

## 1.3. Specific objectives

The European Defence Fund (EDF), being based on the Treaty on the Functioning of the European Union, and in particular Article 173(3), Article 182(4), Article 183 and the second paragraph of Article 188, will support both collaborative defence research and development actions. Rules adapted to the specificities of respectively defence research and development are foreseen. The Fund aims at providing consistent support throughout the full R&D cycle. It will thus ensure consistency and help bridge the “valley of death” between research and development that entails important technical and financial risks, often preventing the maturation of promising new defence technologies and their effective integration in the development of new defence systems.

By supporting, through the EU budget, collaborative defence research and development, the EDF will help build an integrated defence industrial base across the EU. It seeks to foster open and dynamic supply-chains that include SMEs and new entrants. The Fund will enhance the competitiveness, efficiency and innovation capacity of the European defence technological and industrial base, which contributes to the Union strategic autonomy and freedom of action. Furthermore, by requiring common technical requirements, it will improve interoperability of developed products and technologies for the Member States, which are the end-users.

## 1.4. Public intervention context

The EDF was launched as the cornerstone of the European Defence Action Plan and goes hand in hand with the Union’s initiatives towards a more integrated European Defence Market, in particular the Directive on transfers of defence-related products within the Union and the Directive on defence and security procurement. By encouraging cooperation, the EU can help maximise the output and quality of Member States' investment in defence. The European Defence Fund will bring EU added value by incentivising joint research on and development of products and technologies in the area of defence to increase the efficiency of public expenditure and contribute to the EU's operational autonomy. The EDF should complement rather than substitute national funding already used for this purpose. It should act as an incentive for Member States to cooperate and invest more in defence.

## 1.5. Actions

The European Defence Fund will provide financial support primarily in the form of grants. In principle, only actions undertaken in cooperation between at least three entities from at least three different Member States will be eligible.

Cross-border participation of SMEs and mid-caps will be further strengthened by the bonus system and the relevant award criterion with regard to participation of SMEs foreseen by the new European Defence Fund Regulation, as well as by the introduction of dedicated project categories in the work programmes.

To enhance the innovation capacity of the sector and the emergence of new products and technologies, the EDF will also support disruptive defence technologies and take into account their specificities such as increased risk of project failure and the potential of attracting non-traditional players to the defence sector.

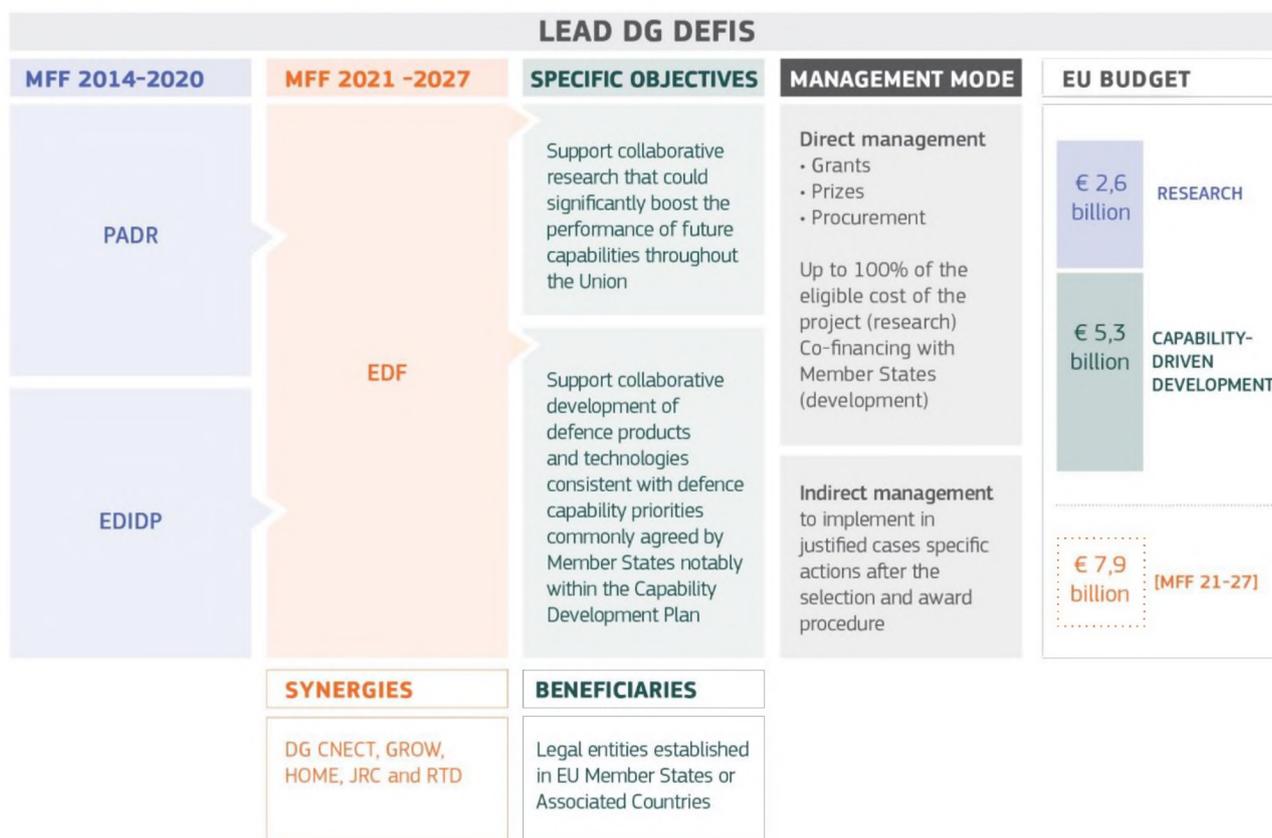
## 1.6. Delivery mode

The programme will be implemented through direct management by the Directorate General for Defence Industry and Space. On an ad-hoc basis and if justified, specific actions may be implemented in indirect management.

<sup>1</sup> Council Recommendation of 15 October 2018 concerning the sequencing of the fulfilment of the more binding commitments undertaken in the framework of the permanent structured cooperation (PESCO) and specifying more precise objectives (2018/C 374/01).

## 1.7. Graphic overview of the programme structure

### EUROPEAN DEFENCE FUND (EDF)



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0254/COD COM (2018) 476: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the European Defence Fund	2021 - 2027	7 953,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	945,7	945,7	945,7	974,0	1 163,2	1 352,3	1 626,4	7 953,0

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The EDF will build and expand on the experience acquired through two small-scale pre-cursor programmes implemented under the 2014-2020 MFF:

- The Preparatory Action on Defence Research (PADR) which supported collaborative defence research projects with an overall budget of EUR 90 million over 2017-2019;
- The European Defence Industrial Development Programme (EDIDP), which supports collaborative defence development actions with an overall budget of EUR 500 million over 2019-2020.

The design of the European Defence Fund (EDF) largely builds on the architecture of these two pre-cursor programmes, the PADR in a research window and the EDIDP in a development window, but it will be implemented as one single Fund. As an example of such integrated approach, EDF harmonises the eligibility and award criteria for funding projects. The EDF will lead to better exploitation of the defence research results, bridging the gap between the research and the development phases, and promoting all forms of innovation, including support to disruptive technologies for defence. The recently adopted Action Plan on Synergies between civil, defence and space industries will also help to identify and foster the uptake of results generated in the civil programmes in a defence context and vice versa.

Several activities have been tested under the PADR and the EDIDP and are being further adapted to the defence sector specificities in order to be used more extensively in the EDF. Examples include the ethics review for both research and development actions, improving the efficiency of the project management (e.g., by more systematic use of lump sums to finance the projects), and reducing the administrative burden for applicants, e.g., by organising calls for proposals in two stages, starting with the evaluation of short outline proposals. Together with supporting measures (setting up an information network in the Member States, organising or contributing to information and brokerage events), this should encourage, in particular, SMEs and entities not yet involved in defence-specific R&D to participate even more in the programme. In the EDF, open calls for innovative and future-oriented defence solutions, which are exclusively accessible for SMEs will be organised under the research and the development window.

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/defence-industry-space/eu-defence-industry\\_en](https://ec.europa.eu/defence-industry-space/eu-defence-industry_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The first work programme of the new European Defence Fund is expected to be adopted no later than May 2021 and will be followed by a call for proposals (EDF will be implemented under direct management in 2021). Since the tentative deadline for the submission of proposals is planned in December 2021, the grant agreements will be signed during the second half of 2022. In this context, it is expected to fully consume the commitment and payment appropriations of the year.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	499 999 957	176 489 826
Implementation carry-overs	0	1 632 362
Implementation total	499 999 957	178 122 188
total envelop*	500 000 000	
cumulative implementation rate	100%	36%

\*based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

During the last MFF, the EDIDP programme (2019-2020) committed EUR 500 million, thus achieving 100% cumulative implementation rate. The first grants of the programme, resulting in the call for proposals of the year 2019, were signed in 2020. The pre-financing payments to these grants account for almost the total payment appropriations used until now, i.e. EUR 178 million, which represents 36% rate of payment execution for the programme. It is expected that, with the signature of the second (and last) round of the grants in 2021 and the associated pre-financing payments, the payment appropriations execution rate for EDIDP will considerably increase by the end of 2021.

In order to support the defence industry during the COVID-crisis, DG DEFIS decided to increase the pre-financing level of the proposals awarded under EDIDP 2019 call to up to 90% of the maximum grant, which had an impact on the rate of payment execution of the programme. DG DEFIS also decided to extend the submission deadline for the EDIDP 2020 calls until December 2020, which might delay the start of the projects. This however has no impact on the financial implementation of the programme in 2020.

Both the PADR and EDIDP were fully implemented during the COVID-19 crisis by signing the grant agreements and pre-financing all the projects retained for funding. However, it had a substantial impact on the procedures and the working arrangements of the staff involved in the evaluations and grant agreement preparations. The crisis continues to affect the currently on-going evaluations of the 2020 EDIDP calls and the preparation of the first work programme.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

The EDF Programme is designed to target the problems of the defence sectors identified in SWD (2018) 345 and its annexes accompanying the legislative proposal of the EDF.

Given that the Programme is in its early days of implementation, no implementation report is available. In the same vein, given that the indicators are set at the level of funded projects and no projects have been selected yet for funding, at this stage of implementation, it is not yet possible to report how the Programme is progressively delivering in addressing the identified problems.

##### **3.1.3. Previous programme performance**

The Preparatory Action on Defence Research (PADR) has significantly contributed to foster collaborative defence research and technological development in Europe. The core of the PADR is a small-scale research programme with competitive calls for proposals defined in close consultation with the Member States. The main objectives of the PADR programme are: 1.) *Test mechanisms to prepare, organise and deliver EU-funded cooperative defence research*; 2.) *Improve competitiveness and innovation of the European defence industry*; 3.) *Stimulate cooperation amongst research & technological development actors across Europe*.

In the yearly PADR work programmes, the Commission adopts the calls for proposals. The implementation of the Preparatory Action on Defence Research (PADR) is ongoing, in total 10 calls for proposals were published in 2017, 2018 and 2019. This resulted in the selection for funding of 18 projects. Although, most of the projects are still ongoing, yet we can still draw the following initial conclusions:

- Calls attracted applicants previously not active in defence research.
- Funded projects included the participation of SMEs in 15 consortia.
- The PADR brought together stakeholders mainly from the private sector (64%), as well as research centres (23%) and academia (7%), roughly one-fifth of all applicants in the selected proposals are small or medium-size enterprises (22% SMEs).
- In the PADR 2019 call, the Commission launched for the first time an “open” call on “future disruptive technologies for defence” with the objective of cutting-edge and high-risk/high-impact research that could lead to a disruptive impact in a defence context. This resulted in the selection for funding of three promising projects.

Projects funded by the PADR cover a broad range of technological readiness levels, from proof of concept to demonstration in relevant environment. They also addressed different levels of system integration, from research on components to integration of multiple assets, such as the project OCEAN 2020, grouping 43 partners across the supply chain. The number of applications following the PADR 2019 calls on disruptive technologies showed a large interest of stakeholder; e.g. following the open call, three projects were funded out of more than 50 proposals received. In the framework of the preparatory action, reporting about the action’s performance is not included in the working programme statements. Nevertheless, the PADR will contribute to EDF indicators by setting several of the programme’s baselines, together with data from the EDIDP.

The EDIDP Programme is designed to target the defence sectors problems identified in ex-ante evaluation SWD (2017) 228<sup>2</sup> and its annexes accompanying the legislative proposal of the EDIDP. The evaluation identified following EU defence industry problems where the EDIDP creation could support the change: 1.) *low investments in innovative defence programmes*; 2.) *fragmentation of the defence industry and limited cooperation between undertakings*. Both problems can pose in longer terms substantial risks for the competitiveness of the EU defence industry. Based on the evaluation and intense discussion with the Member States, the EDIDP Working Programme was designed to foster the competitiveness, efficiency and innovation capacity of the European defence industry, to support and leverage cooperation and to ensure that results from the research phase are better exploited in the next phases of the development. Progress on reaching these long-term objectives is reflected in the proposed quantitative milestones (see below).

<sup>2</sup> <https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=SWD:2017:0228:FIN:EN:PDF>

Implementation of the EDIDP is in progress. Following competitive calls for proposals in the years 2019, 16 projects have been selected for funding. After comparison of EDIDP milestones with results of the 2019 EDIDP calls, following initial conclusions can be drawn:

- Due to the substantial oversubscription (only 16 out of 40 received proposals could be retained for funding), the total budget allocated to the 2019 EDIDP calls could be fully consumed.
- The EDIDP calls have boosted cooperation between the Member States and their undertakings, which is clear on exceeding of assumed milestones. The calls for proposals were tailored in close cooperation with the Member States to meet their needs in terms of defence systems and technologies needed for their defence capabilities. This approach paid off, leading to larger consortia populated by entities established in more Member States than anticipated. At the same time, 80% of the 2019 EDIDP budget is allocated to EDIDP projects, which have a link to PESCO projects, i.e., joint projects initiated by Member States. The Regulation promoted such links by awarding a "PESCO-bonus" to such projects to increase the EU funding rate.
- The EDIDP Regulation has also focused on supporting the SMEs, i.e. the European defence industry's critical part. The planned number of SMEs involved in projects was surpassed by close to 40% (83 SMEs participated against a proposed milestone of 60). The EDIDP 2019 Work Programme included a call that was open to consortia composed of SMEs only, in which 21 SMEs received funding. However, 3 out of 4 SMEs receiving EDIDP funding, participate in projects resulting from the thematic calls. The Regulation promoted this involvement by awarding an increase in the EU funding rate for projects that invest in cross-border cooperation with SMEs.
- The share of the projects funded that involve prototyping (i.e. specifically sensitive phase of the project development) was surpassed by 6%, indicating that more than half of the funded projects contain activities related to advanced stages in developing defence systems or technologies.

Following the calls for proposals for the year 2020, 63 proposals have been received (an increase of more than 50% compared to 2019 EDIDP calls) and their evaluation is in progress. The evaluation results will be available in the second half of 2021.

After the finalisation of the first calls at the end of 2020, the impact evaluation of the initiatives foreseen in the EDIDP Regulation will be possible based on a first analysis of the governmental and industrial stakeholders' responses. Moreover, the retrospective evaluation of the EDIDP will be aligned with the interim evaluation of the European Defence Fund 2021-2027 and take place after at least four years of the beginning of the implementation of the latter.

### 3.2. Key achievements

EDIDP		
500 million	26 Member States	37%
is the budget allocated to the EDIDP to support - together with the Member States - the development of defence systems and technologies to be integrated in commonly agreed capabilities.	are countries of origin of the companies participating in proposals submitted to EDIDP calls in 2019.	is the rate of SMEs participating in selected proposals in the consortium during 2019 EDIDP calls.
PADR		
90 million	26 Member States	889 entities
is the budget allocated to support joint defence research projects following calls for proposals published between 2017 and 2019 under the PADR.	and Norway are countries of establishment of entities involved in PADR proposals submitted between 2017 and 2019.	submitted 127 proposals in response to PADR calls between 2017 and 2019, of which 22% applicants were SMEs, 23% research centres and 7% from the academia, while the remainder were large industrial stakeholders.

### 3.3. Evaluations, studies and reports

On 13 June 2018, the Commission adopted the proposal of the programme accompanied by a SWD (2018) 345<sup>3</sup>, which analysed the objectives and the challenges (problems and problem drivers) and offered options as to how to tackle the identified problems. The SWD highlighted the need for an EU initiative aimed at supporting the competitiveness and innovation capacity of the European defence industrial base that will allow strengthening European strategic autonomy and reducing dependencies for key defence competencies and capabilities.

The SWD pointed out that cooperation is an effective way to achieve this since it is likely that the development of a new generation of major defence systems and new defence technologies is increasingly beyond the reach of EU Member States acting on their own and that no single European country can afford to maintain a full spectrum defence industrial base and corresponding defence capabilities on its own. The EU can make a substantive contribution to fostering defence cooperation schemes and provide targeted incentives to support legal entities in developing new defence products and technologies while bearing in mind the specificities of the defence market where solely Member States as end-users create and shape the demand. The SWD concluded that the European defence industry faces significant challenges linked to increasing costs, low investments in defence R&D, fragmentation and limited cooperation and that a single and coherent Fund at EU level providing support for the full cycle of research and development of defence capabilities will bring significant value added by incentivising collaborative defence research and development projects in Europe in key capability areas. It will thus foster the competitiveness of the European defence industry whilst the expected benefits will outweigh the costs.

In this regard, the SWD also concluded that a globally competitive defence industry in Europe is not only important in terms of strategic autonomy and security but also economically significant as European defence companies yield high annual turnovers and are important employers of highly skilled individuals. Furthermore, important synergies exist between the defence and civil sectors. Therefore, Investing in the defence sector produces positives externalities not only in terms of direct creation of high value-added within the EU but also indirect spill-over in other sectors. It will bring benefits to the whole “eco-system” including notably SMEs and Research Institutions, as well as prime contractors.

Inter-institutional negotiations to clear the way for final adoption by the European Parliament and the Council of the proposal for a Regulation establishing the EU Defense Fund Regulation were successfully concluded. In parallel, preparatory works on the EDF Work Programme and discussions with key stakeholders were conducted in 2020 and will be continued.

#### **4. Programme 2021-2027 - Key monitoring indicators**

##### **Specific Objective 1 :Support collaborative research that could significantly boost the performance of future capabilities throughout the Union**

###### **Indicator 1:Participants: Legal entities involved**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	The number of unique entities involved in collaborative Research and Development (R&D) actions financially supported by the European Defence Fund (EDF)
Cut-Off Date	31/12/2023
Data source	European Commission, EDF grant agreements
Link to the objective	Outreach and inclusiveness of the actions financially supported by the EDF, therefore contributing to strengthening and improving the agility of both defence supply and value chains, widening cross-border cooperation between legal entities. This indicator also contributes to the specific objective 2 and the computation takes into account both research and development actions
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	Cumulative count for all the years for which data is available. The breakdown of the number of entities by size, type and country of establishment is also provided.
Full metadata available at this address	
Justification of the trend	N/A

###### **Indicator 2:Collaborative Research: Funded actions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

<sup>3</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52018SC0345>

	Actual Progress										Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number (count) and Value in EUR million of collaborative defence research actions financially supported by the European Defence Fund (EDF)
Cut-Off Date	31/12/2023
Data source	European Commission, EDF grant agreements
Link to the objective	The capacity of the EDF to achieve a genuine effect and efficiently deliver in supporting collaborative defence research that can maximise innovation and introduce new defence products and technologies (including disruptive ones) will strongly depend on the uptake of the Fund.
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	The data is presented as a cumulative value for all research actions funded and cumulative number for all the years for which data is available.
Full metadata available at this address	
Justification of the trend	N/A

### Indicator 3: Collaborative Research: Share of contracts awarded involving collaboration with cross-border SMEs and midcaps

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage (share of the eligible costs of the actions that is allocated to cross-border SMEs and midcaps in research actions)
Cut-Off Date	31/12/2023
Data source	European Commission, EDF grant agreements
Link to the objective	Supporting collaborative actions and cross-border cooperation between legal entities throughout the Union, in particular SMEs and mid-caps as well as strengthening and improving the agility of both defence supply and value chains, widening cross-border cooperation between legal entities.
Link MFF 14-20 / MFF 21-27	MFF 14-20 precursor PADR will provide indication on the target.
Other methodological comments	The data is determined on the basis of the information provided by the beneficiaries. The indicator will present the average share for all the years for which data is available.
Full metadata available at this address	
Justification of the trend	N/A

### Indicator 4: Collaborative Research: Share of recipients that did not carry out research activities with defence applications before the entry into force of the Fund

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
	Milestones										
	Actual Progress										Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of recipients expressed as percentage.
Cut-Off Date	31/12/2023
Data source	European Commission, based on grant agreements and information provided by the beneficiaries on past research activities.
Link to the objective	By attracting and integrating non-traditional players in the defence industrial and technological base, robustness of the supply and expertise base increases. Moreover, synergies between civil and defence research can be exploited with the aim to increase the innovative potential of the defence industry.
Link MFF 14-20 / MFF 21-27	MFF 14-20 precursor PADR will provide indication on the target and will be taken into account as previous research activity with defence applications.
Other methodological comments	The share is based on a cumulative count of (unique) recipients for all the years for which data is already available. Data is partially based on information provided by the beneficiaries.
Full metadata available at this address	
Justification of the trend	N/A

**Indicator 5: Innovation products: New patents deriving from projects financially supported by the Fund**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number (of patent applications and patents awarded deriving from actions financially supported by the EDF).
Cut-Off Date	31/12/2026
Data source	European Commission, based on reports submitted by the beneficiaries.
Link to the objective	The number of patents deriving from actions supported by the EDF provides an indication of the generation of innovative results. Innovations generated in projects targeting defence applications can have spill-over effects to other sectors of the economy. This indicator also contributes to the specific objective 2 and the computation takes into account both research and development actions.
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	Data is gathered during the time where the consortia are subject to reporting obligations. Aggregated distribution of patents amongst mid-caps, SMEs and legal entities that are neither mid-caps nor SMEs and aggregated distribution of patents per Member State will also be provided.
Full metadata available at this address	
Justification of the trend	N/A

**Specific Objective 2 :Support collaborative development of defence products and technologies consistent with defence capability priorities commonly agreed by Member States notably within the Capability Development Plan****Indicator 1: Collaborative capability development: Funded actions that address the capability shortfalls identified in the Capability Development Plan**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number and Value in EUR (million), cumulated over years.
Cut-Off Date	31/12/2023
Data source	European Commission, EDF grant agreements
Link to the objective	The EDF should support collaborative development actions consistent with the defence capability priorities commonly agreed by Member States within the Framework of the Common Foreign and Security Policy and particularly in the context of the Capability Development Plan (CDP), whilst regional and international priorities serving the Union's security and defence interest, may be taken into account.
Link MFF 14-20 / MFF 21-27	N/A
Other methodological comments	The indicator will provide the cumulative number and value (cost of the actions) of funded development actions addressing the capability shortfalls identified in the Capability Development Plan (CDP) and provide a comparison with the overall number and value of the development actions funded.
Full metadata available at this address	
Justification of the trend	N/A

**Indicator 2: Continuous support over the full R&D cycle: Share of projects building on the results of previously EU-supported defence R&D actions.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Share of research and development actions fulfilling the condition within the year relative to the total number of actions supported within the year. The same set of IPR can be counted multiple times across different supported actions.
Cut-Off Date	31/12/2023
Data source	European Commission, grant agreements and information provided by the beneficiaries.
Link to the objective	Support of collaborative research projects, aiming at introducing new defence products and technologies and to the specific objective to support collaborative development projects contributing to greater efficiency of spending and reducing the risk of unnecessary duplication. This indicator also contributes to the specific objective 1 and the computation takes into account both research and development actions.
Link MFF 14-20 / MFF 21-27	Projects supported by MFF 14-20 precursors PADR and EDIDP are considered as previously supported projects.
Other methodological comments	'Previously supported actions' refer to actions financially supported by the EDF, the PADR or the EDIDP for which the grant agreement or contract has been signed before the considered action.
Full metadata available at this address	
Justification of the trend	N/A

### Indicator 3: Job creation / support: Defence R&D employees supported in funded actions

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of Annual Full-time equivalents aggregated over research and development actions, cumulated over years.
Cut-Off Date	31/12/2023
Data source	European Commission, EDF grant agreements
Link to the objective	Continuous support of the European Defence Technological and Industrial Base R&D capacity and of the highly specialised expertise in defence research and development. The number of supported R&D employees is linked to the undertakings' capacity to provide innovative products. This indicator also contributes to the specific objective 1 and the computation takes into account both research and development actions.
Link MFF 14-20 / MFF 21-27	MFF 14-20 precursors PADR and EDIDP will provide indication on the target.
Other methodological comments	The indicator measures the R&D employees costs directly supported within the consortium and subcontractors for the duration of the supported action.
Full metadata available at this address	
Justification of the trend	N/A

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : European Defence Industrial Development Programme

#### Specific Objective 1 : To foster the competitiveness, efficiency and innovation capacity of the EU defence industry, by supporting actions in their development phase

##### Indicator 1: Total value of funded cooperative projects

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
						242,95	497,10			497,10
	Actual Progress									Final
						246,72				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number (count). Value in EUR million.
Cut-Off Date	31/12/2020
Data source	EDIDP Grant Agreements and EDIDP Contribution Agreement signed with OCCAR (for direct

	awards)
Narrative	
Methodology	The milestones are based on the accumulated budget appropriations published in the Commission Implementing Decision on the financing of the EDIDP and the adoption of the Work Programme for the years 2019 and 2020. The actual progress is the accumulated EU budget of the signed EDIDP grant agreements plus the budget appropriations reserved for the direct awards to be managed by OCCAR. The accumulated total eligible costs of the projects consist of the EU budget of the signed EDIDP grant agreements plus the co-funding received from the Member States. These figures are provided in notes below the table.
Link MFF 14-20 / MFF 21-27	The European Defence Industrial Development Programme (EDIDP) supports collaborative defence development actions with an overall budget of EUR 497.1 million over 2019-2020.
Other methodological comments	Data on actual progress for 2019: the accumulated EU budget of the signed EDIDP grant agreements is equal to EUR 200.37 million. The accumulated total eligible costs of these projects, including co-funding from the Member States, equals to EUR 279.11 million. Data for year 2020: will be available during second half of 2021, when the corresponding grant agreements will be concluded. They are listed as non-available (NA) in the table.
Full metadata available at this address	
Justification of the trend	The indicator is on track (the milestone for 2019 has been achieved). There are no sufficient data to analyse the future trend).

### Specific Objective 2 :To support and leverage the cooperation between undertakings, including small and medium-sized enterprises and midcaps, and collaboration between Member States in the development of defence products or technologies.

#### Indicator 1:Average number of Member States in which the undertakings participating in a consortium receiving funding are established

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
						5	5			5
	Actual Progress									Final
						7				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number (Rounded)
Cut-Off Date	31/12/2020
Data source	Signed EDIDP Grant Agreements
Narrative	
Methodology	The calculation includes beneficiaries, linked third parties, and subcontractors involved in the action.
Link MFF 14-20 / MFF 21-27	The European Defence Industrial Development Programme (EDIDP) supports collaborative defence development actions with an overall budget of EUR 497.1 million over 2019-2020.
Other methodological comments	Data for the year 2020 will be available during the second half of 2021 when the corresponding grant agreements will be concluded. They are listed as non-available (NA) in the table.
Full metadata available at this address	
Justification of the trend	The indicator is on track (the milestone for 2019 has been achieved). There are no sufficient data to analyse the future trend.

#### Indicator 2:Average number of companies involved as consortium members in a funded cooperative project

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
						5	5			5
	Actual Progress									Final
						14				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number (Rounded)
Cut-Off Date	31/12/2020
Data source	Signed EDIDP Grant Agreements
Narrative	
Methodology	The calculation includes beneficiaries, linked third parties, and subcontractors involved in the action.
Link MFF 14-20 / MFF 21-27	The European Defence Industrial Development Programme (EDIDP) supports collaborative defence development actions with an overall budget of EUR 497.1 million over 2019-2020.

Other methodological comments	Data for the year 2020 will be available during the second half of 2021 when the corresponding grant agreements will be concluded. They are listed as non-available (NA) in the table.
Full metadata available at this address	
Justification of the trend	The indicator is on track (the milestone for 2019 has been achieved). There are no sufficient data to analyse the future trend.

### Indicator 3: Number of SMEs involved in projects funded

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
						60	120			120
	Actual Progress									Final
						83				

Are we on track	On track
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	31/12/2020
Data source	Signed EDIDP Grant Agreements
Narrative	
Methodology	The calculation includes beneficiaries, linked third parties, and subcontractors involved in the action.
Link MFF 14-20 / MFF 21-27	The European Defence Industrial Development Programme (EDIDP) supports collaborative defence development actions with an overall budget of EUR 497.1 million over 2019-2020.
Other methodological comments	Data for the year 2020 will be available during the second half of 2021 when the corresponding grant agreements will be concluded. They are listed as non-available (NA) in the table.
Full metadata available at this address	
Justification of the trend	The indicator is on track (the milestone for 2019 has been achieved). There are no sufficient data to analyse the future trend.

## Specific Objective 3 :To foster better exploitation of the results of defence research and contribute to closing the gaps between research and development.

### Indicator 1: Share of the projects funded that involve prototyping

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
						50	50			50
	Actual Progress									Final
						56				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage (rounded)
Cut-Off Date	31/12/2020
Data source	Signed EDIDP Grant Agreements
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	The European Defence Industrial Development Programme (EDIDP) supports collaborative defence development actions with an overall budget of EUR 497.1 million over 2019-2020.
Other methodological comments	The 9 out of the 16 projects involve prototyping. Data for the year 2020 will be available during the second half of 2021 when the corresponding grant agreements will be concluded. They are listed as non-available (NA) in the table.
Full metadata available at this address	
Justification of the trend	The indicator is on track (the milestone for 2019 has been achieved). There are no sufficient data to analyse the future trend.

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

Not applicable

### 6.2. Contribution to biodiversity mainstreaming

Not applicable

**6.3. Contribution to clean air financing**

Not applicable

**6.4. Contribution to gender equality**

Not applicable

**6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING 6: Neighbourhood and the World****Neighbourhood, Development and International Cooperation Instrument - Global Europe ( NDICI - Global Europe )****Lead DG:INTPA**

Associated DGs:ECFIN, REGIO, EAC, FPI, NEAR

1. Overview .....	1086
1.1. Challenges .....	1086
1.2. Mission (general objectives) .....	1086
1.3. Specific objectives .....	1086
1.4. Public intervention context .....	1087
1.5. Actions .....	1088
1.6. Delivery mode .....	1088
1.7. Graphic overview of the programme structure .....	1088
1.8. Legal basis and financial programming .....	1089
1.9. Link with the 2014-2020 MFF .....	1090
1.10. Relevant websites providing more information .....	1090
2. Where are we in the implementation ? .....	1090
2.1. Programme 2021-2027 .....	1090
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1105
3. How is the programme performing ? .....	1117
3.1. Performance .....	1117
3.2. Key achievements .....	1130
3.3. Evaluations, studies and reports .....	1154
4. Programme 2021-2027 - Key monitoring indicators .....	1154
Specific Objective 1 :To support and foster dialogue and cooperation with third countries and regions in the Neighbourhood, in Sub-Saharan Africa, in Asia and the Pacific, and in the Americas and the Caribbean; to develop special strengthened partnerships and enhanced political cooperation with the European Neighbourhood, founded on cooperation, peace and stability and a shared commitment to the universal values of democracy, rule of law and respect for human rights, and aiming at deep and sustainable democracy and progressive socio-economic integration as well as people-to-people contacts .....	1154
Specific Objective 2 :At global level, to protect, promote and advance human rights, including gender equality and the protection of human rights defenders, including in the most difficult circumstances and urgent situations, democracy, and the rule of law, including accountability mechanisms, to support civil society organisations, to further stability and peace, prevent conflict, thereby contributing to the protection of civilians, to address other global challenges such as, climate change, protection of biodiversity and the environment, as well as migration and mobility; .....	1155
Specific Objective 3 :To respond rapidly to: situations of crisis, instability and conflict including those which may result from migratory flows and forced displacement and hybrid threats; resilience challenges, including natural and man-made disasters, and linking of humanitarian aid and development action; as well as the Union's foreign policy needs and priorities .....	1159
5. Programme 2014-2020 - Key monitoring indicators .....	1161
Previous Program 1 : European Neighbourhood Instrument (ENI) .....	1161
General Objective 1 :Establishing an area of shared prosperity and good neighbourliness involving the Union and the partner countries by developing a special relationship founded on cooperation, peace and security, mutual accountability and shared commitment to universal values of democracy, the rule of law and respect for human rights in accordance with the Treaty on EU .....	1161
Specific Objective 1 :Promoting human rights and fundamental freedoms, the rule of law, principles of equality and fight against discrimination in all its forms, establishing deep and sustainable democracy, promoting good governance, fight against corruption, strengthening institutional capacity at all levels and developing a thriving civil society including social partners. ....	1163
Specific Objective 2 :Achieving progressive integration into the Union internal market and enhanced sector and cross-sectoral cooperation including through legislative approximation and regulatory convergence towards Union and other relevant	

international standards and improved market access including through deep and comprehensive free trade areas, related institution building and investments, notably in interconnections. ....	1164
Specific Objective 3 :Creating conditions for the better organisation of legal migration and the fostering of well managed mobility of people, for the implementation of existing or future agreements concluded in line with the Global Approach to Migration and Mobility, and for promotion of people-to-people contacts, in particular in relation to cultural, educational, professional and sporting activities. ....	1165
Specific Objective 4 :Supporting smart, sustainable and inclusive development in all aspects; poverty reduction, including through private-sector development and reduction of social exclusion; promotion of capacity building in science, education and in particular higher education, technology, research and innovation; promotion of internal economic, social and territorial cohesion; rural development; public health; environmental protection, climate action and disaster resilience. ....	1166
Specific Objective 5 :Promoting confidence building, good neighbourly relations and other measures contributing to security in all forms and the prevention and settlement of conflicts, including protracted conflicts. ....	1167
Specific Objective 6 :Enhancing sub-regional, regional and Neighbourhood wide collaboration as well as Cross-Border Cooperation. ....	1168
Previous Program 2 : European Instrument for Democracy and Human Rights (EIDHR) .....	1170
General Objective 1 :Enhancing the respect for and observance of human rights and fundamental freedoms, as proclaimed in the Universal Declaration of Human Rights and other international and regional human rights instruments, and strengthening their protection, promotion, implementation and monitoring, mainly through support to relevant civil society organisations, human rights defenders and victims of repression and abuse. ....	1170
General Objective 2 :Supporting, developing and consolidating democracy in third countries, by enhancing participatory and representative democracy, strengthening the overall democratic cycle, in particular by reinforcing an active role for civil society within this cycle, the rule of law and improving the reliability of electoral processes, in particular by means of election observation missions. ....	1171
Specific Objective 1 :Support to Human Rights and Human Rights Defenders in situations where they are most at risk. ....	1171
Specific Objective 2 :Support to other priorities of the Union in the fields of human rights .....	1172
Specific Objective 3 :Support to Democracy. ....	1173
Specific Objective 4 :EU Election Observation Missions. ....	1174
Specific Objective 5 :Support to targeted key actors and processes, including international and regional human rights instruments and mechanisms. ....	1175
Previous Program 3 : Instrument contributing to Stability and Peace .....	1176
General Objective 1 :To provide direct support for the Union's external policies by increasing the efficiency and coherence of the Union's actions in the areas of conflict prevention, crisis preparedness and crisis response and peace-building, and in addressing global and transregional threats. ....	1176
Specific Objective 1 :In a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's external policies and actions in accordance with Article 21 TEU. ....	1177
Specific Objective 2 :To contribute to the prevention of conflicts and to ensuring capacity and preparedness to address pre- and post-crisis situations and build peace. ....	1177
Specific Objective 3 :To address specific global and trans-regional threats to peace, international security and stability. ....	1178
Previous Program 4 : Partnership instrument for cooperation with third countries (PI) .....	1179
General Objective 1 :The Partnership Instrument shall support measures that respond in an effective and flexible manner to objectives arising from the Union's bilateral, regional or multilateral relationships with third countries and address challenges of global concern, or ensure an adequate follow-up to decisions taken at multilateral level. ....	1179
Specific Objective 1 :To support the Union's bilateral, regional and inter-regional cooperation partnership strategies, by promoting policy dialogues and by developing collective approaches and responses to challenges of global concern. ....	1179
Specific Objective 2 :Implementing the international dimension of .....	1181
Specific Objective 3 :Improving access to third country markets and boosting trade, investment and business opportunities for European companies, while eliminating barriers to market access and investment, by means of economic partnerships, business and regulatory cooperation. ....	1182
Specific Objective 4 :Enhancing widespread understanding and visibility of the Union and its role on the world scene by means of public diplomacy, people to people contacts, education/academic/think tank cooperation and outreach activities to promote the Union's values and interests. ....	1183
Previous Program 5 : Development Cooperation Instrument (DCI) .....	1184

General Objective 1 :Fostering the sustainable and inclusive development in partner countries and regions and the promotion of democracy, the rule of law, good governance and respect for human rights, as foreseen in the TEU, with the primary aim of eradicating poverty.....	1184
Specific Objective 1 :Poverty reduction and fostering sustainable economic, social and environmental development. ....	1185
Specific Objective 2 :Consolidating and supporting democracy, the rule of law, good governance, human rights and the relevant principles of international law.....	1188
Previous Program 6 : European Fund for Sustainable Development (EFSD).....	1189
6. The programme contribution to horizontal policies .....	1190
6.1. Contribution to climate mainstreaming.....	1190
6.2. Contribution to biodiversity mainstreaming.....	1192
6.3. Contribution to clean air financing.....	1194
6.4. Contribution to gender equality .....	1194
6.5. Contribution to the sustainable development goals.....	1196

## **1. Overview**

### **1.1. Challenges**

The challenges that need to be tackled by external action have increased over recent years. Rising fragility, instability and conflicts, persistence of authoritarian regimes, poor governance, hostile influence campaigns and disinformation, terrorism, violations of human rights and freedoms, inequalities, including gender inequalities and gender based violence, growing migratory pressures are all part of a complex reality that has been compounded by pandemics, population growth, climate change and environmental degradation. At the same time, the diversity of partners with which the EU cooperates has become much more apparent. Some partners, including some with large populations, are graduating out of the Development Assistance Committee's official development assistance (ODA) eligibility criteria. Other countries have made progress on poverty reduction, only to see it eroded due to economic and environmental shocks, notably in relation to COVID-19. Others are least developed countries that remain locked in fragility and poverty.

The Neighbourhood, Development and International Cooperation Instrument (NDICI) provides for a new broad framework through which the EU can address this evolving landscape and meet expectations and international commitments. With a coherent set of principles, the instrument will allow the EU to pursue and achieve its policy objectives and overcome gaps, overlaps and inconsistencies that exist between today's multitude of geographic and thematic instruments. One broad instrument does not mean a single policy. On the contrary, it will be an enabler for EU action around the world, without boundaries and across themes, depending on the needs of the different countries and regions. More flexibility will enable the EU to react swiftly to evolving needs and priorities, and a simplified management structure will reduce the administrative burden for EU institutions, Member States and implementing partners.

### **1.2. Mission (general objectives)**

The objective of the NDICI is to uphold and promote the Union's values, principles and fundamental interests worldwide in order to pursue the objectives and principles of its external action, as laid down in Article 3(5), Articles 8 and 21 of the Treaty on European Union (TEU). The NDICI thus contributes to the reduction and, in the long term, the eradication of poverty, consolidating, supporting and promoting democracy, the rule of law and respect for human rights, sustainable development and the fight against climate change and addressing irregular migration and forced displacement, including their root causes..

The NDICI will contribute to the promotion of multilateralism, the achievement of the international commitments and objectives that the Union has agreed to, in particular the 2030 Agenda and its Sustainable Development Goals, and the Paris Agreement. It will promote stronger partnerships with third countries, including with the European Neighbourhood based on mutual interests and ownership with a view to fostering stabilisation, good governance and building resilience.

### **1.3. Specific objectives**

The specific objectives of the NDICI are:

1. to support and foster dialogue and cooperation with third countries and regions in the Neighbourhood, in Sub-Saharan Africa, in Asia and the Pacific, and in the Americas and the Caribbean; to develop special strengthened partnerships and enhanced political cooperation with the European Neighbourhood, founded on cooperation, peace and stability and a shared commitment to the universal values of democracy, rule of law and respect for human rights, and aiming at deep and sustainable democracy and progressive socio-economic integration as well as people-to-people contacts;

2. at global level, to protect, promote and advance human rights, including gender equality and the protection of human rights defenders, including in the most difficult circumstances and urgent situations, democracy, and the rule of law, including accountability mechanisms, to support civil society organisations, to further stability and peace, prevent conflict, thereby contributing to the protection of civilians, to address other global challenges such as, climate change, protection of biodiversity and the environment, as well as migration and mobility;

3. to respond rapidly to: situations of crisis, instability and conflict including those which may result from migratory flows and forced displacement and hybrid threats; resilience challenges, including natural and man-made disasters, and linking of humanitarian aid and development action; as well as the Union's foreign policy needs and priorities.

Specific Objectives of NDICI are aligned for DG INTPA with the Specific Objectives (SO) defined in its Strategic Plan<sup>1</sup> 2020-2024. First Specific Objective covers all 16 SOs of the Strategic Plan, the second Specific Objective covers SO 3 to 16 of the Strategic Plan, and SO 3 of NDICI corresponds to SO 15 of the Strategic Plan.

Under the NDICI, priorities would be strengthened through horizontal spending targets:

- At least 93% of Official Development Assistance (ODA)
- At least 20% of the Official Development Assistance (ODA) spending dedicated to human development and social inclusion;
- At least 85 % of new actions implemented under this Regulation, should have gender equality as a principal or a significant objective, as defined by the gender equality policy marker of the OECD DAC. At least 5% of these actions should have gender equality and women's and girls' rights and empowerment as a principal objective.
- 30% for climate change objectives; while contributing to the ambition of providing 7,5 % of annual spending under the Multiannual Financial Framework to biodiversity objectives in the year 2024 and 10 % of annual spending under the Multiannual Financial Framework to biodiversity objectives in 2026 and 2027, while considering the existing overlaps between climate and biodiversity goals.
- Indicatively 10% to support management and governance of migration and forced displacement, as well as to address the root causes of irregular migration and forced displacement when they directly target specific migration challenges.

#### 1.4. Public intervention context

Part Five, Title III, Chapters 1 and 2 of the Treaty on the Functioning of the European Union, provides the legal framework for cooperation with partner countries and regions, for which the EU and its Member States have **shared competences**. The NDICI legislative proposal is based on Articles 209, 212 and 322 of the Treaty on the Functioning of the European Union. It is presented by the Commission in accordance with the ordinary legislative procedure laid down in Article 294 of the Treaty on the Functioning of the European Union and takes the form of a Regulation, ensuring its uniform application, binding nature in its entirety and direct applicability. In line with the principle of proportionality, the proposed Regulation does not go beyond what is necessary to achieve its objectives.

The EU is in a unique position to deliver external assistance for a number of reasons. Its status as a supranational entity brings with it political influence and consequent leverage. The EU has a global presence through its Delegations, which ensures a vast network of information on developments affecting countries worldwide. The EU is also a party to most multilateral processes aiming at addressing global challenges. This allows the EU to be constantly aware of new needs and problems and, therefore, to reallocate

<sup>1</sup> **SO 1** - A new partnership agreement with the countries of the Organisation of African, Caribbean and Pacific States (OACPS) is concluded and operationalised; **SO 2** - A new joint AU-EU Partnership agenda is concluded and operationalised; **SO 3** - A Team Europe approach is strengthened by working better together with EU Member States in joint programming and joint implementation; **SO 4** - Sustainable Partnerships with International Financial Institutions (IFIs), the UN and other multilateral partners around EU Priorities are built; **SO 5** - Partner Countries capacities to adapt to climate change and reduce greenhouse gas emissions are increased; **SO 6** - An ambitious agenda for the conservation, restoration and sustainable management of natural resources and ecosystems, and for halting biodiversity loss and wildlife crime is adopted and implemented; **SO 7** - A partnership for a global green energy transition from fossil fuels to sustainable energy is mobilised; **SO 8** - Partner countries capacities in the transition toward green and circular economies are strengthened; **SO 9** - Digital governance, policy and regulatory frameworks are improved and digital infrastructure and affordable and secure broadband connectivity are enhanced; **SO 10** - The digital skills of individuals needed to fully capitalise on the digital transformation are improved; **SO 11** - The provision and quality of public and private digital services in partner countries are improved; **SO 12** - Mobilisation of public and private financing for sustainable development is enhanced contributing to decent jobs creation, and the reduction of inequalities; **SO 13** - Comprehensive and balanced Migration Partnerships with priority partner countries are supported in line with sustainable development and poverty reduction goals; **SO 14** - Human development for all is improved, in particular for youth, women and girls, and the most marginalised and vulnerable populations; **SO 15** - Governance, resilience and peace building is enhanced through all available instruments in fragile countries or affected by/under risk of conflict; **SO 16** - Promotion and protection of human rights and fundamental freedoms; equality, democracy and the rule of law are enhanced and civil society participates in democratic and development processes in an enabling environment

resources accordingly. The EU has the opportunity to establish dialogue and cooperation with international and regional organisations, and can provide added value based on the volume of resources channelled through its instruments, its relatively flexible modes of management and the predictability of resources over the period of the Multi-annual Financial Framework.

Coordination between EU action and the actions carried out by the Member States are increasing, taking the form of joint programming and joint implementation, where possible, as part of the Team Europe approach. This also enhances and facilitates dialogue and cooperation with partner countries. The NDICI supports the implementation of the reviewed European Neighbourhood Policy (ENP), which requires from EU institutions and Member States a mutual duty of cooperation. The EU is also able to complement Member States activities in dealing with crisis or in the event of particularly costly interventions. In some areas where Member States are not active, the EU remains the main, and sometimes the only actor to intervene. This is the case, for instance, in sensitive contexts such as the defence of human rights and electoral observation missions.

## 1.5. Actions

The NDICI will have three components:

1. a geographic pillar, which will cover cooperation with the European Neighbourhood, sub-Saharan Africa, Asia and the Pacific and the Americas and the Caribbean. This will account for at least 75% of the total funds available under the NDICI;
2. a worldwide thematic pillar that will complement the geographic pillar with specific programmes on human rights and democracy; civil society organisations, peace, stability and conflict-prevention as well as global challenges.
3. a worldwide rapid response pillar to contribute to: peace, stability and conflict prevention; strengthening resilience and linking humanitarian aid and development action; and addressing EU foreign policy needs and priorities.

The NDICI will also include an emerging challenges and priorities ‘cushion’, which will provide the opportunity to top-up any of the three pillars with extra resources, as and when necessary, thus enhancing the EU’s capacity to respond effectively.

Under the specific provisions for the Neighbourhood area, the NDICI would support implementation of the performance-based approach through supplementary allocations to the partner countries listed in NDICI Annex I and contribute to cross-border cooperation programmes.

The NDICI will contain an investment framework for external action to raise additional financial resources for sustainable development from the private sector. It will consist of the European Fund for Sustainable Development (EFSD+), which is part of the External Action Guarantee, with the aim to:

- support micro enterprises and SMEs;
- promote decent job creation;
- strengthen public and private infrastructure;
- foster the green and digital transition;
- foster renewable energy and sustainable agriculture, etc.;

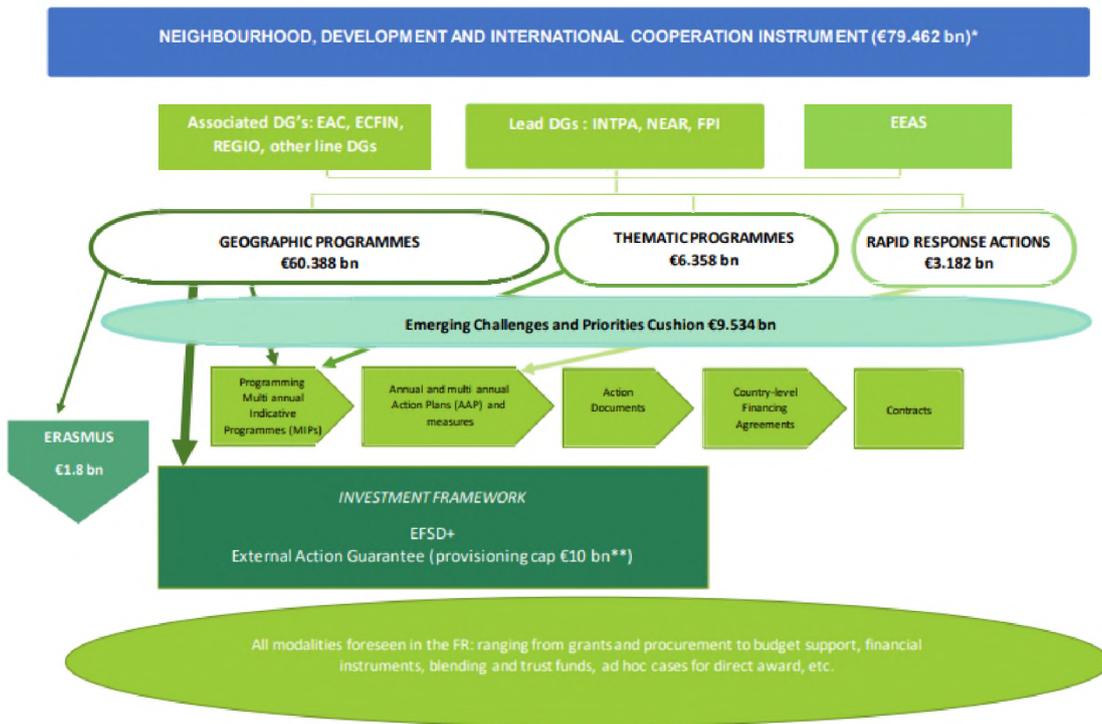
Together with the private sector and thanks to the leverage effect, this may mobilise more than half a trillion euro in investments for 2021-2027. To ensure that the EU supports those countries that need it most, particular attention is given to addressing investment needs in the Neighbourhood, Africa, as well as in countries experiencing fragility or conflict, least-developed countries and highly indebted poor countries, as well as on regions with critical infrastructure and connectivity needs.

## 1.6. Delivery mode

Direct management by the Commission from Headquarters and/or through the Union Delegations and under indirect management by entities, such as the EU member States agencies or international organisations, that ensure a level of protection of the EU’s financial interests equivalent to that under direct management. Indirect management may also be entrusted to partner countries or the bodies they designate. Innovative financial instruments including in partnership with the European Investment Bank, Member States’ financial institutions and other international financial institutions will be used for blending activities.

The lead services involved in implementing the instrument are DG INTPA, DG NEAR, and FPI, in cooperation with the EEAS and other Commission services, especially on external dimensions of internal policies like climate, environment, education, energy and digital.

## 1.7. Graphic overview of the programme structure



\*Min. 93% of Official Development Assistance (ODA) eligibility  
 \*\* from NDICI and IPA envelopes

Final structure of external instruments for the 2021-27 period

Total Heading VI: €110.597 bn in current prices

NEIGHBOURHOOD, DEVELOPMENT AND INTERNATIONAL COOPERATION INSTRUMENT (€79.462 bn)*						Acronyms: bn: billion GD: Greenland OCT: Overseas Countries and Territories
GEOGRAPHIC PROGRAMMES (€60.388 bn)		THEMATIC PROGRAMMES (€6.358 bn)		RAPID RESPONSE ACTIONS (€3.182 bn)		
European Neighbourhood (at least €19.323 bn)		Human Rights & Democracy (€1.362 bn)		a) Peace, stability and conflict prevention in situations or urgency, emerging crisis, crisis and post-crisis, including those which may result from migratory flows and forced displacement  b) Strengthening resilience and linking humanitarian aid and development action and, where relevant, peacebuilding  c) Union foreign policy needs and priorities		
Sub-Saharan Africa (at least €29.181 bn)		Civil Society Organisations (€1.362 bn)				
Asia and the Pacific (€8.489 bn)		Peace, Stability and Conflict Prevention (€0.908 bn)				
Americas and the Caribbean (€3.395 bn)		Global Challenges (€2.726 bn)				
Emerging Challenges and Priorities Cushion (€9.534 bn)						Pre-Accession (€14.2 bn)
Margin (€ 0.684 bn)	Other (€ 1.242 bn)	European Instrument for Nuclear Safety (€0.3 bn)	CFSP (€2.679 bn)	Humanitarian Aid (€11.569 bn)	European Peace Facility (€5 bn)*	
		OCT + GD (€0.5 bn)	*not included in the budget			

\*Min. 93% of Official Development Assistance (ODA) eligibility

**NDICI TARGETS** 30% of total amount for climate-related actions, at least 20% of ODA-eligible funds for social inclusion and human development (including basic social services), indicatively 10% of total amount for migration-related actions, at least 85% of actions scoring G1 or G2 at the DAC gender equality marker (of which at least 5% for G2).



1.8. Legal basis and financial programming

1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
-------------	-----------------------	--------------------------------

Procedure 2018/0243/COD COM (2018) 460: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Neighbourhood, Development and International Cooperation Instrument	2021 - 2027	79 461,7
--	-------------	----------

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	<b>12 071,1</b>	<b>12 526,6</b>	<b>11 962,4</b>	<b>11 370,8</b>	<b>10 751,0</b>	<b>10 102,1</b>	<b>10 575,0</b>	<b>79 359,2</b>

### 1.8.4. Financial programming explanation

The Financial Programming for NDICI follows the overall reference amount as provided in the MFF package and the annual profile for Heading 6 - 'Neighbourhood and the World'.

The initial total amount of EUR 79 462 million for NDICI for the period 2021-2027 has been decreased by EUR 111,9 million (EUR 15,988 million per year) for the transfer of certain staff in EU Delegations from the Commission to the EEAS, as described in Amending letter 1/2021. A reinforcement of the Southern Neighbourhood line by EUR 10,2 million (from the margin) was agreed in conciliation for the year 2021 to increase support for UNWRA. The Commission proposes with DB 2022 and additional transfer of certain staff in EU Delegations from the Commission to the EEAS in the total amount of EUR 904 320 for 2021-2027.

The overall programmed amount for NDICI is therefore EUR 79 359 million for the period 2021-2027.

### 1.9. Link with the 2014-2020 MFF

The lessons learned from the 2014-2020 MFF show that the EU external action instruments are relevant and delivering results. For the 2021-2027 MFF, it was therefore proposed to build on the activities formerly covered under the 2014-2020 instruments, and mainly focus on how the instruments operate. In particular, the NDICI streamlines a number of the EU's external action instruments into one instrument (including the Common Implementing Regulation, the Development Cooperation Instrument (DCI), the (off-budget) European Development Fund (EDF), the European Fund for Sustainable Development (EFSD), the main part of the External Lending Mandate (ELM), the European Neighbourhood Instrument (ENI), the European Instrument for Democracy and Human Rights (EIDHR), the main part of the provisioning for the Guarantee Fund for external action, the Instrument contributing to Stability and Peace (IcSP), and the Partnership Instrument (PI)).

Having a streamlined system would allow the relevant EU institutions to have a better, more comprehensive view of external action and better deliver on results. The challenges faced by the EU often cannot be met within geographic and thematic boundaries. To respond to these challenges, a broad instrument would provide a more comprehensive approach, facilitating the implementation of different policies in a trans-regional, multi-sectoral and global way.

The flexibility features introduced in the NDICI are inspired by the European Development Fund and will be extended to all regions covered by the new instrument. Building on the experience of the EU's External Investment Plan, the EFSD+ and the External Action Guarantee (EAG) will support innovative financial instruments to raise additional financial resources for sustainable development from the private sector. Existing flexibilities for crisis response will be consolidated.

### 1.10. Relevant websites providing more information

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

In the NDICI programming exercise, Commission services and EEAS work together. This exercise has been officially launched by DG INTPA, DG NEAR, the EEAS and FPI early November 2020 and should be concluded by end 2021 with the adoption of geographic and thematic multi-annual programming documents (MIPs).

Consultations are currently taking place at country, regional and Brussels/global levels as per NDICI programming guidelines. Final draft MIPs will be prepared by end May in view of organising the geopolitical dialogue with the European Parliament of September. Then final MIPs should be submitted to the NDICI comitology in view of their adoption end 2021. The country, regional and thematic coordination team meetings, gathering Commission DGs and services to discuss programming should be co-organised by the EEAS, INTPA and NEAR in March and April. The Inter-service consultations for MIPs should be launched in September/October.

The thematic MIP for ERASMUS+ (which will also cover Instrument for Pre-Accession (IPA) III countries) should be adopted by the summer.

### **NDICI Geographic programmes:**

#### **Neighbourhood:**

##### **Southern Neighbourhood**

The year 2021 will represent a transition on many fronts, with the expected entry into force of the new instrument and the 2021-2027 MFF which will support the implementation of the new Commission priorities, in a context which is still very impacted by the COVID-19 crisis and its socio-economic consequences. The new spending targets on climate change, human development and social inclusion, and migration require a rethinking of the approach and programmes in some partner countries.

The financial assistance to the Neighbourhood South in 2021 will build on previous cooperation as well as on measures aiming to mitigate the long-term impact of the pandemic through a sustainable recovery, and reflecting Commission's priorities, such as the Green Deal and an Economy that works for people. There will be a special focus on youth, which has been severely impacted, and further support to the health systems, including vaccines. Neighbourhood South programmes will integrate the priorities defined in the Communication for a renewed partnership with the South and the work on the Joint Documents.

Migration will continue to be a core element in relations with partners in the Neighbourhood South. Most partner countries of this region are origin, transit and destination of mixed migration. Whilst many challenges remain, including forced displacement, irregular movements to Europe and the need to ensure international protection, migration and mobility must be factored into cooperation with partner countries. In September 2020, the European Commission launched a New Pact on Migration and Asylum, where the EU's relationship with third countries is indicated as essential to achieve an effective migration policy in Europe. In this context, migration needs to be integrated consistently in cooperation with partner countries in bilateral assistance, but also through dedicated programmes for the region.

In the Middle East the context is marked by conflict, displacement, inequalities, limited growth, large unemployment, environmental degradation and lack of structural reforms, and it has been aggravated by the pandemic. Programmes in 2021 will contribute to addressing these negative consequences and putting the countries on a sustainable recovery path.

In 2021 the following annual plans covering the Neighbourhood South are expected to be submitted for approval and adoption (6 Annual Action Plans (AAPs), 1 Regional Action Plan (RAP) and 3 Special Measures).

- **Palestine**<sup>2</sup> AAP 2021, is expected to be on governance and fiscal consolidation, sustainable service delivery, support to Palestinian refugees through United Nations Relief and Works Agency (UNRWA, support to East Jerusalem, access to self-sufficient water and energy services and sustainable economic development.
- **Lebanon** AAP 2021 envisages support to reforms and alignment with the priorities of the Reform, Recovery and Reconstruction Framework on governance and accountability, jobs and economic opportunities, social protection, and services and infrastructure.
- **Jordan** AAP 2021 aims to focus on green growth, private sector development, social protection, and support to justice and security sector reforms, including through support to their digitalisation.
- **Syria** Special Measure 2021 aims to focus on supporting resilience, social cohesion and inclusiveness, rights protection, and empowering grassroots change.
- **Israel** Special Measure 2021 is expected to continue promoting the legislative and regulatory approximation in sectors of mutual interest through Twinning projects.
- In **Libya** the Special Measure 2021 is expected to be articulated around 2 pillars: economic and democratic governance, both supporting the respective tracks of the Berlin Process.
- As a result of the refusal of the Egyptian Government to sign the Financing Agreements for the three projects approved in the AAP 2019 before the end of 2020, it is expected that no further funding will be allocated to **Egypt** in 2021. In the event that it is considered preferable to allocate funding for Egypt
  - in 2021, this could focus on water reforms, and support to civil society.
- **Morocco** AAP 2021 is expected to focus on four areas: financial inclusion, public administration reform, social protection and the Green Moroccan Plan.
- **Tunisia** AAP 2021 is expected to focus on security and border management, economic governance, environment and social cohesion.
- **Algeria** AAP 2021 aims to continue supporting the economic diversification and focusing on building blocks of green and inclusive economic recovery at national and local level.

<sup>2</sup> This designation shall not be construed as recognition of a State of Palestine and is without prejudice to the individual positions of the Member States on this issue.

- The **Neighbourhood South** RAP 2021 is expected to focus on those areas where regional action has an added value, is of mutual interest for the EU and the Southern partners and complements bilateral actions. The regional programme foresees support in four key areas: (i) an economy that works for people focused on job creation; (ii) a Green Deal in maritime transport and energy connectivity; (iii) human development; and (iv) security cooperation on civil protection and border security.

### Eastern Neighbourhood

The 2021 programming exercise follows the finalisation of the Eastern Partnership “20 deliverables for 2020” agenda and will be guided by the post-2020 policy framework outlined in the Joint Communication “Eastern Partnership policy beyond 2020: Reinforcing Resilience - an Eastern Partnership that delivers for all”<sup>3</sup> adopted on 18 March 2020.

The programmes prepared in 2021 are expected to support the five long-term policy objectives outlined in the Joint Communication: (1) resilient and integrated economies; 2) rule of law and security; 3) green transition; 4) digital transformation; and 5) inclusive societies), including cross-cutting themes. The social and economic recovery from the pandemic will be a key priority, as well as health which for the first time becomes part of the EaP policy.

Programming priorities for 2021 are being also shaped on the basis of the Association Agendas and Partnership Priorities and of the multi-annual programming documents for the period 2021-2027, which are currently being prepared for Armenia, Azerbaijan, Georgia, Moldova, Ukraine and Regional East. In the case of Belarus, where no agreement on Partnership Priorities has been reached, it is expected to continue using special measures.

In 2021 the following annual plans covering the Neighbourhood East are planned to be sent for approval and adoption (5 AAPs, 1 RAP and 1 Special Measure).

- **Ukraine** AAP 2021 is expected to include actions under the four priority areas mentioned in the (draft) Multi-annual Indicative programme: (i) green, digital and resilient economy, (ii) good governance, (iii) societal resilience and response to conflict, and (iv) human capital development including support of the healthcare system. The AAP 2021 foresees a Technical Cooperation Facility to support the implementation of the Association Agreement and key reform areas.
- **Georgia** AAP 2021 intends to complement the support for the Georgian economy provided under the AAP 2020 and to help the country pursue innovation and sustainability while building a more resilient society and economy after the COVID-19 pandemic.
- **Moldova** AAP 2021 is expected to have a strong focus on economy and education, which are considered key to the COVID-19 recovery process. Also, the AAP is expected to support public administration, security, the green and digital transitions, civil society, strategic communication, and the participation of Georgia in EU programmes.
- **Armenia** AAP 2021 envisages a strong focus on resilience and economic recovery following the COVID-19 pandemic and recent hostilities over the Nagorno-Karabakh conflict.
- **Azerbaijan** AAP 2021 foresees the EU Multi-sectoral Resilience Facility, which aims to respond to socio-economic challenges emerged from the pandemic as well as the Nagorno-Karabakh conflict.
- **Belarus** 2021 Special Measure is expected to build on the Special Measure 2020, focusing on civil society, independent media, youth, SMEs and health.
- The **Neighbourhood East** RAP 2021 is foreseen to complement bilateral actions, by targeting issues that are better addressed at the regional level, including social and economic recovery needs deriving from the COVID-19 pandemic. While the plan will follow up on the five specific objectives from the EaP Joint Communication and will place a special focus on reinforcing the green and digital transformation, further actions will be foreseen also as regards other EU regional policies such as Northern Dimension and the Black Sea Synergy.

### Sub-Saharan Africa:

Under the geopolitical ambition and political guidelines set by the President of the European Commission, and without prejudice to the respective roles of the EEAS and the Commission in programming,<sup>4</sup> DG INTPA leads on international cooperation, building partnerships with countries and organisations across the globe. DG INTPA closely coordinates with Member States under a strong Team Europe approach to support the EU’s global agenda.

In 2021, DG INTPA will continue to support, through international partnerships, the Commission priorities through a great number of initiatives including, *inter alia*, the adoption, operationalisation and implementation of the new external financing instruments for the 2021-2027 period, notably the NDICI.

<sup>3</sup> [https://eeas.europa.eu/headquarters/headquarters-homepage\\_en/76166/Joint%20Communication:%20Eastern%20Partnership%20policy%20beyond%202020:%20Reinforcing%20Resilience%20-%20an%20Eastern%20Partnership%20that%20delivers%20for%20all](https://eeas.europa.eu/headquarters/headquarters-homepage_en/76166/Joint%20Communication:%20Eastern%20Partnership%20policy%20beyond%202020:%20Reinforcing%20Resilience%20-%20an%20Eastern%20Partnership%20that%20delivers%20for%20all)

<sup>4</sup> as set out in the Council decision 2010/427/EU of 26 July 2010 establishing the organisation and functioning of the EEAS and the 2012 Working arrangements between Commission services and the EEAS in relation to external relations issues (SEC(2012)48).

Despite the COVID-19 pandemic, long-term strategic priorities must remain at the forefront of the partnership with Africa. The green transition, digital transformation, sustainable investment and jobs, migration and mobility, peace, security and governance, as laid out in the Joint Communication “Towards a Comprehensive Strategy with Africa”<sup>5</sup> and supported by the Council Conclusions on Africa of June 2020, remain relevant for the post-COVID recovery.

In 2021, the EU, its Member States, their national development finance institutions, and development/implementation agencies, as well as European financial institutions will work even closer together in implementing EU external policy and development cooperation. The “Team Europe” approach was launched at the occasion of the external response to the COVID-19 crisis as an important way to showcase the EU’s global influence and leadership, as well as tangible solidarity to partner countries. In the course of 2021, EU Delegations will prepare draft Multi-annual Indicative Programme (MIPs) including “Team Europe Initiatives” in cooperation with partner countries.

In Africa, new prospects and challenges are emerging from economic, political, social, technological, demographic, climate and environmental changes. We need to partner with Africa to tackle together the challenges of the 21st century and to pursue our common interests including, among others, developing a green growth model; improving the business environment and investment climate; boosting education, research and innovation, creating decent jobs; maximising the benefits of regional economic integration and trade; ensuring food security and rural development; combatting climate change; ensuring access to sustainable energy and protecting biodiversity and natural resources; promoting peace and security; ensuring well-governed migration and mobility; promoting human rights, democracy, rule of law and gender equality. We also need to partner with Africa through public diplomacy and educational, scientific and cultural exchanges to defend a rules- and values based international order in an increasingly competitive multilateral environment.

Most of Africa has been recording steady economic growth; however, a number of challenges remain. Thirty-six of the world’s most fragile countries are in Africa, often weakened by conflicts. The continent hosts 390 million people living below the poverty line. Growth has not always been inclusive, notably due to governance challenges. Africa is also affected by the consequences of climate change, environmental degradation and pollution. The EU and Africa will need to work together to address these challenges and develop actions that ensure **stability, peace, security, human rights, democracy, gender equality, sustainable livelihoods, sustainable economic growth based on healthy ecosystems, social cohesion and good governance.**

2020 has been a particularly challenging year due to the COVID-19 pandemic, which caused suffering worldwide. In 2021, together with the EU Member States, DG INTPA will support a sustainable recovery consistent with the implementation of the SDGs and the Global Recovery Initiative for a green, digital, fair and resilient recovery. DG INTPA will also continue to support human development in partner countries, and to address inequalities. Gender equality and women’s empowerment will be an essential component in the recovery process.

Given the outbreak of the COVID-19 pandemic, the 6th EU-AU (European Union-African Union) Summit was postponed. In the run up to this EU-AU Summit, the EU will continue reaching out to African partners in order to agree upon a new joint AU-EU Partnership agenda. The EU-AU Summit will help African and European partners to determine joint priorities for their common future as well as to frame actions that DG INTPA will commit from 2021 onwards.

In its conclusions of October 2020, the European Council reiterated the importance to strengthen its strategic relations with the African partners. In particular, the Council indicated that in parallel with its own green and digital transformation, the EU wishes to extend its partnership with Africa on its economic transformation. In this context, the Council discussed its intention to work with its African partners and boost investment by working together on a comprehensive multi-sector and multi-stakeholder investment programme. The European Council also indicated the following sectors as being key for further cooperation and investment: digital and knowledge economy, renewable energy, transport, health, and agri-food systems.

The Council also reiterated that long-lasting peace, security and stability in Africa are shared objectives and key conditions for sustainable development. The EU is ready to continue supporting African efforts on peace and security, good governance and the promotion of human rights. The EU will also engage African partners in addressing mobility and all aspects of migration, including legal migration, combatting illegal migration, readmission, and the fight against migrant-smuggling networks, both within and between the two continents.

## West Africa

In 2021, based on the adopted NDICI, most if not all programming documents for the 17 Western Africa countries should be adopted. The majority of the programming documents will be country Multiannual Indicative Programmes and two Joint Programming Documents with EU Member States. The programming documents will set out the priorities areas selected for financing, the objectives and expected results. The programming will contribute to implementing the external dimension of the

<sup>5</sup> [https://ec.europa.eu/international-partnerships/system/files/communication-eu-africa-strategy-join-2020-4-final\\_en.pdf](https://ec.europa.eu/international-partnerships/system/files/communication-eu-africa-strategy-join-2020-4-final_en.pdf)

Commission priorities: “A European Green Deal”, “A Europe fit for the digital age”, “An economy that works for people”, “Promoting our European way of life”, “A new push for European Democracy”. Human development, gender equality and women’s empowerment are essential areas to address inequalities by building fair, inclusive and sustainable societies. Moreover, together with the EU Member States, West Africa programmes will support, through the ‘Team Europe’ approach, a sustainable recovery from the sanitary, social, and economic shocks caused by the COVID-19 pandemic, consistent with the implementation of the SDGs and the Global Recovery Initiative for a green, digital, fair and resilient recovery. Based on programming, a number of Annual Action Plans will be adopted by year-end. Priority is given to the very fragile Sahel Countries. In addition to the national programming, a Multiannual Regional Sub-Saharan Programme is to be adopted. This programme will finance multi-country initiatives involving several Western Africa countries.

In **2022**, on the basis of the programming documents adopted in 2021, the 17 countries being part of the West Africa region will adopt an Annual Action Plan focusing on the International Partnerships priorities: “Green Deal”, “Digital”, “Jobs and Growth”, “Addressing root causes of migration”, “Governance, Peace and Stabilisation”. Budget Support projects, guarantees and blending will be among the main aid modalities put in place. Priority will be given to the very fragile Sahel Countries. In addition, the Regional Multiannual Programme will finance multi-country initiatives involving several Western Africa countries.

### **East and Central Africa**

In **2021**, on the basis of the adopted NDICI, most of the programming documents for the 18 Eastern and Central Africa countries should be adopted. Most programming documents will be country Multiannual Indicative Programmes and one will be a Joint Programming Document. The programming documents will set out the priorities areas selected for financing, the objectives and expected results. The programming will contribute to implementing the external dimension of the Commission priorities: “A European Green Deal”, “A Europe fit for the digital age”, “An economy that works for people”, “Promoting our European way of life”, “A new push for European Democracy”. Human development, gender equality and women’s empowerment are essential areas to address inequalities by building fair, inclusive and sustainable societies. In addition, together with the EU Member States, Eastern and Central Africa programmes will support, through the ‘Team Europe’ approach, a sustainable recovery from the sanitary, social, and economic shocks caused by the COVID-19 pandemic, consistent with the implementation of the SDGs and the Global Recovery Initiative for a green, digital, fair and resilient recovery. Fragile countries will be a priority.

Based on the programming, a number of AAPs will be adopted by year-end. In addition to the national programming, a Multiannual Regional Sub-Saharan Programme is to be adopted. Multi-country initiatives involving several Eastern and Africa countries will be financed by this programme.

In **2022**, on the basis of the programming documents adopted in 2021, most of the 18 countries being part of the Eastern and Africa region will adopt an AA Programme focusing on the International Partnerships priorities: “Green Deal”, “ Digital ”, “Jobs and Growth”, “Addressing root causes of migration”, “ Governance, Peace and Stabilisation” and “Human Development”. Budget Support, projects, blending and guarantees will be the main aid modalities put in place. Priority will be given to the fragile countries. In addition Multi-country initiatives involving several East and Central Africa countries will be financed by the Regional Multiannual Programme.

### **Southern Africa and Indian Ocean**

In **2021**, on the basis of the adopted NDICI, most of the programming documents covering the 14 Southern Africa and Indian Ocean countries should be adopted. All programming documents will cover country and regional Multiannual Indicative Programmes. The programming documents will set out the priorities areas selected for financing, the objectives and expected results. The programming will contribute to implementing the external dimension of the Commission priorities: “A European Green Deal”, “A Europe fit for the digital age”, “An economy that works for people”, “Promoting our European way of life”, “A new push for European Democracy”. Human development, gender equality and women’s empowerment are essential areas to address inequalities by building fair, inclusive and sustainable societies. In addition, together with the Member States, Southern Africa and Indian Ocean programmes will support, through the ‘Team Europe’ approach, a sustainable recovery from the sanitary, social, and economic shocks caused by the COVID-19 pandemic, consistent with the implementation of the SDGs and the Global Recovery Initiative for a green, digital, fair and resilient recovery.

Based on the programming, a number of bilateral AAPs will be adopted by year-end. In addition to the national programming, a Multiannual Regional Sub-Saharan Programme is to be adopted. Multi-country initiatives involving several Southern Africa and Indian Ocean countries will be financed by this programme.

In **2022**, on the basis of the programming documents adopted in 2021, most of the 14 countries being part of the Southern Africa and Indian Ocean region will adopt a bilateral A AP focusing on the International Partnerships priorities: “Green Deal”, “ Digital ”, “Jobs and Growth”, “Addressing root causes of migration”, “Governance, Peace and Stabilisation” and “Human Development”.

Budget Support, projects, blending and guarantees will be the main aid modalities put in place. Priority will be given to the fragile countries. In addition Multi-country initiatives involving several Southern Africa and Indian Ocean countries will be financed by the Regional Multiannual Programme.

### **Asia and the Pacific:**

The country and regional allocations for 2021 and 2022 will be programmed based on the 2021-2027 country and regional Multiannual Indicative Programmes (MIPs) under preparation.

In a context of post COVID-19 recovery, the MIPs will support the necessary reforms to build more sustainable, inclusive and resilient societies, promoting common values and shared interests.

To deliver on the political orientations and achieve visible results, **Team Europe Initiatives (TEIs)** at country or regional level have been identified and will be part of most MIPs. At least 27 TEIs have been identified at this stage in the Middle East, central Asia and Asia as well as the Pacific, covering issues of strategic priority: 18 relate to the Green Deal, 2 to the Digital agenda, 6 to Sustainable jobs and growth and 1 on Peace, security and human development. The MIPs coverage goes beyond these TEIs and will deliver, at country and a regional level, on many other areas.

As regards the approach, supporting and facilitating investment is one of the main areas for EU engagement gained momentum over the last years. Areas for strategic engagement in line with EU priorities and strategies (such as Green Deal, Digital, Jobs and Growth and Connectivity) will be devised with the relevant finance institutions in close link with the EU Delegations. This strategic engagement will be underpinned by a solid pipeline of investment projects and guarantees.

The estimated amount of the 2022 payment appropriations is based on the expected consumption of RAL (reste à liquider) at the end of 2021 and the forecast collected by the EU Delegations.

The initial disbursements for the 2021 and 2022 NDICI AAPs will be part of the implementation of the payment appropriations for 2022. The NDICI actions will cover issues of strategic priority and will include TEIs. TEIs will be present in all these regions: Middle East, Central Asia, South Asia, Southeast Asia and the Pacific. They comprise a variety of initiatives at country and at regional level, with a particular focus on the Green deal, Connectivity and Sustainable jobs and growth.

### **The Americas and the Caribbean:**

The funds for financial year 2021 and 2022 will be implemented through direct and indirect management. Budget Support remains a preferred modality, followed by grants and service contracts, while all indirect management is done via PAGODA with a large variety of partners in the region as well as EU Member States and the EIB.

Continuity of on-going programmes is foreseen in 2021 and efforts will be undertaken to adopt MIPs and AAPs for NDICI 2021-2027. In a context of post COVID-19 recovery, the MIPs will support the necessary reforms to build more sustainable, inclusive and resilient societies, promoting common values and shared interests. The Foreign Affairs Council of 12 October has put Latin America and the Caribbean higher up the EU's external action agenda and the informal Ministerial meeting in Berlin on 14 December 2020 was a tangible step of the common desire to revive high level bi-regional dialogue. Ministers agreed that the COVID-19 crisis is an opportunity to "build back better" in line with the UN 2030 Agenda for Sustainable Development and agreed to join forces to develop robust green and digital partnerships. In this design and identification process for the MIPs and AAPs, particular attention will be given to build partnerships around shared priorities as well as continuing to work on regional integration and like-minded regional/multi-country actions or with regional processes and/or organisations (e.g. Mercosur, Pacific Alliance, SICA/SIECA, Organisation of American States, Association of Caribbean States, CARICOM, and CARIFORUM). The regional MIP would support the EU's engagement in countries without a bilateral MIP, including the region's G20 countries and high-income countries.

Regarding thematic focus, the partnership with the Americas and the Caribbean will contribute to the NDICI targets on climate change, social inclusion and human development, gender equality, and migration. To deliver on the political orientations and achieve visible results, **TEIs** for each country or groups of countries, or at the regional level have been identified. The TEIs cover issues of strategic priority and will guide the MIPs and AAPs to be adopted in 2021 and 2022. To match the EU's ambitious agenda with region, the MIPs will also support the EU's public diplomacy to enhance the understanding of the EU and its policies with key stakeholders in the hemisphere.

The proposed TEIs for the region (27 TEIs, 17 already confirmed) relate to the Green Deal (17 TEIs), followed by the sustainable jobs, growth and regional economic integration (4) Digital agenda (3), and Peace, security and human development (3). Human development and social inclusion will be supported by well-functioning multi-country / regional programmes in the field of social cohesion/fight against inequalities.

A number of **regional / multi-country TEIs** are being considered with the following preliminary elements:

- **EU-LAC Green Transition Partnerships**, focused on climate governance, implementation of the Paris Agreement, environmental protection, protection of biodiversity, green and blue economy, circular economy, smart and sustainable urban planning; this could encompass a multi-country Amazon Basin Initiative and a multi-country Raw Materials Initiative (Lithium).
- **EU-LAC Digital Alliance**, responding to LAC countries and private sector aspiration to modernise the economy and build a regional digital market, advancing digital regional integration and addressing digital divide. Two tracks are proposed: (1) convergence of regulatory frameworks, standards and skills development, (2) regional digital connectivity and infrastructure.
- **EU-LAC Security & Justice Partnership**, in full alignment with the new EU security package, this initiative would encompass: (1) cooperation to fight against serious and organised crime (justice security chain, anti-money laundering and corruption, border management, common intelligence standards), (2) focus on drug trafficking, environmental crime and cybercrime, (3) innovative approaches to fight against crime (triangular cooperation on new citizen security approaches of LAC cities, new digital technologies), (4) strengthening of governance, democracy, the rule of law, the respect of human rights and fundamental freedoms.
- **EU-LAC Partnership for social cohesion** would aim at ensuring that inequalities are the primary targets of specific actions, but also duly addressed in all development interventions in LAC. It would cover (1) gender equality and empowerment; (2) inclusive social policies, notably in the fields of education, labour, social protection and health (3) governance, including fiscal policies, territorial cohesion, and strengthening the social contract. Particular attention would be devoted to youth and migrant inclusion.

Successful programmes such as EUROsociAL+, Erasmus+, Creative Europe, El PacCTO, COPOLAD, or EUROCLIMA+ will be provided with adequate funding to continue, though adapted to the new context.

The **EU Trust Fund for Colombia** supports the implementation of the peace agreement between the Colombian Government and the FARC. It translates the EU's political support to the Peace Agreement, in particular on the elements related to rural reform, and the social and economic reincorporation of former FARC combatants. The Trust Fund has been extended till end 2021. This extension, which is in line with the extensions for the other EUTFs, provides for a bridging period to the next MFF. Support to sustainable and inclusive peace in Colombia beyond 2021 will continue through a Team Europe Initiative for Peace together with EUMS. Through this continued support, the EU will remain politically engaged in the (still fragile) peace process in Colombia and will be able to consolidate results achieved so far.

### **The External Action Guarantee:**

The External Action Guarantee (EAG) is a powerful implementing tool that aims at leveraging funds from the private and public sector and promote investment in partner countries and thus multiplying the effect of the EU assistance worldwide. EAG will allow the EU to reduce the risk for public and private investment operations in partner countries covered by the NDICI and by the Instrument for Pre-Accession Assistance III (under the EAG), and to support those countries experiencing a balance of payments crisis (with macro-financial assistance).

By means of the European Fund for sustainable Development Plus (EFSD+), the EAG will cover guarantees to partly reduce the risk of loans provided by European and international financial institutions to governments, administrations and businesses, so that they can recover swiftly and survive the current crisis and its aftermath. The EFSD+ is a comprehensive instrument that includes not only guarantees but also grants provided through blending –a mix of EU grants with bank loans, such as technical assistance to help improve the quality of projects and the implementation of reforms, investment grants and risk sharing instruments that can be used to support the development of partner countries.

EAG will also cover Macro-Financial Assistance loans to support partner countries' balance of payments and thereby provide policy space to counter the economic fallout from the COVID-19 crisis. This leveraging tool is appropriate to address the negative consequences of the COVID-19 crisis, in particular for the promotion of investments to reinforce the sanitary systems and the socio-economic recovery of partner countries, including by ensuring their macro-economic stability.

The EU guarantee will cover all partner countries where the EU provides development and other assistance measures, with a particular attention to the EU Neighbourhood, to the Western Balkans region, as well as to Africa with special attention to least developed and fragile countries.

The planned commitment appropriation for the provisioning of the EAG in 2021 and 2022 is more than EUR 2 billion yearly. No payment appropriations were budgeted for the provisioning of the EAG in 2021.

The Commission proposes to increase the funds for the provisioning of the EFSD+ foreseen in the voted budget 2021 by 700 million through an internal transfer from Africa, Asia and The Americas geographic lines in order to allow a more flat profile for the geographic lines.

As of 31 December 2020, Commission exhausted the capacity of the precursor EFSD Guarantee by signing 18 guarantee agreements worth EUR 1,548,700,000. The EFSD+ guarantee should be used for the remaining ten guarantee tools that were already approved under EFSD but had to be postponed, limited or recalibrated to address the impact of COVID-19.

The EU guarantee foreseen under the External Lending Mandate (ELM) 2014-2020 was not exhausted completely by the end of 2020. This offers the opportunity to use the remaining available guarantee cover (EUR 4.4 billion) to enable the EIB to continue lending outside the EU with ELM guarantee cover also in 2021, while the NDICI is in the process of being adopted by the co-legislators, the multiannual indicative programming of EU external action financing being concluded and new guarantee agreement(s) being negotiated between the Commission and the EIB under the framework of the EFSD+.

In the context of discussions on the NDICI, a one-year extension of the validity of the investment period under the ELM has been provisionally agreed by the co-legislators. This will not only permit the utilization of the unused guarantee cover of the ELM 2014-2020 but it will also provide valuable time for adapting to the substantial changes that NDICI proposes in regards to the EU external action.

With the ambitious development goals, the Commission shall be able to monitor and evaluate the direct contribution (output level) and the direct (outcome) and indirect, medium-long term influence (impact) of operations supported by the EAG against the main objectives of the initiative and those set out in the Multiannual Indicative Programmes 2021-2027. The contribution of the EU guarantee to sustainable and inclusive growth in partner countries will be measured against the objectives with a series of outcome and impact indicators in relation to: Contribution to the achievement of Sustainable Development Goals; Generation of sustainable and inclusive growth; Creation of decent jobs; Promoting gender equality and the empowerment of women and young people; Positively impact on climate change; Contributing to poverty eradication.

For the 2021-2027 programming the results measurement will be carried out in the context of the EU results framework. The Commission established the Results Measurement Framework for the precursor EFSD Guarantee that was already used in blending projects, as well as in the guarantee agreements signed to date. It covers three levels: (1) the EFSD as a whole, including both the EFSD Guarantee and the blending operations; (2) the Investment Platforms and Investment Windows; (3) the investment programmes under the EFSD Guarantee and the projects under the blending operations. The Commission is responsible for monitoring and reporting under the first two levels, based on a set of pre-defined indicators. At programme and project level, the reporting on expected and actual operational results is the responsibility of the lead financial institution. The list of indicators, the frequency and format of reporting are part of the guarantee agreements signed with the financial institutions.

## **NDICI Thematic Programmes:**

### **1. Human rights and democracy**

With the adoption of the Council conclusions<sup>6</sup> of 19 November 2019 which endorsed the ‘Action Plan on Human Rights and Democracy 2020-2024’<sup>7</sup> the EU reaffirms its strong commitment to human rights and democracy. The Action Plan sets out the EU’s ambitions and priorities in this field in its relations with all partner countries.

The NDICI includes a dedicated thematic programme for Human Rights and Democracy, which preserves the unique features of the EIDHR. The multi-annual indicative programming for this new programme will be guided by the “**Action Plan on Human Rights and Democracy 2020-2024**”, ensuring thus the greatest possible coherence and synergy between agreed policy priorities and EU funding.

The MIP therefore follows the structure of the EU Action Plan on Human Rights and Democracy 2020-2024 and is structured around five priorities: I. Protecting and empowering individuals; II. Building resilient, inclusive and democratic societies; III. Promoting a global system for human rights and democracy; IV. Safeguarding fundamental freedoms, including harnessing the opportunities and addressing challenges of new technologies; and V. Delivering by working together.

Considering the significant negative impact the COVID-19 crisis is having on human rights, democracy and rule of law in many parts of the world, it is of critical importance of maintain an uninterrupted support at country level as well as to a number of global key actors, it is proposed for the budget for 2021 to be implemented through the adoption of a special measure.

#### **I. Protecting and empowering individuals**

Protecting and empowering individuals means ensuring that everyone can fully enjoy all human rights, be they civil and political rights, economic, social and cultural rights. Empowering individuals means enabling them, through the full enjoyment of all human rights, to reach their full potential and realise their legitimate aspirations as equal and active members of society.

Under this priority, the following actions are intended for 2021:

<sup>6</sup> <https://data.consilium.europa.eu/doc/document/ST-12848-2020-INIT/en/pdf>

<sup>7</sup> [https://eur-lex.europa.eu/resource.html?uri=cellar:e9112a36-6e95-11ea-b735-01aa75ed71a1.0002.02/DOC\\_4&format=PDF](https://eur-lex.europa.eu/resource.html?uri=cellar:e9112a36-6e95-11ea-b735-01aa75ed71a1.0002.02/DOC_4&format=PDF)

- Implementation of the crisis facility to address in a timely, flexible and reactive way the most difficult human rights situations in the most difficult contexts where CSOs and human rights defenders are at risk and work under severe constraints.
- Support human rights and democracy issues at country level through country allocations implemented by EU Delegations

## **II. Building resilient, inclusive and democratic societies**

Building resilient, inclusive and democratic societies entails addressing in a comprehensive way all aspects of democratic governance. It means strengthening democratic, accountable and transparent institutions, promoting participatory and representative decision-making and protecting the integrity of electoral processes.

On specific action which is planned would support enhanced cooperation between EU and Member States in the area of Democracy and Human Rights. The need is urgent in order to respond to calls for a global alliance for democracy, facilitating EU positioning ahead of the proposed Summit for Democracy, and providing the required data, analysis, consultation and communications mechanisms for the EU and member states.

## **III. Promoting a global system for human rights and democracy**

Promoting a global system for human rights and democracy is at the core of the EU's commitment to strengthening multilateralism. The EU's strategic response to the changing international environment is to work together with all key actors to advance the realisation of all human rights for all.

The following actions are intended for 2021:

- Continue our support to multilateralism through support to the Office of the United Nations High Commissioner for Human Rights (OHCHR),
- Continue our support to Global Campus of Human rights, a unique network of hundred universities around the world. The funding needed for the Global Campus follows the academic year.

## **IV. Safeguarding fundamental freedoms, including : harnessing opportunities and addressing challenges on new technologies**

Digital technologies must be human-centred. New technologies can contribute significantly to the protection and promotion of human rights and democracy, by making public participation easier and more effective, increasing access to public services, facilitating the documentation of violations and abuses, and supporting online activism. However, these technologies can also have a negative impact, such as facilitating access to specific illegal content, or the spread of disinformation, which must be countered.

## **V. Delivering by working together**

This action plan enables the EU to respond to emerging challenges through focused action and coordinated efforts and its implementation and monitoring should be subject to a broad stakeholder dialogue which could also include the EU Special Representative for Human Rights (EUSR). The EU Institutions and Member States will work together to implement it in a joined-up approach each according to their competences under the Treaties, and with exchange of good practices and knowledge. The imperative of "Working together" underpins all four priorities, and is key to achieve concrete results. A joined-up approach will be adopted to develop a compelling narrative on human rights and democracy, with a multiplying effect.

Overall, in order to support all the actions mentioned above, in 2021, the commitment appropriations foreseen for INTPA are EUR 118.3 million and payment appropriations EUR 10.8 million.

Pending approval of the MIP, implementation in 2022 will be guided by the "Human Rights and Democracy" Multiannual Action Programme (MAP) 2021-2024, to be adopted in early 2022, and the annual action programmes for electoral support, the Election Observation Missions (EOMs).

The MAP 2021-2024 will be guided by the priorities set in the Action Plan on Human Rights and Democracy 2020-2024 and the Multi-annual Indicative Programme 2021-2027. It will combine actions at global, regional and local level to optimise impact and will involve all relevant actors to improve synergies and contribute building a coordinated approach. To do so, it will use a wide range of aid modalities, allowing to use the right mix for each axis of action in order to achieve objectives and enhance impact.

The main activities will indicatively consist of: i) protection and emergency assistance to human rights defenders through the renewal of the relevant mechanisms; ii) actions addressing the most difficult human rights situations worldwide in countries with a very restrictive and closed environment, and/or aiming at supporting vulnerable and marginalized groups, iii) support to global

players such as the Office of the United Nations High Commissioner for Human Rights or the International Criminal Court, as well as national human rights institutions, iv) support to the 8th World Congress Against the Death Penalty, which will be held in Germany/Berlin in 2022. Support to other players such as parliaments or political parties could also be considered.

Again, allocations will be included to support human rights and democracy issues at country level through country allocations implemented by EU Delegations to counter violations and shrinking civic and democratic space.

In 2022, the commitment appropriations should be devoted to the implementation by DG INTPA of the above-mentioned actions on the new thematic programme Human Rights and Democracy (14 02 02 11) under the NDICI.

### **Election Observation Missions:**

Within the Human Rights and democracy programme, EUR 52 million will be allocated to the Election Observation Missions (EOMs) in the year 2022.

EOMs are a highly visible demonstration of the EU's commitment to support democracy and promote respect for human rights across the world. The High Representative/Vice-President, assisted by the EEAS, establishes an annual list of election priorities for possible EU EOMs, in consultation with the Member States and the European Parliament. The list of election priorities is reviewed mid-term, to take into account political developments that could emerge during the year. The various missions include fully-fledged election observation missions, election expert missions, election follow-up missions and complementary activities. On average, 23 missions are deployed each year.

Given the high uncertainty around the possibility to deploy observation missions for all priority elections in 2022, due to the possibility of persisting difficulties caused by the COVID-19 crisis, it is suggested that, in the event that commitment appropriations become un-utilised, excess appropriations be transferred primarily to other financing decisions under the Human Rights and Democracy Programme.

## **2. Civil Society Organizations**

For 2021, The CSO Programme will aim at strengthening civil society organisations worldwide. The key priorities will be the enabling environment for civil society, dialogue and policy participation and capacity building. Due to the finalization of the programming at year-end 2021, the vast majority of commitments appropriations will be contracted in 2022. Nearly all 2021 payments will be made from the completion line.

Regarding 2022, for the same reason as above, the 2021 shift of contracting in 2022 will imply the following structure of payments: a part will be allocated as new contracts payments, and another part will be from the completion line (where a share of 30% of the RAL is a fair assessment of the past years).

With regard to Development Education and Awareness Raising (DEAR), for the financial year 2021, the requested commitment appropriations under the NDICI will amount to EUR 4 million (Presidency Project and North-South Centre). Objective of the projects is to ensure the commitment to and increase engagement of EU citizens for sustainable development.

For the financial year 2022, commitment appropriations will amount to EUR 27 million (first projects selected under a call for proposals to be launched end 2021). Payment appropriations will represent payments to ongoing projects and first payments to new projects.

## **3. NDICI Global challenges**

In line with the 2030 Agenda and the European Consensus, and the geopolitical priorities of the Commission, the programme Global Challenges will pursue actions of global nature, contributing to the objective of "A Stronger Europe in the World". It will aim to "strengthen the EU as a global actor in the delivery of the 2030 Agenda and the Paris Agreement to help eradicate poverty, reducing inequalities and achieve sustainable development".

### **People – Global Challenges**

#### **Health**

Subject to programming outcomes, actions for 2021-2027 for human development will address EU external action objectives on **health**, including support to Gavi, the vaccine alliance, with the aim of contributing to immunisation from infectious diseases and cancer in partner countries, pooled procurement enabling market shaping, ensuring low price and access, and advocacy for immunisation (combatting vaccine hesitancy). The programme will also contribute to the Global Fund as the single largest provider of external assistance for health, which puts it in a strong position to push for health sector reform and promotion of human rights. It produces impressive results and addresses diseases particularly affecting the poor and disadvantaged. Furthermore, the EU will

work with WHO to strengthen health systems for universal health coverage. WHO assists 115 countries' Ministries of health to build robust health systems and secure access to equitable health systems for 2 billion people.

### **Education**

In **education** the programme will promote access to quality education through education system strengthening, also in situations of protracted crises and fragility through support to global education initiatives such as the Global Partnership for Education and Education Cannot Wait. Particular attention will be given to enhancing 21<sup>st</sup> century skills, inclusion of marginalised populations including girls. The programme will also strengthen evidence based policy making and monitoring of SDG4 progress through supporting capacity building, collection and analysis of data and statistics.

### **Gender equality and women and girls empowerment**

The EU will actively contribute to advance the gender equality agenda through its new EU Gender Action Plan in external relations which will be implemented during the following 5 years (2021-2025). It will take a three-pronged approach: gender mainstreaming, include gender equality in policy/political dialogues and identify key gender-specific initiatives. The new EU Gender Action Plan (2021-2025) will connect policy and programming priorities, including by increasing country level responsibility for conducting gender country analysis and mainstreaming across sectors and modalities of aid. It will also include gender-targeted actions. This will require technical assistance and the allocation of appropriate resources, in line with the EU commitment to 'lead by example' on gender equality.

At the global level, the EU action will give a prominent place to sexual and gender based violence in international fora, strengthening the international gender equality acquis and increasing dedicated investments. Effective international cooperation is essential to tackle global challenges. In this spirit, the EU has established solid partnerships with governments, global actors such as the UN and other international and regional organisations, private sector, civil society, including women's rights organisations and academia. There will also be knowledge building based on results, experiences, lessons learned and best practises from the Spotlight Initiative, currently up and running in 26 countries and 6 regions, and which might be further expanded as well as our support to women CSOs through UN global funds.

### **Children and Youth**

Actions targeting **children and youth** under the Global Challenges Programme will focus on increasing children' and youth participation to inform and influence decision-making and unleash transformation at the global level and creating bridges between European children and youth and their counterparts in partner countries. In 2022, actions will support the implementation of a global outreach strategy on children' and youth participation, data collection and networking. In order to support these actions, the commitment appropriations foreseen under this Programme for 2022 are EUR 5 million and payment appropriations EUR 2 million.

### **Migration and forced displacement**

Subject to the finalisation of the Multi-annual Indicative Programme 2021-2027, actions contributing to improve the governance of migration and forced displacement at global level will be supported under this programme, in full complementarity with actions at national and regional levels, funded by the geographical part of the NDICI. As a number of global programmes were recently launched under the DCI's Global Public Goods and Challenges (GPGC) thematic programme (2014-2020) and are currently ongoing, no commitment or payment appropriations will be required for 2021. Preparations on an Annual Action Programme for 2022 will start as soon as the programming process, including for the geographical programmes, is more advanced.

### **Decent work, social protection, inequality and inclusion**

COVID-19 has brought new evidence that only comprehensive **social protection** systems are scalable and crisis-resilient. The programme will reinforce the Global Partnership for Universal Social Protection that holds the global mandate to coordinate efforts for achieving substantial social protection coverage, involving partner countries. Standardization of social protection processes at global level is pivotal for a quick and cost-effective implementation of a social protection system at country level (social registries, MIS, programme design). The EU will join the UN Partnership on the Rights of Persons with Disabilities (UNPRPD)

+ Global Action on Disability Network (GLAD) that aims to reduce **inequalities for people with disabilities** by supporting the implementation of the Convention of the Rights of Persons with Disabilities and the related SDGs globally and at country level. Activities include advocacy, developing and testing of tools and capacity building.

### **Culture**

The Global Partnership for Education (GPE) will replenish in July 2021 and start implementing its new strategy, which focuses on building capacities in partner countries for education system transformation to accelerate progress on SDG4. The first part of our estimated contribution 2021-2025 should be contracted in 2022 (EUR 150 million covering 2021-2022). Following the COVID19 pandemic and additional support granted to partner countries through Education Cannot Wait has increased the need for additional financial resources to ensure children in fragile situations and protracted crises can continue learning. The Commission plans a commitment of EUR 15 million as initial EU contribution in 2022. For global challenges commitments, EUR 2.5 million would be needed for support measures (2 million for the education advisory services and 500.000 for culture) that will support the implementation of NDICI (HQ and EU Delegations) for the full project cycle. The current education contract expires in August 2022 and the culture contract in January 2023.

## **Planet – Global Challenges**

### **Ensuring a healthy environment and tackling climate change**

The design and implementation of the first Annual Action Plan (AAP) under the Planet component of the Global Challenges programme is on track and in line with the Multi-annual Indicative Programme.

The AAP 2021 fits in the implementation of the external dimension of the European Green Deal. More specifically, it will support global transformative action to foster sustainable development while progressing towards climate neutrality and resilience, halting biodiversity loss and decoupling economic development from the unsustainable use of natural resources, in particular oceans, water, land and forests. It will support global efforts to promote the transition to inclusive, climate-neutral, resilient, and sustainable economies.

As far as climate is concerned, in 2021 and 2022, mainstreaming efforts will increasingly focus on the implementation of the Paris Agreement in order to boost environmental sustainability in partner countries and achieve the EU objectives of allocating at least 30% of its budget to climate relevant actions during the 2021-2027 programming period. Implementation will focus on: (i) promoting climate change adaptation and disaster risk reduction especially in the most vulnerable countries; (ii) supporting climate change mitigation and the implementation of Nationally Determined Contributions (NDCs) established under the Paris Agreement; (iii) mainstreaming environmental and climate change considerations into the EU's and partner countries' into policies, strategies, investments, programmes and projects.

In 2022, appropriations will cover the budget needed for implementing actions aiming to support the transition to climate neutrality and green and circular economies, the conservation and sustainable use of biodiversity, sustainable agriculture and food systems, tackling pollution and promoting sustainable finance. Ambitious climate action will aim to implement the Paris Agreement, particularly by supporting partner countries in the implementation of their Nationally Determined Contributions (NDCs) and National Adaptation Plans (NAPs). Dedicated technical cooperation in selected areas will specifically aim to reduce greenhouse gas emissions, increase carbon sinks and strengthen adaptation and disaster risk reduction capacities. The external climate action will also aim to strengthen scientific, technical, and institutional capabilities for climate and environmental management and mainstreaming while also building capacity to monitor, report and verify Measurement, Reporting and Verification (MRV) results.

In order to respond to the COVID-19 crisis some actions previously envisaged in the 11th EDF Disaster Risk Reduction (DRR) Programme were re-oriented in order to enlarge the type of disaster events tackled through this action. Within the EUR 100 million action on DRR approved in 2020, INTPA will support activities related to risk assessment and response that will enhance the structural capacity of ACP countries to react and recover from disaster events – being climate related or pandemics-related, like COVID-19.

### **Sustainable Energy:**

The formulation and implementation of the programme is on track and in line with the Multi-annual Indicative Programme 2019/2020 for Sustainable Energy. The implementation of the budget allocations 2021 will focus on promoting energy access, renewable energy deployment and energy efficiency including through the implementation of:

- the DESIREE programme (Demand side management, Social Infrastructures, Renewables and Energy Efficiency) on Energy Efficiency and electrification of social infrastructure;
- the Clean Cooking programme;
- the Transferability & Convertibility Facility for de-risking renewable energy generation investments;
- ElectriFI, Climate Investor One, Facility for Energy Inclusion, Africa Renewable Energy Scale-up Facility;
- the GET.invest, and the EU Technical Assistance Facility for Sustainable Energy and the Covenant of Mayors for Sub-Saharan Africa programme.

The main policy outputs for the EU's external cooperation and international partnerships on sustainable energy will be:

- Provide quality support and expertise to EU Delegations to ensure well-designed sustainable energy related actions as part of TEIs and bilateral/regional programming in order to contribute in meeting the objectives under the Green Deal and the Paris Agreement;
- The deployment of the Africa-EU Green Energy initiative (AEGEI);
- Support the African institutions (African Union Development Agency – New Partnership for Africa’s Development AUDA-NEPAD) in collaboration with African Union Commission (AUC), African Development Bank (AfDB), United Nations Economic Commission for Africa (UNECA) and other development partners) who will launch the continental transmission network masterplan for Africa to promote a single electricity market, energy access and regional integration;
- Mobilisation of investment pipelines with technical assistance and GET.invest for EFSD to contribute, inter alia, to the fast recovery from COVID-19 and its consequences;
- Rollout of the first EU-supported competitive tendering procedures for renewable energy deployment in Africa by EIB, Agence française de développement (AFD), Cassa Depositi e Prestiti (CDP) and Kreditanstalt für Wiederaufbau (KfW) under EFSD.

In 2022, appropriations will cover the continuation of the work programme in support of international partnerships in the area of sustainable energy including for the successful continuation of investment de-risking programmes Climate Investor One (CIO); Africa Renewable Energy Scale Up Facility (ARESUF); Digital Energy Facility (DEF); Electrification Financing Initiative (ElectriFI); Facility for Energy Inclusion (FEI); Demand side management, Social Infrastructures, Renewables and Energy Efficiency (DESIREE).

## **Prosperity – Global Challenges**

### **Sustainable and inclusive growth, decent jobs and private sector engagement**

In 2021 actions will aim to ensure that the EU continues to play a strong and visible role in promoting sustainable and inclusive growth and decent job creation by supporting economic stability oriented policies, mobilising public and private financing; building and sharing knowledge and targeted technical support, thus contributing to the Green deal objectives. These actions will be aligned with the strategic priorities of the United Nations Agenda 2030 for Sustainable development, the new European Consensus for Development and the EU’s External Investment Plan (EIP). Particular attention will be paid to youth employment and women entrepreneurship, Micro, Small and Medium Sized Enterprises (MSMEs), digital financial inclusion, local financial market development, corporate responsible sustainability, enforcement of labour standards – in particular the eradication of child labour -, engagement in fragile states and Least Developed Countries (LDCs) and implementation of the Aid for Trade Strategy. In 2021, priorities under the expertise hub for support to private sector and trade development will be: (1) supporting private sector and trade development through promoting global knowledge (2) improving the implementation and content of international standards (3) building up sustainable supply chains (4), fostering global partnerships and developing flagships, with special attention to women economic empowerment (5), providing harmonised thematic assistance to EU Delegations (6) and promote due diligence and Corporate Social Responsibility in global value chains, ratification and enforcement of labour standards in particular in EU trade partner, and contribute to the formulation and adoption of growth strategies that maximise decent job creation.

Actions in 2022 will aim at: (1) Promoting increased EU leadership in global knowledge platforms on areas such as financial and economic inclusion, financial markets, safe, secure and sustainable value chains and conflict-sensitive business practice. (2) Continue ensuring that partner countries have better access to global public goods such as international standards that contribute to sustainable trade and private sector development, promoting economies that work for people and the planet. (3) Supporting EU Delegations with targeted and harmonised support on investment climate, trade and private sector development, particularly in view of the effective implementation of an integrated approach to the EIP. (4) Promoting an harmonized approach to better understanding of financial markets to allow for increase access to finance and deepening financial inclusion both for households and small and medium sized businesses, in particular vulnerable groups, by increasing access to financial services and to opportunities offered by digital technologies (digital financial services, digital entrepreneurship). (5) Enhancing trade for development as a key component of EU’s support to growth and jobs creation and promotion of developing countries’ integration into regional and global value chains and trade flows. This will also be part of the implementation of the EU Aid for trade strategy, with view to achieving more and better results, and at putting a special emphasis on tailoring the EU approach to the LDCs and countries in fragility. (6) EU delivering on its international commitments by supporting global flagship initiatives on private sector development, sustainable value chains and trade such as overcoming gender inequality and barriers to women’s economic empowerment that remain among the biggest global challenges to inclusive and sustainable growth. (7) Promoting due diligence and Corporate Social Responsibility in global value chains, as well as the ratification and enforcement of labour standards in particular in EU trade partners. (8) Contributing to the formulation and adoption of growth strategies that maximise decent job creation.

For the current year 2021, funds for actions to support Domestic Revenue Mobilisation (DRM) reforms with a focus on tax administration will be committed under Prosperity – Global Challenges (Tax Administration Diagnostic Assessment Tool and Addis Tax Initiative (TADAT-ATI) – EUR 5 million). This is part of the wider EU fiscal policies agenda, Collect More – Spend Better (CMSB) and a way of implementing the Addis Tax Initiative commitments 2025. The European Commission/INTPA was strongly involved in co-creating the commitments of Addis Tax Initiative ATI 2025, ensuring they are in line with EU priorities including on a just, green and digital transition and recovery. The financing of the TADAT by the EU is a priority to ensure that work on TADAT, as part of the Financing for Development agenda, fully reflects the Commission priorities.

For the financial year 2022, appropriations are requested for actions to support Domestic Revenue Mobilisation reforms with a focus on tax avoidance, evasion and reduction of illicit financial flows under Prosperity – Global Challenges (OECD, Tax inspectors without borders, Platform for Collaboration on Tax – EUR 10.5 million). The OECD is the G20 mandated standard setter on tax avoidance (Base Erosion and Profit Shifting) and tax evasion (through the Global Forum on transparency and exchange of information for tax purposes). Technical advice to partner countries on carbon taxation will be important to provide a basis for a green and just transition in line with the Paris Agreement and the Green Deal. In addition the programme contributes in reducing Illicit Financial Flows. The Platform for Collaboration on Tax helps to coordinate work on tax and development between IMF, WB, OECD and the UN. By supporting the secretariat, and thereby joining the advisory board, the Commission would be in an important position to influence the work and orientation of the platform in line with its own policy priorities.

### Food and nutrition security

The formulation and implementation of the programme is on track and in line with the Multi-annual Indicative Programme. The implementation of the Annual Action Plan in 2021 will focus on sustainable agri-food systems as overarching theme, incorporating the following four objectives:

- Increased sustainability of food and agriculture production and agri-food value chains;
- Improved food quality and safety;
- Increased resilience of vulnerable populations to food crises and climate stresses;
- Improved governance around food systems.

In 2022, appropriations will cover actions that will aim at enhancing sustainable food systems, as a contribution to the Farm to Fork strategy of the Green Deal, through the reduction of malnutrition in all its forms, innovation and research contributing to inclusive climate-relevant practices in sustainable agriculture and agricultural/agro-forestry value chains, and the prevention of and response to food crises.

### Digitalisation

The formulation and implementation of the programme is on track and in line with the Multi-annual Indicative Programme. The implementation of the Annual Action Plans in 2021 will include a focus on (i) supporting the activities of the Digital for Development initiative (D4D), (ii) enhancing cooperation with financial institutions, other relevant EU institutions or DGs (JRC, CNECT, RTD) and Member States in research, innovation, digitalisation, (iii) promoting and strengthening the TEIs in digital, (iv) support the Delegations in mainstreaming digitalisation in their programming.

In 2022, appropriations will cover the preparation of digital activities to be financed by the EFSD+, the cooperation with private sector on connectivity, capacity building and technical assistance in collaboration with relevant international institutions (International Telecommunication Union (ITU)), strengthening the nexus green/digital/energy, the participation in global alliances in education, research, innovation, in order to exploit the full potential of digital technologies, the promotion of EU values and vision in the global debates on digital governance, data protection and cybersecurity, Copernicus and Galileo/EGNOS (European Geostationary Navigation Overlay Service) initiatives, support of the D4D activities, including the four regional branches.

## **Partnership – Global challenges**

### Strengthen the role of Local Authorities as actors of development

Support to Local Authorities in partner countries will be carried out within the geographic programmes (in comparison to the previous MFF where it was funded under a thematic programme) while the support to the regional and global Associations of local authorities will be financed within the Global Challenges thematic Program. The Global Challenges section on Partnerships which includes the support to the Associations of Local authorities, foresees for 2021-2027 the continuation of Strategic Partnerships Agreements. It also foresees a facility to support the geographization of the support to local authorities in partner countries, the roll out of the Road maps of local authorities to all countries, the support to adopt in all countries the Territorial Approach to local development. In addition every two years the Forum of Cities and Regions for Development Cooperation will be organized and depending on the result of the feasibility study on the setting up of a portal for decentralized cooperation the portal will be set up.

**DEAR (local authorities)**

Actions in the area of development education and awareness raising under the NDICI 2021-2027 Global Challenges Programme will focus on building support of EU citizens, particularly youth, for sustainable development and cooperation with partner countries, promoting solidarity and encouraging active citizenship engagement in areas such as climate change and inequalities. In 2022, the activities will include selection of grants through a call for proposals for local authorities working in the area of global citizenship education, as well as campaigning and advocacy, with increased participation of youth organisations, including through ensuring support to small-scale and youth driven initiatives. In order to support these actions, the commitment appropriations foreseen under the Global Challenges Programme for 2022 are EUR 8 million and payment appropriations EUR 2 million.

**Inclusive societies, economic governance**

For the year 2021, funds for actions to support the improvement of debt management will be committed under Partnership – Global Challenges (Debt Management Financial Analysis System (DMFAS) - EUR 2 million); DMFAS is a crucial tool for debt transparency and debt data recording and reporting in the current context of increasing debt crisis aggravated by the COVID pandemic. Continuation of EU support is essential in this context.

For the financial year 2022, the commitment appropriations are requested for actions to support the improvement of macroeconomic stability and debt management under Partnership – Global Challenges (World Bank/IMF Debt Management Facility (DMF) multi-donor trust fund; OECD database on private debt data; Support to strengthen Statistics systems in partner countries; Macroeconomic Facility; Enhancing monetary policy frameworks and supervision of financial sectors – EUR 18.5 million). With the pandemic triggering mounting debt sustainability problems in partner countries, the World Bank/IMF Debt Management Facility is crucial for the implementation of the EU's Global Recovery Initiative on debt relief and investment. The OECD database is a crucial step forward towards enhanced debt transparency by including debt from private creditors. The creation of this database was strongly supported by the G20 and a logical consequence of the increasingly diverse creditor landscape. EU support will kick in after the pilot phase currently ongoing at the OECD and support the initial phase of full deployment and maintenance of the database. The support to international initiatives to strengthen statistical systems will be an important contribution to the implementation of Integrated National Financing Frameworks (INFF) for the achievement of Agenda 2030 in partner countries. The macroeconomic Facility will support the enhanced macroeconomic mandate of DG INTPA and its geo-economic analysis capacity. Eventually stability and resilience of financial sectors is crucial for maintaining macro-economic stability, financing productive activities and developing innovative financial products such as green finance and digital solutions. The programme will complement INTPA policy on development of local financial instruments including the Green bond initiative and strengthen the policy framework for sustainable finance in partner countries. This will also improve government treasury management and foreign exchange reserves through enhanced Central Bank capacity.

**4. Peace, Stability and Conflict Prevention**

In 2022, EUR 139 million is requested for the programmable Peace, Stability and Conflict Prevention programme, under the Thematic pillar.

The level of commitment appropriations requested for 2021 and 2022 will allow to adapt actions and interventions in the field of peace, stability and conflict prevention to the changed and evolving global scenario. The COVID-19 crisis, with its health, economic and social impacts, might be a multiplier and an amplifier of conflicts and tensions around the world. Therefore, it is important to ensure adequate funding for peacebuilding and conflict prevention activities, especially in 2021 and 2022.

The financial needs to ensure timely payments for supported initiatives starting in 2021 and in 2022, are calculated on the basis of the implementation experience of the previous IcSP programme and the timeline for the approval of the Annual Action Programmes (AAPs) for 2021 and 2022. The AAP 2021, in particular, will probably be approved late in 2021, therefore the related payment credits are minimal.

**NDICI Rapid Response pillar****Crisis Response**

In 2022, EUR 268 million in commitment appropriations will be needed for non-programmable Crisis Response actions under the Rapid Response pillar.

**Resilience**

The Resilience line of the Rapid Response Pillar is intended to strengthen resilience and better link humanitarian aid, development cooperation and peacebuilding as part of a response to unforeseen events or developments. It is not a reserve, but it is a non-programmable budget line that sits in between humanitarian aid and reserves. It is intended to complement national and regional programming, as well as the other lines of the Rapid Response Pillar. It will finance measures to tackle factors of fragility and strengthen existing capacities, mitigate adverse effects of shocks, support rehabilitation and reconstruction, disaster prevention and

preparedness mechanisms, as well as operationalising integrated approaches by improving coordination. It is at this stage not possible to make an indicative programme.

### **Support to EU Foreign Policy Needs:**

Under the Rapid Response pillar, EUR 51 million in commitment appropriations are requested for the Foreign Policy needs actions in the year 2022. The level of allocations under the geographic pillar for industrialised countries and public diplomacy needs to be confirmed.

The level of commitment and payments appropriations requested for 2021 and 2022 corresponds to estimated needs based on past experiences and absorption alongside anticipated future needs in relation to further strengthening the role of the EU as a foreign policy actor, promoting multilateralism and seizing opportunities to enhance political and economic cooperation, linked to overall COM priorities and public diplomacy.

## **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

### **Previous programme 1: Development and Cooperation Instrument (DCI):**

	<b>Commitments</b>	<b>Payments</b>
Implementation Voted budget	<b>19 969 388 092</b>	<b>10 949 253 215</b>
Implementation Carry-overs	<b>0</b>	<b>65 523 759</b>
Implementation total	<b>19 969 388 092</b>	<b>11 014 776 974</b>
total envelop*	<b>19 970 133 478</b>	
cumulative implementation rate	<b>100%</b>	<b>55%</b>

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

At the end of 2020, the Commission has committed 100% of the DCI allocation. So far, only 0,8% of this amount has been decommitted. Those results demonstrate very good planning and implementation ability.

With regards to the payment appropriations, at the end of 2020 the implementation rate was of 55%. This implementation rate reflects a normal situation, given the specificity of the DCI. All the payment appropriations voted for the DCI budget lines have been used. There is no delay in the implementation of the programmes. Most of the external actions are multiannual. According to the Financial Regulation, the financing agreements with the beneficiary countries and all contracts implementing external actions have to be signed within a limit of 5 years. However, the financial performance of the Commission is far better, reaching an average implementation period of 3 years for the cooperation programmes. This period of 3 years does not only include the conclusion of the Financing Agreements and contracts but also the actual implementation of the activities and the execution of related payments. The geographic budget lines, where the Financing Agreements add 3 years to the deadline for contracting, the payments implementation rate is 49,7%, while for thematic lines it is 59,7%. The RAL absorption ratio in 2020 was 3,1, decreasing from 5,1 in 2014.

In 2020, the COVID crisis led to a transfer of EUR 65.9 million in commitment appropriations from the DCI Asia to Humanitarian Aid to reinforce the Commission's COVID19 response in Iran (EUR 13 million), in Pakistan (EUR 27.9 million), in Afghanistan (EUR 15 million) and in Iraq (EUR 10 million, for supporting the Commission's programme implemented through WHO for the implementation of the Iraq National Health Security Action Plan).

Due to the COVID-19 response package, the total amount paid in 2020 for the DCI has largely exceed the 2019 result (+ EUR 393 million). More specifically, the response was implemented through the disbursement of Budget Support Tranches in the different regions (around EUR 600 million paid in 2020) and through specific programmes (for eg: "Response to the COVID-19 crisis: Support to maternal health in Yemen" and "Addressing the needs of Afghan refugees and host communities affected by the COVID-19 pandemic in Pakistan").

### **DCI Geographic:**

#### **DCI Latin America:**

In Latin America, the **2020 DCI programme commitments and implementation** largely went as planned, except for the COVID-19 mitigating measures which resulted in an increase of commitments. The total available amount of DCI credits was committed

through 30 new decisions (or addenda) in key sectors such as education, sustainable growth and jobs, food security, climate change; private sector and investment; security, rule of law and governance. Budget Support remains an important instrument for implementation in Latin America and accounted for roughly 44% of the total amount committed for DCI. Working directly with country systems, it proves to be a strong tool in reinforcing policy dialogue on key reforms and improving public financial management systems, domestic revenue mobilisation efforts, transparency and accountability. The new Budget Support decisions adopted (10), focus on education, public policy reforms, social protection, private sector development and supporting the peace process in Colombia.

Regional programmes remain crucial for strengthening the impact of the EU-Latin America partnership and represented 31% of the new commitments in 2020. The importance of sustainable investments continues to grow and the DCI contribution the Latin America Investment Facility (LAIF) continued as EUR 65 million were committed in 2020 (15% of total 2020). Given the COVID-19 pandemic, 6 new actions for a total value of EUR 67 million were adopted to support the mitigating measures of the partner countries, benefitting Peru, Colombia, Venezuela, Guatemala, SICA and Central America.

The **EU Trust Fund for Colombia** continued to support the implementation of the peace agreement between the Colombian Government and the FARC (the Revolutionary Armed Forces of Colombia). It translates the EU's political support to the Peace Agreement, in particular on the elements related to rural reform, and the social and economic reincorporation of former FARC combatants. The EU Trust Fund for Colombia has currently 30 projects ongoing for a total amount of EUR 110 million. Main results achieved are in the area of sustainable rural development and socio-economic reintegration of former FARC-EP (the Revolutionary Armed Forces of Colombia – People's Army) combatants.

Regarding **implementation (payments) Budget Support remains an important modality** for operationalising the EU partnership with Latin America. In 2020 around 34% of all payments were for Budget Support operations, marking continuity with the previous years. Given the outbreak of the COVID-19 pandemic, Budget Support proved to be an adequate instrument to support the mitigating measures of the partner countries and most of the Budget Support financing agreements were adjusted to frontload payments or to allocate undisbursed funds to a special COVID-19 fixed Tranche. The initial 2020 payment forecast was increased by 50% to provide fiscal space to the partner countries, targeting those hardest hit by the pandemic. To operationalise these adjustments, around 20 addenda (or exchange of letters) were processed in a record time resulting in a year-end disbursement rate around 30% superior to the initial forecast.

Regarding the **payment appropriations 2021**, an indicative amount of EUR 297 million is budgeted to ensure continuity of initiated actions under the 2014-2020 programme. The complementary mix of instruments will be maintained with Budget Support as preferential instrument, followed by grants and service, PAGODA for delegated cooperation and an important part will fast track implementation of the Latin America Investment Facility (LAIF). The first disbursements for the Venezuela Migration package, adopted in 2020, will be an important milestone. Likewise, first disbursements are also forecasted for important new actions; mainly in the area of **governance**, such as for Bolivia (Support to the National Strategy to fight against Drug Trafficking and Control of Surplus Cultivation of Coca) and for Guatemala (Strengthening public institutions and increasing rural income). Continuity will be given to the regional programmes such as El PAcCTO (continent-wide security programme) and COPOLAD (Cooperation Programme between Latin America, the Caribbean and the European Union on Drugs Policies). In the area of **Human Development**, important disbursements are foreseen for 2 new actions in Paraguay in the area of education and social protection; for El Salvador on social protection and for the regional programme EUROsociAL. In the area of climate change and environment, the EUROCLIMA+ programme will enhance its implementation (including an evaluation) as well as the in 2020 adopted actions supporting the transition toward **green and circular economies** in Bolivia, Colombia and Ecuador. The **EU Trust Fund for Colombia has been extended till end 2021** with currently 30 projects ongoing for a total amount of EUR 110 million. Implementation will focus on the operationalisation of new actions on land reform and social and economic reintegration.

Implementation of the **payment appropriations for 2022** will be split between continued implementation of actions under the 2014-2020 programme and initial disbursements for the operationalisation of AAPs for NDICI 2021-2027. The new actions under NDICI 2021-2027 will cover issues of strategic priority and will be based on the TEIs. The already confirmed TEIs for the region relate mainly to the Green Deal, followed by the sustainable jobs, growth and regional economic integration, Digital agenda, and Peace, security and human development. Human development and social inclusion will be supported by well-functioning multi-country/regional programmes in the field of social cohesion/fight against inequalities. Regional programmes remain pivotal in EU's added value to operationalise the partnership with the region and successful programmes such as EUROsociAL+, El PAcCTO, COPOLAD, or EUROCLIMA+ will be continue though adapted to the new context.

### **DCI Asia:**

#### **In Asia and Middle East:**

In 2020, the residual MFF (2014-2020) credits (14%) were committed through 19 AAPs, 11 special measures and 1 support measure for the following countries: Afghanistan, Bangladesh, Bhutan, Cambodia, Maldives, Myanmar, Pakistan, Philippines, Sri Lanka, Vietnam, Asia region, Mongolia, Kyrgyzstan, Tajikistan, Uzbekistan, Central Asia region, Iraq and Yemen.

In 2020, commitments aimed at completing the use of the allocations of the MFF 2014-2020 in Afghanistan, Bangladesh, Bhutan, Cambodia, Laos, Myanmar, Nepal, Pakistan, Philippines, Sri Lanka, Vietnam, Asia region, Kyrgyzstan, Tajikistan, Uzbekistan, Central Asia region, Iraq, Yemen and Iran in the focal sectors identified and confirmed in the Mid-Term Review of 2018. This

included AAPs for the countries with a MIP, the two RIPs for Central Asia and Asia and Special Measures for Yemen, Iraq and Iran and all additional commitments on top-ups on ongoing decisions.

In addition, EUR 950 million were committed through new Commission implementing decisions and addenda to existing measures as part of the EU response to the COVID-19 crisis, in line with the Joint Communication on the Global EU response to COVID-19 (JOIN/2020/11).

Budget Support remains the main aid modality to work directly with countries when possible and relevant, reinforcing policy dialogue on key reforms and improving public financial management systems, domestic revenue mobilisation efforts, transparency and accountability. A variety of sectors are targeted, such as social protection, nutrition, energy, and agriculture, while the most supported sectors are education and vocational training. In 2020, Budget Support was a very effective tool for the emergency COVID-19 response, providing fiscal space to partner countries in these difficult times. Budget Support represented broadly 50% of our COVID response payments, with a total of EUR 578 million being disbursed throughout the year, which is broadly the double compared to 2019.

Investments gained momentum over the last four years. The EU contribution to investment and blending under the investment facilities for Asia and Central Asia totalled EUR 423 million in the period 2017-2020, compared to EUR 193 million for the period 2014-2016. The amount for 2017-2020 has been fully contracted.

In 2021, payments of the subsequent tranches of 23 Budget Support programmes in 11 countries (Afghanistan, Bangladesh, Bhutan, Cambodia, Kyrgyz Republic, Laos, Mongolia, Myanmar, Nepal, Pakistan and Uzbekistan) should amount to a total EUR 495.9 million if all conditions are fulfilled. This represents the vast majority of the volume of payments to be performed in 2021.

The implementation of the payment appropriations for 2022 will include the continued implementation of actions under the 2014-2020 programmes.

### **DCI South Africa:**

The DCI South Africa commitment appropriations 2014-2020 were fully used and implemented as planned through a comprehensive programming process. The result of the process has been a set of programming documents that define per bilateral/regional/thematic programme: the priority areas for financing, the specific objectives, expected results, indicators and indicative allocations. There is no need for corrective action at this stage.

In **2021**, payment appropriation will be used for Budget Support programmes such as: the Education for Employability Programme, the Support Programme to the Wine and Spirits Sector, and the Gender Equality and Women Empowerment Programme. Other programmes not using Budget Support include the Dialogue Facility, the Capacity Building for Employment Promotion and the Accountability Programme.

In **2022**, payment credits will be used for Budget Support programmes such as the Support Programme to the National System of Innovation, the Support Programme to the implementation of the EU-SADC Economic Partnership Agreement, the Support Programme to the Wine and Spirits Sector, and the Gender Equality and Women Empowerment Programme. Other programmes not using Budget Support include the Technical Assistance Facility to support sustainable infrastructure.

### **DCI Thematic:**

#### **DCI Global Public Goods and Challenges (CPGC):**

##### **Environment and Climate change**

For the 2014-2019 period, out of a total EUR 49.938 billion in EU development cooperation managed by DG DEVCO (under DCI and EDF), climate change-related aid amounted to EUR 10.270 billion. This corresponds to 20.4% of total commitments.

In 2021, the payment appropriations requested for the Environment and Climate Change DCI completion line, as well as those for Sustainable Energy DCI completion line will be used to finance projects: (i) focusing on strong coordinated action at global level to tackle climate change, promote the implementation of the Paris Agreement and support sustainable energy transition; (ii) strengthening international environmental governance and supporting the implementation of multilateral environment agreements, in particular the Convention on Biological Diversity, and of EU action plans on deforestation, Forest Law Enforcement Governance and Trade and Wildlife Trafficking; (iii) enhancing environmental knowledge and monitoring to support evidence-based policies and providing technical assistance to partner countries and regions on Green Deal-related priorities.

All commitment appropriations for 2020 were duly committed; payments corresponding to 100 % of payment appropriations were made. Actions funded under the Multi-Annual Indicative Programme (MIP) for 2019-2020 continued to support action from the global to the local level to promote a healthy environment and to tackle and adapt to climate change, notably through the Global

Climate Change Alliance Plus (GCCA+) flagship initiative, the biodiversity crisis through the Biodiversity for Life flagship, deforestation and forest degradation in particular under the EU Forest Law Enforcement, Governance and Trade (FLEGT) Action Plan. In synergy with other action areas, the programme supported action to combat desertification and land degradation and promote sustainable and integrated management of land. The programme supported action to strengthen global environmental and climate governance, notably through support to selected Multilateral Environmental Agreements; and action on water, focusing on the integrated management of transboundary waters. Action to further promote sustainable consumption and production and support the transformation towards an inclusive green economy through the Switch to Green Initiative and actions to prevent and address pollution.

As far as 2020 commitments are concerned, a Decision provided for the establishment of an EU Nationally Determined Contributions (NDC) Technical Facility (EUR 14 million) and a new environment and climate change Mainstreaming Facility (EUR 2 million) whose objective, amongst others, is to support the current programming phase with the aim to reinforce the implementation of the external dimension of the Green Deal. The NDC Facility will support efforts to achieve climate neutrality by working specifically on NDCs update and implementation while not neglecting adaptation and disaster risk reduction aspects. The second facility will strengthen mainstreaming of climate change mitigation and adaptation, ecosystem based approaches, disaster risk reduction and environment in EU international cooperation. The facilities will start operations in 2021 and are expected to run until 2026.

In 2020, the EU fulfilled its pledge to provide a EUR 10 million financial contribution to the Adaptation Fund – one of the international climate funds established under the United Nations Framework Convention on Climate Change (UNFCCC), thus contributing to the global efforts to address climate change in the most vulnerable countries of the world.

Under the 2020 and 2021 payment appropriations for the completion budget lines, the implementation of projects will focus on international environmental and climate governance through targeted support to multilateral environmental agreements and processes; promoting a switch to green finance; enabling a future with forests; supporting EU action for sustainable landscape management; developing knowledge-based management of natural ecosystems for sustaining green growth and ensuring stability; tackling emerging threats to biodiversity and security in high value ecosystems, and ensuring support to water for Prosperity, Peace and Planet.

Appropriations requested for 2022 under the completion budget line will cover the implementation of the above-mentioned projects.

#### Sustainable Energy

Implementation status of the projects corresponding to the 2020 commitment and payment appropriations and to the 2021 payment appropriations under the ex-DCI (completion budget lines):

The AAP 2020 commitment credits will be fully executed.

Under the 2020 payment appropriations for the completion budget lines, the implementation of projects is on track. The payment appropriations for 2020 under DCI/GPGC have been fully disbursed.

Under the 2021 payment appropriations, the smooth implementation of projects committed under the previous MFF will continue.

The COVID-19 crisis did not have a major impact on the implementation, as adequate mitigation measures allowing their smooth continuation of project activities were put in place.

The payment appropriations requested for 2022 will cover the smooth implementation of projects committed under the previous MFF and those to be committed in 2021, in line with the respective payment schedules as encoded in BPC.

#### Human Development

In line with the United Nations 2030 Agenda for Sustainable Development and the new European Consensus on Development<sup>8</sup>, the programme seeks to systematically integrate and balance the economic, social and environmental dimensions of sustainable development in the implementation of the GPGC. Across its five action areas, it aims at promoting human development, sustainable investments and job creation, strengthen state and societal resilience, and addressing irregular migration and forced displacement, contributing to sustainability and security. As per the recommendations of the Mid-term review<sup>9</sup>, more attention was given to promoting interlinkages and cross-sectoral action at the nexus between different action areas that could contribute to multiple SDGs; and to enhance complementarity, coherence and synergies between thematic and geographic programmes. Building on lessons learned, actions seek to 'enhance the role of the EU as a global actor in the delivery of the 2030 Agenda and the Paris Agreement to help eradicate poverty and achieve sustainable development'.

#### Health

All commitments in 2020 were adopted as planned. The Commission contributed to the Global Fund against AIDS, Tuberculosis and Malaria (the Global Fund) and to GAVI, the Vaccine Alliance (GAVI). The Global Fund has saved 38 million lives since 2002. Only in 2019, 18.9 million people were on life-saving HIV treatment; 5.7 million treated for tuberculosis; and 160 million mosquito

<sup>8</sup> OJ 2006/C 46/01

<sup>9</sup> COM(2017)720 of 15/12/2017

nets distributed. Overall, the number of deaths caused by AIDS, TB and malaria went down by 40 % since 2002 in countries where the Global Fund invests. GAVI spends about USD 1.5 billion per year in the 73 poorest countries and helped to immunise 760 million children, preventing more than 13 million future deaths. Today about half of the world's children receive vaccines supported by GAVI. It will also take on a new role in polio eradication. GAVI is also hosting the COVAX Facility as the leading global purchasing mechanism that aims to procure at least 2 billion doses of future COVID-19 vaccines, enough so that at least 20% of the world can be immunised in every country.

Support to health systems strengthening including pandemic preparedness has been implemented through the Universal Health Coverage Partnership with the World Health Organisation. The programme has assisted ministries of health in 115 countries to build robust health systems and secure access to equitable health for 2 billion persons in order to respond and recover from the pandemic quickly.

### Education

Commitments were adopted as planned and payments had to be frontloaded following increased disbursement by global education initiatives due to extraordinary COVID-19 responses. EU involvement in financing and governance of the Global Partnership for Education (GPE) and the Education cannot Wait (EcW) platform made it possible to make progress in addressing the global learning crisis, in particular regarding vulnerable groups in Low Income Countries (LICs) and children in situations of crises. Both initiatives put in place rapid COVID-19 responses during 2020 to help countries mitigate the impact of the pandemic and to ensure continued learning during school closures. GPE allocated additional grants to more than 66 countries, and this led to greater disbursements than planned. The EU's contributions to GPE contributed to achieving a large part of the GPE's milestones, across key dimensions such as education policy, management, access, quality, equity and learning outcomes. EcW has improved access to quality education for up to 3.4 million children and young people affected by crisis in more than 30 countries, of which nearly half are girls. In addition to first emergency responses, multi-year resilience programmes have been launched to address challenges in protracted crises situations.

2022 payments will honour remaining contracts from the previous MFF (such as the Teacher Initiative in Sahel, the Gender at the Centre Initiative and Building Resilience through Education in crises).

### Culture:

Since 2018 the "Investing in Culture and Creativity" programme funds three actions reinforcing cultural and creative sectors to enhance their contribution to sustainable development. The EU-UNESCO Expert Facility is supporting 12 countries to develop appropriate regulatory frameworks for cultural and creative sectors, to boost their revenue potential. The selection process was complex and delays incurred slowing down disbursements, however corrective actions were taken. The 'Investing in Culture and Creativity' programme with UNESCO shows promising results in relation to cultural tourism and community development along the Silk Roads and a top-up was committed as planned in 2020. The project reoriented to budget to adapt its activities due to COVID-19 pandemic. This complements another action with the International Trade Center that is helping to provide livelihoods to women working in the textile and fashion sectors in African and Asian countries. Intercultural and interfaith dialogue projects support community dialogues and cultural interventions with and for disadvantaged communities, women, youth and refugees and are now reaching their final year of implementation, showing promising results for the promotion.

2022 payment appropriations will cover implementation of ongoing contracts.

### Gender equality (Gender Action Plan) and Elimination of Violence against Women and Girls (EVAWG)

The challenges to gender equality are as varied as the contexts in which they emerge and call for context specific responses. There is, however, not a single country in the world that is close to achieving by 2030 gender equality and empowerment of all women and girls. Some progress has been achieved, but deep-rooted inequalities persist aggravated by the current COVID crisis. The EU is a global front-runner in promoting gender equality as a key political objective of its external action and common foreign and security policy. The EU pursues a three-pronged approach, combining gender mainstreaming, targeted actions and political dialogue. On 25 November 2020, an ambitious Gender Action Plan III (2021-2025) was adopted.

EU actions continued to promote gender equality in partnership with governments and non-government stakeholders along the thematic priorities of the Gender action plan II. The amount of funds specifically targeting gender equality continued to increase, reaching 8.7 bio (64.71% of all new actions) in 2019, accompanied by more coordination and coherence among EU actors, an increase of political and policy dialogues on gender equality issues, as well as a sustained and strong support to civil society organisations. Close to 3,500 dialogue events with partner countries were reported in 2019 on topics related to gender equality. Most of these were sectoral dialogues. Women's human rights and democracy, sexual and reproductive health and rights, decent work and employment, and education were the issues most frequently discussed during such sectoral dialogues. Overall, collaboration between EU Institutions and Member States' authorities increased in 2019. New donor coordination mechanisms on gender equality issues were established, 58 of which are led by EU Delegations.

Programmes that focus on preventing and responding to violence against women and girls continued to be one of the principal objectives. The Spotlight Initiative, the biggest ever global effort to eliminate violence against women and girls created in September 2017, was up and running in 26 countries and 6 regions by the end of 2020 and the full amount of EUR 497 million committed. A first narrative report was received about the implementation on the Initiative in the ASEAS region, 8 African countries and 4 Latin-American countries. 41 laws have been developed or strengthened in 11 countries on topics related to

EVAWG, 29% of the targeted countries integrated EVAWG into sector plans and 9 countries prioritized gender responsive budgeting. 437 communities in 11 countries have set up advocacy platform to promote gender equitable norms, attitudes and behaviours and over 350.000 adolescents were reached through education programmes. There was a 15% increase in survivor's seeking assistance and a 10% increase in cases reported to the police. During 2019 and 2020, we also considerably increased funding to grassroots organizations and women's organisation through the two UN Trust Funds with which we partnered.

In the light of upsurge in domestic violence against women and children triggered by the COVID-19 crisis, the Commission has through the EU-UN Spotlight Initiative redirected over EUR 20 million to boost prevention, increase support for victims, as well as support for women's grassroots organisations providing essential services. It is expected that the COVID-19 will affect implementation in some countries (delays) and that innovative ways of delivering will need to be up scaled.

### Child wellbeing

On child wellbeing, the previous years have been mainly dedicated to the implementation of four regional programmes to promote and protect specific children rights, all ended implementation during 2020 or before. These programmes are: the EU-funded Joint Programmes with UNICEF/UNFPA (United Nations Population Fund) to end Child marriage and to abandon FGM, which have both played a key role in maintaining the momentum to end child marriage and FGM by promoting the global agenda and positioning policy and legislative support, as well as by demonstrating innovative community action. The EU-funded UNICEF programme "Towards Universal Birth Registration in Africa: Burkina Faso, Cameroon, Uganda and Zambia" which has recorded tangible results (see section Key achievements) and finally the "EU-funded Global Programme to Prevent Son Preference and Gender-biased Sex Selection: Improving the sex ratio at birth in select countries in Asia and the Caucasus". A second phase of this programme is now being prepared. Details of these four programmes are in section Key achievements, below. Given that these projects ended in 2020 they were not affected by the COVID crisis as such.

In 2020 funding has been secured for 4 new projects which will be contracted during the first quarters of 2021 and they will also integrate the consequences of the COVID-19 and explore alternative modalities were needed. The 3 programmes are:

1. The "Access to Justice for Children in the move in West Africa" project with UNICEF (EUR 7.89 million) will improve children's access to child-friendly justice through age and gender-sensitive juvenile justice mechanisms and alternatives to detention of children on the move and vulnerable children in West Africa.
2. The "Addressing Gender-Biased Sex Selection and Related Harmful Practices in the South Caucasus" project with UNFPA (EUR 2 million) is the continuation of the previous Programme on Son Preference and will scale up the successful results and effective practices achieved during Phase I, address gaps, and foster gender-transformative approaches to eliminate discriminatory social norms and harmful practices by scaling up effective, evidence-based interventions.
3. The "Reparations and redress for victims of conflict-related sexual violence" project with the Global Survivors Fund (EUR 2 million) aims to enhance survivors' of conflict-related sexual violence access to reparations and other forms of redress globally, including where the States or other parties responsible for the violence are unwilling or unable to provide reparations.

### Employment, decent work, skills, social protection and social inclusion:

Social Protection payment appropriations for 2021 and 2022 will be used to support the ongoing thematic programme "Improving synergies between Social Protection and Public Finance Management".

### Growth, jobs and private sector engagement

In 2020 part III of Sustainable Investment Climate and Value Chains Programme was adopted aiming at continuation of inserting partner countries into regional and global value chains through supporting investment climate improvements and enhancing capacity-building, access to markets and value addition, to ensure that they can take advantage of trade and investment opportunities to foster growth and job creation. In this regard a particular focus was put on increasing partner countries' capacity to implement sanitary and phyto-sanitary standards; improving transparency, accountability and good governance in the mineral value chains; and supporting the improvement of the investment climate and the facilitation of public-private dialogue in partner countries.

### Food and nutrition security and sustainable agriculture

The 2020 commitments and payment appropriations on the DCI Food security, nutrition and agriculture budget line have been fully implemented.

The 2021 payment appropriations (EUR 195,000,000) and the 2022 payment appropriations will cover actions in the areas of sustainable agriculture, nutrition and food security.

### Migration and asylum

Migration and forced displacement rose to the top of the EU political agenda during the period 2014-2020, which was also reflected in the increased budget for the Migration and Asylum programme. The initial budget amounted to EUR 344 million for the period 2014-2020. However, since 2016, the annual allocations have increased. In 2016, the programme was increased with EUR 12

million and in 2017, the budgetary authority decided to grant an additional EUR 356.7 million for the programme. Moreover, the budgetary authority increased the budget allocation for 2019 by EUR 1.8 million and requested to redouble EU development cooperation efforts on child protection in the context of migration. The total budget allocated to the programme for the whole period exceeded EUR 700 million.

Under the first MIP 2014-2017, the programme supported actions to (1) *promote effective governance of migration and improve management of migratory flows in all their dimensions*, (2) *enhance the positive impact of the increased regional and global migration and mobility on economic, social and environmental development* and (3) *improve a common understanding of the migration and development nexus*, for a total amount of EUR 540 million. These actions have contributed to implement EU policy priorities in the area of migration, notably the European Agenda on Migration and the Partnership Framework, as well as EU commitments at global level. Under the second MIP 2018-2020, the programme supported actions to:

(1) *Maximise the positive impact of migration on sustainable socio-economic development*. Several programmes were adopted and are now ongoing and include a large programme with IFAD (International Fund for Agricultural Development) on improving remittances in Africa (EUR 15 million); a programme on strengthened engagement with diaspora communities and organisations with ICMPD (International Centre for Migration Policy Development) (EUR 5 million); and the Global Knowledge Partnership on Migration and Development (KNOMAD) migration knowledge programme, aiming to improve targeted migration research and data with the World Bank (EUR 5 million).

(2) *Promote safe, regular and well-managed migration*. To support this objective a contribution to the EU Trust Fund for Africa was made under the AAP 2018 (EUR 29.5 million) and two actions were adopted under the AAP 2019: an EU Global Migration capacity building support programme with the International Organization for Migration (IOM) (EUR 12 million) and a global Action to promote best practices for children affected by migration, with UNICEF (EUR 7 million).

(3) *Implement the development oriented approach towards forced displacement*. Following the 2016 Commission Communication 'Lives in Dignity: from Aid-dependence to Self-reliance' and the rollout of the Comprehensive Refugee Response Framework, more attention was paid to this objective. In line with this new EU policy approach, a substantial part of the programme was dedicated to this objective since 2018. On the one hand, several contributions have been made to the Syria Trust Fund for activities to be carried out notably in Iraq (EUR 5 million in 2018, EUR 7.5 million in 2019 and EUR 8.3 million in 2020). On the other hand, contributions to addressing forced displacement in the Americas through innovative approaches have been subject to one action in Central America (2018 – EUR 4 million) and three actions in relation to the Venezuela refugee crisis (2018 – EUR 6 million, 2019 – EUR 10 million and 2020 – EUR 27 million). Finally, the political importance of this objective has led to supporting one innovative action in relation to climate displacement in the Pacific (2018 – EUR 3 million) and in the launch of a new EU Global Facility for Refugees (2019 – EUR 20 million and 2020 – EUR 20 million).

Since the design of the programme, the overall migration situation has evolved dramatically, leading to a sharp increase in funding allocations for migration under other instruments and programmes, notably the EU Trust Fund for Africa, the MADAD Trust Fund, but also sizable allocations for countries in Asia under the DCI. Actions funded under the GPGC were implemented in full coherence and in close coordination with these programmes, complementing actions at national and regional level by engaging also at global and cross-regional levels.

#### Civil society in development

Engagement with civil society remained crucial in 2020 in response to the COVID-19 crises and the further deterioration of shrinking civil space. During 2020, EUR 285 million were contracted for the programme CSO-LA. Due to the COVID situation, a number of EU Delegations have used their 2020 allocations already in 2020 by the way of direct awards in the flexible procedures of the crisis situation. The 2019 funds were fully committed at country and global level and the 2020 payments under the CSO budget line reached EUR 221 million; an increase compare to 2019 (EUR 193 million).

At global and regional level, 2020 payment appropriations have been used in the context of 24 already existing Framework Partnership Agreements. A call for proposals on Inequalities has led to the signature of two contracts for Africa and Asia for a total of EUR 7.2 million. The increased cooperation with Foundations has materialized with four contracts for a total amount of EUR 9.9 million, mostly related to COVID to address the health and socio-economic consequences of COVID-19 in Africa. An evaluation of the support to the Framework Partnerships Agreements (FPA) was performed during 2020. Finally, we pursued the support to the Policy Forum on Development. INTPA dialogue with civil society organisations and local authorities through the Policy Forum on Development focused on future EU priorities and programming.

At country level, during 2020, EU Delegations implemented the CSO programme in the priorities foreseen by the Multiannual Action Programme. 202 contracts were finalized for a total amount of EUR 154 million.

With regard to Development Education and Awareness Raising (DEAR), five contracts amounting to EUR 45.2 million were signed in 2020 (from 2018 call for proposals). In addition, one service contract (DEAR Support Team) was concluded for EUR 2.6 million and one direct grant for EUR 1.9 million (Presidency Project).

#### Local authorities in development

For the Local Authorities thematic program 2020 has been the last year of the 2018-2020 Multiannual Indicative Programmes

(MIPs) and the last year of the Multiannual Action Programme 2018-2020 adopted in November 2019. In addition it marks the end of the Thematic Program for Local Authorities (not retained in the next MFF 2021-2027); it also marks the end of the approach inaugurated in 2018 with the centralization in HQ of the funds, previously attributed to Delegations, and totally dedicated to decentralized cooperation (cooperation extended by Local Authorities of the EU Member States to local authorities of partner countries). Under the program Partnerships for Sustainable Cities a call for proposal was launched in February 2020 and successfully concluded in December 2020 with 26 new partnerships set up for a total budget of EUR 71.1 million and attributed to Delegations for management. The Specific Grant Agreements concluded with the five signatories of the Framework Partnerships Agreements were implemented focusing most of their activities on support to Local Authorities and their associations in facing the COVID crisis and preparing the stakeholders to the new approach of the NDICI regulation with the geographization of the Local Authorities thematic budget line. With the Support measures of the MIP 2018-2020 and with ATA credits a coordination committee of the 43 partnerships grants put in place with the last two centralized calls was established, as well as a contribution agreement with the OECD for a homogeneous monitoring of the partnership and their contribution to SDG 11 and SDG 17 implementation and SDGs localization. A mapping exercise on the funds attributed to Local Authorities between 2007-2017 was started.

In 2021 the 5 Strategic Partnerships with the Regional and Global Associations of Local Authorities (operating and action grants) will be renewed (under the Budget 2020) for an amount of EUR 13.594 million. Under the Program Partnerships for Sustainable Cities a third call for Proposals on decentralized cooperation (Local Authorities of EU to Local Authorities of partner countries) will have to be launched for an amount of EUR 39.849 million, due to the lack of absorption of all funds under the second call for proposal 2020 (COVID pandemic's disruptions on Local Authorities capacities to reply to the call).

### **DCI PanAf:**

The Pan-African Programme is mostly implemented by the African Union Commission or specialised International Organisations in fields where they provide an added-value or have a recognised international mandate. In area such as higher education, statistics and aviation, where the main objective is to share with the African partners our European expertise, technologies and know-how, the cross-delegation to line DGs or their implementing agencies is the favoured modality.

Within the Pan-African Programme, the DCI budget financed programmes contributing to the strategic areas of the Multi-Annual Indicative Programmes 2018-2020, in line with the Joint Africa-EU Strategy (JAES). Over 2018-2020, actions were particularly focused on higher education, economic integration, migration, digitalisation, statistics, infrastructures and governance.

The 2020 Annual Indicative Programme (AAP) has focused on: (i) the support to the negotiations, ratification and implementation of the African Continental Free Trade Area (AfCFTA), (ii) the support to the operationalisation of the Digital Economy Task Force Partnership; (iii) the support to the operationalisation of the Single African Air Transport Market; and (iv) a Science and Technology partnership on sustainable use of natural resources.

The commitment and payment appropriations of the year 2020 for DCI Panaf were fully implemented.

The payment appropriations of the year 2021, for DCI Panaf (on the completion line) will be used for ensuring the implementation of various projects mainly included in the Annual Action Plans for 2019 and 2020, in the areas of infrastructures, higher education, governance, migration, statistics, economic integration and digital connectivity.

Regarding the year 2022, the request of payment appropriations for DCI Panaf reflects the need to continue the implementation of programmes in the areas of economic integration (support to the African Continental Free Trade Area), digitalisation, science and technology.

### **Previous programme 2: European Instrument for Democracy and Human Rights (EIDHR)**

	Commitments	Payments
Implementation Voted budget	1 250 289 782	832 616 023
Implementation Carry-overs	0	15 074 093
Implementation total	1 250 289 782	847 690 116
total envelop*	1 250 546 102	
cumulative implementation rate	100%	68%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

2020 has been the last year of the 2018-2020 Multiannual Indicative Programmes (MIP)<sup>10</sup> and also the last year of the Multi-annual Financial Framework 2014-2020, marking the end of a strategic period. The actions implemented during 2020 were set out in the

<sup>10</sup> Commission Implementing Decision C(2018) 6409 final of 5.10.2018.

Special Measure 2018<sup>11</sup> and the Multiannual Action Programme 2018-2020<sup>12</sup>. The Election Observation Missions (EOM) activities are adopted annually through work programmes.

Since 2014, the EIDHR programme has concluded contracts for more than EUR 947 million and has realized payments for over EUR 885 million.

At the end of the year 2020, the EIDHR implemented all the commitment appropriations available.

With regards to the payments appropriations, the implementation rate at the end of 2020 was of 68%, which reflects the normal rhythm of implementation for this instrument. The bulk of the contracts are signed in the following year (N+1) and most often the first prefinancing is made during this same year. The subsequent payment rate is linked to the implementation of the actions which have an average duration of 3 years. The RAL absorption ratio in 2020 was 2,5, a level similar to previous years.

Through the implementation of these funds, the EIDHR programme has not only implemented its activities as planned and reached its objectives in a context of shrinking civic and democratic space. It has also put in place a set of measures to face COVID-19 crisis and its significant negative repercussions on human rights, democracy and the rule of law. The EIDHR detailed performance are described below in section 3.

The activities which are still to be done in 2021 and 2022 in relation to the 2014-2020 EIDHR are mostly related to ongoing projects and actions under the country allocation and projects managed at global level. The outstanding RAC (reste à contracter) for DG INTPA and DG NEAR is EUR 75 million.

These are in particular:

- the two Flagship initiatives on providing emergency assistance to human right defenders worldwide
- the crisis facility aimed at addressing the most difficult human rights situations worldwide, for which we still have EUR 3 million to be committed
- finalise the call for proposals launched in 2020 with the objective of countering the shrinking space for civil society (EUR 10 million)
- Continue the flagship pilot project on parliamentary strengthening entitled "INTER PARES | Parliaments in Partnership - EU Global Project to Strengthen the Capacity of Parliaments" launched in 2018 (EUR 5 million). It has a peer-to-peer implementation approach, facilitating exchanges between EU Member States parliaments and parliaments from partner countries around the world
- Contract the allocations at country level for the year 2020 under the CBSS (Country Based Support System, overall allocation EUR 99.8 million)
- Continue our support to key human rights players, such as the UN Office of the High Commissioner for Human Rights (OHCHR), the International Criminal Court (ICC), the European Network of National Human Rights Institutions (ENNHRI), the Global Campus higher education network and its seven regional university networks, the Council of Europe and the American Court and American Commission of Human Rights
- Continue our support to raising the voice of indigenous people through the Navigator.

Actions described above will imply the contracting by INTPA, in 2021, of the commitment appropriations allocated in 2020 (RAC). Their implementation will continue throughout 2022. The use of payment appropriations on the completion line for EUR 120 million is foreseen in 2021 (14 02 99 04).

#### **Election Observation Missions (within EIDHR):**

Implementation of the EOM budget depends on the actual deployment of missions. The total number of processes observed and assessed by the EU depends on:

- the political agenda, as defined by the High Representative/Vice President,
- any changes (postponements/cancellations) in the relevant electoral calendars/processes,
- the annual budget available,
- the EU's capacity to deploy electoral missions in view of the operational and security (including health) conditions in the countries concerned.

Unstable security situations or changes in the electoral calendar may cause cancellations of the missions and thus lead to lower implementation rates.

#### **Impact of the Covid crisis in the implementation:**

The COVID crisis resulted in a significant deterioration of Human Rights and Democracy worldwide. Seven sensitive actions for EUR 5 million were swiftly contracted in 2020 under the *EIDHR Human Rights Crisis Facility*, to answer to the most pressing needs (e.g. support to LGBTI organisations; indigenous communities affected by COVID; torture and detention conditions).

Other amounts were dedicated to address specific difficulties linked to the COVID crisis for a total of approximatively EUR 23 million as part of the EU Global Recovery Response, a few examples below.

<sup>11</sup> Commission Implementing Decision C(2018) 5123 final of 10.8.2018.

<sup>12</sup> Commission Implementing Decision C(2018) 6798 final of 19.10.2018.

The COVID crisis has inevitably affected project implementation and a number extension riders and budget reallocations had to be signed.

- A new partnership was concluded in 2020 with a consortium of CSOs. Projects for an amount of EUR 10 million were concluded to strengthen national child protection systems and raise children's voices in 5 African countries and this to respond to the increasing figures of negligence and violence against children;
- A pilot initiative of EUR 5 million was started in 2020 to contribute to greater democratic accountability of public institutions globally, specifically by empowering civil society to demand systemic change to address accountability and anti-corruption deficits in 16 countries (SANCUS project);
- The EU mobilized EUR 5.5 million in 2020 for support to journalists affected by the pandemic. Journalists from some 35 countries in Africa and Latin America will receive direct financial support;
- Support to the newly created "Global Monitor of COVID-19's Impact on Democracy and Human Rights" in 2020, a "one-stop" online global monitoring platform (a "tracker of trackers"), implemented by International Institute for Democracy and Electoral Assistance (IDEA), with data and brief analysis by country, for 162 countries around the world.

Due to the COVID-19 pandemic, the implementation rate for election observation missions in 2020 has been low. Many missions could not be deployed, due to the increase in global travel restrictions or high-risk sanitary situations. At the same time, difficult security situations in places where missions do take place can lead to significantly higher costs per mission. However, the total expenditure of the EOM budget remained low due to fewer missions.

### Previous programme 3: European Fund for Sustainable Development (EFSD)

	Commitments	Payments
Implementation Voted budget	350 000 000	50 000 000
Implementation Carry-overs	0	300 000 000
Implementation total	350 000 000	350 000 000
total envelop*	350 000 000	
cumulative implementation rate	100%	100%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

At the end of 2020, the EFSD was fully implemented, in terms of commitment and payment appropriations.

In the framework of the External Investment Plan (EIP), the European Commission has established the European Fund for Sustainable Development (EFSD)<sup>13</sup> to support investments in Africa and the Neighbourhood. The overall aim of the EFSD is to contribute to the goals of the United Nations 2030 Agenda for Sustainable Development, in particular poverty eradication, as well as to the commitments under the recently revised European Neighbourhood Policy. By supporting investments in Africa and the Neighbourhood, the EFSD also aims to address specific socioeconomic root causes of migration, including irregular migration, and to contribute to the sustainable reintegration of migrants returning to their countries of origin and to the strengthening of transit and host communities. The guarantee aims to serve as a risk mitigation mechanism to leverage private sector financing whilst avoiding market distortions and to crowd-in private sector funds.

Pursuant to Article 8 of the EFSD Regulation, the investment period, during which guarantee agreements for supporting investment programmes could be concluded with the eligible counterparts, lasted until 31 December 2020. As of 31 December 2020, the Commission exhausted the present capacity of the EFSD Guarantee by signing 18 guarantee agreements worth EUR 1,548,700,000, exceeding the initial EFSD Guarantee capacity of EUR 1,5 billion as a result of additional contributions from donors. Some guarantee tools had to be postponed to EFSD+ and others recalibrated to address impact of COVID-19. More details on the signed guarantee agreements are provided below in Key achievements. All commitment and payment appropriations for year 2020 were fully exhausted.

Under the established EFSD Guarantee, the Commission provided partial guarantees to eligible counterparts, which in turn would provide support to downstream beneficiaries. Partner financial institutions subsequently have four years as from the conclusion of the guarantee agreement to conclude agreements for underlying operations with co-financing partners, financial intermediaries or final beneficiaries. As a rule, the duration of the guarantees extended to eligible counterparts under each guarantee agreement should not exceed fifteen years.

<sup>13</sup> Regulation (EU) No 2017/1601 of the European Parliament and of the Council of 26 September 2017 establishing the European Fund for Sustainable Development (EFSD), the EFSD Guarantee and the EFSD Guarantee Fund.

**Previous programme 4: European Neighbourhood Instrument (ENI)**

	Commitments	Payments
Implementation Voted budget	17 566 351 371	9 761 093 767
Implementation Carry-overs	0	32 154 905
Implementation total	17 566 351 371	9 793 248 672
total envelop*	17 568 263 104	
cumulative implementation rate	100%	56%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

As of 31 December 2020, the Commission implemented 100% of the ENI commitment appropriations and 56% of the payment appropriations.

While the actions in the neighbourhood region were implemented in the challenging external relations context characterised by the limited scope for predictability and reliability of planning, the implementation of ENI appears to be on track. At the end of 2020, in average 3.2 years<sup>14</sup> were needed to pay the total costs of legal commitments, much less than the target of 4 years. In recent years, the Commission accelerated the implementation of the ENI. The payment implementation increased from EUR 1.7 billion in 2018 to EUR 2.6 billion in 2020. As 2020 was highly impacted by urgent payments, related Covid-19 pandemic, the ENI payment implementation rate should decrease in the following years 2021-2022, still allowing for payment of the total costs of taken commitments on time.

The EU budget is an investment budget and finances projects that run over a long period of time, in particular in external actions. The financing agreements with the beneficiary countries must be signed by the end of the year following the year in which the budgetary commitment was made, while contracts implementing these agreements must be signed within the following three years with varying implementation periods. In addition, contracts are implemented in on average 3 years, while those with International Financial Institutions, such as blending and guarantees, have longer implementation periods (6-9 years).

**The COVID-19 impact on implementation**

In 2020, there was an increased need for payment appropriations due to the fact that the Commission immediately re-oriented, re-programmed its support, and speeded-up the implementation of contracts in benefit of all partner countries in order to maximise its response to the consequences of COVID-19 outbreak. As part of the Team Europe, the Commission allocated EUR 2.3 billion (including EUR 2.3 billion for the Southern Neighbourhood and EUR 1 billion for the Eastern Partnership) for:

- urgent, short-term emergency response to the health crisis and the resulting humanitarian needs;
- strengthening health and water systems;
- addressing economic and social consequences.

Having above in mind, the implementation of actions in response to the COVID-19 is considered successful. Nevertheless, the overall pandemic situation had a limited impact on some procedures and procurements linked to individual contracts slowing them down, in particular those with reduced priority as a result of the re-orientation and re-programming exercises.

**Implementation status**

The following programmes were adopted in 2020:

- 12 Annual Action Programmes (including two Regional Action Programmes, one for the East and one for the South).
- 5 Special Measures (on Belarus, Egypt, Israel, Libya, and Syria).
- 2 Special Measures on the 2020 ENI contribution to the European Union Regional Trust Fund in response to the Syrian crisis.
- 2 Special Measures on the 2020 ENI contribution to the European Union Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa.
- 1 decision on the Neighbourhood Investment Platform (NIP),
- 1 emergency package “EU COVID-19 Solidarity Programme for the Eastern Partnership”

Total operational commitments for ENI in 2020: EUR 2.8 billion.

<sup>14</sup> The RAL absorption period is estimated by the key performance indicator K04 as the number of years needed to pay the total costs of legal commitments.

Total operational payments for ENI in 2020: EUR 2.5 billion.

**Previous programme 5: Instrument contributing to Stability and Peace (IcSP)**

	Commitments	Payments
Implementation Voted budget	2 366 901 412	1 658 029 078
Implementation Carry-overs	0	14 005 612
Implementation total	2 366 901 412	1 672 034 690
total envelop*	2 367 067 406	
cumulative implementation rate	100%	71%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The implementation of the IcSP financial programming 2014-2020 has been fully in line with the expectations. Until the end of 2020, 100% of the total envelop has been committed and 71% paid.

The 100% execution of commitment appropriations reflects the full implementation of the allocated envelope for IcSP actions.

The 71% execution of payment appropriation is explained by the fact that IcSP actions respond to conflict situations or situations where there is a risk of conflict, the risk of unforeseen events is high and actions at times have to be amended as a consequence. Sometimes this meant that not all foreseen activities could be implemented, which was reflected as underspending and hence the need to de-commit.

Under IcSP, during the 2014-2020 period, more than 600 projects were launched worldwide in the field of crisis response, conflict prevention and peacebuilding and more than 300 projects in the field of global and trans-regional threats.

Actions through the IcSP were among the first in the Commission's Team Europe response to the COVID-19 pandemic. Under Art. 3, eleven new financing decisions (EUR 50.85 million) and five increases to existing financing decisions (EUR 5.42 million) were adopted. Furthermore, activities under more than 60 on-going actions were re-oriented to deal with COVID-19 related needs (EUR 8.6 million). Travel restrictions related to COVID-19 have caused some delays in implementation during 2020, but the vast majority of actions swiftly adapted to the new context and to new online tools.

**Previous programme 6: Partnership Instrument (PI)**

	Commitments	Payments
Implementation Voted budget	961 252 204	538 651 306
Implementation Carry-overs	0	2 838 603
Implementation total	961 252 204	541 489 908
total envelop*	961 739 570	
cumulative implementation rate	100%	56%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

At the end of 2020, 100% of the total envelope of the instrument has been committed and 56% paid. The instrument was on highdemand

The 100% execution of commitment appropriations reflects the full implementation of the allocated envelope for PI actions.

The 56% execution of payment appropriations reflects the way the PI is implemented through Annual Action Programmes and multi-year contracts (on average 4 years). Consequently PI project implementation will continue over the coming years, with the last contracts ending around 2025-2026.

The impact of the COVID-19 crisis on the financial implementation of the PI was limited thanks to the measures taken to ensure business continuity regarding the instrument's functioning and operations. In 2020, 11 new actions (EUR 50 million) were programmed with a focus on the response to the pandemic. In addition, 59 ongoing actions (EUR 7.6 million) were re-oriented to cover COVID-19 aspects.

PI contributed to the Commission's Team Europe response to the COVID-10 pandemic through the adoption of 11 new actions (EUR 50 million) and the re-orientation of 59 ongoing actions (EUR 7.6 million).

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

##### **3.1.3 Performance of corresponding 2014-2020 programme Development and Cooperation Instrument (DCI):**

The specific, diverse and rapidly changing context of EU external action requires the use of all the existing implementation modalities and delivery methods to pursue the policy objectives and operational priorities. With a budget of approximately EUR 20 billion, the DCI has been a key financing instrument to support EU development policy. Many initiatives that were successfully started under the DCI will provide a solid basis for future interventions planned under the NDICI. Looking at its performance over the years, it has effectively supported the implementation of the 2030 Agenda for Sustainable Development, the Addis Ababa Action Agenda on financing for development and the Paris Agreement on Climate Change, globally and directly with partner countries. With its overall objective to eradicate poverty in partner countries and provide a long-term response to global threats/challenges (many of which have their roots in poverty and under-development), the DCI substantially contributed to the 2014-2019 Commission objectives of 'Europe as a stronger global actor' and 'Towards a new policy on migration'. Its relevance has not decreased with the 2019-2024 Commission, where its actions supported the EU policy objectives of 'A stronger Europe in the world' in particular.

Accompanying the general objective to 'Eradicate poverty' were the following specific objectives: 'Fostering sustainable development' and 'Consolidating and supporting democracy'. To achieve these, the DCI provided funding for: (1) geographical programmes covering most developing countries (approximately 60 % of the DCI budget); (2) thematic programmes (approximately 36 %); (3) the Pan-African programme which supports the Africa-EU Strategic Partnership (approximately 4 %).

The EU's financial support via the DCI has helped to improve the lives of millions of people worldwide, enable youth to fulfil their potential, fight inequality and support equitable and sustainable growth. Good progress has also been made in some key areas of the DCI, notably those related to Sustainable Development Goals (SDGs) for girls' access to education and reducing the prevalence of stunting among children under 5 years old. As per the recommendations of the Mid-term review, more attention was given to promoting interlinkages and cross-sectoral action at the nexus between different action areas that could contribute to multiple SDGs; and to enhance complementarity, coherence and synergies between thematic and geographic programmes. COVID 19 pandemics did not hamper working toward achievements of the DCI objectives, on the contrary it showed how flexibility and fast response is important to rapidly growing needs.

Regarding progress on the first specific objective, most of the population residing in DCI partner countries has experienced progress in poverty reduction and human and economic development over the last ten years. Indeed, the proportion of the world population below the international poverty line has dropped every single year since 2014, reaching 8.7 % in 2019 and staying there in 2020. Similarly, the under-five mortality rate, and the prevalence of stunting have also decreased every single year over the 2014-2019 period. Despite these positive trends, the rates of change have slowed over time as numbers have approached (but not reached) their ambitious targets. Prevalence of stunting is the exception for which targets have consistently been met.

Regarding progress on the second specific objective relating to the consolidation of democracy, rule of law, good governance and human rights, the indicators tell a less encouraging story. For the World Bank's Rule of Law score, the situation deteriorated between 2014 and 2016 and has not significantly improved since. For the proportion of seats held by women in national parliaments, the progress has been so slow that if the current pace of change were to continue in the future, the 2020 target would be only met in 2035. This is why the Commission has insisted and financed a number of projects to promote democracy, rule of law, good governance and human rights significantly above the target of 100 projects per year on average over the 2014-20 period.

Despite these statistics, it remains difficult to measure the direct impact of the DCI 2014-2020 on development outcomes such as

poverty reduction because there are so many other actors and factors which have also contributed to achieving these results, consequently they cannot be directly attributable to the DCI.

Annual results reporting exercises have been conducted since 2015 and monitoring of indicators have been constantly upgraded to ensure better and wider coverage of result achieved. Collected information feeds the External Assistance Annual Reports<sup>15</sup>, DG INTPA's Annual Activity Reports, assessments of a particular implementation modality e.g. 'Budget Support - trends and results 2020'<sup>16</sup> or assessments of thematic objectives achievement e.g. 'Action plan on nutrition: Fifth progress report April 2019 - March 2020'<sup>17</sup> (n) or '2019 Implementation Report on Gender Action Plan II Gender Equality and Women's Empowerment: Transforming the Lives of Girls and Women through EU External Relations 2016-2020'<sup>18</sup>. Selected results have been also aggregated through the EU Results Framework (set up 2015, then revised in 2018). To improve the consistency of performance monitoring of actions under the NDICI and make it aligned with the DGs Strategic Plans 2020-2024, the EU Results Framework is under revision (Staff Working Document planned in spring 2021).

By using the DCI, the EU financed actions aimed at supporting geographic and thematic cooperation with developing countries included in the list of aid recipients compiled by the OECD DAC. Unlike other External Financing Instruments, the actions under the DCI geographic instruments had to be designed so as to fulfil the eligibility criteria for Official Development Assistance (ODA) as published by the OECD DAC. These criteria are both geographic (list of eligible recipients) and related to the design of the project eligibility. Only a few exceptions existed in the case of the thematic Global Public Goods and Challenges programme and the Pan-African programmes, where a limited percentage (5 and 10 % respectively) could be used for non-ODA eligible activities.

In terms of mainstreaming EU priorities, good progress has been noted e.g. in the areas of climate change and environment - between 2014 and 2020, there was a steady increase of climate change-related financing, which has exceeded the 20 % target for the DCI instrument. Mainstreaming human rights including gender equality and women's empowerment has been considered as work-in-progress, in particular the path towards the 85 % target for new programmes to include gender equality as a significant or principal objective. Indeed, further efforts are required, as partner governments sometimes show a lack of interest or even certain resistance in these areas. In order to deliver on the contribution expected from the external dimension of the EU Green Deal in the area of climate change and the environment, more remains to be done to systematically integrate these themes across all areas of cooperation covered by the DCI.

The programme demonstrated the capacity to react to priorities, enabling the EU to implement its development policy framework and, to some extent, being flexible enough to respond to emerging challenges. In particular, in response to the global spread of the COVID-19 pandemic that began affecting the world at the beginning of the year, in April 2020 the EU issued a joint communication on its global response to COVID-19<sup>19</sup>. The Communication announced a substantial package of aid to help partner countries fight the pandemic that followed a Team Europe approach. This involved drawing contributions from all EU institutions and combining them with the resources mobilised by EU Member States and financial institutions, in particular the EIB and the EBRD, in coordinated action to support partner countries. To fulfil an unprecedented need for this urgent mobilisation of funds from DCI within a very limited timeframe, the Commission put in place simplified and rationalised procedures within the limits and in compliance with the legal basis of programmes and the 2018 Financial Regulation. This included the simplification of Action Document templates and expedited quality review. Minimum requirements on objectives, results and indicators (agreed with our partners) have been requested to ensure data on results are aggregable for future reporting. To promote accountability, a COVID-19 marker has been introduced to easily identify the EU contribution to mitigating the effect of the crisis, as a main or significant objective. To collect early evidence and provide an independent assessment of the EU's response (as provided by the EU institutions, EU Member States, EIB and EBRD) to the COVID-19 crisis in support of partner countries and regions, the Commission has launched a dedicated strategic evaluation. This evaluation seeks to be a stock-taking, lesson-learning and forward-looking exercise on the objectives of the new Team Europe approach and their achievement (to the extent possible).

In terms of efficiency, the DCI appropriations 2014-2020 were fully used and implemented as planned, through a comprehensive programming process; there is no need for corrective action. The result of the process has been a set of programming documents that define per bilateral/regional/thematic programme: the priority areas for financing, the specific objectives, expected results, indicators and indicative allocations.

The DCI has been implemented both via direct management (including when it acts through the EU Delegations or an executive agency of the EU) and indirect management. For indirect management the EU has been relying on a variety of partners such as international organisations, Member States agencies and organisations, civil society organisations, national, regional and local authorities, international and development financial institutions in situations where they have a clear added-value, building on the experience achieved and the lessons learned.

<sup>15</sup> [https://ec.europa.eu/international-partnerships/system/files/intpa-annual-report-2020-swd\\_en.pdf](https://ec.europa.eu/international-partnerships/system/files/intpa-annual-report-2020-swd_en.pdf)

<sup>16</sup> [https://ec.europa.eu/international-partnerships/system/files/budget-support-trends-and-results\\_en.pdf](https://ec.europa.eu/international-partnerships/system/files/budget-support-trends-and-results_en.pdf)

<sup>17</sup> [https://knowledge4policy.ec.europa.eu/publication/action-plan-nutrition-fifth-progress-report-april-2019-march-2020\\_en](https://knowledge4policy.ec.europa.eu/publication/action-plan-nutrition-fifth-progress-report-april-2019-march-2020_en)

<sup>18</sup> [https://ec.europa.eu/international-partnerships/system/files/eu\\_gap\\_2019\\_web\\_0.pdf](https://ec.europa.eu/international-partnerships/system/files/eu_gap_2019_web_0.pdf)

<sup>19</sup> Joint Communication to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, "Communication on the Global EU response to COVID-19", JOIN (2020) 11; ([https://ec.europa.eu/commission/presscorner/detail/en/IP\\_20\\_604](https://ec.europa.eu/commission/presscorner/detail/en/IP_20_604)).

The role of DCI was not only to support developing countries, but also to ensure focus and coherence among contributors on key challenges and to move toward a values-based, transparent and results-focused development cooperation system.

While there is some evidence of coherence between the DCI, other instruments and EU external action policies, a more strategic approach is needed. This more strategic and coordinated approach is well embedded in the NDICI. Building on the experience gathered from the previous instruments, the NDICI allows for setting up clear and coherent monitoring and reporting mechanisms across all implementation modalities, geographical areas and sectors at various level of operational strands. It will support the Commission in continued efforts to improve performance assessment of the external instruments at both programme and intervention levels and its reporting on progress achieved.

### **3.1.3 Performance of corresponding 2014-2020 programme European Instrument for Democracy and Human Rights (EIDHR):**

The EIDHR was implemented against the backdrop of an overall slowdown or recess in the consolidation of democracy, rule of law, good governance and human rights globally. For the World Bank's Rule of Law score, the situation deteriorated between 2014 and 2016 and has not significantly improved since. For the proportion of seats held by women in national parliaments, the progress has been so slow that if the current pace of change were to continue in the future, the 2020 target would be only met in 2035.

2020 has been the last year of the 2018-2020 Multiannual Indicative Programmes (MIP)<sup>20</sup> and also the last year of the Multi-annual Financial Framework 2014-2020, marking the end of a strategic period. For the full period of the EIDHR instrument (2014-2020) implementation was done through action plans for 2014 (special measure), 2015, 2016-2017, a special measure in 2018 and the multi-annual action plan covering 2018, 2019 and 2020.

Over the whole period, the EIDHR has been successful in delivering on its 5 objectives: i) support to human rights and human rights defenders in situations where they are most at risk; ii) support to other EU human rights priorities; iii) support to democracy; iv) EU election observation; and v) support to targeted key actors and processes, including international and regional human rights instruments and mechanisms. It has been an enabling, flexible and responsive instrument which demonstrated its added value as a "niche" instrument to promote human rights and democracy.

Given the nature of the activities targeted, some confidential, we did have a small number of projects whereby implementation was delayed or could not fully address all its objectives. Actions had to be adapted in case of particularly difficult country situations. Implementation rates in term of commitments and payments have been overall very satisfactory. An important part of the EIDHR (65% - excluding the election observation missions allocations and administrative costs) is implemented by our EU Delegations worldwide to address country-specific issues.

The EIDHR key added-value has been the independence of action and worldwide coverage, allowing for interventions in the most difficult country situations and without the consent of the host governments, creating synergies and complementarity where other instruments and donors cannot or do not act. It has been able to address human rights and democracy challenges, even in the most difficult and challenging environments – confirming that EIDHR and the Human Rights and Democracy thematic programme under the NDICI remain more than ever relevant to the political priorities of the EU.

The mid-term evaluation conducted in 2017 also considered the EIDHR generally efficient thanks to a relatively low level of administrative expenditure and its essential, in-built flexible tools (e.g. direct support to human rights defenders, direct small grants, working with informal partners, financial support to third parties by grantees).

Insofar the **COVID response in 2020 is concerned we refer to the narrative above.**

Main results over the whole period and some examples of "flagships" along the five axes of work, corresponding to the specific objectives of the EIDHR instrument:

#### **Support to Human Rights Defenders at risk and other human rights**

The **EIDHR support to human rights defenders (HRD)** at risk (individuals, organisations and groups) is the basis for the EU world leadership in HRD support. The EIDHR provides emergency grants, physical/digital protection, legal and medical support, urgent relocation/sheltering, training or permanent (24h/7) helpline, psychosocial assistance for and support to family members of human rights defenders at risk so that they are able to continue their important work. This support has been and still is provided through two flagship programmes: ProtectDefenders and the EU Emergency response, both projects were renewed in 2019 and will be running until 2022. Between 2014 and 2020 7,700 HRDs at risk have been supported mainly by these two programmes. In 2020 alone, more than 1,700 HRDs and family members have been supported.

The **EIDHR Human Rights Crises Facility** (EUR 3.5 million per year) was set up in 2014, in order to provide a flexible funding modality to respond to situations where there is a serious lack of fundamental freedoms, where human security is most at risk, where human rights organisations and defenders work in exceptionally difficult conditions and/or where the publication of a call for

<sup>20</sup> Commission Implementing Decision C(2018) 6409 final of 5.10.2018.

proposals would be inappropriate. In 2016-2020 period, a total of 24 projects have been supported in the Enlargement region, the Eastern and Southern Neighbourhood, Central Asia, Middle East, Sub-Saharan and East of Africa, and Asia (details of grants and countries of operation are confidential). In 2019, six Facility projects had re-granting and capacity-building of HRDs as their main objective.

From 2015 to 2020, six global calls were launched which provided for continued support to civil society working on a broad range of sensitive, innovative or priority issues, including human rights in most restrictive environments, human dignity, discrimination, economic, social and cultural rights, and democracy-related issues. Examples of these issues include: LGBTI human rights defenders, fight against the death penalty, support for civic activism and participation by leveraging digital technologies, business and human rights, combatting torture and increasing democratic accountability.

The EU has a longstanding engagement to further **promote indigenous peoples' rights** at bilateral and multilateral levels. During the period 2014-2020, the EU has supported through its European Instrument for Democracy and Human Rights:

- i) Docip, the Centre for Documentation, Research and Information for indigenous people that enables indigenous communities and leaders leading advocacy work in international fora in Brussels, Geneva and New-York (EUR 4 million);
- ii) The Indigenous Navigator, a framework where community-based data covering 216,000 people from 11 countries is used in advocacy and communication activities at the UN fora and to empower indigenous peoples through small development projects (EUR 2.2 million);
- iii) Global Call 2017- Lot 1 (EUR 5 million), Supporting HRDs in the area of land-related rights, indigenous peoples, in the context of inter alia 'land grabbing' and climate change.

An important part of the EIDHR instrument is implemented at country level. Implementation is done through calls for proposals or direct awards. Between 2014 and 2020, more than 1,700 contracts were concluded by our Delegations. The priorities most worked on over all these years are, amongst others: women and children rights, democracy (election observation, freedom of expression,...) and anti-discrimination. During the last 3 years the Commission strived to primarily focus its effort on the most pressing and sensitive human right needs in countries.

The delivery of the awareness raising and training for the operationalization of **the rights based approach and gender mainstreaming** started in 2017 and also continued throughout 2020 albeit through an adapted virtual approach, also given the fact that programming started in 2020: 11 training took place, one at HQ level and 10 countries, most of them virtual.

### **Support to Democracy**

From 2015-2019 we had the implementation of the “**Supporting Democracy**” project which assisted Delegations in improving their work with civil society promoting democratic development and how best to counter the shrinking space which occurred in a number of countries through exchanges of best practises and networking. As an example, in 2019, its last year, "Supporting Democracy" has organised two regional events in Malaysia and Lebanon that brought together CSO representatives to discuss how to use new technologies to tackle shrinking space in their regions.

Other achievements include the Citizen Observers Forum in 2016, bringing together 250 domestic observer organisations from all over the world, facilitating peer to peer exchanges and promoting the Declaration of Global Principles for Electoral Observers, training domestic observers in Afghanistan, Democratic Republic of Congo, Lebanon, Madagascar, Maldives, and the launch of an annual worldwide 'EU4Democracy' campaign promoting EU support to democracy in partner countries. In 2018, the "EU4Democracy" focused on civic activists, which use new technologies to promote democracy and six "CivicTech" prizes were awarded to projects selected from over 100 applications.

Another Facility which was put in place in 2017 was “**Media4Democracy**” to support our Delegations to develop actions to promote the freedom of expression and media. Through this support we saw an increase in the interest for the subject as well as the number of projects funded in this area. In 2020 we successfully launched the Media4Democracy comprehensive Handbook: Protecting the Safety of Journalists, Protecting Freedom of Expression.

The EIDHR also funds '**V-DEM**', one of the largest democracy indicators-related data collection efforts with a database containing over 18 million data points. In 2016, V-DEM received the most prestigious award for comparative datasets in political science: the Lijphart/Przeworski/Verba Best Dataset Award presented by the American Political Science Association. In 2018 and 2019, V-DEM produced two reports: one on shrinking space in Southern-Eastern Africa and South-Eastern Asia, and one on the topic of women political empowerment EU's democracy support around the world and one on data relating to political risks in the countries receiving EU Budget Support.

Under the pilot programme to strengthen the capacity of **political parties**, a call for proposals was launched in 2017 and five grants were awarded for projects implemented in ten countries (Malawi, Bolivia, Morocco, Benin, Paraguay, Mongolia, Moldova, Tunisia, Kyrgyzstan, Georgia). These projects have contributed to strengthening the role of women in political party life and supporting multi-party systems, including inter-party dialogues on the legal, financial and/or policy framework for political parties and political party financing. They have also revealed the need to continue supporting this crucial aspect of democracy, often left behind. This need was taken on board in the NDICI by promoting a comprehensive approach for democracy report at country level, regional level and global level.

In 2019, the flagship project "**INTER PARES | Parliaments in Partnership** - EU Global Project to Strengthen the Capacity of Parliaments" on parliamentary strengthening through a peer-to-peer approach was launched. In 2020, the project, like many other ones had to adapt its delivery methods to continue facilitating peer-to-peer exchanges between EU Member States parliament and partner parliaments around the world. It has also contributed to collecting and sharing best practices on parliaments' responses to the pandemic and has become a hub for across-the-board cooperation on parliamentary development, revamping the AGORA collaborative platform, supporting the Inter-Parliamentary Union's (IPU) Centre for Innovation in Parliaments (CIP) and the iKnowPolitics platform on women's political participation. Political parties have also been affected since the pandemic has been used as an excuse to crack down on the opposition. In this light, EU-funded projects in support of multi-party democratic systems have continued, adjusting their implementation.

Finally, the Commission also refer to the action funded through global calls for proposals and country allocations mentioned in the previous point on human rights support.

### **Support to targeted key actors and processes**

Despite increasing attacks against the international human rights system and the international justice system, the EIDHR has continued to staunchly support the key institutions, including the **International Criminal Court (ICC)** (EUR 1 million per year) and the **UN Office of the High Commissioner for Human Rights (OHCHR)** (approx. EUR 4.5 million per year).

The '**Global Campus for Human Rights and Democracy**' (approx. contribution of EUR 5 million a year) is a unique global network of more than 100 universities teaching and promoting human rights and democracy. Supported by the EU from its beginnings, the Global Campus confers masters degrees in human rights and democracy to more than 250 students a year. It covers seven regions in the world and represents a beacon of excellence in human rights and democracy education. A 7<sup>th</sup> region (Arab region) was included in 2017.

Continued support to the **Global Alliance of National Human Rights Institutions (GANHRI)** and its four regional networks (Africa, Europe, Asia and Latin-America) of National Human Rights Institutions (NHRIs) (EU contribution EUR 3.75 million 2019-21). The three-year targeted programme is managed by the Danish Institute for Human Rights as mandated by GANHRI builds on the results of the previous programme which ran from 2015-2019. It provides much needed training and capacity building opportunities, exchange and communication platforms, institutional development and rapid support for NHRIs in distress through re-granting.

Finally, we successfully organised on a regular basis the **EU-NGO Human Rights Forum** event. In 2020 this was done through a virtual platform, the [22<sup>nd</sup> edition of the EU-NGO Human Rights Forum](#), which gathered 789 registered participants and focused on the impact of technologies on Human Rights.

### **Election Observation Missions**

In 2020, the Commission demonstrated its flexibility and adaptability during the COVID-19 pandemic that triggered travel restrictions and created challenging sanitary conditions. In light of the COVID-19 pandemic, the Commission developed a combination of various tools that allowed to strike a balance between keeping election observations missions going and keeping observers in the countries safe and sound. In order to cover as much ground as possible, most of the fully-fledged EOMs were replaced by reinforced EEMs or by desk reviews. Wherever a mission was deployed, the Commission put in place the necessary security and risk mitigation measures to ensure the safety of the observers.

In 2020, the Commission implemented 17 missions and remote desk reviews and supported 14 electoral processes with around 350 staff on the ground.

### **3.1.3 Performance of corresponding 2014-2020 programme European Fund for Sustainable Development (EFSD):**

#### Timeline of implementation

Following the Communication from the Commission in September 2016 on the External Investment Plan, the Regulation establishing the European Fund for Sustainable Development was adopted in September of 2017. This rapid transition from Communication to Regulation set the tone for the performance of the EFSD. When considered as part of the toolbox of development, the EFSD is a highly efficient instrument with a comparatively rapid performance.

Immediately after the official Regulation was adopted, the Commission and Member States established the EFSD Governance structure. In turn, discussion between Member States, the European External Action Service and the Commission quickly led to the establishment of the 'investment windows', sectoral priorities for the EFSD. The Commission invited Partner financial institutions to propose investment programmes to be covered by the EFSD Guarantee.

The response by the financial institutions was very positive. The EFSD was heavily oversubscribed i.e. the requests from the Financial Institutions exceeded the capacity of the EFSD Guarantee by over EUR 2 billion. The Commission received 46 proposals from 12 partner institutions for a total value of more than EUR 3.5 billion. From a performance assessment perspective, this is a

crucial indication that the instrument was well designed. Such a high amount of requests reveal that there is a significant gap in the market that the EFSD is filling, precisely one of the objectives of the EFSD.

The regulation set an ambitious target for contracting, aiming to end the contracting period on 31 December 2020. The financial structures involved required significant negotiations between the Commission, the partner Financial Institutions, and the Guarantee Technical Assessment Group, a body specialised in financial risk assessment established for the EFSD.

The Commission successfully negotiated the first Guarantee Agreement, the NASIRA programme with the Dutch Development Bank, FMO, at the end of 2018. Six more agreements followed in 2019, displaying the exponential growth in the speed and capacity of the EFSD to turn proposals into signed Guarantee Agreements.

In the course of 2020, as the Covid-19 virus spread around the globe, the Commission decided to use the EFSD as a tool to help Partner Countries overcome the crisis. This meant that the EFSD needed to adapt quickly to the economic needs created by the global pandemic. This meant a focus on Micro, Small and Medium-Sized enterprises (MSMEs), local currency financing, and support to the health sector. Previously signed Agreements covering MSME financing were topped up, new agreements were negotiated and signed. A particularly important shift was a new agreement to provide EUR 400 million in financing towards the distribution of Covid-19 vaccines to Partner Countries. To create space for the new initiatives in response to Covid-19, several guarantees were postponed to the successor instrument, the ESFD+ Guarantee. They should be treated as a priority as soon as NDICI is finally adopted.

As of 31 December 2020, the Commission successfully contracted the entire capacity of the EFSD Guarantee. This amount, over EUR 1.5 billion, was contracted through 18 Guarantee Agreements with a diverse group of Financial Institutions. This was an important achievement in the EFSD's performance. The instrument reached the ambitious target of finalising contracting by the target originally set in the EFSD regulation, despite the need to restructure the Guarantee to address the effects of the Covid-19 pandemic. In addition to the most innovative element of the EFSD, the Guarantee, Blending projects have continued to contribute to sustainable growth in our Partner Countries.

## Results Framework

The Commission established a Results Measurement Framework for the EFSD used in the guarantee agreements. It covers three levels: (1) the EFSD as a whole, including both the EFSD Guarantee and the blending operations; (2) the Investment Platforms and Investment Windows; (3) the investment programmes under the EFSD Guarantee and the projects under the blending operations. The Commission is responsible for monitoring and reporting under the first two levels, based on a set of pre-defined indicators. At programme and project level, the reporting on expected and actual operational results is the responsibility of the lead financial institution. The list of indicators, the frequency and format of reporting are part of the guarantee agreements signed with the financial institutions.

The EFSD is managed by the European Commission and implemented through two Regional Investment Platform: the African Investment Platform and the Neighbourhood Investment Platform. This has the aim to use scarce public resources in an innovative way to mobilise public and private investment, thereby creating growth and employment opportunities, maximising additionality, delivering innovative products and crowding-in private sector funds.

The EFSD Guarantee covers portfolios of investments to be implemented by eligible counterparts in targeted areas, so-called Investment Windows. Investment under the EFSD is guided by development and sector policies of the beneficiary, and helped foster an enabling environment (governance, legislation and regulations) through the support provided under the Technical Assistance and the pillar "enabling the business environment of the External Investment Plan.

Based on the information provided by the financial institutions in their proposals, the guarantees approved are expected to contribute to the creation of close to 4 million jobs. They should also contribute to reducing carbon emissions by 6 000 kilotonnes a year and generate 4 + GW, particularly in renewable energy.

## The EFSD+ and the NDICI

The EFSD is a modality that translated quickly from regulatory decisions to impact on the ground. In addition, a key performance of the EFSD is the capacity to leverage investments from the private sector. Investments are already materialising and the EFSD has already begun to show results. Shipments of Covid-19 vaccines have reached partner countries, entrepreneurs have received loans and private investors have invested alongside the Commission and its Partner Financial Institutions. It is important to notice that the investment period has only recently begun and the duration of many of the guarantees is over ten years. This means results will continue to be monitored and will increase in the coming years.

Given the rapid and efficient roll-out of the EFSD, the NDICI proposes a similar structure in the form of the EFSD+. While the EFSD was limited to Sub-Saharan Africa and the European Neighbourhood, the EFSD+ will have a global outreach. In addition, the EFSD+ will expand its toolkit to include transactions originally not part of the EFSD, such as sovereign loans. Accordingly, the results framework designed for EFSD will be enhanced to capture the architecture, tools, and modalities designed for EFSD+ and at the same time ensuring coherence with NDICI priority areas.

### **3.1.3 Performance of corresponding 2014-2020 programme European Neighbourhood Instrument (ENI):**

The **European Neighbourhood Instrument** has proved to be a flexible and responsive instrument addressing the priorities established under the European neighbourhood policy framework and reacting to needs and challenges in the region, including protracted crises.

One of the essential elements of the ENI regulation is the incentive-based approach, also referred to as “more for more”. Indeed, the share of available resources offered to partner countries is adapted primarily to their progress in building and consolidating deep and sustainable democracy and in implementing agreed political, economic and social reform objectives.

On the other hand, the mid-term review of external action instruments, published in December 2017, has highlighted the need to strengthen the coordination and coherence between various external action instruments. This issue is addressed in the NDICI, which has been designed to reinforce a policy-driven approach to EU cooperation. The aim is to make it more strategic and responsive to the EU’s interests as well as both to the political priorities of the renewed European Neighbourhood Policy and the general policy framework. It also simplifies the current architecture providing a common, integrated framework for the Union’s external action policies, while preserving their specificities, in particular for development cooperation and the Neighbourhood policies.

Having a broad financing instrument would better serve the goals and priorities of the European Neighbourhood policy. Cooperation with EU neighbours will gain from being financed by the NDICI, as it would give more means and flexibility in support of the special relationship between the EU and its Neighbours. It will be better equipped to address challenges that span across regions covered currently by different instruments. Additional funding could be mobilised easily through the "Emerging challenges and priorities cushion". The possibilities offered by the “cushion” would allow the EU to be prepared to challenges that may raise in the future. Some features currently reserved to the EDF would also be extended to the Neighbourhood, including the ability to carry-over unused funds from one year to the following one or to reuse decommitted funds. This is particularly appropriate for the management of actions in the Neighbourhood, which is characterised by a highly volatile environment requiring continuous adaptation.

#### **Impact of the Covid-19 crisis**

The Covid-19 crisis has resulted in the re-purposing of ENI financial assistance and targeted support to sectors that are most likely to be impacted: health and social systems and the economy. The performance of ENI has improved as a consequence, in that the support and partnership of the EU has become ever more valued and welcome by our neighbouring countries. In particular, as regards 2020, DG NEAR has over-executed budget credits across the neighbourhood, drawing on surplus allocations in the context of the global transfer exercise

The available budget for 2020 was fully committed despite the eruption of the Covid-19. For example, in Southern Neighbourhood the EU mobilised 2.3 billion, including by amending and reprogramming past commitments or adapting 2020 commitments. Furthermore, Covid-19 related needs triggered acceleration of payments, including budget support, to respond to the socio-economic impact and maintain the fiscal sustainability of partner’s states. As a result, half a billion euro more was paid compared to 2020 initial forecast.

#### **Specific Objective 1: Promoting human rights and fundamental freedoms, the rule of law, principles of equality and the fight against discrimination in all its forms.**

Indicator 2 takes the scores from eight publically available external sources, grouped under three components:

1. Corruption Index (Transparency International) and Control of Corruption (World Bank);
2. Press Freedom (Reporters without Borders) and Freedom of Press (Freedom House);
3. Government Effectiveness (World Bank), Rule of Law (World Bank), Regulatory Quality (World Bank) and Voice and Accountability (World Bank).

These sub-indicators are based mostly on perceptions and do not reflect the impacts made by the EU assistance and policy in these areas, but the improvement observed does reflect the sense of direction sought. Overall, the trend in the neighbourhood has been fluctuating, but the most recent development has seen a leap in the score and the target was exceeded for the first time since the reporting period. However, for the Eastern Partnership multiannual framework 10<sup>th</sup> anniversary in 2019, the Commission carried out a broad and inclusive consultation that shown that progress is still needed in the areas of rule of law, fighting corruption, spaces for civil society and media independence. There are also many external factors, which might influence overall scores (such as political instability, security situation, etc.). In particular, for some countries in the southern neighbourhood, political instability and the security situation are hampering the progress. A relevant example in the eastern neighbourhood is Belarus, where the presidential elections of 2020 resulted in popular protests and state violence towards protesters.

Furthermore, the EU has promoted the values of human rights and fundamental freedoms, the rule of law, principles of equality and the anti-discrimination through its interventions. Over the period 2013-2019, the EU supported 45 government policies with civil society throughout east and south neighbourhood. More than 3000 victims of human rights violations directly benefited from assistance funded by the EU. While around 48 000 benefited from legal aid interventions supported by the EU.<sup>21</sup>

**Specific Objective 2: Achieving progressive integration into the EU's internal market and enhanced sectoral and cross-sectoral cooperation.**

The same consultation mentioned above that the Commission carried out at the occasion of the 10<sup>th</sup> anniversary of the Eastern Partnership multilateral framework in 2019 has shown that there is a consensus the Eastern Partnership is robust and delivers tangible benefits to the daily lives of people across the region. There are notably strong achievements in the priority areas of the economy, connectivity and a stronger society. However, the same external factors mentioned above are hampering progress in the Southern Neighbourhood. Cooperation with the North African partner countries is challenging and subject to the evolution of the situation, notably in Libya. Across the Middle East region, the impact of ongoing conflicts, insecurity and poor governance destabilises the EU's partners, disrupts trade and investment and limits opportunities for the population.

Under Specific Objective 2, the targets for the indicator expressing the level of integration of the economies into the world economy (indicator 1) was reached in 2017, although information was not available for some countries in the Southern Neighbourhood. Hopefully these positive developments will remain stable throughout coming years and beyond. To be noted that many factors will impact this indicator, in particular EU economic growth, unfolding crisis situations in the region and data availability.

Progressive integration into the EU's internal market and enhanced sectoral and cross-sectoral cooperation is being achieved. For example, the EU is supporting strengthening of revenue mobilisation, public financial management and/or budget transparency in almost all neighbourhood countries. While economic operators in this region obtained 73 conformity schemes-related certifications, accreditations, approvals or recognitions for their products, services or systems following relevant support from the EU. Furthermore, 173 624 people have benefited from institution- or workplace-based VET/skills development interventions supported by the EU in the neighbourhood countries.<sup>22</sup>

In the Neighbourhood South, although a number of deep and comprehensive free trade agreement (DCFTA) negotiation rounds took place over the period - especially with Morocco and Tunisia – no agreement on a DCFTA could be finalised. Nevertheless, a number of gap and impact analyses were carried out and trainings were performed on the most important legal aspects of DCFTA agreements (competition policy, public procurement, intellectual property protection, investment protection, etc.) thus laying the groundwork for future trade engagement (e.g. Investment Promotion Agreements as suggested in the most recent EU trade policy review).

In addition, a number of cooperation programmes in the area of regulatory approximation or trade promotion (e.g. Réussir le Statut Avancé I and II in Morocco; PACE in Tunisia) were implemented. If regulatory approximation has been slow in most countries (with the exception of Morocco), trade promotion programmes have allowed to simplify customs rules and procedures, digitalise export procedures (e.g. PACE programme in Tunisia, PACC in Morocco), or provide access to financing to Moroccan or Tunisian SMEs with a view to help them export to the EU (i.a. *Insadder* project in Tunisia).

**Specific Objective 3: Creating conditions for the better organisation of legal migration and the well-managed mobility of people.**

ENI contributes greatly to the achievement of objective 3 and will continue to do so as part of NDICI. The objective is formulated in an active form and it is in that sense still ongoing. Most of the work done on migration and forced displacement since 2015 in the Southern Neighbourhood was financed by approximately EUR 2 billion of ENI funds through the EU Emergency Trust Fund for Africa (North of Africa window), and the EU Regional Trust Fund in Response to the Syrian crisis. In the Eastern Partnership, at least EUR 230 million were spent focusing mainly on legal migration, including mobility, circular migration, diaspora cooperation, as well as on border management.

Activities in the area of migration is key to implement the political priorities set out in the new Pact on Migration and Asylum and the Joint Communication on a Renewed Partnership with the Southern Neighbourhood. Work under ENI is essential for a comprehensive and balanced engagement with partner countries, with focus on key countries of origin and transit and destination, and a specific approach aimed at establishing tailor-made, mutually beneficial partnerships based on the assessment of the EU and the partner countries' interests. Work under our programmes will cover several areas including protecting those in need and supporting host countries; building economic opportunity and addressing root causes of irregular migration; partnerships to strengthen migration governance and management; fostering cooperation on readmission and reintegration; legal pathways.

<sup>21</sup> See EU Results Framework indicators in the 2020 Annual Report on the implementation of the European Union's instruments for financing external actions in 2019.

<sup>22</sup> See EU Results Framework indicators in the 2020 Annual Report on the implementation of the European Union's instruments for financing external actions in 2019.

The first indicator below (number of mobility partnerships in place) is an example of good performance where the targets have been either met (Neighbourhood East) or almost (Neighbourhood South). Mobility Partnerships declarations are the instrument through which the EU and its partners in the Neighbourhood intend to set a framework to manage migration flows with commonly agreed objectives and programmes. Mobility Partnerships follow the Global Approach to Migration and Mobility guidelines. Thus, they are a good measure of the achievements in this field.

For the second indicator, especially in the Southern Neighbourhood, no readmission and visa facilitation agreements have been concluded due to sensitive and complex negotiations in an uncertain political environment. Furthermore, the criteria for these type of agreements are more stringent than those for mobility partnerships. Based on visa facilitation/ liberalisation agreements, both the EU and the non-EU citizens benefit from facilitated procedures for issuing visas. Visa facilitation/liberalisation agreements are linked to readmission agreements which establish the procedures for the return of persons in irregular situation (own or third country nationals or stateless persons) to the EU or to the partner non-EU country. Readmission and visa facilitation/liberalisation agreements are key elements to assess progress regarding mobility and the promotion of people to people contacts. No readmission and visa facilitation agreements have been concluded with Morocco, Tunisia and Jordan due to sensitive and complex negotiations in an uncertain political environment. The same external factors mentioned above, political instability and the security situation have entailed a large numbers of refugees and displaced persons in the Southern Neighbourhood.

Nevertheless, the EU has continued creating conditions for well-managed migration and mobility. For example, 29 strategies and policies for migration management or forced displacement were developed/revised or are under implementation with EU support in the neighbourhood countries. Examples of migration management/forced displacement strategy/policy areas include border management, labour and facilitated migration, assisted voluntary return, assistance for vulnerable migrants/displaced persons, socio-economic inclusion of migrants/forced displaced person, etc. Developed/revised strategies or policies are those endorsed by the authorities relevant to the local context.

#### **Specific Objective 4: Supporting smart, sustainable and inclusive development in all respects.**

Progress was noted in this specific objective. Indicator 1, which is based on UNDP's human development index, has been stable and going towards the target. Indicator 2 measuring the ease of doing business improved in both eastern and southern neighbourhood. This was not enough to reach the target, although in case of neighbourhood south, it was very close.

In this regard, the EU supported 12 countries in the Eastern and Southern neighbourhood to strengthen investment climate by supporting reforms aiming to reduce business costs, risks and create a more conducive environment for competitiveness, sustainable and inclusive growth, and decent job creation. Additionally, more than 70 000 jobs were directly supported or sustained by the EU and in that way contributed to development and economic growth in the region.<sup>23</sup>

#### **Specific Objective 5: Promoting confidence building, good neighbourly relations and other measures contributing to security in all its forms and the prevention and settlement of conflicts.**

The only indicator under Specific Objective 5 measures perceptions of the likelihood that the government will be destabilised or overthrown by unconstitutional or violent means, including politically-motivated violence and terrorism. The most recent results under this indicator show stability in southern neighbourhood, but there was a drop in eastern neighbourhood where Armenia and Georgia have scored lower in comparison to the previous year. There have been instances of political instability in the east, e.g. the protests in Armenia, the current political instability following the elections in Georgia, or the popular protests in Belarus.

Nevertheless, the EU continued contributing to this objective by supported over 600 state institutions and non-state actors on security, border management, countering violent extremism, conflict prevention, protection of civilian population and human rights. Additionally, almost 160 000 individuals directly benefited from EU-supported interventions that specifically aimed to support civilian post-conflict peacebuilding and/or conflict prevention.<sup>24</sup>

Overall, security cooperation between the EU and the neighbourhood aims to address security-related challenges in the region and the global ones. It is part of broader efforts to strengthen the resilience of states, societies and individuals around the EU borders. Cooperation on security is an important feature of the EU relations with partners both in the East and in the South. As regards the East, extensive ENI support was provided on building capacity to combat organised crime, cybercrime and hybrid threats, security sector reform, energy security and nuclear safety. Support was underpinning bilateral dialogues, based on each country's needs, complemented by initiatives at regional level. As regards the South, the EU continued its regular security dialogue with the League of Arab States (LAS) on a wide range of issues (e.g. regional security, counter terrorism, migration-related issues and civil protection) and pursued its engagement in the framework of the Union for the Mediterranean (UfM). Neighbourhood South continued to face serious challenges related to organised crime but above all terrorism and violent extremism. ENI support therefore focused on judicial and police cooperation, in particular at regional level and in cooperation with EU JHA Agencies and specialised international organisations such as INTERPOL, supporting national policies to counter violent extremism and capacity

<sup>23</sup> See EU Results Framework indicators in the 2020 Annual Report on the implementation of the European Union's instruments for financing external actions in 2019.

<sup>24</sup> See EU Results Framework indicators in the 2020 Annual Report on the implementation of the European Union's instruments for financing external actions in 2019.

building to prevent and address financing of terrorism and anti-money laundering. In the area of civil protection, specific dialogues have helped identify priority areas of cooperation. Disaster risk reduction, climate resilience and adaptation, as well as enhancing local authorities' capacities remained the main themes for cooperation and ENI assistance.

### **Specific Objective 6: Enhancing sub-regional, regional and European neighbourhood-wide collaboration and cross-border cooperation.**

In the Southern Neighbourhood, there has been positive progress on increasing credibility of the Union for the Mediterranean through regular ministerial meetings and conferences (indicator 4). Furthermore, all but one Cross-Border Cooperation (CBC) programme have been adopted (indicator 1).

Regarding indicator 2 "Number of ministerial, platform and panel meetings under the Eastern Partnership" there has been a substantial increase of the number of events. This is mainly due to the increased number of the requests coming from high-level decision-makers.

ENI CBC (in the future: Interreg NEXT) is an important element of EU policy towards its eastern and southern neighbours, adding cohesion and territorial cooperation to EU relations. These multiannual, shared management programmes offer an opportunity for the Neighbourhood partner countries on regional and local level to cooperate with Member States counterparts on equal footing. They contribute to trust building between stakeholders of the Neighbourhood and the EU.

In 2020, the 15 ENI CBC programmes (13 of which are in the east) for the period 2014-2020 totalling around EUR 1 billion reached a cruising speed of implementation. By January 2021, 765 projects were contracted, which represents 83% of all projects selected for support. 49 large infrastructure projects are contracted and in implementation.

The projects to be implemented under these programmes support sustainable economic development along the EU's external borders, thus reducing differences in living standards and addressing common challenges across these borders. For each of these programmes, the participating countries have selected up to four thematic objectives, such as SME development, culture and environment, and climate change.

The ENI CBC projects contributed to tackle the COVID-19 pandemic in 2020: e.g. the RESCUE project supported under Poland-Belarus-Ukraine programme was promoted among 15 other exemplary projects fighting the pandemic by the Commission.

Furthermore, the preparation of the Interreg NEXT 2021-2027 – substantially progressed during 2020. 16 (out of 17) programming committees or task forces were set-up. The future programmes' implementation will be governed mainly by the cohesion policy regulations which was agreed by the end of 2020. The preparation of the financing agreement template is on-going. The relatively stable legal environment should allow the programmes to progress and finalise its preparations during 2021.

Considering the strong qualitative nature of indicators 3 and 5 it has proven not realistic to continue monitoring these as such.

#### **3.1.3 Performance of corresponding 2014-2020 programme Instrument contributing to Stability and Peace (IcSP)**

Between 2014 and 2020, the Instrument contributing to Stability and Peace (IcSP) has funded activities in the areas of (1) crisis response, (2) conflict prevention, peacebuilding and crisis preparedness, and (3) response to global, trans-regional and emerging threats. The instrument's activities are implemented in partner countries around the world, in conflict zones, in post-conflict environments and in emerging crisis settings.

With a view to allowing the EU to respond quickly to crises, 70% of the funds under the instrument (EUR 2.4 billion) was allocated to the non-programmable crisis response component (Article 3). Longer-term programmable actions aiming to support conflict prevention, peacebuilding and crisis preparedness (Article 4), as well as responses to global, trans-regional and emerging threats (Article 5) represented 9% and 21% of the overall budget respectively. This amount included EUR 100 million specifically for capacity building of military actors in support of development and security for development (CBSD). The CBSD was launched in December 2017. It allowed working with military actors for civilian purposes in exceptional circumstances, with three pre-conditions to be met cumulatively: 1) when requirements cannot be met by recourse to non-military actors; 2) in case of a threat to functioning state institutions or to the protection of human rights and fundamental freedoms and when the state institutions cannot cope with that threat; and 3) when there is agreement between the partner country concerned and the EU that these first two conditions are indeed fulfilled. Following the positive experience under this pilot initiative, such actions have been included in all pillars of the NDICI.

The IcSP was a key element of the EU's diplomatic efforts to respond to crises, promote peace-building and support conflict prevention efforts. The funding of actions was determined by the EU's political priorities. Overall, in the period of 2014-2020 EUR, 1.73 billion was committed under the crisis-response and peacebuilding components (IcSP Article 3 and Article 4), with over 300 financing decisions adopted and about 1 000 interventions implemented. For the responses to global, trans-regional and emerging threats (IcSP Article 5), EUR 494 million was committed through 7 financing decisions.

The non-programmable crisis response component (Article 3) allowed for rapid mobilisation of EU funding to support short-term rapid actions. This enabled timely and flexible EU responses to prevent conflict, support post-conflict political stabilisation and

early recovery in situations of crisis, emerging crisis or disaster. This contributed to fostering the conditions for the implementation of EU assistance and cooperation policies and programmes, when opportune financial assistance cannot be provided through other EU financing instruments. Activities covered a wide range of sectors: mediation, dialogue and reconciliation, confidence-building; support to democratic institutions, rule of law, transitional justice, security sector reform (SSR) and disarmament, demobilisation and reintegration (DDR) processes, infrastructure rehabilitation and reconstruction, employment generation, de-mining, counter terrorism and countering violent extremism (CT/CVE), stabilisation; and migration, and contexts relating to refugees and internally displaced persons (IDPs). The IcSP has been mobilised to support a multitude of crisis response and peace-building processes, including in Colombia, the Central African Republic, Mali, Libya, Yemen, Syria and Ukraine. At the same time, the IcSP was able to respond to a multitude of local conflict contexts, as well as contexts where there was a risk of conflict.

The peacebuilding component (Article 4) focused on increasing support for early and preventive action and on strengthening capacity at community level. Such actions have allowed the EU to build and strengthen its own capacity and that of its partners to prevent conflicts, enhance resilience and build peace. IcSP support was instrumental in the establishment and development of the EU early warning system, an essential tool to anticipate conflicts and prepare early actions. It underpinned many EU external policies in the field of peace and security such as mediation, transitional justice and security sector reform and governance: ad-hoc facilities in these 3 fields allowed the EU to support more than 100 initiatives in 40 countries. It also contributed to assert multilateralism by providing the EU contribution to recovery and peacebuilding assessments as well as to the UN Peace-building Fund. Furthermore, IcSP support has contributed to the consolidation and dissemination of international due diligence on responsible minerals which is the basis of EU Regulation 821/2017. Responding to the specific mandate in the latter, during the period 2014-2020, the IcSP supported civil society organisations, in particular local organisations in third countries, strengthening their capacities and skills in conflict prevention and peacebuilding, aiming at an inclusive approach and concretely contributing to the effectiveness and long-term ownership of mediation, peace and stabilisation processes.

The response to global, trans-regional and emerging threats component (Article 5) included actions to address specific global, trans-regional and emerging threats having a destabilising effect, primarily in the areas of threats to law and order, security and safety of individuals, critical infrastructure and public health. Actions aimed at strengthening the capacity of law enforcement and judicial and civil authorities involved in the fight against terrorism, organised crime and all forms of illicit trafficking, and in the control of illegal trade and transit. Over the period 2014-2020, the threat picture has evolved fast. The EU and partner countries faced new security challenges and had to quickly adapt. The challenging global security environment involving complex conflicts, such as in Syria or Yemen, combined with an increasingly agile, flexible, and often state-embedded transnational organised crime landscape, placed the traditional concept and implementation of external policy under unprecedented pressure. The need to address issues such as the root-causes of terrorism, violent extremism, organised crime (including environmental), threats from new modes of operating such as cyber-attacks, biological agents and new forms of Improvised Explosive Devices has also increased.

Supported actions were global in nature and adopted a 'niche' approach, complementing and adding value to other funding instruments. Possibilities under this component were fully utilised including *inter alia* security-targeted actions, non-development initiatives and actions with a trans-regional scope. IcSP Article 5 also played a pioneering role, engaging in areas not previously covered by EU cooperation instruments, through pilot actions which in some cases were later scaled-up under the more traditional development cooperation instruments such as the European Development Fund. Pertinent examples includes those in the Sahel (on police cooperation and counter- terrorism), the Horn of Africa (on prevention and the financing of terrorism) and in Latin America (police cooperation).

IcSP actions have enhanced the role of the EU as a relevant and responsive global peace actor in often sensitive contexts. In countries that have been subject to the EU early warning analysis, the IcSP has been mobilised to translate early warning into early action.

**SO1 In a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the EU's external policies and actions in accordance with Article 21 of the Treaty on European Union**

2020 was dominated by the outbreak of the COVID-19 pandemic that both presented new needs for urgent action -with the adoption of a specific response package- and affected all aspects of operations, as safety protocols and travel restrictions required adaptations to ongoing actions. In addition, an exceptionally high amount of new crisis response actions were adopted during the year to respond to situations such as Nagorno-Karabakh, Belarus and Lebanon, following the devastating explosion in Beirut on 4 August 2020. The IcSP was mobilised to support peacebuilding, dialogue, mediation and stabilisation initiatives, as well as capacity-building for Security and Development (CBSD) activities in the Sahel. The instrument also responded to situations that could lead to conflict, including support to numerous electoral processes in Latin America, Africa and the Middle East, as well as to actions addressing potential tensions between host communities and migrant and refugee populations in Latin America, Turkey, Bangladesh (linked to the Rohingya crisis) and the Western Balkans. The IcSP continued to support civil society actors that operated in conflict settings in their work to prevent conflict and to promote dialogue and reconciliation.

During the seven-year period 2014-2020, the Commission presented 364 IcSP crisis response actions (exceptional assistance measures (EAM) and interim response programmes (IRP)) to EU Member States in the Political and Security Committee (PSC) through 43 IcSP Information Notes. These actions were guided by the policy priorities and objectives of the EU in response to

developments on the ground in crisis and conflict affected countries and regions as well as. The IcSP has been able to deliver timely responses in the vast majority of times, but on occasion, the percentage of actions adopted within 3 months of a crisis context (i.e. the period from date of presentation to PSC to the date of adoption of the financing agreement) dipped. Of the 51 short-term crisis response actions (COM Decision) adopted in 2020 to respond to situations of crisis or emerging crisis (Article 3), 44 were adopted within 3 months of a crisis context. This constitutes a percentage rate of 86.3%, above the final objective of 75%. The relatively lower performance in 2020 remains well above the target and is explained by the disruptions caused by the COVID-19 crisis combined with the high amount of new crisis response actions adopted in 2020 as mentioned above.

**Percentage of IcSP Crisis Response Actions adopted within three months of presentation to PSC:**

2014	2015	2016	2017	2018	2019	2020
68	64	61	47	82	91	86

This was particularly the case in 2017, when the transfer of FPI posts from specific EU delegations to newly the five newly establishment FPI Regional Teams (Bangkok, Beirut, Nairobi, Dakar, Brasilia) caused a period of disruption and adaptation and the rate of adoptions within three months for the first and only time dipped below 50%. Despite the disruption caused by the transition, the significant increase in speed in the following years indicates that the new setup indeed contributed to making the instrument even more responsive,

In terms of emerging crisis the IcSP has been instrumental for the development of the EU Early Warning System. Furthermore, in countries that have been subject to the EU early warning analysis the IcSP has been mobilised to translate early warning into early action.

IcSP contributed to the EU's efforts to promote peace in a variety of circumstances. In Colombia, the peace process from the negotiations in Havana to the 2016 Peace agreement and its implementation were accompanied; in Afghanistan, the peace process was supported with a particular emphasis on the involvement of women and local civil society; in the Central African Republic the mediation for the peace process led to the 2018 Khartoum Agreement; most recently, a comprehensive package of support through IcSP for the UN-led peace process in Libya lead to the most encouraging ceasefire in Libya in recent years.

Even in processes where peace processes continue to face challenges, the IcSP financial support contributed to put the EU's policy positions and objectives into action. For example:

- In Syria, to support to the efforts of the UN Special Envoy for Syria, to the increased involvement of women and civil society in the political process as well as support to accountability and to conflict affected communities;
- in Ukraine, to help the important work of the OSCE Special Monitoring Mission among many other actions; and
- in Yemen to contribute to the UN-led peace process.

What is true for all these examples and many more is that the IcSP has fulfilled a unique role within the EU foreign policy framework. It has been a quick and flexible tool that allows the EU to respond immediately to crisis and to start processes, which allows time for other, more long-term, instruments prepare and take over.

**SO2: To contribute to preventing conflicts and to ensuring the capacity and preparedness to address pre- and post-crisis situations and build peace.**

The prevention of conflict and peace-building have been central objectives for IcSP crisis response programmable actions under Article 4 actions. In particular, actions contributed to strengthening dialogue and cooperation with civil society on issues pertaining to conflict prevention and peacebuilding, and to empowering local civil-society actors to play an active role in conflict-affected contexts, contributing to more resilient societies and to building long-term peace.

The IcSP has also supported the EU commitment to multilateralism. This includes a successful strategic cooperation on peace-building and mediation with the United Nations, the World Bank, the Organisation for Economic Cooperation and Development and other international organisations. One iteration of this is the Recovery and Peace Building Assessment framework with the UN and the World Bank. Another example is the contribution, to the UN Peacebuilding Architecture, which includes support to the UN Peace Building Fund, the UN Peace and Development Advisers that support UN Resident Coordinators in countries affected by, or at risk of, conflict as well as the UN Standby Team of Senior Mediators that can be deployed across the globe at short notice.

The IcSP has supported the consolidation and dissemination of the international due diligence for responsible minerals which has been the basis of the EU Regulation 821/2017 on the obligations for EU importers of some minerals from conflict affected and high-risk areas.

Through a set of facilities IcSP has been able to support with short term actions, ad hoc initiatives in more than 30 countries in the field of mediation, justice in transition and security sector governance

Through 75 action grants to civil society organisations in the period 2014-2020, IcSP has been able to support a multitude of locally grown conflict prevention actions in more than 30 countries, strengthening the role of women and youth in confidence

building activities and peace processes, promoting local driven solution for ,conflicts over the use of natural resources, engaging religious leaders to promote a culture of tolerance. The involvement of local actors and in particular of the local civil society organisations is key for the effectiveness and sustainability of conflict prevention actions. However, a specific challenge is how to reach out the small organisations. These organisations that are well-grounded in the third countries' realities do not always have the adequate capacity and need specific support to respond to the EU requirements to be beneficiaries of grants.

### **SO 3: To address specific global and trans-regional threats to peace, international security and stability**

The tackling of global and trans-regional threats remains a concern and the programme has continued the establishment and expansion of sustainable cooperation frameworks and networks. Through engagement in areas such as counter terrorism, Chemical, Biological, Radiological and Nuclear risk mitigation as well as fighting organised crime and protecting critical infrastructure, efforts are made to enhance peace and stability, ultimately leading to enhanced security of citizens. The IcSP security actions– especially in the neighbouring countries and in Africa – reinforced the EU's role as the largest external cooperation partner in the world and a global security actor.

IcSP actions in support of demobilisation, disarmament and reintegration have not always been as successful as intended, mainly due to the lack of longer-term funding sources to ensure the continuity of the actions. A long-term perspective is required for these actions in light of the timeline for completing demobilisation, disarmament and reintegration processes.

The IcSP's response to the Ebola outbreak in western Africa has shown that the programme provides clear added value in preventing a conflict as a consequence of a health emergency. However, humanitarian funding for public health should be preferred in the future, since the IcSP's implementing partners are not properly equipped to handle humanitarian aid procedures.

It also included the first CBSD action in Central Asia, in collaboration with the OSCE.

The IcSP security actions– especially in the neighbouring countries and in Africa – reinforced the EU's role as the largest external cooperation partner in the world and a global security actor. Activities were deployed to address threats linked to counter-terrorism, CBRN, fighting organised crime and protecting critical infrastructure, in particular in the areas of cyber and maritime security.

#### **3.1.3 Performance of corresponding 2014-2020 programme Partnership Instrument (PI):**

During the period 2014-2020, the Partnership Instrument (PI) was a policy-supporting instrument strengthening the EU by promoting its interests, values and visibility externally. It operated as such under the framework defined by the EU Global Strategy and other EU policies (the Commission's priorities, Agenda 2030 and the Sustainable Development Goals) and in support of EU foreign policy objectives. Programming was driven by thematic rather than country-focused considerations. For example, PI actions underpinned bilateral and regional dialogues in multiple areas of strategic EU interest and bilateral and multilateral negotiations. It did so by providing support for concrete policy deliverables, thereby strengthening the position of the EU as a credible partner. Other actions aimed at developing common approaches with key partners to influence international processes and agendas, thereby underpinning multilateralism, fostering the building of partnerships and alliances in a global context and contributing to the rules-based global order. In the area of trade policy, the PI provided unprecedented support to the EU's trade agenda in the world, focusing on countries/regions where trade and investment agreements exist or are being negotiated. Further actions enabled the EU to promote its standards abroad, help develop a level playing field, create opportunities for its companies, and enhance its image and perception abroad through public and cultural diplomacy, engaging with key decision-makers and target groups in strategic partner countries.

The Partnership Instrument (PI) contributed to most indicators in a long-term perspective, through the processes, dialogues and cooperation that are enabled through its cooperation actions. Therefore, the PI core outcome indicators introduced in 2016 are considered to provide realistic and relevant information on PI performance. PI actions fund activities and deliver outputs in order to achieve outcomes in terms of influence over political and decision-making processes. Some of the main outcomes are measured by the PI outcome indicators (see box hereunder).

#### **Core PI outcome indicators**

The aim of outcome indicators is to measure the influence, which the action is having on some kind of process or on behaviour of the target groups.

'Process' is used as a generic term for any line of action, position, policy development in a partner country or in a mutual relationship.

PI actions aim to influence or initiate some processes (outcome), often political, in order to create enabling conditions for a change (impact). Normally there will be a process under way, or which needs to be developed, and which may ultimately lead to the desired change in the longer term. This process may need to be initiated, or moved forward in some way, or enhanced to improve the chances of the action contributing to the desired impact. The outcome to which the actions aim to contribute is that the process is enhanced; in the longer term this may lead to a strategic partnership, an agreement on migration, a policy that can

contribute to the reduction of greenhouse gas emissions, improved options for trade, standard-setting in line with EU standards, or a better understanding of the EU and its place in the world.

The indicators comprise mainly agreements, declarations and action plans. The EU has designated the following countries as Strategic Partners: Brazil, Canada, China, India, Japan, Mexico, the Republic of Korea, the Russian Federation, South Africa and the U.S.A.

In the framework of the Strategic Partnerships, or in addition to it, the EU often concludes bilateral agreements with these countries. Bilateral agreements traditionally contain three pillars: cooperation, trade and economic relations and political dialogue. These agreements vary in scope, content and level of ambition/engagement such as Free Trade Agreements, Partnership and Cooperation Agreements, Association Agreements and Visa Liberalisation Agreements. The PI facilitated the implementation of such agreements, notably, by supporting EU negotiators, spreading knowledge about new opportunities created by the agreements and by setting up specific public diplomacy actions.

Information on developments in the negotiation and conclusion of these processes will be obtained directly from EU internal sources (the Commission services and the EEAS) and from data sources relevant for the strategic partners, including relevant websites.

Ensuring synergies and strict complementarity of PI programmes with both EU external action instruments and internal instruments with an external window continued to be crucial, given the strong demand for PI actions in several relevant domains (e.g. digital, regulatory cooperation, public diplomacy). This challenge was overcome through a continued effort of coordination by FPI, in particular in the context of the Quality Support Group process that screens actions before including them in the annual programme.

The PI was able to cater for high demand by line DGs and the EEAS thanks to its capacity to provide targeted, flexible and quick response. Due to limited funding, priorities had to be established and not all requests could be satisfied, even if they are in line with PI objectives and priorities. Managing increased demand and related expectations, while making sure that funds are used on those issues and with those partners where they could have the greatest impact in terms of leveraging EU influence, was a key consideration for the Service over the past year.

### 3.2. Key achievements

#### Corresponding 2014-2020 programme: Development and Cooperation Instrument (DCI):

##### DCI Latin America

<b>1.8 billion</b>	<b>56,430</b>	<b>more than 49,000</b>	<b>7.1%</b>	<b>80,065</b>	<b>60</b>
euros leveraged through Latin America Investment Facility (LAIF) projects approved in 2019 and 2020 for sustainable investments in the LAC region, These projects included the first project on migration in Colombia and the first ever EU contribution to a Green Bond Fund "LAGREEN"	vulnerable families in Honduras benefited from nutrition and food security actions through the Budget Support Programme EUROSAN in 2019	small and medium enterprises from 18 LA countries benefitted since 2016, i.e. the beginning of the project until March 2020 from tools to improve commercial and market management, increase productivity, and promote integration of innovation, manufacturing good practices, environmental management and corporate social responsibility through the regional programme AL-	more children completing primary school in Paraguay thanks to support provided between 2014 and 2017 through a Sector Budget Support programme on Education.	vulnerable families obtained formal land titles in Bolivia in selected Municipalities between July 2018 and July 2019 with outbound migration to coca leaf production areas through the Budget Support Programme "Reinforcing family agriculture and food sovereignty in outbound migration areas to coca leaf production zones in Bolivia"	projects on climate change and environment in six sectors under implementation in 2020, covering all 18 eligible Latin America countries through the EUROCLIMA programme

		INVEST 5.0 involving 110 EU and LA institutions and organisations )			
--	--	--	--	--	--

In 2020, the **EU Trust Fund for Colombia, partially funded from the DCI**, continued to support the implementation of the peace agreement between the Colombian Government and the FARC. It translates the EU's political support to the Peace Agreement, in particular on the elements related to rural reform, land reform and the social and economic reincorporation of former FARC combatants. The Trust Fund has become the most visible tool of EU cooperation in Colombia. It has allowed the necessary flexibility to adapt to changing circumstances, and enabled an effective response to evolving political priorities. The EU Trust Fund for Colombia currently has 30 projects ongoing for a total amount of EUR 110 million. Two large new actions were approved in 2020 on land reform and social and economic reintegration.

The EU continued its role at the forefront as a key actor of the international response to the **Venezuelan crisis**. In May 2020, the EU led an "International Donors' Conference in solidarity with Venezuelan migrants and refugees, in the midst of COVID-19" together with Spain, with the support of UNHCR, IOM, Norway and Canada. This Pledging Conference managed to raise EUR 2.5 billion, of which EUR 595 million in grants and also sent a strong representation of Team Europe approach. The pledge from the EU and EU Member States amounted to EUR 236 million in grants (of which EUR 70 million from DEVCO/INTPA) and EUR 400 million in loans from the European Investment Bank. By end 2020, through a re-allocation of different MIPs, about EUR 42.5 million was committed in four new programmes to mitigate the effects of the Venezuelan migrant crisis also taking into account the COVID-19 mitigating measures.

For **Paraguay**, two important Budget Support programmes in support to the social development were adopted: a EUR 48 million to support the Social Protection System and EUR 38 million to support the transformation of the Education System. A first payment of EUR 16 million was disbursed for the social security support programme. The negotiations of the new programme on Social Protection has gone hand in hand with the new Social Protection System of Paraguay and has contributed to the adoption and prioritisation of the 46 Social Actions and the development of a monitoring and evaluation framework.

In **Bolivia** a new Government was elected which allowed for the negotiation and adoption of important new programmes on support to the justice system and two Budget Support operation Support to the National Strategy for Integral and Sustainable Development with Coca 2019-2023 (ENDISC) (EUR 20 million) and Support to the National Strategy to Fight against Drug Trafficking and Control of Surplus Cultivation of Coca 2016-2020 (ELCN&CCEC) and Action Plan 2020-2022 (EUR 30 million). The predecessor of this programme has been instrumental in assuring that by end 2019, around 80,000 vulnerable families obtained formal land titles in Bolivia in selected Municipalities with outbound Migration to coca leaf production areas.

On the regional programmes, **Euroclima+** remains the EU's flagship programme for Latin America in climate change and environment, and shifted in 2020 most of its activities on-line, and building significant capacity amongst staff, partners and stakeholders. The programme's carbon footprint massively declined at the same time its effectiveness and reach increased. Operationally, around 60 projects in six sectors are under implementation in 2020, covering all 18 eligible countries. Key achievements in 2020 relate to the formulation of Chile's new climate change law, support provided to six Central American countries in the strengthening of their regionalized climate change scenarios; three national systems for monitoring and evaluating climate policies strengthened: in Chile, Costa Rica and El Salvador; creation of an indigenous climate platform in Peru; the adoption/implementation of three Early Warning Systems on multiple risks of droughts and floods in Bolivia and Peru.

The focus on climate change and green investment continue to dominate also the Latin America Investment Facility (LAIF) portfolio, with new actions in Costa Rica and Peru and an EU contribution of EUR 15 million to the first Green Bonds Fund in Latin America and the Caribbean designated as "LAGREEN". LAGREEN is a fund of more than EUR 500 million and is led by the German government, supporting climate- and resource friendly investments enabling LAC countries to meet their Nationally Determined Contributions (NDC) through the mobilisation of local and international private capital. LAGREEN is an innovative pilot applying the EU green bond standards as part of the partnership portfolio of instruments.

The **Latin American Investment Facility (LAIF)** committed over EUR 470 million since its launch in 2010. Traditionally focused on capital-intensive sectors such as energy, transport and water and sanitation, the projects financed are evolving into more sophisticated products with a strong focus on climate change action and support to SMEs. Projects target a variety of sectors that have a strong impact on both poverty reduction and environmental sustainability, and LAIF has become a lab for new approaches in the region. In 2020, five projects approved were contracted (EUR 50 million EU contribution leveraging over EUR 800 million in investments), including the first project on migration in Colombia and the first ever EU contribution to a Green Bond Fund "LAGREEN" (regional project). Four new applications were approved in 2020 adding up to EUR 24 million in future contracts and EUR 1 billion in expected leverage (totaling EUR 1.8 billion for 2019 and 2020). From these projects, two directly contribute to the sustainable recovery in the context of the COVID-19 pandemic, one in the health sector and one supporting economic recovery.

AL-INVEST has been the flagship EU programme for private sector development in LA. The activities of the fifth edition were completed in 2020 and a closing event, gathering more than 1,100 participants, with active participation of different services of the Commission, facilitated the dissemination of the results obtained, providing a high visibility for the EU action in LA. In summary, AL-INVEST 5.0 implemented 67 projects involving 110 EU and LA institutions and organisations from 18 countries and more than 49,000 SMEs benefitted from the programme. As a result more than 22,000 SMEs count now with tools to improve commercial and market management; more than 18,000 SMEs have increased their productivity; more than 24,000 SMEs have started the integration of innovation in their processes.

The regional **rule of law programme El PacCTO** was instrumental in facilitating an immediate response to the pandemic by creating a space for exchange between the EU and LA security forces, representatives of the justice and penitentiary systems on concrete practices and protocols used during the pandemic. The launching in June 2020 of the Latin American Committee for Internal Security (CLASI) which aims to strengthen EU-Latin America cooperation on security issues at ministerial level is a major achievement. An important successful first high-level meeting of the main justice institutions and networks from LA and EU took place in September 2020. The active involvement of EU Delegations, various EU services (DG HOME, DG JUST, EUROPOL and EUROJUST) but also increasingly in 2020, the Council and the Parliament, has improved over the past year and is crucial for its effective implementation.

### DCI Asia

Afghanistan	Afghanistan	Afghanistan	Afghanistan	Afghanistan
30%	5.6 million	7 million	12,000	40,000
drop in the new-born mortality rate (from 53% to 23%) over the past two decades, in Afghanistan.	Children targeted in a polio vaccination campaign in January 2019, in Afghanistan, near the border with Pakistan.	People granted access to water supply and sanitation services since 2017 in Afghanistan. Over 37,000 families supported through Community-based development, reintegration and protection measures in areas of high return.	Community Development Councils elected with women's participation reaching 49%. 27% of members of the civil service are women in Afghanistan	Graduates from technical and vocational schools, including returnees, trained to develop their job skills and increase their incomes, in Afghanistan

Bangladesh	Afghanistan	Nepal	Nepal	Nepal
60%	2,800	21%	57.8%	7
social protection for the poorest, in Bangladesh	functioning health facilities in 2020, up from only 496 in 2002, in Afghanistan.	increase in the value of the dairy market in Nepal since 2016-2017	drop in the number of out of school children in the 15 most disadvantaged districts in Nepal since 2011	provincial centres of good governance providing capacity development services established in Nepal in 2020

Bangladesh	Bangladesh	Bangladesh	Bangladesh
15,288	46.94%	218,946	77,221
Additional children with special needs or some form of mild disability, who are enrolled in the regular primary schools, in Bangladesh between 2010 and 2020	increase in share of first graders in primary schools who have attended pre-primary education, between 2010 and 2020, in Bangladesh	more students attending Technical and Vocational Education and Training (TVET) institutions, offering Secondary School Certificate (SSC), Higher School Certificate (HSC), Diploma level and Basic trade courses, in Bangladesh, between 2017	Increase in the number of girls enrolled in Technical and Vocational Education and Training (TVET) institutions in Bangladesh, between 2017 and 2019

		and 2019	
--	--	----------	--

### **Asia and Middle East/Gulf:**

In 2020, the development cooperation in Asia continued to have a strong focus on least developed and fragile countries.

When it comes to **investments**, the Commission allocated funds to projects facilitating investments in line with its policy objectives under the Investment Facility for Central Asia (IFCA) and the Asia Investment Facility (AIF). In blending operations, EU grants are used strategically to mobilise financing from partner financial institutions and the private sector with the objective to enhance the development impact of investment projects and/or to promote investments that without the grant contribution would be difficult to fund due to market failure.

**IFCA** contributes to achieving the objectives of the EU-Central Asia Strategy: investments can contribute directly and indirectly to better regulatory frameworks, resilience, prosperity, market creation and expansion (in particular for renewable energy), sustainable connectivity, improved water management, enhanced regional integration, and job creation. The specific objectives for investments as well as result indicators are defined at individual project level and approved under the DCI Blending Framework.

Under the RIP 2014-2020, EUR 165 million have been allocated to IFCA, with a focus on green growth and SME development. In addition, following the MTR, bilateral investment allocations have been earmarked for Kyrgyzstan (EUR 10 million), Tajikistan (EUR 20 million) and Uzbekistan (EUR 15 million) for projects that boost sustainable investments in these countries.

The **AIF** contributes to the achievement of objectives related to SME financing and development, energy, climate change, environment and natural resources management, including water management, disaster preparedness, forest restoration and risk reduction. It has benefitted from DCI allocations of EUR 451.5 million for the period 2014-2020, funding 47 blending projects. EU contributions have been committed for projects benefitting Mongolia, India, Cambodia, Indonesia, Sri Lanka, Bangladesh, Vietnam, Myanmar, Laos and China, notably to boost investments in green policy, climate resilience, agriculture, the health sector and support to SMEs.

Under the **Asia Regional Programme**, a decision (EUR 16.5 million) was adopted to support the provision of reliable and affordable electricity for the first time in their history to two districts in the Badakhshan Province in Northern Afghanistan. The project paves the way for the electrification of the full province under a public-private partnership and has the potential to attract blended finance in the future. In line with the policy to ensure synergies between support to Central Asia and Afghanistan, this project is directly linked to the EU-supported Sebzor 11MW hydropower plant in Tajikistan's VMKB region which borders Northern Afghanistan.

In **Bangladesh**, the EU is a longstanding supporter of the primary Education sector. Part of the EU Budget Support programme in the education sector (EUR 150 million out of EUR 205 million) currently supports the Fourth Primary Education Development Programme (2019-2023) to promote an equitable and quality education for more than 16 million children. The EU programme contributed - along with other Donor Partners - to substantial progress in the sector. In 2020 following a positive joint sector review, the EU released a first payment of EUR 46 million after positive records were noted in Enrolment and School attendance rates, reduced dropout rates, and better survival rates to grade 5.

The EU also supports Bangladesh's National Social Security Strategy reforms through a Budget Support programme (EUR 152 million). The programme implementation started in 2019 and already places the EU as a key development partner in social protection matters in the country. In 2020, the EU already disbursed a first Budget Support instalment of EUR 24 million against positive progress in the social protection system: strengthening and scaling up of direct cash transfers from Government to People (G2P), monitoring and evaluation and grievance redress systems; improved coverage of core programmes for poor and vulnerable Bangladeshis (increased number of people receiving the old age allowance (different from the civil servant pension scheme) from 3.5 to 4 million; increased duration and benefit level under the Maternal and Lactating Mother Allowance programme (by 60%, from EUR 5.37 to EUR 8.59/month). Later in the year 2020 – the EU Social Protection programme has been instrumental for the Team Europe Response to COVID-19 in Bangladesh. EU transferred EUR 80 million through the EU programme to support the establishment of a mechanism and deliver assistance to eligible beneficiaries of the Government's "Social Protection Programme for Unemployed and Distressed Workers in the Ready-Made Garment, Leather goods and Footwear Industries".

In **Bhutan**, EU support contributes to the ongoing local government reforms and the policies for agriculture and rural development. This will aim at reducing poverty and inequality, development of sustainable rural livelihoods resilient to climate change impacts and promoting carbon neutral development. Performance-based grants are being rolled out to 50 local authorities providing funds for the construction of farm roads, water supply and irrigation schemes, religious sites, schools and health facilities, electrification, fencing/gates, walls and drainage. Progress was made in sustainable agriculture, land management and organic agriculture promotion; certification of organic products, rural infrastructure and registration of farm shops, farmer groups and cooperatives.

The Commission adopted in 2020 the EUR 10 million Programme "EU Peace Support in Myanmar/Burma – PEACE V". This Programme will contribute to lasting peace and national reconciliation, security, stability and sustainable and principled development in **Myanmar/Burma**. PEACE V aims to achieve "successive milestones of the peace process" and to support "inclusive, gender sensitive and environmentally sustainable durable solutions for vulnerable populations in conflict-affected areas, areas affected by inter-communal violence and areas affected by natural disaster". The action adopts a conflict sensitive approach to maximise positive impacts of intervention on conflict. As in many peace processes gender equality is one of the most prominent cross-cutting issues. Increased participation of women in peace negotiations and in decision-making bodies is built-in in the programme.

In 2020, the Commission adopted a EUR 5 million programme entitled "Contribution to the Extraordinary Chambers in the Courts of **Cambodia** (ECCC) – National and international components". This programme is a continuation of our ongoing support to the ECCC. The overall objective of the programme is to promote human rights, good governance and the rule of law, and to combat impunity and foster reconciliation. This will be done by i) supporting the international and national components of the Court to ensure the necessary international standards of justice for the hybrid tribunal, and ii) providing genocide education as a means for understanding, encouraging and reinforcing cultural diversity and gender equality at the national, local and individual level.

The Commission adopted in 2020 the EUR 142 million "EU-Viet Nam Sustainable Energy Transition Programme". Building on the ongoing Energy Sector Policy Support Programme to enhance Access to Sustainable Energy in Rural Areas of Viet Nam, which started in 2017, this action aims at contributing to a sustainable energy transition in Viet Nam. Its specific objectives are: i) improved energy efficiency; ii) larger share of renewable energy in the energy mix; and iii) improved performance of the Viet Nam Energy Information System. The action will be implemented mainly through a Sector Reform Performance Contract. Complementary support measures will be provided to enhance institutional capacities and the legal and technical framework, support the development of the private sector and increase overall awareness on the benefits of energy efficiency and renewable energy solutions.

As regards **migration** in 2020, the EU continued its engagement on migration and displacement, notably with Afghanistan, Bangladesh, Iran, Iraq and Pakistan, implementing its commitments made since 2016 which now reach a total of more than EUR 300 million towards supporting Afghan refugees in Iran and Pakistan, Afghan IDPs, returnees and host communities in Afghanistan, as well as returnees/IDPs and host communities in Iraq, Pakistan and Bangladesh. In 2020, additional funds have been added to a number of programmes to take account of increased vulnerabilities due to the COVID-19 pandemic. Through its assistance, the EU particularly aims at addressing the regional dimension of Afghan displacement, which has been further elevated in 2020 as the EU committed to chair (in 2021) the core group of the Support Platform for the Solution Strategy for Afghan Refugees. In the framework of the EU-Afghanistan Joint Way Forward on migration, assistance has been provided and a new framework, the "Joint Declaration on Migration Cooperation", has been negotiated.

In 2020, activities aimed at sustainable integration of migrants and refugees and reintegration of returnees have continued although with limitations due to the COVID-19 pandemic, with main focus on the Afghan displacement crisis. EU development support focused on improved access to livelihoods, skills development, health, education and protection for displaced Afghans and their host and return communities in Iran, Pakistan and Afghanistan.

In Iran, sites for constructions of additional 8 schools have been identified, and construction of new schools completed or started, directly benefitting 3,000 Afghan and Iranian students. In Pakistan, 5 schools have been rehabilitated. More than 5,000 Afghan refugees received training in more than 50 vocations in Iran and Pakistan and additional 1,510 youth were identified in Pakistan to be enrolled in future skill development trainings. Over 25,000 refugees, asylum seekers and returning refugees benefitted from legal assistance, protection, and referral in Pakistan and Afghanistan.

An important component of EU development support came in response to the COVID-19 pandemic. In Iran, 58,000 vulnerable Afghan refugees could access primary health insurance, and 66 portable ventilators were distributed to health posts in refugee-hosting areas and refugee settlements, together with other medical, protective and information items. New actions have also been launched in Pakistan, that will support over 300,000 vulnerable Afghan refugees and host community members recover from the socio-economic impact of the crisis.

The Commission also continued its response to the forced displacement of Rohingya from Myanmar. Following the influx of more than 700,000 Rohingya into Bangladesh's southern district of Cox's Bazar in 2017, DEVCO mobilised substantial funding to address the needs of Rohingya refugees and their host communities. The EU development response focuses on improving access to effective basic services such as education and child protection, food and nutrition security, and water, sanitation and hygiene (WASH). A new programme in support of Rohingya refugees and their host communities in Cox's Bazar district, Bangladesh was financed in 2020 with EUR 35 million, including a top-up of EUR 15 million to respond to the COVID-19 health and socio-economic crisis. The programme continues the activities on health, water & sanitation and education and focuses as well on protection, empowerment of refugees, livelihood support and facilitating communication between CSOs across the border to Myanmar for better information exchange.

Looking forward, the Rohingya donor conference was successfully co-organized with UNHCR, US, UK, DG ECHO and EEAS in October 2020 and resulted in the EU pledge of EUR 96 million.

In **Afghanistan**, building up on its previous support to **community-based service provision**, the EU adopted a decision (EUR 44 million) to support the expansion of the national programme "Citizens' Charter" in urban areas facing a rapid wave of urban growth without having the most basic infrastructure and services in place, such as potable water, solid waste management, and access to electricity. This is intended to reduce governance challenges and improve livelihoods of the majority of Afghans living in urban areas, including **IDPs and returnees**, many of which are settling in urban and semi-urban areas of the country.

In 2020, the EU approved three programmes to benefit **Tajikistan** totalling EUR 112.2 million. From the newly approved programme package, EUR 46.2 million was allocated for COVID-19 support, on top of funds reoriented under existing actions (approx. EUR 5 million). This programme intends to strengthen Tajikistan's primary health care and infection prevention and control systems, as well as to improve water, sanitation and hygiene standards in schools, and to strengthen distance learning preparedness. Exceptionally, a small but meaningful part of these funds (approx. EUR 6 million) was frontloaded to deliver 64 tons of critical medical supplies and 95 lung ventilators to the health facilities and hospitals most in need.

**Central Asia** has been severely impacted by the COVID-19 pandemic. Regional growth has halted; trade has been disrupted; consumption and investment have plummeted; the impact on the most vulnerable, especially women and migrant workers has been considerable. Through re-directing programmes and front-loading Budget Support, the EU rapidly mobilised over EUR 125 million for programmes providing economic support to affected populations as well as essential medical services. In addition, a EUR four million programme financed a COVID-19 response programme under implementation by the WHO, in Kazakhstan and Turkmenistan, which as UMICs do not benefit from bilateral programmes, and Mongolia.

In 2020, a first ever sector Budget Support in **Mongolia** has been launched and the first tranche of EUR 16 million has been disbursed in October. The EUR 50.8 million Budget Support in Employment and PFM Sector includes complementary measures implemented by UN agencies, with a Contribution Agreement of EUR 7.4 million signed by UNDP in September. Increase of the first Budget Support fixed tranche to EUR 16 million was part of the EU COVID-19 response, which amounts to a total of EUR 37.5 million. The EU COVID-19 response contributed to strengthening of the health sector, and to mitigating the socio-economic consequences of the pandemic crisis.

### **DCI South Africa**

The South African component of the DCI has been implemented as planned. In 2020, there was a financing decision for a Technical Assistance Facility to Support Sustainable Infrastructure Development in South Africa (EUR 9 million).

There are several relevant cooperation programmes in the priority areas of education, training and innovation. We can underline two of them: (a) the Support Programme to the National System of Innovation and (b) the Teaching and Learning Development (TLD) Sector Reform Programme.

(a) National System of Innovation. The overall objective of the programme is to support the government of South Africa to improve the National System of Innovation (NSI) responding to the priorities of the National Development Plan.

Results: the Department of Science and Innovation (DSI) Strategic Plan 2015-2020 has made good progress. In 2017/18, the performance of the Department when measured against its pre-determined objectives was 89%, confirming the improvement in performance from 71% in 2012/13. There have been significant contributions to addressing poverty, unemployment and inequality in South Africa since 2019.

(b) Teaching and Learning Development. The programme focuses on developing a teacher education system that can deliver quality professional development projects, as well as opportunities for educators, primary school teachers, vocational education lecturers and the professional development of university academics.

Results: Twenty-five research projects are being implemented as part of TLD Capacity Improvement Programme. As part of the research, 164 post-graduate students are being supported to undertake Masters and Doctoral studies. The College Lecturer Education Project is making excellent progress. Seven universities have received programme accreditation from the Council on Higher Education. Furthermore, 213 students are registered for the Advanced Diploma in Technical and Vocational Teaching (Nelson Mandela University).

### **DCI thematic:**

#### **DCI GPGC:**

#### **DCI Environment and Climate change, Food security and sustainable agriculture:**

46	Climate change 191	Environment (– Biodiversity / forests) 481,290 km <sup>2</sup>	Sustainable energy 13,247 GW	Food security and sustainable agriculture 19.7 million
countries supported to strengthen investment climate from 2013 to 2018	countries and cities supported to develop or implement strategies for climate change or disaster risk reduction from 2013 to 2018	of areas protected with the support of EU development projects (projects active between 01/01/2018 and 31/12/2018), to be compared with 157,240 km <sup>2</sup> in 2014)	of renewable energy generation capacity installed with EU support (result for the period 2014-2019)	women, adolescent girls and children reached by the 2013-2019 EU interventions (e.g. for improved diets and breastfeeding, household resilience, food security, health care and stunting reduction)

Climate change (one § explaining in more details what is mentioned above in the table):

According to the EU Results Framework, in 2018, 24% of EU-funded international cooperation and development assistance contributed to climate change adaptation and mitigation. The figures are calculated using a contribution approach (i.e. where a project was financed by the EU jointly with other funders – other donors and/or the partner country governments themselves – the overall results of the collective effort is reported.) The information on the results is drawn from the reporting by the partners implementing EU funded projects and programmes (i.e. partner countries, international organisations, EU Member State development agencies, international financial institutions and NGOs).

Environment (1 or 2 § explaining in more details what is mentioned above in the table):

The figure of 481,290 km<sup>2</sup> is the total aggregated area of terrestrial and freshwater ecosystems protected with EU support (projects active between 01/01/2018 and 31/12/2018), to be compared with 157,240 km<sup>2</sup> in 2014.

Food security and sustainable agriculture (one § explaining in more details what is mentioned above in the table):

The figure of 19.7 million provided in the above table represents the total number of women of reproductive age and children under 5 reached by EU interventions. It is reported in the 2020 Progress Report on the Commission Action Plan on Nutrition. As part of the global effort to tackle all forms of malnutrition, the EU has been actively working on improving child and maternal nutrition. The Commission pledged to allocate EUR 3.5 billion between 2014 and 2020, and to reduce the number of stunted children in partner countries by at least 7 million by 2025.

### DCI Human Development

3.4 million	39*	65 million	20.1 million	160 million	At least 66
children living in crises and conflict receiving education through Education Cannot Wait since its inception (2018-2020)	partner countries receiving support for making their national social protection system more inclusive, financially sustainable and responsive to shocks (i.e. COVID-19) in 2020	children reached with at least one vaccine in the year 2019, through contributions to GAVI	people on anti-retroviral treatment for HIV in countries supported through contributions to the Global Fund to fight AIDS, TB, Malaria in the year 2020	mosquito bednets distributed in 2020 through contributions to the Global Fund to fight AIDS, TB, Malaria	countries received additional grants in 2020 from the Global Partnership for Education to help continue learning through the COVID-19 pandemic through high and lowtech means

#### \*List of countries:

- Bilateral programmes (**BS**) – 12 : Morocco, Senegal, Tunisia, Mozambique, Bangladesh, Cambodia, El Salvador, Paraguay, Peru, Barbados, Haiti, Jordan
- Countries supported by the **global thematic programme** on “Improving synergies between SP and PFM” - additional 13: (Cambodia), Nepal, Uganda, Ethiopia, Angola, (Senegal), Burkina Faso, (Paraguay), (Bangladesh), Cabo Verde, Cote d’Ivoire, Ecuador, Malawi, Myanmar, Nigeria, (Peru), Sri Lanka, and Togo
- Bilateral programmes (**programme approach**) – additional 14: (Angola), (Ethiopia), Gambia, Ghana, Lesotho, (Malawi), (Nigeria), Somalia, Sudan, Tanzania, Zambia, China, Tajikistan, Yemen, Iraq, Honduras, Lebanon, Palestine.

The implementation of the Human Development component of the GPGC programme took place over the period 2016-2020 according to planning and without particular problems or delays. The available credits were committed across all areas of intervention covered by the Human Development budget line of the programme, such as health, education, culture, gender and child welfare, social inclusion, decent work, vocational education and training, sustainable growth and jobs, as well as domestic resources mobilisation. The COVID-19 pandemic required additional and focused measures to address the pandemic and its socioeconomic consequences.

The project portfolio is a mix of stand-alone projects and contributions to key global initiatives. The latter include support through the Global Partnership for Education, Education Cannot Wait, the Global Fund to fight AIDS, Tuberculosis and Malaria, the World Health Organisation, GAVI and the COVAX Facility for procuring COVID vaccines and the Spotlight Initiative (EUR 90 million) to end violence against women and girls. Other project and programmes include the EUR 20 million programme on Improving synergies between Social Protection and Public Finance Management, the EUR 21 million Building Resilience in Crises through Education project (BRiCE) or the EUR 50 million Spotlight Initiative in Latin America: ending violence against women and girls.

### **Gender equality (Gender Action Plan) and elimination of violence against women and girls (EVAWG)**

Support under the GPGC programme over the period 2014-2020 allowed the EU to put into motion the commitments taken under the Gender Action Plan II (2016-2020), organize trainings and awareness sessions, create a gender focal point network, issue guidance notes and mainstream gender throughout EU development cooperation and organize consultations. In 2020 the Commission also prepared the new and ambitious Gender Action Plan III. The Gender Action Plan II (2016-2020) had its last year of implementation in 2020. The amount of funds committed that specifically target gender equality in external relations has increased every year since 2016, as has the proportion of these funds within overall development funding, from 58.10% in 2016 to 64.71% in 2019. Notwithstanding progress, these figures show the need to renew efforts in the context of the new EU Gender Action Plan III (2021-2025). The GAP II contributed to progress towards achieving the Sustainable Development Goals. Indeed, progress towards the realisation of gender equality and the empowerment of all women and girls (SDG 5) contributes to the achievement of all SDGs.

The DCI programme (EUR 147 million) also contributed to the largest investment ever done to combat and eliminate Violence against women and girls through the creation of **the Spotlight Initiative** in partnership with the UN in September 2017. Today the initiative is up and running in 26 countries and 6 regions. The countries and regions covered by DCI are in Asia and Latin America, 3 regions and 8 countries. Its implementation will at least continue until the end of 2022 but might be extended. Some results as well as the COVID response have been highlighted in the previous paragraph.

### **Child wellbeing**

On child wellbeing the GPGC has been instrumental for the support of **four regional programmes** to promote and protect specific children rights:

- The EU-funded **Joint Programmes with UNICEF/UNFPA to end Child marriage and to abandon FGM** have both played a key role in maintaining the momentum to end child marriage and FGM by promoting the global agenda and positioning policy and legislative support, as well as by demonstrating innovative community action. The programmes have been on track every year since 2016 to achieve the expected results, with aggregate tracking showing signs that the programmes are extending their reach and accelerating their approach in most of the beneficiary countries, sometimes even surpassing the targets. A review of work from 2016 through 2019 found that in the 12 target countries, the Joint Programme on child marriage had notably empowered 7.2 million adolescent girls, helped 22,000 schools strengthen adolescent girl-friendly education, and partnered with 107 youth-led groups and 88 women's rights organisations. In 2019, some notable results from the 16 countries covered by the Joint Programme on FGM include: recording a 50% rise since 2017 in the number of communities building girls' capabilities and assets so they know and can claim their rights; 5.4 million people being reached through education, sensitization and social mobilisation, and more than 2.8 million people across 3,362 communities participating in public declarations of FGM elimination.
- The EU-funded UNICEF programme "**Towards Universal Birth Registration in Africa: Burkina Faso, Cameroon, Uganda and Zambia**" is now complete and has recorded tangible results: the overall objective of the project was to contribute towards the increase in registration of birth of children under-5 and was realised to a certain extent. In the target countries, interoperability between civil registration and the health sector has been reformed and standardised and this has contributed to increased birth registration rates.
- The EU-funded "**Global Programme to Prevent Son Preference and Gender-biased Sex Selection: Improving the sex ratio at birth in select countries in Asia and the Caucasus**" is now complete. In particular, a close work has been developed with governmental institutions, experts, civil societies, faith based communities, youth and international development partners to raise awareness and engaged in strategic advocacy on the issue of son preference and gender-biased sex selection to build technical capacity across stakeholders to promote policy change and evidence based programming.

As the above projects ended before the COVID crisis there was no real implication for them. The first two projects have been continued under the Spotlight regional programme which implementation start was delayed until July 2020.

Another issue which was tackled was the "**Quality alternative care for children and deinstitutionalisation**", five projects are currently being implemented in Armenia, Burundi, Cambodia, Georgia and Myanmar through five contracts managed by EU Delegations. The goal of the ongoing projects is to ensure better outcomes for children by ensuring better implementation of the UN's Guidelines for the alternative care of children in their entirety, so that children enjoy equal chances to reach their full potential in societies. An example is Myanmar, where some convincing results have already been observed: 766 children have been removed from state-run institutional care and integrated with their families or provided with alternative family-based care according to international standards.

As for other projects it is expected that COVID will have an impact on timeline of the activities and change in implementation rate and modalities applied for a number of activities.

### DCI Migration:

At least 35	266.3 million	At least 65 000
Countries supported under the GPGC to improve migration governance and management	euros committed under the GPGC to support forcibly displaced persons and their host communities	women and children affected by migration supported with targeted assistance under the GPGC

During the period 2014-2020, the issue of migration and forced displacement received unprecedented political importance at EU level, due to the substantially increased arrivals of refugees and migrants in the EU since 2015, and the increase of forced displacement situations at global level. This also translated into increased calls for EU support to and cooperation with partner countries in this area. As a result, the Commission increasingly integrated migration and forced displacement considerations within its overall relations with partner countries, both through political dialogue and through development cooperation activities. It also resulted in a sharp increase in funding allocations for migration under other instruments and programmes, notably at geographical level through the EU Trust Fund for Africa, the MADAD Trust Fund, but also sizable allocations for countries in Asia under the DCI. Actions funded under the GPGC programme were implemented in full coherence and in close coordination with these programmes, providing added value in terms of its ability to complement actions at national and regional level by engaging also at global, multi-country and cross-regional levels.

Actions funded under this programme successfully contributed to establish and to strengthen tailor made migration partnerships at regional level, but also with a number of priority countries in Sub-Saharan Africa and in Asia in particular. In particular, the programme launched a number of targeted support actions contributing to the global EU commitments in the area of migration and forced displacement, but also to the implementation of agreed priorities in migration dialogues at country, regional and global level. Following the EU commitments announced at the first Global Refugee Forum in December 2019, a particular focus was put on Forced displacement in 2020. A number of new initiatives to support refugees as well as host countries and communities were launched, including actions to address the Rohingya crisis in Bangladesh, the Venezuela refugee crisis and a new global EU facility to address refugee situations worldwide.

As an example, more than 35 countries worldwide were supported with technical assistance to improve their institutional, legislative and operational capacities to manage migration and forced displacement in all its aspects. In addition, through programmes specifically targeting women and children involved or affected by migration, more than 65,000 individuals were assisted through service provision and protection activities, catering for the particular vulnerabilities of women and children on the move. Finally, more attention was given to the particular vulnerabilities and needs of forcibly displaced persons (internally or internationally) as well as their host countries and communities in the second part of the Multi-annual Indicative Programme, with programmes worth more than EUR 250 million to provide medium- to long-term assistance to persons and hosts affected by forced displacement.

### DCI Civil Society Organisations (CSO)

The CSO programme strengthened its cooperation with foundations including to address the health and socio-economic consequences of COVID-19 in Africa.

The EU has signed all contracts identified from the 2018 Call for Proposal and the projects have started their implementation. The projects implemented under the Programme contributed to increasing citizens' engagement for sustainable development, changes in business and consumer behaviour, in policies and in formal and non-formal education curricula, teaching and learning. A dedicated project has also contributed to increasing the coordination and exchange of best practices between EU Member States in the field of Development Education.

#### DCI Local authorities in development (LA)

42	5
new partnerships of decentralized cooperation were established among more than 100 local authorities of the EU Member States and those of partner countries in Africa, Latin America, Asia and neighbourhood to contribute to SDG 11 and SDG 17 achievements with a peer to peer approach	Operating and Action Grants were implemented providing capacity building/policy support/policy dialogue with Commission services to their 242,554 members

Under the Local Authorities (LA) component of the programme CSO-LA, the institutional, operational and financial capacities of 5 Global, Regional and National Associations of Local Authorities (ALA's) were strengthened and their influence in international forum to represent the voice of their members was enhanced including in the field related to the localisation of the SDGs. Due to the COVID pandemic most of the advocacy activities, including the Associations of Local Authorities (ALA's) policy dialogues on NDICI/ the new programming exercises/ activities in view of the Local and Regional Governments forum within the EU- EU Summit were held on line. Consequently few adaptations had to be reflected in their strategic annual plans/description of the actions (due to their planning in live modality). The first block of 16 new partnerships among local authorities of EU Member States and partner countries started the implementation of the activities which was affected by the COVID pandemic requesting for most of the grants an adaptation of their planned scheduling. All the ancillary contracts related to the monitoring, coordination, communication and visibility activities had to postpone most of the activities planned. Following the launch of the second call further 26 partnerships among local authorities of EU Member States and partners countries were established in all continents.

#### DCI PanAf

Since 2014, 28 consortia of African higher education institutions have been selected under the "Intra-Africa Academic Mobility scheme". Those consortia involve 72 universities from 28 African countries. During the implementation of their projects, those higher education institutions supported the mobility of around 1,450 master and doctorate students and 350 (academic and administrative) university staff.

Under the AfricaConnect project, over 5 million students/lecturers/researchers from 1,900 African higher education and research institutions in 20 countries benefitted from improved and more affordable internet connectivity. Thanks to this project, those institutions are interconnected through their regional networks and are connected with their peers in Europe and worldwide, thereby getting access to increased opportunities for collaboration.

The support provided so far to various African governance institutions and organisations has created the basis for the definition of an African Governance Architecture that will constitute the framework for the African Union's aspiration and commitment to promoting democratic governance and human rights.

In the area of economic integration, EU support has been instrumental for the successful conclusion of the AfCFTA (African Continental Free Trade Area) negotiations in 2018 and has positioned the EU as the main recognized partner of the AU in this ambitious programme. The EU support has ensured the needed capacity and technical expertise in the African Union Commission's dedicated AfCFTA negotiation unit (consultations with the civil society including private sector, national authorities and Regional Economic Communities across Africa, technical studies and ad hoc analysis of the impact of the AfCFTA on national economies and specific sectors). In 2019, advocacy actions vis-à-vis the AU Member States on ratification of the agreement have been implemented and AfCFTA national implementation plans have been developed for several countries and regions. Of notable importance also the establishment in 2020 of the African Trade Observatory to monitor intra-African trade flows.

The EU is also transferring technologies and know-how to African partners. Examples include improving know-how and access to European Earth Observation facilities (Copernicus) and expertise to manage meteorological information, continental water and environmental, marine and coastal resources, and aviation systems and technologies, strengthening capacity of African Geological Surveys (PanafGEO project) through technical training and collaboration with EU Geological Surveys.

On migration, PanAf has been supporting the various policy dialogues with Africa. In the framework of the Khartoum process, partners were able to share knowledge and foster dialogue on a regular basis. One of the key results was that participating officials shared good practices which can be applied in their work, thus improving the overall quality and mutual understanding of their respective practices in the field of migration.

In the context of the Rabat process, the Marrakesh Political Declaration and Action Plan covers all migration related aspects thereby reflecting the Euro-African balance, which lies at the heart of the dialogue. Particularly noteworthy was the increased participation of non-state actors – civil society organisations, academia and international organisations – in the dialogue. This contributes to both enriching the exchanges (enabling partners to benefit from voices on the ground and lessons learnt of those working directly with migrants) and creating a pool of qualified experts on matters related to the Marrakesh Action Plan.

**Corresponding 2014-2020 programme: European Instrument for Democracy and Human Rights (EIDHR):**

<b>7,700</b>	<b>162</b>
human rights defenders (HRDs) at risk supported during the period 2014-2020	countries covered by the Global Monitor of COVID-19's Impact on Democracy and Human Rights created in 2020

**1. Support mechanism for Human Rights Defenders (HRDs) and human rights where there are most at risk were set up**

Between 2014 and 2020 approximately 7,700 HRDs at risk and their family members have been supported by direct emergency grants by Protect Defenders and the EU Emergency Fund. In 2020 alone, more than 1,700 HRDs and family members have been supported.

**2. In the context of shrinking civic and democratic space, worsened by the current COVID crisis, the EU has re-affirmed its unconditional support to Human Rights and Democracy worldwide. The European instrument for Human Rights and Democracy has remained the symbol of the EU global leadership on these topics. In this context, the need for transparency and accountability over government actions is ever more important. Among key democracy support actions this year was the "Global Monitor of COVID-19's Impact on Democracy and Human Rights" a "one-stop" online global monitoring platform (a "tracker of trackers"), implemented by International IDEA, with data and brief analysis by country, for 162 countries around the world.**

**3. Disinformation efforts have exploded into an "infodemic" and independent journalists and media outlets were among the first to be affected by the economic crisis, travel restrictions and restrictive measures taken by governments. As part of the EU Global Recovery response to COVID, DEVCO has mobilized in 2020 EUR 5.5 million from the EIDHR for support to journalists affected by the pandemic. Journalists from some 35 countries in Africa and Latin America will receive direct financial support. The EU also finances the "Tracker 19", an RSF (Reporters Sans Frontières) tool documenting state censorship and deliberate disinformation, and their impact on the right to information. We also launched the 2020 EIDHR global call for proposals focusing on shrinking civic and civil society space in four different regions.**

**Election Observation Missions:**

<b>14</b>	<b>350</b>
Electoral processes and democratic cycles supported, observed, and followed by means of Election Observation Missions (fully-fledged Electoral Observation Missions, Election Experts Missions, Election Follow-up Missions, complementary activities) in 2020	Number of election observers deployed in 2020

In light of the COVID-19 pandemic, EOM helped to develop a combination of various tools that allowed to strike a balance between keeping election observations missions going and keeping observers in the countries observed safe and sound. In order to cover as much ground as possible, most of the fully-fledged EOMs were replaced by reinforced Electoral Expert Missions (EEMs) or by desk reviews. Wherever a mission was deployed, the necessary security and risk mitigation measures were put in place to ensure the safety of the observers.

Three fully-fledged Election Observation Missions (EOMs) were deployed to observe the electoral process in Peru, Guyana and Ghana, including assessments of the campaign, the legal framework, the political environment and the overall electoral process. These missions were deployed in the field, on average, for 3 months. Furthermore, 4 Electoral Expert Missions (EEMs) were deployed in Mali, Burkina Faso, Niger and the Central African Republic and 4 reinforced EEMs to Bolivia, Jordan, Myanmar and the Côte d'Ivoire. For the Dominican Republic, Malawi and Myanmar, where election observation was not possible or only a specific aspect of electoral processes needed to be assessed, desk reviews were conducted. Wherever a mission was deployed, the necessary security and risk mitigation measures were put in place to ensure the safety of the observers, entailing additional costs for the EOMs.

The **EOM to Peru** took place at the beginning of 2020. By the time the WHO declared the outbreak of the global pandemic, the majority of the EOM international staff had already left Peru. To take account of the circumstances, a “virtual” return visit was organised which involved the presentation of the mission report to the local authorities, with the help of the EU Delegation.

The **EOM Guyana** operated normally for most of its observation period. However, due to the evolution of the COVID- pandemic and the imminent suspension of commercial flights, the deployment of long-term observers was slightly shortened and the remaining experts were successfully repatriated. Once the mission members were back in Europe, the necessary working conditions were created for experts to allow for finalisation of the mission in accordance with its mandate.

The **EOM to Bolivia** was planned and launched in early 2020. The deployment was suspended in March in view of the postponement of elections due to the COVID-19 pandemic. In September, a **reinforced EEM** was successfully deployed despite the fact that most airports were closed, the weak medical infrastructure and the uncertain security situation.

Notwithstanding the COVID-19 pandemic, in November 2020, the deployment of around 100 observers took place to observe the general elections in **Ghana**. Solutions were found to all logistical and sanitary obstacles. All observers and local staff were tested for COVID-19, under medical supervision, and accommodated in the suitable housing all over the country.

#### **Corresponding 2014-2020 programme: European Fund for Sustainable Development (EFSD):**

14	100 million	60 million	50 million	91.7million
guarantee agreements signed in 2020	Euros allocated to the EU Municipal, infrastructure and industrial resilience programme of European Bank for Reconstruction and Development (EBRD), aiming to contribute to the green transition of the economies in the EU Neighbourhood (guarantee agreement signed in 2020)	Euros allocated to the Financial Inclusion Programme (InclusiFI) of Cassa Depositi e Prestiti (CDP), aiming to promote financial inclusion driven by diasporas, leveraging private financing to foster inclusive and sustainable entrepreneurship and growth of Micro-, small and medium-sized enterprises (guarantee agreement signed in 2020).	Euros allocated to the European Guarantee for Renewable Energy – Non Sovereign (EGRE NS) – of Agence Française de Développement (AFD), aiming to improve certainty of payments for investors under offtake contracts in renewable energy projects in Africa and addressing the offtakers <sup>25</sup> non-payment risk which is considered critical for the development of independent power producers (guarantee agreement signed in 2020).	Euros allocated to the Agricultural and Rural Finance Guarantee Programme (AgreenFI) of Agence Française de Développement (AFD), aiming to catalyse investment and support for local agricultural businesses in riskier environments and aiming to improve liquidity and access to finance for smallholder farms and agri/rural micro, small and medium enterprises (guarantee agreement signed in 2020).

<sup>25</sup> An offtaker is a purchaser of renewable energy in an offtake agreement which is an arrangement between a producer and a buyer to purchase or sell portions of the producer's upcoming goods.

145 million	12 million	20 million	58 million	68.2 million
Euros allocated to the EU Market Creation Facility (TCX) - Capacity Component of Kreditanstalt für Wiederaufbau (KfW), aiming to increase access to local currency indexed borrowing to institutions based in Sub-Saharan Africa and the European Neighbourhood and to address short- and medium-term funding requirements triggered by the ongoing global health crisis (guarantee agreement signed in 2020).	Euros allocated to the European Guarantee For Renewable Energy – Non Sovereign (EGRE NS) of Cassa Depositi e Prestiti (CDP), aiming to improve certainty of payments for investors under offtake contracts in renewable energy projects in Africa and addressing the offtakers' non-payment risk which is considered critical for the development of independent power producers (guarantee agreement signed in 2020).	Euros allocated to the Renewable Energy Support Programme of Compañía Española de Financiación del Desarrollo (COFIDES), aiming to enable the development of off-grid and mini-grid renewable energy projects in Sub-Saharan African countries (guarantee agreement signed in 2020).	Euros allocated to the International Finance Corporation (IFC)'s Small Loans and Guarantee Program (SLGP), aiming to catalyse investment in and support for local businesses in riskier environments (guarantee agreement signed in 2020).	Euros allocated to the PROPARCO's COVID-19 Response Component to Agricultural and Rural Finance Guarantee Programme (AgreenFI), and aiming to catalyse investment and support for local agricultural businesses in riskier environments and aiming to improve liquidity and access to finance to smallholder farms and agri/rural micro, small and medium enterprises (guarantee agreement signed in 2020).

20 million	100 million	46 million	458 million	100 million
Euros allocated to the EU Market Creation Facility (TCX) - Pricing Component of Kreditanstalt für Wiederaufbau (KfW), aiming to increase access to local currency indexed borrowing to institutions based in Sub-Saharan Africa and the European Neighbourhood and to address short- and medium-term funding requirements triggered by the ongoing global health crisis (guarantee agreement signed in 2020).	Euros allocated to the Resilient City Development (RECIDE) of Agencia Española de Cooperación Internacional para el Desarrollo (AECID), aiming to help African cities develop public-private partnerships to cope with the effects of climate change and improve services to the citizens (guarantee agreement signed in 2020).	Euros allocated to the African Energy Guarantee Facility (AEGF) of Kreditanstalt für Wiederaufbau (KfW), aiming to promote renewable energy solutions to meet growing demand, address bottlenecks in private investments and bridge the gap between real and perceived risks in the African energy market (guarantee agreement signed in 2020).	Euros allocated to the European Investment Bank's African Health Diagnostics Platform (AHDP), aiming to improve healthcare with high-quality health screening labs and including a 400 million euro contribution to the COVID-19 Vaccine Global Access Facility (COVAX) (guarantee agreement signed in 2020).	Euros allocated to the European Investment Bank's SME Access to Finance Guarantee Agreement, aiming to enhance access to finance for SMEs and to enable financial intermediaries to take on more risk and reach out to underserved segments of the economy (guarantee agreement signed in 2020).

On 23 November 2017 the Commission established a first set of Investment Windows for the EFSD Guarantee, which were subsequently endorsed by the EFSD Strategic and Operational Boards. These cover five areas, namely: Sustainable Energy and Connectivity; Micro, Small and Medium Sized Enterprises (MSMEs) Financing; Sustainable Agriculture, Rural Entrepreneurs and Agribusiness; Sustainable Cities; and Digital for Development.

Following the establishment of the Investment Windows, partner financial institutions were invited to propose investment programmes to be covered by the EFSD Guarantee. The response by the financial institutions was very positive: the Commission received 46 proposals from 12 partner institutions for a total value above EUR 3.5 billion, thus exceeding the current entire capacity of the EFSD Guarantee by over EUR 2 billion.

On 20 June 2018, the EFSD Operational Board involving the EU Member States gave its green light to a first set of twelve guarantee tools to be supported under the EFSD. Sixteen additional guarantee tools were approved by the EFSD Operational Board on 13 November.

Pursuant to Article 8 of the EFSD Regulation, the investment period, during which guarantee agreements for supporting investment programmes can be concluded with the eligible counterparts, lasted until 31 December 2020. Eligible counterparts subsequently have four years as from the conclusion of the guarantee agreement to conclude agreements for underlying operations with co-financing partners, financial intermediaries or final beneficiaries. As a rule, the duration of the guarantees extended to eligible counterparts under each guarantee agreement should not exceed fifteen years.

As of 31 December 2020, the Commission exhausted the present capacity of the EFSD Guarantee by signing 18 guarantee agreements worth EUR 1,548,700,000.

#### **Corresponding 2014-2020 programme European Neighbourhood Instrument (ENI):**

<i>7.8 million</i>	<i>88 000</i>	<i>185 600</i>
Beneficiaries reached by the on-going programmes of the EU Regional Trust Fund in Response to the Syrian crisis since its start in late 2014	students and academic staff from the Neighbourhood countries enabled by the Erasmus+ to study or teach in the EU in 2014-2020	Small and Medium Enterprises (SMEs) benefited from the EU4Business support in 2016-2020

The ENI proved to be a flexible and responsive instrument addressing the priorities established under the European Neighbourhood Policy framework and react to needs and challenges in the region, including to protracted crises.

## **SOUTHERN NEIGHBOURHOOD**

### **Palestine**

Most of the EU's support to Palestine<sup>26</sup> is channelled through the Palestinian-European Mechanism for Managing Socio-Economic Assistance (PEGASE). This programme includes support to salaries and pensions of the Palestinian Authority's civilian payroll reaching out to 55 000 beneficiaries in the West Bank, while through the support to the Palestinian Cash Transfer Programme it provides quarterly cash assistance to 22 000 poor and vulnerable families in the West Bank and 65 000 in the Gaza Strip. Moreover, the Commission has supported the Palestinian Authority with regular contributions to the payment of medical referrals to 6 Palestinians Hospitals in East Jerusalem. This support maintains the availability, access and sustainability of essential tertiary healthcare services to the Palestinian population, most of which are not available elsewhere in Palestine.

### **Syria**

In the health sector, the Programme to strengthen the primary health care sector in Syria implemented by Expertise France in partnership with Union des Organisations de Secours et Soins Médicaux, reported outstanding results including: 1.8 million primary health care consultations, 15 085 referrals, 6 751 deliveries, rehabilitation of 8 primary health care clinics, support to 320 primary health staff, and robust capacity building increasing the competency of health staff across several needs-based areas. The programme also provides reported improvements in quality of care including a useful forum to discuss EU approaches with Syria? 20% increase in terms of alignment of clinical practices with protocols and a 90% satisfaction rate amongst users. The programme overachieved on its target of supporting the development of three policies and 17 analyses by contributing to the drafting 6 policies

<sup>26</sup> This designation shall not be construed as recognition of a State of Palestine and is without prejudice to the individual positions of the Member States on this issue.

and 19 analyses. School health services were also launched during the last year of project implementation in 105 schools benefitting 77 247 school age children against an original target of 15 000. Through the programme, vaccinations were also provided to 182 391 children. Overall, there is broad consensus among all stakeholders with the aim of improving aid effectiveness that programme activities were well-designed, relevant and responsive to critical health needs. This large programme ended in March 2020

### **EU Regional Trust Fund in Response to the Syrian Crisis**

In 2020, the EU continued to play a pivotal role in providing for a coherent and integrated response to the massive needs resulting from the Syrian refugee crisis. The EU Regional Trust Fund in Response to the Syrian Crisis, herein after EUTF Syria, addresses the early recovery and longer-term resilience needs of Syrian refugees, internally displaced persons and overstretched local administrations in neighbouring countries, mainly in Lebanon, Jordan, Iraq and Turkey. By December 2020, the EUTF Syria signed 110 contracts with more than 200 implementing partners, supporting large scale resilience programmes on basic and higher education, livelihoods and social assistance, health, water and sanitation (WASH), as well as protection.

The Trust Fund Syria has already reached more than 7.8 million beneficiaries through direct access to services, while 43,155 beneficiaries have been trained as part of the local capacities strengthening and 6,229 local facilities were supported as part of the local infrastructure strengthening. Key results achieved per sector include;

- Basic and higher education: 474,718 children gained access to basic formal and non-formal education, while 18,944 teachers were trained; 289 education facilities were constructed and/or refurbished; and 6,989 young people with access to higher and further education.
- Protection: access to psychosocial support and specialised services was guaranteed to more than 500,000 beneficiaries, and 5,736 individuals were trained on child protection and gender-based violence;
- Livelihoods: more than 533,108 beneficiaries accessed services, including employability and skills trainings, and assistance opportunities; 3,334 Micro Small and Medium Enterprises (MSMEs) were trained.
- Health: more than 4.2 million beneficiaries accessed primary health care consultations and health related education activities;
- 7,593 professional staff were trained in primary, secondary or tertiary health care services;
- 202 health infrastructures have been upgraded, refurbished and equipped.
- WASH: access to WASH services was improved for 483,704 individuals, notably increasing access to safe drinking water sources and hygiene promotion; 2,261 number of people trained in the WASH sector; and 250 municipal/regional water and wastewater facilities were constructed and/or rehabilitated.

### **Libya**

Local development and local governance: EU funded programmes both on ENI and North of Africa window of the EU Emergency Trust Fund for Africa covered about 65% of the 114 Libyan municipalities in 2020. Activities focussed mostly on rehabilitation of key social infrastructure for service delivery, capacity building of municipal authorities and strengthening of relationships between municipal actors.

### **Jordan**

In the governance domain, the EU supported the Parliament in its move to become an e-parliament, via setting up electronic conference and voting systems and electronic library, archive and registration of citizens' concerns, which strengthened transparency and accountability. The EU also supported the Electoral Commission to carry out elections in a more efficient and transparent manner as well as CSOs in promoting political participation, especially for women and youth.

In 2020, in the education domain, the EU provide higher education and vocational training to around 5 000 Syrian refugee students and disadvantaged youth in host communities in the form of language training, academic readiness skills, coaching and distance education programmes. Nearly 1 500 students could take advantage of the Erasmus+ programme. E-learning via the Madrasati platform financed by the EU provided around 550 teachers from 207 schools across Jordan with capacity-building opportunities on pedagogical and collaborative use of ICT, utilising innovative teaching tools, along with strengthening their interpersonal skills, digital learning, citizenship and values. The EU also worked on a more systemic level for the reform of the TVET sector.

### **Tunisia**

Economic support instruments include: 1) Direct support to enterprises (co-financing of consulting missions for the benefit of SMEs, implemented by the EBRD). A programme that has enabled more than 600 companies to benefit from expertise to upgrade production, internal management or marketing processes. 2) Implementation of guarantee mechanisms (in loans) on credit lines to SMEs (financed by the European development banks: EBRD, AFD, KfW) to facilitate access to credit. 3) Budget Support which enables us to work on the regulatory approximation of Tunisian standards with European standards (industrial standards and SPS), on trade facilitation (e.g. digitalisation of foreign trade procedures), on the business climate etc., while helping public finances to stay afloat. 4) Sectoral projects in the field of innovation (to provide funding for initiatives to support young entrepreneurs or start-ups), tourism (to diversify the range of tourism on offer in order to attract new tourist profiles and enhance the value of the cultural heritage).

The **EUTF for Africa** has continued supporting Tunisia in the implementation of its national strategy on migration. The results were as follows: More than 700 asylum seekers and refugees received access to legal assistance. 63 micro, small and medium-sized enterprises were created or supported. 230 institutions and non-state actors were supported through capacity building or operational support on protection and migration management and 135 people received professional training (TVET) and/or skills development. In the field of border management in Tunisia in 2020 the first contracts were signed to improve radar surveillance infrastructures along the coast.

At **regional level**, ENI funds continued supporting inclusive economic development, environment and climate change, independent media and civil society, as well as cooperation on security matters. However, the COVID-19 pandemic severely impacted the economies of the Southern Neighbourhood, and DG NEAR adapted its regional programmes from the AAP 2019 and 2020 for a total of EUR 26 million to address the long-lasting economic consequences of the pandemic on employment. In this context, regional initiatives with a focus on job creation were brought forward, notably trade and investment programmes with OECD, ILO, and a regional programme on innovation and cluster cooperation.

Particular emphasis was also put on social economy as an innovative model addressing social problems and inequality in Arab countries, while providing an economic perspective, especially for young people. Since 2018, the MedUP programme promotes the development of social entrepreneurship in the Southern Mediterranean by increasing economic inclusiveness and fair employment in Morocco, Egypt, Tunisia, Egypt, Lebanon, Palestine and Jordan. In 2020, the programme established a platform for public-private dialogue and exchange of good practices and provided high-quality services to participating entrepreneurs. The MedUP programme triggered positive policy outcomes, notably the adoption of new regulations in Jordan and Tunisia related to social entrepreneurship, and the development of strategies on social economy. At company level, 64 social entrepreneurs from Palestine, Lebanon, and Jordan benefitted from sub-grants through NGOs and civil society organisations under the MedUP label.

Under the **Neighbourhood Investment Platform** (NIP), blending continued to be a powerful instrument to leverage investments in the region through the approval of 14 operations for a total amount of EUR 276 million in 2020. Moreover, as part of the COVID-19 response, 3 regional facilities were signed totalling EUR 95 million, topping-up existing facilities and accelerating new programmes with European Financial Institutions, to support mostly SMEs and financial intermediaries, by providing immediate liquidity, more local currency funding, and support to green recovery. SANAD – the MENA Fund for MSMEs provided microfinance support to entrepreneurs, while the Green for Growth Fund promoted renewable energy investment and competitiveness via energy and resource efficiency for enterprises and households, in cooperation with KfW.

Assistance to the **Union for the Mediterranean** (UfM) networks and fora to foster dialogues from political to technical levels in energy, transport, environment, trade, economy and job creation throughout 2020 continued being provided. Despite the pandemic, the UfM Trade Ministerial took place on 12 November (though in virtual format), resulting in a Joint Statement of Ministers to reaffirm their commitment to rule-based free trade and investment. It was accompanied by the UfM Business Forum (held online) to discuss trade, investment and employment opportunities in light of the COVID-19 crisis, which led to the creation of a UfM Hub for Jobs, Trade and Investment Promotion, as a means to inclusive economic development. On 27 November 2020, the UfM Regional Forum brought together Ministers of Foreign Affairs at the occasion of the 25th Anniversary of the Barcelona Declaration to reiterate their commitment to the Euro-Mediterranean dialogue and cooperation. The Regional Forum was preceded by the EU-Southern Neighbourhood Ministerial Meeting, and set to discuss a renewed partnership under the European Neighbourhood Policy.

The joint EU-CoE programme “Ensuring Sustainable Democratic Governance and Human Rights in the Southern Mediterranean” has actively worked on addressing gender based violence as a human rights violation, and as a serious obstacle to sustainable development, stability, peace and good governance building in the region. Under the framework of the Council of Europe Convention on Combating and Preventing Violence against Women and Domestic Violence (Istanbul Convention), this regional programme has supported gender responsive capacity building of legal professionals, state bodies and civil society on the Istanbul Convention, as well as key gender responsive legal reforms in Tunisia and Morocco. Tunisia requested accession to the Istanbul Convention in November 2019.

## EASTERN NEIGHBOURHOOD

The EU remains a major partner for countries of the Eastern Partnership. In addition to the bilateral agreements in place, the Eastern Partnership multilateral framework has been guided by the result-oriented and jointly owned agenda “20 Deliverables for 2020”. In 2019, as the partnership marked its 10th anniversary, the Commission carried out a broad and inclusive consultation to define the future policy objectives. Overall, there is a consensus that the Eastern Partnership is robust and delivers tangible benefits to the daily lives of people across the region. The achievements are clear. There are more diversified and vibrant economies in the region, with over 125,000 loans provided to SMEs, 50% of which in local currency. There are better transport links and infrastructure with the extension of the TEN-T network with almost 5000 km of new and rehabilitated roads and railways. The trade and investment opportunities have increased with the number of companies from DCFT countries exporting to the EU going up by 35% for Georgia, 40% for Moldova, and 26% for Ukraine. Visa free regimes have been put in place between the EU and Georgia, Ukraine and Moldova. Thanks to EU support, almost 100,000 families were able to benefit from energy efficiency initiatives and reduce their energy bills. The Covenant of Mayors has grown into a network of 400 municipalities, covering around

60% of the EaP countries. The EU financial assistance has enabled the easier access to high-capacity broadband internet for 2 million scientists, academics and students at over 700 Research and Education institutions. There have been over 80,000 youth exchanges, including through the Erasmus+ programme. A European School was inaugurated in Tbilisi, in the context of the EaP policy

On 18 March 2020, the Commission put forward a proposal for the long-term policy objectives of the Eastern Partnership beyond 2020. These aim at increasing trade, strengthening connectivity and deepening economic integration with Armenia, Azerbaijan, Belarus, Georgia, the Republic of Moldova and Ukraine, strengthening democratic institutions, the rule of law, environmental and climate resilience, supporting the digital transformation, and promoting fair and inclusive societies.

### COVID-19 response

In the Eastern Partnership, the Commission rapidly redirected about EUR 1 billion of grant assistance in support to the six partners. This included EUR 80 million for immediate needs of the public health sector, civil society, and independent media, and another EUR 900 million for longer-term socio-economic recovery. Together with the World Health Organisation, the Commission provides medical supplies across the region, with deliveries last year over 11 million items of personal protective equipment, 12 000 laboratory kits, over 1 500 ventilators, oxygen concentrators and pulse oximeters, and over 20 000 PCR test kits. In Ukraine, according to the World Health Organisation estimates, the timely delivery of COVID-19 supplies has already saved 100 000 lives.

In keeping with existing financial assistance, under the ENI support is rapidly being mobilised for socio-economic recovery in support of SMEs and also local communities. Altogether the Commission provides support to at least 500 000 SMEs to help build back better. The Commission will continue to provide financing in local currency to reduce the risks to SMEs. This will encourage European companies to invest to help consolidate the performance of specific industrial sectors.

In addition, the Commission is making every effort to deliver vaccines to essential medical workers and vulnerable groups across the region as soon as possible. The EU supports COVAX with over EUR 500 million from the EU budget and some the EaP countries are scheduled to receive vaccines through COVAX very shortly.

In **Armenia**, the EU provides companies with funding, training, and export support to new markets, including through the EU4Business initiative. In the period 2014-2020, the EU4Business initiative has triggered loans of over EUR 250 million, benefitting 15,000 SMEs and creating almost 2000 new jobs

. Under Erasmus+ (2014-2020), close to 2,500 students and academic staff from Armenia have studied or taught in Europe, and 1,250 Europeans went to Armenia. In addition, over 8,000 young people and youth workers took part in short-term exchanges, mobility, training and volunteering projects.

In **Azerbaijan**, almost EUR150 million of EU-backed loans have been provided for thousands of Azerbaijani companies in the period 2014-2020 and improving the business and investment climate in the country. Also, in the past 10 years, over 25 ministries and public institutions in Azerbaijan have participated in almost 50 projects bringing EU public sector expertise to their Azerbaijani counterparts. Upgraded air quality monitoring, introduction of a mandatory health insurance and the EU Azerbaijan Business Forum are examples of successful EU-Azerbaijan cooperation.

**Belarus** has access to EUR 10 million for key projects in energy efficiency and environmental protection through the EBRD-managed Eastern Europe Energy Efficiency and Environment Partnership. The first project - Puhovichi Solid Waste - has helped to leverage total investments of EUR 7 million. A new investment grant for wastewater treatment facilities in 6 cities in Belarus was approved at the end of 2019. EU support has helped to improve energy efficiency in educational facilities for the benefit of 2,000 school and pre-school children, and support to modernisation has improved the living conditions of 10,000 citizens and reduced electricity bills for 10 municipalities.

In **Georgia**, the EU is modernising agriculture through the European Neighbourhood Programme for Agriculture and Rural Development (ENPARD), which aims to improve the living conditions of rural Georgians. Through ENPARD the EU has supported the rollout of the agriculture cooperative model in Georgia, leading to the establishment of 1,200 cooperatives in the country. The EU's financial and technical support to them aims to help farmers improve their working conditions and income. EU support has also helped establish 59 information and consultation centres around the country, which have trained over 250,000 farmers. Through Local Action Groups, the EU has supported over 500 local development initiatives in rural areas, which have provided better employment conditions for over 1,000 households and improved living conditions for over 10,000 people.

In **Moldova**, as part of the COVID response, the EU has supported 19,000 SMEs from Moldova through regional programmes. EUR40 million was directly committed for Moldovan SMEs to respond to the liquidity crisis, provide credit deferral and continue supporting long-term SMEs funding in particular in local currencies. The EU actively supports improvements in transport, environment and energy well as to local community development and agriculture. On transport, around 700 kilometers of roads have been or will be rehabilitated in the Republic of Moldova thanks to EU support. Public transport has been improved in Chişinău and Bălţi with modern trolley buses. Twelve brand new locomotives were delivered in July 2020 for the national railroad company and are mainly used for freight transportation. In the energy sector, the EU is also co-financing a permanent interconnection between the electrical networks of Moldova and Romania, while the construction of a gas pipeline between the two countries was completed on August 2020 increasing the energy security of Moldova. In the Municipality of Balti, Moldova's

second largest city, the district heating utility has been upgraded so that citizens will have the possibility to better regulate their heat consumption. New drinking water supply infrastructure in local communities was built with EU support. As a result, approximately 15 700 people have access to sufficient and safe drinking water. The EU continues to offer support to organic agriculture and non-genetic modified organisms. As a result, the national soya production grew almost two-fold in 2019 in spite of the severe draughts experienced.

## Ukraine

The EU assistance contributed to the comprehensive reform programme of **Ukraine** and stabilisation of its economy with unprecedented assistance packages (around EUR 1.6 billion of bilateral assistance in 2014-2020), through *inter alia* decentralisation (U-LEAD with Europe), anti-corruption (EUACI), the rule of law (PRAVO) and public administration reform (EU4PAR) programmes, with the following results:

1. **U-LEAD with Europe: Ukraine Local Empowerment, Accountability and Development Programme – Component 1** contributing to the establishment of multilevel governance, which is transparent, accountable and responsive to the needs of the population.
  - 534 municipalities introduced new taxes and fees after receiving support from U-LEAD with Europe.
  - 900 municipalities benefited from U-LEAD’s policy advice.
  - 9500 representatives from business and civil society were further enabled to promote local development.
  
2. **EU Anti-Corruption Initiative (EUACI)** providing substantial support to frontline anti-corruption agencies, local authorities, the civil society and investigative media in the form of technical advice, capacity building, grants and IT solutions, drawing on the EU's and international best practices and experience.
  - 300 high-level corruption cases against senior officials, politicians and businessmen are already handled by the High Anti-Corruption Court established with the EU support.
  - 5 integrity Cities across Ukraine received modern tools to fight corruption and build integrity in city administration and provision of municipal services.
  - 1.9 million viewers from Ukraine and abroad watched high quality investigative journalism stories produced with EU support.
  - EUR 74 million gained to the Ukrainian state and municipal budgets from a transparent sale and lease of state property on Prozorro – a sale platform supported by the EU.
  
3. **EU support to comprehensive Reform of Public Administration** contributes to establishment of a modern, efficient, professional and transparent public administration of Ukraine in line with the Principles of Public Administration developed by OECD/SIGMA<sup>27</sup> through budget support, technical assistance and capacity building to various stakeholders, including Members of the Parliament and relevant parliamentary Committees, the President and its Administration, Members of the Cabinet of Ministers, National Agency of Ukraine for Civil Service and civil society organisations.
  - Over 20 000 civil servants from 18 institutions included in the Human Resources Management Information System (HRMIS).
  - 31 electronic services and information from 6 national registers available to the Ukrainian citizens on the unified government gateway diia.go.ua.
  - “E-baby services” (such as registration of birth, registration of child’s origin, registration of child’s place of residence) used by over 40 000 families.
  - Creation of 95 policy directorates in ministries and recruitment of more than 700 civil servants under merit-based procedure.
  
4. **Support to Rule of Law Reforms in Ukraine (PRAVO)** has two components: Pravo-Justice provides assistance to justice sector national authorities in strengthening the rule of law in Ukraine, in line with best European and international practices; Pravo-Police in coordination with European Union Advisory Mission Ukraine supports reforms of Ukrainian law-enforcement agencies, contributing to improved criminal investigations, public order protection, policing, and, above all, piloting best European models and practices.
  - 197 judges of the renewed Supreme Court were selected following a transparent and merit-based process, including an integrity check and advanced psychological testing, conducted with EU support.
  - 9 800 prosecutors at the regional and local level are undergoing a rigid vetting procedure, including professionalism and integrity checks and adaptive ability testing. 8 400 of them have already completed it and 6 500 successfully passed it.

<sup>27</sup> SIGMA (Support for Improvement in Governance and Management) is a joint initiative of the Organisation for Economic Co-operation and Development (OECD) and the European Union

- Complaints against illegal raiding of property and businesses reduced by 25% in 2020 compared to 2019 thanks to the registration and anti-raidership reforms carried out with EU support.
- 150 000 respirators, 462 500 medical masks and 6 500 protective overalls of personal protective equipment needed during pandemic was delivered to the National Police of Ukraine's COVID-19 "front line workers".

In addition to bilateral programmes, regional programmes benefitting more than one country have also achieved results, such as:

- Since the launch of the Eastern Partnership in 2009, the EU has supported more than 125 000 enterprises, backing EUR 2 billion worth of loans, and sustained over 250 000 jobs and helped the creation of around 34 000 new jobs.
- EU-EaP trade has nearly doubled turning the partner countries into the EU's 10th largest trading partner. The EU is the first trading block for four partner countries (Azerbaijan, Georgia, Moldova and Ukraine), while for Armenia (over EUR 1.2 billion worth of trade in 2018) and Belarus the EU is the second biggest trading partner. These trade relations have also led to diversification in exports of goods from partner countries, and to their better integration in global value chains. Furthermore, the number of companies exporting to the EU from Georgia has increased by 46%, from Moldova by 48% and from Ukraine by 24%. This clearly reflects the mutual benefits of EaP.

From 2014-2020, **Erasmus+** higher education strand has enabled more than more than 28 000 students and academic staff from the Eastern Partnership countries to study or teach in EU or other European programming countries. Close to 600 full degree scholarships Erasmus Mundus Joint Master Degrees scholarships were awarded as well as 179 projects supporting capacity building for Higher Education involving EaP partners and 170 Jean Monet projects supporting innovation, knowledge-sharing, and communication on European issues. Under the Erasmus+ youth strand, close to 55 000 young people and youth workers from the EaP region participated in youth dialogue, youth exchanges, youth workers mobility and volunteering activities, and close to 800 young people in European Solidarity Corps activities. Now in its third academic year, the European School in Georgia continues to offer quality education to pupils from all EaP countries, increasing their future opportunities, fostering co-operation and fundamental values, and promoting a better understanding of the EU.

**"EU4Business"** - an umbrella initiative covering all EU support for small and medium-sized enterprises (SMEs) in the Eastern Partnership region - improves access to finance for SMEs, provides business development services and participates to enhance the investment climate in the region. With an active portfolio of EUR 720 million, and through a portfolio of 116 contracts, in 2019 EU4Business provided support to 79,000 SMEs, helped created 117,000 jobs, and was instrumental in the adoption of 714 new laws, policies and regulation aiming at improving investment climate. More than EUR 128 million was allocated to almost 1,900 women-led SMEs through the EU4Business initiative, which also provided training for 11,014 women-led SMEs, in 2019 alone.

- A decision on extending the Trans-European Transport Network to the eastern Neighbourhood by 2030 was reached in 2016 as a concrete step towards better connections and a streamlined approach to infrastructure investments. This decision complements reforms in the sector in view of making transport more secure, safer and more environmentally friendly.
- Over 450 municipalities, covering 30 million people in the Eastern Partnership countries, signed up to the EU's Covenant of Mayors. This aims to reduce their CO2 emissions by 30% by 2030, almost 20 million tonnes by the end of 2020, which is equivalent to planting almost 500 million trees.

Beyond the Eastern Partnership multilateral framework, ENI funds continued to support two other policies, namely the **Northern Dimension** and the **Black Sea Synergy**, promoting effective regional cooperation with the Eastern Neighbourhood and beyond.

#### **Corresponding 2014-2020 programme Instrument contributing to Stability and Peace (IcSP):**

56 <sup>28</sup>	11	9	8	8	16
Number of crisis response actions adopted during 2020	Number of mediation expert assignments undertaken under the IcSP Mediation Facility (European Resources for Mediation Support - ERMES) during 2020 to support peacebuilding and	Number of expert assignments undertaken under the IcSP Security Sector Governance Facility during 2020 to support security sector reform initiatives	Number of expert assignments undertaken under the IcSP Transitional Justice Facility during 2020	Number of new capacity building in support of security and development (CBSD) actions adopted during 2020	Number of actions addressing the COVID-19 crisis

<sup>28</sup> Non-programmable actions above EUR 20 million

	conflict resolution.				
--	----------------------	--	--	--	--

### IcSP Articles 3 and 4

At the end of 2020, there were 250 on-going IcSP actions across Europe, Asia, Africa and the Americas. Examples of timely EU responses to high-priority crises on the EU political agenda are given below. Information on the actions funded by the Instrument under Articles 3 and 4 are available for the general public through the following online tool: <https://icspmap.eu>.

- In 2020, the EU Afghanistan Peace Support Mechanism (EU APSM) contributed to the preparations of an inclusive peace process by supporting a comprehensive group of civil society partners through an innovative Partnership Approach, developing a transfer mechanism for interaction between the negotiating parties and civil society, as well as establishing networks with official actors and key stakeholders. In so doing, the EU APSM has built capacity among under-represented groups and amplified their voices, while addressing a number of key topics in the peace and security dynamics. By the end of the action on 17 December 2020, 13 projects had been implemented in 23 out of 34 provinces by 15 Afghan CSOs 2 Afghan think-tanks, one Afghan media organisation, one international NGO and 3 universities. The support to CSO partners has enabled civil society engagement on peace among a diverse group of marginalised voices, including youth, women, victims of war, as well as ethnic and religious minorities. The EU APSM has also facilitated coordination between different CSOs to promote synergies and collaboration. The EU APSM provided technical and financial support to the Afghanistan Mechanism for Inclusive Peace (AMIP) which, since its launch in September 2020, functions as a Transfer Mechanism to connect Afghan civil society to the formal peace negotiations.
- The response to the COVID-19 pandemic greatly affected use of the IcSP during 2020. Early in the year, 3 main areas were identified where the IcSP mandate and added value were particularly clear: i) Prevent the aggravation of existing conflicts where specific groups may be excluded from national response efforts and/or stigmatised as a result of the COVID pandemic; ii) Countering disinformation and rumours that could be dangerous and divisive by promoting access to conflict-sensitive accurate and reliable information in conflict-affected or prone contexts; and iii) support to the UN Secretary-General's call for a global ceasefire in response to the pandemic. Under the IcSP, a response package of 11 new financing decisions and five increases to existing financing decisions (EUR 56.2 million) was presented, as well as a redirection of activities in more than 60 on-going actions (EUR 8.6 million) alongside contributions to help crisis and conflict-prone countries plan for their recovery. As part of on-going cooperation with the UN and the World Bank, the methodology of the Post-Disaster Needs Assessment (PDNA) and the Recovery and Peace Building Assessment (RPBA) was adapted to also include the COVID-19 Recovery Needs Assessments (CRNA). So far, support through the IcSP contributed to such assessments in El Salvador, Ecuador, the Dominican Republic and, at the end of 2020, assessments for Haiti, Eswatini and Zambia were under consideration.
- In Libya, the IcSP was used to support the implementation of the January 2020 Berlin Conference in close coordination with, and in support of, the UN Special Envoy for Libya. This has ranged from logistical support, related to the process itself, to sophisticated ceasefire monitoring support. The IcSP-supported mediation efforts continued to operate and played a part in facilitating the ceasefires of June and October 2020. There was a particular focus on human security for the civilian Libyan population. Following the withdrawal of General Haftar's forces from Tripoli in June 2020, support responded to the threat posed by booby-traps, improvised explosive devices as well as other explosive remnants of war in close cooperation with the de-mining teams of the Ministry of the Interior.
- Following a massive explosion in Beirut, the capital of Lebanon on 4 August 2020, IcSP quickly mobilised additional support to the support the strained medical sector as it tried to deal with thousands of injured people in severely-damaged hospitals whilst the COVID-19 pandemic was on-going. An action that started in April 2020 to increase the number of beds and equipment available in public hospitals was quickly reinforced to help deal with the double crisis affecting the Lebanese public health system and help it respond to the COVID-19.
- Under the component covering programmable actions for conflict prevention, peace-building and crisis preparedness (Article 4), a total of 1,034 processes and 692 entities benefited from the strengthened capacity attributable to IcSP funding during the course of 2020<sup>(29)</sup>. This allowed the EU to engage with its partners – international, regional, sub-regional organisations, the Member States and civil society actors – on structural measures to support peace-building in a more comprehensive manner.

### IcSP Article 5

Under the third IcSP objective covering programmable actions to address global, trans-regional and emerging threats, preliminary key programme results, based on established programme indicators, show that planned objectives were carried out. In terms of overall programme management, a successful change process over the past years has led to actions being designed for a longer duration. The average size of contracts has also increased which has led to efficiency gains and a more effective use of resources.

Legislative and operational capacity in third countries was strengthened, and global and trans-national cooperation frameworks and

<sup>(29)</sup> Annual achievement.

networks established, as demonstrated below. The focus has been two-fold: supporting security capacities at national and regional levels on the one hand and promoting frameworks for effective global and trans-regional cooperation on the other. Following a tailored approach, key countries were identified in priority regions and the capacities of local law enforcement and security units strengthened by setting up or further developing specialised units and inter-agency cooperation. Regional coordination and information-sharing functions continued to be supported to foster regional and trans-regional cooperation, primarily by making use of existing structures whenever possible.

- **CBSD:** The Annual Action Programme 2020 for Article 5 included 2 CBSD actions that aimed to prevent the spread of terrorist, armed groups in Ghana and Togo as well as the Virunga National park in DRC. Another action in Benin/Burkina Faso was launched.
- **Cybersecurity:** The EU CyberNet action was launched to strengthen the global delivery, coordination and coherence of the EU's external cyber capacity-building actions, and to reinforce the EU's own capacity to provide technical assistance to third countries in the field of cybersecurity, while promoting an inclusive multi-stakeholder and rights-based approach to ensure compliance with the rule of law and good governance principles. In 2020, the action was reinforced with additional resources.
- **Counter Terrorism and Prevention and Countering of Violent Extremism:** In 2020, Counter-terrorism (CT) and the Prevention and Countering of Violent Extremism (P/CVE) remained high priorities, with continued investment in global actions that strengthen the resilience of communities and governments against violent extremism and terrorist attacks.

Specific examples include a EUR 20 million global action on anti-money laundering and counter-terrorist financing (AML/CFT). The EU is an important actor in the area of CFT within and outside Europe. Additional resources have been added to provide assistance to partner countries aimed at supporting efforts to put in place effective AML/CFT frameworks in compliance with EU requirements, Financial Action Task Force (FATF) recommendations and relevant UN Security Council Resolutions on AML/CFT.

Furthermore, a number of Counter Terrorism (CT) specific actions were launched in 2020 focusing on terrorist threats' responses to improve partner countries' best practices in detection capacity, exchange of information and criminal justice systems' cooperation (CT Inflow), cross-border investigations and prosecutions (LEICA). Targeted regions were identified from North Africa and Middle East to Central Asia.

Additionally, with 15 partner countries supported in all regions, the UN EU CT Travel project was developed to enhance detection capacity by processing passenger data (API/PNR) to stem the flow of Foreign Terrorists Fighters and other criminals. Implemented by the UN Office to Counter Terrorism (UNOCT), the action develops a two-pronged approach: strengthening the legislative frameworks in partner countries to regulate the collection, transmission, use, retention and sharing of passenger data, in compliance with international human rights; and establishing Programme Implementation Units to conduct risk assessments, and to identify, detect and intercept Foreign Terrorist Fighters, using the UN goTravel software solution.

Prevention and reduction of terrorist attacks and their effects in urban public spaces was another area of support in 2020. The CT Public Spaces action will address these needs and concerns by strengthening public space security through improved capacities of law enforcement authorities and opportunities for public-private sector cooperation, in 3 selected countries (Senegal, Ghana and Kenya).

Building on the results of CASE I covering civil aviation security, a second phase starting in 2020 will focus more on sustainability, thereby ensuring a risk-based approach to civil aviation security. The action will deliver a broad range of demand-driven technical assistance activities on civil aviation security in selected partner countries and short-term targeted capacity-building activities, in the domains of security culture, insider threats, landside security, other existing/emerging threats (such as Improvised Explosive Devices).

A number of global P/CVE-specific actions have been launched around the world under the Strengthening Resilience to Violent Extremism (STRIVE) programme. These STRIVE actions aim to facilitate innovative P/CVE engagement in collaboration with local communities, strengthen conditions conducive to development, and build resilience towards violent extremism. Commencing in 2013, over EUR 40 million has been allocated to actions in over 20 countries globally to prevent and counter violent extremism. The key common factor is that the specific actions under the programme are innovative, testing new ground and creating a platform for learning.

**Organised Crime:** the consolidation of the Global Illicit Flows Programme continued with the addition of the 2 SALW (small arms and light weapons) actions. ENACT (Enhancing Action against Organised Crime in Africa) was extended and is transitioning successfully to a second phase following an extremely successful pilot confirmed by an evaluation at the end of 2020. Results included the launch of an Organised Crime Index for Africa in late 2019, setting up 5 Regional Organised Crime Observatories, publishing a high number of analyses and policy briefs and training 4 criminal analysts in selected Interpol bureaus across the continent.

Phases III and IV of the Seaport Cooperation action ended with the inclusion of cooperation with 12 Caribbean partner countries and a further 8 Latin American partner countries with mixed success. CRIMJUST continued its innovative International Investigative Fora bringing senior law enforcement officers and magistrates together to advance specific transnational criminal cases. AIRCOP continued to consolidate its expansion, with the addition of Ecuador to the Joint Inter-Agency Task Forces network

at airports and continued to advance with the previous challenging additions of Mozambique, Kenya and Ethiopia as project partners. In cooperation with ENACT (see above), the most recent action on the cocaine trafficking route, COLIBRI identified the 7 most appropriate pilot countries in West Africa. It also completed its scoping missions to Latin America, capitalising on training initiated on general aviation control for selected customs and police officers and continued its elaboration of the general aviation controls handbook with an international team of experts, while setting up an online training platform to adapt to COVID-19 conditions.

Finally, EU-ACT, the former heroin route programme, continued its engagement with its 5 partner countries on supporting the fight against drug supply, demand and the reduction of drug-related harm on the heroin route, while also organising its first successful transnational law enforcement conference in Pakistan in February, geared towards improving counternarcotic cooperation around the Western Indian Ocean.

**Chemical Biological Radiological and Nuclear risks mitigation:** In 2020, support to more than 60 partner countries has continued through the EU CBRN Centres of Excellence (CBRN CoE) Initiative. Building on previous capacity-building activities, and the existing available expertise, funds could quickly be shifted towards ad-hoc actions in response to the global health crisis provoked by the COVID-19 epidemic.

EUR 10 million was mobilised in a timely way through the LABPLUS AFRICA action for (a) creating an African Centre of Excellence for Training in Surveillance and Epidemics Preparedness, Intelligence, Response and Control at Institut Pasteur Dakar and (b) building an outreach capacity to provide diagnostics, sequencing, health services in remote areas using a fleet of mobile laboratories to be deployed by the Praesens Care Foundation in Senegal and other neighbouring countries.

All ongoing CBRN CoE actions addressing biological safety and biological security in different geographic regions (Central Asia, South East Europe, Southeast Asia and West Africa) were extended and reinforced with the allocation of EUR 5 million to increase training and provide equipment.

Among those, three interconnected actions Medilab SECURE, MediPIET and STRONGLABS strengthened the capacities of partner countries on awareness, risk assessment, monitoring and control of vector borne diseases as well as the alert capacity of laboratories and institutions in charge of field epidemiology to prevent new epidemic variants. All the above actions are implemented in five CBRN CoE regions (African Atlantic Façade, Middle East, North Africa and Sahel, South East and Eastern Europe and Central Asia) with approximately 30 partner countries. The first confirmed cases of infection by the COVID-19 in Morocco, Algeria, Lebanon, North Macedonia and Serbia were identified by senior laboratory experts thanks to the support of MedilabSECURE.

Each of the 8 EU CBRN CoE regions has contributed to the fight against COVID-19 by mobilising ongoing actions and existing resources through awareness raising campaigns, peer-to-peer exchanges, expert consultations, distribution of WHO guidelines, online refreshment trainings to first responders. Examples include the MEDISAFE action that reached 85,000 health workers in the public and private sectors through an SMS campaign via SMS, raising awareness of the dangers of falsified medicines and medical consumables used to protect against the COVID-19 pandemic.

All on-going actions reported some progress as a number of different tools were set up by the implementers to continue providing capacity-building opportunities. Nevertheless, most actions were extended to allow for re-scheduling of activities requiring in presence events such as field exercises and laboratory training courses. .

In the area of **strategic trade controls**, the EU P2P Export Control Programme for Dual-Use Goods allowed partner countries to create, consolidate or update their effective strategic trade controls systems. In 2020, for example, the EU P2P Programme supported the Philippines in drafting its proliferation finance control legislation in a concerted approach with the US Department of State. The programme also supported 11 countries (Belarus, Ukraine, Morocco, Tunisia, Cambodia, Lao PDR, Vietnam, Philippines, Iran, Iraq and Uzbekistan) to participate in the sixth (online) edition of the EU P2P Summer University on Strategic Trade Controls

#### **Corresponding 2014-2020 programme Partnership Instrument (PI):**

80	85,000	400	20
Number of pairings established between cities of EU and non-EU countries in Asia and the Americas in the context of the New Urban Agenda under the	Number of viewers of the online EU film festival organised by 47 EU Delegations through the support of the PI in 2020	Estimated investment (expressed in million EUR) generated in Brazil through the action Low carbon business in	Number of major agri-businesses with supply chains across the Asian region and reaching Europe committed to improve Responsible Business

International Urban Cooperation Programme (IUC) in 2020.		2020.	Conduct and due diligence implementation in 2020.
--	--	-------	---

In order to measure the PI achievements in 2020, it is important to note that the instrument focuses on influencing processes through facilitation and support, and on increasing EU capacity to impact policy-making.

Some examples are:

The **Low carbon business action in Brazil and Mexico** promotes the decoupling of economic growth and CO<sub>2</sub> emissions in order to address global climate change as well as to improve market opportunities for leading EU businesses in the green-technology sector. In Brazil, technical assistance was provided to 95 Business Concepts, of which 75 are under implementation or will be implemented. The impact assessment shows the potential to create economic, social and environmental positive impacts for European and Latin-American companies. The forecast estimates that the action will generate an investment of EUR 400 million in Brazil, representing an average of EUR 5.3 million for each cooperation partnership agreement (signed between EU and Brazilian companies) supported by the action. It was also calculated that a total of 315 new jobs will be generated in Europe and 820 in Brazil. In Mexico, for 40 concept notes, a feasibility study was carried out, with 33 proposed solutions at the end of the contract<sup>30</sup>: for the 5 adopted solutions, an environmental and social impact assessment was carried out, with 126 jobs created in Europe and 106 in Mexico. On average, each action is expected to generate 15 new jobs. As a follow up to these results, a new action started in 2020 to extend its beyond Brazil and Mexico to Argentina, Canada, Colombia and Chile. The scope of the action now also covers the circular economy.

The action “**International Urban Cooperation Programme (IUC)**” implements city-to-city cooperation between the EU and target countries in Asia and the Americas in the context of the New Urban Agenda and in support of EU regional policy engagement. Through the action, cities from Europe and other global regions are paired together, jointly committing to design and implement pilot projects that enhance sustainable development at the local and regional levels. To date, 80 pairings have been established between local governments through the IUC programme leading to the identification of 84 pilot actions. For example, the number of cities signing up to the Covenant of Mayors (CoM) Japan increased from five cities in 2017 to 21<sup>31</sup> in 2020. Partnerships concentrated on topics such as smart cities, sustainable transport, inclusive growth, climate mitigation and energy, circular economy, nature based solutions and resilience, social inclusion, urban regeneration, health care, culture, and education.

Key partnerships of the EU with the UN and the OECD on **Responsible Business Conduct (RBC)** strengthened **multilateralism**, contributed to important policy development and business model changes in Asia, in the Americas and in the G7 and G20 fora. For example, more than 20 major agri-businesses with supply chains across the Asian region and reaching Europe were committed to improve their RBC and due diligence implementation. In Japan, PI support resulted in the development and implementation of the new Guide on Environmental Due Diligence in Value Chain Management under the leadership of the Japanese Ministry of Environment (MOEJ). For the first time, a global policy instrument focused on environmental aspects of supply chain due diligence, which set an example to other OECD and EU Members. Thanks to the PI, international standards are now reflected in the Japanese National Action Plan (NAP) on Business and Human Rights, adopted in October 2020. Moreover, the Japanese government committed to promote due diligence in domestic and overseas supply chains. PI actions also contributed to make Thailand the first example of integration of OECD RBC standards in the financial sector in South-east Asia. For example, the Government Pension Fund, Thailand’s second largest institutional investor (USD 30 billion assets), has integrated RBC in their policies and documents. In Latin America, the PI supported the development, or implementation, of NAPs on business and human rights. In Brazil, for example, the link between the Trade and Sustainable Development (TSD) chapter of the EU-Mercosur Association Agreement and the RBC principles is evident, and the project used the Brazilian bid to the OECD as an entry point to promote its agenda.

Under the action “**Support to EU Film Festivals**”, more professional and engaging film festivals are organised by the EU Delegations due to access to a dedicated repository of 47 European feature films and 8 short-films with pre-negotiated screening rights worldwide. Due to the COVID-19 pandemic, 27 EU Delegations organised their first online film festival with approximately 35 000 viewers in June 2020 and 20 EU Delegations with approximately 55 000 viewers in November 2020. Due to the technical and professional support provided under this contract, European film festivals in third countries moved from occasions to showcase the quality of EU films into real moments of dialogue with local stakeholders, civil society and citizens at large, while contributing to enhance the visibility and understanding of the EU and its policies abroad.

The Mid-Term Review evaluation<sup>32</sup> found evidence that the PI played an often critical role through both strengthening and opening up areas for cooperation and dialogue. This catalytic effect of the instrument is reflected in a new Partnership Instrument intervention logic and a set of core indicators developed and adopted in 2016 and on which data is provided in this section<sup>33</sup>.

<sup>30</sup> 5 were adopted (EUR 1.6 million), 9 were approved (for EUR 80 million), and 19 are pending (for EUR 60 million EUR)

<sup>31</sup> Including Tokyo, Yokohama, Kyoto, Toyama, Kitakyushu and Hiroshima.

<sup>32</sup> Mid-term evaluation of the Partnership Instrument for cooperation with third countries, SWD(2017) 608 final of 15.12.2017 [https://ec.europa.eu/europeaid/sites/devco/files/swd-mid-term-review-pi\\_en\\_0.pdf](https://ec.europa.eu/europeaid/sites/devco/files/swd-mid-term-review-pi_en_0.pdf)

<sup>33</sup> The figures for activities, outputs and outcomes for 2019 are sometimes markedly different than those presented in the previous working programme

The indicators are divided into activity, output and outcome indicators.

Various **activities** are implemented under the PI funded actions. These activities can be divided into three main categories:

- Exchanges, events, knowledge-sharing
- Provision of expertise, technical assistance
- Promotion, outreach, engagement

Cumulative data (2014-2020) on core activity indicators are presented in the table below.

PI Activities implemented	Total recorded
A1: Total number of events organised and supported (aggregated)	7 690
Number of visits, exchanges, study tours	455
Number of business missions	388
Number of technical meetings (to discuss a specific technical subject)	1 271
Number of group events (conferences, debates, workshops, seminars)	2 590
Number of training events	768
Number of outreach and advocacy (including networking events, cultural collaboration activities)	1 005
<b>A2: Person-days of expertise or technical assistance provided</b>	<b>NA<sup>34</sup></b>
<b>A3: Number of public/media/communication campaigns designed and implemented (aggregated)</b>	<b>976</b>

Source: Project Implementation Monitoring System

The activities implemented under PI actions lead to delivery/production of a wide range of **outputs**, which can be grouped into different 4 main categories:

- Direct benefits of events (e.g. increased knowledge, understanding, awareness, networking, engagement)
- Knowledge-based products
- Outcome statements
- Advocacy, awareness raising products

Cumulative data (2014-2020) on **core output indicators** are presented in the table below.

PI Outputs delivered	Total recorded
OP1: Number of participants in an event	3 588 207
OP2: Percentage of participants who report having benefited from an event	88%
OP3: Number of EU companies that participated in an event	5 157
OP4: Percentage of EU companies which report having benefited from an event	76%
Number of non-EU companies which participated in an event	4 721
Percentage of non- EU companies which report having benefited from an event	60%
OP5: Number of outcome statements emanating from an event	209
OP6: Number of knowledge-based products developed	21 542
OP7: Number of communication products developed	167 929

statements. This is explained by the fact that previous figures were only partial and that collection of data for indicators is now done in full; also, the PI is now working at full capacity; finally, some figures from previous years have been corrected after training was provided to the contractors implementing the actions.

<sup>34</sup> No longer reported on as per 'Annex - 13 List of core indicators for PI' of the FPI Manual (See: <https://my.intracomm.ec.europa.eu/dg/fpi/HowWeWork/ProjectManagement/Pages/Index.aspx>)

Source: Partnership Instrument Monitoring System

### 3.3. Evaluations, studies and reports

The Common Implementing Regulation (in Article 17) requires a mid-term review report of the EU's external financing instruments ('the instruments') to assess whether these instruments remain fit for purpose, with a view to ensuring the effective implementation of the EU's assistance. The mid-term review COM(2017) 720 final and the related staff working documents were published on 15 December 2017, concluding that the current set of instruments were still relevant and has proved to be sufficiently enabling. The main findings of the evaluation point to a need to adapt the way the instruments are implemented, notably through a more strategic and overarching programming and ensuring coherent interactions at operational level in the renewed international context.

A series of external evaluations took place in 2016-2017 on all the instruments including the DCI, ENI, EIDHR, IcSP, PI and IPA II. The mid-term review final reports SWD (2017) 600, 602, 604, 607, 608 and 463 respectively, were presented by the Commission on 15 December 2017. The SWD (2019) 418 final, presented the findings of the evaluation of the EU's support to economic governance in enlargement and neighbourhood countries, finalised in August 2017. In addition, COM(2020) 224 final reported on the implementation of the European Fund for Sustainable Development that provides its initial assessment of the main evaluation criteria of relevance, efficiency, effectiveness, coherence and value added.

At the mid-term of their implementation (2014-2020), the instruments overall shown themselves to be fit for purpose. The DCI was found to be largely on track to deliver on its objectives and commitments. The ENI was found overall relevant and an instrument that allowed the EU to implement the reviewed Neighbourhood policy. The EIDHR with its wide and comprehensive scope, it was and has remained an enabling, flexible and responsive instrument to protect and promote human rights and democracy worldwide, at international, regional and local levels. The IcSP was found on track to achieve the objectives for which it was designed and it was considered to perform a unique function of crisis response and conflict prevention, triggered by EU political priorities, contextual needs and opportunities in fragile and conflict-affected contexts. The PI proved its continued relevance to long standing EU priorities and demonstrated its flexibility through responses to new and changed policy priorities that have arisen since its adoption.

As requested by the EU Regulation No 236/2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action, in its Art. 17, a final evaluation report on the period from 2014 to 2020 shall be established by the Commission within the interim review of the successor instruments in the next financial period. This evaluation is expected to be launched in 2023.

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :To support and foster dialogue and cooperation with third countries and regions in the Neighbourhood, in Sub-Saharan Africa, in Asia and the Pacific, and in the Americas and the Caribbean; to develop special strengthened partnerships and enhanced political cooperation with the European Neighbourhood, founded on cooperation, peace and stability and a shared commitment to the universal values of democracy, rule of law and respect for human rights, and aiming at deep and sustainable democracy and progressive socio-economic integration as well as people-to-people contacts**

**Indicator 1:Rule of Law score in relation to countries benefiting from EU assistance**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Index, taking values from 0 to 1
Cut-Off Date	
Data source	<a href="https://info.worldbank.org/governance/wgi/Home/Reports">https://info.worldbank.org/governance/wgi/Home/Reports</a>
Link to the objective	This indicator measures the rule of law which is the expected impact of the cooperation between the EU and Partner Countries.
Link MFF 14-20 / MFF 21-27	This indicator was already used to monitor the 2014-2020 MFF, using the same name and methodology.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Proportion of population below the international poverty line**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	<a href="https://unstats.un.org/sdgs/indicators/database/">https://unstats.un.org/sdgs/indicators/database/</a>
Link to the objective	This indicator measures poverty which is the expected impact of the cooperation between the EU and Partner Countries.
Link MFF 14-20 / MFF 21-27	This indicator was used to monitor the 2014-2020 MFF, using the same name and methodology.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :At global level, to protect, promote and advance human rights, including gender equality and the protection of human rights defenders, including in the most difficult circumstances and urgent situations, democracy, and the rule of law, including accountability mechanisms, to support civil society organisations, to further stability and peace, prevent conflict, thereby contributing to the protection of civilians, to address other global challenges such as, climate change, protection of biodiversity and the environment, as well as migration and mobility;**

**Indicator 1:N. of victims of human right violations directly benefitting from assistance funded by the EU**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of victims)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures EU support to the protection of human rights.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:N. of women of reproductive age, adolescent girls, and children under 5 reached by nutrition programmes with EU support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of people)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures EU support to basic nutrition, which is a component of one of the 30 human rights in the Universal Declaration of Human Rights, the right to a standard of living adequate for the health and well-being of himself and of his family.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

**Indicator 3:N. of smallholders reached with EU supported interventions aimed to increase their sustainable production, access to markets and/or security of land**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of smallholders)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures EU support to subsistence production, which is a component of one of the 30 human rights in the Universal Declaration of Human Rights, the right to a standard of living adequate for the health and well-being of himself and of his family.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 4:N. of 1-year olds fully immunised with EU support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of 1-year olds)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures EU support to basic health services, which is a component of one of the 30 human rights in the Universal Declaration of Human Rights, the right to a standard of living adequate for the health and well-being of himself and of his family.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 5:N. of individuals with access to improved drinking water source and/or sanitation facilitation with EU support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of individuals)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures EU support to access to clean water, which is a component of one of the 30 human rights in the Universal Declaration of Human Rights, the right to a standard of living adequate for the health and well-being of himself and of his family.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Number of students enrolled in education: a) primary education b) secondary education and number of people who have benefitted from institution or workplace-based VET/skills development interventions, supported by the EU**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
a) primary education										
	Milestones									
	Actual Progress									Final
b) secondary education										
	Milestones									
	Actual Progress									Final
number of people who have benefitted from institution or workplace-based VET/skills development interventions										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of students)
Cut-Off Date	
Data source	
Link to the objective	This indicator measures EU support to access to clean water, which is one of the 30 human rights in the Universal Declaration of Human Rights.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 7: Proportion of EU funded cooperation promoting gender equality and women's empowerment**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
	Actual Progress									Final

Are we on track	
Indicator type	Input
Unit of measurement	Percentage
Cut-Off Date	
Data source	DG INTPA's internal financial information management system
Link to the objective	This indicator measures EU support to gender equality.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 8: N. of migrants, refugees and internally displaced people or individuals from host communities protected or assisted with EU support**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of people)
Cut-Off Date	

Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the EU support provided to address the global challenge of migration.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 9:N. of micro, small and medium sized enterprises applying sustainable consumption and production practices with EU support

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number (of enterprises)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the EU support provided to encouraging practices which will limit climate change and the associated natural disasters.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 10:N. of countries and cities with climate change and/or disaster risk reduction strategies with EU support

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number (of strategies)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the EU support provided to developing strategies which will limit climate change and the associated natural disasters.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 11:Greenhouse gas emissions avoided (Ktons CO2eq) with EU support

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	ktons CO2 equivalent
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the EU support provided to developing infrastructure which will limit climate change and the associated natural disasters.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

### Indicator 12: Area of marine, terrestrial and freshwater ecosystems protected and/or sustainably managed with EU support

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	km2
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the EU support provided to encouraging practices which will protect biodiversity and the environment.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 13: Renewable energy generation capacity installed (MW) with EU support

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	MW
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the EU support provided to developing infrastructure which will limit climate change and the associated natural disasters.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 14: Leverage of investments and multiplier effect achieved

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Input
Unit of measurement	Ratio
Cut-Off Date	
Data source	DG INTPA's internal financial information management system
Link to the objective	This indicator measures the financial impact of EU support provided by financial institutions to promote human development in the broadest sense possible.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 3 :To respond rapidly to: situations of crisis, instability and conflict including those which may result from migratory flows and forced displacement and hybrid threats; resilience

**challenges, including natural and man-made disasters, and linking of humanitarian aid and development action; as well as the Union's foreign policy needs and priorities.**

**Indicator 1: Number of individuals directly benefiting from EU supported interventions that specifically aim to support civilian post-conflict, peace building or conflict prevention**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of individuals)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the EU support provided to the people living in situations of crisis, instability and conflict.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Number of processes related to partner country practices on trade, investment and business, or promoting the external dimension of EU internal policies or EU interest, which have been influenced**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of processes)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the effort to promote EU foreign policy needs and priorities with the EU support provided to partner countries.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Number of EU funded initiatives supporting the implementation of political, economic and social reforms and joint agreements in partner countries**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of initiatives)
Cut-Off Date	
Data source	DG INTPA's intervention monitoring and reporting systems
Link to the objective	This indicator measures the effort to promote EU foreign policy needs and priorities with the EU support provided to partner countries.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : European Neighbourhood Instrument (ENI)

**General Objective 1 :Establishing an area of shared prosperity and good neighbourliness involving the Union and the partner countries by developing a special relationship founded on cooperation, peace and security, mutual accountability and shared commitment to universal values of democracy, the rule of law and respect for human rights in accordance with the Treaty on EU.**

**Indicator 1: Number of comprehensive agreements and individual ENP Action Plans in place with interested neighbouring countries**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2012	Milestones									2020
5 AA & 5 AP				The negotiations and conclusions of agreements and ENP action plans show a positive trend.						15 Association or similarly comprehensive Agreements in force and 16 Action Plans
	Actual Progress									Final
	3 & 3	3 & 3	3 & 3	4 & 4	5 & 5	5 & 5	5&5			
Neighbourhood South										
2012	Milestones									2020
8 AA				The negotiations and conclusions of agreements and ENP action plans show a positive trend.						16 Association or similarly comprehensive Agreements in force and 16 Action Plans or similar doc.
	Actual Progress									Final
	8 & 8	8 & 8	8 & 8	8 & 8	8 & 8	8 & 8	8&8			
CBC										
2012	Milestones									2020
2 ENPI CBC Programmes										900 projects implemented by ENI CBC progr.
	Actual Progress									Final
	CBC: adoption of ENI CBC implementing rules and of one ENI CBC support progr.	13 ENI CBC joint operational programmes (JOPs) adopted	2 more ENI CBC JOPs adopted (15 overall) and 16 Financing Agreements (FAs) signed	7 more FAs signed (23 overall)	Partnership	All FAs in force; 411 projects contracted, including 47 LIPs (484 overall)	768 projects contracted, including 49 large infrastructure projects			

Are we on track	Deserves attention**
Indicator type	Result
Unit of measurement	Agreements (AA) & Action plans (AP) in force
Cut-Off Date	
Data source	European Commission
Narrative	South:Baseline 2012: Association agreements in force with 8 of the 10 southern partners (i.e.

	excluding Libya and Syria). Three First generation Action Plans (or equivalent documents) adopted or in place: Israel, Egypt and Palestine. 2nd generation action plans for Jordan and Morocco approved. Political agreement on the second generation of the Tunisia and Lebanon Action Plans but formal adoption by Council pending. East: Baseline 2012: Five Partnership and Cooperation Agreements in force, one Association Agreement (Ukraine) initialled on 30.03.2012. Negotiations for Association Agreements ongoing with 4 countries: Republic of Moldova (launched in January 2010), Armenia, Azerbaijan & Georgia (July 2010). Five Action Plans in force.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Libya: Discussions on the negotiations for a Framework Agreement are stalled due to the crisis situation since June 2014. Ratification of Association Agreement is suspended. Preliminary discussions on future EU-Israel and EU-Palestine Partnership Priorities have been initiated. The UE has adopted Compacts with Jordan and Lebanon. The second phase of the ENI programming (2017-2020) was launched and Single Support Frameworks for 2017-2020 are being finalised with the Governments of Lebanon, Palestine, Egypt, Jordan and Tunisia. Palestine has materialised the Joint Programming process in the first-ever European Joint Strategy in the Neighbourhood that will cover 2017-2020. With Morocco, the EU has deployed every effort in maintaining a constructive relationship throughout the year in the area of technical and financial cooperation, amid a tense atmosphere pertaining to the ECJ ruling on the agreement on the free trade of agricultural products. In Libya the EU focused on reactivating init
Full metadata available at this address	
Justification of the trend	East: 2014-2020: three Association Agreements entered in force with Georgia, Moldova and Ukraine, a Comprehensive and Enhanced Partnership Agreement (CEPA) enter into force with Armenia, and Partnership Priorities (PP) concluded with Azerbaijan (with whom the Partnership and Cooperation Agreement in force since 1999 is still the basis for relations, while a new Agreement is being concluded). All the five countries count with equivalent documents to Action Plans (Association Agendas for Georgia, Moldova and Ukraine; a CEPA Roadmap for Armenia, and the PP for Azerbaijan. South: 2014-2018: 8 AA, 8 AP or similar documents (Partnership Priorities). 2019: 8 AA still in force for the southern countries. No AA with Syria and Libya due to crisis situations in these countries. 8 AP or similar documents (Partnership Priorities) in force. 2020: 8 AA still in force for the southern countries. No AA with Syria and Libya due to crisis situations in these countries. 8 AP or similar documents (Partnership Priorities) in force. 8 Association agreements still in force (all excluding LY and SY), 6 Partnership priorities valid until end 2020 and 2 action plans valid until end 2021 (IL, PS)

**Indicator 2: GDP per capita as percentage of EU-28 (current prices)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2010	Milestones									2020
10,86%	increase									increase
	Actual Progress									Final
	11,94%	9,94%	8,86%	9,89%	10,54%	12,39%				
Neighbourhood South										
2010	Milestones									2020
14,76%	increase									increase
	Actual Progress									Final
	14,58%	11,35%	15,18%	12,94%	12,58%	13,82%				

Are we on track	On track
Indicator type	Impact
Unit of measurement	As percentage of EU-28 in current prices
Cut-Off Date	
Data source	World Bank
Narrative	Availability of Data: The 2014 value does not include Libya, Lebanon and Syria, for which data are not available. The 2015 value on Neighbourhood South only includes Algeria, Morocco, Jordan and Palestine, for which data on GDP are available. The 2016 to 2019 values only exclude Syria.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator shows the degree of economic convergence of Neighbourhood countries towards the European average. The projections are based on a hypothesis of growth rate of 1.9% for the EU area and 3.5% for both Neighbourhood South and Neighbourhood East.
Full metadata available at this address	
Justification of the trend	There is a positive development in the Eastern Neighbourhood, where the target was reached. The trend in the Southern Neighbourhood has been fluctuating, but the latest figures were surging.

**Specific Objective 1 :Promoting human rights and fundamental freedoms, the rule of law, principles of equality and fight against discrimination in all its forms, establishing deep and sustainable democracy, promoting good governance, fight against corruption, strengthening institutional capacity at all levels and developing a thriving civil society including social partners.**

**Indicator 1:Progress made in achieving political reforms, as assessed by relevant reports**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Eastern Partnership countries										
	Milestones									2020
										Further Progress
	Actual Progress									Final
	Some Progress	Some Progress	Some Progress	Some Progress	Some Progress	Some Progress	Some Progress			
Southern Partnership countries										
	Milestones									2020
										Further progress
	Actual Progress									Final
	Some Progress	Some Progress	Some Progress	Some Progress	Some Progress	Some Progress	Some Progress			

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Progress
Cut-Off Date	
Data source	European Commission and the EEAS
Narrative	
Methodology	The indicator assesses how the ENP partner countries progress in implementing the political reforms agreed in bilateral legal (for example: Partnership and Cooperation Agreements, Association Agreements) and political (for example: ENP Action Plans, Association Agendas) frameworks. The target is coherent with 2014-2020 programming period and is based on the past trend, the baseline value and the benchmarks. Following the ENP Review of 2015 the annual progress reports (jointly prepared by the European Commission with the EEAS) have been replaced by a new style of assessment, timed to provide the basis for a political exchange of views in the relevant high-level meetings with partner countries.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Weighted score based on eight external sources (Corruption Perception (Transparency International), Press Freedom (Reporters without Borders), Freedom of Press (Freedom House), Government Effectiveness (World Bank), Control of Corruption (World Bank), Rule of Law (World Bank), Voice and Accountability (World Bank) and Regulatory Quality (World Bank))**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010	Milestones									2020
38				> 42						> 44
	Actual Progress									Final
	40,7	40,06	39,65	39,8	39,98	47,26				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Values: 1 (Worst) - 100 (Best);
Cut-Off Date	
Data source	Source: Eight external sources:Corruption Index (Transparency International) - <a href="http://www.transparency.org/countryControl">http://www.transparency.org/countryControl</a> of Corruption (World Bank ) - <a href="http://web.worldbank.orgPress">http://web.worldbank.orgPress</a> Freedom (Reporters without Borders ) - <a href="https://rsf.org/index2014Freedom">https://rsf.org/index2014Freedom</a> of Press (Freedom House ) - <a href="http://www.freedomhouse.org/Government">http://www.freedomhouse.org/Government</a> Effectiveness (World Bank ) - <a href="http://web.worldbank.orgRule">http://web.worldbank.orgRule</a> of Law (World Bank ) - <a href="http://web.worldbank.orgRegulatory">http://web.worldbank.orgRegulatory</a> Quality (World Bank ) - <a href="http://web.worldbank.orgVoice">http://web.worldbank.orgVoice</a> and Accountability (World Bank ) - <a href="http://web.worldbank.org">http://web.worldbank.org</a>
Narrative	

Methodology	The indicator is a weighted score based on 8 external sources taken in three groups, each weighted one third after normalisation:1. Corruption Index (Transparency International) and Control of Corruption (World Bank);2. Press Freedom (Reporters without Borders) and Freedom of Press (Freedom House);3. Government Effectiveness (World Bank), Rule of Law (World Bank), Regulatory Quality (World Bank) and Voice and Accountability (World Bank).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	It should be noted that the indicators are based mostly on perceptions and do not necessarily reflect the impacts made by the EU assistance and policy in these areas. There are also many external factors, such as political instability and security situation, which might influence overall scores. Therefore, these indicators only indirectly influenced by EU actions.
Full metadata available at this address	
Justification of the trend	Overall, the trend in the neighbourhood has been fluctuating, but the most recent development has seen a leap in the score and the target was exceeded for the first time since the reporting period.

**Specific Objective 2 :Achieving progressive integration into the Union internal market and enhanced sector and cross-sectoral cooperation including through legislative approximation and regulatory convergence towards Union and other relevant international standards and improved market access including through deep and comprehensive free trade areas, related institution building and investments, notably in interconnections.**

**Indicator 1:Value of ENI countries export to EU-28 in relation to baseline data in year 2010 (Eurostat figures).**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2010	Milestones									2020
37,02%				36,45%			35,90%			35,90%
	Actual Progress									Final
	36,82%	37,80%	37,18%	39,05%	40,01%	39,15%				
Neighbourhood South										
2010	Milestones									2020
24,90%				26,13%			27,97%			27,97%
	Actual Progress									Final
	24,40%		20%	29,29%	18,33%	not enough data				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	Eurostat
Narrative	The targets are based on a hypothesis of GDP growth of 3.5% for the two regions and of 2.97% for the exports of the Neighbourhood East and 5.88% for the Neighbourhood South. For this second region the baseline is calculated on the volume of exports and GDP of the countries for which both exports and GDP data were available for 2014 (Algeria, Israel, Jordan and Palestine. To note that in 2020, the COVID pandemic has had a negative impact on growth across Europe and the neighbourhood countries.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The 2015 value for Neighbourhood East does not reflect Ukraine and Azerbaijan, for which export values are not available for 2015. For 2016, only Syria excluded. Declining ratio reflects substantial reduction of values of exports of hydrocarbons for Algeria (due to price decline) and Libya (also due to the political instability). For 2017, the value for Ukraine is based on 2016 data, as data for 2017 were not available. No data available for 2018 score for Libya, Tunisia and Jordan. For 2019, not enough data available to calculate the score.
Full metadata available at this address	
Justification of the trend	The targets for the indicator were reached in 2017, although information was not available for some countries in the Southern Neighbourhood. Hopefully these positive developments will remain stable throughout coming years and beyond. To be noted that many factors will impact this indicator, in particular EU economic growth, unfolding crisis situations in the region and data availability.

**Indicator 2:Number of Deep and Comprehensive Free Trade Agreements (DCFTA) and Agreements on Conformity Assessment and Acceptance of industrial products (ACAA)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										

Milestones									2020	
0 signed (DCFTA), 0 (ACAA), 4 DCFTA and 0 ACAA under negotiation			3 DCFTA in place						DCFTA in place with all interested ENI countries	
	Actual Progress									Final
	3 AA/DCFTA									
Neighbourhood South										
Milestones									2020	
0 DCFTA, 1 ACAA, 0 Agree			2 DCFTA in place and 2 in negotiations;						4 DCFTA in place;	
	Actual Progress									Final
	1 ACAA and 3 agreements on air transport	1 ACAA and 3 agreements on air transport	1 ACAA and 3 agreements on air transport	1 ACAA and 3 agreements on air transport	1 ACAA and 3 agreements on air transport	1 ACAA and 3 agreements on air transport	1 ACAA and 3 agreements on air transport	1 ACAA and 3 agreements on air transport, 2 MoU on Energy		

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Number of Deep and Comprehensive Free Trade Agreements (DCFTA) and Agreements on Conformity Assessment and Acceptance of industrial products (ACAA)
Cut-Off Date	
Data source	European Commission
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Creating conditions for the better organisation of legal migration and the fostering of well managed mobility of people, for the implementation of existing or future agreements concluded in line with the Global Approach to Migration and Mobility, and for promotion of people-to-people contacts, in particular in relation to cultural, educational, professional and sporting activities.**

**Indicator 1: Number of Mobility Partnerships in place**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2012	Milestones									2020
3										4
	Actual Progress									Final
	4	4	4	5	5	6	6			
Neighbourhood South										
2012	Milestones									2020
1										4
	Actual Progress									Final
	3	3	3	3	3	3	3			

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Mobility Partnerships
Cut-Off Date	
Data source	Information from Directorate-General for Migration and Home Affairs (DG HOME).
Narrative	South: Baseline 2012: Mobility Partnership signed with one country in 2013. Preparatory discussions launched with two countries.
Methodology	
Link MFF 14-20 / MFF 21-27	

Other methodological comments	Mobility Partnerships declarations are the instrument through which the EU and its partners in the Neighbourhood intend to set a framework to manage migration flows with commonly agreed objectives and programmes. Mobility Partnerships follow the Global Approach to Migration and Mobility guidelines. Thus, they are a good measure of the achievements in this field.
Full metadata available at this address	
Justification of the trend	The first indicator (number of mobility partnerships in place) is an example of good performance where the targets have been either met (Neighbourhood East) or almost (Neighbourhood South).

### Indicator 2: Number of readmission/visa facilitation agreements and Visa Liberalisation Action Plans (VLAP) in place

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2008	Milestones									2020
1			3							4 readmission/visa facilitation agreements in place
	Actual Progress									Final
	5	5	5	5	5	5	6			
Neighbourhood South										
	Milestones									2020
0			2							5
	Actual Progress									Final
	0	0	0	0	0	0	0			

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Number of readmission/visa facilitation agreements and Visa Liberalisation Action Plans (VLAP) in place
Cut-Off Date	
Data source	Information from Directorate-General for Migration and Home Affairs (DG HOME).
Narrative	Visa liberalisation continues to be in place with Georgia, Moldova and Ukraine; Visa Facilitation and Readmission Agreements in place with Armenia, Azerbaijan and Belarus.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Based on visa facilitation/ liberalisation agreements, both the EU and the non-EU citizens benefit from facilitated procedures for issuing visas. Visa facilitation/liberalisation agreements are linked to readmission agreements which establish the procedures for the return of persons in irregular situation (own or third country nationals or stateless persons) to the EU or to the partner non-EU country. Readmission and visa facilitation/liberalisation agreements are key elements to assess progress regarding mobility and the promotion of people to people contacts.
Full metadata available at this address	
Justification of the trend	the target attained for the Eastern Neighbourhood. In the Southern Neighbourhood, no readmission and visa facilitation agreements have been concluded due to sensitive and complex negotiations in an uncertain political environment.

**Specific Objective 4 :Supporting smart, sustainable and inclusive development in all aspects; poverty reduction, including through private-sector development and reduction of social exclusion; promotion of capacity building in science, education and in particular higher education, technology, research and innovation; promotion of internal economic, social and territorial cohesion; rural development; public health; environmental protection, climate action and disaster resilience.**

### Indicator 1: Inequality-Adjusted Human Development Index

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2011	Milestones									2020
4			6 countries equal or above 0.700							6 countries equal or above 0.700
	Actual Progress									Final
	5	6	5	7	6	6				
Neighbourhood South										

2011	Milestones								2020
3			8						9
	Actual Progress								Final
	6	8	5	8	8	8			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of countries
Cut-Off Date	
Data source	UNDP - <a href="http://hdr.undp.org/en/content/download-data">http://hdr.undp.org/en/content/download-data</a>
Narrative	
Methodology	Number of countries with indicator $\geq 0.7$ (between high and very high human development).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The trend for this indicator, which is based on UNDP's human development index, has been stable and going towards the target.

### Indicator 2:Ease of doing business index (1=most business-friendly regulations)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2012	Milestones								2020	
0,6442				0,73						0,78
	Actual Progress								Final	
	0,6992	0,7050	0,7168	0,7309	0,7581	0,7447	0,7563			
Neighbourhood South										
2012	Milestones								2020	
0,5726				0,56						0,59
	Actual Progress								Final	
	0,5407	0,5421	0,5484	0,5545	0,5677	0,5705	0,5855			

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	World Bank
Narrative	Indicator 2 is based on World Bank's ease of doing business report. The sustainability of development highly depends on the capacity of our countries to facilitate the creation of a productive base, i.e. the creation of local business that can ignite a virtuous circle of economic growth on a sustainable basis.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The distance to frontier measures the distance from the best performing country based on the different criteria used. Indicator aligned with the one used for the EU Results Framework.
Full metadata available at this address	
Justification of the trend	This indicator has been reflected a good performance, albeit with some fluctuations. The target for 2020 was almost attained for Neighbourhood South. The more ambitious target for Neighbourhood North unfortunately was not. External factors such as political instability and security situation have an effect on the results of these indicators.

### Specific Objective 5 :Promoting confidence building, good neighbourly relations and other measures contributing to security in all forms and the prevention and settlement of conflicts, including protracted conflicts.

#### Indicator 1:Political stability and absence of violence: number of countries in a percentile rank above 0-30 (lowest rank)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Neighbourhood East										
2011	Milestones								2020	
4	6			5						6
	Actual Progress								Final	
	4	4	3	3	4	2				
Neighbourhood South										
2011	Milestones								2020	
7			8 (6 +							9

			Algeria, Lebanon)							
Actual Progress										Final
	4	5	4	5	6	6				

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Number of countries
Cut-Off Date	
Data source	Based on the number of programmes identified in the CBC Programming Document.
Narrative	This indicator measures perceptions of the likelihood that the government will be destabilised or overthrown by unconstitutional or violent means, including politically-motivated violence and terrorism.
Methodology	Baseline: Countries in a percentile rank above 0-30 (Armenia, Belarus, Moldova, Ukraine) and Countries in a percentile rank above 0-10 (Jordan, Morocco, Tunisia, Libya, Egypt, Israel) respectively. Milestone 2016 South: 6 and Algeria, Lebanon Target South: 8 countries + Syria
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This indicator measures perceptions of the likelihood that the government will be destabilized or overthrown by unconstitutional or violent means, including politically - motivated violence and terrorism. Higher values in percentile rank indicate better governance ratings.Source: Worldwide Governance Indicators (WGI) project (WB group).
Full metadata available at this address	
Justification of the trend	The most recent results under this indicator show stability in southern neighbourhood, but a drop in eastern neighbourhood where Armenia and Georgia have scored lower in comparison to the previous year.

### Specific Objective 6 :Enhancing sub-regional, regional and Neighbourhood wide collaboration as well as Cross-Border Cooperation.

#### Indicator 1: Number of Cross-Border Cooperation programmes in place

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
				17						17
Actual Progress										Final
	1	14	16	16	16	16	16			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	Based on the number of programmes identified in the CBC Programming Document.
Narrative	This indicator shows the progress in building cooperation in border regions among EU Member States on one side and Neighbourhood partner countries, and the Russian Federation, on the other side. Given that these Cross Border Cooperation programmes are agreed among the EU member States and the partner countries, the adoption and implementation of the programme is a good indicator of the willingness of all parties to cooperate in the border regions. Each CBC programme contains a multiplicity of smaller projects benefiting the socio-economic development of the area's population.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator shows the progress in building cooperation among EU Member States on one side and Neighbourhood partner countries and the Russian Federation on the other side, in border regions.
Full metadata available at this address	
Justification of the trend	ENI CBC Mid-Atlantic programme was finally not adopted.

#### Indicator 2: Number of ministerial, platform and panel meetings under the Eastern Partnership

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
				85						90
Actual Progress										Final
75					87	110	85			

Are we on track	On track
Indicator type	Result
Unit of measurement	Policy dialogue events that were organised.

Cut-Off Date	
Data source	European Commission
Narrative	There has been a substantial increase of the number of events over the last years. This is mainly due to the increased number of the requests coming from high-level decision-makers. However, in 2020 the number dropped again due to the Covid crisis.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Progress on Eastern Partnership priorities**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
Establishment of the main priority areas			Strategic progress mainly in the areas of priority interconnections and market opportunities							Significant progress in the four priority areas
	Actual Progress									Final

Are we on track	No data
Indicator type	
Unit of measurement	Priorities from Riga summit 2015
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Considering the strong qualitative nature of this indicator it has proven not realistic to continue monitoring it as such.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Increased credibility of the Union for the Mediterranean (UfM) through a high number of ministerial meetings establishing regional sector priorities and through the engagement of regional cooperation, finance and planning ministers via the holding of UfM ministerial conferences on regional cooperation and planning**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
3		3	6	9	12	15				3
	Actual Progress									Final
	3		6	9	10	11	12			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Ministerial meetings establishing regional sector priorities.
Cut-Off Date	
Data source	
Narrative	Meetings chronologically: 2014 (Baseline): Three ministerial meetings establishing regional sector priorities. Ministries of Finance, Planning and International Cooperation relatively un-engaged in regional cooperation. No cooperation ministerial ever held. 2016: Three new: UfM ministerial meetings organised in the field of cooperation and planning; energy; labour and employment took place in 2016. 2017: Three new: Youth; Water; Sustainable urban development; Women's Empowerment. 2018: One new: Trade. 2019: One new: Ministerial Conference in the field of Employment and Labour. 2020: One new: trade ministerial.
Methodology	Cumulative measurement of meetings.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

**Indicator 5: Progress on specific regional objectives defined in ministerial declarations under the Union for the Mediterranean**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									
	Actual Progress									Final

Are we on track	No data
Indicator type	
Unit of measurement	Ministerial meetings establishing regional sector priorities.
Cut-Off Date	
Data source	
Narrative	
Methodology	Cumulative measurement
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Considering the strong qualitative nature of this indicator it has proven not realistic to continue monitoring it as such. The Eastern Partnership Summit in Brussels renewed the joint engagement towards comprehensive reforms in the partner countries and s
Full metadata available at this address	
Justification of the trend	

*Previous Program 2 : European Instrument for Democracy and Human Rights (EIDHR)*

**General Objective 1 :Enhancing the respect for and observance of human rights and fundamental freedoms, as proclaimed in the Universal Declaration of Human Rights and other international and regional human rights instruments, and strengthening their protection, promotion, implementation and monitoring, mainly through support to relevant civil society organisations, human rights defenders and victims of repression and abuse.**

**Indicator 1: Level of implementation of United Nations Universal Periodic Review\* recommendations which have been accepted by states in percentage**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0.337	0.338	0.339	0.342	0.345	0.348	0.350	0.353			0.353
	Actual Progress									Final
	0.480	0.647	0.550	0.638						

Are we on track	No data
Indicator type	Output
Unit of measurement	Percentage (recommendations accepted/total UPR recommendations)
Cut-Off Date	31/12/2020
Data source	The data has not been available since 2017. These data are monitored by the UN OHCHR and the UNHRC. Reports can be found through UN OHCHR web site. Data from all developing countries; source: <a href="http://www.upr-info.org/sites/default/files/general-document/pdf/-david_frazier_paper_upr_implementation_2011-2.pdf">http://www.upr-info.org/sites/default/files/general-document/pdf/-david_frazier_paper_upr_implementation_2011-2.pdf</a> . at mid-term review of the 1st UPR cycle, data from UPR-info : <a href="http://www.upr-info.org/sites/default/files/general-document/pdf/2014_beyond_promises.pdf">http://www.upr-info.org/sites/default/files/general-document/pdf/2014_beyond_promises.pdf</a> . Data retrieved from <a href="https://www.upr-info.org/database/">https://www.upr-info.org/database/</a> ; Of accepted recommendations of the first UPR cycle were either partly or fully implemented, data from UPR-info: <a href="https://www.upr-info.org/sites/default/files/general-document/pdf/2016_the_butterfly_effect.pdf">https://www.upr-info.org/sites/default/files/general-document/pdf/2016_the_butterfly_effect.pdf</a>
Narrative	
Methodology	Yearly
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The data has not been available since 2017.

**General Objective 2 :Supporting, developing and consolidating democracy in third countries, by enhancing participatory and representative democracy, strengthening the overall democratic cycle, in particular by reinforcing an active role for civil society within this cycle, the rule of law and improving the reliability of electoral processes, in particular by means of election observation missions.**

**Indicator 1: Number of electoral processes and democratic cycles supported, observed, and followed**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
20	45	70	95	120	145	170	195			195
	Actual Progress									Final
	44	69	105	140	173	203	217			217

Are we on track	On track
Indicator type	Input
Unit of measurement	Cumulative number (of electoral processes)
Cut-Off Date	31/12/2020
Data source	The list of projects resulting from a search in CRIS using DAC code 15151 with domains EOM and EIDHR
Narrative	This indicator informs us on how many different electoral cycles the EU has been supporting through its EIDHR, including the EOM component.
Methodology	Electoral processes and democratic cycles supported, observed and followed include: 1. EU Election Observation Missions (EOMs): fully-fledged election observation missions 2. EU Election Assessment Team missions: limited observation or assessment missions in countries with particularly difficult security situations 3. EU Election Expert Missions (EEMs): small-scale missions composed of electoral experts of assessment of the election process 4. Complementary activities (studies) which started in 2017: In addition to the electoral missions, preparation of a study or conducting a desk review on an electoral issue and any other activities linked to electoral missions 5. Election Follow up missions 6. Electoral assistance (eg technical assistance, provision of voting material & equipment, support to the registration of political parties and/or of voters, support to civil society organisations in areas such as voter & civic education or training of local observers, media monitoring, etc.)
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	This indicator builds on the number of electoral process at national level that have been established by partner countries' own constitutional calendars. In 2020 electoral assistance or election observation projects were provided under EIDHR funds (the indicator does not include EDF, nor IcSP, nor CSO-LA funds) in Somalia, Côte d'Ivoire, Ghana, Malawi, Bolivia, Ethiopia, Guyana, Salvador, Kosovo, The Gambia, Zambia, Tanzania, Uganda, Papua New Guinea.
Full metadata available at this address	
Justification of the trend	The COVID pandemic is the essential reason for fewer deployments of observers of election assistants in 2020. The ability to have maintained the support to 14 election cycles, in spite of the pandemic, must be recognized as an unexpected success. It has to be recalled that the EU also supports elections through EDF, IcSP and CSO-LA.

**Specific Objective 1 :Support to Human Rights and Human Rights Defenders in situations where they are most at risk.**

**Indicator 1: Number of Human Rights Defender individuals who have received EU support (being protected politically, legally and/or physically and pulled out of their position of abuses)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
230	1200	1200	1200	1200	1200	1200	1200			1200
	Actual Progress									Final
	421	258	1181	1231	1394	1520	1711			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	31/12/2020
Data source	Fondation Internationale pour les Défenseurs des Droits de l'Homme (FIDDH) and Protect Defenders consortium (implementing partners of the EU Human Rights Defenders mechanism: EU Emergency Fund for human rights defenders at risk and ProtectDefenders.eu)
Narrative	
Methodology	• The numbers under ProtectDefenders.eu and the Emergency Fund include individual human rights defenders (HRDs) and their family members, as well as organisations, who received direct support. •

	Training, capacity-building, outreach and advocacy activities conducted in the framework of ProtectDefenders.eu were not included. • HRDs benefiting from projects under the human rights crisis facility were not included. • HRDs supported by projects financed via global or local calls for proposals were not included.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The number of human rights defenders at risk who receive EU support under the EU Emergency Fund for human rights defenders at risk and ProtectDefenders.eu steadily increases. This is due to increasing restrictions and clampdown on human rights defenders and their working environment.

### Indicator 2: Number of crisis response projects implemented under the EIDHR

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
10	15	15	15	15	15	15	15			15
	Actual Progress									Final
	15	8	17	27	20	33	40			

Are we on track	On track
Indicator type	Input
Unit of measurement	Number (of crisis response projects)
Cut-Off Date	31/12/2020
Data source	DEVCO B1 EIDHR project database
Narrative	
Methodology	In 2020: 5 crisis facilities, 2 global projects and 40 projects under the Country Based Support Scheme in 28 countries. In 2019: 4 country-specific projects under the EIDHR Crisis Facility, 2 global projects (EIDHR Emergency Fund and the grant to the EU Comprehensive HRDs mechanism Protectdefenders.eu), and an estimated number of 27 projects under the Country Based Support Scheme (Honduras, Guatemala (2), Venezuela (2), Nigeria, Niger, Ukraine (2), Russia (2), Sudan, Syria, Serbia (3), Peru, Mexico, Iraq, Kenya (2), Colombia (2), Salvador (2), Bolivia, Myanmar). In 2018: five country-specific projects under the EIDHR Crises Facility and an estimated number of 15 projects under the Country Based Support Scheme (e.g. Syria, Congo, Philippines, Ethiopia, Yemen). In 2017: four country-specific projects under the EIDHR Crises Facility, one global project and 22 projects under the Country Based Support Scheme (e.g. Syria, Turkey, Philippines, Ethiopia, Yemen).
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF
Other methodological comments	In 2016: at least six projects, four in countries and two regional, under the EIDHR Crises Facility and eleven projects under the Country Based Support Scheme. In 2015: at least 6 in-country projects under the EIDHR Crises Facility and 2 global projects (EIDHR Emergency Fund and the grant to the EU Comprehensive HRDs mechanism Protectdefenders.eu). In 2014 : 9 in country projects (most difficult situations as Belarus, Syria, Ukraine) and 6 global projects were deployed offering a global coverage and compiling a mix of in-country and multi-country projects (most difficult type of HR violation and/or categories of defenders at risk) activities.
Full metadata available at this address	
Justification of the trend	An increase in polarisation and populist politics worldwide and a dearth of geopolitical actors criticising authoritarianism have brought rise to numerous human rights crises, at the same time making it even more difficult for CSOs to work in many countries. Restrictions on freedoms of assembly, association and expression as part of the COVID-19 response have exacerbated these trends. As a result the number of crisis response projects increased by 21% in 2020 relative to 2019.

### Specific Objective 2 :Support to other priorities of the Union in the fields of human rights

#### Indicator 1: Number of EIDHR projects in line with EU Guidelines

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
150	250	250	250	250	180	180	250			250
	Actual Progress									Final
	271	332	132	186	140	204	408			

Are we on track	On track
Indicator type	Input
Unit of measurement	Number (of projects)
Cut-Off Date	31/12/2020
Data source	DEVCO B1 EIDHR project database
Narrative	

Methodology	EU guidelines are not legally binding, but because they have been adopted at ministerial level, they represent a strong political signal that they are priorities for the Union. Guidelines are pragmatic instruments of EU Human Rights policy and practical tools to help EU representations in the field better advance our Human Rights policy. They also serve as priorities for defining activities in order to put into practice the political orientation. There are 11 Human Rights Guidelines the EIDHR is delivering on: 1. Violence against women and girls and combating all forms of discrimination against them (2008) 2. Human Rights dialogues with third countries (2008) 3. Children and armed conflict (2008) 4. Human Rights defenders (2008) 5. International Humanitarian Law (2009) 6. Promotion and protection of freedom of religion or belief (2013) 7. Enjoyment of all Human Rights by lesbian, gay, bisexual, transgender and intersex (LGBTI) persons (2013) 8. Death penalty (2013) see below for more
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF
Other methodological comments	continued from above: 9. Freedom of Expression Online and Offline (2014) 10. Promotion and Protection of the Rights of the Child (2017) 11. Torture and other cruel, inhuman or degrading treatment or punishment (2019)
Full metadata available at this address	
Justification of the trend	The large increase in 2020 can be partly explained by the negative repercussions that COVID-19 has had on the topics covered by the Guidelines.

### Indicator 2: Number of Human Rights victims benefitting from EIDHR projects

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
3000	4000	4000	4000	4000	4000	4000	4000			4000
	Actual Progress									Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Number (of human rights victims)
Cut-Off Date	31/12/2020
Data source	Data not available as there is no data collection tool available.
Narrative	
Methodology	Yearly
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Data not available as there is no data collection tool available.

### Specific Objective 3 :Support to Democracy.

#### Indicator 1: The percentage of countries belonging to the Democracy Pilot Countries which have improved their V-DEM Electoral Democracy Index

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0.000	0.150	0.300	0.500	0.650	0.750	0.900	1.000			1.000
	Actual Progress									Final
		0.416	0.429	0.600	0.300	0.300	0.310			

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Percentage (number of countries which have improved their VDEM index/total number of Democracy Pilot Countries)
Cut-Off Date	31/12/2020
Data source	The V-DEM Electoral Democracy Index can be found at V-DEM net ( <a href="https://v-dem.net/about">https://v-dem.net/about</a> ). This percentage includes both the 1st and 2nd generation of Pilot Countries, in total 13 countries.
Narrative	
Methodology	This indicator measures the Democratic progress in the following countries: Benin, Bolivia, Georgia, Ghana, Lebanon, Malawi, Maldives, Mongolia, Morocco, Mozambique, Myanmar, Kyrgyzstan, Paraguay, Philippines, Republic of Moldova, Solomon Islands, Tanzania, Timor Leste and Tunisia; based on data from the V-DEM index (electoral democracy indicator).
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF
Other methodological comments	The V-DEM Electoral Democracy Index can be found at V-DEM net ( <a href="https://v-dem.net/about">https://v-dem.net/about</a> ). This percentage includes both the 1st and 2nd generation of Pilot Countries, in total 13 countries. The result for the year 2019 will become available in April 2020.

Full metadata available at this address	
Justification of the trend	Decline of democracy in the world unrelated to our projects.

### Indicator 2: The percentage of actions of the democracy support action plans implemented

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
0.00	0.00	0.00	0.15	0.25	0.45	0.60	1.00			1.00
	Actual Progress									Final
	0.00	0.00	0.25	0.30	0.35	0.40	0.40			

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage (number of actions implemented/total number of actions in democracy support action plans)
Cut-Off Date	31/12/2020
Data source	Data on implementation of Democracy Action Plans, Human Rights and Democracy Country Strategies and EOM recommendations follow-up plans
Narrative	
Methodology	Percentage of actions planned by Delegations in the framework of their Democracy Action Plans as reported in the Human Rights and Democracy country strategies.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Stable situation in the last years.

### Specific Objective 4 :EU Election Observation Missions

#### Indicator 1: Number of electoral processes and democratic cycles supported, observed, and followed by means of Election Observation Missions, Election Assessment Teams and Election Experts Missions proposing recommendations to the host country

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
17	19	21	22	23	18	18	23			23
	Actual Progress									Final
	17	16	16	19	21	16	14			14

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Number (of electoral processes)
Cut-Off Date	31/12/2020
Data source	FPI
Narrative	The actual deployment of missions actually deployed contributes to the Specific Objective 4: EU Election Observation Missions
Methodology	Yearly
Link MFF 14-20 / MFF 21-27	Under the MFF 21/27, the indicator will be merged with Indicator 2 for further alignment with the Annual Activity Report.
Other methodological comments	The indicator includes the:- EU Election Observation Missions (EOMs): fully-fledged election observation missions;- EU Election Assessment Team missions (EATs): limited observation or assessment missions in countries with particularly difficult security situations; Since 2015, no EATs have been deployed. It has been decided either to deploy a fully-fledged EOM or an EEM;- EU Election Expert Missions (EEMs): small scale missions composed of electoral experts of assessment of the election process;- The studies or desk reviews on an electoral issue and any other activities linked to electoral missions that started in 2017. The indicator, however, does not take into account the Exploratory Missions, which aim at preparing EOMs and assess the usefulness, advisability and feasibility of the fully-fledged EOM.
Full metadata available at this address	
Justification of the trend	In the conditions of the global COVID-19 pandemic, travel restrictions, security and sanitary situation in the countries, many of the missions could not be deployed.

#### Indicator 2: Number of Election Follow-up Missions (post-election expert missions) deployed in countries after an Election Observation Mission to assess the implementation of recommendations.

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
----------	------	------	------	------	------	------	------	------	------	--------

2013	Milestones								3030
2	2	3	4	4	5	5	8		8
	Actual Progress								Final
	2	3	3	4	4	7	0		

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Number (of electoral missions)
Cut-Off Date	31/12/2020
Data source	FPI
Narrative	The deployment of follow-up missions deployed contributes to the Specific Objective 4: EU Election Observation Missions. The aim of Election Follow-up Missions is to take stock of the state of implementation of the EOM/EAT recommendations. EFMs are conducted within a period of 2 to 3 years into the electoral cycle (which starts with the initial EOM/EAT mission). They serve to deepen the dialogue with partner countries on the recommendations, but also open up space for wider political dialogue on the governance and rule of law in partner countries. EFMs have been implemented since 2013.
Methodology	Yearly
Link MFF 14-20 / MFF 21-27	Under the MFF 21/27, the indicator will be merged with Indicator 1 for further alignment with the Annual Activity Report.
Other methodological comments	The aim of Election Follow-up Missions is to take stock of the state of implementation of the EOM/EAT recommendations. EFMs are conducted within a period of 2 to 3 years into the electoral cycle (which starts with the initial EOM/EAT mission). They serve to deepen the dialogue with partner countries on the recommendations, but also open up space for wider political dialogue on the governance and rule of law in partner countries. EFMs have been implemented since 2013. The target for 2020 will be difficult to reach since there will be many important elections that will absorb the Human Resources capacities and budget.
Full metadata available at this address	
Justification of the trend	In the conditions of the global COVID-19 pandemic, travel restrictions, security and sanitary situation in the countries, all follow-up missions were postponed to 2021.

### Specific Objective 5 :Support to targeted key actors and processes, including international and regional human rights instruments and mechanisms.

#### Indicator 1: Number of States that have signed and ratified international & regional Conventions and related optional Protocols

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
5	10	10	10	10	10	10	10			10
	Actual Progress									Final
	34	53	49	27	24	24	12			

Are we on track	On track
Indicator type	Output
Unit of measurement	Number (of states)
Cut-Off Date	31/12/2020
Data source	OHCHR website: <a href="http://indicators.ohchr.org/">http://indicators.ohchr.org/</a> and <a href="https://tbinternet.ohchr.org/SitePages/MonthlyReport.aspx">https://tbinternet.ohchr.org/SitePages/MonthlyReport.aspx</a>
Narrative	
Methodology	This indicator will be based on the information in: <a href="https://indicators.ohchr.org/">https://indicators.ohchr.org/</a> and <a href="https://www.ohchr.org/EN/ProfessionalInterest/Pages/CoreInstruments.aspx">https://www.ohchr.org/EN/ProfessionalInterest/Pages/CoreInstruments.aspx</a>
Link MFF 14-20 / MFF 21-27	This indicator will be not used to monitor the 2021-2027 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	COVID-19 crisis has made the ratification processes more difficult.

#### Indicator 2: Number of key actors supported, in particular international, regional and national organisations

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
10	15	15	15	15	15	15	15			15
	Actual Progress									Final
	15	11	10	15	15	15	19			

Are we on track	On track
-----------------	----------

Indicator type	Output
Unit of measurement	Number (of key actors)
Cut-Off Date	31/12/2020
Data source	DEVCO B1 implementation data
Narrative	
Methodology	In 2017, 2018, 2019 and 2020, 19 key actors were supported : Global Campus of Human Rights Education/European Inter-University Centre for Human Rights and Democratisation (7 stakeholders), ILO - International Labour Organization, OHCHR - Office of the UN High Commissioner for Human Rights, ICC - International Criminal Court, Inter-American Human Rights Court and Commission, Council of Europe, International IDEA, the Global Alliance of National Human Rights Institutions (GANHRI), and four regional NHRI secretariats (5 stakeholders). Support has also been given to the participation of civil society in key processes, e.g. in human rights negotiations, dialogues, etc.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF
Other methodological comments	In 2014 : 15 key actors : OHCHR - Office of the High Commissioner for Human Rights, EIUC - European Inter-University Centre for Human Rights and Democratisation, National Human Rights Institutes, ICC - International Criminal Court, International Organization for Migration. In 2015 11 key actors were supported: European Inter-University Centre for Human Rights and Democratisation (7 stakeholders), IOM - International Organization for Migration, OHCHR - Office of the UN High Commissioner for Human Rights, UNICEF and indirectly the African Union. In 2016: 10 key actors were supported : European Inter-University Centre for Human Rights and Democratisation (7 stakeholders), ILO - International Labour Organization, OHCHR - Office of the UN High Commissioner for Human Rights, UNHCR – the UN Refugees Agency.
Full metadata available at this address	
Justification of the trend	Support to strategic stakeholders.

*Previous Program 3 : Instrument contributing to Stability and Peace*

**General Objective 1 :To provide direct support for the Union's external policies by increasing the efficiency and coherence of the Union's actions in the areas of conflict prevention, crisis preparedness and crisis response and peace-building, and in addressing global and transregional threats.**

**Indicator 1: Number of conflicts worldwide**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total										
2012	Milestones									2020
405	Actual Progress									Final
	424	409	402	379	363	358	399			
Highly violent conflicts (Level 5+4)										
2012	Milestones									2020
44	Actual Progress									Final
	46	43	38	36	40	38				
Violent conflicts (Level 3)										
2012	Milestones									2020
177	Actual Progress									Final
	177	180	188	187	173	158				
Non-violent conflicts (level 2+1)										
2012	Milestones									2020
184	Actual Progress									Final
	201	186	176	156	150	162				

Are we on track	No data
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	05/03/2021
Data source	Conflict Barometer published annually by the Heidelberg Institute for International Conflict Research; <a href="https://hiik.de/conflict-barometer/current-version/?lang=en">https://hiik.de/conflict-barometer/current-version/?lang=en</a>
Narrative	This indicator describes the context in which IcSP operates
Methodology	See Heidelberg Institute for International Conflict Research for information on the methodology
Link MFF 14-20 / MFF 21-27	This indicator will not be followed under the MFF 21/27.
Other methodological comments	Note: This indicator is used on a trial basis and will need to be evaluated over a longer time period

	whether it is appropriate for the assessment of the EU's impact on global crises. The indicator is based on the "Conflict Barometer" of the Heidelberg Institute for International Conflict Research (HIIK)
Full metadata available at this address	
Justification of the trend	The number of conflicts have steadily decreased over the period. The overall number is down 15.5%, with the most violent down 17.4%; the mid-intensity conflict by 10.8%; and the least violent by 19.9%.

**Specific Objective 1 :In a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's external policies and actions in accordance with Article 21 TEU.**

**Indicator 1:Percentage of projects adopted within 3 months of a crisis context (date of presentation to PSC).**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
69%	70%									75%
	Actual Progress									Final
	68%	64%	61%	47%	82%	91,3%	86%			

Are we on track	On track
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	FPI
Narrative	The adoption of decisions on projects (actions) within a limited time contributes directly to the objective to swiftly contribute to stability.
Methodology	Yearly values
Link MFF 14-20 / MFF 21-27	This indicator will be followed under the MFF 21/27
Other methodological comments	Out of the 55 financing decisions adopted under the Article 3 of the IcSP in 2020, 51 exceptional assistance measures are considered for this indicator (the other 5 required comitology in line with the Regulation). Of those 51 decisions, 44 were adopted (COM Decision) within 3 months of a crisis context (presentation to PSC), a percentage rate of 86.3%. The objective set for 2020 is to reach a percentage rate of 75%.
Full metadata available at this address	
Justification of the trend	The set milestone and final objective was surpassed. While the re-organisation and creation of the FPI Regional Teams in 2017, coincided with a lower performance in that year, this new arrangement combined with a closer monitoring of decision making at Headquarters led to a steep increase in the speed of decision-making in the following years. The relatively lower performance in 2020 remains well above the target (86.3% vs 75%) and is explained by the disruptions caused by the COVID-19 crisis combined with an exceptionally high and record amount of new crisis response actions to be adopted in 2020.

**Specific Objective 2 :To contribute to the prevention of conflicts and to ensuring capacity and preparedness to address pre- and post-crisis situations and build peace.**

**Indicator 1:Number of processes and entities with strengthened capacity attributable to IcSP funding**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Total										
2012	Milestones									2020
1183	1200									1550
	1650									1650
	Actual Progress									Final
	1373	1415	1464	1487	1592	1609	1726			
Processes										
2012	Milestones									2020
734										
	Actual Progress									Final
	512	961	996	922	994	971	1034			
Entities										
2012	Milestones									2020
449										
	Actual Progress									Final
	861	454	468	565	598	638	692			

Are we on track	On track
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	31/12/2020
Data source	FPI documents related to the financed projects
Narrative	The indicator measures the strengthened capacity beneficiaries of EU assistance to prevent conflicts, address pre- and post-crisis situations and to build peace
Methodology	The figures aggregate the processes and entities stemming from the contracting of the year n-1 Annual Action Programme. Processes: refers to the annual number of processes (for example: mediation processes, ad hoc training and coaching, training of trainers, capacity-building activities, high-level conferences, international fora, Recovery and peacebuilding assessments, specific researches) attributable to IcSP funding which contribute to conflict prevention, crisis preparedness and peace-building. Entities: refers to the annual number of entities (local communities and community-based organisations, third country governmental and local authorities, youth and women organisations, international, regional and national NGOs, associations of private sector operators) benefiting from strengthened capacity, attributable to IcSP funding in conflict prevention, crisis preparedness and peace-building
Link MFF 14-20 / MFF 21-27	This indicator will not be followed under the MFF 21/27
Other methodological comments	Total: The indicator measures the strengthened capacity of EU and beneficiaries of EU assistance to prevent conflicts, address pre- and post-crisis situations and to build peace. The figure aggregates the processes and entities stemming from the contracting of the year n-1 Annual Action Programme. Processes: It refers to the annual number of processes (for example: mediation processes, training and coaching, training of trainers, capacity building activities, specific researches) attributable to IcSP funding which contribute to conflict prevention, crisis preparedness and peace-building. Entities: It refers to the annual number of entities (local communities and community-based organizations, youth and women organisations, formalised NGOs, private sector operators, traditional as well local and government authorities) benefiting from strengthened capacity, attributable to IcSP funding in conflict prevention, crisis preparedness and peace-building.
Full metadata available at this address	
Justification of the trend	The increase of "processes and entities during the 7 years of the programme is correlated to the progressive increase of the amounts committed every year and the consequent increase of the number of the funded actions

### Specific Objective 3 :To address specific global and trans-regional threats to peace, international security and stability.

#### Indicator 1:EU contribution towards tackling global and transregional threats, measured as

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Risk Mitigation: Number of former weapon scientists talents redirected to peaceful activities (Astana and Kiev):										
2012	Milestones									2020
							18600			18600
	Actual Progress									Final
	18150	18300	18500	18700	19425	19730	20000			
Strengthening capabilities against biological threats: Number of facilities upgraded to international standard level:										
2012	Milestones									2020
							12			12
2	Actual Progress									Final
	5	8	8	10	10	10	12			
Regional centres of excellence: Number of partner countries benefitting from the assistance of the EC acting in multilateral framework:										
2012	Milestones									2020
							65			65
15	Actual Progress									Final
	45	52	55	59	62	62	65			
Countering Terrorism: Number of partner countries covered by the countering terrorism activities financed by the EU:										
2012	Milestones									2020
							20			20
8	Actual Progress									Final
	12	12	12	29	31	36	40			
Fighting organised crime: Number of major drug smuggling routes tackled by activities supported by the EU:										
2012	Milestones									2020
							2			2
2	Actual Progress									Final
	2	2	2	2	2	2	2			
Protecting critical infrastructure: The number of countries covered by protection of critical infrastructure activities:										

2012	Milestones								2020
4			14				14		14
	Actual Progress								Final
	11	14	14	14	29	29	35		

Are we on track	On track
Indicator type	Result
Unit of measurement	Number
Cut-Off Date	31/12/2020
Data source	International Science and Technology Center (ISTC) and the Science and Technology Center Ukraine (STCU), project data and request of adhesion received and officially accepted
Narrative	The indicator measures the strengthened capacity beneficiaries of EU assistance to address global and trans-regional threats
Methodology	Yearly values
Link MFF 14-20 / MFF 21-27	This indicator will be followed under the MFF 21/27
Other methodological comments	Including TACIS period (from 1994)
Full metadata available at this address	
Justification of the trend	Milestones were reached or surpassed, with development of strong partnerships also with EUMS and international actors.

*Previous Program 4 : Partnership instrument for cooperation with third countries (PI)*

**General Objective 1 :The Partnership Instrument shall support measures that respond in an effective and flexible manner to objectives arising from the Union's bilateral, regional or multilateral relationships with third countries and address challenges of global concern, or ensure an adequate follow-up to decisions taken at multilateral level.**

**Indicator 1: Number of new relevant instruments and / or negotiation processes launched / on-going with EU's strategic partners, regional organisations and at multilateral level**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones								2020	
		0	2	4	8	9	25			10
	Actual Progress								Final	
		0	2	4	9	9	25			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	15/03/2021
Data source	Project Implementation Monitoring System (PIMS) reporting
Narrative	This indicator measures progress towards supporting the Union's bilateral, regional or multilateral relationships with non-EU countries and addressing challenges of global concern and adequate follow-up to decisions taken at multilateral level.
Methodology	Partnership Instrument Monitoring System reporting
Link MFF 14-20 / MFF 21-27	This indicator will not be followed under the MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The discrepancy between results and targets is due to a change in the methodology for the use of indicators. Instead of 'customised' project-level indicators, which cannot easily be aggregated at programme/instrument level, there was a move to core indicators which are identical for the entire PI and can hence be easily aggregated.

**Specific Objective 1 :To support the Union's bilateral, regional and inter-regional cooperation partnership strategies, by promoting policy dialogues and by developing collective approaches and responses to challenges of global concern.**

**Indicator 1: Progress made by key partner countries in the fight against climate change or in promoting the environmental standards of the Union, as measured by the following sub-indicators**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Operating Emissions Trading Schemes for greenhouse gas mitigation (ETS) outside the EU/EEA (at city, regional, country or multi-country level)										2020
2014	Milestones									

15	0	18	20	21	22	24	26			26
	Actual Progress									Final
	0	16	18	20	24	26	27			
Share of renewables in total energy production in the 9 strategic partners, Brazil										
2014	Milestones									2020
45%							50%			50%
	Actual Progress									Final
		43%	43%	42%	50%					
Share of renewables in total energy production in the 9 strategic partners, Canada										
2014	Milestones									2020
10%										11%
	Actual Progress									Final
		10%	10%	10%	11%					
Share of renewables in total energy production in the 9 strategic partners, China										
2014	Milestones									2020
10%										11%
	Actual Progress									Final
		10%	11%	11%	11%					
Share of renewables in total energy production in the 9 strategic partners, India										
2014	Milestones									2020
38%							42%			42%
	Actual Progress									Final
		38%	37%	37%	42%					
Share of renewables in total energy production in the 9 strategic partners, Japan										
2014	Milestones									2020
72%										79%
	Actual Progress									Final
		76%	60%	55%	79%					
Share of renewables in total energy production in the 9 strategic partners, Republic of Korea										
2014	Milestones									2020
8%										9%
	Actual Progress									Final
		8%	8%	10%	9%					
Share of renewables in total energy production in the 9 strategic partners, Mexico										
2014	Milestones									2020
8%										9%
	Actual Progress									Final
		8%	9%	10%	9%					
Share of renewables in total energy production in the 9 strategic partners, Russian Federation										
2014	Milestones									2014
1%										1%
	Actual Progress									Final
		1%	1%	1%	1%					
Share of renewables in total energy production in the 9 strategic partners, USA										
2014	Milestones									2020
8%										9%
	Actual Progress									Final
		7%	8%	8%	9%					
CO2 emissions from fuel combustion in the 9 strategic partners										
2014	Milestones									2020
20 979,55							Reduce by at least 6%			Reduce by at least 6%
	Actual Progress									Final
		1,02%	2,37%	0,5%	2,1%					
Number of local and regional authorities signing the Covenant of Mayors										
2014	Milestones									2020
6270	0	0	7000	7600	8100	9000	10270			10270
	Actual Progress									Final
	0	6750	7193	7747	7755	9984				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Numbers and percentages
Cut-Off Date	15/03/2021
Data source	<a href="https://icapcarbonaction.com">https://icapcarbonaction.com</a> – International Carbon Action Partnership (ICAP); <a href="http://energyatlas.iea.org">http://energyatlas.iea.org</a> . Latest data available 2018. <a href="https://www.covenantofmayors.eu/en/">https://www.covenantofmayors.eu/en/</a> .

Narrative	The data collected demonstrate that the PI is effective in influencing partner country approaches that are beneficial to the achievement of the Europe 2020 strategy and its uptake by partner countries.
Methodology	This indicator measures progress towards supporting the EU's bilateral, regional and inter-regional cooperation partnership strategies, by promoting policy dialogues and developing collective approaches and responses to challenges of global concern, in particular climate change and environment.
Link MFF 14-20 / MFF 21-27	This indicator will not be followed under the MFF 21/27
Other methodological comments	The specific objective 1 is reflected by five core PI outcome indicators. Values captured for these indicators demonstrate that the instrument has already delivered important results (see underneath). For sub-indicators 1b and 1c: The data will be available 3 years after the reference year. The data for 2020 will be available at the beginning of 2022. Data for 31/12 of each year provided directly by the Covenant of Mayors Office.
Full metadata available at this address	
Justification of the trend	Most indicators are on track except for Japan where the trend is linked to the closure of nuclear plants and consequent turning into coal.

## Specific Objective 2 :Implementing the international dimension of "Europe 2020 - A strategy for smart, sustainable and inclusive growth".

### Indicator 1:Uptake of the "Europe 2020" strategy by key partner countries, as measured by the following sub-indicators

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Number of cities that have signed new bilateral or multilateral agreements on sustainable urban development										
2014	Milestones									2020
0		0	6	25	47	64	84			At least 84 cities in at least 7 strategic partners
	Actual Progress									Final
		0	0	30	60	85	85			
Number of regions that have signed new bilateral or multilateral agreements on innovation										
2014	Milestones									2020
0		0	6	8	11	15	18			At least 18 regions/provinces worldwide
	Actual Progress									Final
		0	0	0	13	20	20			
Number of international agreements on Migration and Mobility signed with the strategic partners										
2014	Milestones									2020
15		15	15	17	17	19	20			20
	Actual Progress									Final
							19			
Average worldwide level of implementation of international safety standards in civil aviation										
2014	Milestones									2020
0,62		0,62	0,62	0,62	0,63	0,63	0,65			0,651
	Actual Progress									Final
		0,63		0,65	0,65	0,67	0,69			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	15/03/3021
Data source	PI monitoring reports <a href="https://myintracomm.ec.europa.eu/dg/home/policy/Pages/International-agreements.aspx">https://myintracomm.ec.europa.eu/dg/home/policy/Pages/International-agreements.aspx</a> ; <a href="https://www.icao.int/safety/Pages/Safety-Report.aspx">https://www.icao.int/safety/Pages/Safety-Report.aspx</a>
Narrative	The data collected demonstrate that the PI is effective in influencing partner country approaches that are beneficial to the achievement of the Europe 2020 strategy and its uptake by partner countries.
Methodology	<a href="https://www.icao.int/safety/Pages/Safety-Report.aspx">https://www.icao.int/safety/Pages/Safety-Report.aspx</a>
Link MFF 14-20 / MFF 21-27	This indicator will not be followed under the MFF 21/27
Other methodological comments	Safety standards in civil aviation are based on the assessment done by the Universal Safety Oversight Audit Programme (USOAP) and available through International Civil Aviation Organization (ICAO) annual Safety Reports.
Full metadata available at this address	
Justification of the trend	Migration and Mobility: positive trend in a complex and politically sensitive area.

**Specific Objective 3 :Improving access to third country markets and boosting trade, investment and business opportunities for European companies, while eliminating barriers to market access and investment, by means of economic partnerships, business and regulatory cooperation.**

**Indicator 1:EU share in foreign trade in goods and services of 9 strategic partners**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
17%	Maintain share	Maintain share	Maintain share	Maintain share	Possible increase in share	Possible increase in share	Overall increase in share			Overall increase in share
	Actual Progress									Final
	17,40%	17,30%	17,60%	17,80%	17,90%					

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2023
Data source	Comext IMF, UNCTAD + Eurostat (10.02.2020) provided by DG TRADE
Narrative	This indicator measures progress in improving access to non-EU country markets and in boosting trade, investment and business opportunities for European companies, while eliminating barriers to market access and investment, by means of economic partnerships, business and regulatory cooperation.
Methodology	PI monitoring reports <a href="https://www.icao.int/safety/Pages/Safety-Report.aspx">https://www.icao.int/safety/Pages/Safety-Report.aspx</a>
Link MFF 14-20 / MFF 21-27	This indicator will not be followed under the MFF 21/27
Other methodological comments	See above sources
Full metadata available at this address	
Justification of the trend	Not applicable

**Indicator 2:EU investments flows from/to 9 strategic partners**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Inward flows										
2013	Milestones									2020
442	Maintain FDI flows	Maintain FDI flows	Maintain FDI flows	Maintain FDI flows	Possible increase in FDI flows	Possible increase in FDI flows	Increase FDI flows in parallel with global economic growth			Increase FDI flows in parallel with global economic growth
	Actual Progress									Final
	44,9	421,7	12,1	142,6						
Outward flows										
2013	Milestones									2020
421,6	Maintain FDI flows	Maintain FDI flows	Maintain FDI flows	Maintain FDI flows	Possible increase in FDI flows	Possible increase in FDI flows	Increase FDI flows in parallel with global economic growth			Increase FDI flows in parallel with global economic growth
	Actual Progress									Final
	33	492	79,6	109						

Are we on track	No data
Indicator type	Impact
Unit of measurement	Number
Cut-Off Date	01/03/2026
Data source	DG TRADE informs that data is no longer publicly available as of 2018
Narrative	
Methodology	DG TRADE informs that data is confidential as of 2018
Link MFF 14-20 / MFF 21-27	This indicator will not be pursued under the MFF 21/27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Not applicable

**Specific Objective 4 :Enhancing widespread understanding and visibility of the Union and its role on the world scene by means of public diplomacy, people to people contacts, education/academic/think tank cooperation and outreach activities to promote the Union's values and interests.**

**Indicator 1:EU visibility**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Brazil										
2015	Milestones									2020
93%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	93%									
Canada										
2015	Milestones									2020
87%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	87%									
China										
2015	Milestones									2020
95%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	95%									
India										
2015	Milestones									2020
93%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	93%									
Japan										
2015	Milestones									2020
76%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	76%									
Mexico										
2015	Milestones									2020
97%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	97%									
Russia										
2015	Milestones									2020
93%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	93%									
South Africa										
2015	Milestones									2020
85%					Maintain high visibility	Maintain high visibility	Maintain high visibility			Maintain high visibility
	Actual Progress									Final
	85%									
Republic of Korea										
2015	Milestones									2020
92%					Maintain	Maintain	Maintain			Maintain

					high visibility	high visibility	high visibility			high visibility
	Actual Progress									Final
	92%									
USA										
2015	Milestones									2020
88%					Maintain high visibility	Maintain high visibility	Maintain high visibility			
	Actual Progress									Final
	88%									

Are we on track	No data
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2015
Data source	Perception study commissioned by FPI during the first quarter of 2021. Interim results will be available by mid-2021
Narrative	This indicator measures progress towards enhancing understanding and visibility of the EU and its role on the world scene by means of public diplomacy
Methodology	Study
Link MFF 14-20 / MFF 21-27	The indicator will not be pursued under the 21/27 MFF.
Other methodological comments	None
Full metadata available at this address	
Justification of the trend	No data available

#### Previous Program 5 : Development Cooperation Instrument (DCI)

**General Objective 1 :Fostering the sustainable and inclusive development in partner countries and regions and the promotion of democracy, the rule of law, good governance and respect for human rights, as foreseen in the TEU, with the primary aim of eradicating poverty.**

#### Indicator 1:SDG 1.1.1 Proportion of population below international poverty line

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
With graduated countries										
1990	Milestones									2030
0,477	Actual Progress									Final
	0,116	0,098	0,095	0,090	0,088	0,087	0,087			
Without graduated countries										
1990	Milestones									2030
0,477	Actual Progress									Final
	0,115	0,110	0,112	0,100	0,092	0,091	0,087			

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	World Bank (poverty rate); UN population division (population's weights)
Narrative	The indicator Proportion of population below the international poverty line is defined as the percentage of the population living on less than USD 1.90 a day at 2011 international prices. The 'international poverty line' is currently set at USD 1.90 a day at 2011 international prices. Monitoring poverty is important on the global development agenda as well as on the national development agenda of many countries.
Methodology	Indicator calculated on the basis of DCI eligible countries. The 2014 value was computed on country level data from 2012 or before, the 2015 value considers country level data from 2013 or before, the 2016 value considers data from 2014 before the 2017 value considers data from 2016 or before, the 2018 value considers data from 2017 or before and the 2019 value considers data from 2018 or before. The 2020 value also considers data from 2018 or before (data extracted in January 2021).
Link MFF 14-20 / MFF 21-27	This indicator will be used to monitor the 2021-2027 MFF, using the same name.
Other methodological comments	2030 is the target date set by world leaders for achieving Sustainable Development Goals (UN). Baseline taken from the previous MDG 1.1 Proportion of population below USD 1.25 (PPP) per day. All DCI budget contributes to this SDG. Eradicating poverty in all its forms remains one of the

	greatest challenges facing humanity. While the number of people living in extreme poverty has dropped by more than half – from 1.9 billion in 1990, to 836 million in 2015 – too many are still struggling for the most basic human needs. Globally, more than 800 million people are still living on less than USD 1.25 a day; many lacking access to adequate food, clean drinking water and sanitation. Rapid economic growth in countries like China and India has lifted millions out of poverty, but progress has also been uneven. Women are disproportionately more likely to live in poverty than men due to unequal access to paid work, education and property.
Full metadata available at this address	
Justification of the trend	2030 is the target date set by world leaders for achieving SDGs (UN). Baseline taken from the previous MDG 1.1 Proportion of population below USD 1.25 (PPP) per day. All DCI budget contributes to this SDG. Eradicating poverty in all its forms remains one of the greatest challenges facing humanity. While the number of people living in extreme poverty has dropped by more than half - from 1.9 billion in 1990, to 836 million in 2015 - too many are still struggling for the most basic human needs. Globally, more than 800 million people are still living on less than USD 1.25 a day; many lacking access to adequate food, clean drinking water and sanitation. Rapid economic growth in countries like China and India has lifted millions out of poverty, but progress has also been uneven. Women are disproportionately more likely to live in poverty than men due to unequal access to paid work, education and property. Progress has also been limited in other regions, such as South Asia and sub-Saharan Africa, which account for 80 percent of the global total of those living in extreme poverty. This rate is expected to rise due to new threats brought on by climate change, conflict and food insecurity. Through to 2030, SDG 1 foresees a world where extreme poverty will have been eliminated, such as through social protection for all, access to land and economic resources, and their protection against the impacts of climate change and other economic, social and environmental disasters.

### Specific Objective 1 :Poverty reduction and fostering sustainable economic, social and environmental development.

#### Indicator 1:MDG 3.1 Ratio of girls to boys in primary, secondary, tertiary education

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Primary level										
2012	Milestones									2020
0.97	0.97	0.98	0.98	0.99	0.99	0.99	1.00			1.00
	Actual Progress									Final
		1.00	1.01	1.01	1.00					
Secondary education										
2012	Milestones									2020
0.97	0.97	0.98	0.98	0.99	0.99	0.99	1.00			1.00
	Actual Progress									Final
		0.99	0.99	0.99	0.99					
Tertiary education										
2012	Milestones									2020
0,99	Linear increase	1,00			1,00					
	Actual Progress									Final
		1,01	1,12	1,12						

Are we on track	On track
Indicator type	Output
Unit of measurement	ratio
Cut-Off Date	31/12/2018
Data source	MDG Report Statistical Annex 2014: Millennium Development Goals, Targets and Indicators, 2015: <a href="http://mdgs.un.org/unsd/mdg/Resources/Static/Products/Progress2015/Statannex.pdf">http://mdgs.un.org/unsd/mdg/Resources/Static/Products/Progress2015/Statannex.pdf</a> . Updated results for this MDG indicator will not be published anymore in this place, so the data source has been redirected: <a href="https://unstats.un.org/unsd/publications/statistical-yearbook/files/syb63/T05_GPI_EDU.pdf">https://unstats.un.org/unsd/publications/statistical-yearbook/files/syb63/T05_GPI_EDU.pdf</a>
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	As is often the case with international statistics, the more recent historical values are updated annually to reflect data that is reported with a delay and related corrections. Consequently, the entire time series has been updated to reflect the latest data available.

**Indicator 2:MDG 2.2 Proportion of pupils starting in grade 1 who reach last grade of the primary, gender disaggregated**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Together										
2011	Milestones									2020
0.7270	Actual Progress									1.00
		0.7310								Final
Girls										
2011	Milestones									2020
0.7384	Actual Progress									1.00
		0.7450								Final
Boys										
2011	Milestones									2020
0.7160	Actual Progress									1.00
		0.7180								Final

Are we on track	No data
Indicator type	Output
Unit of measurement	Proportion
Cut-Off Date	31/12/2015
Data source	MDG Report Statistical Annex: Millennium Development Goals, Targets and Indicators, 2014 & 2015 <a href="http://mdgs.un.org/unsd/mdg/Host.aspx?Content=Products/ProgressReports.htm">http://mdgs.un.org/unsd/mdg/Host.aspx?Content=Products/ProgressReports.htm</a>
Narrative	
Methodology	These results are estimates calculated by the UN MDG Team provided for the Progress report of the MDGs being final in 2015. Updated results will not be published anymore. This indicator has been replaced by the new indicator SDG 4.1.1 "Percentage of children/young people at the end of each level of education achieving at least a minimum proficiency level in (a) reading and (b) mathematics (Disaggregation: sex, location, wealth and others where data are available)", which is aligned to Target 4.1: "By 2030, ensure that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes." However, it should be noted that this indicator is not available yet: methodology not defined, no data. It will take 3 to 5 years before this indicator can be used according to UNESCO, which is leading on education SDG indicators. Baseline and targets to be set in the UN process.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	These results are estimates calculated by the UN MDG Team provided for the Progress report of the MDGs being final in 2015. Updated results will not be published anymore.
Full metadata available at this address	
Justification of the trend	Data has not been published since 2015 because the MDGs have been replaced by the SDGs.

**Indicator 3:SDG 3.2.1 Under-five mortality rate (deaths per 1,000 live births)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2030
0,455	Actual Progress									0,250
	0,440	0,426	0,413	0,400	0,388	0,377				Final

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Per 1 000 live births
Cut-Off Date	31/12/2019
Data source	<a href="http://apps.who.int/gho/data/view.main.CM1300R">http://apps.who.int/gho/data/view.main.CM1300R</a> or <a href="https://unstats.un.org/sdgs/indicators/database/">https://unstats.un.org/sdgs/indicators/database/</a>
Narrative	This indicator is aligned to SDG 3.2 which calls for an end to preventable deaths of new-borns and children under 5 years of age by 2030, with all countries aiming to reduce neonatal mortality to at least as low as 12 per 1 000 live births and under-five mortality to at least as low as 25 per 1 000 live births. The under-five mortality rate measures child survival. It also reflects more broadly the social, economic and environmental conditions in which children (and community) live.
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	As is often the case with international statistics, the more recent historical values are updated annually to reflect data that is reported with a delay and related corrections. Consequently, the entire time series has been updated to reflect the latest data available.

**Indicator 4:SDG 3.1.1 Maternal deaths per 100,000 live births**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2030
246							less than 70			less than 70
	Actual Progress									Final
		216	214	211						

Are we on track	No data
Indicator type	Impact
Unit of measurement	Per 100 000 live births
Cut-Off Date	31/12/2017
Data source	<a href="http://apps.who.int/gho/data/view.main.GSWCAH0TREG">http://apps.who.int/gho/data/view.main.GSWCAH0TREG</a> or <a href="https://unstats.un.org/sdgs/indicators/database/">https://unstats.un.org/sdgs/indicators/database/</a>
Narrative	The indicator 3.1.1 maternal mortality ratio (MMR=maternal deaths per 100,000 live births) is aligned to SDG 3.1: "By 2030, reduce the global maternal mortality ratio to less than 70 per 100,000 live births.
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	No data has been reported since 2017 on both references mentioned above.
Full metadata available at this address	
Justification of the trend	Maternal mortality was still unacceptably high in 2017 - an estimated 295 000 women died from pregnancy- or childbirth-related complications. Almost all maternal deaths (99 %) occur in developing countries. More than half of these deaths occur in sub-Saharan Africa and almost one third occur in South Asia. More than half of maternal deaths occur in fragile and humanitarian settings. To improve maternal health and reduce MMR, barriers that limit access to quality maternal health services must be identified and addressed at all levels of the health system. Within a country, major differences in MMR are often identified between regions and between urban/rural settings, and socioeconomic characteristics (such as education level and wealth quintile). Ensuring universal health coverage for comprehensive reproductive, maternal, and newborn healthcare will be essential to achieve the SDG MMR target.

**Indicator 5:SDG 2.2.1 Prevalence of stunting (height for age <-2 SD from the median of the WHO Child Growth Standards) among children under five years of age**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0.248			0.236	0.226	0.217	0.208	0.200			0.200
	Actual Progress									Final
	0.236	0.231	0.226	0.221	0.217	0.213				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2019
Data source	Figures are reported in the annual report « Joint Child Malnutrition Estimates » by UNICEF, WHO and World Bank and can be accessed using the following link: <a href="https://data.unicef.org/resources/dataset/malnutrition-data/">https://data.unicef.org/resources/dataset/malnutrition-data/</a> .
Narrative	WHO maintains the WHO Global Database on Child Growth and Malnutrition ( <a href="http://www.who.int/nutgrowthdb">www.who.int/nutgrowthdb</a> ), a repository of standardized anthropometric child data which has existed for 20 years. The methods have remained unchanged since 2012, except for some minor refinements: 1. Year assigned to each survey. When data collection is split between two calendar years the year where most of the data collection is done is the year that is reported. 2. Final reports only. Since 2014 only final reports are presented (rather than preliminary reports) 3. Updated data sources. Data has been reanalysed to ensure consistency of reporting. Some results in the JME database may differ from the reported results. 4. Since 2014 population coverage has been calculated to alert the user to where the data should be interpreted with caution due to low population coverage. 5. Prevalence thresholds for stunting (and wasting and overweight in children under 5 years have been redefined since 2018 by the WHO-Unicef TEAM.
Methodology	The joint global and regional estimates that make up the UNICEF/WHO/World Bank Group Joint Child Malnutrition Estimates have been generated using a country-level dataset which is mainly comprised of estimates from nationally representative household surveys (e.g. DHS, MICS, SMART). These data are collected infrequently (every 3 to 5 years in most countries) and measure malnutrition at one point in time (e.g. during one or several months of field work), giving an estimate of prevalence. These data are received and reviewed by UNICEF and WHO and checked for validity and consistency. The resulting raw data sets are analysed following a standard procedure to obtain comparable results.

Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	The values reported for this indicator are accompanied by lower and upper bounds for the 95% confidence interval. In 2019, these bounds were 19.7% and 22.8%, respectively. This means that the 2019 milestone of 20.8% falls comfortably within the confidence interval for the 2019 observation, i.e. that the milestone was met.
Full metadata available at this address	
Justification of the trend	As is often the case with international statistics, the more recent historical values are updated annually to reflect data that is reported with a delay and related corrections. Consequently, the entire time series has been updated to reflect the latest data available. Target for 2025: The EU committed to meet at least 10 % of the World Health Assembly's global target to reduce stunting of 70 million children by 2025, pledging to reduce this number by at least 7 million. The updates in global stunting rates come from the March 2020 JME Edition. The WHO updates stunting data on a regular basis. They do this to produce standardised estimates over time and to ensure comparability between countries. This has included reanalysis of data from previous years for all countries as well as the removal of some surveys, due to quality issues, alongside new surveys being identified and added. These updates have led to slight changes to in global data for these estimates each year. The new data represents the March 2020 updates. The next update for which global data will be available will be March 2021, even though a further update was made in July 2020 – for which global estimates were not made (only country estimates). The global progress on reducing the prevalence of child stunting obscures the disparities in countries that are performing well and those that are making negligible progress. For example, considerably more progress has been made in Asia compared to Africa.

## Specific Objective 2 :Consolidating and supporting democracy, the rule of law, good governance, human rights and the relevant principles of international law.

### Indicator 1:Average score in the Rule of law as measured by the World Bank's Worldwide Governance Indicator (DCI countries eligible for geographic cooperation)

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2008	Milestones									2020
-0,88		-0,82	-0,81	-0,8	-0,79	-0,78	-0,77			-0,77
	Actual Progress									Final
	-0,74	-0,75	-0,77	-0,77	-0,78	-0,77				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Number of standard deviations relative to mean for standard normal distribution
Cut-Off Date	31/12/2020
Data source	<a href="https://info.worldbank.org/governance/wgi/">https://info.worldbank.org/governance/wgi/</a>
Narrative	The Rule of Law indicator is one of the six aggregate indicators of the World Bank Worldwide Governance Indicators (WGI). It captures perceptions of the extent to which agents (i.e. firms, individuals and public officials) have confidence in and abide by the rules of society, and in particular the quality of contract enforcement, property rights, the police, the courts, as well as the likelihood of crime and violence. Consolidated figure for the 29 DCI countries. The 2020 value was computed with data from 2019 (data extracted in January 2021). World Bank's Worldwide Governance Indicator currently covers the period 1996-2017. The dedicated webpages of the World Bank provide information about the methodology used for the World Bank WGIs ( <a href="http://info.worldbank.org/governance/wgi/index.aspx#doc">http://info.worldbank.org/governance/wgi/index.aspx#doc</a> ) and updated annually Country Data Reports ( <a href="http://info.worldbank.org/governance/wgi/index.aspx#countryReports">http://info.worldbank.org/governance/wgi/index.aspx#countryReports</a> ).
Methodology	<a href="https://info.worldbank.org/governance/wgi/Home/Documents">https://info.worldbank.org/governance/wgi/Home/Documents</a> <a href="https://europa.eu/capacity4dev/sites/default/files/4_final_rol_feb_2015.doc">https://europa.eu/capacity4dev/sites/default/files/4_final_rol_feb_2015.doc</a>
Link MFF 14-20 / MFF 21-27	This indicator will continue to be used to monitor the 2021-2027 MFF, using the following name: Rule of Law score in relation to countries benefiting from EU assistance.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	DG DEVCO monitors information for the countries available for DCI geographic funding under the Multi Financial Framework 2014-2020 (29 countries). The data shows the average index score for these countries. The index ranges from -2.5 (worst possible score) to +2.5 (best possible score) where '0' means average score (across all the countries where the index is measured).

### Indicator 2: Number of projects funded from the DCI to promote democracy, the rule of law, good governance and respect for human rights in the DCI beneficiary countries

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
70	70	70	75	80	85	90	100			100

	Actual Progress								Final
	96	84	310	391	76	352	102		
Are we on track	On track								
Indicator type	Output								
Unit of measurement	Number of contracts								
Cut-Off Date	31/12/2020								
Data source	CRIS Data Warehouse								
Narrative									
Methodology	In 2020, the same DAC sectors as in 2019 were applied: 15110, 15111, 15112, 15113, 15114, 15130, 15150, 15151, 15152, 15153, 15160, 15170, 15180. In 2019, we used the same methodology of 2017 and 2018, using the same DAC sectors: 15110, 15111, 15112, 15113, 15114, 15130, 15150, 15151, 15152, 15153, 15160, 15170, 15180 to cover a broader range of sectors included in the indicator under 'democracy, the rule of law, good governance and respect for human rights': 352 contracts. In 2018, we used the same methodology of 2016 and 2017, using the same DAC sectors: 15110, 15111, 15112, 15113, 15114, 15130, 15150, 15151, 15152, 15153, 15160, 15170, 15180 to cover a broader range of sectors included in the indicator under 'democracy, the rule of law, good governance and respect for human rights': 76 contracts.								
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.								
Other methodological comments	In 2017, we used the same methodology of 2016, using the following DAC sectors: 15110, 15111, 15112, 15113, 15114, 15130, 15150, 15151, 15152, 15153, 15160, 15170, 15180 to cover a broader range of sectors included in the indicator under 'democracy, the rule of law, good governance and respect for human rights': 391 contracts. In 2016, using the following DAC sectors: 15110, 15111, 15112, 15113, 15114, 15130, 15150, 15151, 15152, 15153, 15160, 15170, 15180 to cover a broader range of sectors included in the indicator under 'democracy, the rule of law, good governance and respect for human rights': 310 contracts. In 2015: 84 contracts were signed in total under the DCI, with the following detail: Democracy: 17 contracts; Democratic participation and civil society DAC 15150: 170 projects (8+24); Anti-corruption DAC 15113: 5 contracts; Justice DAC 15130: 17 contracts; HR: 21 contracts. Baseline is an average of 2010-2012.								
Full metadata available at this address									
Justification of the trend	The decrease in the number of projects is likely due to the fact that 2020 is the end of the 2014-2020 financial cycle, with a decrease in the availability of funds.								

### Indicator 3:SDG 5.5.1 Proportion of seats held by women in national parliaments

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2011	Milestones									2020
0.197			0.260				0.400			0.400
	Actual Progress									Final
		0.227	0.232	0.235	0.238	0.231	0.238			

Are we on track	Deserves attention**								
Indicator type	Impact								
Unit of measurement	Seats in parliament								
Cut-Off Date	31/12/2020								
Data source	Inter Parliamentary Union (IPU) <a href="https://data.ipu.org/women-ranking?month=1&amp;year=2021">https://data.ipu.org/women-ranking?month=1&amp;year=2021</a>								
Narrative									
Methodology	Seats in lower or single house of parliaments of sovereign states, excluding IPA countries. On the basis of the data provided by IPU, the average is done calculating the proportion of seats held by women in national parliaments (lower or single house parliament) as compared to the total number of seats available in national parliaments (lower or single house parliament), for DCI excluding IPA countries.								
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.								
Other methodological comments	Baseline: 18.2% excluding IPA countries.								
Full metadata available at this address									
Justification of the trend	Women face several obstacles to participating in political life. Structural barriers as well as deep-rooted social norms still limit women's option to run for office. The domestic burden that falls in majority under women's responsibility also impede them to take-up participation in political life. Furthermore, capacity gaps and the lack of role-models mean women are less likely than men to have the education, contacts and resources needed to become effective leaders. Political women also suffer more than men from harassment online and offline, deterring women from taking such responsibly. The EU supports activities to overcome these barriers and promote the democratic participation of women and men in the political decision-making process. This support is reiterated in the GAP III joint communication and staff working document, adopted on 25 November 2020.								

### Previous Program 6 : European Fund for Sustainable Development (EFSD)

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
3 618,0	3 758,0	3 589,0	3 411,0	3 225,0	3 031,0	3 173,0	23 805,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

For the period 2021-2027, as at this stage the programming is not advanced yet, the estimated amounts for the NDICI contribution to climate objectives are based on the climate spending target of the NDICI (30% of the NDICI total envelope).

For the period 2014-2020, as the delivery of EU climate objectives requires significant investment, the EU agreed that at least 20 % of the EU budget in 2014-2020 should be climate-related. The EU's financial objective is currently being met for INTPA managed funds, but contributions needed to be maintained during 2020 to secure it, while results will be available in July 2021.

The climate change related aid under DCI in 2014-2020 was EUR 5,230 million EUR, while under EIDHR the contribution to climate action represented EUR 40 million over the same period. Under EFSD, the climate related contribution in 2014-2020 was EUR 136.7 million.

Under ENI, in the period 2014-2020, EUR 2,081.7 million (12.1 % of ENI operational commitments) were allocated to actions directly contributed to climate change action, mitigation and/or adaptation.

Under IcSP, EUR 67.21 million were allocated to actions directly contributed to climate change action, mitigation and/or adaptation during the period 2014-2020

Under PI during the period 2014-2020, EUR 239.62 million were allocated to actions directly addressing climate change.

#### **6.1.3. Key achievements**

The programme Making Cities Sustainable and Resilient, which was jointly implemented by UN-Habitat and United Nations Office for Disaster Risk Reduction (UNDRR), was concluded successfully developing a strong and well-structured methodology for urban resilience. UN-Habitat developed an integrated City Resilience Profiling Programme methodology, hereinafter called "CRGP methodology" which was developed in collaboration with the city of Barcelona. The CRGP methodology was continuously developed in parallel with its implementation in the four pilot cities: Maputo, Asuncion, Port Vila and Dakar. In each of the cities, data was collected and analysed, producing a diagnosis and delivering recommendations for action. With regards to the UNDRR component of the programme, a total of 1,826 cities and local governments joined the Making Cities Resilient (MCR) Campaign and endorsed the "10 Essentials". Capacities of local governments were strengthened in disaster resilience self-assessment and Disaster Risk Reduction (DRR) action planning in more cities than anticipated: 214 cities completed the self-assessment reports and 23 local governments developed climate and disaster risk reduction action plans and many initiated implementation.

The ACP-EU Natural Disaster Risk Reduction (ACP-EU NDRR) programme aims to strengthen governments' capacities to integrate disaster risk management into their development agendas. In 2020 it expanded its portfolio adding 17 new projects for a total of 147 projects benefiting over 70 countries since its inception in 2011. At the end of 2020 the programme had 31 active projects in Sub-Sahara Africa, 18 active projects in the Caribbean, and 10 active projects in the Pacific. Only in 2020, 36 new knowledge products were produced, 11 early warning systems were strengthened and eight financial protection mechanisms against disasters, including reserves, contingency funds or risk transfer were improved.

The World Bank (WB)/Global Facility for Disaster Reduction and Recovery (GFDRR) - EU Global Partnership on Disaster Risk Financing Analytics Project, was also finalized in 2020 after having completed most of the envisaged activities with the objective to improve the understanding and to increase capacity of governments to take informed decisions on Disaster Risk Financing (DRF) based on sound financial analysis. As an example, in the Philippines, a financial disaster risk assessment was completed which led to the formulation of policy options for DRF and to the preparation of customised country analytic tools. A customised analytics tool was developed and delivered to the government of the Philippines. This work directly supported the placement of a \$206 million catastrophe risk insurance program in July 2017, as well as a renewal of the program for a \$390 million coverage in December 2018. A second tool was developed to address needs for broader and more comprehensive risk financing strategies at both state and provincial levels, as well as at city level for the most exposed ones. The contribution of the DRF Analytics project proved critical in guiding the Philippine government's high-level decision on risk financing layers, instruments and coverage. It is also informing the preparation of a new national indemnity insurance program, providing protection to critical infrastructure assets

(final selection to be completed, but likely to include schools, hospitals, and roads), which will be placed on international insurance markets in 2021.

The Technical Assistance Project on Capacity Building for CO<sub>2</sub> mitigation from international aviation was implemented by the International Civil Aviation Organization (ICAO). It assisted 14 selected countries from Sub-Saharan Africa and the Caribbean to develop and implement their State Action Plan on emissions reduction and to establish aviation environmental systems for CO<sub>2</sub> emissions monitoring and reporting. The 14 selected States have developed Action Plans fully compliant with ICAO's guidelines including robust historical data and reliable base scenarios. Following the success of this project, the EU launched the second phase. The 2<sup>nd</sup> phase is implemented by the European Aviation Safety Agency (EASA) and ICAO.

Following a successful phase I, Local Climate Adaptive Living Facility (LoCAL), now active in 14 countries (Bangladesh, Benin, Bhutan, Cambodia, The Gambia, Ghana, Lao PDR, Lesotho, Mali, Mozambique, Nepal, Niger, Tanzania and Tuvalu), has received support for a new period of four years. LoCAL helps local governments to address climate change adaptation. LoCAL deployed country-based mechanisms to integrate climate change adaptation into local governments' planning and contributed to channelling climate finance to over 240 local governments representing 6 million people. The LoCAL facility was specifically designed to work with – and complement – the climate adaptation programmes of other governments and donor partners. The grants have enabled local governments to tackle the effects of climate change – such as changing rainfall patterns and downstream run off as a result of it.

The EU supported its partners' in implementing their Nationally Determined Contributions (NDCs) through existing programmes such as the Global Climate Change Alliance+ (GCCA+). Adaptation is the climate top priority for most developing countries, in particular for the Small Island Developing States (SIDS) and the Least Developed Countries (LDCs). In this regard, the Global Climate Change Alliance (GCCA+) EU flagship initiative has continued to focus on SIDS and LDCs as priority beneficiaries. It has also contributed to setting up monitoring and evaluation systems for climate change mitigation, supporting national deforestation and forest degradation programmes as well as creating carbon sinks through reforestation, afforestation and rehabilitation of vegetation, as well as building coastal resilience through natural adaptation solutions. The GCCA+ has funded over 80 national, regional and worldwide projects in Africa, Asia, the Caribbean and the Pacific. So far, the results of these projects include significant contributions to more than 80 national climate change strategies, more than 40 awareness campaigns in over 60 countries, and more than 30 United Nations Framework Convention on Climate Change related strategies and programmes.

The operationalisation of the intra-ACP<sup>35</sup> component of the GCCA+ was completed in 2020. All ten regional programmes were up and running by the end of the year. Activities include: building ACP organisations' operational and institutional capacity in international climate negotiations and in the implementation of the Paris Agreement (including its Nationally Determined Contributions); establishing and implementing regional and national climate change strategies; implementing pilot adaptation projects; improving the service quality of the institutions operating in capacity building, research and innovation in sectors related to mitigation and adaptation to climate change.

Under the European Neighbourhood Instrument (ENI), bilateral and regional projects have been targeting climate adaptation and mitigation. For example, EU for Climate Action in the Southern Neighbourhood, known as Clima MED (2018 – 2025) provides technical assistance to support the transition of Southern Neighbourhood countries towards sustainable, low-carbon and climate-resilient development. By 2020, the project has reached 9 million people in 8 countries through the development and implementation of Sustainable Energy and Climate Action Plan (SECAPs). 6 Communication campaigns have been held. 138 cities were trained and benefitted from help desk on Covenant of Mayors. 420 cities' staff trained on developing sustainable local actions. Another example is the EU4Climate project which supports the development and implementation of climate policies by the Eastern Partnership countries in line with the Paris Agreement, EU acquis and European best practice. The programme supported the finalisation of the updated National Determined Contribution (NDC) for Moldova, with the other countries in the region on track to deliver updated NDCs in 2021. In addition, gap analyses of the national legislation against the EU acquis were developed in all six countries, and Azerbaijan developed a roadmap for Low Emission Development Strategy 2050 development. Work on these components is ongoing in all partner countries, as is support on MRV systems, climate mainstreaming, climate investment, and adaptation.

#### 6.1.4. Performance

In December 2018 the EU joined the InsuResilience Global Partnership as a core member. Launched in 2017 as a joint G7, G20 and V20 (48) initiative, this aims to strengthen the resilience of developing countries to natural disasters and complement ongoing efforts to avert, minimise and address climate risks. Other regional actions on land restoration and sustainable use (e.g. the Great Green Wall initiative and REDD+ (49) actions) contribute to climate change adaptation and mitigation efforts worldwide.

The EU supports climate change action through both dedicated (thematic) actions and through mainstreaming of climate change into other sectors. On the DCI Annual Action Program (AAP) 2020, a new Decision was adopted for an EU NDC technical Facility (EUR 14 million) and a new Mainstreaming Facility (EUR 2 million) to support the new Programming phase to implement the

<sup>35</sup> African, Caribbean and Pacific States

external dimension of the Green Deal. They will focus on climate neutrality, and adaptation strategies via NDCs update and implementation, on sustainable greening of the cooperation whatever the financing modalities, and on the inclusion of DRR. These two technical facilities will start in 2021 for the period 2021-2026.

In 2020, the EU fulfilled its pledge to provide a EUR 10 million financial contribution to the Adaptation Fund – one of the international climate funds established under the United Nations Framework Convention on Climate Change (UNFCCC), thus contributing to the global efforts to address climate change in the most vulnerable countries of the world. The contribution will be channelled through the Innovation Small Grant Aggregator Platform programme.

In 2020 the EU adopted a new EUR 100 million Disaster Risk Reduction (DRR) programme to be funded under the EDF. The programme aims to contribute to reduce the impact of disasters, including those related to climate change and biological hazards, and increase resilience in ACP countries. The Intra-ACP Climate Services programme began implementation in Southern, Eastern and Western Africa, and at global level through contributions agreements with the EC's Joint Research Centre (JRC) and the World Meteorological Organisation (WMO) in 2020. Agreements to implement the programme in the Indian Ocean, the Caribbean, the Pacific, Central Africa and at Africa level were about to be signed at the end of 2020 or beginning of 2021.

In 2020 the GCCA+ joined forces together with DeSIRA (Development-smart Innovation through Research in Agriculture) initiative to support actions that jointly address climate change adaptation and mitigation, sustainable agriculture and food security issues. Under this new adopted 87,9 MEUR joint initiative 16 projects in the area of climate-relevant innovations in specific crops, agro-ecosystems and value chains will be supported (Brazil, Cameroon, Colombia, Costa Rica, Democratic Republic of Congo, Ethiopia, Madagascar, Mongolia, Nepal, Nigeria, regional Centroamerica or 5 Great Forest Mesoamerica, Uzbekistan, Uganda, Vietnam, Zambia, Zimbabwe). By December 2020, the GCCA+ programmes adopted in 2019 for Suriname, Rwanda, Timor-Leste, Cuba and Tchad started their implementation. In December 2020, the GCCA+ also launched a last adaptation-focused regional programme in Africa in cooperation with the Africa Union Commission.

Under ENI, the EU supports climate change action through both dedicated (thematic) actions and through mainstreaming of climate change into other sectors. The figures show that between 2014 and 2020 ENI climate related expenditure has been regularly increasing from 8% to more than 23%.

The Partnership Instrument also addressed climate change. For example, the action “Support to the Implementation of the Paris Agreement (SPIPA) with major economies” aims at supporting and encouraging partner countries to successfully execute their climate change mitigation and adaptation policies. The aim is to reduce their greenhouse gas emissions, adapting to the effects of climate change, and thus ultimately contributing to the long-term targets laid out in the Paris Agreement through their nationally determined contribution (NDC).

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
723,7	814,2	837,4	852,8	913,9	1 010,2	1 057,5	6 209,7

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

The amounts in the above table, representing the estimated NDICI contribution to biodiversity, are calculated by applying an increasing yearly percentage to the yearly NDICI total amounts, starting from 6% in 2021, 6,5% in 2022, 7% in 2023, 7,5% in 2024, 8,5% in 2025 to 10% in 2026 and 2027.

As the delivery of EU biodiversity objectives requires significant investment, the EU agreed that, out of the EU's 2021-2027 budget, at least 7.5 % in 2024 and 10 % in 2026 and 2027 should be biodiversity-related.

For the period 2014-2020, the DCI contribution to biodiversity objectives was EUR 1,370 million.

Under PI during the period 2014-2020, EUR 82.37 million were allocated to actions contributing to biodiversity.

Under ENI, in the period 2014-2020, EUR 453.0 million (2.6 % of ENI operational commitments) were allocated to actions contributing to biodiversity mainstreaming.

The impact of all development programs on biodiversity is mainstreamed by a formal procedure agreed with OECD (DAC Codes). Through the DCI, the B4Life Flagship project contributed to integrating the conservation of biodiversity and ecosystems in

development strategies and poverty eradication. The EU external budget also mobilised substantial funds for combatting forest and wildlife crime, including to build national capacities of police, justice and customs authorities (through Interpol and the UN Organisation for Drugs and Crime) and to combat poaching and trafficking on the ground through civil society organisations in Africa (Congo Basin, Liberia, Kenya), Latin America (Peru, Ecuador, Bolivia, Colombia, Brazil) and Southeast Asia (Mekong region).

With the 2021-2027 MFF, to meet the target, biodiversity will be mainstreamed through all relevant interventions using all the available toolbox, from capacity building measures, investments, to Budget Support. In addition, specific programmes will be developed targeting biodiversity loss. For example in 2021, the preparation of new programmes under the NaturAfrica initiative will start, comprising Team Europe initiatives at country and multi-country level. They will promote a holistic approach to nature conservation, boosting job opportunities in the green sector/tourism and tackling illegal exploitation of natural resources and biodiversity loss. Forests protection and preservation should receive particular attention.

The Green Deal, EU Biodiversity Strategy 2030 and the related ambitions for the post 2020 global biodiversity framework provide further orientations regarding biodiversity financing and resource mobilization. The Union will continue to support the protection of biodiversity by implementing the objectives of the EU Biodiversity Strategy to 2030. The Commission tracks how much is spent on these objectives to ensure that spending has the desired positive outcomes for biodiversity and our society. As a party to the Convention on Biological Diversity and to OECD, the EU reports on its domestic and international biodiversity-related financial flows. The Commission will assess and possibly revise its biodiversity tracking methodology to adapt it to new MFF and other relevant developments.

Under the European Neighbourhood Instrument (ENI), bilateral and regional projects have been targeting biodiversity. In the Southern neighbourhood, Regional programs contributed to the implementation of the Barcelona Convention by acting either on the reason of the biodiversity loss or on the preservation of endangered ecosystems. For example, the IMAP-MPA project (Towards achieving the Good Environmental Status of the Mediterranean sea and coast through an ecologically representative and efficiently managed and monitored Marine Protected Area) has strengthened and further developed the Marine Protected Areas (MPA) network. The WES project (Water and Environment Support) has provided technical assistance and trainings on depollution of the Mediterranean Sea, on plastics in particular.

In the Eastern neighbourhood, the EU4Environment project has supported six Eastern partner countries (EaP) - Armenia, Azerbaijan, Belarus, Georgia, the Republic of Moldova and Ukraine – to preserve their natural capital and increase people's environmental well-being by supporting environment-related action, demonstrating and unlocking opportunities for greener growth, and setting mechanisms to better manage environmental risks and impacts. In 2020 an online self-assessment tool for greening SMEs in the Republic of Moldova has been set up. The online tool helps SMEs to assess their environmental performance and opens up ways for receiving further support to improve their environmental performance either by in-person advisory or financial resources from various sources.

### 6.2.3. Key achievements

For the period 2014-2020, the Partnership for Action on Green Economy supported twenty partner countries to contribute to 79 green economic policies and practices through knowledge development, policy dialogue and technical cooperation. Over the same period, seven African countries were support through SWITCH Africa Green towards green business development with projects combining policy and regulatory guidance on partnerships with the private sector, in particular Small-and-Medium-Sized Enterprises.

With the overall objective of tackling illegal timber harvesting and trade, the Forest Law Enforcement, Governance and Trade (FLEGT) has helped improve forest policies and regulatory framework enabling better sustainable forest management and preservation of forest in some 20 partner countries. In these countries, the FLEGT process has facilitated the implementation of Reducing Emissions from Deforestation and Forest Degradation + (REDD+) strategy and contributed to the Nationally Determined Contributions (NDC).

The Commission is a proud and early supporter of the African-led Great Green Wall initiative, to which the EU budget contributed through a few dedicated programmes. The most ambitious EU contribution has been so far delivered through the Regreening Africa programme. Together with partner organisations, the EU has set an ambitious target of scaling-up of evergreen agriculture/agroforestry/farmer-managed natural regeneration techniques over at least 1 million hectares in eight African countries, while contributing to climate action, providing livelihood opportunities for more than 500,000 households and informing policy-makers. The project is midway into implementation and has already contributed to the restoration of more than 400,000 hectares in the eight participating countries.

Between 2016 and 2020, the ACEWATER II project addressed research, data-sharing, technology transfer and human capacity development challenges for junior and senior water professionals in thirteen countries in Central-East, West, and Southern Africa. Twenty centres were created benefiting 1,200 students at Master's and technical levels through tailored courses (e.g. water quality, water supply, IWRM, groundwater). Furthermore, the UNECE Water Convention supporting transboundary water cooperation has

strengthened water governance, transboundary, and regional cooperation since its entry into force in 1996. More than 90 bilateral and basin agreements and arrangements for transboundary water cooperation have been made. Since the Water Convention's global opening in 2016, Chad, Senegal and Ghana acceded the convention. Accession to the Water Convention by Chad and Senegal in 2018 increased inter-ministerial cooperation and has reduced conflict in the countries' basins through further transboundary cooperation. Twenty-three additional partner countries have been involved in the process since then.

#### 6.2.4. Performance

The EU Biodiversity Strategy (2020) further reaffirms the importance of biodiversity financing. The EU ambition on biodiversity is in line with international biodiversity policy. The global Strategic Plan for Biodiversity (2011-2020), the Aichi Biodiversity Targets and subsequent decisions adopted by the Conference of the Parties of the Convention on Biological Diversity call for Parties to CBD to report domestic and international biodiversity expenditures, funding needs, gaps and priorities, prepare national financial plans for biodiversity, and mobilize financial resources from all sources to reduce the gap between identified needs and available resources at domestic level.

The EU supports biodiversity through both dedicated actions and by mainstreaming sustainable natural resource management and biodiversity protection/conservation in other sector.

### 6.3. Contribution to clean air financing

Not applicable

### 6.4. Contribution to gender equality

#### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming					Total	
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.4.2. Key achievements and performance

##### Contribution

The challenges to gender equality are as varied as the contexts in which they emerge and call for context specific responses. There is, however, not a single country in the world that is close to achieving by 2030 gender equality and empowerment of all women and girls. Some progress has been achieved, but deep-rooted inequalities persist, including on basic access to health, education and jobs, but also with regards to widespread gender-based violence everywhere in the world. In many places, women's and girls' rights are called into question and often denied. Instability, fragility, conflict, climate change, environmental degradation, migration, forced displacement and lately the COVID-19 pandemic are among the critical factors exacerbating inequalities and threatening hard-won gains. Civil society organisations, including women's rights organisations, are facing shrinking civil, civic and democratic space.

The EU is a global front-runner in promoting gender equality as a key political objective of its external action and common foreign and security policy, aimed at accelerating progress towards global goals including the Sustainable Development Goals (SDG) at the core of the 2030 Agenda.

The EU pursues a three-pronged approach, combining gender mainstreaming, targeted actions and political dialogue. Article 8 of the NDICI stipulates that programmes and actions funded under this Regulation shall promote gender equality, women's and girls' rights and empowerment and non-discrimination on any grounds, through targeted and mainstreamed actions.

At least 85 % of new actions implemented under this Regulation, should have gender equality as a principal or a significant objective, as defined by the gender equality policy marker of the OECD DAC. At least 5% of these actions should have gender equality and women's and girls' rights and empowerment as a principal objective. On 25 November 2020, the Gender Action Plan III (2021-2025) was adopted containing the same objectives.

Three objectives of the GAP III are included in this programme statement: 1) the number of projects funded with the OECD DAC marker G1 and G2 (targets: 85% and 5% respectively), 2) the total amount of funding of projects with OECD markers G1 and G2 (target: increasing), 3) the amount of funding directed towards women's rights organisations and movements (target: increasing)<sup>36</sup> (OECD DAC code 15170).

#### Number of G1 and G2 actions

<sup>36</sup> OECD DAC code 15170

Actual	DB	Estimates					Total
2021	2022	2023	2024	2025	2026	2027	N of actions  85% G1+G2
N of actions	N of actions	N of actions	N of actions	N of actions	N of actions	N of actions	
64,71% <sup>37</sup>	68%						

**Number of G2 actions**

Actual	DB	Estimates					Total
2021	2022	2023	2024	2025	2026	2027	N of actions  5% G2
N of actions	N of actions	N of actions	N of actions	N of actions	N of actions	N of actions	
4,21% <sup>38</sup>							

**Amount of funding G1 and G2 actions**

Actual	DB	Estimates					Total
2021	2022	2023	2024	2025	2026	2027	Increasing
8,7 billion <sup>39</sup>	Increase						

**Funding directed towards women's rights organisations and movements (15170)**

Increased Amount of funding directed towards women's rights organisations and movements:

Actual	DB	Estimates					Total
2021	2022	2023	2024	2025	2026	2027	Increasing
12mio EUR <sup>40</sup>	Increase						

**6.4.2. Key achievements and performance**

The Gender Action Plan II (2016-2020) had its last year of implementation in 2020.

Progress continued towards the GAP II's target of ensuring that, by 2020, 85% of new programmes promote gender equality as a significant or principal objective (marked respectively as 'G1' or 'G2')<sup>3</sup>. In 2019, 64.71% of the Commission's new programmes were marked 'G1' or 'G2.' It is estimated that a budget of EUR 8.7 billion worth of development funding supported gender equality and women's empowerment in 2019 (or 56.95% of total funding). Funding that specifically targets gender equality and women's empowerment (i.e. 'G2') amounted to EUR 643 million (4.21% of the total). The amount of funds committed that specifically target gender equality has increased every year since 2016, as has the proportion of these funds within overall development funding.

Notwithstanding progress, these figures show the need to renew efforts in the context of the new EU Gender Action Plan III (2021-2025).

The GAP II contributed to progress towards achieving the Sustainable Development Goals. Indeed, progress towards the realisation of gender equality and the empowerment of all women and girls (SDG 5) contributes to the achievement of all SDGs.

Close to 3,500 dialogue events with partner countries were reported in 2019 on topics related to gender equality. Most of these were sectoral dialogues. Women's human rights and democracy, sexual and reproductive health and rights, decent work and employment, and education were the issues most frequently discussed during such sectoral dialogues. Overall, collaboration between EU institutions and Member States' authorities increased in 2019. New donor coordination mechanisms on gender equality issues were established, 58 of which are led by EU Delegations

Due attention is paid to combating gender-based violence and promoting the participation of women in peace-building. In this regard, key priority is given to ensuring that all actions contribute to delivering on EU commitments on Women, Peace and Security (WPS) based on the Comprehensive EU Approach to the Implementation of UNSCR 1325 and 1820 on WPS (2008) and

<sup>37</sup> Situation end of 2019

<sup>38</sup> Situation end of 2019

<sup>39</sup> Situation end of 2019

<sup>40</sup> 2020 baseline is EUR 11.669.400 paid to NGOs with DAC sector code 15170.

the EU Strategic Approach to Women, Peace and Security (15086/18) adopted by the Council in December 2018. The Instrument contributing to Stability and Peace (IcSP), as one of the prime EU external instruments when it comes to rapid crisis response and conflict prevention, has been increasingly mobilized to promote Women, Peace and Security. In 2019, around 70% of new IcSP interventions have gender equality and the participation of women in peace processes either as their main objective or as a significant component. This represents an engagement of close to € 100 million.

#### Some concrete examples:

Programmes that focus on **preventing and responding to violence against women and girls** continued to be one of the principal objectives. The Spotlight Initiative, the biggest ever global effort to eliminate violence against women and girls created in September 2017, was up and running in 26 countries and 6 regions by the end of 2020 and the full amount of EUR 497 million committed. In the light of upsurge in domestic violence against women and children triggered by the COVID-19 crisis, the Commission has through the EU-UN Spotlight Initiative redirected over EUR 20 million to boost prevention, increase support for victims, as well as support for women's grassroots organisations providing essential services.

In the Neighbourhood Southern region, collaboration with the League of Arab States (El-Hiwar Programme) and the Union for the Mediterranean targeted the implementation of UNSCR 1325 in the Southern Neighbourhood, alongside the potential development of a regional WPS action plan. The EU-CoE joint programme has supported gender responsive capacity building of legal professionals, state bodies and civil society on the Istanbul Convention. The EU supported a project on 'Strengthening access to protection, participation and services for women refugees, internally displaced people and women in the host communities', in the framework of the EU Regional Trust Fund in Response to the Syrian Crisis, the 'Madad Fund'.

Regarding programmes focusing on **women's economic empowerment**, support has been given to the empowerment of young women and men by investing in inclusive education, gender sensitive vocational education and training (VET) programmes with a pilot project in Libya. In the Eastern Neighbourhood region the programme EU4Gender Equality – Together against gender stereotypes and gender-based violence aims to strengthen equal rights and opportunities for women and men by shifting social perceptions, challenging gender stereotypes and championing men's participation in care work. In Azerbaijan, work was done to tackle trafficking and strengthen the national referral mechanism.

Gender aspects continued to be strategically mainstreamed throughout all EU actions in PNG and is a focal element of the largest project (EUR 85 million) we have in country on the Support to Rural Entrepreneurship Investment and Trade (STREIT); women and youth receive dedicated attention to empower them and ensure that they can become active "agripreneurs".

In addition, the actions "Win-Win: Gender Equality Means Good Business in Latin America", "We Empower in G7", and "We Empower Asia" (under the Partnership Instrument) engage private sector companies, women business networks, women entrepreneurs to foster women's economic empowerment and exchange good practices with a view to reduce inequalities and strengthen economic and societal resilience. The projects focuses amongst others on specific government practices such as gender-sensitive public procurement or capacity building for women entrepreneurship. These actions enabled the EU to engage with Asian and Latin American networks of women entrepreneurs, public institutions, and the private sector to ensure the full implementation of the WEPs (example of Chili in the energy sector to promote gender equality in companies). The programme also allowed to keep gender equality on multilateral agenda sustain the efforts of 15 G7-headquartered companies to promote women's economic empowerment through the creation of the booklet on Women's Economic Empowerment through Responsible Business Conduct in G7 countries.

On **Women, Peace and Security**, following interventions can be singled out: (1) Support to women mediators which aims at strengthening the quality inclusion of women in peace and transition processes at all levels. The Action foresees mentorship for women leaders and mediators, networking, capacity-building as well as the provision of resources to allow the effective participation of women in peace process in the middle east and North African region. (2) Preventing Violent Extremism: Integrating a Gender Perspective, a partnership with UN Women with the aim to prevent violent extremism in Jordan, Pakistan and globally by strengthening capacities at the local level and building resilience, with a focus on the gender aspects of the threat and response.

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

Not applicable

### **6.5.2. Key achievements and performance**

#### **Introduction**

The UN Sustainable Development Goals (SDGs) are a central priority for the EU. Commission President von der Leyen reaffirmed the EU's commitment to sustainability by placing the SDGs squarely at the heart of EU policy-making and action. All of the

SDGs feature in one or more of the six headline ambitions in President von der Leyen's Political Guidelines. Among these, the European Green Deal is an ambitious new strategy for growth and will be an integral part of this Commission's strategy to implement the 2030 Agenda and SDGs, both at home and abroad.

In line with the new European Consensus for Development, the EU has continued to support the implementation of the 2030 Agenda, the Addis Ababa Action Agenda on financing for development and the Paris Agreement on Climate Change, both globally and with partner countries. Official development assistance (ODA), which still plays a significant role in many developing countries, will be used more catalytically to generate additional financing for sustainable development. The EU and its Member States are firmly committed to implementing the SDGs and to eradicating poverty.

While all Commissioners must ensure the delivery of the SDGs within their policy area pursuant to their mission letters, in the case of international partnerships there is an additional specific requirement to ensure that external finance contributes to the 2030 Agenda. SDGs play an important role in the NDICI, as well as in the EU's new partnerships with Africa, the Caribbean and the Pacific (the ACP countries). EU development cooperation pursues the eradication of poverty and fosters sustainable development in partner country, so by design it leads to international partnerships that contribute basically across all the SDGs. Furthermore, the Multilateralism Communication (adopted February 2021) presents a new strategy for a renewed rules-based multilateralism that also aims to have a more focused EU engagement in favour of 2030 Agenda and its SDGs.

The reporting systems for development cooperation require to report on the various relevant SDGs of each project. In this respect, as stated in the Consensus and more recently in the NDICI, development cooperation actions should pay particular attention to interlinkages between the SDGs and to integrated actions that can create co-benefits and meet multiple objectives in a coherent way. This is consistent with the objective stated in the Staff Working Document "Delivering on the UN's Sustainable Development Goals – A comprehensive approach"<sup>41</sup>, of capturing the transversal nature of the SDGs and the simultaneous contribution of most projects and programmes to different SDGs, in the light of interlinkages and co-benefits. This has to be taken into account in the following summary which is presented along individual SDGs for practical purposes, even though most projects and programmes have actually contributed to several SDGs at once.

For the Neighbourhood South region, the 2022 programmes are guided by the post-2020 policy framework outlined in the Joint Communication on "A new Agenda for the Mediterranean" of February 2021, aimed at relaunching cooperation in a context of protracted conflicts, generating human suffering and forced displacement, and weighting heavily on the economic and social prospects of the region. The key challenges identified under the previous MFF remain broadly relevant, and have been exacerbated by the COVID-19 crisis, which has severely disrupted socio-economic activity and aggravated structural grievances across the Southern Neighbourhood. Therefore, the proposed objectives build on the achievements of previous cooperation, and on the need to mitigate the long-term impact of the pandemic. The programme proposes a range of actions contributing to the following SDGs: affordable and clean energy (SDG 7); decent work and economic growth (SDG 8); industry, innovation and infrastructure (SDG 9); reduced inequalities (SDG 10); climate action (SDG 13); peace, justice and strong institutions (SDG 16); partnerships for the goals (SDG 17).

For the Neighbourhood East region, the 2022 programmes are guided by the post-2020 policy framework outlined in the Joint Communication on the "Eastern Partnership policy beyond 2020" of March 2020. The concrete priorities are a built on the EaP commitment "20 deliverables for 2020", and are based primarily on the Association Agendas and Partnership Priorities, while also taking into account the current post COVID-19 context. The programme has a strong focus on economic recovery, building sustainable, modern and attractive economies, and promoting long-term jobs and sustainable growth, connectivity, greening, digitalisation and health resilience. Targeted support contributes primarily to the achievement of the following SDGs: affordable and clean energy (SDG 7); decent work and economic growth (SDG 8); digital transformation (SDG 9); reduced inequalities (SDG 10); climate action (SDG 13); peace, justice and strong institutions (SDG 16).

### **SDG 1 No poverty**

The 2030 Agenda for Sustainable Development, with the 17 SDGs at its core, is the principal international blueprint for poverty eradication and sustainable development. Eradicating poverty in all its dimensions, tackling discrimination and inequalities and leaving no one behind are at the heart of the European Consensus on Development. Poverty is multidimensional and relates to economic, social, environmental, cultural and political aspects. Tackling the various dimensions of poverty requires actions on all fronts (including education, health, social protection, gender equality and strengthening resilience). The EU and Member States' actions under all SDGs contribute in some way to the core goal of eradicating poverty. Poverty eradication is the result of many interacting activities. This also means actions mentioned under most other SDGs (for instance in relation to access to social services and the promotion of growth) are designed to contribute across the board to this primary objective.

---

<sup>41</sup> SWD(2020) 400 of 18.11.2020.

Launched in January 2015 and co-financed by the European Commission, the OECD and the governments of Finland and Germany, the “EU Social Protection Systems Programme” is a four-year programme supporting 10 low- and middle-income partner country governments and national expert institutions in their efforts to develop comprehensive social protection systems comprising social assistance, social insurance, active labour market measures and access to essential social services and care. Partner countries include Cambodia, Ethiopia, Indonesia, Kyrgyz Republic, Mozambique, Namibia, Tanzania, Togo, Vietnam and Zambia. One of the aims of the programme is generating evidence-based knowledge, for future EU cooperation and for use by other development partners, on the effectiveness of social protection in reducing poverty (SDG 1) and vulnerability, addressing inequality (SDG 10) and promoting social cohesion.

To reduce poverty, the EU supports development of policies that seek to maximise positive social outcomes and impacts. In this context, EU actions supports national initiatives in partner countries for domestic resource mobilisation, which is key to ensuring long-term inclusive growth, sustainable development and the provision of social services.

The EU works to enhance social cohesion, to reduce inequality of outcomes and to promote equal opportunities for all, and has stepped up its efforts to mainstream the combat against inequality in its external action. EU actions in support of social protection systems, including minimum subsistence levels, are important to ensure that no one is left behind, as stated under SDG 1.3. Universal, sustainable and equitable social protection systems are fundamental to prevent and reduce poverty across the life cycle, including cash transfers for children, for mothers with new-borns, for persons with disabilities, for those who are poor or without jobs, and for older persons. In line with the NDICI and the European Consensus on Development, the EU has confirmed its commitment to allocating at least 20% of its official development assistance to social inclusion and human development.

In social protection, the EU supports bilateral social protection programmes financed through geographic funding allocations in 29 partner countries. Half of this EUR 1 billion investment is implemented through Budget Support (direct transfers of funds to partner country authorities); the other half follows a programme approach.

### **SDG 2 Zero hunger**

World hunger and food insecurity have again been on the rise in the past few years. According to the 2019 Global report on food crises, more than 113 million people across 53 countries experienced acute hunger requiring urgent food, nutrition and livelihoods assistance in 2018. SDG 2 is therefore one of the goals where trends deteriorated in recent years, which will be aggravated by the Covid-19 crisis.

The EU and its Member States remain strongly committed to achieving SDG 2 and therefore continued working with partners to collectively step up support to address hunger in all its forms, including by promoting sustainable and resilient agriculture. Agriculture and rural development can be powerful drivers of growth, job creation and poverty reduction and thereby contribute to other SDGs.

Support to sustainable agricultural growth includes initiatives focused on scaling up research and innovation in partner countries. The DeSIRA (development smart innovation through research in agriculture) initiative, launched at the One Planet Summit in December 2017, has brought fresh energy and momentum to the EU, its Member States and other partners, with stakeholders rallying around the benefits of enhancing climate-relevant research and innovation in agriculture. The EU has increased his efforts and helped energise support and action, by providing a platform and mobilising around EUR 95 million to build capacities for innovation at country, regional and global levels leading to rural and agriculture transformation.

EU actions also target problems of undernutrition, particularly in children aged under five, and their negative consequences on their cognitive, social and economic development. For instance, the Afikepo Nutrition programme in Malawi aims to enhance nutrition security in Malawi through increased and diversified dietary intake, nutrition education, good governance for optimal nutrition for women of childbearing age, adolescent girls, infants and young children.

### **SDG 3 Good health and well-being**

The central role of health has been put under the spotlight with the COVID-19 crisis, given the multiple impacts across economic and social aspects. At the same time, to ensure continued progress towards SDG 3, effective health policy and programmes require complementary work and progress in SDGs relevant to other sectors, such as SDG 2 (nutrition), SDG 4 (education), SDG 5 (gender equality and women’s empowerment) and SDG 10 (reducing inequalities). Good health is a global public good and an essential component of the human development of each country, and hence a co-determinant for its economic and social development.

EU assistance for health issues amounts to EUR 2.6 billion in the period 2014–2020. 50% is allocated to global initiatives, while the other 50% is implemented through bilateral and joint EU actions in 17 countries aimed at strengthening country health systems and supporting countries to reach their SDG 3 targets, including universal health coverage. The EU plays a significant role in shaping the international policy agenda through its contributions to global initiatives such as the Global Fund to Fight AIDS,

Tuberculosis and Malaria (GFATM); GAVI, the Vaccine Alliance; the Universal Health Coverage Partnership of the World Health Organisation (WHO); and the United Nations Population Fund (UNFPA). During 2019, the Commission pledged EUR 550 million to the Global Fund for the period 2020–2022.

The EU uses its Partnership Instrument (PI) to build alliances and partnerships across the world to build resilience against global health threats. EU initiatives to build resilience against global health threats have contributed to protecting millions of people in Latin America and will lead to significant cumulative savings for the economy. In particular, these actions strengthen the joint work of the World Health Organisation, the UN Food and Agriculture Organization, and the World Organisation for Animal Health to fight antimicrobial resistance, strengthen national action plans and promote a prudent use of antimicrobials in the food industry and the private sector in Latin America.

In 2020, three new PI actions in Latin America and in Asia, for a total of EUR 14 million, were programmed targeting the response to the COVID-19 crisis as main objective. These actions seek to explore avenues for enhanced cooperation with multilateral and bilateral partners in response to this common challenge. Eight new PI actions, for a total of EUR 36 million, address COVID as a significant objective. Furthermore, 59 existing actions, for a total of EUR 239 million have been re-oriented to take into account the COVID-19 crisis. These re-oriented actions address the adaptation to and mitigation of the pandemic and support the sharing of best practices, including on the socio-economic impact of the crisis.

The Supporting public health institutes programme (SPHIP) (2015–2020) strengthens institutes of public health in eight low-income countries so that they are better able to assist national authorities with evidence-based policy-making in key public health areas. In the SPHIP projects, knowledge translation influences public health policy development by guiding relevant health sector stakeholders on the use and communication of research data.

In addition, under IcSP Article 5, **Chemical, Biological, Radiological and Nuclear** (CBRN) actions are key in relation to SDG 3 “Ensure healthy lives and promote well-being for all at all ages”. Through the development of CBRN-related National Action Plans (NAPs), based on Needs Assessment Questionnaires (NAQs) and assessments of capabilities and risk, the CoE initiative continues to work towards the achievement of two key indicators for SDG 3: developing national capacities to assist in reducing the risks of illness and death from hazardous chemicals and air, water and soil pollution and contamination; and strengthening national capacities for early warning, risk reduction, and the management of national and global health risks.

#### **SDG 4 Quality education**

Access to quality education is an essential means of achieving sustainable growth and jobs: it helps citizens and professionals to grasp the opportunities created by digital technologies, strengthens societies’ resilience to emergencies and crises, and contributes to sustaining peace and preventing violent extremism. It has also a powerful role to play on climate change, environment and gender equality through skills building, awareness raising and strengthening resilience. The EU continued its proactive engagement towards achieving SDG 4, supporting around 100 countries and offering support to global education partnerships such as the Global Partnership for Education (GPE) and Education Cannot Wait (ECW).

The EU, together with its Member States, is the biggest contributor to GPE, which supports basic education, focusing on the poorest countries and/or those in fragile situations. For 2018–2020 an additional EUR 100 million was pledged, on top of the EUR 375 million for 2014–2018.

Through the Erasmus+ programme, the EU continued to help partner countries facilitate mobility of individuals, and reinforce intercultural dialogue and understanding. Between 2015 and 2019, under Erasmus+ mobility in higher education, more than 130 000 students and university staff moved between partner countries and Europe and vice versa.

The EU also contributes to the Building Resilience in Crises through Education (BRiCE) and Education Cannot Wait (ECW) initiatives. BRiCE supports access to quality education at preschool, primary and lower secondary levels for children in fragile and crisis-affected environments in several African countries, with EUR 24 million contributed for 2018–2021. ECW has enabled the provision of: (i) education to 1.5 million children and youth, half of whom are girls, in 19 crisis-affected countries; and (ii) training to more than 21 000 teachers. In addition, a specific mental health and psychosocial support for children in conflict has been incorporated into ECW-supported actions. The EU financial contribution for the period 2018-2021 amounts to EUR 21 million.

#### **SDG 5 Gender equality**

Gender equality and empowerment of women and girls are EU core values and principles embedded in its development and international partnerships policy.

Through the implementation of the GAP II, with its target of at least 85% of all new programmes promoting gender equality by 2020, the EU has substantially contributed to gender equality and women's empowerment in the 2030 Agenda.

The continuing implementation of the Spotlight Initiative, a transformative EU–UN partnership aiming to eliminate all forms of violence against women and girls worldwide, greatly contributed to this target. The partnership was launched in September 2017 with an initial investment of EUR 500 million and by 2019 EUR 460 million was committed to specific projects.

The Partnership Instrument continued to implement the EUR 22.5 million 'WeEmpower' programme to increase the public and private sectors' commitment to gender equality and to women's empowerment in the world of work at all levels. The joint work of the EU with UN Women and the International Labour Organization contributes to create sustainable, inclusive, and equitable global growth through increased women's economic empowerment and leadership. These actions enabled the EU to engage with Asian and Latin American networks of women entrepreneurs, public institutions, and the private sector to ensure the full implementation of the Women's Empowerment Principles. Under this initiative, in Chile the National Ministry of Energy launched the "Programa Energía + Mujer" and Plan of Action to promote gender equality in companies in the energy sector. The programme allowed to sustain the efforts of 15 companies to promote women's economic empowerment through the creation of the booklet on Women's Economic Empowerment through Responsible Business Conduct in G7 countries.

### **SDG 6 Clean water and sanitation**

The EU continues to support access to water and sanitation, sustainable and integrated water management and capacity building. The European Green Deal provides further impetus to maximise the impact of actions linked to water in EU external actions.

Despite recent progress, data suggests that achieving universal access to basic drinking water and sanitation services by 2030 will require doubling the current annual rate of progress.

Water is a resource under increased strain and the number of. In the case of Jordan, one of the most water-scarce countries globally, the deterioration of water services has fuelled tensions between host communities and Syrian refugees. The project "Improved access to (waste-) water services in Jordan for host communities and Syrian refugees" (2016-2020), implemented by Agence Française de Développement (AFD) with support worth EUR 21.5 million from the EU Regional Trust Fund in response to the Syrian crisis addresses this problem in Jordan's Irbid Governorate.

Transboundary water cooperation is increasingly vital to prevent conflicts and ensure effective and sustainable use and management of shared resources. However, cooperation in many water basins is inadequate to tackle the existing problems and challenges, including weak legal and/or institutional frameworks, insufficient implementation of joint policies and low capacity. The EU supports a range of actions on this matters and funds the action "Promoting accession to the Water Convention to strengthen transboundary water cooperation" to promote universalisation of the Water Convention.

Under the IcSP Article 5, CBRN actions contribute to the attainment of SDG 6 "Ensure availability and sustainable management of water and sanitation for all". Through the CoE initiative, partners are assisted in developing measures to ensure the elimination dumping and the minimal release of hazardous chemicals and materials, in order to improve water quality.

### **SDG 7 Affordable and clean energy**

Sustainable energy is key to achieving the 2030 Agenda and Paris Agreement targets and has a pivotal role in the European Consensus on Development and in the external dimension of the European Green Deal. The EU continues to support access to sustainable energy across the world as well as actions towards energy efficiency and decarbonisation of energy.

The EU's innovative financial tools to boost private sector investment in development cooperation are expanding. Eight guarantee instruments under the European Fund for Sustainable Development have been endorsed (totalling EUR 603.5 million), of which six focus on Africa. The Electrification Financing Initiative (ElectriFI) has grown rapidly and has a portfolio of 28 projects, expecting to give electricity to 10.6 million people and save 835 000 tonnes of CO2 emissions (equivalent to 180 000 cars driven for one year

The EU Partnership Instrument also contributes to achieving SDG 7 by promoting policy cooperation with countries of strategic interest to the EU, in particular the G20 countries. The EU Partnership Instrument continued its work on themes such promoting the development of renewable energy technologies and ensuring market access for EU companies, support to energy efficiency measures including business to business events to promote energy efficiency in industry and buildings, support to the global just energy transition and the development of flexible and fair liquefied natural gas (LNG) markets to contribute to the EU's energy security). Most of the 940 million people that lack access to electricity live in remote rural areas. Solar home systems (SHS) that are stand-alone photovoltaic systems offer a cost-effective way of supplying power to remote off-grid households. EU-funded

ElectriFI has invested EUR 4.5 million in PEG Africa, a SHS distributor in remote off-grid areas in Ghana, Côte d'Ivoire and Senegal.

In the Southern Neighbourhood, in line with the external dimension of the “Green Deal” and the priorities of energy efficiency in the framework of the Union for the Mediterranean (UfM), the programme contributes to energy security, transition towards clean energy, promotion of energy efficiency in key sectors, and massive deployment of renewables in order to “green” the production mix and diversify energy sources.

In the Eastern Neighbourhood, the programme contributes to develop energy resilience, focusing in parallel to energy and climate policies. NDICI aims at reducing energy dependency through green finance, diversifying energy sources and routes, and securing supply by promoting energy efficiency and renewable energy. Investments in infrastructure for energy and transport interconnectivity between EaP countries and the EU also address infrastructure vulnerability to the impact of climate change, environmental challenges and hybrid threats.

### **SDG 8 Decent work and economic growth**

The EU supports SDG 8 by implementing ongoing actions and adopting several new actions funded by various financing instruments. The ‘Sustainable investment climate and value chains programme II’ (EUR 13.5 million) supports a number of global and European partnerships, platforms and programmes promoting key aspects of investment climate, trade and private sector development in the context of the 2030 Agenda, its SDGs and the EU’s EIP third pillar.

A EUR 5.5 million PI action started implementation in 2020 through an EU-UN partnership to promote the agenda on business and human rights and ensure that it is taken up further by Asian governments and business. To this end, the EU and United Nations Development Programme (UNDP) will jointly promote the implementation of the UN Guiding Principles on Business and Human Rights in Asia through national action plans, policy discussions and awareness raising programmes on Human Rights Due Diligence in six Asian countries. Partnerships and alliances across the world have continued to ensure the respect for workers’ rights and the environment. Ongoing Partnership Instrument projects include ‘Responsible Supply Chains in Asia,’ a EUR 9.5 million joint initiative (EU-ILO-OECD) to improve compliance with human rights, labour and environmental standards by businesses with supply chains in Asia, aligning their practices to international standards in six Asian countries. Another EUR 9.5 million project in Latin America and the Caribbean supports responsible business conduct in line with the UN, ILO and OECD instruments in nine countries. These actions encourage the uptake of the OECD’s Guidelines for Multinational Enterprises, the International Labour Organization (ILO) Tripartite Declaration, and the UN’s Guiding Principles on Business and Human Rights in Latin American and Asian supply chains. These actions contribute to strengthening the longstanding EU-UN partnership, thereby promoting multilateralism and to levelling the playing field for businesses that integrate human rights considerations into their operations and supply chains.

In 2019, a large-scale sector reform contract for employment and skills in Albania (EUR 29 million) was completed that initiated institutional and structural changes in the financing and governance of the labour market and VET systems, developed and implemented the Albanian Qualification Framework, modernised the legislative framework for initial VET and adult training, and supported turning EU occupational health and safety directives into national law. Albania established a National Agency for Employment and Skills and three multifunctional training centres. The National Employment Service was modernised and 36 labour offices were reorganised improving compliance with international labour standards and providing a broader range of employment promotion services.

In the Southern Neighbourhood, EU support aims at enhancing cooperation on youth, education, research and innovation; sharing EU experience in accompanying innovation efforts and supporting the development of Smart Specialisation Strategies; promoting cooperation on digital education; and developing skills strategies and labour market policies, as well as skills and capacity development.

In the Eastern Neighbourhood, the programme aims at achieving two key long-term EaP policy objectives beyond 2020: resilient, sustainable and integrated economies; and resilient, fair and inclusive societies. This entails increased trade and further regional and bilateral integration of the economies of EU and partner countries, together with cooperation for progressive decarbonisation towards climate neutrality, embracing the opportunities from the twin ecological and digital transformation. The programme supports structural reforms, access to finance, SME growth, investing in people - particularly the youth - and better connecting education, research and innovation with private sector needs.

### **SDG 9 Industry, innovation and infrastructure**

Connectivity plays a fundamental role in achieving the SDG targets. Digitalisation, a key part of connectivity, is essential in addressing inequalities and achieving sustainable development and is mentioned in several SDGs. However, digital transformation has the potential for positive impacts across the entire 2030 Agenda. To boost the implementation of the transport-related parts of

SDG 9, the EU continues to support strategic multimodal corridor development that builds on economic, social and environmental sustainability.

Digital transformation is at the heart of the Commission's agenda. The Commission has identified the digital sector as a target area for support under the External Investment Plan, focusing on innovation that addresses local social needs, financial inclusion and job creation. Three guarantees have been approved under the digital window (EUR 220 million), aiming to (i) increase the use of digital technologies, (ii) widen rural access to broadband and (iii) boost investment in innovative start-ups using digital solutions.

Mainstreaming the digital revolution throughout the energy industry will contribute to a more efficient energy sector and therefore to socioeconomic development and climate change mitigation. The overall objective of the Digital Energy Facility is to support energy sector modernisation and digitalisation, innovative business models and the long-term sustainability of energy systems. This can establish the necessary preconditions for increased access to energy and renewable energy development worldwide, with a specific focus on Africa. The Facility will be deployed under two contracts with EU contributions totalling EUR 23.5 million.

The Partnership Instrument is well aligned with the aims of this SDG and has been contributing to it both in the EU and in a number of partner countries in a variety of different ways through all its objectives. While innovation is mainstreamed through a number of Partnership Instrument actions across sectors and across the globe, an interesting example of promoting sustainable industrialisation is the low carbon business actions in Brazil and Mexico.

In the Southern Neighbourhood, NDICI interventions still aim at improving the investment environment, and promoting coordination with International Financial Institutions - namely European FIs - which have signalled important additional outreach in the South. The programmes co-finance investments funded in the context of the EFSD+; supports initiatives to assist partners in attracting and retaining opportunities in selected sectors; steps-up support to the green, blue and social economies through innovative financial vehicles, including impact finance; supports the implementation of SME policies; and assists the development of sustainable transport and tourism.

In the Eastern Neighbourhood, in line with the EaP policy objective beyond 2020 of a resilient digital transformation, the programme contributes to the achievement of strong interconnections between the EU and partner countries, and among partner countries themselves. This is an important driver for economic development, and encompasses regional integration, secure connectivity, trade and mobility. On transport, the programme supports the investments outlined in the Trans-European Transport Network (TEN-T) indicative investment action plan. This includes upgrading key physical infrastructure in road, rail, port, inland waterway and airport facilities, as well as logistics centres, primarily through blending and guarantees under the Neighbourhood Investment Platform.

## **SDG 10 Reduced inequalities**

SDG 10 calls for reducing inequalities within and between countries. The objective of addressing inequalities is also at the heart of EU development cooperation, as emphasised in the European Consensus on Development, and will help build more sustainable societies. In the past few years, the EU has increased efforts in ensuring that migration leads to inclusive growth and sustainable development, as set out in the Consensus document.

EU funding instruments have established a more structured way to cooperate with partner countries on migration, through the EU Emergency Trust Fund for Africa (EUTF), the EU Facility for Refugees in Turkey and the EU Trust Fund in Response to the Syrian Crisis. The EUTF further consolidated its achievements in partnership with EU Member States development cooperation agencies, UN organisations, NGOs and partner countries with the approval of an additional 36 programmes and 16 'top-ups' across its three regions for a total of EUR 851 million. This brings the total number of approved programmes to 223 with a total budget of EUR 4.4 billion since 2015.

"Bridging the gap" is a joint initiative of the EU and several Member States to increase the inclusion of people with disabilities. It delivers support to the Office of the United Nations High Commissioner for Human Rights to develop tools such as indicators, guidelines and data, to promote the rights, participation and inclusion of people with disabilities in implementing the 2030 Agenda. It also supports the governments and relevant organisations in five countries (Burkina Faso, Ecuador, Ethiopia, Paraguay and Sudan) to implement and monitor disability-inclusive policies in areas such as education, health, employment and social protection. 892 people in Sudan (60% women) have increased their access to the job market and are now employed, self-employed or in technical and vocational education and training. Over 1 500 people with disabilities in different districts in Ethiopia have access to basic services and 115 have been granted small loans to sustain their incomes.

In the Southern Neighbourhood, the programme enhances cooperation on migration on the basis of a comprehensive, balanced and mutually beneficial approach. NDICI interventions address the challenges of forced displacement and irregular migration; support partners' capacity to effectively manage their asylum systems and their capabilities to perform return operations; and support assisted voluntary return and reintegration.

In the Eastern Neighbourhood, the programme also addresses migration as a comprehensive and joint priority, continuing to support mobility in a secure and well-managed environment, and to ensure support to vulnerable migrants and refugees. Labour migration initiatives aim at establishing partnerships to foster legal migration and mobility, and enhancing cooperation and cross fertilisation of skills and competencies.

### **SDG 11 Sustainable cities and communities**

Urbanisation and the role of cities in the economy are increasingly shaping development challenges and opportunities in developing countries, so much so that local authorities are increasingly recognised as key actors in achieving most of the SDGs. With cities globally contributing 80% of GDP, 70% of global energy consumption and 70% of global carbon emissions and nearly one billion people living in slums, achieving the SDG 11 targets represents a major challenge.

The EU has put several instruments in place to support cities and sustainable urban development. In the context of the European External Investment plan, three guarantee programmes have been endorsed under the ‘Sustainable cities’ window. Through continued support to the PI-funded International Urban Cooperation (IUC) programme (EUR 30.2 million from 2015-2020), the EU brings together cities across the world, such as Aarhus (Denmark), Bologna (Italy), Udaipur (India) or Austin (USA), to craft urban development strategies that work for people and the planet. In 2020, the Partnership Instrument contracted the extension of the programme via two actions: (i) IURC (International Urban and Regional Cooperation) for EUR 12 million (over three years) and (ii) GCoM (Global Covenant of Mayors) for EUR 13 million (over four years) with joint funding from the Commission departments.

One billion people all over the world face the challenges of being excluded from modern society. Numbers of slum dwellers continue to grow and challenges faced by informal settlements remains a critical factor for persisting poverty and exclusion in the world. The Participatory Slum Upgrading programme (PSUP) is a joint effort of the ACP countries, the Commission and UN-Habitat to address the informal settlements challenge. So far, the programme has reached out to 40 ACP countries and 160 cities.

Following a call for proposals ‘Local authorities: partnerships for sustainable cities,’ 16 partnerships between local authorities from EU Member States and partner countries for a total of EUR 53 million have been signed in 2019 to strengthen urban governance, ensure social inclusiveness, improve resilience and greening and foster prosperity and innovation in cities.

Risk mitigation efforts developed through the CoE Initiative under IcSP Article 5, alongside disaster management planning, are actions which contribute directly to reducing the number of deaths and the number of people affected by disasters, including water-related disasters. Developing institutional capabilities and resilience to disasters, alongside integrated policies and plans related to CBRN management is of great importance in this area.

### **SDG 12 Responsible consumption and production**

The EU is committed to pursuing its international cooperation on sustainable consumption and production and the circular economy as an essential contribution to SDG 12. EU international cooperation on sustainable consumption and production and the circular economy focus mainly on developing policy and institutional frameworks in this area, promoting green business development in key value chains, and mobilising finance for the global circular economy transition.

Relevant indicative initiatives include engagement at multilateral level to encourage the use of standards and ensure a level-playing field for the private sector, financial and technical assistance and the circular economy missions to foster links between EU business and partner countries. The SWITCH to Green initiative is the EU’s flagship initiative on sustainable consumption and production and circular economy practices.

Lake Naivasha is the largest freshwater lake in Kenya’s Rift Valley: the hub of Kenya’s cut flower industry. The micro, small and medium enterprises (MSMEs) around the lake face a range of challenges including a dry climate, water shortages, limited access to markets and lack of entrepreneurial skills. To tackle these issues the EU contributed a EUR 1.38 million grant to the SWITCH Africa Green: green horticulture at Lake Naivasha Kenya (Goalan) project consortium through the SWITCH Africa Green programme.

### **SDG 13 Climate action**

Climate change is one of the main priorities of the EU’s external action and a central theme of the European Green Deal. The Green Deal emphasises the EU’s major role as a global leader in tackling climate change and environmental challenges, and represents the EU’s new Growth Strategy. It is about a systemic transformation of our economies and societies, also directly involving sectors such as industry, energy, transport and agriculture towards a sustainable path. The EU is strongly committed to implementing the

Paris Agreement. In the period 2014-2019, EU external climate action contributed to an approximate saving of 28.2 million tonnes CO2 equivalent of greenhouse gas emissions.

The EU supports its partners' in implementing their NDCs through existing programmes such as the Global Climate Change Alliance+ (GCCA+). The GCCA+ has funded over 80 national, regional and worldwide projects in Africa, Asia, the Caribbean and the Pacific. So far, the results of these projects include significant contributions to more than 80 national climate change strategies, more than 40 awareness campaigns in over 60 countries, and more than 30 United Nations Framework Convention on Climate Change related strategies and programmes.

The 'Strategic Partnerships for the Implementation of the Paris Agreement' (SPIPA) project, funded by the Partnership Instrument (EUR 20 million) and the German government (EUR 5 million), encourages major economies to implement the Paris Agreement by facilitating the move from political commitment to meaningful action. In 2020, SPIPA produced knowledge products, including several studies and mappings to provide insights on climate change governance and institutional architecture in climate policy in SPIPA partner countries. SPIPA provided thematic papers on adaptation, Just Transition, long-term strategies, monitoring, reporting and verification (MRV), and sustainable finance. The current project will run until mid 2022. Support for the implementation of the Paris Agreement will continue through an already adopted EUR 12 million, 2-year follow-up project due to start in 2022.

Uganda's central 'cattle corridor,' which runs across the country, is highly vulnerable to climate change, suffering frequent floods, prolonged droughts and unpredictable rainfall. As part of an EUR 11 million programme, GCCA+ has funded more than 300 field schools to help farmers become more resilient to climate change impacts. More than 4 000 farmers have attended the field schools and learnt about diversifying crops and other income-generating activities.

Under Article 5 of the IcSP, an action was contracted in 2020 focusing on enhancing regional cooperation and contributing to maintaining stability in the Central Asia region crucial for security of the EU. Aiming at establishing an integrated approach to climate security challenges and creating climate risks resilient development opportunities, the action will enhance early warning and prevention measures to help promoting good neighbourly relations aiming at reducing tensions over limited natural resources. A knowledge base will be increased through targeted public awareness campaigns to ensure growing consciousness on climate-induced security implications and spill-over effects. This IcSP action will complement an ongoing nuclear-safety oriented action by closing the climate change risks gap.

In the Southern Neighbourhood, climate change resilience is a top priority, to mitigate risks to human lives and livelihoods and to promote sustainable development. Considering urbanisation trends, the loss of biodiversity, the increasing marine and land pollution and the impact of climate change on resources, focus is placed on sustainable water management, including wastewater treatment, water re-use and efficient use of water, as well as measures to protect and restore biodiversity, both marine and terrestrial, animal and vegetal.

In the Eastern Neighbourhood, the programme aims at achieving the key long-term EaP policy objective beyond 2020 of environmental and climate resilience. The EU supports partner countries to transform the region towards modern, resource-efficient, clean, circular and competitive economies, while increasing their environmental and climate resilience, including through more sustainable use of natural resources. The programmes supports the EaP challenges to increase the resource-efficiency of economies; develop new green jobs and economic opportunities linked to the green transition; develop local and renewable sources of energy; and manage natural assets to maximise sustainability.

## **SDG 14 Life below water**

Global progress on addressing major threats, including pollution and eutrophication, overfishing and destruction of habitats, and the impacts of climate change, has been slow and most SDG 14 targets may not be reached by 2030. The EU continues to work on capacity-building and spur local and regional actions on effective governance, and the protection and sustainable use of marine resources. The role of EU external action in support of SDG 14 is growing. The EU promotes an integrated approach to effectively address the drivers of ocean degradation while linking livelihoods with natural resources preservation. In partnership with ACP countries, the EU committed EUR 40 million to improve the productivity, competitiveness and inclusiveness of sustainable fisheries and aquaculture value chains, and EUR 12 million to improve their governance (FISHGOV 2).

Through the Partnership Instrument, the EU is supporting a dedicated project (EUR 9 million) to address marine litter in hotspot countries and rivers in east and south-east Asia. The EU will also provide EUR 17 million to help Pacific countries build waste management programmes and address issues relating to health and well-being, marine litter and biodiversity conservation.

The lagoons and waterfalls of Oyster Lagoon park in Belle-Anse, Haiti, were designated a protected area in 2017. However, with 7 000 families living within the park and dependent on fishing and charcoal production, this project (Strengthening participatory governance in Oyster Lagoon National Natural Park, Haiti) was set up to identify income-generating activities that would reduce

pressure on the biodiversity hotspot's natural resources. 30% of the 2 000 fishermen now earn three times more than before thanks to providing training, motorboats and a cold storage facility. Mangrove cutting and lizard hunting have been largely eradicated thanks to increased public awareness of the endangered species. The local authority has also defined new rules on coastal fishing, hunting, protection of water sources and the sale of charcoal.

### **SDG 15 Life on land**

SDG 15 received particular attention ahead of 2020 designated as 'Super year of nature' with the Green Deal Communication of December placing biodiversity at the centre of EU international priorities. The new EU 2030 Biodiversity strategy has been published in 2020.

Through its Partnership Instrument, the EU uses its influence to halt biodiversity loss by shaping an ambitious post-2020 global biodiversity framework and by advancing its environmental priorities with G7 and G20 partners. By engaging actively with partners to amplify the EU's efforts to switch to a circular and resource-efficient economy, the EU ensured that the 2019 G7 environmental meeting Declaration integrated EU priorities on circular value chains. The PI action on protecting biodiversity mobilises experts, policymakers, young leaders, and scientists from the EU's key partner countries to design an ambitious follow-up framework to the Strategic Plan for Biodiversity (2011-2020).

The Commission signed a EUR 13 million convention with Agence Française du Développement to renew its funding of Critical Ecosystem Partnership Fund (CEPF) from 2020 onwards. CEPF is a multi-donor fund which has successfully positioned itself as the leading donor in CSO financing for key biodiversity areas around the globe. The Fund is efficiently linking conservation of hotspots providing multiple ecosystem services with empowering private sector stakeholders and vulnerable population groups, and providing sustainable livelihoods.

### **SDG 16 Peace, justice and strong institutions**

EU supports the implementation of SDG 16 worldwide through a variety of actions funded under thematic and geographic EU external financing instruments, particularly focusing on promoting democracy and human rights.

The IcSP is mainly contributing to the promotion of peaceful and inclusive societies for sustainable development and to providing access to justice for all and to build effective, accountable and inclusive institutions at all levels in line with SDG 16.

#### **IcSP Art. 3 and 4:**

IcSP Article 3 and 4 made a strong contribution to target 16a (Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime). This is particularly true in the field of counter-terrorism and the prevention of violent extremism<sup>42</sup> in Asia, the Middle East and in Africa. During 2020, support to the reintegration of former terrorist fighters in Syria has continued and new actions in Western Balkans and Central Asia have been adopted. Attention to the role of disinformation in the incitement to violence, division and instability has been further strengthened throughout 2020. There is continued cooperation with authorities in the Middle, North, Africa and Asia in the field of human rights compliant counter terrorism as well as in the field of accountability for terrorism crimes. Another IcSP action helps the United Nations Investigative Team to promote accountability for crimes committed by ISIL/Da'esh in the area of digitisation of evidentiary material held by Iraqi national authorities.

In relation to sub-goal 16.1 (Significantly reduce all forms of violence and related death rates everywhere), the IcSP continued supporting peace processes in several countries, notably in the Middle East and Africa, including Syria, Yemen, Libya, the Sahel and Mozambique. During 2020, particular focus was given on risk reduction for vulnerable communities, including refugee and migrant communities in Latin America, the Western Balkans and South Asia. The IcSP also responded to the increased risk of xenophobic reactions, including violence, as a consequence of the COVID-19 pandemic and the. In particular, actions supported the UN Secretary-General's call for a global ceasefire to allow focus on combatting the virus. In Cote d'Ivoire, the IcSP complements national efforts to control the illegal flow of small arms and light weapons in an effort to prevent armed violence in the country.

In relation to sub-goal 16.3 (Promote the rule of law at the national and international levels and ensure equal access to justice), the IcSP encouraged accountability and transitional justice. This was done with flexible short-term actions and expert advice through the EU Transitional Justice Facility, for example in Yemen, Burkina Faso, Mali and Liberia. Other actions supported the transitional justice institutions set-up under the Colombia peace agreement; the investigation and prosecution mechanism for crimes in Syria<sup>43</sup>, the implementation of justice sector reforms in Lesotho and the Special Tribunal for Lebanon.

<sup>42</sup> In line with the June 2017 Foreign Affairs Council Conclusions on EU external action on Counter Terrorism

<sup>43</sup> 'International, Impartial and Independent Mechanism to Assist in the Investigation and Prosecution of Persons Responsible for the Most Serious Crimes under International Law Committed in the Syrian Arab Republic since March 2011'

Concerning sub-goal 16.7 (Ensure responsive, inclusive, participatory and representative decision-making at all levels) the IcSP has supported electoral processes in several contexts during 2020. In Bolivia the Pluri-national Electoral Organ was supported in the context of the 2020 elections. In Iraq, focus was given on building the capacity of the Independent High Electoral Commission in anticipation of the 2021 national poll. Similarly in Uganda and Somalia, needs were identified to encourage a peaceful electoral processes scheduled for 2021. In the Central African Republic, another IcSP action promoted the peace and reconciliation process, including the holding of elections. While in Honduras and Tanzania the action contributed to create the best conditions for transparent and inclusive elections.

#### **IcSP Art. 5:**

In the domain of **counter-terrorism**, the EU Global Facility on Money Laundering and Terrorism Financing aims to disrupt terrorist networks and the activities of recruiters to terrorism, cut off terrorist funding and bring terrorists to justice while continuing to respect human rights and international law. The action contributes to SDG Target 16.3 'Promote the rule of law at the national and international levels and ensure equal access to justice for all' and provides support to partner countries to put in place effective AML/CFT frameworks in compliance with the AML/CFT international standards, notably **EU recommendations on CFT/AML, UNSCRs and FATF recommendations**.

Given the evolution of **transnational organized crime** and moving away from a strictly commodity based approach a new umbrella programme for the trans-regional organised crime portfolio has been created: the Global Illicit Flows Programme (GIFP) targeting the illicit trafficking of drugs and small arms and light weapons, directly contributing to the achievement of SDG Target 16.4 'By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime.' The purpose is to provide a more effective format for the European Commission to assist partner countries in their efforts to tackle trans-regional organised crime and; to serve as a vehicle for the EU and EU Member States law enforcement authorities to have a greater and enhanced global reach.

**Chemical, Biological, Radiological and Nuclear (CBRN) actions**, and most notably, the Centres of Excellence (CoE) initiative, contribute to the attainment of numerous Sustainable Development Goals (SDGs), in particular 3, 6, 11, 13, 16 and 17, as described below. Under the umbrella of SDG 16: CBRN actions work towards capacity building and strengthening national institutions and developing enhanced cooperation on the national and international levels, facilitated by partnerships through the regionally-established Centres of Excellence. The regional all hazard approach combined with a national inter-agency working method contribute greatly to support SDG16 goals towards an increased security governance by mitigating the impact of future major natural or man-made crisis as reflected also in the actions on COVID-19 launched in 2020.

As far as inclusiveness, responsiveness and participation is concerned, the pilot programme 'INTER PARES' (EUR 5 million) started building capacity of partner country parliaments through peer-to-peer exchanges with EU Member State parliaments. Moreover, three projects were launched through a EUR 5 million global call for proposals on digital civic activism and participation.

The implementation of the 2016 SSR strategic framework continued to make positive changes in the way EU institutions lend their support to the security sector in non-EU countries, with the overarching goal of better securing the EU, promoting peace and EU values worldwide and contributing directly to SDG 16 of the 2030 Agenda.

The Commission continues to focus on development cooperation in preventing, managing and helping to resolve conflicts and crises, averting humanitarian needs and building lasting peace and good governance. In particular, the Commission conducted a strategic evaluation of conflict prevention and peacebuilding for 2013–2017, which will, in addition to providing an independent assessment of EU support, identify key lessons and produce recommendations on EU engagement in the field.

In the Southern Neighbourhood, the NDICI builds on the previous key objectives of preserving stability; strengthening State and local governance, public administration reform and rule of law; and implementing key dialogues and platforms. These encompass promoting modern and accountable public institutions, independent justice and electoral observation and assistance; supporting digital government processes and services, based on ethical standards and good practices; promoting gender equality initiatives and providing capacity building for Civil Society Organisations (CSOs) - including support for the digital transition.

In the Eastern Neighbourhood, the programme aims at achieving the key EaP policy objective beyond 2020 of accountable institutions, the rule of law and security. The EaP continues building an area of democracy, prosperity, stability and increased cooperation based on common values, with the same focus on rule of law, human rights, fight against corruption and discrimination, independent media, civil society and gender equality. On this basis, EU support aims at achieving better measurement of the impact of judicial reforms; taking into further consideration the progress in rule of law reforms when deciding on future assistance; strengthening fight to corruption and economic crime; improving cross-border cooperation on organised crime; stepping up support for security dialogues and cooperation.

#### **SDG 17 Partnerships for the goals**

The European Commissioner for International Partnerships took office in December 2019, sending out a strong message on the central role of partnerships in EU's external action. Successful sustainable development requires partnerships, particularly with our partner governments, but also with the private sector, civil society, multilateral organisations and financial institutions.

The EU continues to be actively engaged in UN processes such as the annual High-level Political Forum (HLPF), the Financing for Development (FFD) Forum, the special high-level meetings of the UN General Assembly such as the Climate Summit, the SDG Summit, the FFD High-level Dialogue and the Small Islands Developing States Summit.

The Commission continues to play an influential role in major OECD Development Assistance Committee (DAC) policies, acts and events. The EU's views were reflected in decisions taken on a revised Peer Review Instrument and the adoption of several key OECD DAC recommendations.

The EU and its Member States maintained their position as the biggest provider of official development assistance (ODA), accounting for about half of global ODA to developing countries (0.46% of gross national income (GNI) in 2019). Latest available figures also show an increase of ODA to least developed countries, reaching 0.125% in 2018.

The EU helped generate political momentum on integrated national financing frameworks (INFFs) to map the different financial sources available for sustainable development at country level and to support country-led financing strategies. The purpose of INFFs is to help countries have a better understanding of all the different financial resources at their disposal and to develop a financing strategy to reach the SDGs. The EU has actively been supporting the Indonesian government who volunteered to be an INFF pioneer country. A joint EU-UNDP scoping mission took place to kick-start the INFF process.

The EU is committed to support the UN peace and security architecture. Through IcSP, the EU works closely with different UN entities<sup>44</sup>. The cooperation also includes assisting Resident Coordinators in their policy and programming responsibilities for the deployment of dedicated Peace and Development Advisers to their offices. This comes in addition to funding of particular UN political and peacekeeping missions *inter alia* in Central African Republic, Libya, Mali, Somalia, Sudan, Syria, Yemen. In addition, regular policy level dialogues with UN partners supports a mutually beneficial partnership for peace.

CBRN actions under IcSP Article 5 make a strong contribution to SDG 17 "Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development". Through encouraging national, regional, and international partnerships via established Centres of Excellence, CBRN programmes are able to enhance access to science, technology and innovation in addition to increased knowledge sharing (like in the Caucasus and Balkans through a regional CBRN innovation competition implemented in 2018-2019). Actions including training, tutoring, and the lending of experts and expertise in the field of CBRN, all contribute to enhancing capacity-building and national planning capabilities.

The Partnership Instrument enables the EU to build partnerships across the world on priorities ranging from climate and biodiversity to trade and security. These alliances influence decision making processes by partners in policy areas of EU and of mutual interest, widely promote EU interests and values in partner countries and in multilateral fora, increase the alignment of the EU and its partners' policy positions and approaches, as well as the harmonisation of legal and policy frameworks, and support the rules-based multilateral system.

---

<sup>44</sup> The UN Department of Political and Peacebuilding Affairs (UN-DPPA), the UN Peacebuilding Fund (UN-PBF), the UN Standby Team of Senior Mediators and the UN Special Political Missions.

**HEADING 6: Neighbourhood and the World****European Instrument for International Nuclear Safety Cooperation****Lead DG:INTPA**

Associated DGs:BUDG

1. Overview .....	1209
1.1. Challenges .....	1209
1.2. Mission (general objectives) .....	1209
1.3. Specific objectives .....	1209
1.4. Public intervention context .....	1209
1.5. Actions .....	1209
1.6. Delivery mode .....	1209
1.7. Graphic overview of the programme structure .....	1209
1.8. Legal basis and financial programming .....	1210
1.9. Link with the 2014-2020 MFF .....	1210
1.10. Relevant websites providing more information .....	1210
2. Where are we in the implementation ? .....	1211
2.1. Programme 2021-2027 .....	1211
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1211
3. How is the programme performing ? .....	1211
3.1. Performance .....	1211
3.2. Key achievements .....	1212
3.3. Evaluations, studies and reports .....	1212
4. Programme 2021-2027 - Key monitoring indicators .....	1213
Specific Objective 1 :The promotion of an effective nuclear safety and radiation protection culture and implementation of the highest nuclear safety and radiation protection standards, and continuous improvement of nuclear safety, including the promotion of transparency of authorities in third countries in decision making processes relating to the safety of nuclear installations (Art 2.2.a) .....	1213
Specific Objective 2 :Responsible and safe management of spent fuel and radioactive waste and the decommissioning and remediation of former nuclear sites and installations, including the promotion of transparency of authorities in third countries in decision making processes (Art 2.2.b) .....	1214
Specific Objective 3 :Establishing efficient and effective safeguards for nuclear material in third countries (Art 2.2.c) .....	1214
5. Programme 2014-2020 - Key monitoring indicators .....	1214
Previous Program 1 : Instrument for Nuclear Safety Cooperation (INSC) .....	1214
General Objective 1 :The Union shall finance measures to support the promotion of a high level of nuclear safety, radiation protection, and the application of efficient and effective safeguards of nuclear material in third countries .....	1215
Specific Objective 1 :The promotion of an effective nuclear safety culture and implementation of the highest nuclear safety and radiation protection standards, and continuous improvement of nuclear safety .....	1215
Specific Objective 2 :Responsible and safe management of spent fuel and radioactive waste, namely transport, pre-treatment, treatment, processing, storage and disposal, and the decommissioning and remediation of former nuclear sites and installations .....	1216
Specific Objective 3 :The establishment of frameworks and methodologies for the application of efficient and effective safeguards for nuclear material in third countries .....	1216
6. The programme contribution to horizontal policies .....	1217
6.1. Contribution to climate mainstreaming .....	1217
6.2. Contribution to biodiversity mainstreaming .....	1217
6.3. Contribution to clean air financing .....	1217
6.4. Contribution to gender equality .....	1217
6.5. Contribution to the sustainable development goals .....	1217

## **1. Overview**

### **1.1. Challenges**

The operation of nuclear power plants is a sovereign decision of any State that choose to include nuclear in its energy mix. Nevertheless, as history showed with the accidents of Chernobyl in 1986 and more recently Fukushima in 2011, any accident has transboundary consequences and affects the population and the environment of neighbouring countries and regions.

The European Union must ensure the safety and security of its citizens and protect the environment. The best way to tackle this challenge when considering the use of nuclear energy is to guarantee that the nuclear reactors are operated safely and according to the best international standards.

### **1.2. Mission (general objectives)**

The objective of the EINS is to support the promotion of nuclear safety culture and radiation protection, the safe management of spent nuclear fuels and radioactive wastes and the application of effective and efficient safeguards of nuclear materials in third countries.

This is achieved by cooperating with the key stakeholders and in particular with the nuclear regulatory authorities in charge with the aim of transferring the EU expertise. In particular, the regulation will support the promotion of transparency in nuclear related decision- making by authorities of third countries.

### **1.3. Specific objectives**

The objectives of the EINS are:

- (a) the promotion of an effective nuclear safety and radiation protection culture and implementation of the highest nuclear safety and radiation protection standards, and continuous improvement of nuclear safety, including the promotion of transparency of authorities in third countries in decision making processes relating to the safety of nuclear installations;
- (b) responsible and safe management of spent fuel and radioactive waste and the decommissioning and remediation of former nuclear sites and installations, including the promotion of transparency of authorities in third countries in decision making processes;
- (c) establishing efficient and effective safeguards for nuclear material in third countries.

### **1.4. Public intervention context**

The promotion of nuclear safety is a key priority for the EU since the early days of the EEC and EURATOM. The European Instrument for Nuclear Safety contributes to the promotion of the implementation of international treaties and conventions as well as the adoption of the highest safety standards complementing work inside the EU. The EINS is a specific tool complementing the Neighbourhood Development and International Cooperation Instrument (NDICI). It covers cooperation in nuclear safeguards which is essential to the global non-proliferation policy.

### **1.5. Actions**

The EINS will achieve its objectives by using a combination of implementing methods to establish cooperation and deliver assistance to the beneficiary countries:

1. Provision of services and supply of equipment;
2. Budget support;
3. Technical assistance and information exchange including by twinning;
4. Training and tutoring;

Multilateral projects with Member States or International organisation.

### **1.6. Delivery mode**

Direct management by the Commission from Headquarters and/or through the Union Delegations and under indirect management by entities, such as the EU member States agencies or international organisations, that ensure a level of protection of the EU's financial interests equivalent to that under direct management. Indirect management may also be entrusted to partner countries or the bodies they designate. Innovative financial instruments including in partnership with the European Bank for Reconstruction and Development and other international financial institutions will be used for blending activities.

### **1.7. Graphic overview of the programme structure**



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0245/NLE COM (2018) 462: Proposal for a COUNCIL REGULATION establishing a European Instrument for Nuclear Safety complementing the Neighbourhood, Development and International Cooperation Instrument on the basis of the Euratom Treaty	2021 - 2027	300,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>37,6</b>	<b>38,6</b>	<b>39,9</b>	<b>41,8</b>	<b>44,1</b>	<b>47,2</b>	<b>50,9</b>	<b>300,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The lessons learned from the 2014-2020 MFF show that the EU external action instruments are relevant and delivering results. For the next MFF, it was therefore proposed to build on the activities formerly covered under the 2014-2020 Instrument for Nuclear Safety Cooperation, continuing the assistance in nuclear safety and adapting the new Instrument to emerging challenges and needs.

## 1.10. Relevant websites providing more information

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

The 2021 commitment appropriation (EUR 35.9 million) will finance 10 projects in 9 countries and regions as well as the support measures for the programme implementation.

The 2022 commitment appropriation, in line with the multiannual indicative programme, will finance projects related to nuclear safety and radioactive waste management (42.5% each) as well as support measures (5%).

### **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

	Commitments	Payments
Implementation Voted budget	314 375 515	199 215 353
Implementation carry-overs	0	2 387 005
Implementation total	314 375 515	201 602 359
total envelop*	314 420 872	
cumulative implementation rate	100%	64%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

### **Previous programme Instrument for Nuclear Safety Cooperation (INSC):**

The nuclear safety programme is implemented through projects that are contracted after international call for tenders managed from DG INTPA Headquarters exclusively as the necessary technical expertise is missing in the EU Delegations. Moreover, some of the projects needs a prior signature of a financing agreement with the beneficiary country that delays the contracting procedure but allows to contract under the N + 3 rule instead of N + 1. This results in a shift in implementation that is at the origin of the incomplete budget consumption at the end of the MFF exercise, i.e. part of the allocated budget of the 2014 – 2020 INSC will be contracted still in 2021 – 2023. As such, the balance is not indicating any particular delay and is consistent with previous exercises of INSC and TACIS programmes.

The commitment appropriation (CA) for the year 2020 (EUR 31.4 million) will finance 9 projects in 7 countries in the area of nuclear safety (29%), management of radioactive waste (43%) and nuclear safeguards (16%). In addition, the CA will cover the support measures for the management and implementation of the Instrument for Nuclear Safety Cooperation, including the technical support provided by the Joint Research Center.

The payment appropriation of the year 2020 covered the costs of projects contracted in previous years and the 8 projects contracted in 2020.

The payment appropriation of the year 2021 (EUR 31 million) will cover the expenditures related to the 79 on-going projects (including the 8 projects contracted in 2020), the 20 projects from previous Annual Action Plans (2018 – 2020) still to be contracted and part of the 2021 programme.

The 2022 payment appropriation will cover the costs related to past and on-going projects, new projects that will start in 2022 and support measures for the implementation of the European Instrument for International Nuclear Safety Cooperation.

The COVID-19 crisis has significantly slowed down the implementation of the projects in the beneficiary countries as the nuclear safety cooperation instrument is a fully centralised managed instrument. The very specific and technical nature of the instrument implies a technical expertise that is not available in the EU Delegation to the partner countries. Therefore, all programming activities from definition and adoption of the annual action plan to the contracting, management and implementation on the projects and reporting are managed by the dedicated sector in DG INTPA, Unit F1 Climate change and sustainable energy, nuclear safety.

Travel restrictions due to the sanitary situation impacted the ability to deploy activities on-site. Remote cooperation has been used as often as practically feasible, in particular for training activities but did not allow a 100% effective recovery plan. In addition, the number of procedures to contract new projects has also been reduced (8 contracts signed in 2020 only). This impacted the payment forecast that was reduced accordingly.

## **3. How is the programme performing ?**

### **3.1. Performance**

### 3.1.1. Introduction

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.3. Previous programme performance

#### Instrument for Nuclear Safety Cooperation (INSC):

During previous programmes (TACIS from 1991 to 2006 and INSC from 2007 to 2020), cooperation with the regulatory authorities was primarily aimed at improving the governmental, legal and regulatory frameworks, based on the experience in the EU. This involved the transfer of regulatory practices used in the EU Member States.

The competence of staff working in the nuclear area is of utmost importance to ensure that the use of nuclear technology is safe. The training and tutoring actions, which transfer EU knowledge to students and young professionals, trained around 2500 staff in the beneficiary countries between 2014 and 2020. Some 34% of these were women, which contributes to the gender equality goal in a highly specialised scientific area. This confirms the success of the programme.

The Central Asian states have inherited 1 billion tonnes of hazardous processing waste, which are highly toxic chemical and radioactive residues left behind and unsafely stored in uranium legacy sites. The EU flagship programme for the remediation of the legacy sites is now mature, with the completion of the necessary feasibility studies and environmental impact assessments that provided for the technical solutions and associated costs to clean-up the selected priority sites. Upon the European Commission request, the European Bank for Reconstruction and Development has set-up an international multi-donors fund (the Environmental Remediation Account – ERA) to finance the implementation of the remediation programme based on the EU funded feasibility studies according to the highest international nuclear safety standards. The first two remediation projects in Kyrgyzstan began in 2020 and activities are planned to start in Uzbekistan in 2021.

A major milestone to make the **Chernobyl** site environmentally stable and safe was met on 29 November 2016 by sliding the New Safe Confinement over the nuclear reactor destroyed in April 1986. The New Safe Confinement is a giant arch-shaped structure that covers the damaged Chernobyl Unit 4 in order to prevent any further radioactive release. The total project cost is in the order of EUR 1.5 billion, to which the EU contributed more than 430 million (under the TACIS (EUR 210 million) and INSC (EUR 220 million) programmes). In July 2019, the facility was officially handed-over to the Ukrainian government. In 2020, the last facility to safely store the spent nuclear fuel has been completed and transferred to Ukraine, terminating the long lasting international engagement for Chernobyl.

The first project supporting the Iranian Nuclear Regulatory Authority started in July 2017, and is running smoothly in a very cooperative atmosphere. Two follow-up projects are ongoing to establish the Nuclear Safety Centre in Tehran, in compliance with the EU's commitment to the implementation of the joint comprehensive plan of action, and to perform stress tests at the Bushehr nuclear power plant. Another capacity-building project was adopted under the 2019 annual action programme, demonstrating the commitment of the EU to the full implementation of the joint comprehensive plan of action, and a fifth project will be submitted under the 2020 annual action programme. Although under difficult conditions with the US withdrawal and the COVID-19 pandemics, the EU continues to fulfil its commitments under the Joint Comprehensive Plan of Action with the Islamic Republic of Iran, supporting the Iranian Nuclear Regulatory Authority and the Bushehr nuclear power plant.

## 3.2. Key achievements

<b>2500</b>	<b>26 countries and 4 regions</b>	<b>36</b>	<b>18</b>
<i>Participants to the training and tutoring programme in the period 2014-2020</i>	<i>Having benefitted from EU assistance in nuclear safety in 2014-2020</i>	<i>Number of regulatory documents drafted and adopted in 2014-2020</i>	<i>Nuclear waste management and strategy documents produced in 2014-2020</i>

## 3.3. Evaluations, studies and reports

The Instrument for Nuclear Safety Cooperation has undergone the following evaluation/studies during its period of implementation:

## Mid-Term Review evaluation (MTR):

The INSC evaluation was launched in the third quarter of 2016 and completed in 2017. Based on the results of this external study, a Staff Working Document has been produced<sup>1</sup>, distributed and adopted by the Commission ("Report from the Commission to the European Parliament and the Council – Mid-term review report of the External Financing Instruments – COM(2017), 720 final of 15.12.2017). All documents are available at the following address: [https://ec.europa.eu/europeaid/public-consultation-external-financing-instruments-european-union\\_en](https://ec.europa.eu/europeaid/public-consultation-external-financing-instruments-european-union_en). The evaluation concluded that:

- the Instrument fits its purpose well and is well-aligned with nuclear safety priorities and EU crosscutting issues;
- the Instrument processes, including strategy, programming, project design, monitoring and evaluation need strengthening and do not offer adequate results orientation and measurability;
- the Instrument has been consistently delivering support for nuclear safety, although its achievements cannot be quantified;
- the Instrument has a distinctive set-up, supporting value added and sector leadership, with scope for strengthened, interactions and complementarities.

Associated to the conclusions, the following recommendations were advised:

- the cooperation of nuclear safety should be pursued and reinforced;
- the measurability and effectiveness should be strengthened;
- the results delivery should be reinforced;
- the institutional set-up and improving the linkage of the Instrument should be strengthened.

The European Commission presented to the Member States in 2017 the assessment of the EU Assistance to the regulatory authority of Ukraine.

The European Commission presented to the Member States in 2019, three additional independent review of the EU assistance for:

- Training and Tutoring projects;
- Nuclear waste projects in Ukraine;

Nuclear safety cooperation with Armenia.

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :The promotion of an effective nuclear safety and radiation protection culture and implementation of the highest nuclear safety and radiation protection standards, and continuous improvement of nuclear safety, including the promotion of transparency of authorities in third countries in decision making processes relating to the safety of nuclear installations (Art 2.2.a)**

**Indicator 1: Number of countries benefiting from EU support in developing of a culture of safety for nuclear energy**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Milestones										
Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number (of countries)
Cut-Off Date	
Data source	Project documentation
Link to the objective	By providing the number of third countries/regions benefiting from the transfer of the EU expertise, the indicator gives an important information on the relevance of the programme to enhance the nuclear safety and security of the EU citizens as a nuclear accident has consequences worldwide.
Link MFF 14-20 / MFF 21-27	This indicator was used to monitor the 2014-2020 MFF, using the same name and methodology.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

<sup>1</sup> SWD(2017) 605 final

## Specific Objective 2 :Responsible and safe management of spent fuel and radioactive waste and the decommissioning and remediation of former nuclear sites and installations, including the promotion of transparency of authorities in third countries in decision making processes (Art 2.2.b)

**Indicator 1: Number of regulatory documents produced in the beneficiary countries with the support of EU expertise**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number (of documents)
Cut-Off Date	
Data source	Project documentation
Link to the objective	Nuclear safety depends upon a strong regulatory framework that includes law, regulations, guidelines and other documents. The transfer of the EU knowledge and in particular the EU Acquis that is recognised as the best international standard of nuclear safety is key to enhance nuclear safety in the beneficiary country. The volume and number of regulatory documents produced with the EU support and adopted/used in the beneficiary country indicates the level of improvement of nuclear safety in that country.
Link MFF 14-20 / MFF 21-27	This indicator was used to monitor the 2014-2020 MFF, using the same name and methodology.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 3 :Establishing efficient and effective safeguards for nuclear material in third countries (Art 2.2.c)

**Indicator 1: Number of nuclear safeguards authorities benefitting from EC funded projects**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number (of documents)
Cut-Off Date	
Data source	Project documentation
Link to the objective	Safe management of radioactive wastes needs a clear and detailed series of documents that will ensure that any related activity is performed according to best international standards. The transfer of the EU knowledge and in particular the EU Acquis is key to establish/improve the safe management of radioactive wastes and spent nuclear fuel, decommissioning of nuclear facilities and environmental remediation of former nuclear sites. The volume and number of corresponding documents produced with the EU support and adopted/used in the beneficiary country indicates the level of improvement of radioactive waste management in that country.
Link MFF 14-20 / MFF 21-27	This indicator was used to monitor the 2014-2020 MFF, using the same name and methodology.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : Instrument for Nuclear Safety Cooperation (INSC)*

**General Objective 1 :The Union shall finance measures to support the promotion of a high level of nuclear safety, radiation protection, and the application of efficient and effective safeguards of nuclear material in third countries**

**Indicator 1: Number of countries benefiting from EU support in developing of a culture of safety for nuclear energy**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Countries										
2014	Milestones									2020
6			10	11	12	12	12			12
	Actual Progress									Final
	6	13	17	19	21	25	26			26
Regions										
2014	Milestones									2020
							3			3
	Actual Progress									Final
			2		4	4	4			4

Are we on track	On track
Indicator type	Output
Unit of measurement	Number (of countries) NB: the figures are cumulative.
Cut-Off Date	31/12/2020
Data source	project documentation
Narrative	3 target regions are Central Asia, Africa, South East Asia
Methodology	The figures are cumulative.
Link MFF 14-20 / MFF 21-27	This indicator will be used to monitor the 2021-2027 MFF, using the same name.
Other methodological comments	Armenia, Belarus, Indonesia, Singapore, Jordan, Thailand, Vietnam, Iraq, Morocco, Tanzania, Ukraine, Kyrgyzstan, Tajikistan, Uzbekistan, Egypt, Iran, Mongolia, the Philippines, Georgia, Moldova, Serbia, Bosna and Herzegovina, North Macedonia, Kosovo, Montenegro and Ghana. Regional project in Central Asia, Southern Africa, the Balkans and Gulf countries. The countries embarking on nuclear energy are: Armenia, Bangladesh, Belarus, Egypt, Indonesia, Jordan, Malaysia, Mongolia, Morocco, Nigeria, the Philippines, Thailand, Turkey and Vietnam. The countries with radioprotection issues are Ukraine, Kyrgyzstan, Tajikistan and Uzbekistan.
Full metadata available at this address	
Justification of the trend	The countries and regions benefitting from the nuclear safety cooperation has grown up during the period, demonstrating the recognition of the value added of the programme for the countries dealing with radioactive legacy and/or engaging in nuclear energy.

**Specific Objective 1 :The promotion of an effective nuclear safety culture and implementation of the highest nuclear safety and radiation protection standards, and continuous improvement of nuclear safety.**

**Indicator 1: Number of regulatory documents produced in the beneficiary countries with the support of EU expertise**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
4	2	3	4	5	6	7	8			8
	Actual Progress									Final
	5	8	13	18	30	36	36			36

Are we on track	On track
Indicator type	Result
Unit of measurement	Number (of documents) NB: the figures are cumulative.
Cut-Off Date	31/12/2020
Data source	project documentation
Narrative	
Methodology	This indicator describes the implementation of EU projects: • At the preparation phase of the projects, a number of issues are identified through several Cooperation Forums with the IAEA. Subsequently during the implementation phase these issues are addressed through actions (e.g. training, reports, draft regulations). This indicator measures the number of nuclear safety regulatory documents (and actions such as laws, regulations, guidelines) that are produced with the support of the EU project and which proposes solution to the issues identified. • At the final stage, those documents are adopted by the Beneficiary country and applied by the concerned stakeholders (operators, regulatory authorities, nuclear facilities). This indicator is amongst the programme implementation indicators in the MIP 2014-2017. The figures are cumulative.

Link MFF 14-20 / MFF 21-27	This indicator will be used to monitor the 2021-27 MFF, using the same name.
Other methodological comments	The number of deliverables in 2018 reached a peak corresponding to the reported increase with the completion of major projects. These documents are: i) the feasibility study for the Nuclear Safety Center in Iran foreseen in the annex 3 of the Joint Comprehensive Plan of Action presented in June 2018 to the representatives of France, Germany, the United Kingdom, China and Russia; ii) the pre-construction safety assessment report for the radioactive waste disposal facility in Iraq; iii) 6 regulation and guidelines for Jordan; iv) 4 reference regulatory documents for Iran. Commission Implementing Decision of 13.06.2014 on the Instrument for Nuclear Safety cooperation Multiannual Indicative Programme (2014 - 2017) COM(2014)3764 Final.
Full metadata available at this address	
Justification of the trend	No new document has been released officially in the beneficiary countries in 2020 due to the COVID-19 pandemics. Nevertheless, the programme already achieved the objectives at the inception of the period.

### Specific Objective 2 :Responsible and safe management of spent fuel and radioactive waste, namely transport, pre-treatment, treatment, processing, storage and disposal, and the decommissioning and remediation of former nuclear sites and installations

#### Indicator 1: Number of waste management and remediation documents developed with EU support

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
4	2	4	5	6	7	8	9			9
	Actual Progress									Final
	2	3	5	8	13	18	18			18

Are we on track	On track
Indicator type	Result
Unit of measurement	Number (of documents) NB: the figures are cumulative.
Cut-Off Date	31/12/2020
Data source	project documentation
Narrative	
Methodology	The figures are cumulative.
Link MFF 14-20 / MFF 21-27	This indicator will be used to monitor the 2021-2027 MFF, using the same name.
Other methodological comments	Infrastructure improvement for radioactive waste management remediation of contaminated sites and decommissioning in Ukraine including the following document: 'Analysis of investigation priorities for 32 DWSF facilities with uncertain site conditions and radioactivity inventory data'; ii) Development and final approval of 2 remediation plans including feasibility studies for sustainable environmental remediation of uranium legacy sites of Degmay and Taboshar in Tajikistan; iii) National Strategy for Radioactive Waste and Spent Nuclear Fuel Management complemented by Action Plan for the Strategy Implementation and Feasibility Study of radioactive waste management at Sewaqa site in Jordan'. The increase of the target from 8 to 9 is reflecting the newly identified need in Moldova . We are engaging jointly with Sweden in supporting the country under the current instrument taking into account the framework now fully in place to allow implementation of projects.
Full metadata available at this address	
Justification of the trend	No new document has been released officially in the beneficiary countries in 2020 due to the COVID-19 pandemics. Nevertheless, the programme already achieved the objectives at the inception of the period.

### Specific Objective 3 :The establishment of frameworks and methodologies for the application of efficient and effective safeguards for nuclear material in third countries.

#### Indicator 1: Number of nuclear safeguards authorities benefitting from EC funded projects

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0	0	1	1	2	3	3	3			3
	Actual Progress									Final
	0	1	1	3	4	4	4			4

Are we on track	On track
Indicator type	Result
Unit of measurement	Number (of authorities) NB: the figures are cumulative
Cut-Off Date	31/12/2020

Data source	project documentation
Narrative	
Methodology	The figures are cumulative.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The AAP 2020 in line with the MIP did not include a safeguards project.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

#### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
1,6	0,0	3,0	0,0	3,0	0,0	3,0	10,6

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.4.2. Key achievements and performance**

As at this stage the programming is not advanced yet, the estimated amounts for the EINS contribution to gender equality are based on the spending from the previous MFF under INSC. We may revise the yearly profile, once we will advance with the programming process.

The contribution of the programme to gender equality is mainly achieved through all activities related to training and tutoring for which the European Commission strongly encourages the enrolment of women that in turn will provide additional opportunity for career development. This programme started under INSC 2014 – 2020 has a proven incentive for the participation of women in nuclear training and education (34% women participation over the reference period).

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

Not applicable

#### **6.5.2. Key achievements and performance**

##### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

The Pridniprovskiy Chemical Plant (PChP) is a former Soviet Union uranium processing plant, located in the city of Kamyanske in Ukraine. Commissioned in 1947, the 240-ha site has received little to no attention in regard to clean-up, safe storage and/or disposal of the many radiological hazards that were simply left at the site when it was shut down in 1992. Around 40% of the 90-ha south area of the site is radiologically contaminated.

The radiological hazards are mainly restricted to the 20 or so buildings utilised formerly for the purpose of Uranium-Ore Processing. However, due mainly to the uncontrolled removal of materials for their scrap value, vandalism and lack of maintenance over the past 26 years, many buildings are in extremely bad condition. This has contributed to a greater distribution of contaminated materials both inside and outside of the buildings.

To complicate matters further, many buildings, have been repurposed and are in use by different State Enterprises under the Ministry of Energy and Coal Industry of Ukraine (MECI). In some cases, the buildings, including a number of the contaminated ones, have been sold to Private Companies.

One recent project, which commenced toward the end of 2017, is aimed at improving the safety to the public from the former Pridniproviskiy Chemical Plant (PChP). The INSC Project will implement urgent measures aimed at making the site safer for members of the public (i.e. non-radiological workers) that work at the site and improve security in order to prevent further vandalism and theft, but specifically to prevent further unauthorised removal of materials from the site.

The remediation programme of the Pridniproviskiy Chemical Plant in Ukraine therefore contributes to the Sustainable Development Goals 3 (Good Health and Well-Being) by protecting people and the environment from radiological hazards.

#### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The safe use of nuclear energy cannot be achieved without competent staff with a strong safety culture. The European Commission has developed a recognised and successful training, tutoring and education programme started under the INSC and that will continue with the EINS. It provides students and young professionals with courses and hands-on training benefitting from the best EU nuclear safety expertise. The programme also promotes the participation of women. Two Masters and one Bachelor diplomas are being established with the French University Nice Côte d'Azur.

The training, tutoring and education programme provides education opportunities in the beneficiary countries contributing to SDG 4 (Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all).

#### ***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

High volume of toxic and radioactive waste from former Soviet Union uranium mining activities is impacting on the environment and the population's health of Central Asia States. In December 2013, the United Nations General Assembly highlighted the issue by adopting Resolution no 68/218 on "The Role of the International Community in Averting the Radiation Threat in Central Asia" which recognises the role of the international community in averting the radiation threat in Central Asia.

Through the Instrument for Nuclear Safety and Cooperation (INSC), the EU has allocated a total funding of EUR 31.1 million to implement a two-phased approach for seven priority uranium legacy sites in Kyrgyzstan, Tajikistan and Uzbekistan. The European Commission has organised in 2017 and 2018 a very successful side event during the 72<sup>nd</sup> and 73<sup>rd</sup> United Nations General Assembly in New York, the latter with the participation of former Commissioner Neven Mimica, to invite Countries to contribute to the multi-donor Environmental Remediation Account established in 2015 by the EBRD upon the European Commission request.

Another contribution of EUR 30 million is foreseen under the EINS.

The remediation programme of uranium legacy sites will clear water and land for a sustainable agriculture in a region known as the breadbasket of Central Asia (Ferghana Valley). This EU programme therefore contributes to the Sustainable Development Goals 6 (Clean Water and Sanitation).

#### ***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

The EU contributes to the G7 decision to render the Chernobyl nuclear site environmentally safe again. The radioactive hazard was entirely secured, making the site safe for the next 100 years. The facility was subsequently handed over to Ukraine in July 2019, 33 years after the Chernobyl accident in 1986. The handover also represented the completion of the largest ever example of international cooperation in nuclear safety, with the establishment in 1997 of the Chernobyl Shelter Fund. The Fund was managed by the European Bank for Reconstruction and Development (EBRD) and funded by contributions from 45 countries, the Commission and the EBRD. The EU contributed EUR 431.6 million through its Instrument for Nuclear Safety Cooperation, making it the largest donor after the EBRD.

Most nuclear safety projects are managed directly by Commission departments. The European Commission has contributed significantly to the implementation of the Joint Comprehensive Plan of Action (JCPoA) with Iran.

Although there is no SDG target specific on nuclear safety, the EU actions contribute to progress on the commitments on SDG16 on governance.

**HEADING 6: Neighbourhood and the World****Humanitarian Aid (HUMA)****Lead DG:ECHO**

1. Overview .....	1219
1.1. Challenges .....	1219
1.2. Mission (general objectives) .....	1220
1.3. Specific objectives .....	1220
1.4. Public intervention context .....	1221
1.5. Actions .....	1221
1.6. Delivery mode .....	1221
1.7. Graphic overview of the programme structure .....	1221
1.8. Legal basis and financial programming .....	1222
1.9. Link with the 2014-2020 MFF .....	1222
1.10. Relevant websites providing more information .....	1222
2. Where are we in the implementation ? .....	1223
2.1. Programme 2021-2027 .....	1223
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1223
3. How is the programme performing ? .....	1223
3.1. Performance .....	1223
3.2. Key achievements .....	1226
3.3. Evaluations, studies and reports .....	1227
4. Programme 2021-2027 - Key monitoring indicators .....	1228
Specific Objective 1 : Provide an adequate and effective humanitarian assistance to populations affected by humanitarian crises .....	1228
Specific Objective 2 : Ensure people and communities at risk of disasters are resilient and prepared .....	1230
5. Programme 2014-2020 - Key monitoring indicators .....	1231
Previous Program 1 : Humanitarian aid .....	1231
General Objective 1 :The aim of the humanitarian aid policy as defined in article 214 of the Treaty on the Functioning of the European Union and the Council Regulation 1297/96 is to provide ad hoc assistance and relief and protection for people in third countries who are victims of natural or man-made disasters, in order to meet the humanitarian needs resulting from these different situations.....	1231
Specific Objective 1 :Provide needs based delivery of EU assistance to people faced with natural and manmade disasters and protracted crises .....	1232
Specific Objective 2 :Build the capacity and resilience of vulnerable or disaster affected communities .....	1234
6. The programme contribution to horizontal policies .....	1236
6.1. Contribution to climate mainstreaming .....	1236
6.2. Contribution to biodiversity mainstreaming.....	1236
6.3. Contribution to clean air financing.....	1237
6.4. Contribution to gender equality .....	1237
6.5. Contribution to the sustainable development goals .....	1238

**1. Overview****1.1. Challenges**

The scale, frequency and duration of crises that demand international humanitarian response is increasing, aggravated by long-term trends such as climate change, economic shocks, population growth, rapid and unsustainable urbanisation, resource scarcities as well as increasingly protracted armed conflicts. These are, and will continue to be, the main drivers of humanitarian crises, which in

turn generate growing humanitarian needs globally. In 2020, the situation was further exacerbated globally by the Covid-19 pandemic and in a number of crises by new or escalated conflicts (Nagorno Karabakh or Tigray), or by the locust upsurge in East Africa and the Arabian Peninsula. The Global Humanitarian Overview 2021 published in December 2020 announced funding requirements of USD 35.1 billion to assist 160 million of the 235 million people in need in 56 countries. This represents 1 in 33 people worldwide - a significant increase from 1 in 45 at the launch of the Global Humanitarian Overview 2020, which was already the highest figure in decades. However, funding is not increasing at the same speed as humanitarian needs. In 2020, global humanitarian needs jumped to almost USD 39 billion, with a funding gap of USD 22 billion. This overall gap between available resources and humanitarian needs is expected to continue to grow. Against this background, there will be an ever greater need for front-line life-saving humanitarian assistance. Given the protracted nature of several crises, a triple nexus approach, and enhanced cooperation between humanitarian and development assistance are necessary. Where applicable, the peace element of the nexus remains paramount.

Actual delivery of aid is becoming more difficult and dangerous in view of the shrinking humanitarian space and often deliberate attacks against humanitarian or health care workers and civilian infrastructure, in blatant violation of international humanitarian law.

## 1.2. Mission (general objectives)

The EU Humanitarian aid programme provides emergency, life-saving assistance to people, particularly the most vulnerable, hit by human-induced or natural disasters. Humanitarian aid is a key pillar of the EU's external action. It is also an important element of the EU's ability to project its values globally.

The EU is a leading player in humanitarian assistance on the international stage, both in terms of its ability to provide rapid and flexible assistance across a wide range of crises, and in virtue of its influence in shaping the global humanitarian policy agenda. Because of the financial weight (EU and its Member States together are the world's leading donor) and world-wide scope of its humanitarian actions, the EU is also able to encourage other humanitarian donors to implement effective and principled humanitarian aid strategies. Humanitarian aid is often the only EU instrument able to concretely intervene in acute conflict situations.

In a context of insufficient funding to address ever-growing needs, the EU is trying to fill gaps in global humanitarian aid by addressing needs in areas which are difficult to access and by providing a response not only to the biggest and most visible humanitarian crises, but also to forgotten crises (i.e. crises receiving no or insufficient international aid, political and media attention). Moreover, Member States often look to the EU as a donor to provide assistance in crises where they have only limited means to intervene in a national capacity.

Member States also benefit from the EU's "humanitarian diplomacy", which aims to increase humanitarian space and lead to more effective provision of humanitarian aid. Another key element of EU added value for Member States lies in the strong operational knowledge and technical expertise of the EU's unique network of humanitarian field offices spread over almost 40 countries.

## 1.3. Specific objectives

Together with the Humanitarian Aid Regulation (1257/96), the European Consensus on Humanitarian Aid sets out the specific nature and mandate of humanitarian aid. In line with the Humanitarian Aid Regulation (1257/96), the EU's humanitarian assistance goes directly to people affected by disaster or conflict, irrespective of their race, ethnic group, religion, sex, age, nationality or political affiliation and must not be guided by, or subject to, political considerations. The EU acts on the basis of the international humanitarian principles of humanity, neutrality, impartiality and independence. The main objectives are to:

- provide needs-based delivery of EU assistance to save and preserve life, prevent and alleviate human suffering and safeguard the integrity and dignity of populations affected by natural disasters or human-induced crises, including protracted crises;
- build the resilience and recovery capacity of vulnerable or disaster-affected communities, in complementarity with other EU instruments.

These objectives contribute to the overall objectives, principles and actions of the Union's external action as defined in Article 21 of the Treaty on European Union.

Effective multilateralism and UN-led coordination are central to the EU's humanitarian action. Promoting compliance with International Humanitarian Law and ensuring the protection of civilians, and of humanitarian and health care workers remains an essential objective.

While maintaining constant efforts in areas such as food, nutrition, water and shelter, a number of objectives have been strengthened in response to the global context. The EU will continue to devote 15% of its initial humanitarian budget to 'forgotten crises', and 10% to education in emergencies, to promote access for children in crisis settings to safe and consistent schooling. A stronger focus is being placed on health as well as climate impacts, with disaster preparedness increasingly integrated into the EU's humanitarian response, and with climate mainstreaming to be enhanced across humanitarian action. Through the 'humanitarian-

development-peace nexus', the EU addresses short-term needs and provides long-term solutions and, in conflicts, contributes to building lasting peace.

A meaningful participation of aid beneficiaries in decisions that affect them is key for the EU. In line with its equality agenda, the EU is committed to meeting the specific needs, rights and risks of groups of beneficiaries including women, children, the elderly and people with disabilities. The continued integration of protection for people caught in crisis situations is key in the EU's humanitarian aid.

#### 1.4. Public intervention context

The goals, principles and procedures for implementing EU humanitarian aid operations are set in the Humanitarian Aid regulation (1257/96). The EU's humanitarian aid enjoys strong public support as one of the most visible facets of the EU external action. Under the EU Treaties (article 214 TFEU) both Member States and the EU have important and distinct roles in humanitarian aid. Coordination of efforts, ensuring complementarity and promoting a nexus approach can increase synergies and impact, in areas such as humanitarian diplomacy, consolidated EU pledges and sharing of analysis or pooling of resources.

#### 1.5. Actions

Humanitarian interventions mainly consist of funding projects carried out by humanitarian organisations, most of the times in complex, risky contexts. The Commission (DG ECHO) does not intervene directly on the ground (with some exceptions, e.g. on transport where the Commission aims to enable work of partners). As a rule, DG ECHO manages the EU's humanitarian aid financing through individual agreements with partner organisations (NGOs, United Nations agencies, or other international organisations). The management mode applied with NGOs is direct management, and with the UN and International Organisations, indirect management.

#### 1.6. Delivery mode

The Commission (DG ECHO) implements EU humanitarian aid operations by funding humanitarian projects of around 200 partner organisations, including United Nations agencies, other International Organisations including the Red Cross and Red Crescent movement and non-governmental organisations (NGOs). The Commission has developed a permanent network of international and local humanitarian field experts working in crisis zones around the globe. The EU has been playing a leading role in the development of new policy approaches (e.g. education in emergencies) and innovative funding modalities (e.g. cash-based assistance).

At the World Humanitarian Summit in 2016, the main donors and humanitarian aid organisations agreed on a 'Grand Bargain' to adapt working practices to maximise efficiency and impact<sup>1</sup>. They agreed on the need for flexibility on the donor side (enabling partners to deliver a timely and adapted response, while harmonising reporting requirements). Aid organisations on their side renewed a commitment to coordinated needs assessments, accountability to beneficiaries and taxpayers, transparency and visibility of donors' assistance, making sure that the highest possible proportion of funds reaches people in need. The Grand Bargain also included a strong commitment from donors and aid agencies to channel more resources directly to local responders. In line with these commitments, the Commission strives to modernise its funding mechanisms while further stepping up EU support for localisation.

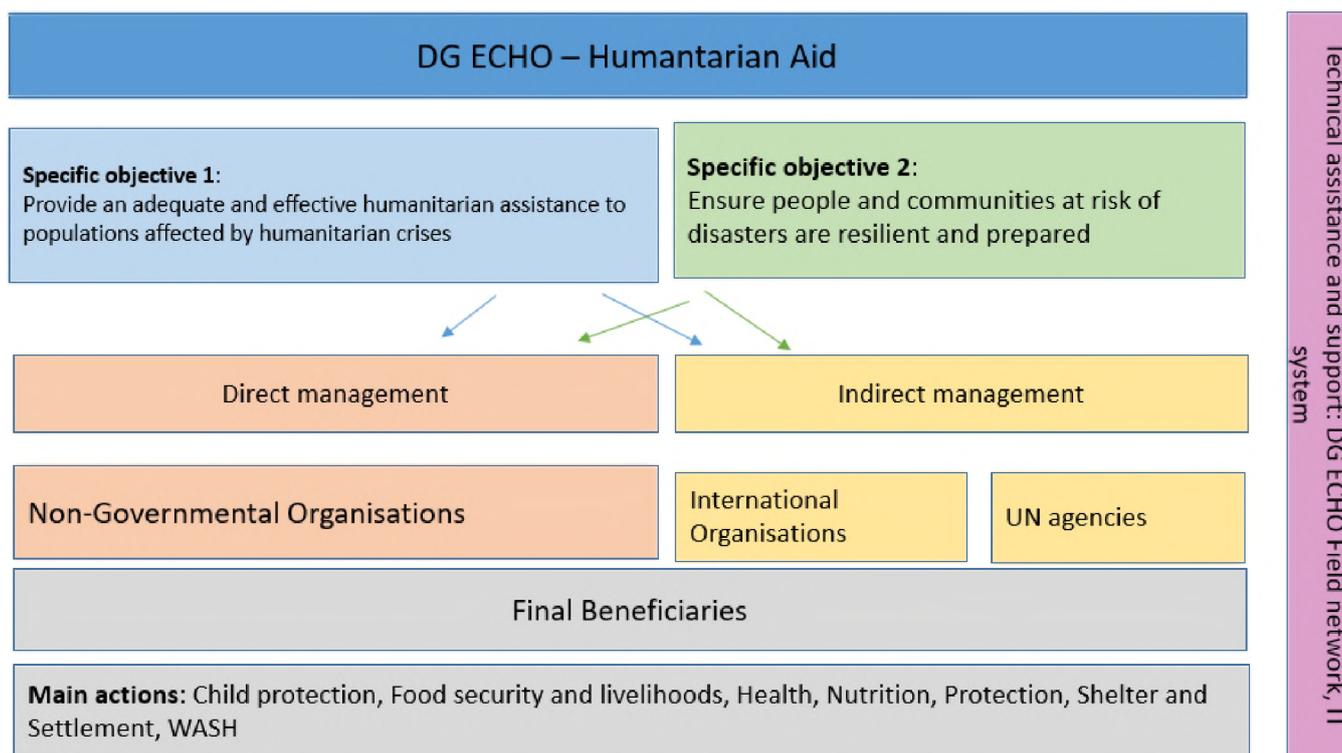
The EU is further promoting innovative solutions that deliver more efficient, cost-effective and climate-proofed aid<sup>2</sup>. This also includes promoting private sector engagement in delivering services and exploring innovative financing options.

#### 1.7. Graphic overview of the programme structure

---

<sup>1</sup> See High-Level Panel on Humanitarian Financing: *Too important to fail - addressing the humanitarian financing gap*, and <https://agendaforhumanity.org/initiatives/3861>

<sup>2</sup> For example, through the European Innovation Council prize for Affordable High-Tech for Humanitarian Aid.



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 1995/0119/SYN COM (1995) 201: Proposal for a COUNCIL REGULATION (EC) CONCERNING HUMANITARIAN AID	2021 - 2027	11 569,2

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>1 503,0</b>	<b>1 595,1</b>	<b>1 626,9</b>	<b>1 660,7</b>	<b>1 693,6</b>	<b>1 727,5</b>	<b>1 762,5</b>	<b>11 569,2</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The Humanitarian Aid Regulation is not time-limited; it contains no clause linking its legal validity to a specific Multi-Annual Financial Framework, nor does it have a clause specifying the financial means allocated to humanitarian aid under a given MFF. Therefore, the policy and legal framework for the EU's humanitarian aid do not require to be changed under the 2021-2027 MFF all the more than the last comprehensive evaluation on humanitarian aid confirmed the relevance of the current framework for humanitarian aid.

On 10 March 2021, the Commission has adopted the Communication to the European Parliament and the Council on the EU's humanitarian action: new challenges, same principles (COM(2021)110).

## 1.10. Relevant websites providing more information

[https://ec.europa.eu/echo/index\\_en](https://ec.europa.eu/echo/index_en)

As main interface with the external public, DG ECHO main website provides an overview of the different activities carried out by the DG, as well as funding opportunities. The website also contains all key strategic documents and relevant legislative texts guiding the work of the DG.

<https://www.dgecho-partners-helpdesk.eu/>

The website provide useful information for DG ECHO's partners.

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

As regards Commitment Appropriations, the budget amounts adopted in 2021 and requested for 2022 are in line with the financial programming. The payment appropriations are established on the basis of estimated payment needs triggered by old and new commitments. Considering the increasing humanitarian needs, it is foreseen that implementation will follow the same trend as in programme 2014-20 with limited or any difficulties, i.e. 100%.

### **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

	<b>Commitments</b>	<b>Payments</b>
Implementation Voted budget	<b>10 264 826 877</b>	<b>10 291 154 978</b>
Implementation carry-overs	<b>0</b>	<b>115 141 941</b>
Implementation total	<b>10 264 826 877</b>	<b>10 406 296 919</b>
total envelop*	<b>10 264 886 533</b>	
cumulative implementation rate	<b>100%</b>	<b>101%</b>

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

The 2014-2020 budget has been fully implemented (100%). The annual adopted budgets have each time been reinforced from different sources to respond to new humanitarian crises and aggravation of existing ones. In 2020, the total reinforcements amounted to EUR 1.044 billion from the Emergency Aid Reserve (EUR 404.1 million, including EUR 80 million specifically targeting Covid response), redeployment from other instruments (EUR 97.727 million), an amending budget to assist refugees in Turkey (EUR 485 million) and the European Development Fund (EUR 59.9 million). The humanitarian context during the period, characterised by constant increase of unmet needs, and DG ECHO's implementation capacity explain the implementation rates.

As an example, in February 2020, through its humanitarian aid funding, the EU was among the very first to respond to the World Health Organization's Coronavirus Response Plan. EUR 30 million of direct funding was allocated to meet the most pressing needs in some 10 countries already facing humanitarian crises, in line with the EU's priority to have a global, coordinated response to support countries most at risk, based on assessment and needs. In view of the magnitude of needs, an additional amount of EUR 50 million was made available in May to help vulnerable people facing major humanitarian crises, such as the Rohingya or crisis-affected communities in the Sahel, Yemen or Northwest Syria to face a deteriorating humanitarian situation due to the coronavirus.

A re-prioritisation of humanitarian needs and budgetary reinforcements were triggered by the Covid-19 pandemic in 2020 with no significant impact on budget implementation. In the context of the Covid-19 pandemic, humanitarian actions already focusing on the health sector continued helping the local health system to provide access to health care and in epidemics control and prevention. The EU conducted these actions in line with the respective countries' response plans to the coronavirus. In Turkey for example, EU-funded projects give information to refugees on how to prevent the spread of the coronavirus, offer health screening via mobile teams, distribute soap and hygiene kits and hand out comic books that help children understand what the virus is and how to protect themselves against it. Covid-19 prevention and control measures have had a huge impact on humanitarian projects focusing on education. For example, schools in Uganda have closed as part of the measures to prevent the spread of the virus, and many refugee children have to stay home. EU humanitarian funding is helping partners to distribute home-learning kits to more than 13 000 children in Kyangwali refugee settlement, in western Uganda, so that they can continue learning, even if not at school.

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.3. Previous programme performance

#### Performance

EU humanitarian aid performed well in 2020 in providing emergency assistance to people in need worldwide, particularly the most vulnerable, hit by human-induced or natural disasters, with the Covid-19 pandemic compounding the needs and in many cases complicating the response. In 2020, the EU and the 27 Member States' humanitarian aid contributions amounted to more than USD 9 billion, representing 36.3% of the global share.<sup>3</sup> As the world's largest humanitarian aid donor, the EU and its Member States retained a central role in tackling humanitarian challenges worldwide, notably thanks to a close cooperation with the United Nations Office for the Coordination of Humanitarian Affairs (OCHA), United Nations agencies and other donors. This responded to the overall objectives and principles of the Union's external action as defined in Article 21 of the Treaty on European Union, including by respecting the principles of the United Nations Charter and international law. EU's humanitarian advocacy at international level also benefited the humanitarian community worldwide and indirectly people in need of humanitarian assistance, which resulted eventually in a more effective provision of humanitarian aid.

A key element explaining the achievements of EU humanitarian aid lies in the strong operational knowledge and technical expertise of the EU's unique network of humanitarian field offices spread over almost 40 countries. With a budget of EUR 2.1 billion, the EU could fund more than 170 million interventions, reaching people in need in the most fragile contexts worldwide and providing assistance in 97% of the countries for which the UN launched an appeal. The EU can moreover take advantage of the comprehensive range of humanitarian partners (around 200 partner organisations, including United Nations agencies, the international segment of the Red Cross and Red Crescent movement, and non-governmental organisations) through which people in need can receive assistance even in the areas of the world most difficult to reach. The EU also continued to play a leading role in the development of ambitious policy approaches; the 'Education in Emergencies' initiative is to be particularly highlighted in this respect as, since 2019, the EU has dedicated 10 % of its humanitarian aid budget to support actions in this field and is continuing to do so. In 2020, the EU investment in education in emergencies amounted to over EUR 115 million and supported more than 1.8 million girls and boys affected by humanitarian crises to have access to safe and quality education.

EU-funded humanitarian actions were fully needs-based as EU humanitarian assistance went directly to people affected by disaster or conflict, irrespective of their origin, ethnic group, religion, sex, age, nationality or political affiliation, and was not guided by, or subject to, political considerations. As a result, the EU remained firm on acting on the sole basis of the international humanitarian principles of humanity, neutrality, impartiality and independence.

EU-funded humanitarian aid actions made an important contribution to the objectives of (i) providing needs based delivery of EU assistance to people faced with natural and manmade disasters and protracted crises, and (ii) building the capacity and resilience of vulnerable or disaster affected communities. On the first objective, in 2020 approximately 170 million people benefitted from EU intervention worldwide, 68% of the budget was spent in countries ranked 'very high risk to disaster' according to INFORM Risk index and more than 28% of the initial budget was spent in forgotten crisis. On the second objective, in 2020, approximately 35 million persons worldwide benefitted from disaster preparedness actions in disaster prone regions and Disaster Risk Reduction has been mainstreamed in 46% of EU funded humanitarian operations.

Moreover, the EU ensured a rapid response to crises as they developed (e.g.: the EU mobilised EUR 30 million from the Emergency Aid reserve, in the aftermath of the explosions in Beirut on 4 August, to help address the immediate needs of those affected) and to new needs as they emerged (e.g. EUR 80 million in humanitarian funding from the Emergency Aid reserve were mobilised to increase the emergency response and preparedness to the Covid-19 pandemic). EU humanitarian aid was delivered while ensuring the necessary flexibility, adequate expertise, relevance, efficiency and cost-effectiveness. The scale of funding dedicated to humanitarian aid actions allowed the EU to have a meaningful impact on the ground, addressing the needs of approximately 170 million people in 89 countries. The EU alone contributed to 12% of global humanitarian funding in 2020 (corresponding to USD 3 billion)<sup>4</sup>. Positive impact was also found in regions where funding allocations were more limited, thanks to the selection of projects with high leverage or multiplier effect potential. This was particularly true for 'forgotten crises', to which the Commission continues to pay a particular attention in line with its long-standing commitment.

In addition, the EU furthered its commitment to build capacity and resilience of vulnerable or disaster-affected communities, in a targeted manner through dedicated funding to strengthen preparedness capacities for response and early action, like in the case of the Connecting Early Warning Systems in Mozambique, with action at the community level. This was done in complementarity with other EU instruments, as enshrined in the EU's Integrated Approach and in line with the humanitarian-development-peace nexus, while respecting a principled approach to humanitarian action, as it was the case of the ACP programming for Africa the Caribbean and Haiti, or MIPs funding in Nepal. Thanks to the EU's disaster preparedness targeted actions, local communities were able to react fast and efficiently when disasters occurred, thus helping to save many lives and assets in regions exposed to natural hazards, particularly climate related ones. As an example, in the township of Manila, in the Philippines the beneficiaries of micro-insurance schemes were able to buy equipment to protect their shelters, right before a typhoon hit. To complement this and

<sup>(3)</sup> The total contribution of the EU and the 27 Member States for 2020 amounted to USD 9.091.937.665. Source OCHA FTS, data retrieved on 4 March 2020.

<sup>(4)</sup> Source OCHA FTS, data retrieved on 4 March 2020.

reinforce its contribution to resilience through humanitarian action, the EU also promoted the integration of disaster preparedness and risk reduction measures in regular humanitarian response actions so that communities could be better prepared to respond to aftershocks and to reduce imminent risk to which they were exposed.

### Criticalities

The above should however not hide the fact that delivering principled humanitarian assistance is at times utterly difficult, such as in situations of armed conflict, where warring parties disregard International Humanitarian Law and interfere with or obstruct the delivery of principled humanitarian assistance in the field. Humanitarian and health care personnel, as well as medical facilities and schools have in effect been the subject of armed attacks. While the EU has repeatedly reaffirmed its firm commitment to upholding international humanitarian law, improved compliance in this area implies political support and other means beyond the remit of humanitarian aid assistance as such. Casualties in 2019 exceeded all past years recorded in the Aid Worker Security Database (AWSDB): 483 aid workers were attacked in 277 separate incidents. Victims comprised 125 aid workers who were killed, 234 wounded and 124 kidnapped<sup>5</sup>. More recently, in September 2020, two Syrian aid workers and their driver were injured after the car they were travelling in from a project site in Salqin city. In November, two aid workers were killed in South Sudan while delivering critical nutrition services. In December, four humanitarian workers were killed in a refugee camp in the Tigray region of Ethiopia.

Tribute should also be paid to the versatility and adaptability of many of the EU humanitarian partners, who may have to face difficult logistical challenges when delivering assistance in hard-to-reach areas or other types of unexpected developments in the field that may hinder said delivery. It is particularly in such situations that the in-house expertise available to the Commission, when managing EU humanitarian aid funding and interacting with the humanitarian partners in the field, proves to be invaluable. In close liaison with its partners, the expertise enables the Commission to adjust actions in the field and adapt to evolving circumstances.

While being able to meet acute humanitarian needs in a highly effective manner on a short-term basis, EU humanitarian aid is less well placed to address structural issues, in particular in the context of protracted crises, for which development actors would be best positioned to act. Such situations vindicate the need for developing further the humanitarian-development-peace nexus. This would allow humanitarian aid actors to focus on responding to acute emergencies, while development actors would support strengthening of national systems allowing inclusion of persons affected by emergencies into national service delivery. An initiative in this sense is the Global Network against Food Crises, created in 2016, which brings together development and humanitarian actors with the aim to coordinate analysis and interventions, with a focus on food insecurity.

### Impact of Covid-19

In 2020, Europe and the world were strongly impacted by the Covid-19 Pandemic. The European Union and the Member States, acting together as 'Team Europe', mobilised almost EUR 38.5 billion so far. Of this, the EU humanitarian response to needs resulting from the pandemic amounted to approximately EUR 450 million. As expected, the direct and indirect consequences of the Covid-19 pandemic were most acutely felt by populations already affected by humanitarian crises: refugees, internally displaced persons, and people living in conflict zones and/or in areas devastated by climate change.

The EU immediately responded to increase the emergency response and preparedness to the pandemic in particular in countries where healthcare systems are weak or at risk of being rapidly overwhelmed in case of epidemic outbreak.

In addition, to allow Member States and partners to transport humanitarian staff and supplies to fight the Covid-19 pandemic and to maintain the flow of humanitarian assistance hampered by the pandemic, the EU put in place the EU Humanitarian Air Bridge.

In the efforts to prevent the spread of Covid-19, many governments took measures limiting internal and cross-border movements, unintentionally also impeding humanitarian operations. The EU's advocacy in overcoming Covid-19 related impediments successfully led to the adoption of a common position by EU Member States. Dedicated discussions were also prompted with other donors in the context of the Good Humanitarian Donorship (GHD) initiative.

All ongoing and planned actions across all sectors were analysed with partners, in order to factor in the Covid-19 situation and needs. Projects needing adaptation were identified, contributing to the Covid-19 response in the most vulnerable settings (in Africa, Asia, Latin America and the Neighbourhood).

To allow Member States and humanitarian partners to transport humanitarian staff and supplies to fight the Covid-19 pandemic and to maintain the flow of humanitarian assistance, the EU temporarily put in place the EU Humanitarian Air Bridge, offering air transport to and from various destinations world-wide. It implemented 67 flights to 20 hard-to-reach countries to transport humanitarian and medical staff and supplies between May and October 2020.

---

<sup>(5)</sup> Source: Aid Worker Security Report 2020.

### 3.2. Key achievements

EUR 2.1 billion	89	1.87 million	67
of humanitarian aid provided to the most vulnerable in 2020.	Countries received humanitarian aid from the EU in 2020.	girls and boys benefited from the education in emergencies initiative in 2020.	flights were organised by the EU Humanitarian Air Bridge to deliver more than 1.2 tons of medical and humanitarian equipment and to transport more than 1 700 medical and humanitarian staff and other passengers in 2020.

In 2020, the EU provided **over EUR 2.1 billion in aid to the most vulnerable** (including EDF and externally assigned revenues) across **more than 80 countries**.

The EU's principled and needs-based approach to humanitarian aid includes addressing 'forgotten crises' (crises with little media attention and poor coverage<sup>6</sup>; more than 28% of the budget). The EU was thus present in every significant humanitarian crisis in 2020 with a variety of adapted funding tools. In larger crises, the EU consistently responded to situations where other donors were not present and often played the role of coordinator and catalyst. 86.9% of the contracts were issued within a very short timeframe (11 days).

**Education in Emergencies** remained a flagship policy, 10% of the budget was dedicated to it, and more than **1.87 million boys and girls in the most vulnerable situations** benefited from it. Moreover, the EU continued to mainstream gender considerations across humanitarian sectors of action, and advanced in the implementation of the approach to gender and gender-based violence in humanitarian crises outlined in the Staff Working Document 'Gender: Different Needs, Adapted Assistance'<sup>7</sup>. In addition, the EU took specific measures in order to mainstream the needs of persons with disabilities across all EU-funded humanitarian actions.

The EU continued to invest in disaster preparedness as an essential means to strengthen national and local response systems in order to reduce humanitarian needs caused by disasters, natural hazards and those related to other types of risks (biological, industrial, etc.) and threats (violence and conflicts). A total of EUR 50 million financed 16 countries<sup>8</sup> and 5 regional interventions across the globe in 2020.

In the framework of its co-chairmanship with Switzerland of the Good Humanitarian Donorship (GHD) initiative (June 2018 – June 2021), the EU continued in 2020 to promote principled donor behaviour, while taking into account the new challenges emerging from the Covid-19 pandemic (e.g. access restrictions). The overall priorities of the GHD co-chairmanship include: reconciling counter-terrorism measures and principled humanitarian aid, promoting respect for international humanitarian law (IHL), innovative financing, as well as assessing the impact of the UN Development System reform rollout on the international humanitarian response in the field.

Besides being co-convenor of the Grand Bargain's work stream 5 on coordinated needs assessments, the EU joined the Facilitation Group (FG) of the Grand Bargain, where it has been playing an active role since October 2019. In April 2020, the EU chaired the Facilitation Group.

As part of its commitment to International Humanitarian Law and safeguarding humanitarian space, in December 2020 the European Union joined the Humanitarian Call for Action launched by Germany and France. In 2020, the EU continued guaranteeing fast and safe access to the field; ECHO Flights continued supporting Humanitarian Aid Transport Services. To allow Member States and humanitarian partners to transport humanitarian staff and supplies to fight the Covid-19 pandemic and to maintain the flow of humanitarian assistance, the EU temporarily put in place the **EU Humanitarian Air Bridge**, offering air transport to and from various destinations worldwide. It implemented **67 flights to 20 hard-to-reach countries** to transport humanitarian and medical staff and supplies between May and October 2020.

Additional examples of EU support in humanitarian crisis:

- The EU continued to deliver life-saving assistance and support to millions of people affected by the crisis in Syria. The EU allocated EUR 263 million to support the most vulnerable impacted by this crisis (including refugees in Lebanon and Jordan) and continued to deliver life-saving assistance and to support millions of people throughout Syria, focusing on the vital delivery of food, medicine, water, and shelter items. In Turkey, the EU continued providing support to the largest

<sup>(6)</sup> As example: Algeria, Burkina Faso, Cameroon, Central America, Chad, Colombia, Mali, Mauritania, Niger, Pakistan, Philippines, Senegal, Sudan, Ukraine

<sup>(7)</sup> [https://ec.europa.eu/echo/files/policies/sectoral/Gender\\_SWD\\_2013.pdf](https://ec.europa.eu/echo/files/policies/sectoral/Gender_SWD_2013.pdf)

<sup>(8)</sup> Bangladesh, Burkina Faso, Burundi, Cameroon, Chad, Ethiopia, Haiti, Iraq, Myanmar, Nepal, Niger, Nigeria, Pakistan, Palestine, Philippines, Uganda + regional approach in the Caribbean, Central America/Mexico, South America, Southern Africa and South-East Asia.

refugee population in the world (close to 4 million, of which 3.6 million Syrians). Under the EU Facility for Refugees in Turkey, the EU contracted about EUR 2.4 billion of humanitarian projects. In addition, it has allocated EUR 531.7 million in humanitarian funding for 2020, including EUR 485 million for the Emergency Social Safety Net (which provides monthly cash payments directly to refugees through a debit card to help meet their basic needs. It supported over 1.8 million refugees by the end of 2020) and the Conditional Cash Transfer for Education which (provides cash transfers to vulnerable families to promote school enrolment and attendance for refugee children. By the end of 2020, it reached nearly 630 000 children).

- In response to the complex crisis in the Sahel, in 2020, the Commission covered emergency humanitarian needs in seven countries of the wider Sahel region (Burkina Faso, Mauritania, Mali, Chad, Niger, Nigeria and Cameroon). The Commission allocated over EUR 190 million (including more than EUR 124 million to the most vulnerable population in the G5 countries) to support interventions in the sectors of food assistance, health, nutrition, education, water and sanitation, protection, coordination and logistics.
- Since the end of 2019, the Horn of Africa has suffered from the worst infection of locusts in decades. The situation remains critical, and over 30 million food-insecure people are further threatened. The EU mobilised EUR 66 million to curb the impact of the infestation, by pre-positioning food and providing food assistance; providing livelihood support (seeds and fodder distribution), supporting nutrition centres and the procurement of nutrition supplies, using cash-based interventions whenever possible.
- In response to the Venezuela crisis, the EU allocated a total of EUR 67.7 million in 2020 to support the affected population in Venezuela and in the wider Latin America region, mainly for the provision of health and nutrition, water and sanitation, protection, education in emergencies, as well as support to host communities. The EU was on the frontline in the organisation of the 2020 Pledging conference in response to the Venezuela migration and refugee crisis.
- Afghanistan continues to be one of the deadliest conflicts worldwide, and about 17 million people live in areas affected by the conflict. 16 million Afghans were severely food insecure in 2020, and the number of internally displaced persons increased to over 3.4 million. In 2020, the EU supported health care and relief operations, in areas of the country, which cannot be supported by other donors. About 10 million Afghans are refugees, the majority in Iran and Pakistan. Here, the EU supported them, the host communities and the most vulnerable local population to access basic services with a total of EUR 23 and 37.9 million respectively.

### 3.3. Evaluations, studies and reports

The time scope of the Humanitarian Aid Regulation (Council Regulation (EC) No 1257/96) is not limited to the duration of one Multiannual Financial Framework. Evaluations could thus cover parts of two different MFF cycles. In addition, because of the ‘continuous’ nature of humanitarian operations, it is deemed that evaluation results have a validity for the medium term (3-5 years) unless actions have been substantially modified, which also provides a basis for the Commission (DG ECHO)’s evaluation approach, by which basically all humanitarian interventions are evaluated over a five-year period. The comprehensive evaluation of European Union Humanitarian Aid (2012-2016) was finalised in 2017. The evaluation considered that EU funded actions were found to be overall cost-effective and positively contributing to saving lives, reducing morbidity and suffering as well as improving dignity of life of populations affected by disasters, and presented some areas of improvement that have been subsequently evaluated in evaluations of concrete actions.

Areas for improvement encompass developing, when appropriate, a more programmatic approach to the partnership between the EU as a donor and its humanitarian partners; increasing the involvement of local implementing partners in the delivery of EU-funded actions; scaling up successful innovative approaches and improved reporting; more systematic coherence and synergies between the EU humanitarian aid and civil protection activities; better communication of the rationale of the EU’s strategic directions; as well as continued emphasis on Linking Relief, Rehabilitation and Development (LRRD) and defining exit strategies.

As a response to the above findings, the Commission (DG ECHO) is, among other actions, 1) looking at ways of further facilitating a longer-term approach to the funding of operations where appropriate; 2) putting in place a framework that would allow for a more strategic or more programmatic relationship with key NGO partner organizations; 3) working on the elaboration of an overall strategy on localisation; 4) improving its communication of the underlying rationale for allocations internally and externally; and 5) working to establish a distinct longer-term reflection process on data collection needs, in the context notably of DG ECHO’s push for building further its evidence-based policy-making capacity.

The following humanitarian aid evaluations were finalised in 2020:

- Combined Evaluation of the European Union’s Humanitarian Interventions in Iraq and in the Protection Sector, 2014-2018. The evaluation found that programming in Iraq and globally in the Protection sector generally achieved short-term objectives; addressing broader threats and deeper vulnerabilities encountered more challenges. Advocacy in Iraq had multiple areas of success. Efficiency and cost-effectiveness of humanitarian aid in Iraq were appropriate, with possibilities for building staff capacities. Nexus results were relatively weak despite some successes. There was some variability in the quality of needs analyses in Iraq and globally, with good relevance of programming relative to needs identified and the context, though with questions regarding the decreased funding in 2018. Recommendations focus on strengthening protection programming, advocacy, strategic planning, capacity for assessing efficiency and cost-effectiveness, deliberation around humanitarian principles, and the nexus.

- Evaluation of the European Union's humanitarian assistance in Ukraine (2014-2018). The evaluation found that EU humanitarian aid was rapid and effective, and overall performed very well. The EU demonstrated system-wide leadership in strategic thinking and coordination. Member States regarded highly the field team's strength and its access to the Non-Government-Controlled Areas (NGCAs). In Ukraine, the EU supported several innovations: notably system-wide joint and impartial needs assessment, advancing an explicit Joint Humanitarian-Development Framework with the other European Union services, and supporting the creation of the Ukraine Humanitarian Fund. All donors, including the EU, were somewhat slow to adapt their programming to the unusually high proportion of vulnerable elderly persons in the affected population. Government, development and humanitarian actors were also slow to connect and work together in the most-affected Government-Controlled Areas. Although access is difficult, needs in the NGCAs remain high, and should continue to be the focus of advocacy and programming in 2020 and beyond.

Evaluations are published on: [http://ec.europa.eu/echo/funding-evaluations/evaluations\\_en](http://ec.europa.eu/echo/funding-evaluations/evaluations_en)

#### **4. Programme 2021-2027 - Key monitoring indicators**

##### **Specific Objective 1 : Provide an adequate and effective humanitarian assistance to populations affected by humanitarian crises**

**Indicator 1: Geographical coverage of the EU Humanitarian Aid: Number of countries with EU supported operations as a percentage of countries in need of humanitarian assistance according to UN Humanitarian Appeals.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
96%										100%
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	UN FTS
Link to the objective	A Stronger Europe in the World
Link MFF 14-20 / MFF 21-27	New indicator, linked to the Strategic Plan 2020-2024
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Percentage humanitarian aid funding targeting actions in forgotten crisis**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2019	Milestones									
15.77%										>15%
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	
Data source	EVA Actions
Link to the objective	A Stronger Europe in the World
Link MFF 14-20 / MFF 21-27	New indicator, linked to the Strategic Plan 2020-2024
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Percentage of Humanitarian Aid initial budget allocated to Education in Emergencies**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
10%										10%
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	
Data source	Initial allocations based on the Draft humanitarian aid budget
Link to the objective	A Stronger Europe in the World
Link MFF 14-20 / MFF 21-27	New indicator, linked to the Strategic Plan 2020-2024
Other methodological comments	1) Draft humanitarian aid budget adopted by the Commission. 2) An overall indicative EiE funding target is established; 3) Based on the country EiE funding estimates coming from IAF, indicative country EiE targets are established with a view to reaching the overall EiE target; 4) The indicative EiE targets are part of the geographical envelopes and are communicated in the HIPTAs in the autumn.
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Number of children reached with EU Education in Emergencies assistance

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
1,86										> 1,58
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Number of children (in million)
Cut-Off Date	
Data source	HOPE database
Link to the objective	A Stronger Europe in the World
Link MFF 14-20 / MFF 21-27	New indicator, linked to the Management Plan 2020
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Number of humanitarian projects per sector

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Multi-purpose cash transfer										
2019	Milestones									
77										Final
	Actual Progress									
Protection										
2019	Milestones									
539										Final
	Actual Progress									
Food Security and Livelihood										
2019	Milestones									
229										Final
	Actual Progress									
Health										
2019	Milestones									
304										Final
	Actual Progress									
Education in Emergencies										
2019	Milestones									
228										Final
	Actual Progress									
Shelter and Settlements										
2019	Milestones									
156										Final
	Actual Progress									

Nutrition											
2019	Milestones										
280	Actual Progress										Final
WASH											
2019	Milestones										
315	Actual Progress										Final
Disaster risk reduction/ preparedness											
2019	Milestones										
501	Actual Progress										Final
Coordination											
2019	Milestones										
266	Actual Progress										Final
Support Operations											
2019	Milestones										
135	Actual Progress										Final
Mine actions											
2019	Milestones										
25	Actual Progress										Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects per sector
Cut-Off Date	
Data source	EVA Action - EU Database
Link to the objective	A Stronger Europe in the World
Link MFF 14-20 / MFF 21-27	New indicator, linked to the Management Plan 2020
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 6: Number of interventions of ECHO funded humanitarian aid operations (beneficiaries)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target	
2019	Milestones										
177	Actual Progress										> 177
											Final

Are we on track	
Indicator type	Result
Unit of measurement	Million people
Cut-Off Date	
Data source	Number of beneficiaries declared by the partners implementing humanitarian projects funded by DG ECHO.
Link to the objective	A stronger Europe in the world
Link MFF 14-20 / MFF 21-27	This indicator is a continuation of the 2014-2020 indicator "Total number of beneficiaries of Commission's interventions"
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 : Ensure people and communities at risk of disasters are resilient and prepared**

**Indicator 1:Percentage of humanitarian assistance grants including elements of disaster preparedness, resilience and disaster risk reduction**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
2020	Milestones									
58%										75%
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	
Data source	HOPE database
Link to the objective	A Stronger Europe in the World
Link MFF 14-20 / MFF 21-27	New indicator, linked to the Strategic Plan 2020-2024
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**5. Programme 2014-2020 - Key monitoring indicators***Previous Program 1 : Humanitarian aid*

**General Objective 1 :The aim of the humanitarian aid policy as defined in article 214 of the Treaty on the Functioning of the European Union and the Council Regulation 1297/96 is to provide ad hoc assistance and relief and protection for people in third countries who are victims of natural or man-made disasters, in order to meet the humanitarian needs resulting from these different situations.**

**Indicator 1:Number of deaths due to natural disasters**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2010-2012	Milestones									2020
98 689	≤ 100 000	≤ 100 000	≤ 100 000	≤ 100 000	≤ 100 000	≤ 100 000	≤ 100 000			≤ 100 000
	Actual Progress									Final
	20 882	23 834	10 273	9 066	10 373	23 947	14 856			14 856

Are we on track	On track
Indicator type	
Unit of measurement	Number of deaths
Cut-Off Date	31/12/2020
Data source	As recorded in the EM-DAT database
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	It should be noted that a very important part of the annual results and evolution of this indicator depends on external factors (occurrence, frequency, severity and location of disasters) which are entirely beyond the control of the Commission. The specific contribution of EU humanitarian aid to the evolution of this indicator is difficult to assess.
Full metadata available at this address	
Justification of the trend	Overall, the trend of decreasing deaths due to natural disasters continued in 2020. In 2020, approximately 40% of reported fatalities in the EM-DAT database were in Western Europe due to extreme heat events. This is followed by fatalities globally due to storms and flooding.

**Indicator 2:Number of countries ranked very high risk to disasters in the INFORM Index**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
12	≤ 11	≤ 11	≤ 14	≤ 14	≤ 13	≤ 13	≤ 12			≤ 12
	Actual Progress									Final
	13	13	13	11	15	14	16			16

Are we on track	Deserves attention**
-----------------	----------------------

Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	INFORM
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The index for Risk Management - INFORM is a global, open-source risk assessment for humanitarian crises and disasters. INFORM is a collaboration of the Inter-Agency Standing Committee Task Team for Preparedness and Resilience and the European Commission, developed in a partnership of 23 international and civil society organisations and governments. INFORM consolidates information about risk from different sources into a risk profile for every country, by assessing natural and human hazards and exposure, vulnerability and lack of coping capacity. INFORM categorises countries in five risk clusters: very high, high, medium, low and no risk. More on: <a href="http://www.inform-index.org">www.inform-index.org</a> . In 2017 : Afghanistan, Central African Republic, Chad, Democratic Republic of Congo, Iraq, Niger, Somalia, South Sudan, Sudan, Syria, Yemen. (continues)
Full metadata available at this address	(continues) It should be noted that a very important part of the annual results and evolution of this indicator depends on external factors (occurrence, frequency, severity and location of disasters) which are entirely beyond the control of the Commission. Indeed, the nature and scale of the disasters (natural ones for instance) is not under the control of the EU intervention and is also often evolving positively or negatively mostly due to national situations (such as investment in infrastructures, or on the contrary conflicts etc.).
Justification of the trend	This indicator is the result of the methodology applied, EU humanitarian aid actions have a very limited impact on the evolution of this indicator.

### Specific Objective 1 :Provide needs based delivery of EU assistance to people faced with natural and manmade disasters and protracted crises

#### Indicator 1:% of non-emergency agreements signed in maximum 11 working days

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
0,77			0,95	0,95	0,95	0,95	0,95			0,95
	Actual Progress									Final
		0,77	0,72	0,73	0,62	0,66	0,86			0,86

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	Hope database
Narrative	This indicator measures the speed of handling of emergency contracts under humanitarian aid policy
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This indicator evaluates procedures for non-emergency proposals. In 2018, DG ECHO required partners to provide assurance that they had the right systems in place to prevent and respond to Sexual Exploitation, Abuse and Harassment cases. This extra procedure delayed the contracting of non-emergency agreements.
Full metadata available at this address	
Justification of the trend	The trend of this indicator has improved, and DG EGHO is close to the target.

#### Indicator 2:Total number of beneficiaries of Commission's interventions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
106	73	73	73	73	73	73	77			77
	Actual Progress									Final
	105	110	116,6	129	144	177	170			170

Are we on track	On track
Indicator type	
Unit of measurement	Million beneficiaries
Cut-Off Date	
Data source	INFORM
Narrative	
Methodology	

Link MFF 14-20 / MFF 21-27	
Other methodological comments	Measured by the total number of humanitarian aid interventions (estimated by the number of 'action beneficiaries' as declared by the partners implementing humanitarian projects funded by DG ECHO). This indicator is based on the aggregation of the estimated number of 'action beneficiaries' as declared by the partners implementing humanitarian projects funded. One single individual beneficiary in need of humanitarian assistance can thus benefit from more than one humanitarian action and from more than one project. DG ECHO is engaged in methodological work and improving data collection aiming at a better estimate of the number of people assisted by EU humanitarian aid in different crises. (continues)
Full metadata available at this address	(continues) It should be noted in this context that since 2014 the EU has increasingly been funding operations where multi-sector assistance is provided to beneficiaries (as opposed to a single action providing assistance only in a single sector, such as shelter, or food, or protection), often through recourse to multi-purpose cash interventions: these are becoming a major delivery mode for the EU's humanitarian interventions, with their proportion in the EU's overall humanitarian aid programme steadily rising in recent years (to account for 35% of the total in 2017), where a single intervention thus replaces several sectorial interventions. This is the case, for example, for the Facility for Refugees in Turkey or large parts of the EU's assistance to refugees in other countries neighbouring Syria.
Justification of the trend	The figure for 2020 is still an estimate, and subject to change. The number of interventions is lower than in 2019 due to the slight decrease of the budget and the increase of multi-purpose cash actions.

### Indicator 3: % of HA funds spent in "very high risk to disaster" countries

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0,50			0,53		0,55		0,56			0,56
	Actual Progress									Final
	0,51	0,525	0,534	0,527	0,45	0,7858	0,6833			0,6833

Are we on track	On track
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	
Data source	
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The calculation for 2019 and 2020 includes Turkey, because the spent amount in this country is related to the Syria crisis (Syria is a "very high risk to disaster" country).
Full metadata available at this address	
Justification of the trend	The decrease compared to 2019 is mostly explained by the higher level of funding in 2019 to the Syrian crisis, including Turkey.

### Indicator 4: % of projects in the health, nutrition, food, shelter and WASH sectors using standard output indicators ('Key Result Indicators')

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
		90%		90%	90%		90%			90%
	Actual Progress									Final
	73,0%	77,0%	62,0%	68,0%	100%	100%	88,45%			88,45%

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	List of KRIs available at <a href="https://myintracomm.ec.europa.eu/echo/partners/fpa/Documents/EN.pdf">https://myintracomm.ec.europa.eu/echo/partners/fpa/Documents/EN.pdf</a>
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Measured by the total number of humanitarian aid interventions (estimated by the number of 'action beneficiaries' as declared by the partners implementing humanitarian projects funded by DG ECHO). This indicator is based on the aggregation of the estimated number of 'action beneficiaries' as declared by the partners implementing humanitarian projects funded. One single individual beneficiary in need of humanitarian assistance can thus benefit from more than one humanitarian action and from more than one project. DG ECHO is engaged in methodological work and improving data collection aiming at a better estimate of the number of people assisted by EU humanitarian aid in different crises. It

	should be noted in this context that since 2014 the EU has increasingly been funding operations where multi-sector assistance is provided to beneficiaries (as opposed to a single action providing assistance only in a single sector, such as shelter, or food, or protection), (continues)
Full metadata available at this address	(continues) often through recourse to multi-purpose cash interventions. These are becoming a major delivery mode for the EU's humanitarian interventions, with their proportion in the EU's overall humanitarian aid programme steadily rising in recent years (to account for 35% of the total in 2017), where a single intervention thus replaces several sectorial interventions. This is the case, for example, for the Facility for Refugees in Turkey or large parts of the EU's assistance to refugees in other countries neighbouring Syria.
Justification of the trend	Over the past seven years, the use of KRIs in humanitarian sectors has increased. In 2018, it was reported that 100% of the actions were adopting KRIs; this percentage even exceeded the target set at 90%. In 2020, the percentage of actions using KRIs stabilised at 88,5%, being almost in line with the target. The general trend shows a growing use of KRIs in health, food, nutrition, wash and shelter sectors.

### Indicator 5: % of EU HA initial budget for specific crises spent in forgotten crises

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0,156			0,18		0,15		0,15			0,15
	Actual Progress									Final
	0,165	0,167	0,172	0,158	0,339	0,1577	0,2846			0,2846

Are we on track	On track
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Forgotten crises countries based on the Commission Forgotten Crises assessment - as explained and described in the yearly Operational Priorities document of DG ECHO.
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In 2017, the calculation methodology has been modified. While the percentage of the budget allocated to forgotten crises was previously calculated as a proportion of the HA initial budget including the operational reserves, it is now compared to the HA initial budget excluding the operation reserves. This amendment is necessary given that, throughout the year, based on needs assessments, the operational reserves can also be allocated to forgotten crises. Therefore the old method of calculation could potentially underestimate the percentage of the budget allocated to forgotten crises. The baseline and the actual results pre-2017 have been recalculated according to the new methodology. The milestones and targets have also been corrected and updated: the objective for the Commission is to provide a minimum of 15% of its initial humanitarian aid budget to forgotten crises.
Full metadata available at this address	
Justification of the trend	When calculating the result in 2020, errors in the implementation of the methodology in 2019 have been identified. Therefore, the 2019 result has been updated. The significant increase in 2020 compared to 2019 is related to the significantly higher initial budget in 2019, which included EUR 600 million for Turkey and with Syria not considered a forgotten crisis.

### Specific Objective 2 :Build the capacity and resilience of vulnerable or disaster affected communities

#### Indicator 1: Number of persons benefiting from DIPECHO actions in disaster prone regions

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
18	≥ 18	≥ 18	≥ 18	≥ 18	≥ 18	≥ 18	≥ 19			≥ 19
	Actual Progress									Final
	16	24	24	20	28	38	35			35

Are we on track	On track
Indicator type	
Unit of measurement	Million beneficiaries
Cut-Off Date	31/12/2020
Data source	Hope database
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	

Full metadata available at this address	
Justification of the trend	In 2020, 35 million persons worldwide benefitted from disaster preparedness actions in disaster prone regions, which is a slight decrease from 2019 but well above the milestone. Additionally, there was a number of projects working on country-level structural disaster preparedness measures where the number of persons benefitting directly could not be easily established.

**Indicator 2: No of vulnerable countries with country resilience priorities in place**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
	3		10				20			20
	Actual Progress									Final
	7	9	11	17			n.a.			

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	EU Del, MIPs, CSPs
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	This indicator is obsolete.

**Indicator 3: % of actions 'on track' of Resilience Action Plan.**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
	70%		80%				90%			90%
	Actual Progress									Final
	80%	85%	85%	85%			n.a.			

Are we on track	No data
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Transition Interservice Working Group on Resilience
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	Obsolete indicator. DG ECHO and DG DEVCO stopped monitoring the resilience action plan as the priority of the Commission was put on operationalising the nexus approach as of 2017.
Full metadata available at this address	
Justification of the trend	This indicator is obsolete

**Indicator 4: % of ECHO funded operations in which Disaster Risk Reduction has been mainstreamed**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0,40	0,45	0,45	0,45	0,45	0,45	0,45	0,50			0,50
	Actual Progress									Final
	0,49	0,43	0,57	0,65	0,52	0,68	0,46			0,46

Are we on track	Moderate progress
Indicator type	
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	ECHO DRR metrics – E-single form
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	The percentage of ECHO funded operations in which Disaster Risk Reduction has been mainstreamed

is counted from the total number of DG ECHO funded operations. In 2020 it appears to be slightly lower than 2019 because the total number of DG ECHO funded operations in 2020 is higher than the total number of 2019 operations – this is mainly due to the increase of projects to prepare or respond to COVID-19. However, the number of ECHO funded operations in which Disaster Risk Reduction has been mainstreamed in 2020 is double the number of 2019.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

In the 2014-2020 period, the total contribution for climate mainstreaming was EUR 1.06 billion. The figure for 2020 (EUR 803.73 million) is the result of the application of a new methodology that allows a more precise analysis of climate spending.

DG ECHO is implementing the central tracking at commitment level, to improve the accuracy and reliability of the data on climate action. The tracking is based on EU climate markers methodology, made of three scores (0/40/100).

#### **6.1.3. Key achievements**

In 2020, DG ECHO financed the NGO Medair with 1.2 million Euros to support the strengthening of Early Warning System (EWS) and linking it to Early Action (EA) in one of the regions most exposed to cyclones in the central west of Madagascar, the Menabe region. The growing of intensity and frequency of these events caused by climate change, in fact, has increased the vulnerability of the population and revealed the weakness of early warning capacity in these areas, as it was in the case of cyclone Idoi in 2019. The intervention (ongoing) aims at reinforcing community / district and province preparedness and capacity for early warning and early action in response to climate related shocks while scaling up the use of innovative technologies.

#### **6.1.4. Performance**

Over the course of the past multi-annual financial framework 2014-2020, DG ECHO has successfully integrated climate action into its activities, primarily in terms of adaptation to climate change – both through the civil protection and humanitarian programmes.

On the humanitarian side, the increased emphasis on climate risk integration and preparing for climate impacts culminated in the revision of DG ECHO's disaster preparedness approach in 2020, as well as the priorities for the Disaster Preparedness Budget Line, which now has a dedicated funding priority on climate and environmental resilience. Increased emphasis on anticipatory action as part of the renewed disaster preparedness approach is also a direct contribution to being better prepared for climate impacts. In 2020, the Resilience Marker was also revised to better capture the extent to which humanitarian projects have embedded considerations of climate risks and contribute to climate resilience. All of this suggests a successful integration of climate action into the humanitarian programme between 2014-2020.

### **6.2. Contribution to biodiversity mainstreaming**

#### **6.2.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.2.2. Explanation and justification on the financial contribution**

In 2020 DG ECHO put forward an ambitious approach to reducing the environmental footprint of humanitarian aid, which will contribute to the protection of biodiversity in humanitarian contexts by reducing deforestation, supporting natural regeneration of ecosystems around camps and settlements and generally reducing pressures on the natural environment. This is also reflected in the funding allocation for disaster preparedness – i.e. the Disaster Preparedness Budget Line 23 02 02 – where environmental (and climate) resilience is identified as a priority for funding for the next 4 years (2021-2024). Additionally, as part of its commitment to

advocate globally for compliance with international humanitarian law, DG ECHO also promotes the respect of the rules on the protection of the environment in armed conflict.

n/a – environmental mainstreaming will apply from 2022 HIPs – no data so far.

### 6.2.3. Key achievements

n/a – environmental mainstreaming will apply from 2022 HIPs – no data so far.

### 6.2.4. Performance

n/a – environmental mainstreaming will apply from 2022 HIPs – no data so far.

## 6.3. Contribution to clean air financing

Not applicable

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

The Commission is committed to ensuring that EU humanitarian aid takes into account the different needs and capacities of women and men of all ages.

The Gender-Age Marker is a tool that assesses to what extent humanitarian actions integrate gender and age considerations. The Gender-Age Marker uses a set of four criteria to assess how strongly humanitarian actions are adapted to and integrate gender and age considerations. The Gender-Age Marker represents a new generation of assessment tools and strengthening the integration of gender and age concerns is an organizational change process for partners that can take time. In the coming years, the EU will continue the targeted training of implementing partners, as well as the dissemination and further development of guidance and toolkits on the gender-age cross-cutting issues. The development of operational best practices will continue to be based on operational experience. Systematic monitoring of operational guidance implementation via feedback loops will be ensured taking into account the results of the assessment of the first three years of implementation.

Several assessment parameters have been developed to ensure quality programming one of them being the Gender-Age Marker.

A first assessment report on the Gender-Age Marker, covering 2014-2015, highlights the usefulness of the Marker and calls upon partners to continue investing in capacity building on gender and age. In June 2020, the EU published its second assessment report on its Gender-Age Marker, showcasing that for projects starting in 2016 and 2017, 89% of all EU humanitarian aid integrated gender and age considerations 'strongly' or 'to a certain extent'.

In December 2019, the EU launched its first-ever e-learning on its Gender-Age Marker, which has since further contributed to build capacity on gender and age mainstreaming and the application of the Marker for its staff and partners.

Furthermore, the EU continued to operationalise its approach to gender and gender-based violence in humanitarian crises outlined in the Staff Working Document 'Gender: Different Needs, Adapted Assistance', supporting prevention and responding to gender-based violence, including through targeted actions and capacity-building of humanitarian actors in this area.

The EU continues to be an active member of the global initiative Call to Action on Protection from Gender-Based Violence in Emergencies (having previously led the initiative between June 2017 and December 2018). In September 2020, a new Call to Action Road Map covering the period 2021-2025 was launched officially at the United Nations General Assembly meeting, in an event hosted by global lead 2010-2020 Canada, and attended by Commissioner Lenarčič.

In 2019, an Enhanced Response Capacity project (UNFPA) that was started during this leadership culminated in the development of inter-agency standards on gender-based violence in emergencies and guidance on how to develop context-specific Call to Action Road Maps (from pilots in Nigeria and Democratic Republic of the Congo). During 2019 and 2020, DG ECHO allocated approximately EUR 56 million to prevent and respond to sexual- and gender-based violence. Furthermore, during 2019 and 2020, it is estimated that the EU allocated approximately EUR 45 million to reproductive health from its humanitarian health programming. In May 2019, the Commissioner for Crisis Management represented the European Union at an international conference on sexual- and gender-based violence in Oslo reiterating the EU's commitment and showcasing EU actions in this field.

In the framework of the implementation of the European Union Gender Action Plan II (2016-2020), progress has been made towards the aim of transforming the lives of girls and women through ensuring their physical and psychological integrity,

promoting their economic and social rights and strengthening girls' and women's voice and participation. A new Gender Action Plan for the EU external dimension for 2021-2025 was adopted in November 2020. The new Gender Action Plan includes a number of humanitarian priorities, including on GBV, sexual and reproductive health and the Gender-Age Marker.

## **6.5. Contribution to the sustainable development goals**

### **6.5.1. Goals**

Not applicable

### **6.5.2. Key achievements and performance**

#### ***SDG 1 End poverty in all its forms everywhere***

The provision of humanitarian aid to the most vulnerable, sometimes in the form of cash transfers for their basic needs, contributes to paving the way for national social safety nets and more structural poverty reduction national programmes.

#### ***SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture***

Humanitarian food and nutrition aid will continue to contribute to improved nutrition outcomes and food security by applying an integrated and multisectoral approach.

The fight against acute hunger and acute malnutrition (severe and moderate) is at the centre of humanitarian interventions aiming at reducing the excess mortality and morbidity caused by hunger and malnutrition. Nutrition interventions in emergencies respond to specific needs of targeted vulnerable groups (infants, young children and pregnant and lactating women), by addressing the immediate and underlying causes of malnutrition. Immediate access to food and free access to lifesaving healthcare respond to acute food and nutrition crises; water, sanitation and hygiene measures together with the provision of accessible health services (disease control measures) and safe environments play a dominant role in individual nutritional status.

Climate change, conflicts and economic shocks increasingly influence food security and nutrition in fragile settings. In 2020, these drivers were exacerbated by the direct and indirect effects of Covid-19, and by the locust upsurge in East Africa and the Arabian Peninsula. More effective and efficient ways of providing humanitarian aid are important to test innovative approaches (e.g. cash transfers, simplified protocols, community-based management of acute malnutrition surge, anticipatory action systems) to make national systems more resilient and able to prepare for and respond to periodic crises.

For example, in 2020 DG ECHO applied an integrated response to the locust crisis affecting the Greater Horn of Africa region. The intervention included an anticipatory element consisting of early food assistance to affected populations and support to the surveillance and control activities led by FAO. It also included a livelihood support programme to help and accelerate the recovery.

DG ECHO funding for nutrition aims at providing lifesaving interventions to the most vulnerable populations. For example, severely malnourished children in Sudan are given therapeutic food in treatment centres; in Ethiopia, recurrent droughts make children much more at risk of acute malnutrition in the Somali region. Humanitarian support responds to the nutritional needs of these children in remote areas with no access to basic services. In Syria, children under 5 years of age and pregnant and lactating women disproportionately affected by the conflict are included in nutrition programmes and provided with treatment to severe acute malnutrition and comprehensive healthcare services.

#### ***SDG 3 Ensure healthy lives and promote well-being for all at all ages***

The health humanitarian assistance aims at limiting excess preventable mortality, permanent disability and diseases associated with humanitarian crises. Lifesaving healthcare services are essential for the most vulnerable populations (children under 5 years old, women, displaced populations) affected by natural or manmade humanitarian crises. In fragile and heavily disrupted systems, humanitarian health funding contributes to the provision of primary healthcare (e.g. in cyclone-affected areas of Mozambique), vaccinations (e.g. during the ongoing Ebola outbreak in the Democratic Republic of Congo), access to medicines and medical devices. Emergency health response to outbreaks and building national capacities for preparedness is important to cope with increased relapse of epidemics.

Mental health and psychosocial support is an integral part of the humanitarian health assistance in case of sexual violence, mental disorders, trauma and high distress (e.g. for conflict-affected people in Ukraine, refugees in Uganda, internally displaced persons in South Sudan). Digitalisation and innovation in the health sector has prominently influenced also humanitarian interventions (e.g. electronic medical records, mobile apps for contact tracing).

#### ***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The EU continues to be a strong advocate for Education in Emergencies on the international stage. Providing safe and quality education to the most vulnerable children affected by emergencies is a priority of the programme, with funding for Education in Emergencies increasing significantly from 1% of the humanitarian aid budget in 2015 to 10% as of 2019. In the 2015-2020 programming period, the EU invested over EUR 600 million in education in emergencies-related activities. Projects focussed on facilitating access to inclusive, quality and safe education. Activities supported included removing e.g. financial, administrative or

protection barriers; protecting children on the way to and at school through linking up with child protection support and providing psycho-social support; advocating for the protection of education; supporting teachers; providing teaching and learning materials; investing in school infrastructure rehabilitation; and sensitising parents and communities about the importance of education. In 2020, the Covid-19 has brought about unprecedented challenges for the educational sector and exacerbated learning crisis, inequalities, school drop-out rates, and risks of exploitation, violence, abuse and neglect for the most vulnerable children. More than 24 million children are projected to drop out of school due to Covid-19 (UNICEF estimates). Half of all refugee girls in school will not return when classrooms reopen. The EU continues to address these challenges and provide for better educational opportunities for all.

#### ***SDG 5 Achieve gender equality and empower all women and girls***

The EU ensures that gender and age considerations are taken into account in all its humanitarian aid operations. To ensure an effective, quality response, humanitarian action should cater for the differentiated needs and capacities of women, girls, men and boys; and should contribute to the active participation of women and girls in humanitarian aid. Supporting the prevention and response to gender-based violence is considered as a life-saving humanitarian intervention and a priority. During 2019 and 2020, The EU allocated approximately EUR 56m to prevent and respond to sexual- and gender-based violence. Furthermore, during 2019 and 2020, it is estimated that the EU allocated approximately EUR 45m to reproductive health from its humanitarian health programming. In December 2019, the EU launched its first-ever e-learning on its Gender-Age Marker, a tool for mainstreaming gender and age considerations in all EU-funded humanitarian aid projects. In November 2020, a new Gender Action Plan for the EU external dimension for 2021-2025 was adopted. The new Gender Action includes a number of humanitarian priorities, including on GBV, sexual and reproductive health and the Gender-Age marker.

#### ***SDG 6 Ensure availability and sustainable management of water and sanitation for all***

The EU provides safe drinking water, sanitation and hygiene (WASH) support through its humanitarian aid operations to those in need during humanitarian crises and ensures that the most vulnerable have access to WASH. In 2019, the EU continued to be one of the largest donors to humanitarian WASH interventions, allocating around EUR 1,6 million to WASH projects (or projects with a WASH component). At the same time, collective efforts in the WASH sector have led to a 30-fold increase over the past decade.

The promotion of basic WASH services ('minimal WASH package') and multisector outcomes, as part of other 'stand-alone' sector service deliveries, such as health, nutrition, and shelter, remained the primary objective of the EU's WASH policy, especially in the framework of acute and chronic crises (e.g. WASH operations in South Sudan and in the Sahel zone). Additional to this, contribution to DRR/DP/Nexus strategies by anticipating severe water scarcity crisis, which have the potential to spark massive displacement (e.g. Afghanistan) through adapted responses (i.e. water contingency planning, climate adaptation, groundwater level monitoring) also characterised the EU's WASH assistance for 2019.

#### ***SDG 7 Ensure access to affordable, reliable, sustainable and modern energy for all***

The EU contributes to SDG 7 through its new approach to reducing the environmental footprint of humanitarian aid, which includes provision of clean energy as one of its key areas of intervention. DG ECHO will therefore support the integration of clean energy as part of humanitarian response, not only because of the environmental benefits of such interventions but also because of positive impacts on health (reduced indoor air pollution), safety (less need to collect firewood, more secure settlements) and livelihoods (access to electricity means access to mobile services). As a result of all these co-benefits, DG ECHO is also an advocate for clean energy interventions and is a supporter of the Clean Energy Challenge. As part of priorities on environmental mainstreaming as well as innovation under DG ECHO's new pilot programmatic partnerships (PPPs) with UN organisations and IOs, dedicated PPPs on clean energy could be supported.

#### ***SDG 13 Take urgent action to combat climate change and its impacts***

The EU contributes to SDG 13 through its targeted disaster preparedness actions aiming at strengthening national and local capacities to respond to climate-related disasters and thus be more resilient to such shocks. Furthermore, the inclusion of climate risk analysis in the design of all humanitarian actions helps ensure that the interventions take into consideration and respond to the risks posed by climate change and to its possible impacts. In 2020, for example, DG ECHO financed the NGO Medair with 1.2 million Euros to support the strengthening of Early Warning System (EWS) and linking it to Early Action (EA) in one of the most exposed region to cyclones in the central west of Madagascar, the Menabe region. The growing of intensity and frequency of these events caused by climate change, in fact, has increased the vulnerability of the population and revealed the weakness of early warning capacity in these areas, as it was in the case of cyclone Idai in 2019. The intervention (ongoing) aims at reinforcing community / district and province preparedness and capacity for early warning and early action in response to climate related shocks while scaling up the use of innovative technologies.

#### ***SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss***

The EU acknowledges that when humanitarian interventions are poorly planned, without considering their impact on or interaction with the surrounding environment, they can lead to unintended environmental degradation, e.g. around refugee settlements, increasing risks for the communities and undermining their health and well-being. In order to avoid such consequences, the EU contributes to environmental resilience by addressing environmental concerns as part of preparedness planning and in integrating

environmental concerns into humanitarian action. This is also reflected in the funding allocation for disaster preparedness – i.e. the Disaster Preparedness Budget Line 23 02 02 – where environmental (and climate) resilience is identified as a priority for funding for the next 4 years (2021-2024).

**HEADING 6: Neighbourhood and the World****Common Foreign and Security Policy (CFSP)****Lead DG:FPI**

1. Overview .....	1241
1.1. Challenges .....	1242
1.2. Mission (general objectives) .....	1242
1.3. Specific objectives .....	1242
1.4. Public intervention context .....	1242
1.5. Actions .....	1242
1.6. Delivery mode .....	1242
1.7. Graphic overview of the programme structure .....	1243
1.8. Legal basis and financial programming .....	1243
1.9. Link with the 2014-2020 MFF .....	1243
1.10. Relevant websites providing more information .....	1243
2. Where are we in the implementation ? .....	1244
2.1. Programme 2021-2027 .....	1244
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1244
3. How is the programme performing ? .....	1245
3.1. Performance .....	1245
3.2. Key achievements .....	1246
3.3. Evaluations, studies and reports .....	1247
4. Programme 2021-2027 - Key monitoring indicators .....	1247
Specific Objective 1 :Fast action to enable resource-effective CFSP intervention as part of the Integrated Approach .....	1247
Specific Objective 2 :Support the implementation and promotion of: 1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area; 2) strategy on combating illicit accumulation and trafficking of Small Arms and Light Weapons as well as measures against illicit spread and trafficking of other conventional weapons; 3) EU's policies in the field of conventional arms exports whilst ensuring complementarity with the Stability and Peace actions under NDICI ...	1249
5. Programme 2014-2020 - Key monitoring indicators .....	1249
Previous Program 1 : Common foreign and security policy (CFSP) .....	1249
General Objective 1 :Contribute to the implementation of the Lisbon Treaty (Article 21 (2) (c) which seeks to preserve peace, prevent conflicts and strengthen international security, in accordance with the purposes and principles of the United Nations Charter, with the principles of the Helsinki Final Act and with the aims of the Charter of Paris. ....	1249
Specific Objective 1 :Support to preservation of stability through substantial CSDP missions and EUSR's mandates .....	1250
Specific Objective 2 :Support the implementation and promotion of: 1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area (WMD); 2) strategy on combating illicit accumulation and trafficking of Small Arms and Light Weapons (SALW) as well as measures against illicit spread and trafficking of other conventional weapons; 3)EU's policies in the field of conventional arms exports, in particular on the basis of Common Position CFSP/944/2008 .....	1251
6. The programme contribution to horizontal policies .....	1252
6.1. Contribution to climate mainstreaming .....	1252
6.2. Contribution to biodiversity mainstreaming .....	1252
6.3. Contribution to clean air financing .....	1252
6.4. Contribution to gender equality .....	1252
6.5. Contribution to the sustainable development goals .....	1253

**1. Overview**

## 1.1. Challenges

The EU, under its Common Security and Defence Policy, will continue working towards addressing challenges in international security and stability. Key challenges include organized crime, terrorism, people smuggling, migration, the proliferation of conventional weapons and weapons of mass destruction, and the rule of law in third countries that may directly affect the EU's own security.

It is therefore essential for the EU to support third countries in security sector reform and help them establish efficient civilian security services, thereby increasing their capacities to tackle internal and external security challenges.

## 1.2. Mission (general objectives)

The credibility of the EU as a peace actor on the international scene is linked among other things to its capacity to act and intervene quickly to address civilian crises through Common Security and Defence Policy Missions and to promote nuclear non-proliferation and disarmament through support for multi-lateral action. Interventions in both areas help the EU to assume its role as a global player as envisaged under Article 21 of the Treaty on European Union "to preserve peace, prevent conflict and strengthen international security" thereby contributing to a 'Stronger Europe in the World

## 1.3. Specific objectives

CFSP pursues the following two specific objectives:

- CFSP supports the deployment of Common Security and Defence Policy Missions to preserve peace and to strengthen international security in accordance with the principles of the UN Charter, of promoting international cooperation and developing and consolidating democracy and rule of law as well as of respecting human rights and fundamental freedoms in line with Article 21 and 42 of the Treaty on European Union and Part Five of the Treaty on the Functioning of the European Union.
- The purpose of CFSP action on nuclear non-proliferation and disarmament is to preserve peace and to strengthen international security in accordance with the principles of the UN Charter, and to promote strategic cooperation with international partners on non-proliferation of weapons of mass destruction, on combatting the illicit accumulation of small arms and light weapons and other conventional weapons and support EU policy on conventional arms exports in line with Article 21 of the Treaty on the European Union.

## 1.4. Public intervention context

Under CFSP, the European External Action Service (EEAS), in consultation with FPI, is responsible for the programming of CFSP actions that are decided and adopted by Member States as per the provision of the Treaties. The Commission is responsible for providing the funding for CFSP actions.

The Commission monitors the execution of the CFSP budget according to the principles of sound financial management as well as the performance of the CFSP funding beneficiaries as regards budget implementation rates. The Commission regularly reports to Member States in the relevant Council Working Party settings on these CFSP budget execution rates.

## 1.5. Actions

All CFSP activities must be consistent with other areas of the EU's external action and must ensure coordination with international organisations. CFSP pursues its objectives by the following means:

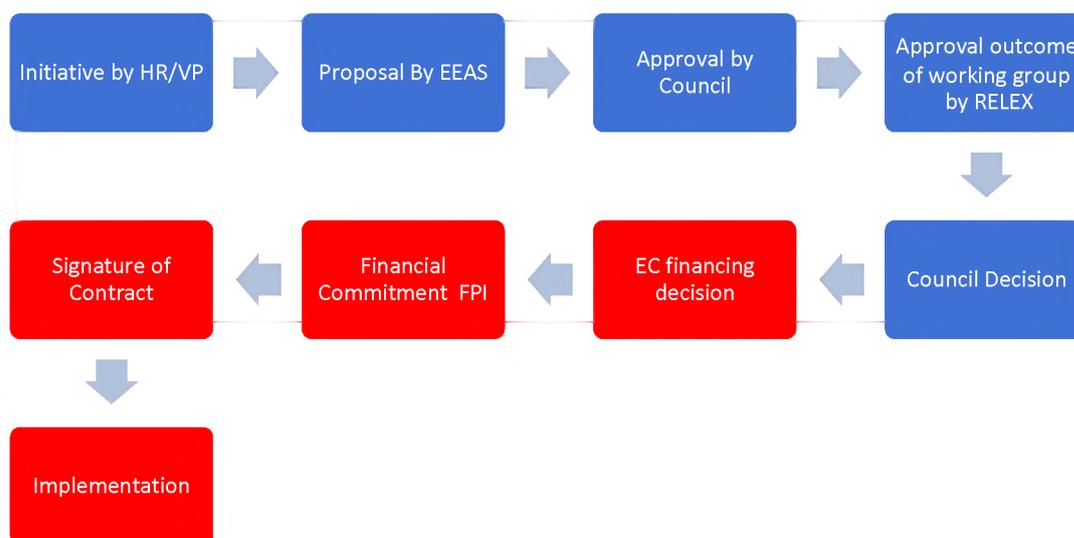
- Different types of civilian Common Security and Defence Policy Missions, depending on the Council's mandate, for example, Advisory Missions counselling host countries on drafting legislation in the security sector or Capacity-building Missions providing hands-on operational activities;
- Different types of mandates of EU Special Representatives promoting EU policies all around the world;
- Actions related to non-proliferation and disarmament. These are implemented through agreements with international organisations, notably within the United Nations family, as well as for specific purposes with other selected organisations in the field of non-proliferation and disarmament (NPD).

## 1.6. Delivery mode

The management mode is primarily in indirect management (for civilian Common Security and Defence Policy (CSDP) Missions and EU Special Representatives, as well as Non-Proliferation and Disarmament actions), and to a lesser extent in direct management. The lead service for the programming of CFSP actions is the EEAS, in consultation with FPI, while FPI is responsible for ensuring the funding under the CFSP and the sound financial management of the funds.

## 1.7. Graphic overview of the programme structure

The CFSP budget is managed by FPI 3. The main beneficiaries of CFSP budget funding are civilian CSDP Missions in the area of security sector reform, accounting for an estimated 80% of the CFSP budget. The remaining approximate 20% of the CFSP budget are used to fund beneficiaries in the field of non-proliferation and disarmament, such as UN agencies and NGOs, and EU Special Representatives.



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
	2021 - 2027	2 678,7

### 1.8.2. Legal basis explanation

CFSP is implemented on the basis of individual Decisions adopted by the Council. Under Articles 42(4) and 43(2) TEU, the Council adopts the legal framework for civilian CSDP Missions. On the basis of Art. 28 TEU, Member States may decide to launch operational actions, for example stabilisation actions. As regards actions in the field of non-proliferation and disarmament, the Council adopts Decision on the grounds of Art. 28(1) and 31(1) TEU.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>351,9</b>	<b>361,7</b>	<b>371,8</b>	<b>382,1</b>	<b>392,7</b>	<b>403,6</b>	<b>414,7</b>	<b>2 678,7</b>

### 1.8.4. Financial programming explanation

Under the new MFF 2021-2027, the Council agreed on an envelope of EUR 2 677 million for CFSP in current prices. For commitment appropriations in 2022 the MFF foresees EUR 361 million, which is a slight increase to a voted 2021 budget of EUR 351 million (also almost identical as in 2020 voted budget).

## 1.9. Link with the 2014-2020 MFF

Under the 2014-2020 MFF, the CFSP budget was EUR 2 340 billion under Heading 4 “Global Europe” as a separate instrument.

During the 2021-2027 MFF, too, CFSP will remain a separate tool, but complementary with other conflict and crisis response instruments, e.g. the rapid response pillar of the Neighbourhood, Development and International Cooperation Instrument (NDICI) during the period. Continued strong support for non-proliferation of weapons of mass destruction and disarmament, with increased levels of support to match the level of ambition of Member States, is expected.

## 1.10. Relevant websites providing more information

Dedicated webpages on civilian CSDP Missions and non-proliferation and disarmament can be found on the EEAS Internet site:

[https://ec.europa.eu/fpi/what-we-do/common-foreign-and-security-policy-preserving-peace-and-security\\_en](https://ec.europa.eu/fpi/what-we-do/common-foreign-and-security-policy-preserving-peace-and-security_en)

[https://eeas.europa.eu/topics/military-and-civilian-missions-and-operations\\_en](https://eeas.europa.eu/topics/military-and-civilian-missions-and-operations_en)

[https://eeas.europa.eu/headquarters/headquarters-homepage\\_en/427/Disarmament.%20Non-Proliferation%20and%20Arms%20Export%20Control](https://eeas.europa.eu/headquarters/headquarters-homepage_en/427/Disarmament.%20Non-Proliferation%20and%20Arms%20Export%20Control)

## **2. Where are we in the implementation ?**

### **2.1. Programme 2021-2027**

CFSP Actions funded under 2014-2020 MFF are still being implemented and there is direct and strong link between the CFSP actions implemented under 2004-2020 MFF and the new 2021-2027 MFF. The level of commitment and payment appropriations requested for 2021 and 2022 are as follows:

- In 2021 requested commitment appropriations stand at EUR 374 Million (composed of EUR 351 million voted budget in 2021 and EUR 23 million carry-over from 2020) and payment appropriations of EUR 336 million (EUR 328 million voted budget for 2021 and EUR 8 million carried over to 2021 from unspent funds in 2020).
- For 2022, requested commitment appropriations stand at EUR 361 Million and payment appropriations at EUR 328 million.

As regards the COVID-19 impact on budget implementation, FPI committed EUR 359.5 million for CFSP actions i.e. 100% of the available commitment appropriations. The COVID-19 pandemic has, however, been an exceptional situation that has affected planning, decision-making and implementation of the mandates of civilian CSDP Missions. In 2020, four Missions (EULEX Kosovo, EUBAM Libya EUPOL COPPS and EUBAM Rafah) could not undergo the Strategic Reviews and their respective mandates were renewed for one year with essentially the same budget. At operational level, a number of mitigating measures were designed and implemented in cooperation with the EEAS to ensure the safety of staff (e.g. through the relocation of staff).

Despite the significant challenges, all Missions have remained operational throughout the pandemic. The Missions successfully balanced duty of care concerns with operational continuity and visibility on the ground. In this regard, FPI contributed by issuing a number of clarifications and instructions to Missions in the field, including on the use of flexible and ad hoc procurement procedures, the management of the budget, relocation of staff and the application of allowances in a crisis situation.

The systematic trend of budget under-consumption by the civilian CSDP Missions continues, and can be expected to increase further as the pandemic continues. In 2020, civilian Missions returned unused funds totalling EUR 42 million, pointing to a lack of absorption capacity and realistic budget planning.

The implementation of the NPD actions has been heavily affected and delayed by the COVID-19 crisis, given their reliance on travel, meetings and workshops. As a result, the Commission put in place a number of no-cost extensions of ongoing NPD actions in 2020, in order to foresee sufficient time to carry out all the envisaged activities.

### **2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations**

	Commitments	Payments
Implementation Voted budget	2 017 183 383	1 915 128 248
Implementation carry-overs	31 743 798	1 818 951
Implementation total	2 048 927 181	1 916 947 199
total envelop*	2 088 043 067	
cumulative implementation rate	98%	92%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

During the period 2014-2020, the implementation rate of CFSP reached 98% for Commitment Appropriations and 92% for Payment Appropriations thanks to FPI's active management of budget lines.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

CSDP Missions are important in enhancing stability and promoting peace and the rule of law. Since the launch of the first Mission in 2003 in the Balkans, the EU CSDP civilian Missions have been one of the key players of the EU's response to international crisis, working with the EU's diplomatic and mediation efforts, development cooperation and humanitarian aid. This constitutes the EU's integrated approach, which makes it a significant contributor to peace and security and a security provider. The establishment of the Civilian CSDP Compact by the EU Member States in December 2018 strengthened the capacity of civilian CSDP. Member States agreed on strategic guidelines, committing politically to 22 development goals and to increased contributions to civilian CSDP Missions by the Member States.

The non-proliferation and disarmament actions funded from the CFSP budget contributed to international peace and security by strengthening the norms against the proliferation of weapons of mass destruction through advancements in universalisation, institutional strength and effective implementation of the relevant treaties and mechanisms, as well as by preventing and combatting the illicit accumulation and trafficking of small arms and light weapons and their ammunition and by supporting the implementation of the Arms Trade Treaty and the adoption of policies in line with Common Position 2008/944/CFSP on exports of military technology and equipment.

##### **3.1.2. Active programme performance**

##### **3.1.3. Previous programme performance**

As already indicated above, the Commission is responsible for the funding, not for the operational programming of actions under CFSP which are decided by the Council. CFSP actions are not subject to external evaluations.

At the end of the 2014-2020 Multiannual Financial Framework, 11 Missions were active on the ground. Their performance was indirectly measured on the basis of the rate of staff deployment. However, due to the Commission's limited role in CFSP, FPI has no influence on shaping the actual deployment rate. Deployment is managed by the Missions, together with the EEAS-CPCC who assists the Missions by publishing calls for contributions for seconded and contracted personnel. The deployment figures that were used for reporting purposes under the 2014-2020 reference period are based on statistics gathered by EEAS-CPCC and put at the disposal of FPI. For this reason, this indicator will no longer be used under the upcoming Multiannual Financial Framework 2021-2027.

Instead, the Commission closely monitors the civilian Mission's performance of budget absorption rates. Missions benefit from the main share of the CFSP budget (up to 80 % each year). Few Missions reach levels of budgetary absorption above 90 %, most Missions reach levels between 80 and 90%, in some cases the level is at 70%. As a result, important amounts of unused funds were returned to the Commission throughout the 2014-2020 period. The budgetary performance remains an important milestone for the measurement of the way CSDP entities handle the funding attributed to them. For this purpose, the Commission regularly takes stock of budget absorption rates across all CSDP Missions. The Commission presents these rates to Member States in the RELEX Working Group in the Council on a quarterly basis. On this occasion, the Commission picks two selected examples of CSDP Missions to portray to Member States the specific reasons which have led to underspending by the Missions. These may be either operational or, more frequently, related to over-ambitious budget planning. In addition, the CivCom Working Group, responsible for the strategic steering of civilian CSDP, is also informed about the absorption rates.

For the reference period 2014-2020, programme performance was monitored by the Commission with regard to evolution of the deployment of international staff in Missions, enabling Missions to conduct their operations and implement their mandates. This was monitored on the basis of staffing figures provided by the EEAS, as the Commission does not have a say in the management of staff resources in civilian Missions.

During the reference period and despite commitments taken by Member States in the 'civilian Compact' to increase the ratio of seconded international staff in Missions, Member States have not met the targets set for themselves to reach a ratio of 70% seconded staff in Missions (versus 30% contracted) to reduce the reliance on international contracted staff. As per figures as of 31 December 2020, Missions were employing 776 seconded staff and 696 international contracted staff, thus a ratio of 53% versus 47%, rather far from the agreed target. Member States are continuing to work towards meeting this milestone, also in the period 2021-2027, which is set to be achieved for summer 2023.

Being in charge of sound financial management, the Commission has closely monitored budget absorption rates of the civilian Missions in the reference period. Few Missions reach an absorption rate of over 90%, the majority of them reach levels of between 80-90%, in some cases, the level is at 70%. During the reference period, no increase in terms of budget absorption has been noticed.

During the reference period 2014-2020, the programme performance was monitored on the basis of indicators reflecting the universalisation of the various non-proliferation treaties and mechanisms. While the number of states which ratified the Comprehensive Nuclear-Test-Ban Treaty increased from 163 in 2014 to 168 as of 31 December 2020 (and 169 as of 4 February 2021) or the number of states which ratified the Arms Trade Treaty increased from 61 in 2014 to 110 in 2020, it is not possible to directly attribute the changes in the universalisation of the non-proliferation treaties and mechanisms to the non-proliferation and disarmament actions funded from the CFSP budget, as the decisions on the ratification of the treaties depend also on other factors, including on political considerations and interests of the states concerned.

The non-proliferation and disarmament actions funded from the CFSP budget contributed to international peace and security by strengthening the norms against the proliferation of weapons of mass destruction through advancements in universalisation, institutional strength and effective implementation of the relevant treaties and mechanisms (for example, the Comprehensive Nuclear-Test-Ban Treaty, International Convention for the Suppression of Acts of Nuclear Terrorism, Chemical Weapons Convention, Biological and Toxin Weapons Convention, Hague Code of Conduct against Ballistic Missile Proliferation), as well as by preventing and combatting the illicit accumulation and trafficking of small arms and light weapons and their ammunition and by supporting the implementation of the Arms Trade Treaty and the adoption of policies in line with Common Position 2008/944/CFSP on exports of military technology and equipment.

### 3.2. Key achievements

1 035	0.5 Million	19
staff of the Palestinian Authority trained by the EU Border Assistance Mission in Rafah from 2015 to 2020	pieces of small arms and light weapons (SALW) and pieces of ammunition destroyed in the Western Balkans in 2017-2019	OPCW fact-finding missions deployed to Syria in 2016-2017 related to the alleged use of chemicals as weapons

#### CSDP Missions

FPI has made considerable progress in its area of competence (finance and procurement) as regards civilian CSDP, notably concerning the harmonisation and simplification of operating procedures in CSDP Missions through the staff embedded in the Mission Support Platform in FPI. Progress was made on a number of key pillars: the central Warehouse funded by the CFSP budget since its start in 2018 has become fully operational by 2020, central framework contracts for the use by the Missions were put in place, a single IT platform (ERP – Enterprise Resource Management) was launched and progressively rolled out to a number of CSDP Missions during the reporting period, standard guidelines and manuals on procurement and financial matters are regularly issued and updated, and were adapted to take into account the impact of the COVID-19 pandemic on the operations of the Missions.

At the end of the reporting period in 2020, 11 CSDP Missions were active, the most recent ones were launched in 2017 (EUAM Iraq) and 2020 (EUAM RCA). At the end of 2020, out of all running Missions, only two were not yet positively pillar assessed. At the same time, 9 EU Special Representatives were active, the most recent mandate for the EUSR for Western Balkan regional issues adopted by the Council in 2020. EUSRs are not required to undergo pillar assessments, with the exception of the EUSR in Kosovo.

#### Non-proliferation and disarmament actions

The non-proliferation and disarmament actions funded from the CFSP budget contributed to international peace and security by strengthening the norms against the proliferation of weapons of mass destruction through advancements in universalisation, institutional strength and effective implementation of the relevant treaties and mechanisms, as well as by preventing and combatting the illicit accumulation and trafficking of small arms and light weapons and their ammunition. Between 2015 and 2020, the EU supported:

- the establishment and secure management of a low-enriched uranium bank located in Kazakhstan under the control of the International Atomic Energy Agency (IAEA). As of 17 October 2019, the low-enriched uranium bank is fully operational and prepared to provide the nuclear fuel to IAEA member states in case the commercial supply of low-enriched uranium is disrupted;
- the enhancement of nuclear security capacity of the IAEA member states by the provision of 44 national, regional and international training courses, 65 expert and advisory meetings, 20 consultancy and expert meetings, 12 pieces of equipment (including detection equipment), 7 fellowships and 4 regional schools;
- the strengthening of the capability of the Comprehensive Nuclear-Test-Ban Treaty monitoring and verification system by providing, repairing or re-configuring equipment at 21 auxiliary seismic stations in 18 countries located in Africa, Asia, Latin America, Pacific and the Middle East;

- the deployment of 19 fact-finding missions of the Organization for the Prohibition of Chemical Weapons (OPCW) to Syria to gather facts related to the alleged use of chemicals as weapons;
- the enhancement of the capacity of State Parties in fulfilling their obligations under the Chemical Weapons Convention (CWC) and of the application of the CWC verification measures by the organization of 1 training course, 1 national implementation capacity assessment, 3 mentorship programmes, 1 regional legal workshop, 3 visits to chemical weapons destruction facilities and the modernisation of the information management system used by the OPCW verification division;
- the improvement of the capacity of Western Balkan countries for physical security and stockpile management of small arms and light weapons (SALW) by the upgrading of 7 SALW storage locations and 15 evidence rooms, by the destruction of 48 014 pieces of surplus SALW and 499 999 pieces of SALW ammunition and by the organization of 3 regional workshops on the stockpile reduction;
- the improvement of the physical security and stockpile management of SALW in the Sahel region by the rehabilitation, construction or provision of 50 storage sites and containerized armories, by the destruction of 5 870 pieces of illicit SALW and 83 069 pieces of ammunition and by the organization of 16 workshops and 18 training sessions.

### 3.3. Evaluations, studies and reports

#### *As regards civilian CSDP Missions:*

CFSP actions are not subject to classical evaluations through external experts, although this had been recommended by the Court of Auditors in its 2017 report on the Sahel Missions. The Court also recommended the use and setting of verifiable indicators to assess the work of Missions. So far, Member States have not put in place an external evaluation system, but rely on their own strategic assessments conducted on the basis of input provided by the EEAS. The Commission has regularly drawn the EEAS' attention to the fact that evaluations should be conducted by external experts as a more appropriate tool to assess the work of the civilian Missions.

Civilian Missions are subject to Strategic Reviews, which are conducted by the internal services of the EEAS for assessment by Member States. These Reviews aim at analysing the achievements and efficiency of a Mission, form the basis for the Missions' Operational Plans and provide orientations for the operational mandate of a Mission in the different areas of security sector reform.

Apart from the Strategic Reviews that each Mission undergoes individually, the EEAS issues an Annual Lessons Learnt Report based on contributions from within the EEAS-CPCC and the Missions on operational planning and conduct of operations as well as Mission support tasks. In addition, ad-hoc reports may be elaborated. For example, in the COVID-19 pandemic context, the EEAS has presented to Member States a specific report drawing on lessons learnt from the health crisis and their impact on the Missions' operations, for example, with regard to operational contingency plans, medical evaluation or policies setting the guidelines for the relocation of Mission staff from the theatre of operations to home countries. Furthermore, the Joint Action Plan implementing the 'civilian Compact' formulates lessons for various work strands of the Missions, the Institutions and Member States. For example, one of the lessons for Member States is to increase the number of national staff deployed in CSDP Missions.

Only the budgetary and financial implementation of the actions undergo regular external auditing as foreseen by the contractual arrangements with the Commission, pillar assessments in line with the Financial Regulation as well as monitoring missions. In 2019, CFSP was subject to an audit of the Commission's Internal Audit Service.

#### *As regards non-proliferation and disarmament actions:*

As regards the evaluation of the non-proliferation and disarmament actions, the competent Council bodies (Working Group on Non-proliferation or conventional arms export) assess the impact of the actions. Annual progress reports are presented to Council on the implementation of the strategies against the proliferation of weapons of mass destruction and against illicit firearms, small arms and light weapons and their ammunition<sup>(1)</sup>. In addition, the Commission and EEAS receive quarterly and annually reports on the implementation from the contract beneficiaries (e.g. IAEA, UN or Member State agency). Regular financial audits are conducted.

## **4. Programme 2021-2027 - Key monitoring indicators**

### **Specific Objective 1 :Fast action to enable resource-effective CFSP intervention as part of the Integrated Approach**

#### **Indicator 1:Percentage of contribution Agreements with EUSRs and CSDP Missions signed within 4 weeks after Council Decision adoption**

<sup>(1)</sup> See for instance [https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52020XG1013\(05\)&from=EN](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52020XG1013(05)&from=EN)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
86	Milestones									
	88	90		95						
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	31/12/2021
Data source	FPI
Link to the objective	This indicator measures the time elapsed between the adoption of relevant Council Decisions and the signature of the Contribution Agreements signed by FPI.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The target for this indicator (the time required to sign a Contribution Agreement) has been set higher in comparison with previous measurements in order to monitor the capacity to further shorten the time span, by 2024, between the adoption dates of Council Decisions and the signature of Agreements.
Full metadata available at this address	
Justification of the trend	Not applicable

### Indicator 2: Percentage of civilian CSDP Missions coordinating with interventions financed under other EU instruments

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	100	100		100						100
	Actual Progress									Final

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	31/12/2021
Data source	FPI
Link to the objective	The indicator measures the number of EU interventions that are subject to coordination between different instruments.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	Therefore, this new indicator will measure the number of CSDP Missions that have effectively demonstrated the coordination of interventions with other EU instruments, against the total number of CSDP Missions whose mandates have been renewed during that calendar year.
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Percentage of positively pillar assessed CSDP Missions not requiring supervisory measures as for article 154.5 of the Financial Regulation.

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
82	Milestones									
	86	90		100						100
	Actual Progress									Final

Are we on track	On track
Indicator type	Output
Unit of measurement	Number
Cut-Off Date	31/12/2021
Data source	FPI
Link to the objective	The indicator measures the compliance of CSDP Missions with the Financial Regulation
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The percentage of positively pillar assessed CSDP Missions reflects the capacity to achieve the end result of a fully compliant CSDP Mission. As the number of Missions deployed on the ground can vary between 2020-2024, depending on political decisions by Member States to open or close CSDP Missions, the population underlying the measurement may change during the period of reporting
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :Support the implementation and promotion of: 1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area; 2) strategy on combating illicit accumulation and trafficking of Small Arms and Light Weapons as well as measures against illicit spread and trafficking of other conventional weapons; 3) EU's policies in the field of conventional arms exports whilst ensuring complementarity with the Stability and Peace actions under NDICI**

**Indicator 1:Percentage of relevant non-proliferation and disarmament actions that are complementary with actions funded under the Instrument contributing to Stability and Peace / Stability and Peace under NDICI**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
100	Milestones									100
	100	100		100						Final
	Actual Progress									

Are we on track	No data
Indicator type	Result
Unit of measurement	Percentage
Cut-Off Date	31/12/2021
Data source	FPI
Link to the objective	The indicator measures the complementarity of EU instruments. The complementarity corresponds to the notion of the integrated approach, referred to in the specific objective 1.
Link MFF 14-20 / MFF 21-27	New indicator
Other methodological comments	The target has been set at 100%, as all non-proliferation and disarmament actions funded from the CFSP actions have to be complementary to NDICI actions in the same area. The baseline has been set on the basis of the new CFSP funded non-proliferation and disarmament actions launched in 2020 which have been all assessed as complementary or not overlapping with the IcSP actions.
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

*Previous Program 1 : Common foreign and security policy (CFSP)*

**General Objective 1 :Contribute to the implementation of the Lisbon Treaty (Article 21 (2) (c) which seeks to preserve peace, prevent conflicts and strengthen international security, in accordance with the purposes and principles of the United Nations Charter, with the principles of the Helsinki Final Act and with the aims of the Charter of Paris.**

**Indicator 1:Actual vs. planned capacity deployment rate (international staff) of the main CSDP missions**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0,84			0,85	0,86	0,87		0,90			0,90
	Actual Progress									Final
	0,81	0,82	0,82	0,81	0,88	0,80	0,83			

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Percentage (%)
Cut-Off Date	31/12/2020
Data source	EEAS-CPCC Statistics on human resources deployment in CSDP Missions.
Narrative	The indicator measures the actual implementation of the deployment of international staff in CSDP Missions across all job functions (operational and Mission support functions). Reaching the full operational capacity of CSDP Missions depends on how effectively human resources are mobilised.
Methodology	
Link MFF 14-20 / MFF 21-27	This indicator will not be pursued under the MFF 21/27.
Other methodological comments	The indicator measures the actual implementation of the deployment of the CSDP civilian missions under the respective responsibilities of: - EEAS in terms of human resources mobilization, IT, logistics, etc.,- FPI in terms of expenditure management (budget, procurement/contracting, support to Missions in financial issues, etc.).The indicator monitors the effectiveness of the ongoing civilian CSDP Missions' deployment but also the level of cooperation between the HRVP's services (EEAS

	and FPI). The fulfilment of the objectives of the mission's mandate depends on the transfer of know-how which is linked to the rapid generation of civilian capabilities. Reaching the full operational capacity of CSDP Missions depends on effective mobilization of human resources and logistics. Since 2018, most CDSP Missions and EUSRs have two-year mandates. The milestones and targets have been identified on the assumption that these actions will be extended until 2020, while keeping the same objectives.
Full metadata available at this address	
Justification of the trend	Since 2018, most CDSP Missions and EUSRs have two-year mandates. The milestones and targets have been identified on the assumption that these actions will be extended until 2020, while keeping the same objectives. Difficulties to attract international staff into CSDP Missions and to increase the number of deployed staff persist.

## Specific Objective 1 :Support to preservation of stability through substantial CSDP missions and EUSRs mandates

### Indicator 1:Degree of achievement of the objectives as defined in the respective Council Decision / Joint Action

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
EUMM Georgia										
2010	Milestones									2020
91%	80,5%	82,3%	85%	86%	87%		90%			90%
	Actual Progress									Final
	91%	72%	73%	73%	96,6%	75%	79%			
EULEX Kosovo										
2008	Milestones									2020
91%	81%	82%	85%	86%	87%		90%			90%
	Actual Progress									Final
	87%	86%	92%	93,3%	89%	83%	93%			
EUBAM Libya										
2013	Milestones									2020
	81%	82%	85%		87%		90%			90%
	Actual Progress									Final
			25%	95,8%	72%	47%	52%			
EUPOL COPPS										
2013	Milestones									2020
91%	80,5%	82,3%	85%	86%	87%		90%			90%
	Actual Progress									Final
	91%	82%	92%	68,60%	92%	80%	78%			
EUAM Iraq										
2017	Milestones									2020
91%	80,5%	82,3%	85%		87%		90%			90%
	Actual Progress									Final
					37%	86%	80%			
EUCAP Sahel Mali										
2014	Milestones									2020
	80,5%	82,3%	85%	86%	87%		90%			90%
	Actual Progress									Final
	50%	74%	77%	72,2%	82,90%	78%	91%			
EUAM Ukraine										
2014	Milestones									2020
	80,5%	82,3%	85%	86%	87%		90%			90%
	Actual Progress									Final
	62%	81,90%	89%	81,20%	92,07%	87%	91%			
EUCAP Sahel Niger										
2012	Milestones									2020
72,5%	80,5%	82,3%	85%	86%	87%		90%			90%
	Actual Progress									Final
	80,7%	79%	65%	74%	86%	85,9%	83%			
EUCAP Somalia (previously EUCAP Nestor)										
2012	Milestones									2020
8%	80,5%	82,3%	85%	86%	87%		90%			90%
	Actual Progress									Final
	54%	72%	88%	73,2%	100%	78%	73%			
EUBAM Rafah										
2018	Milestones									2020

	80,5%	82,3%	85%	86%	87%		90%			90%
	Actual Progress									Final
				100%	100%	93%	50%			

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	EEAS-CPCC Statistics on human resources deployment in CSDP Missions.
Narrative	The indicator measures the actual implementation of the deployment of international staff in CSDP Missions across all job functions (operational and Mission support functions). Reaching the full operational capacity of CSDP Missions depends on how effectively human resources are mobilised.
Methodology	Calculation based on human resource statistics produced by EEAS-CPCC as regards international staff.
Link MFF 14-20 / MFF 21-27	This indicator will not be pursued under the MFF 21/27
Other methodological comments	Libya: Operational activities stalled partially or fully between 2014 and 2016 and again in 2019 due to relocation of Mission to Tunis. Iraq: Mission established in October 2017; low deployment rate in 2018, as the authorised strength of Mission was increased from 52 to 98 staff members end of 2018 and recruitment was not finalised by end of 2018.
Full metadata available at this address	
Justification of the trend	The difficulties to increase the number of international staff in Missions persist, notably in particularly risk-prone countries like Somalia or Libya.

**Specific Objective 2 :Support the implementation and promotion of: 1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area (WMD); 2) strategy on combating illicit accumulation and trafficking of Small Arms and Light Weapons (SALW) as well as measures against illicit spread and trafficking of other conventional weapons; 3)EU's policies in the field of conventional arms exports, in particular on the basis of Common Position CFSP/944/2008**

**Indicator 1: Number of countries having ratified the treaties mentioned in the baseline**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Comprehensive Nuclear-Test-Ban Treaty Organization, CTBTO										
2012	Milestones									2020
159	Actual Progress									Final
	163	164	166	166	167	168	168			
UN Resolution 1540										
2012	Milestones									2020
	Actual Progress									Final
	14	21	26	31	35	39	35			
Nuclear security assistance provided by IAEA										
2012	Milestones									2020
82	Actual Progress									Final
	100	104	120	104	97	97	14			
Arms Trade Treaty										
2012	Milestones									2020
	Actual Progress									Final
	61	79	88	89	95	105	110			

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Number of countries or state parties that ratified resolutions
Cut-Off Date	31/12/2020
Data source	CTBTO website: <a href="http://www.ctbto.org/the-treaty/status-of-signature-and-ratification/">http://www.ctbto.org/the-treaty/status-of-signature-and-ratification/</a> UN Resolution 1540 website: <a href="http://www.un.org/en/sc/1540/">http://www.un.org/en/sc/1540/</a> IAEA website: <a href="https://www.iaea.org/Publications/index.html">https://www.iaea.org/Publications/index.html</a> Arms Trade Treaty website: <a href="http://www.un.org/disarmament/ATT/">http://www.un.org/disarmament/ATT/</a>
Narrative	The indicator measures the level of universalisation of the various non-proliferation treaties or the universalisation of the implementation of selected non-proliferation mechanisms. The universalisation of the non-proliferation and disarmament treaties and mechanisms is defined as an impact level objective of various non-proliferation and disarmament actions funded by the CFSP budget. However,

	it is impossible to attribute changes in the progress with the universalisation to the CFSP funded actions, given that the decisions on the accession to the various treaties and mechanisms are political.
Methodology	The data presented in the above-mentioned websites is collected by the UN, CTBTO, ATT secretariat and the IAEA. The number of countries which ratified the CTBT and ATT is counted for the CTBT and ATT indicator. For the UNSCR 1540 indicator, the number of countries, which submitted their UNSCR 1540 national implementation plans is counted (there is no accession or ratification process, given that the UNSCR 1540 is not a Treaty and it is directly applicable under Chapter VII of the Charter of the United Nations). For the IAEA indicator, the number of peer review and advisory services missions to the IAEA member states is counted.
Link MFF 14-20 / MFF 21-27	This indicator will not be pursued under the MFF 21/27 because the results do not depend on FPI.
Other methodological comments	Progress in other monitoring reports will be followed: Nuclear Non-Proliferation Treaty (NPT), Chemical Weapons Convention (CWC), Biological and Toxin Weapons Convention (BTWC), Arms Trade Treaty (ATT), Comprehensive Nuclear-Test-Ban Treaty (CTBT) and The Hague Code of Conduct against Ballistic Missile Proliferation (HCoC). To be noted that some results would seem relatively low, compared to the targets set for 2020. Indeed, the indicator measuring the number of countries having ratified the Nuclear Test Ban Treaty is subject to political decisions by states to ratify or not. In addition, delays in the start-up of the support programmes and their implementation further negatively impact on the achievement of actual results. The same is true for nuclear security assistance provided by the International Atomic Energy Agency, as adherence to this programme is demand-driven.
Full metadata available at this address	
Justification of the trend	For the CTBT, the target of 169 ratifications has been almost met, with 168 ratifications as of 31 December 2020. To be noted that Cuba finalized the ratification process on 4 February 2021 and the target of 169 would be therefore met on that date. The trend with the ratifications of the ATT has been positive, with the number of states ratifying the Treaty annually. However, with 110 ATT state parties as of 31 December 2020, the target of 130 state parties has not been met. To be noted that the decision to ratify the ATT or not is a political decision which does not depend solely on the outreach activities funded from the CFSP budget. For the UNSCR 1540 and IAEA indicators, the performance was significantly below the target. The low number of the IAEA peer reviews and assistance visits in 2020 is assumed to be caused by the Covid-19 pandemics and the related restrictions on travel.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

#### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.4.2. Key achievements and performance**

##### *Civilian CSDP Missions and EUSRs*

To be noted that the CSDP Missions report to the EEAS, including on gender-related issues. The Commission is not the addressee of these reports and can therefore only refer in a limited way to achievements by Missions in relation to gender promotion.

While gender activities are not the main core task of the civilian CSDP Missions, they do, to a certain extent, cover topics related to gender in their work in line with Objective 2.2.1 of the EU Gender Action Plan 2016-2020. This is done in particular through measures to combat violence and discrimination against women and girls, such as:

- EUCAP Sahel Mali integrated human rights and gender awareness across its activities, e.g. through the organisation of

workshops on Women, Peace and Security in close cooperation with civil society.

- EUPOL COPP: In close cooperation with the UN Women and the Palestinian Civil Police (PCP) training department, the Mission has engaged in discussions on the review of the gender training package for the PCP, with the aim of building a more gender responsive organization, including concrete steps to raise awareness and build internal capacities.
- EUBAM RAFAH supported enhancing the awareness of the General Administration for Border and Crossings (GABC) staff on Human Rights and Gender Issues through trainings and projects. Mission provided, for instance, equipment necessary for a breastfeeding room for the GABC, with the aim of enhancing the ability of the GABC to conduct border checks whilst taking into account gender sensitivities.
- EUAM Iraq works with the Iraqi Ministry of Interior on gender related aspects of the security sector reform and on domestic violence. The Mission also supports the Female Training Institute of the Ministry of Interior.

EUSRs address gender issues throughout their activities. For example, the EUSR Kosovo has conducted a series of monthly debates ‘*EU Gender Talks: Because We Make a Difference*’, gathering participants across Kosovo institutions, civil society organisations and other stakeholders. He continued backing government’s efforts to fight gender-based violence. The EUSR also launched the project ‘*Women in Politics, Confidence, influence and effective leadership*’, aimed at training Kosovo women with leadership potential and ultimately at improving the situation of under-representation of women in politics in Kosovo.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

#### *SDG 5 Achieve gender equality and empower all women and girls*

Non-proliferation and disarmament actions contribute to a gender perspective. An example is the decision of the Council of 2018 to approve a three-year actions to be implemented by the United Nation Office for Disarmament Affairs aimed at enhancing the effectiveness of small arms control measures through gender analysis and integration of gender perspectives. Activities under the action include training national officials in eighteen countries on gender-mainstreaming and small arms control; promoting gender mainstreaming in regional initiatives; strengthening the small arms control component in the Women Peace and Security (WPS) framework, and awareness-raising and partnerships. The contribution of the EU amounts to EUR 4,4 million.

#### *SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*

CSDP Missions work in the field of security sector reform, while EUSR are promoting EU policies in different parts of the worlds. None of them directly report on their activities against the SDGs, but their work may indirectly help achieving development SDG 16 (Peace, justice and strong institutions). To be noted also that CFSP reporting on the substance of the operations conducted by the Missions and the EUSRs is addressed to the EEAS and Member States and not the Commission. The Commission receives the reporting on budget, procurement and finance management.

Non-proliferation and disarmament actions contribute to SDG 16, as they contribute to international peace and security and to the reduction of violence globally by preventing and combatting the proliferation of weapons of mass destruction and the illicit accumulation and trafficking of small arms and light weapons and their ammunition.

### 6.5.2. Key achievements and performance

The Common Foreign and Security Policy (CFSP) contributes directly to the achievement of Priority No 5 ‘*A Stronger Europe in the world*’ of the von der Leyen Commission in the area of Security and Defence. Taking into account the distinct, yet shared, responsibilities of the Council, the European External Action Service (EEAS) and the Service for Foreign Policy Instruments (FPI) in relation to the CFSP actions, the CFSP actions contribute to the support to:

- the preservation of stability through CSDP Missions and EUSR Mandates;
- the implementation and promotion of: 1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area (WMD); 2) strategy on combating illicit accumulation and trafficking of Small Arms and Light Weapons (SALW) as well as measures against illicit spread and trafficking of other conventional weapons; 3) EU’s policies in the field of conventional arms exports, in particular on the basis of Common Position CFSP/944/2008.

The CSDP Missions work in the area of civilian security sector reform, including police and rule of law, the fight against terrorism and organised crime, maritime capacity building and border management. There are three types of Missions: capacity building Missions, monitoring Missions and advisory Missions, and some of their work does indirectly contribute into building accountable Institutions.

As neither Missions nor EU Special Representatives are subject to external evaluation, the direct or indirect impact of their work towards these goals cannot be adequately assessed by the Commission.

**HEADING 6: Neighbourhood and the World****Overseas Countries and Territories (OCT) (including Greenland)****Lead DG:INTPA**

1. Overview .....	1254
1.1. Challenges .....	1254
1.2. Mission (general objectives) .....	1255
1.3. Specific objectives .....	1255
1.4. Public intervention context .....	1256
1.5. Actions .....	1256
1.6. Delivery mode .....	1257
1.7. Graphic overview of the programme structure .....	1257
1.8. Legal basis and financial programming .....	1257
1.9. Link with the 2014-2020 MFF .....	1258
1.10. Relevant websites providing more information .....	1258
2. Where are we in the implementation ? .....	1258
2.1. Programme 2021-2027 .....	1258
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1258
3. How is the programme performing ? .....	1259
3.1. Performance .....	1259
3.2. Key achievements .....	1261
3.3. Evaluations, studies and reports .....	1262
4. Programme 2021-2027 - Key monitoring indicators .....	1262
Specific Objective 1 :To foster and support cooperation with OCTs, including in addressing their major challenges and reaching the Sustainable Development Goals .....	1262
Specific Objective 2 :To support and to cooperate with Greenland in addressing its major challenges such as the raising of education level and to contribute to the capacity of the administration of Greenland to formulate and implement national policies. ....	1263
5. Programme 2014-2020 - Key monitoring indicators .....	1264
Previous Program 1 : Cooperation with Greenland .....	1264
General Objective 1 :The EU/Greenland partnership aims to preserve the close and lasting links between the partners, while supporting the sustainable development of the Greenlandic society .....	1264
Specific Objective 1 :To support and cooperate with Greenland in addressing its major challenges in particular the sustainable diversification of the economy, the need to increase the skills of its labour force, including scientists, and the need to improve the Greenlandic information systems in the field of Information and Communication Technologies. ....	1264
Specific Objective 2 :To contribute to the capacity of the Greenlandic administration to formulating and implementing national policies in particular in new areas of mutual interest as identified in the PDSD referred to in Article 4(1). ....	1266
6. The programme contribution to horizontal policies .....	1267
6.1. Contribution to climate mainstreaming .....	1267
6.2. Contribution to biodiversity mainstreaming .....	1268
6.3. Contribution to clean air financing .....	1269
6.4. Contribution to gender equality .....	1269
6.5. Contribution to the sustainable development goals .....	1269

**1. Overview****1.1. Challenges**

Rising vulnerability, inequalities, climate change and environmental degradation are all part of a new global reality that has been compounded by pandemics and growing migratory pressures. The 13 Overseas Countries and Territories (OCTs) are especially vulnerable to climate change and environmental degradation due to their geographical locations (all are islands in the Caribbean, Arctic, Antarctic, Pacific and Indian Oceans). At the same time, almost all are located in global biodiversity hotspots and – together with the Outermost Regions – account for the vast majority of EU biodiversity. Economic diversification, competitiveness, digital transformation and connectivity are further major challenges faced by the OCTs, several of which are remote, isolated islands. The OCTs' economies often rely on tourism, making them heavily dependent on external factors and therefore very fragile. Some regions, such as the Caribbean, are also facing migratory pressures due to the crisis in Venezuela.

The new Overseas Association Decision (OAD) provides an updated legal framework for supporting OCTs' actions in tackling these challenges and ensuring their economic and social development. For the first time, the OAD incorporates the formerly additional Greenland Decision, placing all OCTs firmly within the same instrument and under the same source of funding, the EU Budget (OCTs other than Greenland previously benefitted from the European Development Fund).

The OCTs have been associated with the EU since the Treaty of Rome. They are not sovereign countries, but maintain special constitutional links with 3 Member States: Denmark, France and the Netherlands. Cooperation with the OCTs is based on EU values and shared policy priorities, and OCTs are considered important EU 'ambassadors' in their regions.

## 1.2. Mission (general objectives)

The general objective of the OAD is to promote the economic and social development of all the OCTs and to establish close economic relations between them and the Union as a whole.

Furthermore, the aim of this Decision is to preserve the existing ties between the Union on the one hand, and Greenland and Denmark on the other acknowledging the geostrategic position of Greenland in the Arctic, and to preserve existing ties between the Union and the other OCTs, acknowledging their geostrategic positions in the Caribbean, the Indian Ocean, the Atlantic, the Antarctic and the Pacific.

The OCT association shall pursue this general objective by enhancing the OCTs' competitiveness, strengthening the OCTs' resilience, reducing their economic and environmental vulnerability and promoting cooperation between them and with other partners including Outermost Regions and countries in the OCT regions.

The new OAD will deliver:

- Unity of management having all the OCTs under the same source of financing will create synergies in programming and implementation;
- Consolidation of shared objectives;
- Simplification and coherence in the legal framework;
- Higher profile for the OCTs as a group.

The Union financial assistance allocated through the partnership should bring a European perspective to the development of OCTs and should contribute to strengthening the close and long-lasting mutual ties, while also consolidating the position of OCTs as advanced outposts of the Union.

The partnership between the EU and OCTs will facilitate consultations and policy dialogue on the objectives and areas of cooperation established through the OAD. In particular, it will define the framework providing the basis for broad cooperation and dialogue in areas of mutual interest.

## 1.3. Specific objectives

The association between the EU and the OCTs continues to be based on the political, trade and cooperation pillars. The specific objectives of the OAD are:

- to foster and support cooperation with OCTs, including in addressing their major challenges and reaching the Sustainable Development Goals;
- to support and to cooperate with Greenland in addressing its major challenges, such as raising the education level, and to contribute to the capacity of its administration to formulate and implement national policies.

Given the OCTs' geographical locations, cooperation between them and their neighbours should be pursued in the interests of all sides, with a particular focus on areas of common interest and the promotion of the Union's values and standards. The new OAD reinforces the provisions on strengthening cooperation with non-OCT neighbours and for the first time sets aside an earmarked envelope for this purpose.

Under the OAD, EU policy priorities linked to the Green Deal would be strengthened through: i) the horizontal spending target of [30 %] for climate change objectives, ii) its contribution to mainstreaming biodiversity action in the Union policies, and iii) the achievement of the overall ambition of providing [7,5 %] of annual spending under the MFF to biodiversity objectives in the year 2024 and 10 % of annual spending under the MFF to biodiversity objectives in 2026 and 2027. The OAD does not include horizontal spending targets for other cooperation areas.

Through the OAD, the EU could enhance support to the OCTs in addressing climate change, environment, biodiversity and clean energy as crucial areas of cooperation. It strives to ensure greater access of OCTs to information and communication technologies and services, including by policy and institution building to address the digital divide. Given their economic vulnerability and in the context of the COVID-19 pandemic, the EU will endeavour to support OCTs' economic diversification and develop their sustainable trade capacities, but also sustainable tourism as a mainstay of many OCTs' economies. Education, health, and food and nutrition security are likely areas of cooperation in the field of human development.

#### 1.4. Public intervention context

The Overseas Association Decision proposal is based on Articles 198 to 204 of the Treaty on the Functioning of the European Union (TFEU). Pursuant to Article 204 TFEU, these provisions apply to Greenland, subject to the specific provisions set out in Protocol No 34 to the TFEU.

The detailed rules and procedures of the association are laid down in Council decisions based on Article 203 of the TFEU, under which such acts are adopted through a special legislative procedure.

The detailed arrangements of the provisions in Part Four of the TFEU have to be made at Union level, as the purpose of the association — social and economic development and close economic ties between the OCTs and the Union as a whole — cannot be achieved via action at Member State level alone. Moreover, Member States would not be able to take action with regard to the OCT trade regime, as the EU alone is responsible for common trade policy (Part Five, Title II of the TFEU).

The approach towards cooperation with the OCTs contained in the Commission's legislative proposal respects the principles of partnership, complementarity and subsidiarity. It proposes that the EU financial assistance to OCTs be based on programming documents, for which the competent OCT authorities and the Commission would be jointly responsible and which would define the cooperation strategies between the Union and the OCTs.

Under Articles 198 and 199 of the TFEU, the association will continue to provide a comprehensive partnership comprising an institutional framework and trade arrangements and covering many areas of cooperation, as well as the basic principles governing Union financial assistance to OCTs.

Considering the specificities of the OCTs and their special relationship with the EU, a new legislative act for all OCTs that covers the political and legal framework and how cooperation should be implemented will ensure effectiveness, consolidation of shared objectives and coherence, as well as more visibility for the OCTs as a group. This proposal puts forward an approach that is flexible and tailored to the situation of each OCT.

In line with the principle of proportionality, the proposed Decision Regulation does not go beyond what is necessary to achieve its objectives.

#### 1.5. Actions

The proposal covers three pillars of actions: political, trade and cooperation aspects between the Union and the OCTs. It includes specific provisions guiding the partnership with Greenland, where required.

At the level of cooperation with OCTs:

- Unless otherwise specified, the new OAD will follow implementation provisions from the NDICI, via a referral clause.
- OCTs remain eligible for Union programmes (such as the humanitarian aid instrument, Horizon Europe and Erasmus) as a matter of principle, unless the rules of a specific programme preclude their participation.
- OCTs are to be eligible for the thematic part and rapid response actions of the NDICI.
- the OCTs will be eligible for InvestEU as a vehicle for investment financing;

Cooperation through the OAD takes place via three main types of actions:

- Geographic/bilateral cooperation with individual OCTs;
- Regional programmes benefitting OCTs in the same geographical region (Caribbean, Pacific, Indian Ocean), based on shared needs;

- Intra-regional programmes for cooperation between one or a group of OCTs with one or more non-OCT neighbours, who would participate with their own funds.

Additionally, the OAD sets aside a ‘reserve’/non-allocated fund for unforeseen circumstances such as natural disasters, emerging challenges such as migratory pressures, and new international priorities.

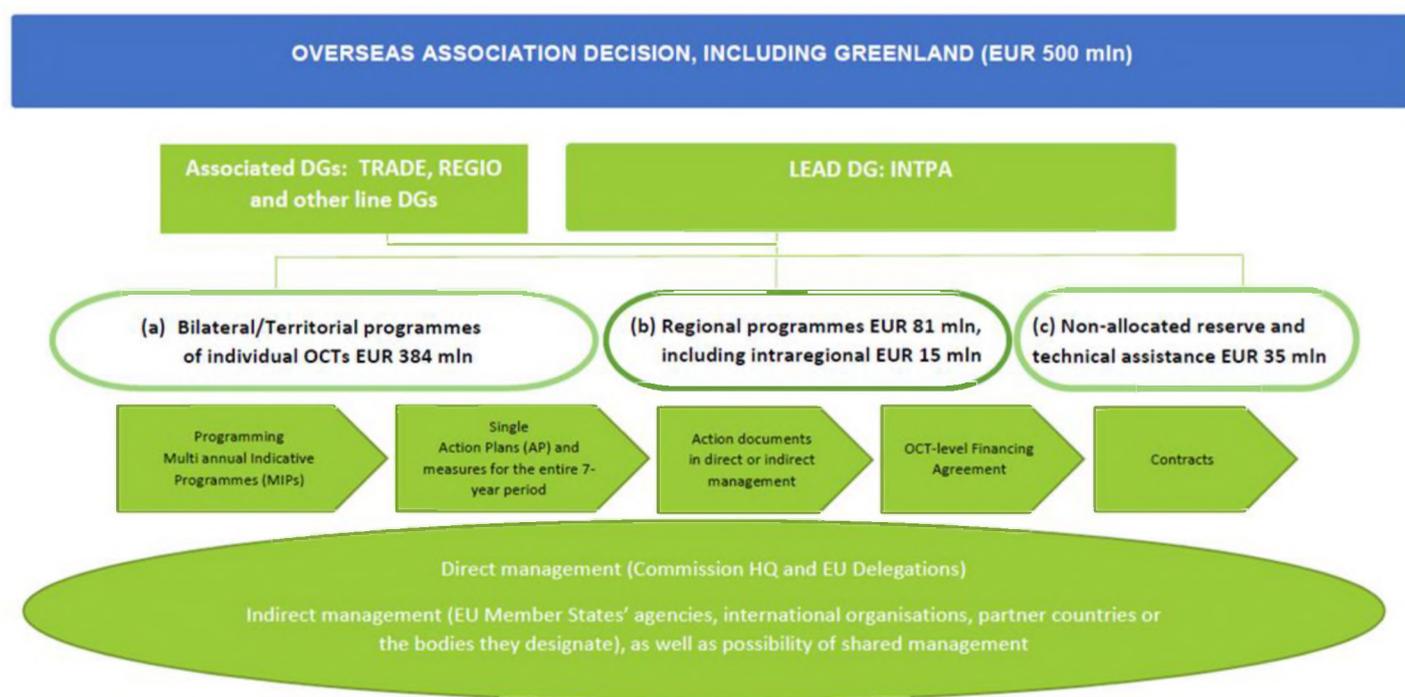
## 1.6. Delivery mode

The delivery mode shall be direct management by the Commission from Headquarters and/or through the Union Delegations, as well as indirect management by entities such as the EU Member States’ agencies or international organisations that ensure a level of protection of the EU’s financial interests equivalent to that under direct management. Indirect management may also be entrusted to partner countries or the bodies they designate. In case of contribution from other Union programmes, different set of rules can be applicable.

The lead service involved in implementing the OAD is DG INTPA, in cooperation with DG TRADE, DG REGIO and other line DGs as well as the EEAS, especially on external dimensions of internal policies like climate, environment, energy, health and digital.

For the sake of consistency and effectiveness, and unless otherwise specified, the OAD will apply the implementation, evaluation and monitoring provisions of the Neighbourhood, Development and International Cooperation Instrument (NDICI).

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0244/CNS COM (2018) 461: Proposal for a COUNCIL DECISION on the Association of the Overseas Countries and Territories with the European Union including relations between the European Union on the one hand, and Greenland and the Kingdom of Denmark on the other ('Overseas Association Decision')	2021 - 2027	500,0

### 1.8.2. Legal basis explanation

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>67,0</b>	<b>69,0</b>	<b>70,0</b>	<b>71,4</b>	<b>72,9</b>	<b>74,3</b>	<b>75,4</b>	<b>500,0</b>

#### 1.8.4. Financial programming explanation

The financial programming is modified in order to reflect the planned use of the 2021 and 2022 funds for the up to six OCTs that will have their territorial AAPs adopted in 2022. Therefore, all the 2022 commitment appropriations are put on the 'Territorial' budget line.

This re-allocation of funds made in the year 2022 will be fully compensated in the years 2023-2027 by corresponding linear yearly increases on the lines 'Intra regional programmes', 'Technical Assistance', 'Non-allocated funds', 'Regional' and 'Greenland' budget lines and by yearly linear decreases on the 'Territorial' budget line, so that the total funds on each of these budget lines, at the end of 2027, remains the same as foreseen by the legislative proposal and the MFF agreement.

#### 1.9. Link with the 2014-2020 MFF

The mid-term review report (December 2017) on 10 external financing instruments, including the Greenland Decision and the 11th EDF for the other OCTs, concluded that the external financing instruments were 'fit for purpose'. However, both the report and the consultations conducted highlighted the need for increased flexibility, simplification, coherence and performance.

This has led to the proposal for a future Neighbourhood, Development and International Cooperation Instrument/NDICI, which would draw on lessons learned to help streamline the Union's external action architecture.

The Overseas Association Decision and the Greenland Decision could not be included in the new NDICI or in any other legal act subject to the ordinary legislative procedure. This is because they both have a specific adoption procedure: a Council Decision by unanimity, following consultation of the European Parliament. However, to streamline the number of programmes it has been proposed that the two Decisions be merged into a single Decision regrouping all OCTs, including Greenland under the new budget heading 6 'Neighbourhood and the World'.

As both Decisions were deemed 'fit for purpose', the guiding principle was to preserve what works well, while improving the partners' ability to deliver effectively on their policies and priorities. On the other hand, the Member States concerned have firmly insisted on retaining the structure and acquis of the current Overseas Association Decision.

With the 'budgetisation' of the European Development Fund in the 2021-2027 MFF, the EU budget will become the unified source of financing for all OCTs.

The EU can continue to provide value to OCTs where it is often the sole cooperation partner besides the Member State to which the OCT is linked. Through budget support as the primary implementation modality, it can ensure predictability of resources. Moreover, the EU has significant expertise and a recognised international reputation as a lead player in sustainable development in general, and in areas of cooperation most relevant to OCTs in particular.

#### 1.10. Relevant websites providing more information

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

At the time of writing (March 2021), the OAD still needs to be adopted by the Council, the amount of the bilateral and regional envelopes defined and the Multiannual Indicative Programmes for the OCTs be put in place to allow commencing the implementation. However, indicatively three annual action plans are envisaged for the OCTs in 2021: (i) Greenland-education, (ii) institutional support to the OCT Association and (iii) a new technical cooperation facility.

In 2022, indicatively six Annual Action Plans are envisaged for bilateral programmes in OCTs.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	217 388 785	200 955 432
Implementation Carry-overs	0	697 115
Implementation total	217 388 785	201 652 547
total envelop*	217 812 467	

cumulative implementation rate	100%	93%
--------------------------------	------	-----

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

### **Cooperation with Greenland**

By the end of 2020, the programme has committed 100% of its total envelope and paid 93%. The support to Greenland is implemented via budget support. The total budget available was 216 million in programmable support and 1.8 million in administrative costs. Of the 216 million, around 5-6 million has been decommitted where the performance tranche could not be disbursed fully. This was the case for all years except 2019 and 2020.

Following the Council Decision 2014/137/EU of 14 March 2014 on relations between the European Union on the one hand, and Greenland and the Kingdom of Denmark on the other, the Commission agreed with the Government of Greenland the "Programming document for the sustainable development of Greenland 2014-2020" which was signed on 28 October 2014. The objectives and indicators follow those in the Council Decision, complemented by indicators on education, taken from the programming document.

The Financing Agreement for the 2020 programme to support Greenland's education sector was signed with the Government of Greenland on 11 December 2020 (GL/2020/042-530) for an amount of EUR 33,20 million. To effectively and rapidly support the Government of Greenland's response to the COVID-19 crisis in the education sector, the disbursement was front loaded through one fixed tranche of budget support for the full amount of the programme.

The Annual Work Plan 2020 was presented by the Government of Greenland and approved. This Annual Work Plan 2020 sets out the government's implementation milestones for the entire education sector in 2020. Subsequently, the fixed tranche for the 2020 programme was paid in December 2020.

The EU's 2019 education budget support programme to Greenland was still ongoing in 2020. The Annual Implementation Report 2019 was received from the Government of Greenland providing adequate proof of programme implementation. In addition to the fixed tranche under the 2020 education support programme the variable tranche for the 2019 education support programme was paid in December 2020 amounting to EUR 3.87 million (64.38 % of the total foreseen).

Due to COVID-19 Policy Dialogue Meetings could not be held physically, but through video conferences. This allowed for dialogue on the planned response to the COVID-19 crisis in Greenland and the progress with the reform implementation in the education sector. Greenland envisages to increase the compulsory education age limit from 16 to 18 years. The new reform will also create a cohesive and flexible education system based on 12 years of compulsory schooling, which in turn will create a basis for further education, both in Greenland and abroad. In addition, the Government implements reforms in teachers' education.

To further support the Government of Greenland response to the COVID-19 crisis, the Financing Agreement for support to the Greenland Education Programme 2019 will be amended in 2021 to mobilise additional COVID-19 support, utilising the remaining funds in the Financing Decision for 2019. An amount of EUR 2.14 million should thus be disbursed early in 2021 in addition to a remaining balance of EUR 3.97 million from the 2020 Education Support programme.

In December 2019 the Commission adopted the Capacity Facility Greenland with a budget of EUR 2.64 million. The Financing Agreement for this project was signed by the Government of Greenland on 18 December 2020. This project will broaden the EU cooperation in support to the sustainable and inclusive development of the Greenlandic society. It will cover three areas: evidence-based policies and quality management of interventions undertaken by the Government of Greenland, private sector development (support to a small and medium-sized (SME) hub), and strengthening Greenland's contribution to Arctic processes. EU assistance will take the form of targeted technical assistance, studies, seminars and supplies.

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.3. Previous programme performance**

### **Cooperation with Greenland**

EU cooperation 2014-2020 with Greenland focused on education through budget support. EU budget support is a means of

delivering effective aid and durable results in support of EU partners' reform efforts and the sustainable development goals. It involves: (i) dialogue with a partner country or territory to agree on the reforms or development results that budget support can contribute to; (ii) an assessment of progress achieved; (iii) financial transfers to the treasury account of the partner country or territory once those results have been achieved; and (iv) capacity-development support. It is a contract based on a partnership with mutual accountability. In compliance with the EU financial regulation, the use of budget support is subject to certain conditions. Eligibility criteria have to be met before a contract can be signed and must be maintained during its implementation before payments are made.

With the Financing Agreement for the 2020 programme the Support to the Greenland Education Programme phase II through EU budget support has come to its completion. In total this cooperation provided the substantial amount of EUR 215 million from the EU to Greenland's education sector. The Government of Greenland will provide a comprehensive Implementation Report over the period 2014 – 2020.

Overall the programme has been successfully implemented, enabling the Government of Greenland to further develop and reform its education system.

The general objectives of the cooperation with Greenland have been largely met. The cooperation, especially with the key Ministries of Finance, Education, Industry and the Department of Foreign Affairs as well as with the relevant stakeholders in the Government of Denmark is good as witnessed by the Policy Dialogue meetings held twice a year in Greenland and Brussels respectively. The restrictions imposed by the COVID-19 pandemic made it impossible to hold meetings in Greenland and Brussels. However, video conferences were held during the year on specific topics maintaining the dialogue.

However, the programme has not yet resulted in the diversification of the Greenland economy, which is still very much depending in the Fisheries sector for economic development, trade and domestic revenue. This is mainly due to the lack of major (foreign) operational investments in the minerals sector with only two small mines having started operations in the past 3 years. Promising development of an Iron and of Rare Earth Minerals, mines have been held back by lack of investment capital caused by low world market prices for such minerals and the difficulties and expense to operate in an Arctic environment.

Still Greenland has witnessed persistent economic growth in the 5 years up to 2020. For 2020 a reduction of the economy is predicted to be around 2% due to restrictions because of the COVID-19 crisis and lower world market prices for fisheries products. Still Greenland achieved near full employment of the Greenlandic population, which is affecting the success of the Education support programme as High School graduates find employment opportunities more attractive than continuing their education in the Higher education system. Similarly, youngsters, especially men, can find employment in the booming fisheries sector after completing elementary school. Therefore, the level of 16 to 18 year teenagers outside the education system (VET or High School) remains disappointingly high at 58.9 %.

In the Annual Implementation Report 2019 (the latest progress report available to date), the performance of the Greenland Education Programme II is measured against an agreed set of indicators. The achievement rate was, however, lower compared to the previous year, with one target out of 5 indicators partially met (transition rate to education 1 year after elementary school) and one target not met (7th grade tests), while for 3 indicators the targets were surpassed (Number of completions in education, Transition rates to education 2 years after drop-out (high school to VET) and Expenditure on education as percentage of total public expenditure).

The Government of Greenland's increased focus on education and training since 2004 has been reflected in an increase in the budget for education and training from 14.8 % of the total Government budget in 2005 to 25.0 % in 2019, which amounted to around EUR 346.4 million in the 2018 budget and to 25.0 % in the budget for 2020, which amounted to EUR 342.1 million.

Budget Support contributes directly to reform efforts of a partner country or territory. Therefore, its performance is intrinsically linked to the results of such reforms.

The Government has in 2019 to a large extent focused on strengthening implementation of already ongoing initiatives. In 2019, one of the main priorities was a continued focus on initiatives to improve the quality of elementary education. The elementary school system has been the object of much attention, especially following the 2015 external evaluation 'The Primary School of Greenland' and the 2016 final evaluation of the Teacher Training Programme. As both evaluations pointed out, the policy goals of lifting the quality of the elementary school system had not been completely achieved, and further efforts were needed in order to provide children with a sound basis for lifelong learning. Among the activities undertaken in 2019 was the increased use of IT in elementary schools. In addition, the Agency for Education has focused on improving cooperation with the municipalities as both preschools and elementary schools remain a municipal responsibility. One of the main issues is recruitment and retention of personnel. Therefore, the Agency for Education has finalised a 'Strategy and Action Plan for professionals in day-care institutions' in 2018. The strategy has formed the basis for initiatives targeting recruitment and retention of staff in preschools during 2019 and will continue in 2020.

Furthermore, the Government concentrated on accessibility to education, including the introduction of distance learning for both a higher level of accessibility and a higher quality of education, especially for, but not limited to, the elementary and high school levels. The scattered population (population density lowest in the world: 0.028/km<sup>2</sup>) and limited infrastructure in Greenland remains a challenge for recruiting teachers for elementary schools in settlements and for students to move to cities with youth education institutions. Accessibility to education also covers a need for providing education opportunities for students who are

unable to follow regular in-class programmes due to a diagnosis such as autism. In 2019, the Government has therefore continued the trial distance learning high school programme (eGUX) and a trial high school programme for students with a diagnosis (GUX-S), both started in 2018.

In the Vocational Education and Training sector, the Government worked towards more coherence between the education programmes offered and the needs of the labour market. In 2019, the Ministry of Education therefore focused on developing new education programmes that better fit the labour market needs, one within technology management and two programmes targeting the fishing industry. However, the numbers of apprenticeships remain at a low level, despite improvements in the economy. In 2019, the Ministry of Labour worked on a bill that sets minimum requirements for the number of apprentices a company must have based on the amount of skilled workers they employ.

In terms of higher education, the Ministry of Education presented a new Law on Higher. The new legislation is, among other things, a continuation of the work towards implementing a procedure for quality development, in order to live up to international standards. The Government also welcomed in 2019 a new programme at the University of Greenland, who is now offering a Bachelor of Law with specific focus on the Greenlandic legal system.

Even though the education sector is experiencing an overall positive development, Greenland still faces challenges in terms of dropout and completion rates. A large group of children and young people still do not achieve the necessary skills in elementary school in order to continue straight to youth education and therefore must acquire these in other ways. In 2019, 37.5 % of the pupils leaving the elementary school progressed to further education (VET Educations or high school) within a year, and this rate needs to accelerate. The youth group (16 to 18 year) outside the education system is slowly decreasing (from 61.6 % in 2013 to 60.1 % in 2019), indicating that it is becoming more and more natural for young people to enrol in further education after completing the compulsory elementary school.

In light of the above, the Ministry of Education decided to start looking into possible long-term and preferably cross-cutting solutions to address these challenges. In 2017, the Government launched the preparatory work on creating a cohesive and flexible education system. The future structure of the education system – if approved by Parliament – will increase from 10 to 12 years of compulsory schooling, which in turn will create a natural basis for further education, both in Greenland and abroad. In addition to a wide range of new flexible educational opportunities, it will still allow the possibility of continuing straight to high school or vocational education after the 10th school year.

Future interventions should further develop how the EU supports the education sector in Greenland by focussing on factors that have shown to be bottlenecks in the achievement of indicators, such as the lack of teachers and the quality of teachers' training as well elementary education and the production of relevant skills and knowledge for Greenland's future sustainable economic development. In addition, future cooperation with Greenland should look to supporting the sustainable diversification of Greenland's economy by building on for example mineral resources or the potential for green energy, in order to provide high quality job opportunities for youth and to foster Greenland's resilience and economic self-sufficiency.

The Public Finance Management Reform Plan 2018-2020, a key element for Greenland to maintain its eligibility for budget support, is being implemented by the Ministry of Finance, with key achievements such as the adoption of the Public Procurement Law by the Greenland Parliament in June 2019 and the start of its implementation in 2020.

Activities related to the special objective 2 are mainly financed by the Government of Greenland directly without support from the EU. In December 2019 the Financing Decision for the Capacity Facility Greenland, budget EUR 2.64 million, was adopted by the Commission and the Financing Agreement signed with the Government of Greenland in 2020. The actions foreseen in this project will create results starting in 2021 and continue in 2022 and 2023.

### 3.2. Key achievements

25%	60.5%	70%	97.2%	91.2%
of the total Government budget was allocated to education and training in 2019, up from 15% in 2007	of 16 to 18 year-olds remained outside the education system in 2019, demonstrating that education challenges persist	of the students completing higher education are women and 30% are men, due the higher participation of men in the traditional occupations of hunting and fishing	of total exports were in the fisheries sector in 2019; fisheries remain a prominent feature in the economy of the country	of civil servants are (long-term) residents, ensuring the capacity of the Greenlandic administration to formulate and implement national policies

Whereas the Greenland Education Programme phase 1 (2007-2013) resulted in an increased capacity of the education system and a related improved general access to education, the emphasis during phase 2 (period 2014 – 2020) has been on:

- reducing the dropout rate, including in vocational education and training (VET), increasing the number students enrolling in education after dropping-out from 41.5% in 2013 to 45.1% in 2019 with a target of 50% in 2020;

- improving the quality of the education system, increasing the score of 7th grade test to 56.25 in 2019 with a target of 63 in 2020;
- the ability of the system to accommodate and include students who are in need of special attention;
- improvements in the transitions between different stages in the education system;
- from elementary school to high school or VET from 35.4% in 2013 to 37.5% in 2019 and targeted at 48% in 2020;
- from high school to higher education from 64.1% in 2013 to 50.9% in 2019 and targeted at 72% in 2020;
- reducing the number of the 16 – 18 year olds outside the education system from 61.6% in 2013 to 60.5% in 2019 and to 40% in 2020.

Participation of children in the elementary schools up to the age of 15 is compulsory in Greenland and in general full participation of boys and girls is achieved. Participation in further education is not equal with more women attending and graduating in all types of education. Whereas 54.5% of female teenagers between 16 and 18 years do not attend education, 63.0% of male teenagers do not attend. Of the pupils enrolled into Vocational and Training (VET) education, 49% are women while 54% of the VET graduates are women. The graduation rate in VET education is 54.3% for women and only 51.5% for men.

Of the pupils enrolling in Highschool 62% are women, while 60% of the graduates of the Highschools are women. The graduation rate in Highschools is 49.0% for women and 46.1% for men. From the graduates from the Highschools, 48.9% of women continue their education in Higher (=tertiary) education compared to 53.4% of men. Of all students enrolled in Higher education 71% are women and 29% men, while of the students completing their Higher education 70% are women and 30% are men.

These marked differences can partially be explained by the higher participation of men in the traditional occupations of hunting and fishing as well as their much higher employment in the industrial fisheries which is the most important economic sector in Greenland outside the government.

The Government spend some EUR 6.8 million on the replacement and expansion of dormitories, especially in the smaller towns and some EUR 7.53 million on the replacement and expansion of school buildings. These new dormitories and schools are built to strict Arctic building standards and are in general 50% more energy efficient than the wooden barracks they replace. In addition they can be heated with electricity which is generated sustainably in Greenland from hydro-electric resources, replacing fossil fuel based heating systems.

### 3.3. Evaluations, studies and reports

The Common Implementing Regulation (in Article 17) requires a mid-term review report of the EU's external financing instruments ('the instruments') to assess whether these instruments remain fit for purpose, with a view to ensuring the effective implementation of the EU's assistance. The mid-term review COM(2017) 720 final and the related staff working documents were published on 15 December 2017, concluding that the current set of instruments is still relevant and has proved to be sufficiently enabling.

A series of external evaluations took place in 2016-2017 on all the instruments.

The mid-term review report of the cooperation under the Greenland Decision SWD (2017) 609 final was adopted by the Commission on 15 December 2017. This evaluation was partly informed by an independent external evaluation and is based on a wide-ranging consultation process, which included a three-month online Open Public Consultation, technical workshops, and interviews with stakeholders across the board. The main outcome of the evaluation was that the Greenland Decision had proven relevant and effective in pursuing and fulfilling its general and specific objectives and in reflecting its general principles as regards facilitating policy dialogue on global and Arctic issues. The Greenland Decision was seen as a valuable instrument for maintaining and strengthening the strong ties between Greenland and the Union, whose political relationship had very much evolved over the years. While it improved educational attainment and public finance management in Greenland, it has however had no significant immediate impacts in terms of diversifying the economy. An 'ex-post' evaluation of the Greenland Decision will be undertaken in 2023 and submitted to the Council and the European Parliament as required by Article 17 of the Common Implementation Regulation.

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :To foster and support cooperation with OCTs, including in addressing their major challenges and reaching the Sustainable Development Goals.**

**Indicator 1:For OCTs, except Greenland, exports of goods and services as % of GDP**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

(<sup>1</sup>) <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52017SC0609&rid=1>

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	To be updated at a later date with the different data sources for each of the OCTs.
Link to the objective	This indicator can serve to assess the evolution of the competitiveness of the OCT economies, which is intimately related to the economic vulnerability of the OCT economies.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the OCTs in the 2014-2020 MFF, but it was used to monitor Greenland in the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:For OCTs, except Greenland, total Government revenue as % of GDP.**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	To be updated at a later date with the different data sources for each of the OCTs.
Link to the objective	This indicator can be used to assess the evolution of the resilience of the OCTs.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Specific Objective 2 :To support and to cooperate with Greenland in addressing its major challenges such as the raising of education level and to contribute to the capacity of the administration of Greenland to formulate and implement national policies.****Indicator 1:For Greenland, exports of goods and services as % of GDP**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	Statistics Greenland: <a href="http://www.stat.gl">www.stat.gl</a>
Link to the objective	This indicator can serve to assess the evolution of the competitiveness of Greenland, which is intimately related to the economic vulnerability of Greenland.
Link MFF 14-20 / MFF 21-27	This indicator was not used to monitor the 2014-2020 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:For Greenland, percentage of the fisheries sector in total exports**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	Statistics Greenland: www.stat.gl
Link to the objective	The Government of Greenland wants to diversify its economy by developing extractive industries and Tourism. This to reduce its reliance on Fisheries and Fish processing.
Link MFF 14-20 / MFF 21-27	This indicator was used to monitor the 2014-2020 MFF, using the same name and methodology.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

### *Previous Program 1 : Cooperation with Greenland*

**General Objective 1 :The EU/Greenland partnership aims to preserve the close and lasting links between the partners, while supporting the sustainable development of the Greenlandic society.**

#### **Indicator 1:Percentage of trade balance in GDP**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2014	Milestones									2020
-0.161	-0.161	-0.161	-0.161	-0.161	-0.155	-0.155	-0.150			-0.150
	Actual Progress									Final
	-0.137	-0.096	-0.117	-0.027	-0.053	-0.064				

Are we on track	On track
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2019
Data source	Statistics Greenland; www.stat.gl, data have been extracted from the Greenland in Figures 2019 (pamphlet provided by the Statistical Bureau of Greenland on an annual basis).
Narrative	For its long term development, Greenland has to become less dependent on the Block Grant from the Government of Denmark and grant from the EU and other donors. With the development of extractive industries and tourism, Greenland can achieve a positive trade balance.
Methodology	National Accounts
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	The baseline and targets for 2017 and 2020 have been recalculated by Statistics Greenland due to a change of methodology on their side.
Full metadata available at this address	
Justification of the trend	Regarding the ‘Percentage of trade balance in GDP’ indicator, no significant change in the trade balance for 2018 and 2019 is recorded, and for 2020 is forecasted, as only 2 small new mining activities have started up during 2018 and 2019. The reduction in the trade deficit for 2017 is incidental and caused by the continuing high exports of fish and fisheries products and a reduction in importation of machines and vehicles. As the economy of Greenland is small, individual events, like the delivery of construction equipment for the new harbour and the prison construction in 2016, can have important effects on the trade balance, which was elevated in 2016.

**Specific Objective 1 :To support and cooperate with Greenland in addressing its major challenges in particular the sustainable diversification of the economy, the need to increase the skills of its labour force, including scientists, and the need to improve the Greenlandic information systems in the field of Information and Communication Technologies.**

#### **Indicator 1:Completion rate at high school, VET and higher education**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0,511				0,540			0,600			0,600
	Actual Progress									Final
	0,489	0,493	0,516	0,508	0,507	0,538				

Are we on track	Moderate progress
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/12/2019
Data source	Ministry of Education, Greenland, Annual Implementation Report, Greenland Education Programme
Narrative	With improvements in the quality of Education in Greenland the completion rates should increase.
Methodology	Estimating completion rate: enrolled students multiplied with transition rates between study years for older students.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	The completion rate is a probability and will change each year as long as it covers students active in the education system. For earlier cohorts (where enrolled students in that year/cohort have all either dropped out or graduated) the rate is constant.
Full metadata available at this address	
Justification of the trend	This indicator is slowly improving and shows the results of the efforts improving the High School, VET and Tertiary Education. The target for 2020 will probably not be achieved, but this target is now considered to be too ambitious.

### Indicator 2: Share of age group outside education system

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0.616				0.570			0.400			0.400
	Actual Progress									Final
	0.635	0.590	0.565	0.601	0.574	0.605				

Are we on track	Deserves attention**
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	31/12/2019
Data source	Ministry of Education, Greenland, Annual Implementation Report, Greenland Education Programme
Narrative	Reducing the number of pupils that do not continue their education after Elementary School will give more young people a chance to benefit from the economic development of Greenland.
Methodology	Number of students aged 16–18 active at a youth education or continuation school to population in GL age 16–18 and active students abroad age 16–18
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	More than 50% of the 16-18 year old population in Greenland is outside the Education system, therefore it is unlikely that the target of 40% in 2020 will be achieved. This indicates that the quality of Elementary Education is not improving enough to give pupils the necessary basis to continue their education after Elementary School. The Government is planning a comprehensive reform of the Elementary and Secondary Schools expanding amongst other the compulsory education to 6 to 18 years.

### Indicator 3: Percentage of fisheries in total exports

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0.898		0.910	0.910	0.910	0.890	0.850	0.830			0.830
	Actual Progress									Final
	0.910	0.894	0.874	0.952	0.924	0.973				

Are we on track	Deserves attention**
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2019
Data source	Statistics Greenland; www.stat.gl, data have been extracted from the Greenland Figures in 2019 (pamphlet provided by the Statistical Bureau of Greenland on an annual basis).
Narrative	The Government of Greenland wants to diversify its economy by developing extractive industries and Tourism. This to reduce its reliance on Fisheries and Fish processing.
Methodology	Percentage of the fisheries sector in total exports. Fisheries: SITC rev. 3 code 03 - Fish (not marine mammals), crustaceans, mollusks and aquatic invertebrates, and preparations thereof. Amount of fish export to total export
Link MFF 14-20 / MFF 21-27	This indicator will be used to monitor the 2021-2027 MFF, using the same name.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	With regards to the Indicator 'Percentage of fisheries in total exports', no significant change in the

	percentage of fisheries in total exports for 2014 to 2019 was realised as no new mining activities were operating during those years. Two small mines started operating in 2018 and 2019, with however only a small economic effect on exports due to their small size. In fact, increased allowable catches and sustained high world market prices mean that fisheries will maintain its leading position in the economy in the near future.
--	---

**Specific Objective 2 :To contribute to the capacity of the Greenlandic administration to formulating and implementing national policies in particular in new areas of mutual interest as identified in the PDSO referred to in Article 4(1).**

**Indicator 1: Number of administrative staff completing training (participant days)**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
1 350				1 500			1 500			1 500
	Actual Progress									Final
	1 484	1 467	1 972	2 466						

Are we on track	No data
Indicator type	Input
Unit of measurement	Number of staff training days
Cut-Off Date	31/12/2019
Data source	Ministry of Finance, but the Government has stopped reporting on this indicator.
Narrative	The indicator is to measure the efforts of the Government in upskilling its staff.
Methodology	Participants in a given course times the duration of the course in days. Sum of participant days over all courses organised through the Office for Human Resource Development.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	The indicator only includes training of administrative staff organised through the Office for Human Resource Development in the Government. Decentralised training organised or contracted by the individual units of the Government is not included. Furthermore, training of administrative staff in the municipalities is not included. The indicator therefore systematically underestimates the actual upskilling of administrative staff.
Full metadata available at this address	
Justification of the trend	

**Indicator 2: Percentage of civil servants that are (long-term) residents in Greenland**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2013	Milestones									2020
0.872										
	Actual Progress									Final
	0.878	0.880	0.877	0.876	0.934	0.912				

Are we on track	On track
Indicator type	Output
Unit of measurement	Percentage
Cut-Off Date	01/05/2020
Data source	Statistics Greenland; www.stat.gl, data have been extracted from the Greenland Figures in 2019 (pamphlet provided by the Statistical Bureau of Greenland on an annual basis).
Narrative	The civil servants with at least 5 years of residence in Greenland and the short term residents which were born in Greenland. Milestones and targets for indicator 2 have not been established as no specific support programme has been identified that influences this indicator directly. However, with a better educated population this indicator is indirectly influenced by the EU support to the education sector.
Methodology	Number of employees which are long-term residents (LTR) to total number of employees. LTR is defined as living in Greenland for 5 years. Furthermore, Greenlandic students studying abroad and returning to Greenland will be measured as long-term residents.
Link MFF 14-20 / MFF 21-27	This indicator will not be used to monitor the 2021-2027 MFF.
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Activities related to this objective are financed by the Government of Greenland directly without requiring support from the EU or financed from the project "Capacity Facility for Greenland" decided in 2019. The definitions of the 2 indicators were changed following the signature of the Programming Document for the Sustainable Development of Greenland (C(2014)6775) on 28/10/2014, leading to modification of the baselines. Indicator 2 measures the civil servants with at least 5 years of residence in Greenland and the short term residents which were born in Greenland. Milestones and targets for

indicator 2 have not been established as no specific support programme has been identified that influences this indicator directly. However, with a better educated population this indicator is indirectly influenced by the EU support to the education sector under Specific Objective 1. Data on this indicator are monitored and provided by Statistics Greenland.
---

## 6. The programme contribution to horizontal policies

### 6.1. Contribution to climate mainstreaming

#### 6.1.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
16,8	17,2	17,5	17,9	18,2	18,6	18,9	125,1

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.1.2. Explanation and justification on the financial contribution

The OCTs are especially vulnerable to climate change and environmental degradation due to their geographical locations and characteristics (all are islands in the Caribbean, Arctic, Antarctic, Atlantic and Pacific Oceans). Climate change, environment, oceans and energy are therefore crucial areas of EU-OCT cooperation.

The new Overseas Association Decision (OAD) sets a (non-binding) target aiming to dedicate 25/30 % (tbc) of its envelope (EUR 500 million) for the 2021-2027 period to climate-related actions. These include possible joint actions with non-OCT neighbours via a dedicated intra-regional envelope of EUR 15 million; the neighbouring partners would be expected to contribute their own funds.

It is not possible to predict the annual spending from the 2021-2027 Overseas Association Decision (OAD) at this moment when the programming exercise is just starting, given that the subjects of concrete 2021-2027 MIPs remain to be jointly decided with OCTs.

The amounts shown in the above table represent the estimated contribution of OCTs to the climate mainstreaming and were calculated as 25% of the yearly envelope of this programme. The amounts may be revised at a later stage, when the programming exercise will be more advanced.

For the Cooperation with Greenland in the period 2014-2020 the following updates can be presented.

#### Relevant objective/output

Relevant objective/output	Budget 2019	Budget 2020
EU support for the sustainable development of Greenland*	7,2	10,4
<b>Total</b>	<b>7,2</b>	<b>10,4</b>

#### Programming climate action

2014-2019						estimate	Total
2014	2015	2016	2017	2018	2019	2020	
6,0	5,9	6,8	6,9	7,2	7,2	10,4	50,4

(\*)The appropriations for the year 2014 have been reviewed to take account of the transfer to subsequent years of the allocations not used in 2014 (reprogramming exercise carried-out in 2015 in accordance with Article 19 of the Multiannual Financial Framework Regulation).

#### 6.1.3. Key achievements

Regarding the Greenland programme, for the budget year 2019, the last year over which data are currently available, the contribution is calculated at EUR 7.2 million on the basis of the following achievements in 2019:

- around 48% of the overall Greenland Education Programme II Budget is spent on building new and replacement school buildings and new dormitories replacing rented accommodations, equivalent to EUR 14.33 million in the budget year 2019,
- the current EU programme contributes 100% to the overall budget of the GEP,
- the EU contribution allows the heavy investments in the school buildings and housing (dormitories),

- most building activity under the GEP replaces old school buildings and especially old dormitories that the new buildings are 50% more energy efficient.

The ongoing 11<sup>th</sup> EDF all-OCT Thematic Programme and the Caribbean, Indian Ocean and Pacific regional programmes (EUR 97.8 million) are all dedicated to a mix of climate change, environment, resilience and sustainable energy, showing the vital importance of these areas to all OCTs. At bilateral level, several OCTs selected climate change/environment (Sint Maarten – EUR 7 million), sustainable energy (Sint Eustatius – EUR 2.45 million and Saba – EUR 3.55 million) and resilient infrastructures (Curaçao – EUR 16.95 million) as the priority sectors under the 11<sup>th</sup> EDF to promote their long-term sustainable development and welfare.

#### 6.1.4. Performance

The Overseas Association Decision defines a wide range of priority areas for cooperation with the OCTs, in pursuit of their economic and human development and achievement of the Sustainable Development Goals. In the 2014-2020 period, from this array of possible cooperation priorities, climate action emerged as the common denominator in all 3 OCT regional programmes (Caribbean, Indian Ocean, Pacific) and in the single all-OCT thematic programme. Moreover, 4 (of then 25) OCTs additionally opted for climate-related action in their bilateral cooperation programmes.

The Government of Greenland has used a big part of the extra finances becoming available for the budget of the Ministry of Education for the replacement and/or expansion of old school buildings and the building of extra dormitories, replacing rented accommodation and old (temporary barracks style) accommodations. All new buildings are constructed to a high, Arctic adapted, standard of construction and are much more energy efficient than the building that are replaced. In addition buildings are adapted to heating on electricity, which in Greenland is mainly (70%+) generated by hydropower in the larger population centres.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
5,0	5,2	5,2	5,4	5,5	5,6	5,7	37,6

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

Almost all OCTs are located in global biodiversity hotspots and together with Outermost Regions account for the vast majority of EU biodiversity. The vital importance of biodiversity to OCTs is reflected in the (non-binding) target of 7.5 % of annual spending from the total 2021-2027 OAD budget (EUR 500 million) for biodiversity actions (tbc based on the outcome of the ongoing negotiations on the new OAD in the Council).

It is not possible to predict the annual spending from the 2021-2027 OAD at this stage, in general or related to biodiversity in particular. The programming exercise is just starting and it is impossible to know how many OCTs will opt for biodiversity-related cooperation under the OAD. The priorities of the 2021-2027 Multiannual Indicative Programmes remain to be jointly decided with OCTs. In terms of the biodiversity target, there is a risk that it might not be met if an insufficient number of OCTs opts for biodiversity, especially as cooperation with OCTs generally focuses on a single area/sector for the entire 7-year budgetary period.

The amounts shown in the above table therefore represent the *estimated* contribution of OCTs to the biodiversity mainstreaming and were calculated as 7.5 % of the yearly envelope of this programme. Due to the risk factors (target not yet confirmed, target non-binding, subjects of MIPs unknown at this stage), the amounts may be revised at a later stage, when the programming exercise is more advanced.

### 6.2.3. Key achievements

The on-going EDF 11<sup>th</sup> Caribbean, Indian Ocean and Pacific regional programmes as well as the BEST initiative have helped OCTs to improve protection and sustainable management of biodiversity and ecosystems as well as to reinforce cooperation on environmental actions. The Indian Ocean Regional Programme (EUR 4 million) is a good example that places the protection of biodiversity in the French Southern and Antarctic Lands (TAAF) at the core of its action.

### 6.2.4. Performance

The Overseas Association Decision defines a wide range of priority areas for cooperation with the OCTs, in pursuit of their economic and human development and achievement of the Sustainable Development Goals. In the 2014-2020 period, from this array of possible cooperation priorities, biodiversity emerged as one of the priorities in all 3 OCT regional programmes (Caribbean, Indian, Pacific). In particular, the Indian Ocean regional programme focuses on the French Southern and Antarctic Lands, which are home to exceptional biodiversity, highly diverse and complex ecosystems, and a high rate of endemism among flora and fauna.

### 6.3. Contribution to clean air financing

Not applicable

### 6.4. Contribution to gender equality

#### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### 6.4.2. Key achievements and performance

While there was no specific target set in the 2014-2020 OAD concerning gender equality, care will continue to be taken to ensuring that all cooperation programmes include a focus on gender equality. Indeed, the new 2021-2027 OAD explicitly states that gender equality should be mainstreamed into all actions as a key contribution to the successful achievement of the SDGs.

For the Greenland programme, the contribution is estimated to be as follows.

Relevant objective/output	2018 (EUR Million)	2019 (EUR Million)	Budget 2020 (EUR Million)
EU support for the human development of Greenland*	3.4	8.8	12.49

For the Greenland Programme, based on the Implementation Report over 2019 (which is the latest report available to date), the following is achieved:

- around 50% of the children attending elementary school are female,
- 61.0% of the children completing further education are female (for 2019, female completion in high school, VET and higher education were respectively 60.0%, 54.0% and 70.0%),
- therefore overall 55% of the children benefitting from education in Greenland are female,
- around 53.33% of the overall Greenland Education Programme II Budget is spent on non-building activity equivalent to EUR 15.99 million,
- the current EU programme contributes 100% of the overall budget of the GEP II.

Overall girls and women perform much better in the Greenlandic Education system than boys and men. Partially this is due to a cultural bias in favour of traditional male activities like fishing and hunting. Partially this due to a thriving fisheries industry that absorbs much of the available workforce. But this is also due to a strong emphasis on gender issues in government policies, equal employment opportunities for women, especially in the education sector (where women are in the majority).

As Greenland is subject to the constitution of the Kingdom of Denmark, women's rights, equal opportunities and more general human rights are applied in Greenland.

### 6.5. Contribution to the sustainable development goals

#### 6.5.1. Goals

Not applicable

#### 6.5.2. Key achievements and performance

##### Introduction

The United Nations (UN) 2030 Agenda is a compass, aiming at achieving integrated policy-making and action to sustainable development. The objective of the association between the Union and the OCTs is, as defined in the Overseas Association Decision (OAD), to support the OCT's sustainable development as well as to promote the values of the UE in the wider world. Under this frame, the priority sectors of interventions of ongoing cooperation are education, environment, climate change and sustainable energy, connectivity, sustainable growth, tourism and social development/youth. They promote long-term sustainable economic development and welfare in OCTs. In the coming years, the Green Deal could emerge as a pivotal priority given the vulnerabilities of the OCTs as islands. This could include climate action, environment, biodiversity and energy transition, as well as digital technologies, circular economy and investments for sustainable growth and jobs, which are all very relevant areas for OCTs. In

addition, support to education (primary, secondary and tertiary as well as vocational training) will continue to contribute to OCT's sustainable development.

EU support to OCTs contribute to many areas of the 2030 Agenda, often interlinked, which can be illustrated by:

### **SDG 3 Good health and well-being**

To achieve good health, which is an essential component of the human development of each country/territory, complementary work and progress with others SDGs is required, including SDG 4 (education), SDG 5 (gender equality and women's empowerment) and SDG 10 (reducing inequalities). The bilateral programme (EUR 3.95 million) with Bonaire focuses on youth and contributes to implement SDGs 3, 4, 5 and 10. The overall objective of this budget support programme is that Bonaire's youth is healthier, more employable and enjoy improved living standards.

### **SDG 4 Quality education**

Access to quality education fosters equality and is an essential means of achieving sustainable growth and jobs. This is the rationale of EU cooperation with Greenland. This budget support programme (almost EUR 215 million) is the most substantial EU-OCT cooperation programme.

Higher education is an essential component of a strong and sustainable education system, and has therefore a direct impact on the development of every country/territory. SDG 4 will not be achieved without partnerships that include universities, which play a role in producing knowledge and innovation to address global challenges. Aruba's cooperation (EUR 13.05 million) aims at offering innovative STEM (Science, Technology, Engineering, and Mathematics) curricula in a consortium with European learning centres of excellence. This creates a pool of expertise for innovative sustainable solutions and establishes a local 'triple helix' platform to link academic training and research with the private sector's needs and the Government's policy objectives.

Through the Erasmus+ programme, the EU also supported OCTs in facilitating mobility of individuals, and reinforcing intercultural dialogue and understanding. OCT participation has more than doubled since 2018, in the number of both projects and beneficiaries. From 87 projects with 41 beneficiaries (total EUR 3.2 million) in 2018, participation grew to 177 projects and 95 beneficiaries (EUR 5.5 million) in 2020.

### **SDG 6 Clean water and sanitation**

As part of the broader EU support to access to water and sanitation, interventions related to the construction of waste water collection systems and also of treatment facilities contribute to delivery of SDG 6. It is therefore important to highlight the programme of Sint Maarten (EUR 7 million), which aims to enhance resilient public service infrastructures through the expansion of the sewerage network of the territory.

### **SDG 7 Affordable and clean energy**

Sustainable energy is key to achieving the 2030 Agenda and Paris Agreement targets and meeting the long-term objectives of the clean energy transition and decarbonisation process. The EU assistance to Saba (EUR 3.55 million) and Sint Eustatius (EUR 2.45 million) supported the development of the necessary policy and legal framework in the energy sector, providing further impetus to ensure access to sustainable energy.

### **SDG 8 Decent work and economic growth**

Bilateral programmes for French OCTs (for a total of EUR 105.7 million) contribute to the implementation of SDG 8. The EU support on employment (New Caledonia), sustainable tourism (French Polynesia and Saint Pierre et Miquelon) and digital (Wallis et Futuna) drive progress in ensuring sustained economic growth, full employment and decent work.

### **SDG 13 Climate action, SDG 14 Life below water and SDG 15 Life on land**

The OCTs are especially vulnerable to climate change and environmental degradation due to their geographical locations and characteristics. The all-OCT Thematic Programme and the Caribbean, Indian Ocean and Pacific regional programmes (for a total of EUR 97.8 million) are all dedicated to ensuring the sustainable use of natural resources, protecting biodiversity and supporting climate actions and resilience, showing the vital importance of these areas to all OCTs.

As an illustration of EU support to protect biodiversity, we can highlight the Indian Ocean Regional Programme (EUR 4 million) which aims at improving the surveillance and observation of terrestrial and marine ecosystems in the French Southern and Antarctic Lands, restoring ecosystems and reinforcing impact prevention mechanisms.

In addition, the BEST Initiative has helped OCTs to promote EU's environmental standards and provided an incentive for local actors to engage in environmental actions. All these programmes have therefore translated SDG 13, 14 and 15 into effective results on the ground and will prepare the work for the future.

The European Green Deal will provide further impetus to reinforce EU-OCT cooperation on environment and climate change as well as to incentivize solutions to these global challenges.

### **SDG 17 Partnerships for the goals**

Successful sustainable development requires partnerships. The 2019-2024 Commission took office with the mandate to ensure a stronger Europe in the World. The geopolitical Commission strives to advance EU strategic interests and objectives abroad and defends a rules- and values-based international order in an increasingly polarised world, through partnerships. The special relationship between the Union and the OCTs is based on the association of the OCTs with the Union, which constitutes a partnership. This principle of partnership is embedded in the Overseas Association and Decision, which is the framework for political and policy dialogue and cooperation on issues of common interest. The progress achieved so far shall be consolidated and reinforced in the coming period.

**HEADING 6: Neighbourhood and the World****Macro-Financial Assistance****Lead DG: ECFIN**

1. Overview .....	1272
1.1. Challenges .....	1272
1.2. Mission (general objectives) .....	1273
1.3. Specific objectives .....	1273
1.4. Public intervention context .....	1273
1.5. Actions .....	1273
1.6. Delivery mode .....	1274
1.7. Graphic overview of the programme structure .....	1274
1.8. Legal basis and financial programming .....	1274
1.9. Link with the 2014-2020 MFF .....	1274
1.10. Relevant websites providing more information .....	1275
2. Where are we in the implementation ? .....	1275
2.1. Programme 2021-2027 .....	1275
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1275
3. How is the programme performing ? .....	1276
3.1. Performance .....	1276
3.2. Key achievements .....	1277
3.3. Evaluations, studies and reports .....	1278
4. Programme 2021-2027 - Key monitoring indicators .....	1279
Specific Objective 1 :MFA fulfils a fundamental macroeconomic stabilisation function, by addressing exceptional external financing needs faced by neighbouring countries and restoring their economy back to a sustainable path. ....	1279
Specific Objective 2 :MFA provides a strong incentive for macroeconomic adjustment and policy reform by means of strict conditionality, and supports the EU's accession, pre-accession and association agendas in the beneficiary countries. ....	1279
Specific Objective 3 :MFA complements the other EU external instruments as well as resources made available by IFIs and other donors, by helping to ensure that appropriate macroeconomic frameworks and sound economic policies are put in place in the beneficiary countries – which are preconditions for the success of other projects aiming at sustainable socio-economic development by the EU and the donors' community .....	1279
5. Programme 2014-2020 - Key monitoring indicators .....	1279
Previous FIN 1 : Financial Statement for the Macro Financial Assistance (MFA) .....	1279
General Objective 1 :Restoring a sustainable external finance situation for countries facing external financing difficulties	1279
Specific Objective 1 :Providing macro-financial assistance to third countries in resolving their balance of payment crises and restoring external debt sustainability .....	1280
6. The programme contribution to horizontal policies .....	1281
6.1. Contribution to climate mainstreaming .....	1281
6.2. Contribution to biodiversity mainstreaming .....	1281
6.3. Contribution to clean air financing .....	1281
6.4. Contribution to gender equality .....	1281
6.5. Contribution to the sustainable development goals .....	1281

**1. Overview****1.1. Challenges**

The economic stability and prosperity of its neighbourhood are of key geo-strategic importance for the EU. In particular, all Member States of the EU have a strong interest to support neighbouring countries experiencing a balance-of-payments crisis or an

unprecedented economic shock (such as the COVID-19 pandemic), in order to minimize adverse macroeconomic and social spill overs. EU-level action is thereby justified as the benefits of prosperity, stability and security in the EU's neighbourhood flow to all EU Member States.

In its neighbourhood, the EU will make an important contribution to improved economic stability and resilience through the provision of Macro-Financial Assistance (MFA).

## 1.2. Mission (general objectives)

**MFA** is an EU financial instrument extended to partner countries in the enlargement and European Neighbourhood Policy regions that are experiencing a balance-of-payments crisis. Its primary objective is to help countries overcome acute economic crises and restore their economy on a sustainable growth path, which is to be achieved through economic adjustments and structural reforms that are included in the policy conditionality of the instrument. MFA is provided in conjunction to International Monetary Fund (IMF) financing.

*MFA* is part of the EU's toolkit for macroeconomic stabilisation, which includes also the Balance-of-Payment assistance mechanism for Member States outside the euro area, and the rescue mechanisms for the euro area created in response to the global financial crisis.

In the current COVID-19 crisis, *MFA* to neighbourhood and candidate countries will support external stabilisation and thereby provide authorities with policy space to implement measures to counter the economic fallout from the pandemic, while also encouraging the implementation of reforms.

## 1.3. Specific objectives

- **MFA fulfils a fundamental macroeconomic stabilisation function**, by addressing exceptional external financing needs faced by neighbouring countries and restoring their economy back to a sustainable path.
- **MFA provides a strong incentive for macroeconomic adjustment and policy reform** by means of strict conditionality, and supports the EU's accession, pre-accession and association agendas in the beneficiary countries.
- **MFA complements the other EU external instruments as well as resources made available by IFIs and other donors**, by helping to ensure that appropriate macroeconomic frameworks and sound economic policies are put in place in the beneficiary countries – which are preconditions for the success of other projects aiming at sustainable socio-economic development by the EU and the donors' community

## 1.4. Public intervention context

**Shared competences** (Article 4 of the TFEU): the EU and EU countries are able to legislate and adopt legally binding decisions on MFA. Throughout the MFF 2021-2027, MFA will continue to be granted on the basis of case-by-case Decisions adopted by Ordinary Legislative Procedure (OLP) under Article 209, 212 or 213 TFEU. In turn, the Union's operations and those of the Member States complement and reinforce each other. The MFA decision-making process will remain separate from the new Neighbourhood, Development and International Cooperation Instrument (NDICI), proposed by the Commission in June 2018 in the context of the MFF 2021-2027 package.

MFA complements EU assistance under the 'programmed' instruments (e.g. Instrument for Pre-Accession Assistance-II (2014-2020), now IPA-III (2021-2027)) and maximises its effectiveness by alleviating the risks of disruption of the regular EU cooperation framework whilst at the same time laying the basis for structural change and sustainable economic and social development of the beneficiary countries. MFA is also complementary to the other EU crisis response mechanisms (e.g. the Instrument contributing to Stability and Peace and humanitarian aid) and EIB lending. Furthermore, by complementing the resources made available by the International Financial Institutions (particularly the International Monetary Fund) and other donors, EU MFA contributes to the overall impact and effectiveness of the financial support agreed by the international donor community.

## 1.5. Actions

*MFA* provides financial support to partner countries facing a balance of payments crisis. The amount of MFA provided is calculated on the basis of the residual financing needs under an International Monetary Fund (IMF) programme, as assessed by DG ECFIN. MFA is predominantly provided in loans, or a mix of loans and grants (the precise mix in any specific assistance depends on criteria such as the receiving country's level of development and its debt sustainability/creditworthiness). For the loans, the EU passes on to the beneficiary country its own funding costs (namely, the interest rate it has to pay to raise funds by issuing bonds). This allows the countries receiving assistance to benefit from the low rates available to the EU as a top-rated borrower.

The Commission typically disburses MFA assistance in instalments strictly tied to the beneficiary country's progress with respect to:

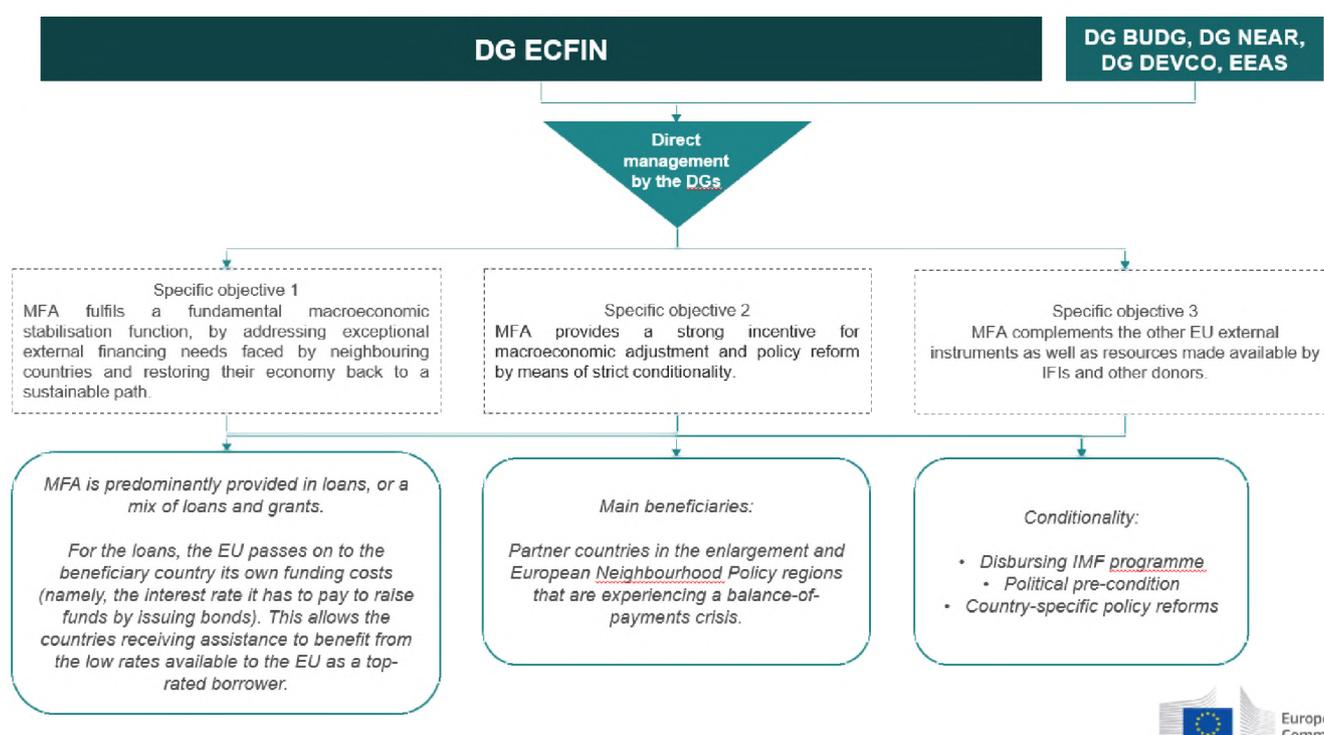
- macroeconomic and financial stabilisation and economic recovery;

- implementation of the agreed policy reforms, as outlined in the Memorandum of Understanding.
- sound progress with the IMF programme, and adherence to the respect for human rights, rule of law and effective democratic mechanisms (the so called 'political pre-condition').

## 1.6. Delivery mode

MFA is implemented in direct management, under the lead of DG ECFIN and with the participation of other Commission services and the EEAS.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

### 1.8.2. Legal basis explanation

MFA is exceptional in nature and is mobilised on the basis of case-by-case Decisions adopted by Ordinary Legislative Procedure (OLP) under Article 209, 212 or 213 TFEU.

In addition to the legal base mentioned above, the MFA loans will be provisioned by the new External Action Guarantee (EAG) within the proposed Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument (NDICI) (COM(2018) 460 final – **NB: Regulation still not adopted**). The EAG will be backed by the new Common Provisioning Fund.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>56,4</b>	<b>50,0</b>	<b>56,1</b>	<b>57,4</b>	<b>59,3</b>	<b>61,6</b>	<b>64,6</b>	<b>405,4</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

As MFA is not a programmable instrument, there is no direct link to a specific MFF. In the 2021-2027 MFF, MFA will continue to be governed by the ordinary legislative procedure, which requires the European Parliament and the Council to approve each specific programme. MFA loans will be guaranteed by the new External Action Guarantee (EAG) to be created by the NDICI. The

EAG will cover guarantees in the private, sovereign and sub-sovereign sector ('EFSD+'), MFA-loans as well as external Euratom loans. The EAG will be backed by the new Common Provisioning Fund, which will incorporate the existing Guarantee Fund for external actions as well as the other Guarantee Funds in the external as well as the internal EU domain. From the EAG total, an amount will be earmarked for MFA loans to be provisioned at a rate of 9%, the same rate as was the case under the 2014-2020 MFF. **[Note: The NDICI Regulation is not adopted yet. The final volume of operations under the EAG and those allocated to MFA are not yet final]** In the 2014-2020 MFF, a EUR 2 billion annual lending volume for MFA was agreed in the mid-term review of the 2014-2020 MFF, confirming the strong European value added and high leverage of the instrument. Additionally, MFA grants will continue to be provided to eligible countries with exceptionally high vulnerabilities..

### 1.10. Relevant websites providing more information

The website on Macro-Financial Assistance is available at: [https://ec.europa.eu/info/business-economy-euro/economic-and-fiscal-policy-coordination/international-economic-relations/macro-financial-assistance-mfa-non-eu-partner-countries\\_en](https://ec.europa.eu/info/business-economy-euro/economic-and-fiscal-policy-coordination/international-economic-relations/macro-financial-assistance-mfa-non-eu-partner-countries_en)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	89 524 730	69 357 331
Implementation carry-overs		
Implementation total	89 524 730	69 357 331
total envelop*	90 523 000	
cumulative implementation rate	99%	77%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

*Note: MFA is predominantly provided in the form of loans, underpinned by guarantees from the EU budget. The budget implementation figures listed in this fiche refer only to the small proportion of MFA implemented in the form of grants from the EU budget. MFA funds disbursed 2014-2020: loans: EUR 6 306.0 million; grants: EUR 68.0 million.*

MFA is predominantly provided in **loans**, underpinned by guarantees from the EU budget. During 2014-2020, around EUR 6 306.0 million of MFA funds were disbursed, out of which EUR 6 238.0 million were in loans, and EUR 68.0 million were in grants. During this period, the majority of MFA funds disbursed went to the Eastern neighbourhood (74%), followed by the Southern neighbourhood (23%) and the Western Balkans (3%).

In 2020, in the context of the COVID-19 pandemic, the EU adopted a EUR 3 billion MFA-package to ten enlargement and neighbourhood partners, to help them limit the economic fallout of the COVID-19 pandemic. The decision was adopted at record speed by the European Parliament and the Council on 25 May 2020. As part of this package, the EU agreed on MFA loans to be distributed as follows: the Republic of Albania (EUR 180 million), Bosnia and Herzegovina (EUR 250 million), Georgia (EUR 150 million), the Hashemite Kingdom of Jordan (EUR 200 million), Kosovo (EUR 100 million), the Republic of Moldova (EUR 100 million), Montenegro (EUR 60 million), the Republic of North Macedonia (EUR 160 million), the Republic of Tunisia (EUR 600 million) and Ukraine (EUR 1.2 billion). Information on the characteristics of the COVID-19 MFA package is provided in Section 3.1.3.

Implementation of the 10 COVID-19 MFA programmes has been progressing at different speeds. By end-2020, the Commission had disbursed the first instalment for seven out of the ten countries in three batches (Kosovo, Montenegro and North Macedonia in October 2020; Georgia, Moldova and Jordan in November 2020; and Ukraine in December 2020), for a total amount of EUR 1 035 million<sup>1</sup>. Implementation with the remaining three partners is progressing at different speeds, with Albania ready to receive the first instalment, while the MoUs (Memoranda of Understanding) with Bosnia and Herzegovina and Tunisia are still to be ratified and enter into force (as at 25 March 2021).

Concerning the **grants**, throughout the 2014-2020 period, the difference between the total of Commitment Appropriations (CA) and Payment Appropriations (PA) is predominantly explained by the fact that the third tranche of the MFA to Moldova, which

<sup>1</sup> This amount does not include the EUR 50 million that was also disbursed to Jordan in November 2020, but pertaining to the regular MFA-III Jordan (Decision 2020/33 of 15 January 2020).

included a grant element of EUR 20 000 000 was not paid out. The tranche was cancelled as not all conditions were met by the time the programme expired in July 2020.

In 2020, the following amounts of CA and PA were utilised from the MFA Budget line 01.030200:

- Aggregate annual amount of commitments: EUR 293 900
- Aggregate annual amount of payments: EUR 15 284 600

With regards to commitments, the total figure reflects commitments made in 2020 for (i) the operational assessments to Bosnia Herzegovina, Moldova, Tunisia and Jordan (ahead of the new MFA operations in the context of the COVID19-MFA package adopted in May 2020), and (ii) the META-evaluation of MFA operations throughout the period 2010-2020 (launched in 2020). There was no commitment with regard to the grant element of MFA operations in 2020.

With regard to payments, the total figure reflects the following payments made in 2020: (i) EUR 10 000 000 in grants were disbursed to Moldova in July 2020 (corresponding to the second tranche from Decision (EU) 2018/1565), as all conditions were met, (ii) EUR 5 000 000 in grants were disbursed to Georgia in November 2020 (corresponding to the second tranche from Decision (EU) 2018/598), as all conditions were met, (iii) the operational assessments to Bosnia Herzegovina, Moldova, Tunisia and Jordan (ahead of the new MFA operations in the context of the COVID19-MFA package adopted in May 2020), and (iv) the ex-post evaluation of MFA-III operation for Ukraine (completed in 2020, and will be published in Q1-2021).

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

MFA has gained increasing prominence in the EU's external toolbox, aiming to address exceptional financing needs of countries that are geographically, economically and politically close to the EU. Since 1990, the EU has made available a number of MFA operations in candidate, potential candidate and neighbourhood countries, for a total amount of over EUR 16 billion. Since 2014, around EUR 6.3 billion have been disbursed and an additional EUR 2.4 billion have been authorised and are expected to be disbursed in 2021 (predominantly related to the COVID-19 MFA package adopted in May 2020).

Throughout 2014-2020, MFA has been instrumental in supporting partners in the eastern and southern neighbourhood faced with conflict and political transitions and, in turn, a deterioration of their economies and financial situation.

**In the eastern neighbourhood, MFA was particularly instrumental in helping Ukraine** to stabilise the macroeconomic situation and undertake the necessary reforms so as to bring the economy on a sustainable growth path. Indeed, since 2014, a total of EUR 4.4 billion was disbursed to Ukraine under five MFA operations. Under the COVID-19 MFA operation – adopted in 2020 for an amount of EUR 1.2 billion – another EUR 600 million are still available to Ukraine. In effect, MFA has proven to be an important tool to address an acute balance of payments crisis and support reforms in public finance management, anti-corruption, financial sector restructuring, trade and taxation and energy.

**In the southern neighbourhood, MFA was also instrumental in helping Tunisia** respond to the economic downturn it has faced following the 2011 revolution and the economic and political transition process that ensued. Indeed, since 2014, a total of EUR EUR 1.4 billion have been made available to Tunisia under three MFA operations (EUR 800 million disbursed to date). The MFA programmes helped redress Tunisia's fiscal and external balances, whilst having a considerable focus on policies to foster employment and provide financial support to the poorer sections of society. Additionally, in **Jordan**, a total of EUR 1.08 billion have been made available under the four MFA programmes since 2014 (EUR 630 million disbursed to date). The assistance has helped the country to deal with pressing economic and social issues arising from regional conflicts and the refugee flows from Syria and Iraq. More generally, the assistance helped Jordan to address immediate external and fiscal financing needs, whilst encouraging structural reforms and contributing to macroeconomic stability in a very challenging economic and regional context.

Furthermore, in 2020-2021, **MFA was instrumental in supporting non-EU partner countries during the COVID-19 pandemic**. Indeed, on 22 April 2020 the Commission adopted a proposal for a EUR 3 billion MFA package to 10 enlargement and neighbourhood partners to help them to limit the economic fallout of the coronavirus pandemic. The decision was adopted by the European Parliament and the Council on 25 May 2020. The MFA funds will be made available for 12 months in the form of loans on highly favourable terms to help these countries cover their immediate, urgent financing needs. Together with the International Monetary Fund's support, the funds can contribute to enhancing macroeconomic stability and creating space to allow resources to be allocated towards protecting citizens and mitigating the coronavirus pandemic's negative socio-economic consequences.

The independent *ex-post* evaluations carried out so far conclude that MFA operations do contribute, albeit sometimes modestly and indirectly, to the improvement of external sustainability, the macroeconomic stability and the achievement of structural reforms in the recipient country. In most cases, MFA operations had a positive effect on the balance of payments of the beneficiary country and contributed to relax their budgetary constraints. They also led to a slightly higher economic growth. (See more in Section 3.3)

Disbursement under the proposed MFA programmes is conditional on the fulfilment of political pre-conditions, good progress by the beneficiary country with the IMF programme and on the implementation of the policy measures agreed in the MoU. In turn, each disbursement of MFA reflects good progress by the beneficiary country in implementing the country-specific measures agreed with the EU.

MFA disbursements are sometimes delayed compared to initial expectations. External factors that might be impacting programme timelines include:

- The beneficiary country does not fulfil the political pre-conditions.
- The IMF Programme in the beneficiary country is off-track or expired.
- The implementation of agreed reforms are affected by capacity constraints and institutional weaknesses.
- Changes of government result in shifting policy priorities.

2020 was an exceptional year for the MFA instrument. The year was firstly characterised by the conclusion of three MFA operations: Ukraine MFA-IV, Georgia MFA-III and Moldova, as well as the adoption of a new, follow-up operation with Jordan (MFA-III). Furthermore, in the context of the COVID-19 pandemic, on 22 April 2020 the Commission adopted a proposal for a EUR 3 billion MFA package to 10 enlargement and neighbourhood partners to help them to limit the economic fallout of the coronavirus pandemic. The decision was adopted by the European Parliament and the Council on 25 May 2020.

The main characteristics of the COVID-19 MFA package include:

- The Decision covers several countries together under one MFA Decision in order to accelerate and facilitate the provision of financial assistance.
- Funds are available for 12 months (from the entry into force of the MoU) in the form of loans on highly favourable terms to help these partners cover their immediate, urgent financing needs. This is a shorter duration than what is usually the case for MFA operations (i.e. the usual 2,5 years) and reflect the need to make support available fast and in a more flexible manner.
- To be disbursed in two instalments, with the second instalment tied to the fulfilment of country-specific policy conditionality.
- Long maturity (c. 15 years).
- Very low interest rate.
- Subject to a disbursing IMF programme (Extended Fund Facility or Rapid Financing Instrument).

By end-2020, the EU had disbursed the first instalments of the MFA programmes to seven partners (on highly concessional terms), and stands ready to disburse the remaining instalments in 2021, once conditions are met. The MFA-package complements and builds upon the EUR 38 billion 'Team Europe' recovery-package, the EU's robust and targeted response to support partner countries' efforts in tackling the pandemic.

More details on past MFA operations, including under the current MFF, can be found in the Annual Report from the Commission to the European Parliament and the Council on the implementation of Macro-Financial Assistance to third countries, and related Staff Working Document.<sup>2</sup>

### 3.2. Key achievements

EUR 6.3 billion	EUR 4.4 billion	EUR 1.4 billion	EUR 1.1 billion	EUR 3 billion
in funds was disbursed from 2014 to 2020 to support the financial stability of EU partner countries.	in loans was disbursed to Ukraine under five MFA operations since 2014 in the context of the conflict in eastern Ukraine.	in loans was made available to Tunisia between 2014 and 2020 to support the country in responding to the economic downturn following the 2011 revolution and the economic and political transition process that ensued. EUR 800 million	in loans was made available to Jordan between 2014 and 2020 to support the country dealing with pressing economic and social issues arising from regional conflicts and the refugee flows from Syria and Iraq. EUR 630 million have been	in loans were authorised for 10 enlargement and neighbourhood partners, in 2020, to help them limit the economic fallout of the COVID-19 pandemic.

<sup>2</sup> Available at : [https://ec.europa.eu/info/business-economy-euro/economic-and-fiscal-policy-coordination/international-economic-relations/macro-financial-assistance-mfa-non-eu-partner-countries\\_en#documents](https://ec.europa.eu/info/business-economy-euro/economic-and-fiscal-policy-coordination/international-economic-relations/macro-financial-assistance-mfa-non-eu-partner-countries_en#documents)

		have been disbursed to date.	disbursed to date.	
--	--	------------------------------	--------------------	--

### 3.3. Evaluations, studies and reports

In line with the EU Financial Regulation and the corresponding MFA decisions, the Commission conducts ex post evaluations after completion of MFA programmes to assess their impact. This is normally carried out within two years from the end of the availability period defined in the legislative decision granting assistance. The objective is twofold: (i) to analyse the impact of MFA on the economy of the beneficiary country and in particular on the sustainability of its external position; (ii) to assess the added value of the EU intervention.

The evaluations carried out so far conclude that MFA operations do contribute, albeit sometimes modestly and indirectly, to the improvement of external sustainability, the macroeconomic stability and the achievement of structural reforms in the recipient country. In most cases, MFA operations had a positive effect on the balance of payments of the beneficiary country and contributed to relax their budgetary constraints. They also led to a slightly higher economic growth.

All evaluations highlight that an important attribute of the EU MFA versus alternative sources of financing is its highly concessional terms, i.e. relatively low interest rates, long maturity and long grace period. This generates fiscal space and contributes to public debt sustainability in the beneficiary countries.

The ex-post evaluations also confirm that previous MFAs were implemented efficiently, and were well coordinated with other EU programmes and with programmes of other donors (notably, the IMF and World Bank). Indeed, the EU's MFA complements and is conditional on the existence of an adjustment and reform IMF programme in the beneficiary country. MFA policy conditionality is separate from the IMF conditionality, but complementary and/or reinforcing. Recent experiences show that the presence of two independent but coordinated programmes reinforces the capacity of delivering results, through complementary conditionality and combined financial resources.

The evaluations also note the shortcomings] of each MFA operation, with the most common ones being the lack of visibility of the MFA operation, and in certain cases, the speed of the legislative approval process. The Commission will further consider the identified limitations in the upcoming MFA meta-evaluation launched in late-2020, and planned to be concluded in Q4-2021.

The most recent completed ex-post evaluations of MFA operations, in 2020, are:

- MFA I to Tunisia: *'The evaluation found that MFA-I was effective in helping to improve Tunisia's Balance of Payments, as well as supporting fiscal consolidation through highly concessional financial terms and policy conditions. The MFA covered around 11.3% of the residual financing gap for the period 2015-2016 and increased confidence in the Tunisian economy.'*<sup>3</sup>
- MFA III to Ukraine: *'The magnitude and favorable terms of the third MFA to Ukraine allowed for fiscal savings, necessary for the implementation of structural reforms. The ability of the EU to mobilise and coordinate an unprecedented amount of financial resources at a relatively quick speed was a key rationale for the intervention, in a time when Ukraine's financing need was still extremely high. MFA conditionality created a politically reinforcing effect that contributed to the mobilisation of Ukrainian authorities around crucial reforms. The programme also added value through its confidence-boosting effect on the private sector.'*<sup>4</sup>

Additionally, an MFA meta-evaluation was launched in 2020. The study will assess the principles and characteristics governing the MFA instrument aiming to provide input on how to improve the instruments' relevance, effectiveness, efficiency, value added and its ability to respond to the changing priorities of the EU external action. The study will also make suggestions on how to operationally improve MFA interventions. Finally, the study will consider the quality of MFA evaluations undertaken in the period 2010-2020 and explore ways of improving future evaluations.

All final reports of completed ex-post evaluations of MFA operations are published on [https://ec.europa.eu/info/evaluation-reports-economic-and-financial-affairs-policies-and-spending-activities\\_en](https://ec.europa.eu/info/evaluation-reports-economic-and-financial-affairs-policies-and-spending-activities_en)

*General note: Given the specificities of MFA, a precise assessment of its impact is difficult to make, as effects on macroeconomic variables over time cannot be uniquely attributed to MFA operations. In addition, as MFA is by nature a short-term crisis related instrument spanning over 2 to 3 years maximum, it is not possible to quantify its objectives in terms of indicators/milestones beyond the horizon of the MFA operations themselves or, at most, of the beneficiary countries' programmes agreed (or to be agreed) with the IMF. Therefore, for years going beyond the MFA operation or the IMF projections, the figures below reflect the latest data available.*

<sup>3</sup> External evaluation available at: [https://ec.europa.eu/info/evaluation-reports-economic-and-financial-affairs-policies-and-spending-activities/ex-post-evaluation-macro-financial-assistance-mfa-operation-tunisia\\_en](https://ec.europa.eu/info/evaluation-reports-economic-and-financial-affairs-policies-and-spending-activities/ex-post-evaluation-macro-financial-assistance-mfa-operation-tunisia_en)

<sup>4</sup> External evaluation and the accompanying Commission Staff Working Document will be published in Q1-2021.

#### **4. Programme 2021-2027 - Key monitoring indicators**

**Specific Objective 1 :MFA fulfils a fundamental macroeconomic stabilisation function, by addressing exceptional external financing needs faced by neighbouring countries and restoring their economy back to a sustainable path.**

**Specific Objective 2 :MFA provides a strong incentive for macroeconomic adjustment and policy reform by means of strict conditionality, and supports the EU's accession, pre-accession and association agendas in the beneficiary countries.**

**Specific Objective 3 :MFA complements the other EU external instruments as well as resources made available by IFIs and other donors, by helping to ensure that appropriate macroeconomic frameworks and sound economic policies are put in place in the beneficiary countries – which are preconditions for the success of other projects aiming at sustainable socio-economic development by the EU and the donors' community.**

#### **5. Programme 2014-2020 - Key monitoring indicators**

*Previous FIN 1 : Financial Statement for the Macro Financial Assistance (MFA)*

**General Objective 1 :Restoring a sustainable external finance situation for countries facing external financing difficulties**

**Indicator 1:Official foreign exchange reserves in months of imports of goods and services.**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Jordan										
2016	Milestones									2020
7,6	Actual Progress									Final
				7,8	6,8	9,8	11,0			11,0
Georgia										
2017	Milestones									2020
3,3	Actual Progress									Final
				3,4	3,6	4,7	5,2			5,2
Tunisia										
2015	Milestones									2020
4,7	Actual Progress									Final
		3,9	3,0	2,5	2,7	4,5	5,2			5,2
Ukraine										
2017	Milestones									2020
3,3	Actual Progress									Final
				3,2	3,3	4,9	5,6			5,6
Moldova										
2015	Milestones									2020
4,4	Actual Progress									Final
		4,7	4,9	5,3	5,4	6,2				

Are we on track	On track
Indicator type	
Unit of measurement	Months
Cut-Off Date	
Data source	Central Banks, IMF
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	

Justification of the trend	
----------------------------	--

### Specific Objective 1 :Providing macro-financial assistance to third countries in resolving their balance of payment crises and restoring external debt sustainability

#### Indicator 1:Current account balance.

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Jordan										
2016	Milestones									2020
-9,6	Actual Progress									Final
				-10,6	-6,9	-2,1	-8,0			-8,0
Georgia										
2017	Milestones									2020
-8,0	Actual Progress									Final
					-6,8	-5,5	-12,4			-12,4
Tunisia										
2015	Milestones									2020
-8,9	Actual Progress									Final
			-8,8	-10,3	-11,1	-8,4	-6,8			-6,8
Ukraine										
2017	Milestones									2020
-2,2	Actual Progress									Final
					-3,3	-2,7	4,3			4,3
Moldova										
2015	Milestones									2020
-5,9	Actual Progress									Final
			-3,5	-5,7	-10,3	-9,3	-6,6			-6,6

Are we on track	Moderate progress
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	Central Banks, IMF
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	On track for most, but not all (mostly due to external factors and challenges brought along by the COVID-19 pandemic).

#### Indicator 2:External debt.

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Jordan										
2016	Milestones									2020
37	Actual Progress									Final
			68,2	71,1	72,9	72,1	82,9			82,9
Georgia										
2017	Milestones									2020
113	Actual Progress									Final
				106,6	101,3	106,6	127,7			127,7
Tunisia										
2015	Milestones									2020
68,5	Actual Progress									Final
			75,2	86,6	98,8	97,4	98,7			98,7

Ukraine									
2017	Milestones								2020
104	Actual Progress								Final
				102,9	87,7	79,0	80,8		80,8
Moldova									
2015	Milestones								2020
78,4	Actual Progress								Final
			74,8	70,4	63,8	61,7	69,7		69,7

Are we on track	On track
Indicator type	
Unit of measurement	% of GDP
Cut-Off Date	
Data source	Central Banks, IMF
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	On track for most but not all (due to external factors and challenges brought along by the COVID-19 pandemic).

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

Not applicable

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

MFA is an emergency instrument mobilised on a case-by-case basis to help countries dealing with serious balance-of-payments difficulties. Its objective is to restore a sustainable external financial situation in partner countries, while encouraging economic adjustments and structural reforms aiming to return the beneficiary country's economy to a sustainable long-term path. Unlike other forms of EU financial support, it is not meant to provide regular financial support for economic and social development.

In its Joint Declaration on MFA of 2013, the Council and the European Parliament consider that “[...] *Macro-financial assistance should support the beneficiaries' commitment to common values shared with the Union, including democracy, the rule of law, good governance, respect for human rights, sustainable development and poverty reduction, and to the principles of open, rules-based and fair trade.*”

Hence, all MFA decision include specific objectives “*to strengthen the efficiency, transparency and accountability of the public finance management systems in the beneficiary country and promote structural reforms aimed at supporting sustainable and inclusive growth, employment creation and fiscal consolidation.*”

This is implemented through the conditionality attached to the disbursement of the MFA funds aimed at strengthening macro-economic and financial stability and focusing on: public finance management, financial sector governance, fight against corruption and money laundering, social safety net and labour market, energy sector reforms, and improving trade and business climate.

Accordingly, MFA programmes link to several SDGs, but are particularly focused on SDG 8 and SDG 16.

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

Throughout 2014-2020, the majority of conditions attached to MFA programmes in the neighborhood (particularly the southern neighborhood) targeted SDG8. One example is that of the MFA-II to Tunisia. Through its conditionality, the MFA contributed to the launch of a new active labour market policy programme ("Contrat Dignité"), that aimed at reinserting into the labour market job seekers who have been unemployed for over two years. Between its official launch in March 2017 and the end of 2017, the programme was a success and received over 140 000 job seekers applications and 44 000 job offers from private enterprises, as a result of which 16 347 contracts have been signed (12 508 of them with women applicants). Another example is that of the MFAs to Jordan. The persistent commitments by Jordan to in all its MFAs to strengthen the social safety net and to promote labour market reforms (to reduce unemployment and raise participation rates, notably among women), have contributed directly to the attainment of SDG8. The focus on the short and medium-term social aspects is a relatively unique characteristic of the MFAs Jordan, with a high value added, as recognised by the ex-post evaluation report on MFA-I to Jordan<sup>5</sup>.

***SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels***

Throughout 2014-2020, a good number of conditions attached to MFA programmes in the neighborhood targeted SDG16. In the Eastern neighborhood, one example is that of the COVID-19 MFA to the Republic of Moldova. Through its conditionality, the MFA contributes to ensuring independence, impartiality and integrity of the judicial system in Moldova, in particular, by calling the authorities to adopt constitutional amendments that will strengthen the selection procedure of the lay members to the Superior Council of Magistracy, in line with recommendations by the Venice Commission and European standards. Another example is that of the MFAs to Ukraine. The persistent commitments by Ukraine in all its MFAs to improve the transparency and efficiency of the judicial system and the independence of institutions, most notably in the fight against corruption, have contributed to the attainment of SDG 16. In the Southern neighborhood, one example is that of the MFA-IV to the Hashemite Kingdom of Jordan. Through its conditionality, the MFA contributes to the national effort to fight and reduce corruption, in particular, by calling the authorities to adopt and enact amendments to the Illicit Enrichment Law, aiming to enhance the legal and institutional aspects of the system.

---

<sup>5</sup> Available at : [https://ec.europa.eu/info/evaluation-reports-economic-and-financial-affairs-policies-and-spending-activities/ex-post-evaluation-mfa-operations-jordan\\_en](https://ec.europa.eu/info/evaluation-reports-economic-and-financial-affairs-policies-and-spending-activities/ex-post-evaluation-mfa-operations-jordan_en)

**HEADING 6: Neighbourhood and the World****Pre-Accession Assistance (IPA III)****Lead DG: NEAR**

Associated DGs: ECFIN, REGIO, EAC, EMPL, AGRI

1. Overview .....	1284
1.1. Challenges .....	1284
1.2. Mission (general objectives) .....	1284
1.3. Specific objectives .....	1284
1.4. Public intervention context .....	1285
1.5. Actions .....	1285
1.6. Delivery mode .....	1285
1.7. Graphic overview of the programme structure .....	1286
1.8. Legal basis and financial programming .....	1286
1.9. Link with the 2014-2020 MFF .....	1287
1.10. Relevant websites providing more information .....	1287
2. Where are we in the implementation ? .....	1287
2.1. Programme 2021-2027 .....	1287
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1288
3. How is the programme performing ? .....	1289
3.1. Performance .....	1289
3.2. Key achievements .....	1292
3.3. Evaluations, studies and reports .....	1298
4. Programme 2021-2027 - Key monitoring indicators .....	1298
Specific Objective 1 :To strengthen the rule of law, democracy, the respect of human rights, fundamental rights and international law, civil society and security as well as improve migration management including border management .....	1298
Specific Objective 2 :To reinforce the effectiveness of public administration and support structural reforms and good governance .....	1299
Specific Objective 3 :To shape the rules, standards, policies and practices of the beneficiaries in alignment to those of the EU and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication.....	1299
Specific Objective 4 :To strengthen economic and social development to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society. ....	1300
Specific Objective 5 :To support territorial and cross-border cooperation .....	1302
5. Programme 2014-2020 - Key monitoring indicators .....	1302
Previous Program 1 : Instrument for Pre-accession Assistance (IPA II).....	1303
Specific Objective 1 :Support for political reforms. ....	1303
Specific Objective 2 :Support for economic, social and territorial development, with a view to a smart, sustainable and inclusive growth .....	1304
Specific Objective 3 :Strengthening of the ability of the beneficiaries listed in Annex I of the IPA II-Regulation to fulfil the obligations stemming from Union membership by supporting progressive alignment with, and adoption, implementation and enforcement of, the Union acquis, including preparation for management of Union Structural Funds, the Cohesion Fund and the European Agricultural Fund for Rural Development .....	1307
Specific Objective 4 :Strengthening regional integration and territorial cooperation involving the beneficiaries listed in Annex I of the IPA II-Regulation, Member States and, where appropriate, third countries within the scope of Regulation (EU) No 232/2014 of the European Parliament and of the Council .....	1308
6. The programme contribution to horizontal policies .....	1309
6.1. Contribution to climate mainstreaming .....	1309
6.2. Contribution to biodiversity mainstreaming.....	1310
6.3. Contribution to clean air financing.....	1311

6.4. Contribution to gender equality .....	1312
6.5. Contribution to the sustainable development goals.....	1312

## **1. Overview**

### **1.1. Challenges**

For candidate countries and potential candidates, the path towards accession to the EU is a process of gradual and steady convergence with membership criteria and the values and principles of the European Union. This process is best represented by the continuous efforts made to strengthen the rule of law, to guarantee fundamental rights to all citizens and to build up functioning democratic institutions. This remains the biggest challenge that IPA will continue to pursue.

It will be also of utmost importance to address the socio-economic divide of the beneficiary countries vis-à-vis the EU. Especially the Western Balkans economies face structural problems linked to weak competitiveness, high unemployment and significant brain drain, all challenges that will be further compounded by the COVID-19 pandemic and its negative long-lasting effects on the social and economic tissue of the countries. These challenges will have to be addressed in a wider context where transition to a sustainable, socially just, resilient and climate neutral economy needs to be achieved as a global imperative and where digital transformation will continue to shape economies and societies, including those of the IPA beneficiary countries.

Given the backsliding by Turkey in reforms linked to the fundamental pillars of the enlargement strategy, IPA support has been significantly reduced in recent years. Within the framework of the 2016 EU-Turkey Statement, the European Union has delivered on its pledge to support Turkey in its refugee hosting efforts. During 2016-2019, the EU mobilised a total of EUR 6 billion in EU budget and Member State contributions for this particular purpose. In light of the evolution of bilateral relations, IPA III assistance will further strengthen the links between the political framework of our relations with Turkey and EU financial support and prioritise support to priority areas, notably civil society, people to people contact and non-state actors. Other areas of joint interest will also be supported, notably the continuing implementation of the EU Turkey Statement of 2016. Overall, strong political steer and well-defined conditionality will be crucial elements of programming IPA III assistance.

### **1.2. Mission (general objectives)**

The general objective of IPA III is to support the beneficiaries in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to their stability, security and prosperity. Current beneficiaries, listed in Annex I to the Regulation (EU) No X of the European Parliament and of the Council establishing the Instrument for Pre-Accession Assistance (IPA III), are: Albania, Bosnia and Herzegovina, the Republic of North Macedonia, Kosovo<sup>1</sup>, Montenegro, Serbia, and Turkey.

In line with the Commission's objectives, IPA III aims to support beneficiaries in spurring the long-term recovery underpinned by the twin green and digital transitions.

Reflecting the importance of tackling climate change and promoting sustainable development in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), IPA III contributes to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under IPA III are expected to contribute 18 % of the overall financial envelope of the Programme to climate objectives.

In line with the approach outlined in the EU Gender Action Plan, (GAP III) 2021-2025, IPA III will mainstream gender equality and also continue ensuring girls' and women's physical and psychological integrity, promoting the economic and social rights and strengthening girls' and women's voice and participation with targeted actions.

### **1.3. Specific objectives**

The specific objectives of IPA III are:

- 1) To strengthen the rule of law, democracy, the respect of human rights, fundamental rights and international law, civil society and security as well as improve migration management including border management;
- 2) To reinforce the effectiveness of public administration and support structural reforms and good governance at all levels;
- 3) To shape the rules, standards, policies and practices of the IPA III beneficiaries in alignment to those of the Union and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication;
- 4) To strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase

<sup>1</sup> This designation here and throughout the Programme Statements is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence

resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society;

- 5) To support territorial and cross-border cooperation.

#### 1.4. Public intervention context

The IPA III supports implementation of the Enlargement policy based on the Article 49 of the Treaty on European Union, which provides that any European state which respects the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities, and that commits to promoting these values, may apply to become a member of the Union. A European state which has applied to join the Union can become a member only when it has been confirmed that it meets the membership criteria established at the Copenhagen European Council in June 1993 (the 'Copenhagen criteria'), and provided that the Union has the capacity to integrate the new member. The accession process is based on the principle of unanimity amongst the member states. The role of DG NEAR, on behalf of the Commission, is to support the preparation of the enlargement countries for accession to the European Union. As recalled in the Communication from the Commission 'Enhancing the accession process – A credible EU perspective for the Western Balkans' COM(2020) 57 final, the core objective of the European Union's engagement with the Western Balkans is to prepare them to meet all the requirements of membership. The revised enlargement methodology, endorsed by the Council in March 2020, builds on the four key principles of making the enlargement process more credible, subject to stronger political steer, more dynamic and predictable. The changes introduced in the programming process for IPA III are part and parcel of this revised enlargement methodology, which aim to increase the performance-based approach of the instrument and increase its efficiency in terms of delivery.

The specific instruments of the enlargement process, namely: the negotiating frameworks, the recommendations of the Enlargement Package, and the subsequent Council Conclusions, the Economic and Investment Plan for the Western Balkans, the Economic Reform Programmes (ERPs) and the policy guidance agreed annually in the joint conclusions, the conclusions of the meetings organised in the context of the (Stabilisation and) Association Agreements, and the national plan for the adoption of the *acquis*, all form the basis for identifying and guiding the fundamental reforms.

The IPA III is also implemented based on the Article 212 of the Treaty on the Functioning of the European Union, which stipulates that 'the Union shall carry out economic, financial and technical cooperation measures, including assistance, in particular financial assistance, with third countries other than developing countries'.

#### 1.5. Actions

Assistance under IPA III will be based on the IPA III Programming Framework (Article 7 of the Regulation (EU) No X of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III)), a single document replacing the previous Indicative Strategy Papers. The draft IPA III Programming Framework reflects the specific objectives of the regulation and is focused on the priorities of the enlargement process, articulated in five thematic windows, which mirror the clusters of negotiating chapters as per the revised enlargement methodology:

- Window 1: Rule of law, fundamental rights and democracy;
- Window 2: Good governance, *acquis* alignment, good neighbourly relations and strategic communication;
- Window 3: Green agenda and sustainable connectivity;
- Window 4: Competitiveness and inclusive growth;
- Window 5: Territorial and cross border cooperation.

As in the previous pre-accession instruments, assistance will be deployed, to the benefit of the IPA III beneficiaries, through annual or multi-annual action plans at national or regional level or through horizontal initiatives targeting specific types of partners cross-cutting issues. In addition, a number of cross cutting themes, such as climate change, environmental protection, civil society, gender equality, rights based approach, will be mainstreamed and therefore can be implemented under the five windows.

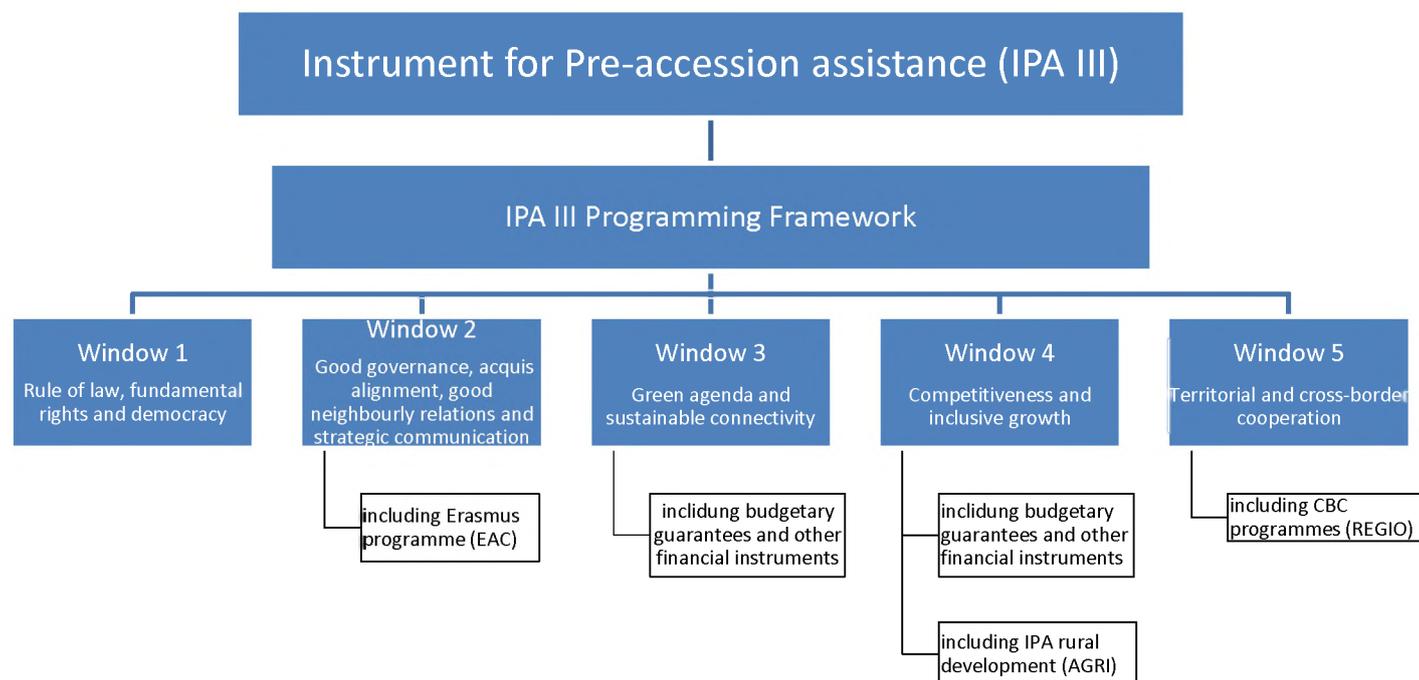
#### 1.6. Delivery mode

In terms of instruments and delivery modes, all types of financing foreseen in the Regulation are possible: from grants, procurement, budget support, contributions to EU Trust funds if relevant, to financial instruments and budgetary guarantees.

Assistance under IPA III is implemented mainly by DG NEAR with the full range of management modes in accordance with the Regulation (EU, Euratom) 2018/1046 on the financial rules applicable to the general budget of the Union. The management mode is defined during the formulation of the action. Cross-Border Cooperation programmes between IPA III beneficiaries and the Member States as well as other Interreg-IPA cooperation are implemented with shared management with DG REGIO lead, while IPA Rural Development programmes are implemented under indirect management by DG AGRI.

The selection of the management modes and of instruments and delivery modes is not linked to the content of a window and will be decided on a case by case basis.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Procedure 2018/0247/COD COM (2018) 465: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing the Instrument for Pre-accession Assistance (IPA III)	2021 - 2027	14 161,5

### 1.8.2. Legal basis explanation

Regulation (EU) No X of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument

Regulation (EU) No X of the European Parliament and of the Council establishing 'Erasmus'

Regulation (EU) No X of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund

Regulation (EU) No X of the European Parliament and of the Council on the European Social Fund Plus (ESF+)

Regulation (EU) No X of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council

Regulation (EU) No X of the European Parliament and of the Council on specific provisions for the European territorial cooperation goal (Interreg) supported by the European Regional Development Fund and external financing instruments

In implementing the IPA III Regulation, consistency, synergies and complementarities with other areas of Union external action, with other relevant Union policies and programmes, as well as policy coherence for development will be ensured. In particular, IPA III will support the implementation of the external dimension of the European Green Deal. The new Gender Action Plan III (2021-2025) will guide our external action to pursue the EU's commitment to gender equality and women's empowerment in all EU external relations. IPA III will also promote, when relevant, beneficiaries' participation in the areas of relevance in appropriate Agencies, Facilities and Union Programmes. Assistance under IPA III will contribute to actions established under the Erasmus Regulation. It may be provided to the type of actions provided for under the European Regional Development Fund and the

Cohesion Fund, the European Social Fund Plus and the European Agricultural Fund for Rural Development. IPA III may also contribute to transnational and interregional cooperation programmes or measures that are established and implemented under the ETC Regulation and in which the beneficiaries listed in Annex I to this Regulation participate.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>1 901,4</b>	<b>1 940,5</b>	<b>1 979,6</b>	<b>2 019,6</b>	<b>2 059,7</b>	<b>2 101,7</b>	<b>2 144,6</b>	<b>14 147,1</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The Instrument for Pre-accession Assistance (IPA II) has been the catalyst for important reforms. IPA III builds on these achievements and ensures continuation in terms of objectives and priorities. The rationale behind the Commission's proposal is to improve alignment of IPA III assistance with the enlargement strategy.

There will be no major changes in the programming exercise from a beneficiary's perspective. However, IPA III will ensure a stronger performance-based approach, supporting those who commit to do more and faster while at the same time guaranteeing that no one is left behind. There will also be more focus on relevance and maturity at the Commission selection stage, with the aim of ensuring stronger linkages with your reform agenda as well as accelerating implementation and reducing backlog.

## 1.10. Relevant websites providing more information

EU Enlargement policy: [https://ec.europa.eu/info/policies/eu-enlargement\\_en](https://ec.europa.eu/info/policies/eu-enlargement_en)

Instrument for Pre-Accession Assistance: [https://ec.europa.eu/neighbourhood-enlargement/instruments/overview\\_en](https://ec.europa.eu/neighbourhood-enlargement/instruments/overview_en)

EU Aid Explorer: <https://euaidexplorer.ec.europa.eu/> - allows you to find comprehensive aggregate data as well as detailed information on international development projects funded by the EU and its Member States.

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

IPA III will be sufficiently flexible to adapt to the evolving situation in Turkey and reflect developments in our relations with the country. The new instrument will increase steer from the Union, as its programming is proposed to be based on priorities rather than country envelopes. This allows rewarding performance and progress towards key priorities and increased flexibility to respond to the evolving needs of the partners in their path towards accession. Assistance under IPA III will be based on the IPA III Programming Framework (Article 7 of the IPA III Regulation), a single document replacing the previous Indicative Strategy Papers.

A draft IPA III Programming Framework has been prepared and the relevant internal and external stakeholders have been consulted. As a result, the document has been updated to reflect the latest policy developments. It also takes into account the ambitious objectives about economic investments contained in the Economic and Investment Plan for the Western Balkans and includes yearly indicative allocations per window.

Beneficiaries were asked to prepare Strategic Responses outlining how their sectoral strategies are in line with the recommendations of the enlargement process and how they will contribute to the objectives of the Programming Framework.

The authorities have been invited to submit action fiches (i.e. embryonic action documents) with their proposals for 2021 and 2022 programming by end June 2020. By early August 2020, all IPA beneficiaries had submitted their proposals. A first screening of IPA III action fiches for 2021 and 2022, has been carried out by Delegations and geographic units in order to reduce their number to a reasonable set of actions which can be further developed to become action documents.

In December 2020 the Commission notified to the IPA III beneficiaries the preliminary feedback of the policy relevance assessment. The second selection will then focus on technical maturity assessed against the actions documents and supporting documents. Only actions that are sufficiently technically mature (i.e. most preparatory activities have been finalised) will be considered ready for adoption. The complete view about budget allocation will be available only after holding this assessment. This will constitute a key step, covering all Actions to be adopted during the year.

The submission of Action Documents for programming 2021 together with the supporting documents for the maturity assessment and the draft Strategic Response Template is expected by 15 March 2021 at the latest. For programming 2022, with a view to

ensure adoption of Commission Financing Decisions by summer 2022, the Commission expects to receive the draft Action Documents, together with the relative supporting documents, by 15 May 2021.

DG REGIO, in close coordination with DG NEAR, has finalised its contribution to the future IPA III Programming Framework. The Window 5 of the IPA III Programming Framework will serve as the multi-annual strategy document with regard to external cross-border Interreg programmes supported by the ERDF and IPA. The final draft of this multi-annual strategy document was consulted with the IPA Committee, the IPA countries, the EU agencies and international organisations, the Civil Society Organisations and the International Financial Institutions in 2020.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	12 771 680 013	5 643 151 269
Implementation Carry-overs	41 441 028	26 033 212
Implementation total	12 813 121 041	5 669 184 482
total envelop*	12 893 639 986	
cumulative implementation rate	99%	44%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

As of 31 December 2020, the Commission implemented 99% of the IPA II commitment appropriations and 44% of the payment appropriations.

While the actions in the enlargement region were implemented in the challenging external relations context characterised by the limited scope for predictability and reliability of planning, the implementation of IPA II appears to be on track. At the end of 2020, in average 4.2 years<sup>2</sup> were needed to pay the total costs of legal commitments, slightly more than the target of 4 years, however much less than in 2019 (5.5 years). In recent years, the Commission accelerated the implementation of the IPA II. The payment implementation increased from EUR 1 billion in 2018 to EUR 1.6 billion in 2020 and it is estimated to further increase in 2021 and 2022 allowing for payment of the total costs of taken commitments on time.

The EU budget is an investment budget and finances projects that run over a long period of time, in particular in external actions. The financing agreements with the beneficiary countries must be signed by the end of the year following the year in which the budgetary commitment was made, while contracts implementing these agreements must be signed within the following three years with varying implementation periods. In addition under IPA II part of the funds are implemented through multi-annual programmes with split commitments. There are also actions implemented with International Financial Institutions such as blending and guarantees, which have long implementation period (in average 7-8 and 10 years). Furthermore, the Commission entrusts the management of certain actions to the IPA II beneficiaries or other development partners (indirect management), while still retaining overall final responsibility for the budget execution.

The Commission has taken steps in the view of further streamlining the implementation of assistance in the enlargement region. The new IPA III Programming Framework is proposed - replacing the traditional country approach with thematic windows as the main vehicle for programming. This change will provide more flexibility and allow better alignment of the assistance with the policy objectives as well as stricter application of the maturity principles.

### The COVID-19 impact on implementation

In 2020, there was an increased need for payment appropriations due to the fact that the Commission immediately readjusted ongoing projects, re-oriented its programming for 2020, mobilised contingencies and savings, and speeded-up the implementation of contracts in support of all IPA II beneficiary countries in order to maximise its response to the consequences of COVID-19 outbreak. As part of the Team Europe, the Commission allocated EUR 1 billion for:

- urgent, short-term emergency response to the health crisis and the resulting humanitarian needs;
- strengthening health and water systems;
- addressing economic and social consequences.

Having above in mind, the implementation of actions in response to the COVID-19 is considered successful. Nevertheless, the overall pandemic situation had a limited impact on some procedures and procurements linked to individual contracts slowing them down, in particular those with reduced priority as a result of the re-orientation and re-programming exercises.

<sup>2</sup> The RAL absorption period is estimated by the key performance indicator K04 as the number of years needed to pay the total costs of legal commitments.

## Implementation status

In 2020, twelve programmes, six special measures, three support measures, one individual measure and eighteen amendments were adopted, in particular:

- Eleven annual action programmes (including three multi-country programmes)
- One civil society facility and media action programme;
- Two special measures on supporting Albania in post-earthquake reconstruction and rehabilitation;
- One special measure on supporting Bosnia and Herzegovina in managing the migration flows;
- One special measure on EU regional support to SMEs recovery following the COVID-19 pandemic;
- One special measure on COVID-19 impact mitigation in Bosnia and Herzegovina;
- One special measure on supporting Serbia in managing the migration flows;
- One support measure for the 2020 Audit Programme;
- One support measure to raise public awareness on EU enlargement and neighbourhood policies;
- One support measure for technical assistance for cross-border cooperation programmes between IPA II beneficiaries;
- One individual measure on supporting the Office of the High Representative in Bosnia and Herzegovina;
- Eighteen amendments to previous programmes and measures.

Total operational commitments for IPA II in 2020: EUR 1.6 billion (EUR 1.7 billion including the implementation made on recoveries, notably for agricultural programmes, is taken into account).

Total operational payments for IPA II in 2020: EUR 1.6 billion.

## **3. How is the programme performing ?**

### **3.1. Performance**

#### **3.1.1. Introduction**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

#### **3.1.3. Previous programme performance**

The candidate countries and potential candidates need to implement difficult and time-intensive reforms to make progress in the fundamental areas of the political accession criteria, including sustainable and far-reaching political and societal transformation. They also face challenges relating to advancing in the fundamental area of the economic criteria, which are interlinked with the political criteria.

The Instrument for Pre-accession Assistance (IPA II) is a unique programme that supports IPA II beneficiaries to advance with ambitious political and economic reforms and to progressively align to the European Union's rules, standards, policies and practices on their path towards EU membership. It fosters reforms in candidate countries and potential candidates through a combination of financial assistance and policy dialogue, preparing them for the rights and obligations that come with EU membership.

The programme is making progress towards achieving its overall objectives and some IPA indicators included below are on track to be achieved. For other indicators more work is needed. For instance, while there have been some improvements in the fulfilment of fundamental areas of the political criteria for enlargement countries, such as the rule of law, these good results are counterbalanced by the backsliding in Turkey (see below). However, the implementation of IPA II is reaching its peak (as explained in more detail section 2.2) and more results will be achieved in the coming years. At the same time, there is a large influence of external factors when it comes to the achievement of the IPA II overall objectives. For enlargement to become a reality, a firm commitment to the principle of 'fundamentals first' remains essential. Structural shortcomings persist in the enlargement countries, notably in the key areas of the rule of law and the economy.

Regional cooperation continues to be a cornerstone of our approach to the region and an essential element of the European perspective of the Western Balkans, connecting infrastructure, economies and people. In October 2020 the Economic and Investment Plan<sup>3</sup> and the Green Agenda for the Western Balkans<sup>4</sup> were adopted. The long-term recovery of the region will be supported through a green and digital transition, a renewed effort to foster economic regional integration within the region and with the EU, boosting economic growth and supporting the reforms required to move forward on the EU path. The Plan includes already

<sup>3</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, An Economic and Investment Plan for the Western Balkans, COM(2020)641final

<sup>4</sup> Guidelines for the Implementation of the Green Agenda for the Western Balkans, SWD(2020) 223 final

a list of Flagship infrastructure projects in transport, energy, environment and digital infrastructure, which will be financed mainly through the Western Balkans Investment Framework.

Important milestones achieved in 2020 were also the organisation of the EU-Western Balkans Zagreb Summit in May 2020 and the Berlin Process Summit in Sofia in November 2020, which keep the enlargement process and the EU strong partnership with the Western Balkans on the political agenda at the highest level.

The main principles from IPA II will not change under IPA III. However, IPA III programming will be also built on a stronger performance-based approach, to be assessed on a yearly basis and closely linked to the revised enlargement methodology.

IPA III programming will also accelerate the projects' implementation by reducing the time gap between their selection and effective contracting. The actions will be selected based on their policy relevance, namely on their alignment with the Programming Framework and with the specific recommendations of the enlargement package for the countries. The second selection will then focus on technical maturity assessed against the actions documents and supporting documents. Only actions that are sufficiently technically mature (meaning, when most preparatory activities have been finalised) will be considered ready for adoption.

In line with the commitment to a merit-based enlargement process outlined in the revised enlargement methodology, the final selection of actions will also take into account the assessment of the performance of the IPA III beneficiaries in the enlargement agenda, their commitment to and progress in implementing reforms, with particular attention to key areas of the political accession criteria.

### Specific Objective 1: Support for political reforms.

Indicator 1 is particularly relevant since it shows the results of the enlargement policy, including financial assistance through the Instrument for Pre-accession Assistance, as regards two main fundamentals of the enlargement policy (i.e. the rule of law and fundamental rights and public administration reform). The Commission supports the candidate countries and potential candidates to address the core issues measured by these indicators. These indicators provide also greater transparency in the enlargement process and should facilitate greater scrutiny of reforms by all stakeholders. There are some example of good progress. For instance, in Albania, good progress has been made in justice reform with help of the EU assistance. Overall, the EU trained over 1200 judges, prosecutors and lawyers in the enlargement region on European standards and EU *acquis*.<sup>5</sup> Furthermore, to reinforce the effectiveness of public administration, structural reforms and good governance at all levels, almost 100 public policies were developed and or revised with EU support<sup>6</sup>.

In terms of progress recorded in the 2020 enlargement reports, candidate countries and potential candidates made 'some progress' (5 cases) and 'good progress' (5 cases) in areas linked to the political criteria. In Turkey there was backsliding in public administration reform, functioning of the judiciary and freedom of expression, and no progress in the fight against corruption. In terms of readiness, there were six cases of 'early stage of preparation' in these areas of functioning of judiciary (Bosnia and Herzegovina, Kosovo, Turkey), fight against organised crime (Kosovo), fight against corruption (Turkey) and freedom of expression (Turkey), and four cases of 'early stage/some level of preparation'. The 2020 reports noted improvements in the functioning of the judiciary in Albania, in the fight against corruption in North Macedonia and the fight against organised crime in Montenegro, all of which reached 'some level of preparation/moderately prepared'.

There was limited visible progress towards meeting the 2020 target under this indicator. The Commission put a particular emphasis on these areas in its Western Balkans Strategy of February 2018<sup>7</sup> and in its communication of February 2020 on a revised EU accession methodology<sup>8</sup>, which put an even stronger focus on these fundamental reforms.

During the IPA II period (2014-2020) significant milestones were reached. Bosnia and Herzegovina applied for EU membership in February 2016. The Commission adopted its Opinion on the EU membership application of the country in May 2019, identifying 14 key priorities for the country to fulfil in view of opening EU accession negotiations. In July 2018, the Commission confirmed that Kosovo has fulfilled all outstanding visa liberalisation benchmarks. Decision on Commission's proposal is pending in the EP and the Council. In March 2020, the European Council endorsed the decision to open accession negotiations with Albania and North Macedonia. Since December 2015, negotiations on 19 chapters were opened with Serbia, while two were provisionally closed. With Montenegro 30 chapters were opened since the start of accession negotiations in 2012.

**Specific Objective 2: Support for economic, social and territorial development, with a view to smart, sustainable and inclusive growth.** Candidate countries and the potential candidates made limited progress on meeting the economic criteria (indicator 1), according to the 2020 enlargement reports. In the area of functioning market economy, Serbia advanced to the level of moderately prepared/good level of preparation. Albania and Montenegro remained at a moderately prepared level, North

<sup>5</sup> See EU Results Framework indicators in the 2020 Annual Report on the implementation of the European Union's instruments for financing external actions in 2019.

<sup>6</sup> See EU Results Framework indicators in the 2020 Annual Report on the implementation of the European Union's instruments for financing external actions in 2019.

<sup>7</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions; A credible enlargement perspective for and enhanced EU engagement with the Western Balkans; COM(2018) 65 final.

<sup>8</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions; Enhancing the accession process - A credible EU perspective for the Western Balkans; COM(2020) 57 final.

Macedonia at a good level of preparation and Turkey is considered to be well advanced. On competitiveness, North Macedonia, Montenegro and Serbia remained moderately prepared, while Albania remained at some level of preparation. In terms of cases of early stages of preparation, this indicator remained stable in 2020 compared to the baseline, with four cases, on functioning market economy and competitiveness in Bosnia and Herzegovina and Kosovo.

Overall, there was limited progress towards meeting the 2020 target for this indicator. The IPA II beneficiaries face challenges in advancing on the fundamental areas of economic criteria, which are interlinked with the political criteria. The Commission put a particular emphasis on these areas in its Western Balkans Strategy of February 2018, in its communication of February 2020 on a revised EU accession methodology, which put an even stronger focus on these fundamental reforms, as well as in the 2020 Economic and Investment Plan for the Western Balkans.

The 'Distance to frontier' indicator by the World Bank (indicator 2), which shows the distance of each economy to the highest performance observed across all economies, has met its milestone and target.

Indicator 3: 'Average of exports and imports of goods and services/ GDP – %' has seen growth albeit with fluctuations from year to year. This is a high level indicator and that European Commission activities only indirectly contribute to it. The milestone has already been achieved in 2017 for the Western Balkans. The latest (2019) score has also seen an improvement in both Western Balkans and Turkey. The target could theoretically still be achieved, but given the Covid pandemic, which peaked in early 2020 and continued throughout the year, it is unlikely that this will be the case.

The EU directly supported or sustained over 2700 jobs across the enlargement region, providing support for economic development. Furthermore and in order to strengthen trade and investment climate and productive capacities, the EU supported adoption of 59 quality schemes by economic operators. These schemes establish and implement standardisation, accreditation and conformity assessment services necessary to meet defined requirements by authorities or the market.

**Specific Objective 3: Strengthening of the ability of the beneficiary countries at all levels to fulfil the obligations stemming from Union membership by supporting progressive alignment with, and adoption, implementation and enforcement of, the Union *acquis*.**

The Commission assesses in the annual enlargement reports how well the countries are prepared to align to the EU *acquis* in each of its 33 chapters. The lowest assessment level is "early stage of preparation". The indicator shows in how many chapters the 7 candidate countries and potential candidates were considered to be at this lowest level. The decreasing trend means that the countries have overall progressed to a higher level of preparation. However, there have been differences between the countries. While the Western Balkans partners have generally improved their preparation since 2015 (the first year the assessment scale was introduced), Turkey has been backsliding. The 32 cases of early preparedness include the following: 14 cases in Bosnia and Herzegovina, 8 cases in Kosovo, 4 cases in Turkey, 3 in Albania, 2 in North Macedonia, 1 in Montenegro and none in Serbia. For a more detailed analysis and the summaries of the findings on readiness and progress of enlargement countries towards the alignment to the 33 *acquis* chapters, please refer to the 2020 country reports.

The progress in Montenegro was aided by using Technical Assistance and Information Exchange instrument of the European Commission (TAIEX) in order to support alignment of legislation in particular in environment (chapter 27), agriculture/food, veterinary/fisheries (chapters 11-13), but also electronic communication (ch. 10). TAIEX supports public administrations with regard to the approximation, application and enforcement of EU legislation as well as facilitating the sharing of EU best practices. It is largely needs-driven and delivers appropriate tailor-made expertise. Montenegro's small administration benefits greatly from its use. However, 2020 was a difficult year as TAIEX could provide mostly online support only.

In Albania, EURALIUS missions have supported Albanian institutions to bring the justice system closer to European standards. The ongoing EURALIUS V has a focus on supporting Albanian institutions to consolidate the justice system following the comprehensive justice reform. The team of international and national experts are working together with the main beneficiaries of the project, i.e. with Parliament, Ministry of Justice, High Judicial Council, High Prosecutorial Council, High Justice Inspector, Courts, Prosecution Offices, Justice Appointment Council, School of Magistrates, Justice Monitoring Commission, National Chamber of Advocates, National Chamber of Notaries and National Chambers of Bailiffs. This expertise has contributed to the country to carry out important reforms needed for the opening of accession negotiations.

In Kosovo, in the employment sector, the project "Support to Labour Inspectorate for fighting against undeclared work" support the transposition of both the EU directive on the minimum safety and health requirements for the use of work equipment as well as the EU regulation concerning the minimum safety and health requirements for the workplace.

In North Macedonia, a twinning project contributed towards the alignment of the national system with the EU and Schengen standards in the field of Integrated Border Management, with the development of roadmap for adoption of the Schengen-related *acquis*, upgrade of the Integrated Border Management legislation and development of the Schengen Action Plan.

IPA II rural development programmes (IPARD) have reached the target for Turkey and are making rapid progress towards the target for Western Balkans in relation to 'Number of economic entities progressively upgrading towards EU standards in agri-food sector' (second indicator under this objective). Progressively upgrading economic entities towards EU standards is both a political

and an economic priority in the agri-food sector. This results in mobilisation of efforts both in public and in private sectors. Intensive publicity campaigns follow each call for applications. Furthermore, the implementation of the programmes is in some countries accompanied with technical assistance measures. Finally, the demand for investment support to upgrade towards EU standards in the agri-food sector is high.

#### **Specific Objective 4: Strengthening regional integration and territorial cooperation involving the beneficiary countries, Member States and, where appropriate, non-EU countries.**

Regional cooperation continues to grow in prominence, as evidenced by 52% of the respondents in the Western Balkans ‘tend to agree’ that regional cooperation can contribute to the political, economic or security situation of their society. When coupled with those who ‘totally agree’, there is an overwhelming majority of respondents supportive of the role of regional cooperation. (77% in 2020, up from 74% in 2018)<sup>9</sup>.

Assistance is deployed in the form the multi-country/regional programmes, special measures, support measures, which in 2020 amounted to some EUR 667 million, including support to territorial cooperation programmes. Support in 2020 has continued to focus on three strands of connectivity: infrastructures, economies, and people of the region.

In 2020, the Covid-19 pandemic has deeply affected the work of the programming exercise in order to address the unprecedented challenges posed by the Covid-19 pandemic in the Western Balkans. Within months of the outbreak hitting Europe, the European Commission reoriented and reprogrammed EUR 475 million from the IPA 2019 and 2020 regional funds as part of the comprehensive EUR 3.3 billion EU financial support. This includes an Economic Reactivation Package, mobilised through International Financial Institutions (IFIs), and other relevant financing institutions from EU Member States as Team Europe, as well as a package of support to vulnerable groups and to the health sector, including access to vaccines. At the end of 2020, an additional EUR 3.5 million was allocated to support health.

With the endorsement of the 6th Connectivity Package in November 2020, the original connectivity pledge of EUR 1 billion in grants for investments, for the period 2015-2020, was fulfilled. It is expected that this amount will leverage investments for EUR 3.7 billion in the Western Balkans.

In terms of connecting people, the focus on young people continued – with the first thematic Youth Lab held in the Western Balkans region, discussing matters such as transition from the world of education and training to the world of work. A major new programme to improve the situation for returnees from the EU to the Western Balkans was approved., while the Regional Housing Programme continued to provide homes to refugees and persons displaced by conflicts in the region in the 1990s. Key projects such as Romacted, Roma Integration and Roma Education provide support to vulnerable Roma. Strategic engagement with civil society remained strong both in terms of financial support and policy dialogue. Rule of Law programmes continued to act in support of the reform agendas of Western Balkans partners. 2020 also saw continued commitment to the culture and creative sectors as key actors of change in the promotion of more resilient societies through 13 projects awarded under the Creative Europe Programme.

Regarding the only indicator under this specific objective, all cross-border cooperation (CBC) programmes were adopted except those blocked due to political reasons.

In reactions to emerging needs caused by the Covid-19 pandemic, some of the ongoing CBC projects provided an immediate response. As part of the ‘Microenterprise development project for women in the cross-border area’ project beneficiaries made protective masks, natural sanitizers and soaps, and distributed them to those in need in the border area of North Macedonia and Albania. ‘Skilled women’s workforce for better future’ project trained caregivers provided immediate assistance to elderly population during the lockdowns in the cross-border area of Serbia and Montenegro.

Other examples of CBC projects are addressing pollution, emergency situations and natural hazards (Montenegro-Albania programme); supporting water and waste management (Albania-Kosovo programme); vulnerable groups (women, elderly, youth, people with disabilities) and their successful inclusion into society; sustainable use of natural and cultural resources (Serbia-Montenegro programme); and enhancement of the regional tourism (Bosnia and Herzegovina-Montenegro programme).

The **Facility for Refugees in Turkey** continues to deliver much-needed assistance to refugees and host communities in Turkey in all the priority areas it covers, i.e. basic needs, education, healthcare, protection, socioeconomic support and municipal infrastructure. The Facility Steering Committee meets on a regular basis and follows, monitors and steers the implementation of the Facility. Six-monthly monitoring reports, which are publicly available, confirm that the Facility is continuing to achieve its goals. Under the Facility for Refugees, some EUR 65 million are being mobilised from savings and contingencies to respond to COVID-19 related needs among refugees.

## **3.2. Key achievements**

### **3. 2. 2. Corresponding 2014-2020 programme**

<sup>9</sup> Regional Cooperation Council, Balkan Barometer, Attitudes on Regional Cooperation and EU Integration, Regional Cooperation indicator: <https://www.rcc.int/balkanbarometer/results/2/public>

100 000	7805	75	416,5
students, researchers, staff and others participated in the Erasmus+ activities involving Western Balkans partners for the period 2014-2020	housing units built under the Regional Housing Programme up to the end of 2020	Monitoring stations for water and underground water levels, quantity and quality monitoring were established in line with the EU Water Framework Directive in Montenegro in the period 2019-2020	km of the national road network have better pavement conditions since 2015 due to adequate maintenance programme under IPA II

75 000	400	287	80
citizens connected to district heating in Pristina and Gjakova in the period 2014-2020, reducing air pollution and increasing energy efficiency in Kosovo	organisations working on violence against women in the Western Balkans and Turkey reached with the regional support under the Civil Society Facility from 2014 to 2020	first and second grade students with disabilities, enrolled in primary schools, benefit from the EU scholarship programme during the 2020/2021 school year in North Macedonia	Turkish municipalities supported under energy projects that promote Renewable Energy and Energy Efficiency in Turkey

1 800 000	660 000	155,4	53
of the most vulnerable refugees are currently provided with monthly cash transfers under the Emergency Social Safety Net	refugee children were enrolled into school under the Facility for Refugees in Turkey from October to December 2020	km fast-track railway is being constructed as part of TEN-T corridor within the Construction of the Halkalı-Kapıkule Railway Line project in Turkey by 2024	Regional networks of Civil Society Organisations in the Western Balkans and Turkey supported in 2014-2020

The following concrete results have been achieved:

### Migration – Western Balkans

Intense migratory movements have continued to result in a large number of refugees and migrants present in the region, especially in Serbia and Bosnia and Herzegovina. Currently, there are approximately 20,000 migrants and refugees in the region. As of 17 February 2021, there were 5,838 hosted in reception facilities in Serbia and 6,162 in Bosnia and Herzegovina. In addition, it is estimated that thousands are present outside reception facilities, sleeping rough in both countries (between 1,300 – 1,700 in Serbia and some 1,600 in BiH). In BiH, the reception capacities remain insufficient and inadequate, due to the lack of effective coordination between levels of government and, in particular, the refusal of Republika Srpska and Croat-majority cantons to host reception centres, as well as the closure of existing reception facilities in the Una-Sana Canton. The winter brought a serious humanitarian situation, additionally compounded by the COVID-19 pandemic.

In Bosnia and Herzegovina over EUR 75 million of IPA funds (to which another EUR 1,25 million from ECHO emergency response were added) were allocated for emergency support to migration, since September 2018, in order to avoid a humanitarian crisis. The funds were implemented by IOM and were directed mostly towards the construction/reconstruction of seven Migrant and Refugee Accommodation Centres, the purchase of 562 containers for accommodation, 5900 bunk beds and more than 10,000 mattresses and bedding equipment. In addition, among other things, more than 8.2 million meals were provided to beneficiaries in the centres, with an additional 15,000 meals and drinking water distributed to migrants and refugees sleeping outside centres in make-shift camps and abandoned buildings in Una Sana Canton; 1.6 million non-food items were also distributed. Part of these funds contributed to strengthening the border, migration and asylum management capacities. Furthermore, as part of the COVID-19 response, one emergency tent facility in Lipa (Bihac) was established as preventive measures for up to 1 000 non-accommodated refugees and migrants, to reduce their vulnerability to the pandemic. In addition, since January 2020, an EU-funded senior expert

has been deployed at the Ministry of Security in Bosnia and Herzegovina to support coordination on migration management among authorities in Bosnia and Herzegovina.

Serbia has continued to make substantial efforts to meet essential needs of refugees and migrants passing through or remaining on its territory. COVID-19 pandemic has put 19 government reception facilities, designed to accommodate up to 6 000 people and temporary shelter for around 1 000 people, under additional strain. In 2020, the Commission has prepared an additional measure in a value of EUR 11.8 million to help Serbia cope with this unprecedented situation, bringing the total of EU special migration assistance provided since September 2015 to EUR 130 million. Apart from enhancing reception capacity of Serbia, the EU has been continuously supporting Serbian institutions to enable uninterrupted access to education for migrant children since 2015 through assistance to formal and non-formal education. 1 024 children and 58 local schools benefitted from assistance by creating an adequate environment for learning and inclusion of migrant children into the local context. This special assistance comes on top of EUR 78.6 million of regular EU support provided to Serbia since 2007 in the area of integrated border management and asylum.

### Migration – Turkey

Turkey currently hosts close to 4 million refugees and the EU is committed to assist Turkey in dealing with this challenge. The Facility for Refugees in Turkey, managing a total of EUR 6 billion, provides for a joint coordination mechanism, designed to ensure that the needs of refugees and host communities in Turkey, through over 100 projects providing the following results:

- Basic Needs – more than 1.8 million of the most vulnerable refugees are provided with monthly cash transfers under the Emergency Social Safety Net.
- Education - 660 000 refugee children were enrolled into school under the Facility for Refugees in Turkey from October to December 2020 and 365 new schools were in the process of being constructed as part of the support to the integration of Syrian children into the Turkish education system.
- Health – over 13 million primary healthcare consultations were carried out and over 4 million vaccination doses were provided to refugee infants and pregnant women so far. Furthermore, 179 migrant health centres are being provided with over 3 400 staff employed.

### Connectivity agenda

The Commission allocated EUR 1 billion for connectivity investment projects and technical assistance for both infrastructure investment projects and accompanying reform measures such as aligning and simplifying border crossing procedures, railway reforms, information systems, road safety and maintenance schemes, unbundling and third party access.

Up to the end of 2020, construction works started on 16 connectivity projects. The expected results of the 45 connectivity projects – once the infrastructure constructions are fully completed – include:

- 560 km of 400kV transmission lines;
- 176 km of gas pipeline;
- 327 km of railway lines & connected stations (e.g. 2 hours less between Belgrade and Sofia, as well as between Belgrade and Bar; 1 hour less between Pristina and Skopje);
- 208 km of motorways (e.g. 1 hour less between Sarajevo and Zagreb, as well as Niš and Pristina; 1/2 hour less between Pristina and Skopje);
- 2 cross-border bridges; 1 joint border railway station;
- Increase in intermodal transshipment capacities;
- 1 maritime port and 1 inland waterways port rehabilitated;
- Improved navigability on 40 km of waterway;
- 500 MW installed capacity and 1,380 GWh/y from hydropower.

### Private Sector Support

Under the **Western Balkans Investment Framework** private sector strand, an EUR 150 million Guarantee was programmed and launched at the end of 2019 to support private sector investments of up to EUR 1 billion contributing to boosting the region's competitiveness and job creation. The programme was reoriented and further amended during 2020 in the COVID-19 pandemic, to allow for the implementation of other actions in the field of health.

In **Turkey**, IPA II has continued to support investment and reforms, notably in the areas of institution and capacity building, socioeconomic development, employment, social policies, education, promotion of gender equality, human resources development, agriculture, rural development, energy, transport, regional development and territorial cooperation.

The following exemplify recent achievements under IPA II:

- Capacities building activities have been funded in support to the role that local authorities can play in the EU accession process – as it was the case for the action on Local Administration Reform. In some cases, capacity building activities have been matched with network opportunities, to foster exchanges between EU and Turkey's local administrations in

areas relevant to the EU accession. In particular, the “EU – Turkey Town Twinning” project contributed to build contacts, dialogue and brought together 57 local administrations and NGOs from 19 Turkey provinces and 12 EU Members States, to share on wide range of areas such as education, environment, health, culture, tourism, energy, innovation, public administration.

- Through the Civil Society Facility flagship programme in Turkey is Sivil Düşün (‘Think Civil’) around 4.250 applications in diverse thematic areas were received, out of which over 1.130 actions were selected for implementation. Its help-desk offers assistance to applicants and potential applicants across Turkey with an average of over 2.000 requests per year. Since 2014, Sivil Düşün has also provided an effective platform for its beneficiaries to network and learn from each other through its CSO Forums, Info Days, trainings, round table and consultation meetings across Turkey. Over 5.000 participants benefitted from these thematic events and meetings. Sivil Düşün’s online and digital communication tools are strategically employed to boost the visibility of assistance offered, showcase the work it supports. The programme’s website has received a total of more than 1 million web page views throughout its history and its social media channels receive around 20,000 views each month. Lately, a Special Call for Support for civil society was launched to mitigate the impact of COVID-19 supporting over 200 CSOs across the country with a total budget of EUR 800,000.
- The CSF projects supported also media and freedom of expression. The press freedom campaign reached at least 350.000 people, ‘our rights’ campaign reached approximately 56.000 people, 1033 journalists received professional trainings nationwide, broadcast studios in Istanbul and Izmir press academies were used 109 times, editorial support was provided for 188 mostly unemployed journalists.
- Moreover, 155,4 km fast-track railway is being constructed as part of the Trans-European Transport (TEN-T) corridor within the construction of the Halkalı-Kapıkule railway line between Istanbul and the Bulgarian border, co-funded by the IPA contribution of EUR 275 million.
- The Commission continues to support the energy sector in Turkey, in particular the sector’s legislative, regulatory and technical alignment to the EU, including electricity and gas networks integration. As many as 80 Turkish municipalities and universities benefit from the project that promotes renewable energy (RE) and energy efficiency (EE).

### Western Balkans

In 2020 the enlargement process held on its principles and its values and the Commission has remained strongly committed to support the Western Balkans in meeting all the requirements for membership. The countries have made in general some progress on reforms and towards overcoming the legacy of the past. This includes supporting fundamental democratic, rule of law and economic reforms in the pursuit of a general alignment with core European values.

**Albania.** The EU financial assistance is making a substantial contribution to meet the political, economic and acquis-related criteria, in line with the European Commission's "fundamentals first" approach. IPA has in particular helped the country to deliver on key reforms necessary to advance on the European path with a view to opening accession negotiations, especially in the field of justice reform, for instance in the 'vetting' of judges and prosecutors, and in supporting the specialised structures against corruption and organised crime. The efforts to fight the impact of the COVID-19 pandemic were made in parallel to the work needed to respond to another major disaster - the earthquake of November 2019. The EUR 115 million pledge by the European Commission for the post-earthquake recovery has been translated into programmes reconstructing and repairing damaged schools and cultural heritage sites. The works in the first educational facility were completed in January 2021, allowing 1370 students and 51 teachers to benefit from a state of the art new school.

Some examples of results achieved by IPA II programmes:

- 416,5 km of the national road network have better pavement conditions comparing the baseline of year 2015 due to adequate maintenance programme included in IPA II support
- Over 400 civil society organisations, received financial support to increase citizen’s participation.
- Out of the total of 805 magistrates that have to undergo vetting, the vetting institutions have completed 350 vetting cases at first instance.
- Over 1000 people from Roma and Egyptian minorities employed through Active Labour Market Measures.

**Bosnia and Herzegovina.** The EU financial assistance continue to provide support to the country in implementing key sector reforms in order to meet the requirements of the accession process. IPA has also provided urgent and continuous support to deal with the migration crisis, guaranteeing continuity of assistance and services to the migrants on the territory. In 2020, IPA provided a quick response to the COVID-19 crisis and liberated resources immediately deployed in procurement of medical supplies (61 ventilators, 10 triage containers, 10 X-ray machines, 20 portable ultrasound machines, over 2M pieces of disposable equipment items, among other things) and in the economic recovery measures. As regards the latter support will be provided for continuation of business activities of MSMEs, entrepreneurs and farmers affected by the COVID-19 economic lock-down crisis, and for the development of start-ups by unemployed, women or persons which appertain to vulnerable groups (e.g.: minorities);

Some examples of results achieved by IPA II programmes:

- Financial Management and Control and Internal Audit strategies prepared at all levels of governance in BiH.
- 6 Courts and 3 Prosecutors Offices constructed, modernised and renovated.

- 160,000 people experienced a rise in standard of living by 38 infrastructure projects through rehabilitated schools, health centres, centres for social work, municipal buildings, courts, roads, bridges.
- EUR 30 million private sector investments triggered of which EUR 20 million in loan finance to SMEs.

**Kosovo.** The EU financial assistance continues to provide support in implementing key sector reforms to advance Kosovo on its European path. In 2020 significant reprogramming efforts were undertaken to respond to the emerging needs from the COVID-19 pandemic. Under IPA 2019, EUR 38.36 million was reprogrammed to support social and economic recovery. Under IPA 2020, an amount of about EUR 11.6 million was reprogrammed in order to make available EUR 6 million under the approximation facility for possible emergency use, and EUR 5.2 million for digitalisation that in principle will be focused on the economic recovery and resilience of Small and Medium Enterprises (SMEs).

Some examples of results achieved by IPA II programmes:

- 75 000 citizens connected to district heating in Pristina and Gjakova, reducing air pollution and increasing energy efficiency.
- 149 Kilometres of railway tracks rehabilitated along the trans-european route linking Budapest and Thessaloniki.
- 10 000 Rule of Law Professionals trained such as prosecutors, judges, barristers and lawyers.
- Over 12 500 Students benefiting from education infrastructure with 26 Kindergartens and School built.

**Montenegro.** EU financial assistance continues to contribute to the implementation of essential sector reforms in order to meet the requirements of the Accession process. Of note was the continuing importance of Rule of Law, Fundamental Rights, Public Administration Reform (PAR) and Economic Governance. In order to respond to the COVID-19 crisis and to support the authorities' measures a major reprogramming of EUR 53 Million was undertaken. EUR 3 million provision of emergency supplies (this covered a range of specialise equipment including 200,000 surgical masks and 510,000 - surgical caps) were supplied. In addition, an investment in EUR 9.5 million for medium to long term health capacity was committed, which in turn allows the authorities to focus their efforts in the immediate crisis. EUR 28 million of an overall EUR 40.5 million Budget Support programme was paid in November. This programme supports the national measures envisaged to address the social and economic crisis. To illustrate indicators linked to the second payment focus on having at least 100 small businesses (with 20% being women owned) benefitting directly from the Government's measures.

Some examples of results achieved by IPA II programmes:

- 75 monitoring stations for water and underground water levels, quantity and quality monitoring established.
- 200 Rule of Law professionals received training/support, 120 judges, state prosecutors and court advisors, and 80 police officers.
- 342 farmers were supported with agricultural grants to invest in setting up or improving physical facilities, processing and marketing of agricultural products.

**North Macedonia.** Financial assistance programmes continue to provide support to North Macedonia in making progress on the fundamental reforms in rule of law and home affairs, public finance and economic governance. Public investment policy of North Macedonia was significantly improved with the adoption of new legislation which enhanced compliance with the EU acquis and standards. The IPA II 2020 programming exercise focused on Justice and home affairs and good governance, and was further continued with the EUR 50 million Performance Reward used to address the COVID – 19 pandemic and its socio-economic effects. This includes EUR 40 million of budget support, of which EUR 32 million were disbursed before the end of the year.

Some examples of results achieved by IPA II programmes:

- Over 9,000 young people supported by the Youth Guarantee, in the three regions suffering with highest unemployment rates.
- 287 students with disabilities, enrolled in primary schools, benefit from the EU scholarship programme (2020/2021 school year). 282 Roma scholarships were provided to first and second grade students for the 2019/2020 and 2020/2021 school years.
- The Mountain Rescue Service was upgraded and equipped and saved 34 human lives during complex rescue operations.
- 120 SMEs were supported and 7,000 jobs were preserved, by EU loans, grants and technical assistance.
- The preservation of 241,755.42 Ha of protected areas improved and 2,000 people benefit from two new waste water treatment plants, that limits the negative impact of human activities in nature, overall promoting the sustainable use of resources.

**Serbia.** IPA financial assistance has continued supporting the EU accession process of Serbia and the implementation of essential sector reforms in order to meet the requirements of the Accession process. IPA has also provided urgent and continuous support to deal with the migration crisis, aggravated by the pandemic, guaranteeing continuity of assistance and services to the migrants on the territory. In 2020 IPA has been instrumental in dealing with the COVID-19 crisis, funding the transportation costs of 15 cargo planes carrying 720 tons of emergency medical supplies, directly purchasing and donating equipment to help Serbia tackle the public health crisis (e.g. 25 devices for monitoring, 50 respirators, 50 intensive care monitors, 2 Polymerase Chain Reaction test machines, 100 medical containers, 100 stationary oxygen concentrators), procuring 46 additional ambulances and special transportation vehicles, and 67 different types of freezers and refrigerators.. Assistance has been also provided to vulnerable groups particularly affected by the crisis, including distribution of food and hygiene packages to Roma and vulnerable women, and

improving the hygienic standards for migrants. In addition the EU has helped with the economic recovery addressing the needs of small and medium size enterprises and the tourism sector, with a focus on Serbia's less developed regions.

Some examples of results achieved by IPA II programmes:

- Thanks to a Court backlog reduction project there are 1.5 million less pending court cases compared to 2012.
- A total of 630 hectares of industrial zones equipped through nine economic infrastructure projects, with 780 jobs created. Direct assistance to 203 enterprises created of 422 new jobs 43% occupied by women.
- Support in 37 beneficiary local governments improved the lives of over 162,000 inhabitants who use reconstructed sports and cultural facilities, schools and kindergartens, health and social care institutions and community infrastructure.
- Support to at least 20 Roma settlements (1500 persons) for sustainable housing and improved living.
- 869 micro and small size enterprises have benefited from access to lending in the value of EUR 130.3 million.

### **Examples of successful IPA Multi-Country Programmes projects implemented in 2020:**

#### **Regional Energy Efficiency Programme (REEP)**

REEP has been transforming the market for energy efficiency (EE) in the region by driving and scaling up investments in private sector as well as in residential and public buildings. Despite the pandemic, significant achievements took place during 2020 under each Window: 1) Policy dialogue, legislative and project preparation support to energy service companies (ESCO); EE primary law and the ESCO contracts for street lightening were signed (North Macedonia and Serbia) and in Bosnia and Herzegovina, a feasibility study for the Vitez/Teslic district heating project was completed. (2) Intermediated Financing (through local banks): The first building refurbishment via credit line in Bosnia and Herzegovina was finalised with expected reduction of energy use by 45%. A EUR 12.6 million sub-loan was signed for 2,748 new projects. A new EBRD EUR 50 million Credit Line Facility with focus on the residential sector was approved. Additional EUR 18 million sub-loans (from KfW main loan) for 167 new projects were signed. A first EUR 50 million tranche of a EUR 100 million credit line for EE/RE loans to SMEs and municipalities was approved. Overall, CO2 savings of 12,833 t/year and primary energy savings of 36,851 MWh/year were achieved. (3) Direct Financing (private sector): Technical and environmental due diligence (EUR 100k in total) for two wind farms, in Kosovo (32 MW) and North Macedonia (34 MW) have been successfully completed. (4) Direct Lending (public sector): A EUR 8 million loan to improve the energy efficiency of 40 public buildings in Sarajevo was signed for which more than 26,000 children and patients will be directly benefitting. A tender for works was launched for refurbishment of the Zenica Cantonal Hospital.

#### **Support to Roma - ROMACTED regional project**

The regional engagement through IPA II is articulated around main areas including: evidence, capacity building, support to education and employment, cooperation with Civil Society Organisations and outreach. The 3rd edition of the Roma Award took place in 2019 and 4th edition is planned for 2021. The Council of Europe implements the ROMACTED regional project promoting good governance and Roma empowerment at local level by engaging with local authorities and stimulating the empowerment of local Roma communities in over 60 municipalities in the Western Balkans and Turkey. During COVID-19 crisis in 2020, it enabled immediate and direct access to the most vulnerable Roma across the region (1764 families received food packages or vouchers, 4000 hygiene kits were purchased and distributed for benefit of 1900 families). Additional resources were channelled to emergency responses to municipalities to fight COVID-19 in all the 61 municipalities of the programme.

#### **Erasmus+**

The focus on youth significantly increased from 2019 with the doubling of support for Erasmus+ to 66 million EUR. For the period 2014-2019 (2020 figures are still unavailable) for Partners in the regions (Albania, Bosnia and Herzegovina, Kosovo, Montenegro & Serbia 2014-2018), the following has taken place: Academic Exchanges (International Credit Mobility) - more than 37,000 students, researchers and staff participated in mobilities (with more than 23,000 students and staff from the Western Balkans coming to Europe); Erasmus Mundus Joint Master Degrees - 11 organisations from the Western Balkans involved, and 323 scholarships for Master students from the region provided; Capacity-Building in Higher Education - almost 700 instances of organisational and institutional participation recorded; Youth Mobility: Youth Exchanges: 12,032 participants from the Western Balkans, 8,030 participants to the Western Balkans, Youth Workers Mobility: 5,715 participants from the Western Balkans, 979 participants to the Western Balkans, and Volunteering Projects (individual or groups): 729 participants from the Western Balkans, 521 participants to the Western Balkans; Capacity Building Youth: 388 organisations participated in 238 projects that involved 39,297 individuals.

#### **Interreg IPA programmes**

Under Interreg, IPA funds contribute to cross-border (IPA CBC) and transnational cooperation programmes with the Member States. These programmes contribute to several important EU policy goals at the same time:

- on one hand, they allow border regions to work on common challenges and thus enhance territorial cooperation and cohesion on EU external borders
- they also simulate to a large extent the EU cohesion policy and thus support IPA countries in adopting reforms and prepare for membership

In the context of the COVID-19 outbreak, managing authorities for cooperation programmes set up more flexible rules for beneficiaries (e.g. extension of deadlines for implementation and completion of projects, reporting, coverage of expenditure linked to non-realised actions due to force majeure etc.). They also considered additional measures for possibility to allow for delayed submission and more flexibility at closure. Many projects and Interreg IPA programmes also have reported extra difficulties due to the closure of borders between countries, which complicates the cooperation between project partners on both sides of the border.

### 3.3. Evaluations, studies and reports

During 2020 five evaluations<sup>10</sup> were completed:

The Evaluation of the performance of EU Info Centres in the Enlargement and Neighbourhood regions (2011–2017) was launched to draw lessons learned and recommendations to improve the performance their activities in the enlargement region in line with the commitments taken by DG NEAR in the joint Action Plan on Strategic Communication in the Western Balkans and Turkey and to identify options for the potential establishment of EU Info Centres in the neighbourhood region.

The Evaluation of the EU's engagement with Civil Society in the enlargement, neighbourhood regions and Russia over the period 2007-2018 assessed and provided evidence on the results achieved by both targeted and mainstreamed support and through policy dialogue, multi-stakeholder fora and consultations involving civil society organisations.

The Evaluation of the EU's external action support in the area of gender equality and women's and girls' empowerment (2010-2018) assessed EU's external action contribution in the policy area of gender equality and women empowerment in Enlargement, Neighbourhood, Africa, Central Asia, South and South-East Asia & Pacific, Latin America and the Caribbean regions. Led by NEAR, it was done in close collaboration with DG INTPA. The evaluation has informed the definition of the EU Gender Action Plan (GAP III).

Evaluation of EU support to local authorities in enlargement and neighbourhood regions (2010-2018) provided an independent assessment of the contribution of EU external action to the achievement of the objectives and intended impacts of its policy towards local authorities in Enlargement and Neighbourhood regions.

Six strategic evaluations were under implementation during the reporting period (namely evaluations on migration, IPA-IPA CBC programmes and two country evaluations of Serbia and Montenegro). In addition, four new evaluations were launched in 2020 (on TAIEX, environment and climate change, cooperation with UN and country evaluation of North Macedonia).

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :To strengthen the rule of law, democracy, the respect of human rights, fundamental rights and international law, civil society and security as well as improve migration management including border management**

**Indicator 1:Composite indicator on the readiness of enlargement countries on political criteria**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Extent of readiness
Cut-Off Date	
Data source	European Commission
Link to the objective	The general objective of IPA III shall be to support the beneficiaries in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to their stability, security and prosperity. This indicator will allow measuring the state of play of where the enlargement beneficiaries stand in terms of their preparation for meeting one of the three accession criteria, the political one: stability of institutions guaranteeing democracy, the rule of law, human rights and

<sup>10</sup> These are strategic and independent evaluation studies, carried out following Better Regulation and OECD DAC criteria, however they did not lead to a stand-alone staff working document as per Better Regulation Guidelines.

	respect for and protection of minorities.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This composite indicator is based on a careful analysis of the situation under each of the areas. Particular emphasis is given to the importance of implementation and track records of concrete results in each area. Accordingly, these aspects are given more weight than legal alignment and institutional framework in the overall assessment. These indicators have been introduced in the enlargement reports of 2015. Upcoming enlargement reports will provide an assessment of the areas, used for the preparation of this composite indicator. For further details, please see the Communication on the EU Enlargement Strategy.
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :To reinforce the effectiveness of public administration and support structural reforms and good governance

### Indicator 1:Readiness of enlargement countries on public administration reform

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Extent of readiness
Cut-Off Date	
Data source	European Commission
Link to the objective	The general objective of IPA III shall be to support the beneficiaries in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to their stability, security and prosperity. This indicator will allow measuring the state of play of where the enlargement beneficiaries stand in terms of their preparation for meeting one of the three accession criteria: administrative and institutional capacity to effectively implement the acquis* and ability to take on the obligations of membership.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 3 :To shape the rules, standards, policies and practices of the beneficiaries in alignment to those of the EU and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication

### Indicator 1:Composite indicator on the readiness of enlargement countries on EU acquis

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Extent of readiness
Cut-Off Date	
Data source	European Commission
Link to the objective	Important for several aspects of the specific objectives and particularly related to the third objective (i.e. To shape the rules, standards, policies and practices of the beneficiaries listed in Annex I in alignment to those of the Union and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication).
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This indicator is based on a careful analysis of the situation. Particular emphasis is given to the

	importance of implementation and track records of concrete results. Accordingly, these aspects are given more weight than legal alignment and institutional framework in the overall assessment. This indicator was part of a composite indicator (Composite indicator on the readiness of enlargement countries on fundamental areas of the political accession criteria.) introduced in the enlargement reports of 2015. Upcoming enlargement reports will provide an assessment of this area. For further details, please see the Communication on the EU Enlargement Strategy. This indicator is particularly relevant for DG NEAR since it shows the results of its enlargement policy, including financial assistance through the Instrument for Pre-accession Assistance as regards on
Full metadata available at this address	
Justification of the trend	

**Specific Objective 4 :To strengthen economic and social development to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.**

**Indicator 1:Composite indicator on the readiness of candidate countries and potential candidates on fundamental areas of the economic criteria**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Extent of readiness
Cut-Off Date	
Data source	European Commission
Link to the objective	Important for several aspects of the specific objectives and particularly related to the fourth objective (i.e. To strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Public Social Security expenditure**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	In percentage of GDP
Cut-Off Date	
Data source	ILO
Link to the objective	Important for several aspects of the specific objectives and particularly related to the fourth objective (To enhance accessibility to community bases services, improved education, health and social protection services)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 3:Employment rate of persons aged 20 to 64**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									

	Actual Progress								Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	
Data source	Eurostat
Link to the objective	Important for several aspects of the specific objectives and particularly related to the fourth objective (To enhance employment opportunities, improve labour markets and employability)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 4: Digital gap between the beneficiaries and EU average

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	
Cut-Off Date	
Data source	European Commission
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 5: Ease of doing business

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Percentage score
Cut-Off Date	
Data source	The data will come from the Global Indicators Group (World bank).
Link to the objective	Important for several aspects of the specific objectives and particularly related to the fourth objective (i.e. To strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.)
Link MFF 14-20 / MFF 21-27	Continuation of the same indicator from MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

#### Indicator 6: Energy intensity measured in terms of primary energy and GDP

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
-----------------	--

Indicator type	Impact
Unit of measurement	Thousand Btu per Chained (2009) Dollar.
Cut-Off Date	
Data source	The data will come from international sources. The International Energy Agency (IEA) and the United Nations Statistics Division (UNSD) Description: The IEA and UNSD are the primary compilers of national energy statistics and are develop internationally comparable energy balances based on internationally agreed methodologies. Aggregates are based on World Bank analysis of IEA and UNSD data.
Link to the objective	Important for several aspects of the specific objectives and particularly related to the fourth objective (i.e. To strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 7:Greenhouse gas emissions reduced or avoided (Ktons CO2eq) with EU support

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Ktons CO2eq
Cut-Off Date	
Data source	European Commission
Link to the objective	Important for several aspects of the specific objectives and particularly related to the fourth objective (i.e. To strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Specific Objective 5 :To support territorial and cross-border cooperation

#### Indicator 1:Number of cross-border cooperation programmes concluded among IPA beneficiaries and IPA/EU MS

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Impact
Unit of measurement	Number of cross-border cooperation programmes
Cut-Off Date	
Data source	European Commission
Link to the objective	Important for several aspects of the specific objectives and particularly related to the fifth objective (i.e. to support territorial and cross-border cooperation).
Link MFF 14-20 / MFF 21-27	Continuation of the indicator from MFF14-20 to MFF21-27
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

**Previous Program 1 : Instrument for Pre-accession Assistance (IPA II)****Specific Objective 1 :Support for political reforms.**

**Indicator 1:Composite indicator on the readiness of enlargement countries on fundamental areas of the political accession criteria. These areas are: Judiciary, Fighting organised crime, Freedom of expression, Fight against corruption and Public administration reform**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
5					Reduced number of cases					A majority of countries are moderately prepared in these areas
	Actual Progress									Final
		5	4	5	6	6				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	
Cut-Off Date	20/08/2022
Data source	Annual enlargement country reports – European Commission
Narrative	Baseline: Five cases of early stage of preparation in these areas (i.e Albania on the Judiciary, Bosnia and Herzegovina on Public Administration Reform and Kosovo on the Judiciary, Fighting organised crime, and Fight against corruption).
Methodology	The data for 2020 should become available later during the year following the publication of the Enlargement package.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This composite indicator aims at showing where the candidate countries and potential candidates stand in terms of their preparations for meeting five key areas of the political criteria, namely the functioning of the judiciary, fight against corruption, fight against organised crime, freedom of expression and public administration reform. In each of these areas, the state of play (i.e. the readiness) in the candidate countries and potential candidates is assessed according to the following five-tier standard assessment scale: Early stage – Some level of preparation - Moderately prepared - Good level of preparation – Well Advanced.
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Weighted score based on 8 external sources**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Western Balkans										
2010	Milestones									2020
51,53				> 52						> 55
	Actual Progress									Final
	51,55	50,56	49,77	48,84	47,69	48,56				
Turkey										
2010	Milestones									2020
51,77				> 53						> 55
	Actual Progress									Final
	50,6	48,72	44,41	42,15	39,62	41,11				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Values: 1 (Worst) - 100 (Best).
Cut-Off Date	31/12/2020
Data source	Based on:- Corruption Index (Transparency International) - <a href="http://www.transparency.org/country-Control of Corruption (World Bank )">http://www.transparency.org/country-Control of Corruption (World Bank )</a> - <a href="http://web.worldbank.org">http://web.worldbank.org</a>
Narrative	
Methodology	Eight external sources are taken in three groups, each weighted one third 1. [Corruption Index (Transparency International) and Control of Corruption (World Bank)]; 2. Press Freedom (Reporters without Borders) and Freedom of Press (Freedom House); 3. Government Effectiveness (World Bank), Rule of Law (World Bank), Regulatory Quality (World Bank) and Voice and Accountability (World Bank)]The data for 2020 from most of the sources above will be available towards the end of the year.

Link MFF 14-20 / MFF 21-27	
Other methodological comments	It should be noted that the indicators are based mostly on perceptions and do not necessarily reflect the impacts made by the EU assistance and policy in these areas. There are also many external factors, which might influence overall scores (such as political instability, security situation, etc.). Therefore, these indicators are only subject to indirect influence by EU action.
Full metadata available at this address	
Justification of the trend	There is an improvement on this indicator based on the latest data (from 2019) in both Western Balkans and Turkey, it is unlikely to be enough to reach the target.

## Specific Objective 2 :Support for economic, social and territorial development, with a view to a smart, sustainable and inclusive growth.

**Indicator 1:Composite indicator on the readiness of candidate countries and potential candidates on fundamental areas of the economic criteria These areas are: functioning market economy and competitiveness in the EU**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
4					Reduced number of cases					A majority of candidate countries
	Actual Progress									Final
		4	4	4	4	4				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Number of candidate countries and potential candidates
Cut-Off Date	31/12/2020
Data source	Annual enlargement reports – European Commission.
Narrative	Baseline: Four cases of early stage of preparation in these areas (i.e. Bosnia and Herzegovina on functioning market economy and competitive pressures; Kosovo on functioning market economy and competitive pressures).
Methodology	The data for 2020 will be available later in the year following the publication of the Enlargement package.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This composite indicator aims at showing where candidate countries and potential candidates stand in terms of their preparations for meeting key areas of the two economic criteria, namely the existence of a functioning market economy and the capacity to cope with competitive pressures and market forces within the Union. In each of these areas, the state of play (i.e. the readiness) is assessed according to the following five-tier standard assessment scale: Early stage – Some level of preparation - Moderately prepared - Good level of preparation – Well Advanced.
Full metadata available at this address	
Justification of the trend	Candidate countries and the potential candidates made limited progress on meeting the economic criteria, according to the 2020 enlargement reports. In the area of functioning market economy, Serbia advanced to the level of moderately prepared/good level of preparation. Albania and Montenegro remained at a moderately prepared level, North Macedonia at a good level of preparation and Turkey is considered to be well advanced. On competitiveness, North Macedonia, Montenegro and Serbia remained moderately prepared, while Albania remained at some level of preparation. In terms of cases of early stages of preparation, this indicator remained stable in 2020 compared to the baseline, with four cases, on functioning market economy and competitiveness in Bosnia and Herzegovina and Kosovo. Overall, there was limited progress towards meeting the 2020 target for this indicator. The IPA II beneficiaries face challenges in advancing on the fundamental areas of economic criteria, which are interlinked with the political criteria. The Commission put a particular emphasis on these areas in its Western Balkans Strategy of February 2018 and in its communication of February 2020 on a revised EU accession methodology, which put an even stronger focus on these fundamental reforms.

## Indicator 2:World Bank's "Distance to frontier" (Doing Business) score

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Western Balkans										
2010	Milestones									2020
59,63				70			72			72
	Actual Progress									Final
	68,66	68,63	70,97	72,31	72,54	71,95	72,75			
Turkey										
2010	Milestones									2020
65,30				71			73			73

	Actual Progress								Final
	69,96	67,3	67,98	69,14	74,33	75,25	76,80		

Are we on track	On track
Indicator type	Impact
Unit of measurement	1 (Worst) - 100 (Best).
Cut-Off Date	31/12/2020
Data source	<a href="http://www.doingbusiness.org/data/distance-to-frontier">http://www.doingbusiness.org/data/distance-to-frontier</a>
Narrative	The indicator shows the distance of each economy to the ‘frontier’, that means the highest performance observed on each of the indicators across all economies.
Methodology	
Link MFF 14-20 / MFF 21-27	Subject to the outcome of the negotiations among the co-legislators, this indicator will continue in the next MFF.
Other methodological comments	The indicator shows the distance of each economy to the “frontier”, that means the highest performance observed on each of the indicators across all economies: 1 (Worst) - 100 (Best). The last DB Report has updated the methodology: both baseline values have been slightly revised upward. Milestones and targets have been slightly adjusted accordingly.
Full metadata available at this address	
Justification of the trend	In the final year of measuring under this MFF, this indicator has been attained for both Western Balkans and Turkey.

### Indicator 3: Average of exports and imports of goods and services

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Western Balkans										
2010	Milestones									2020
				52%						55%
42,24%	Actual Progress									Final
	48,64%	52,76%	48,77%	52,76%	52,08%	54%				
Turkey										
2010	Milestones									2020
				32%						35%
20,46%	Actual Progress									Final
	25,02%	23,93%	23,45%	27,05%	30,08%	31%				

Are we on track	On track
Indicator type	Impact
Unit of measurement	As percentage of GDP
Cut-Off Date	
Data source	Eurostat
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator shows the degree of economic convergence of candidate countries and potential candidates towards the European average. The projections are based on a hypothesis of growth rate of 1.9% in the EU area and 3.35% in both Western Balkans and Turkey. This is a high level indicator and that European Commission activities only indirectly contribute to it.
Full metadata available at this address	
Justification of the trend	The milestone has already been achieved in 2017 for the Western Balkans. The latest (2019) score has also seen an improvement in both Western Balkans and Turkey. The target could theoretically still be achieved, but the Covid pandemic, which peaked in early 2020 and continued throughout the year, should be taken into account.

### Indicator 4: GDP per capita (current prices-PPS) as percentage of EU level

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Western Balkans										
2010	Milestones									2020
				0,38			0,43			0,43
0,3265	Actual Progress									Final
	0,35	0,32	0,36	0,35	0,34	0,37				
Turkey										
2010	Milestones									2020
				0,60			0,65			0,65
0,49	Actual Progress									Final
	0,64	0,66	0,64	0,67	0,64	0,59				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Percentage
Cut-Off Date	31/12/2020
Data source	Eurostat
Narrative	
Methodology	No data yet available for 2020 (Eurostat)
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The indicator shows the degree of economic convergence of candidate countries and potential candidates towards the European average. Data excludes Kosovo because there is no GDP data.
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Number of economic entities benefitting from IPA II assistance performing modernisation projects in agri-food sector

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Western Balkans										
	Milestones									2023
				520						5 250
	Actual Progress									Final
					118	1 812	2 726			
Turkey										
	Milestones									2023
				120						1 200
	Actual Progress									Final
					335	1 086	1 460			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of economic entities
Cut-Off Date	
Data source	Directorate-General for Agriculture and Rural Development
Narrative	IPA resources for modernisation and upgrading of farms and food companies are very limited compared to the sector size in respective candidate countries and potential candidates and therefore targets are set only for the supported projects financed from the budget and not for the sector.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	IPA resources for modernisations and upgrading of farms and food companies are very limited compared to the sector size in respective candidate countries and potential candidates and therefore targets are set only for the supported projects financed from the budget and not for the sector.
Full metadata available at this address	
Justification of the trend	The specific contracts in IPA II agriculture and rural development assistance are implemented in accordance with the N+3 rule, which means that a given budget allocation in this programme may actually be implemented (contracted and paid within a period of 3 years, following year N). The initial estimate of 5.250 will be implemented during the years 2018 - 2023. Targets are based on the information provided in country programmes, approved by the Commission decision for 7 years. Calculations of targets in the programmes are based on indicative financial allocations for the entire programming period. Should these allocations be revised, targets will have to be revised as well. This will be the case for Turkey, for which allocations have been significantly cut. Targets will be revised after the next programme modification, once reduced budget has been reflected in the programme. For Turkey, the initial estimate of 1.200 will be implemented during the years 2018 - 2023. This explains deviations in other relevant indicators, namely specific objective 2 - indicator 6 and specific objective 3 - indicator 2. In 2014-2017 no effective expenditure was made/projects implemented. Contracting and payments so far made only in North Macedonia and Turkey, forthcoming in Albania, Montenegro, and Serbia. These are cumulative values for the entire programming period. The target for budget year 2020 will be fully implemented as an output by the end of 2023 (N+3).

### Indicator 6: Overall investment in physical capital in agri-food and rural development implemented by beneficiaries of IPA II assistance

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Western Balkans										
	Milestones									2023
				53						710
	Actual Progress									Final

					2	120	243			
Turkey										
	Milestones									2023
				200						1 586
	Actual Progress									Final
					167	655	1 046			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	In EUR millions
Cut-Off Date	
Data source	Directorate-General for Agriculture and Rural Development
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In 2014 no effective expenditure made/projects implemented. The target for budget year 2020 will be actually implemented as output by the end of 2023.
Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :Strengthening of the ability of the beneficiaries listed in Annex I of the IPA II- Regulation to fulfil the obligations stemming from Union membership by supporting progressive alignment with, and adoption, implementation and enforcement of, the Union acquis, including preparation for management of Union Structural Funds, the Cohesion Fund and the European Agricultural Fund for Rural Development**

**Indicator 1:Composite indicator on the readiness of candidate countries and potential candidates on alignment to the acquis**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2015	Milestones									2020
	Actual Progress									Final
		50	43	26	32	30				

Are we on track	Moderate progress
Indicator type	Impact
Unit of measurement	Number of cases of early stage of preparation in the 33 chapters in the enlargement region
Cut-Off Date	31/12/2020
Data source	Annual enlargement country reports – European Commission
Narrative	This composite indicator aims at showing where the candidate countries and potential candidates countries stand in terms of their preparations for fulfilling the obligations stemming from EU membership, including the alignment to the 33 acquis chapters. This composite indicator is based on a careful analysis of the situation under each of the 33 acquis chapters. Particular emphasis is given to the importance of implementation and track records of concrete results in each chapter. Annual enlargement reports provide a detailed assessment of these acquis chapters, used for the preparation of this composite indicator. For further details, please see the latest Communication on the EU Enlargement Strategy. These result indicators are particularly relevant for DG NEAR since they show the results of its enlargement policy including financial assistance through the Instrument for Pre-accession Assistance as regards the third criteria.
Methodology	The data for 2020 will be available later during the year following the publication of the enlargement package.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	This composite indicator aims at showing where the candidate countries and potential candidates countries stand in terms of their preparations for fulfilling the obligations stemming from EU membership, including the alignment to the 33 acquis chapters.
Full metadata available at this address	
Justification of the trend	According to the annual enlargement country reports, some progress has been recorded for the indicator linked to alignment with, and adoption, implementation and enforcement of, the Union acquis. The 30 cases of early preparedness include the following: 14 cases in Bosnia Herzegovina, 7 cases in Kosovo, 3 cases in Turkey, 3 in Albania, 2 in North Macedonia, 1 in Montenegro and none in Serbia. For a more detailed analysis and the summaries of the findings on readiness and progress of enlargement countries towards the alignment to the 33 acquis chapters, please refer to the 2020 country reports

**Indicator 2: Number of economic entities progressively upgrading towards EU standards in agri-food sector**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
Western Balkans										
	Milestones									2023
										3 325
	Actual Progress									Final
					49	1 812	2 276			
Turkey										
	Milestones									2023
										1 115
	Actual Progress									Final
					323	900	1 460			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	
Cut-Off Date	
Data source	Directorate-General for Agriculture and Rural Development
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	In 2014 no effective expenditure made/projects implemented. The target for budget year 2020 will be actually implemented as output by the end of 2023. The target for budget year 2020 will be actually implemented as output by the end of 2023.
Full metadata available at this address	
Justification of the trend	IPA II rural development programmes (IPARD) have reached the target for Turkey and are making rapid progress towards the target for Western Balkans in relation to 'Number of economic entities progressively upgrading towards EU standards in agri-food sector'.

#### **Specific Objective 4 :Strengthening regional integration and territorial cooperation involving the beneficiaries listed in Annex I of the IPA II-Regulation, Member States and, where appropriate, third countries within the scope of Regulation (EU) No 232/2014 of the European Parliament and of the Council**

##### **Indicator 1: Number of cross-border cooperation programmes concluded among IPA beneficiaries and between IPA/EU Member States**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
IPA-IPA										
2010	Milestones									2020
8				10			10			10
	Actual Progress									Final
	8	8	9	9	9	9	9			
IPA-EU										
2010	Milestones									2020
12				12			12			12
	Actual Progress									Final
		10	10	10	10	10	10			
Total CBC programmes										
2010	Milestones									2020
20				22			22			22
	Actual Progress									Final
	8	18	19	19	19	19	19			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Number of cross-border cooperation programmes
Cut-Off Date	
Data source	European Commission
Narrative	
Methodology	
Link MFF 14-20 / MFF 21-27	Subject to the outcome of the IPA III negotiations - this indicator should continue in the next MFF.
Other methodological comments	The Serbia-Kosovo programme has never been prepared due to the political issues. Beside the Interreg-IPA CBC programmes, DG REGIO also manages transnational and sea basin programmes

	(e.g. Balkan MED, Adrion, Danube, Black Sea and Interreg MED) which involve some IPA funding. Two Interreg-IPA CBC programmes were never submitted and hence discontinued (Greece-Turkey and Cyprus-Turkey).
Full metadata available at this address	
Justification of the trend	The Serbia-Kosovo programme has never been prepared due to the political issues. Beside the Interreg-IPA CBC programmes, DG REGIO also manages transnational and sea basin programmes (e.g. Balkan MED, Adrion, Danube, Black Sea and Interreg MED) which involve some IPA funding. Two Interreg-IPA CBC programmes were never submitted and hence discontinued (Greece-Turkey and Cyprus-Turkey).

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
296,9	321,9	328,4	354,7	381,8	389,6	418,5	2 491,8

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

Estimates reflect the OECD/DAC reporting methodology for the Rio-markers on climate change mitigation and climate change adaptation. The budget of interventions contributing to climate change is weighted 100 % if mitigation and/or adaptation are the ‘principal objective’ of the action and 40 % if mitigation and/or adaptation are a ‘significant objective’.

Rio-markers apply to actions funded in all sectors; however, past trends indicate that actions that aim to directly tackle climate change tend to concentrate in the sectors of rural development, environment, energy and management of natural resources. These actions would primarily contribute to Specific Objective 4 of IPA III (to strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society). However, climate-related expenditure might contribute also to achieving Specific Objective 3 (shape the rules, standards, policies and practices of the IPA III beneficiaries in alignment to those of the Union and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication) as well as Specific Objective 5 (support territorial and cross-border cooperation).

IPA III supports the beneficiaries in their efforts to align to the climate change and energy package and in the implementation of the external dimension of the European Green Deal. In particular, the actions will support the implementation of several priorities of the Economic and Investment Plan for the Western Balkans (clean energy, environment, transport) as well as the Green Agenda for the Western Balkans. The thematic window “Green Agenda and sustainable connectivity” will be the primary entry point for supporting action in the area of climate change, although actions under Window 4: Competitiveness and inclusive growth, Window 5: Territorial and cross border cooperation and Window 2: Good governance, EU acquis alignment, good neighbourly relations and strategic communication could also target climate change. This is in line with the “do no harm” principle and the alignment of EU external actions to the Green Deal and the Paris Agreement.

Support in the area of clean energy and smart transport is channelled to the beneficiaries in particular through financial instruments; in the first instance the Western Balkan Investment Framework (WBIF) and the Green for Growth Fund (GGF).

#### **6.1.3. Key achievements**

In the period 2014-2020, EUR 1605.8 million<sup>11</sup> (15.4% of IPA II operational commitments) were allocated to actions directly contributing to climate change action, mitigation and/or adaptation. Estimates reflect the OECD/DAC reporting methodology for the Rio-markers on climate change mitigation and climate change adaptation. The budget of interventions contributing to climate change is weighted 100 % if mitigation and/or adaptation are the ‘principal objective’ of the action and 40 % if mitigation and/or adaptation are a ‘significant objective’.

EU assistance in the field of climate change mitigation has significantly contributed to the reduction of GHG emissions. In 2019 (the only year for which figures are available), 798 693 tonnes of CO<sub>2</sub>eq were avoided by IPA beneficiaries thanks to EU support. Numerous climate and energy policies were drafted with the support of the EU, in order to align with the objectives of the Paris Agreement. For instance, Serbia drafted its Climate Law as well as its Climate Strategy.

<sup>11</sup> Reporting on 2020 is still ongoing.

#### 6.1.4. Performance

The European Commission has been supporting actions on climate change mitigation and adaptation both at the bilateral and regional level through dedicated actions. These include support to policy development and implementation, approximation to the EU energy and climate acquis, as well as technical assistance and investments for the clean energy transition and low carbon technologies in general. In addition to dedicated actions, environment and climate change considerations are mainstreamed in all areas of cooperation.

At the regional level, co-operation in the environment and climate area has been supported by the European Commission for more than a decade. Building on past experience, the Regional Implementation of Paris Agreement Project – RIPAP – was launched in 2017 to build capacity of the beneficiaries for the implementation of Paris Agreement and continue to enable regional cooperation through the exchange of information, best practices, experiences and awareness-raising activities. Several technical workshops, webinars and study visits were organised, focusing on national greenhouse gas (GHG) inventory systems, modelling systems and tools for preparing GHG emission projections, EU Emissions Trading System, data needs for modelling of energy system projections and priority GHG emission and removal categories. The project also organised three high-level meetings: the Regional Conference on the Implementation of Paris Agreement (Podgorica, Feb. 2018), EU-Serbia Talanoa Conference (Belgrade, May 2018) and Regional Talanoa Dialogue together with the Energy Community Secretariat (Vienna, Oct. 2018) with 164 participants.

In 2020, a new regional multi-annual project was launched to support IPA II beneficiaries in their transition towards the low emissions and climate-resilient economy. With a total budget of EUR 2 million, the action provides support to implementation of climate activities in line with the Beneficiaries' commitments or "Nationally Determined Contributions" (NDCs) and the provisions under the 2015 Paris Climate Agreement. This will be done through a series of activities covering mitigation and adaptation actions that will enable keeping the momentum created under the previous projects.

A new regional project in support of climate action and energy transition at the local level was also launched in 2020. The action extends the support provided by the Commission in the context of the Global Covenant of Mayors for Climate and Energy to Western Balkans and Turkey. It will support municipal authorities to translate their ambitions to reduce greenhouse gas (GHG) emissions into reality and enhance resilience to climate change impacts, while taking into account diversity on the ground. By joining the initiative, cities commit themselves to contribute to the EU's climate protection goals and to develop sustainable energy and climate plans.

Finally, in 2020, in line with the external dimension of the European Green Deal, the Green Agenda for the Western Balkans was adopted by the Commission in October, and endorsed by the leaders of the Western Balkans at the Sofia Summit in November 2020. The Green Agenda for the Western Balkans is based on continuous approximation with EU acquis, in line with numerous UN conventions, and international commitment such as Paris Agreement and Agenda 2030, and represents a true blueprint to guide action, both domestic and with international support. Climate action and clean energy transition are at the core of the Green Agenda, together with circular economy, depollution, sustainable food system and rural areas, and biodiversity.

At the bilateral level, several projects contribute to decarbonisation and enhancing resilience to the impacts of climate change, across a variety of sectors. The most important sector supporting mitigation is the energy sector, where energy efficiency and renewable energy projects contribute to enhancing access to energy and reducing energy poverty, while at the same time combating climate change. For instance, the first Energy Efficiency Fund in Kosovo\* is the main financing instrument to boost investments in energy efficiency measures in public buildings in Kosovo municipalities, thus also contributing to improving air quality in urban areas. The fund was established in 2019, with an initial capital of EUR 16 million (EU grant of EUR 10 million (IPA 2017), World Bank loan EUR 5 million, Kosovo grant EUR 1 million). This initial capital is sufficient to implement around 50 energy efficiency projects mainly in public buildings. The Fund will operate on revolving basis based on the concept prepared jointly by EU funded assistance, World Bank and Kosovo authorities. During the reporting period, the EU and the government of Kosovo signed an agreement to entrust the management of the Fund to the World Bank, and the first call for proposals addressed to municipalities was launched, attracting more than 100 project proposals. The selection of the projects to be financed is in progress. It is foreseen to extend the Fund to the residential sector.

When it comes to enhancing resilience to climate change, actions in the area of disaster risk reduction, environmental protection, and boosting nature based solutions all play an important role. In this regard, approximating the EU environment acquis is a significant contribution. For instance, in Montenegro, the EU acquis chapter in Environment was formally opened in December 2018. One of the on-going projects in the sector focuses on the implementation of the EU's Water Framework Directive. In practice, this is a result orientated project, building capacity of beneficiaries while supporting integrated planning. In 2020, water management plans and river basin management plans were established, thus addressing in an integrated manner the management of water resources, including for flood protection. The project also in terms of performance focused on a number of sub objectives, including the definition and delineation of water bodies, reference conditions and monitoring systems. This project, its outputs and outcomes in terms of achievement, have potentially huge positive outcomes for the country's citizens as well as the environment in Montenegro.

## 6.2. Contribution to biodiversity mainstreaming

### 6.2.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
	2022	2023	2024	2025	2026	2027	
50,1	51,1	52,2	59,1	60,3	82,0	83,7	438,5

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.2.2. Explanation and justification on the financial contribution

These actions would primarily contribute to Specific Objective 4 of IPA III (to strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society). However, the principle of “do no harm” should also be applied under all Specific Objectives.

Biodiversity and ecosystem protection and restoration are key pillars of the Green Agenda for the Western Balkans. The thematic window “Green Agenda and sustainable connectivity” will be the primary entry point for supporting action in the area of ecosystems and biodiversity.

### 6.2.3. Key achievements

For the 2014-2020 period, EUR 281.5 million (2.7% of the IPA III operational commitments)<sup>12</sup> - whereas several other projects also contributed to the sustainable management of natural resources across sectors of intervention). This represents a significant increase over time – from EUR 23.4 million in 2015-2016 to EUR 105 million in 2019-2020, reflecting the increasing importance of biodiversity protection and sustainable management in the region.

Estimates reflect the OECD/DAC reporting methodology for the Rio-marker on bio-diversity. The budget of interventions contributing to climate change is weighted 100 % if biodiversity is the ‘principal objective’ of the action and 40 % if biodiversity is a ‘significant objective’.

In 2019, 28 000 ha of agricultural and pastoral ecosystems benefited from sustainable management practices introduced with EU support. At the country level, the EU also supported the establishment of protected areas: for instance, in North Macedonia, 241,755.42 ha of protected areas benefitted from improved management thanks to EU support, with an integrated approach to ecosystems, specific and their habitats

### 6.2.4. Performance

The EU’s immediate neighbourhood is of strategic importance for the EU. There can be no effective green transition without similar action in our immediate neighbourhood - with whom we share rivers, forests, seas and air. The EU Biodiversity Strategy for 2030 requires all of the EU neighbourhood countries on board, particularly those aspiring to EU membership.

Biodiversity and ecosystem conservation and restoration enjoy high-level political support in the Western Balkans and Turkey. For instance, three partners have joined the high ambition coalition on biodiversity: Albania, Bosnia and Herzegovina, and Montenegro.

Partner economies covered by enlargement and neighbourhood policies benefit from strong EU support through well-established policy and regulatory frameworks (i.e. linked to EU acquis and international conventions), as well as robust financial support and technical assistance. Through IPA II, significant assistance was provided on biodiversity.

In Turkey and Western Balkans –biodiversity hotspots - specific support is provided to approximate further with the EU’s acquis on nature, notably the EU Birds and Habitats Directive, as well as to prepare for the designation of Natura 2000 sites. Technical assistance targets, among others, management of protected areas, addressing invasive species and forestry management. Considerable progress has been made in terms of acquis alignment, but challenges remain to ensure its effective implementation, for instance with respect to illegal logging and the use of environmental impact assessment.

For instance, through the multi-annual programme on environment, the action “Improving the management of protected areas” (EUR 4 million) promotes the sustainable use of natural resources in North Macedonia. The project aims at improving the management of the protected areas in an inclusive, professional and sustainable way. The knowledge base was extended with a comprehensive analysis of the geodiversity and biodiversity of different sites, and the assessment of water resources’ quality. The EU funds supported the creation of modern and safe hiking and biking trails, an arboretum and botanical gardens of local endemic flora, a fully equipped training centres for speleologists. Over 300 collectors of forest products and herbs, operating in protected areas were trained on performing their activities with a respect and care to the environment. 3D virtual tours were created to promote the protected areas sites amongst scientists and tourists. The project was very successful in promoting the sustainable use of natural resources. It demonstrated, through practical examples, that nature protection and the economic development of communities can go hand in hand.

### 6.3. Contribution to clean air financing

Not applicable

<sup>12</sup> Reporting on 2020 is still ongoing.

## 6.4. Contribution to gender equality

### 6.4.1. Tracking and estimates

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

### 6.4.2. Key achievements and performance

The Commission is committed to the implementation of EU Gender Action Plan II, 2016-2020 (GAP II), as well as the promotion of gender equality and women's empowerment in international fora and agendas. The GAP was endorsed on October 26, 2015 by the Council which confirmed in its Conclusions that gender equality is at the core of European values and enshrined within the EU legal and political framework. A number of actions to address gender equality, such as the implementation of specific programs on gender equality, are undertaken: for example, IPA II funded 'Ending Violence against Women in the Western Balkans and Turkey: Implementing Norms, Changing Minds' (EUR 5 million) programme gives a particular focus to the most disadvantaged groups of women.

In 2019, gender commitments under IPA amounted to EUR 763,33million, an increase compare to 2018 (EUR 587 million).

Data reflect the OECD/DAC reporting methodology. The budget of marked actions is weighted 100 % if gender equality is marked as 'principal objective' and 40 % if it is marked as 'significant objective'. Gender markers apply to actions funded in all sectors respectively specific objectives.

Preventing and responding to violence against women and girls continued to be one of the EU's main priorities. In the Enlargement region, as part of the EU COVID-19 response, the project "Ending violence against women in the Western Balkan and Turkey: "Implementing Norms, Changing Minds, Phase II, received additional funding, bringing the total EU contribution to EUR 6.25 million. The Western Balkans and Turkey involved in the action have normative frameworks that better promote gender equality and non-discrimination against all women and girls. A total of 196 CSOs and CSO networks were directly supported by the programme are engaged in monitoring and reporting on CEDAW and the Istanbul Convention.

In the area of socio and economic development, in Albania, the EU supported the programme Social Inclusion (2020-2024) and topped up with 20,65M EUR to respond to the emergency measures targeting economic aid and support to employees of small and large businesses affected by Covid 19 taking into account gender as a cross cutting issue. 75,615 families were supported through measures related to economic aid financial assistance, 173,091 employees benefited from measures related to support to businesses affected by COVID 19.

## 6.5. Contribution to the sustainable development goals

### 6.5.1. Goals

Not applicable

### 6.5.2. Key achievements and performance

The Enlargement policy under the Multi-Annual Financial Framework 2021-2027 continues supporting the progress of candidate countries and potential candidates towards meeting the political and economic criteria for accession as well as their ability to align with, implement and enforce EU rules and regulations. As in 2014-2020, the new MFF has a strong focus on the fundamentals of the rule of law, human rights, public administration reform and economic governance. In addition, as a consequence of the COVID-19 and its disruptive effect on the socio-economic landscape of the enlargement countries, the new MFF strengthens its focus on economic recovery and social cohesion, namely supporting the implementation of the Economic and Investment Plan for the Western Balkans. The Plan aims at spurring the long-term recovery of the region, supporting a green and digital transition, boosting economic growth and supporting reforms to move forward on the EU path, including bringing the Western Balkans closer to the EU Single Market and the latest EU policy developments such as the European Green Deal.

### SDG 5 Achieve equality and empower all women and girls

Under IPAIL, programmes focusing on prevention and responding to violence against women and girls continued to be a priority in the Enlargement region. IPA support contributed to establishing comprehensive services to support gender-based violence survivors, discussing gender discriminatory norms and stereotypes and promoting positive masculinities.

The cooperation of the European Institute of Gender Equality (EIGE) with the EU candidate and potential candidate countries aimed to improve monitoring of gender equality progress using the Gender Equality Index. This gives more visibility to areas that need improvement and ultimately supports policy makers to design more effective gender equality measures.

Actions in support to Roma women have been implemented all over the enlargement region with special focus on education and employment. The third edition of the EU Award for Roma Integration in 2019 was dedicated to individual Roma women grassroots activists who brought significant changes to their communities. Out of 105 applications, 14 nominated Roma women were selected for their contributions to the inclusion, integration and empowerment of Roma in their communities and societies. Quality education and vocational training continued to be targeted actions, in the framework of Roma empowerment programmes and education and reintegration of returnees in Western Balkans.

### **SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all**

In the period 2014-2020, the 2018 strategy for the Western Balkans supported SDG 8 through the ‘flagship initiative to enhance support for socioeconomic development’. A recent example of support in this area in 2020, is the approval of the “Youth Lab” in the Western Balkans, a regional programme aiming to improve the situation for returnees from the EU to the Western Balkans.

Under the MFF 2021-2027, the Economic and Investment Plan facilitates through its new flagship initiatives increased investment and socio-economic development. A substantial investment package articulated around ten indicative investment flagships supports the development of connected, green, competitive and thriving economies in the Western Balkans, with an increasingly dynamic private sector and a stronger human capital development. The Economic and Investment Plan also aims at boosting private sector development and employment through its flagship initiatives 9 ‘private sector competitiveness’ and 10 ‘youth guarantee’.

Besides contributing to the achievement of SDG 8, the Plan also contributes to SDG 6 (clean water and sanitation), SDGs 7 (affordable and clean energy) and SDG 9 (industry, innovation and infrastructure).

### **SDG 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation**

In the period 2014-2020, IPAII contributed to supporting sustainable infrastructure, inclusive industrialisation, and innovation. As an example, after the strong earthquake that affected Albania on 26 November 2019, the EU and other international partners supported the Albania to recover from the damages. One year later, the EU translated its EUR 115 million pledge into two programmes to help Albania recover from the shock and increase resilience to natural disasters. The EU4Schools programme has supported reconstructing and repairing education facilities damaged by the earthquake. Also, the EU4Culture programme has supported the rehabilitation of the cultural heritage sites gravely damaged by the earthquake, as well as economic activities to support tourism on these sites.

Equally, the EU4Schools programme has supported the rehabilitation of over 58 educational facilities, including primary and secondary schools, kindergartens, dormitories and VET schools in the 11 municipalities affected by the quake. The programme integrates accessibility with environmental protection, disaster risk reduction, and sustainability.

Under the MFF 2021-2021, the External Action Guarantee (EAG), named the ‘Western Balkans Guarantee Facility’ and financed by NDICI and IPA III, is key to tackle the COVID-19 hard socio-economic impact in the Western Balkans. The facility aims at modernising the economies in the region, supporting the necessary socio-economic reforms, reducing the development gap and supporting the twin green and digital transition. The Economic and Investment Plan also aims at facilitating increased investment in infrastructure, industrialisation and innovation through its flagship initiatives 1-3 (connecting East to West, North to South and coastal regions) and 8 (digital infrastructure).

### **SDG 13 Take urgent action to combat climate change and its impacts**

Under IPAII, support to the environment and fighting climate change, as part of the IPAII contribution to SDG 13, have been priorities in the Western Balkans. To illustrate progress in this area, in Montenegro the environment related EU acquis chapter was opened in December 2018, and there is a number of ongoing projects contributing for instance to the implementation of the EU’s Water Framework Directive. In practice, this is a result-orientated project, which is helping to establish water management plans and monitoring systems. The outcomes of this project are expected to have a positive impact that will benefit both Montenegro’s environment and its citizens.

Through the multi-annual programme on environment, the action “Improving the management of protected areas” promotes the sustainable use of natural resources in North Macedonia. EUR 4 million were invested in improving the management of the protected areas in an inclusive, professional and sustainable way.

The MFF 2021-2027 also supports the actions on the ‘Guidelines for the Implementation of the Green Agenda for the Western Balkans’, accompanying the ‘Economic and Investment Plan’. The Guidelines cover the alignment of the Western Balkans with the goals of the European Green Deal: (1) climate action, including decarbonisation, energy and mobility; (2) circular economy, addressing in particular waste, recycling, sustainable production and efficient use of resources; (3) biodiversity, aiming to protect and restore the natural wealth of the region; (4) fighting pollution of air, water and soil; and (5) sustainable food systems and rural areas. In addition, the Economic and Investment Plan, also contributes to SDGs 7 through the flagship initiatives 4 ‘renewable energies’, 5 ‘transition from coal’ and 6 ‘renovation wave’; and to SDG 6 through flagship initiative 7 ‘waste and water waste

management'. On their hand, the Guidelines also contribute to the achievement of SDGs 6 (clean water and sanitation), SDG 7 (affordable and clean energy), SDG 11 (sustainable cities and communities), SDG 12 (responsible consumption and production), SDG 14 (life below water) and SDG 15 (life on land).

Further programmes and projects contributing to SDG 13 should be either launched in 2021, or are currently being planned. There are strong donor coordination efforts in the region in the field of environment and climate change, and this is an important area of coordination with the European Investment Bank, the European Bank for Reconstruction and Development, the World Bank and KfW among others.

**SDG 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels**

Under the MFF 2014-2020, the 2018 strategy for the Western Balkans provided a significant contribution to the achievement of SDG 16 through the 'flagship initiative to strengthen the rule of law; the 'flagship initiative to reinforce engagement on security and migration' and the 'flagship initiative to support reconciliation and good neighbourly relations'.

To illustrate support in this area, one example is the EU assistance to Albania in 2020, which has contributed to ensure ability of the country to deliver on key reforms necessary to advance on the European path. This includes support in the field of justice reform, notably in the 'vetting' of judges and prosecutors, and supporting the specialised structures against corruption and organised crime (SPAK and SPAK courts). In Bosnia and Herzegovina, in the area of Rule of Law IPAII supported the 'criminal justice chain', institutions, including law enforcement agencies, prosecutors and judges, for a more effective response to serious crimes.

Under the MFF 2021-2027, pursuing reforms in the area of rule of law, fundamental rights, democracy and security remains one of the most pressing issues for the Western Balkans and Turkey. It is also the key benchmark against which the partners' preparedness for becoming an EU Member State will be measured by the EU.

**HEADING S: Solidarity mechanisms within and outside the Union (Special instruments)****European Globalisation Adjustment Fund for Displaced Workers (EGF)****Lead DG:EMPL**

Associated DGs:REBU

1. Overview .....	1315
1.1. Challenges .....	1315
1.2. Mission (general objectives) .....	1316
1.3. Specific objectives .....	1316
1.4. Public intervention context .....	1316
1.5. Actions .....	1316
1.6. Delivery mode .....	1317
1.7. Graphic overview of the programme structure .....	1317
1.8. Legal basis and financial programming .....	1317
1.9. Link with the 2014-2020 MFF .....	1317
1.10. Relevant websites providing more information .....	1318
2. Where are we in the implementation ? .....	1318
2.1. Programme 2021-2027 .....	1318
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1318
3. How is the programme performing ? .....	1319
3.1. Performance .....	1319
3.2. Key achievements .....	1320
3.3. Evaluations, studies and reports .....	1320
4. Programme 2021-2027 - Key monitoring indicators .....	1321
Specific Objective 1 :EGF common indicators: change in the participants education/training and labour market situation .....	1321
5. Programme 2014-2020 - Key monitoring indicators .....	1324
Previous Program 1 : European Globalisation Adjustment Fund (EGF) .....	1324
Specific Objective 1 :To contribute to smart, inclusive and sustainable economic growth and to promote sustainable employment in the Union by enabling the Union to demonstrate solidarity towards and to support workers made redundant and self-employed persons whose activity has ceased as a result of major structural changes in world trade patterns due to globalisation, as a result of a continuation of the global financial and economic crisis addressed in Regulation (EC) No 546/2009, or as a result of a new global financial and economic crisis .....	1324
6. The programme contribution to horizontal policies .....	1325
6.1. Contribution to climate mainstreaming .....	1325
6.2. Contribution to biodiversity mainstreaming .....	1325
6.3. Contribution to clean air financing .....	1325
6.4. Contribution to gender equality .....	1325
6.5. Contribution to the sustainable development goals .....	1325

**1. Overview****1.1. Challenges**

Globalisation and technological change are likely to increase further the interconnectedness and interdependence of world economies. Labour reallocation is an integral and inevitable part of such economic change.

As the current benefits of globalisation are already unequally distributed among people and regions, causing a significant impact on those adversely affected, there is a danger that the ever faster evolving technological advances will further fuel these effects.

If the benefits of change are to be distributed fairly, offering assistance to displaced workers is of utmost importance. The Union continues to provide specific, one-off support to facilitate the re-integration into employment of displaced workers in areas, sectors, territories or labour markets suffering a shock of serious economic disruption.

## 1.2. Mission (general objectives)

The European Globalisation Adjustment Fund for Displaced Workers (EGF) aims at supporting socioeconomic transformations that are the result of globalisation and of technological and environmental changes by helping displaced workers and self-employed adapt to structural change. The EGF is an emergency fund that operates reactively. It contributes to the implementation of the principles defined under the European Pillar of Social Rights<sup>1</sup> and enhances social and economic cohesion among regions and Member States.

## 1.3. Specific objectives

The European Pillar of Social Rights consists of 20 principles structured around 3 categories: equal opportunities and access to the labour market, fair working conditions, and social protection and inclusion. It acts as an overarching guiding framework of the EGF, which can help setting the relevant principles into practice in the case of major restructuring events, and contribute to a greener, more digital and resilient Union.

The EGF's objective of improving participants' education/training and labour market situation has two dimensions: solidarity and promotion of decent and sustainable employment.

## 1.4. Public intervention context

The employment policies are a shared competence between the Union and the Member States<sup>2</sup>. The two parties shall work towards developing a coordinated strategy for employment and particularly for promoting a skilled, trained and adaptable workforce, and labour markets' responsiveness to economic change with a view to achieving economic, social and territorial cohesion in the EU. The Union shall contribute to a high level of employment by supporting and, if necessary, complementing Member State's action<sup>3</sup>.

In compliance with the principles of subsidiarity and proportionality<sup>4</sup>, funding from the Union budget concentrates on activities whose objectives cannot be sufficiently achieved by the Member States alone and where the Union intervention can bring additional value compared to action of Member States alone.

Therefore, the mobilisation of the EGF to co-finance measures to support redundant workers can be justified in case of major restructuring events that, by their scale and effects, cause a significant impact and can test the limits of what regular national labour market programmes are able to provide to assist displaced workers. Assistance from the EGF is always offered in addition to the efforts of the Member States at national, regional and local level. The EGF generates European added value by increasing the number, variety and intensity of services offered to even more dismissed workers and for a longer period of time than would be possible without EGF funding<sup>5</sup>.

The Multiannual Financial Framework and the Interinstitutional Agreement<sup>6</sup> between the European Parliament, Council and the European Commission determine the budgetary framework of the EGF. The objective, scope and conditions for the mobilisation are set out in the EGF Regulation<sup>7</sup>. For each eligible case, the EGF is mobilised jointly by the European Parliament and Council through a decision adopted in accordance with the provisions of the EGF Regulation and a transfer from the reserve budget line to the EGF operational budget line.

EGF's design shows a clear complementarity with the more preventive assistance offered by the European Social Fund+ (ESF+) which consists of multiannual programmes that support long-term goals such as the anticipation and management of changes and restructuring. Unlike ESF+, EGF is established to provide support in exceptional circumstances and outside a multiannual programming scheme. EGF and ESF+ measures are sometimes used by Member States to complement each other to provide both short and long-term solutions.

## 1.5. Actions

The EGF co-finances coordinated packages of personalised services designed to facilitate the re-integration of the targeted beneficiaries, in particular, the most disadvantaged among them, into employment or self employment. The main focus is on active labour market measures (e.g. training and retraining, job-search assistance, outplacement assistance, aid for self-employment or business start-ups). Assistance is granted for a limited period.

The EGF adds to existing mainstream restructuring assistance programmes and services of labour market actors without replacing existing resources.

<sup>1</sup> [https://ec.europa.eu/info/european-pillar-social-rights/european-pillar-social-rights-20-principles\\_en](https://ec.europa.eu/info/european-pillar-social-rights/european-pillar-social-rights-20-principles_en)

<sup>2</sup> Articles 2 to 5 of the Treaty on the Functioning of the European Union.

<sup>3</sup> Articles 145 and 147 of the Treaty on the Functioning of the European Union.

<sup>4</sup> Article 5 of the Treaties (2002) C 325/01.

<sup>5</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018SC0192&from=EN>

<sup>6</sup> [https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:3201600512\(01\)&from=EN](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:3201600512(01)&from=EN)

<sup>7</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=COM:2018:380:FIN>

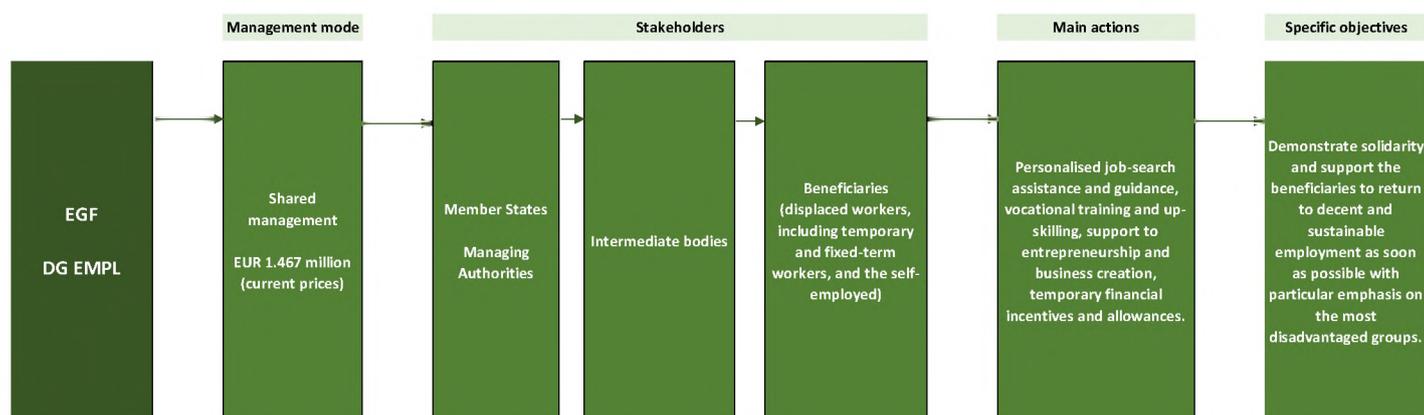
The main actions provided through EGF include personalised job-search assistance and guidance, vocational training and up-skilling, support to entrepreneurship and business creation, and temporary financial incentives and allowances.

## 1.6. Delivery mode

Shared management

Lead DG: Employment, Social Affairs and Inclusion

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Regulation (EU) 2021/691 of the European Parliament and of the Council of 28 April 2021 on the European Globalisation Adjustment Fund for Displaced Workers (EGF) and repealing Regulation (EU) No 1309/2013 Regulation (EU) 2021/691 of the European Parliament and of the Council of 28 April 2021 on the European Globalisation Adjustment Fund for Displaced Workers (EGF) and repealing Regulation (EU) No 1309/2013	2021 - 2027	

### 1.8.2. Legal basis explanation

If specific actions prove necessary outside the Structural Funds and without prejudice to the measures decided upon within the framework of the other policies of the Union, Article 175(3) of the Treaty on the Functioning of the European Union allows the European Parliament and the Council to take action in accordance with the ordinary legislative procedure and after consulting the European Economic and Social Committee and the European Committee of the Regions.

In addition to the legal basis mentioned above, the Regulation of the European Parliament and of the Council on the European Globalisation Adjustment Fund (EGF) for 2014-2020 and the compromise text reached on the 2021-2027 EGF Regulation provide provisions on eligibility criteria, management, financial contribution, reporting, evaluation and auditing rules.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							
	2021	DB2022	2023	2024	2025	2026	2027	Total Programme
<b>Total</b>	197,4	201,3	205,4	209,5	213,7	217,9	222,3	1 467,4

### 1.8.4. Financial programming explanation

The multiannual financial framework (MFF) 2021-2027 underlines the EGF's special character as an emergency relief instrument and maintains it as one of the special instruments outside the budgetary ceilings of the MFF. As such, the EGF does not have financial programming. The MFF Regulation adopted on 17 December 2020 sets an average annual ceiling of EUR 209.6 million (current prices) for the EGF for the 2021-2027 period.

## 1.9. Link with the 2014-2020 MFF

On 2 May 2018, the Commission adopted a proposal for the 2021-2027 multiannual financial framework, amended in June 2020. The proposal reflects the current social and economic context and provides a concrete response to the call from the European public for a more social Europe and for greater investment in people in the European Union.

The agreement reached by the co-legislators in December 2020 on the EGF regulation 2021-2027 will enable DG EMPL to continue providing timely assistance to displaced workers. The adoption of the regulation is expected in spring 2021.

Given that the purpose of the EGF is to rapidly provide financial support in situations of urgency, it remains outside the budgetary ceilings of the MFF. The EGF, if needed, can mobilise a maximum amount of EUR 1 467 million (in current prices) for the 2021-2027 period. To ensure that the EGF intervenes more effectively, is more inclusive and flexible to respond to current and future economic challenges (such as automation and digitalisation, the transition to low carbon economy etc.), the scope of the EGF has been extended to any type of major restructuring event (regardless the cause) and the threshold has been lowered from 500 in the 2014-2020 programming period to 200 displaced workers in the 2021-2027 period. Moreover, the EGF co-financing rate has been aligned with the highest ESF+ co-financing rate in the respective Member State.

### 1.10. Relevant websites providing more information

<https://ec.europa.eu/social/main.jsp?catId=326&langId=en>

*The website provides information on the objectives, measures and potential beneficiaries of the EGF. Users can also find the EGF Regulation, FAQ, contact persons in the EU countries and detailed information on all EGF applications. Furthermore, the website includes links to publications, news and events related to EGF.*

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

In 2021, the Commission will continue the assessment and adoption of proposals for mobilizing the EGF, following six applications (four of which are COVID-19 related) received at the end of 2020. The year 2021 will be also marked by the transition to the new Regulation, which will enable more workers to benefit from EGF and will co-finance the cost of support services at a higher rate in many Member States. Under the new rules, all reasons for restructuring, including the economic effects of the COVID-19 crisis, as well as larger economic trends like decarbonisation and automation, are eligible for support. This comes on top of other reasons like changing trade patterns or consequences of the financial and economic crisis for which workers could receive support from the EGF under the provisions of the previous Regulation.

In order to foster the exchange of best practices and discuss issues of common interest, the Commission organises EGF Contact Persons' meetings inviting the Member States' representatives responsible for managing the EGF cases in the respective countries. In 2021, this meeting will have to be organised remotely in the first semester and will mainly focus on the new EGF Regulation.

In 2021 and 2022, given the gravity of the socioeconomic consequences of the COVID-19 crisis, the EGF will provide continued support to workers who have lost their jobs as result of major restructuring events. It is expected that broadening the scope and lowering the threshold (enabling an application) of dismissed workers to 200, will make the fund more inclusive and more accessible, potentially triggering a higher number of applications from Member States than it would have under the 2014-2020 Regulation in the same circumstances.

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

	Commitments	Payments
Implementation Voted budget	151 368 224	19 677 263
Implementation Carry-overs	8 334 000	9 799 742
Implementation Recoveries and Repaid advances		129 626 981
Implementation total	159 702 224	159 103 986
total envelop*	1 142 191 067	
cumulative implementation rate	14%	14%

\* based on the total financial programming 2014-2020 = cumulative total of annual last adopted budgets 2014-2020

In 2020, seven applications were submitted by six Member States (Belgium, Estonia, Finland, Germany, the Netherlands and Spain), out of which four were submitted in relation to the repercussions of the global economic and financial crisis, and two under the trade related globalisation criterion. One application (from Spain) was adopted in 2020.

The COVID-19 crisis has led to considerable job losses, which may affect persons who have previously benefitted from EGF support and thus can impact the long-term re-integration results of the EGF. This trend was also confirmed by the final reports received in 2020, which showed that on average only 45% of beneficiaries, compared to 65% in 2019, have found a new employment following EGF implementation.

Furthermore, the restriction of movements and the ban on gatherings has had a significant impact on the implementation of ongoing EGF funding actions. A number of measures that required personal contact and could not be pursued online, as well as management and control activities, have had to be suspended. The principle of force majeure has been applied in two cases, which consisted in temporary suspension of deadlines set in the Regulation.

As a general rule, the cumulative implementation rate for EGF does not factor in the recoveries from pre-financing as the amounts are only known two years and a half after the pre-financing was paid. This means that the cumulative implementation rate shows the payments made by the Commission for the EGF cases from a cash perspective while the actual amount mobilized is less and only known at a later stage.

### **3. How is the programme performing ?**

#### **3.1. Performance**

##### **3.1.1. Introduction**

The EGF contributes to smart, inclusive and sustainable economic growth and promotes sustainable employment in the Union by enabling it to demonstrate solidarity towards and to support workers made redundant and self-employed persons whose activity has ceased as a result of major restructuring. The fund contributes also to the implementation of the principles defined under the European Pillar of Social Rights and enhanced social and economic cohesion among regions and Member States.

##### **3.1.2. Active programme performance**

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

##### **3.1.3. Previous programme performance**

Between 2014 and 2020, funding from the EGF supported 55 168 targeted workers and 4 099 young people not in employment, education or training in 52 different economic sectors. According to the final reports on the implementation of the EGF cases received during the 2014-2020 period, on average 60% of the workers who have been assisted have taken up new employment following an intervention from the EGF. However, the reintegration rate in individual cases varied from 28% to 92%, depending on the economic sector and the area concerned, as it is influenced by the absorption capacities of local and regional labour markets. The rates are also influenced by the profile of the dismissed workers and the skill set sought on the local job market. Taking into consideration that the beneficiaries supported by EGF co-funded measures are usually among those facing the greatest difficulties on the labour market, these results are very encouraging. It is worth mentioning that while assessing the applications for the EGF funding, the Commission advises that the measures should reflect the prospected needs of the local or regional labour market. The quantitative information on the assistance given will be complemented with qualitative information from 2021 onwards as the agreement reached by the co-legislators in December 2020 on the 2021-2027 EGF Regulation will enable the collection of such information through beneficiary surveys to offer an overview of the EGF performance.

As a special instrument applied in unforeseen circumstances, the EGF is only mobilised if a Member State requests EGF funding. It helps Member States overcome the worst of the short-term shock of mass redundancy and so it is limited to a 24 months period. Therefore, the number of EGF applications has always been highly cyclical, following economic trends. It was observed that the highest number of applications was submitted in 2014 as a continuation of the 2008 global financial crisis, compared to the lowest in 2019, which reflected overall improvement of the economic situation in the Member States that facilitates the reintegration of workers into the labour market.

The end of the programming period and especially 2020 was impacted by the COVID-19 outbreak. A number of measures that required personal contact and couldn't be pursued online, as well as management and control activities have had to be suspended. The principle of force majeure has been applied in two cases, which consisted in temporary suspension of deadlines set in the

Regulation. The relatively lower (45%) than in the previous year (65%) average reintegration rate reported by the Member States in 2020, is a consequence of the challenging situation on the labour market caused by pandemic crisis.

In 2020, a contractor carried out a study, at the request of the Commission, supporting the ex post evaluation of the EGF<sup>8</sup> to assess to what extent the fund has attained its objectives during the 2014-2020 period. The final assessment will be published in the form of a Commission Staff Working Document by the end of 2021. The key findings of the study show that the results of the EGF are often better than what can be achieved by national support measures mainly because the EGF provides very targeted, tailored and individualized support to beneficiaries. On, average, the reintegration rate of EGF beneficiaries, which is the main indicator of the fund's effectiveness, is 60%. The effectiveness of the EGF in terms of helping workers returning to work is strongly influenced by external factors (i.e. local labour market demand). Therefore, the external evaluators pointed out that the success of the EGF should not be only measured by number of reintegrated workers but rather should consider the more long-lasting effects like new skills, qualifications, self-confidence and social networks gained from participation in EGF measures. However, more could be done to improve the visibility of the outcomes of EGF cases.

As to the added value of the EGF, the study shows that the fund clearly adds value over and above what could be achieved by Member States alone by: increasing the number and variety of services offered; helping a larger number of workers and self-employed; allowing experimentation with 'new' measures; and strengthening partnerships between stakeholders (e.g. governmental bodies and worker's organisations or training providers) that continue to exist after the end of the EGF co-financed measures.

According to the external evaluators, a faster decision-making process at EU level, and simplified application process requiring less evidence and statistics would help improving the efficiency of the fund and will lift a barrier that prevents some Member States from applying for EGF support.

These recommendations were identified already in the mid-term evaluation and have been taken into consideration in the compromised text for the 2021-2027 EGF Regulation where the scope was broadened and the administrative burden of having to demonstrate that job losses were caused by globalisation or a crisis were eliminated. Consequently, this simplification is expected to speed up the mobilisation of the EGF assistance and improve its efficiency.

Besides the simplification measures from the compromised text on 2021-2027 Regulation, the COVID-19 outbreak is expected to lead to an increase number of applications for EGF support in the coming years.

### 3.2. Key achievements

<b>55</b>	<b>55 168</b>	<b>4 099</b>	<b>EUR 175 220 016</b>	<b>60%</b>
<b>applications received, excluding those withdrawn or rejected, between 2014 and 2020</b>	<b>workers targeted between 2014 and 2020</b>	<b>young people not in employment, education or training targeted between 2014 and 2020</b>	<b>of EGF contribution requested by 12 Member States between 2014 and 2020</b>	<b>average of beneficiaries who found employment following EGF intervention between 2014 and 2020</b>

The overall aim of the EGF is to ensure that the largest possible number of beneficiaries find sustainable employment as soon as possible. The main sources of information on the results achieved by the EGF are the final reports submitted by the Member States, six months after the end of the implementation.

### 3.3. Evaluations, studies and reports

In 2020, in accordance with the EGF Regulation, the Commission contracted an external study supporting the ex post evaluation of the EGF<sup>9</sup>. The evaluation study assessed to what extent the EGF has attained its objectives during the 2014-2020 period. The aim of the evaluation was to scrutinise the effectiveness, sustainability, efficiency, coherence, relevance and EU added value of the fund.

The evidence base consisted of desk-based research, targeted surveys and in-depth interviews with EU and national level stakeholders and end beneficiaries of the Fund, and a public consultation.

<sup>8</sup> <https://ec.europa.eu/social/main.jsp?catId=738&langId=en&pubId=8371&furtherPubs=yes>

<sup>9</sup> idem

According to the external study findings, the EGF has been successful in providing support to and showing solidarity with workers, self-employed persons, and (in some cases) young persons (so called 'NEETs') affected by major restructuring events. The EGF allows Member States to provide better quality measures for more targeted beneficiaries and for longer than would be possible without EGF funding. The average re-integration rate across all EGF cases from 2014-2020 is around 60%, but ranges from a low of 18% to a high of 94% for different cases. The fund remains relevant and useful, although there is room to reconsider its scope in terms of whom it targets and under what circumstances; to simplify or shorten administrative procedures; and to better monitor the results of the interventions.

The final assessment will be published in the form of a Commission Staff Working Document by the end of 2021.

#### **4. Programme 2021-2027 - Key monitoring indicators**

##### **Specific Objective 1 :EGF common indicators: change in the participants education/training and labour market situation**

###### **Indicator 1: Total EGF beneficiaries in a given case**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of beneficiaries (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not possible for the EGF. The baseline can be set after all final reports from 2014-2020 programming period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

###### **Indicator 2: Beneficiaries by employment status (unemployed/inactive/employed (dependent)/self-employed)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of beneficiaries (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not relevant for the EGF. The baseline can be set after all final reports from 2014-2020 programming period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less

	favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

**Indicator 3: Beneficiaries by gender (female/male/non binary)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of beneficiaries (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not relevant for the EGF. The baseline can be set after all final reports from 2014-2020 programming period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

**Indicator 4: Beneficiaries by age group (below 30 years/above 54 years)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of beneficiaries (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not relevant for the EGF. The baseline can be set after all final reports from 2014-2020 programming period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

**Indicator 5: Beneficiaries by education level (with lower secondary education or less/with upper secondary or post-secondary education/ with tertiary education)**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of beneficiaries (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not relevant for the EGF. The baseline can be set after all final reports from 2014-2020 programming period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

**Indicator 6:Percentage of EGF beneficiaries who gained a qualification**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not relevant for the EGF. The baseline can be set after all final reports from 2014-2020 programming period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

**Indicator 7:Percentage of EGF beneficiaries in education or training**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not relevant for the EGF. The baseline can be set after all final reports from 2014-2020 programming

	period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

### Indicator 8: Percentage of EGF beneficiaries in employment (dependent/self-employed)

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Percentage (cumulative)
Cut-Off Date	31/12/2021
Data source	Competent authority of the Member State, for a given case.
Link to the objective	Assistance in case of major restructuring events of unexpected nature, such as the economic crisis resulting from the COVID-19 pandemic.
Link MFF 14-20 / MFF 21-27	The indicator was followed also in the 2014-2020 period.
Other methodological comments	The actions covered by the EGF are, by definition, not programmable because restructuring events giving rise to the redundancies are unexpected. Therefore, defining in advance how many mass redundancy events will take place in any given year and what would be the profile of beneficiaries is not relevant for the EGF. The baseline can be set after all final reports from 2014-2020 programming period have been submitted to the Commission by the Member States (i.e. mid-2023). The historical success rate will not be adjusted in case the expected macroeconomic environment turns to be less favourable in the EU labour market and job-placements become more difficult, due to current or future crises. The indicator will not have milestones.
Full metadata available at this address	
Justification of the trend	

## 5. Programme 2014-2020 - Key monitoring indicators

### Previous Program 1 : European Globalisation Adjustment Fund (EGF)

**Specific Objective 1 :To contribute to smart, inclusive and sustainable economic growth and to promote sustainable employment in the Union by enabling the Union to demonstrate solidarity towards and to support workers made redundant and self-employed persons whose activity has ceased as a result of major structural changes in world trade patterns due to globalisation, as a result of a continuation of the global financial and economic crisis addressed in Regulation (EC) No 546/2009, or as a result of a new global financial and economic crisis**

### Indicator 1: Proportion of redundant workers reintegrated into employment following EGF supported measures

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
2012	Milestones									2020
0,47				0,49			0,5			0,5
	Actual Progress									Final
	0,49		0,47		0,67	0,65	0,45			

Are we on track	Moderate progress
Indicator type	Result
Unit of measurement	Percentage (yearly)
Cut-Off Date	31/12/2020
Data source	The results reported by the Member States in their final reports submitted to the Commission by calendar year.
Narrative	The decrease of reintegration rate results mostly from the economic downturn caused by the COVID-19 outbreak and the measures taken by the Member States to contain the virus.
Methodology	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	The actual results, milestones and targets are yearly.

Full metadata available at this address	
Justification of the trend	The COVID-19 crisis has led to considerable job losses, which may affect persons who have previously benefitted from EGF support and thus can impact the long-term re-integration results of the EGF. This trend was also confirmed by the final reports received in 2020, which showed that on average only 45% of beneficiaries, compared to 65% in 2019, have found a new employment following EGF implementation.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

#### **6.1.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.1.2. Explanation and justification on the financial contribution**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

### **6.4. Contribution to gender equality**

#### **6.4.1. Tracking and estimates**

2021 estimates	2022-2027 programming						Total
2021	2022	2023	2024	2025	2026	2027	
0,0	0,0						0,0

(\*)Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

#### **6.4.2. Key achievements and performance**

The EGF Regulation provides for the Commission and the Member States to ensure that equality between men and women and the integration of the gender perspective are integral parts of and promoted during all stages of the implementation of the financial contribution from the EGF. To that end, the Member States formally confirm the respect of this principle at the time of application where they provide gender-disaggregated information of the workers targeted for assistance. This is, however, a general principle applied across the implementation and final reporting of the EGF cases and it is not relevant to estimate budget contributions.

Between 2014 and 2016, the greatest number of redundant workers benefiting from EGF support came from sectors, which traditionally employ more men than women (motor vehicles, computer, electronic, machinery and construction of buildings). As a consequence, most workers made redundant and then targeted by the EGF applications were male (75% men vs. 25% women). However, since 2017, a significant number of redundancies took place in sectors with high numbers of employed women (retail trade, call centre, wearing apparel, financial services and tourism related activities) hence 57% of men and 43% of women were targeted by the EGF between 2017-2020. In 31% of all EGF cases women represent at least 40% of the dismissed/targeted workers and in 20% of cases they are representing more than 50%.

### **6.5. Contribution to the sustainable development goals**

#### **6.5.1. Goals**

Not applicable

#### **6.5.2. Key achievements and performance**

***SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all***

The EGF contributes to ensuring inclusive and equitable quality education and promote lifelong learning opportunities for all through tailor-made trainings that aim at upgrading and updating skills and which are among the core measures offered by EGF assistance. Long-term educational programmes are also eligible for EGF funding. For example, in 2017 ‘Ericsson’ case in Sweden 80 EGF beneficiaries have increased portfolio of education to choose from, ranging from one-off training to full university degrees. EGF funding enabled the provisions that would not have been procured via the Public Employment Services.

In the 2019 ‘Goodyear’ EGF case in Germany, 60% of the targeted workers had no suitable qualification and used to held elementary occupations (including a high number of people with migrant background). Backed by EGF with EUR 2 165 231, one third of 622 beneficiaries upskilled and improved their employment level. Overall, 58% of the workers had found a new job while other 5% were participating in upskilling measures for a longer duration (e.g. getting a vocational qualification), by the reporting date.

***SDG 5 Achieve gender equality and empower all women and girls***

The EGF is helping to achieve gender equality by providing support to all dismissed workers. However, it has been observed that the greatest number of redundant workers benefiting from EGF support came from sectors, which traditionally employ more men than women (motor vehicles, computer, electronic, machinery and construction of buildings). However, since 2017, a significant number of redundancies took place in sectors with high numbers of employed women (retail trade, call centre, wearing apparel, financial services and tourism related activities). For example, in the 2017 ‘Retail’ case in Finland 1 173 women (representing 80% of total beneficiaries) were helped by EGF. EUR 2.5 million were mobilised from the EGF to support the ICT and language training, job and career coaching and job-seeking training. Overall, 84% of the beneficiaries had found a new job at the end of the implementation period.

***SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all***

As stipulated by the EGF Regulation, the aim of the fund is to contribute to smart, inclusive and sustainable economic growth and to promote sustainable employment in the EU by enabling the Union to demonstrate solidarity towards, and to support workers made redundant. Thus, sustainability and inclusiveness are among the core values of the EGF and the Member States when drawing their application and should favour measures aiming at reintegration into sustainable employment. They are invited to show how the measures are compatible with the shift towards a resource-efficient and sustainable economy.

Furthermore, EGF measures aim particularly at disadvantaged people, helping them to return to the labour market and obtain decent work. Job creation and fostering entrepreneurship are the focus of many EGF cases. The goal to achieve higher levels of economic productivity through diversification, technological upgrading and innovation is indirectly supported by improving and updating the skills of workers made redundant due to restructuring events, and by making them ready for future job market needs.

In NUTS 2 level regions where youth unemployment rates are at least 20%, the EGF may provide personalised services to NEETs. For example, in cases implemented between 2017 and 2019 in Belgium (‘Caterpillar’ case, 1 931 beneficiaries and EUR 1.6 million of EGF funding mobilised), and in Spain (Castilla y León mining of coal case, 396 beneficiaries and EUR 1 million of EGF funding mobilised), the support offered to the young people targeted provided them with assistance that they would not have received through national mainstream services.

***SDG 10 Reduce inequality within and among countries***

The EGF is an emergency fund and is only mobilised in redundancy events that have a significant impact on the regional economy. By offering upskilling measures to workers made redundant, the EGF helps regions to offer measures to make their workers ready for future labour market needs, thereby fostering economic growth.

Some EGF cases also include measures that improve labour mobility of displaced workers. For instance, in ‘Microsoft 2’ case in Finland (883 beneficiaries and EUR 3.5 million of EGF funding mobilised) implemented between 2017 and 2019 the measures offered to the dismissed workers supported labour mobility in cooperation with the European Job Mobility Portal (EURES) services (i.e. foreign job advertisements and the exchange of experiences in online meetings).

**HEADING S: Solidarity mechanisms within and outside the Union (Special instruments)****European Union Solidary Fund (EUSF)****Lead DG:REGIO**

1. Overview .....	1327
1.1. Challenges .....	1327
1.2. Mission (general objectives) .....	1328
1.3. Specific objectives .....	1328
1.4. Public intervention context .....	1328
1.5. Actions .....	1328
1.6. Delivery mode .....	1328
1.7. Graphic overview of the programme structure .....	1328
1.8. Legal basis and financial programming .....	1329
1.9. Link with the 2014-2020 MFF .....	1329
1.10. Relevant websites providing more information .....	1330
2. Where are we in the implementation ? .....	1330
2.1. Programme 2021-2027 .....	1330
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1331
3. How is the programme performing ? .....	1331
3.1. Performance .....	1331
3.2. Key achievements .....	1334
3.3. Evaluations, studies and reports .....	1335
4. Programme 2021-2027 - Key monitoring indicators .....	1335
Specific Objective 1 :Grant financial assistance to Member States or countries negotiating their accession to the EU in the event of a major natural disaster or a major public health emergency .....	1335
5. Programme 2014-2020 - Key monitoring indicators .....	1336
Previous Program 1 : European Union Solidarity Fund (EUSF) .....	1336
Specific Objective 1 :To grant financial assistance to Member States or countries negotiating their accession to the EU in the event of a major natural disaster with serious repercussions on living conditions, the natural environment or the economy for the financing of emergency operations undertaken by the public authorities in support of the affected population .....	1336
6. The programme contribution to horizontal policies .....	1336
6.1. Contribution to climate mainstreaming .....	1336
6.2. Contribution to biodiversity mainstreaming .....	1336
6.3. Contribution to clean air financing .....	1336
6.4. Contribution to gender equality .....	1337
6.5. Contribution to the sustainable development goals .....	1337

**1. Overview****1.1. Challenges**

The European Union Solidarity Fund (EUSF), created in 2002, is activated upon request of an eligible State when major or regional natural disasters eligible for EUSF aid occur, such as earthquakes, floods, droughts, forest fires, storms, etc. Eligibility is essentially determined by total direct damage, which must exceed a threshold specific to each Member State or country negotiating their accession to the EU. The threshold serves as a proxy to justify the activation of solidarity of all Member States. It is set at national level (“major disasters”) or at NUTS 2 regional level (“regional disasters”). The number and size of eligible disasters determine the amount of spending in a given year. The total annual budgetary allocation to the Fund laid down in the multiannual financial framework is a ceiling, rather than a spending target. The Fund is therefore not programmable as it entirely depends on the unpredictable occurrence, nature and magnitude of these disasters.

In the context of the EU response to the coronavirus outbreak, the scope of the EUSF has been extended as of 1 April 2020 to encompass major public health emergencies. The eligibility for the latter is determined at national level and based on specific thresholds.

## 1.2. Mission (general objectives)

Solidarity is one of the core values of the European Union and a guiding principle of the European integration process. The EUSF is a budgetary instrument designed to provide financial means expressing EU solidarity by contributing to post-disaster relief in Member States and accession countries confronted with devastating natural disasters and major public health emergencies.

## 1.3. Specific objectives

To grant financial assistance to Member States or countries negotiating their accession to the EU in the event of a major natural disaster or a major public health emergency with serious repercussions on living conditions, the natural environment or the economy for the financing of emergency operations undertaken by the public authorities in support of the affected population.

## 1.4. Public intervention context

## 1.5. Actions

The Fund can be used to (re-)finance public emergency and recovery operations from day one of the disaster or of the health emergency. In case of natural disaster, it can finance restoring basic infrastructure to working order, providing temporary accommodation and funding rescue services to help the population affected, securing of preventive infrastructure (e.g. dams/dykes) and cleaning-up operations. In case of health emergency, it can finance providing rapid assistance, including medical, to the affected population; protecting the population from the risk of being affected, including prevention, monitoring or control of the spread of diseases, combating severe risks to public health or mitigating their impact on public health.

The EUSF was set up with the aim of partly contributing to the expenditure linked to natural disasters or health emergencies. The Fund is limited in principle to non-insurable damage and does not compensate for private losses. Long-term action – such as economic redevelopment and prevention –, as well as, support to businesses and labour market or compensation of losses are not eligible for EUSF aid.

## 1.6. Delivery mode

The EUSF assistance is implemented through shared management (indirect management for countries negotiating their accession to the EU). However, in order to minimise the administrative burden on countries struggling with a serious disaster and to maximise the budgetary effect, there are no programming and no national co-financing requirements.

Financial assistance from the EUSF is mobilised from appropriations raised by the Council and the European Parliament over and above the normal EU budget appropriations. This ensures that in each case the aid comes as an expression of solidarity with the full backing of Member States and the Parliament, not just as an administrative act of the Commission. The Commission cannot activate the EUSF upon its own initiative.

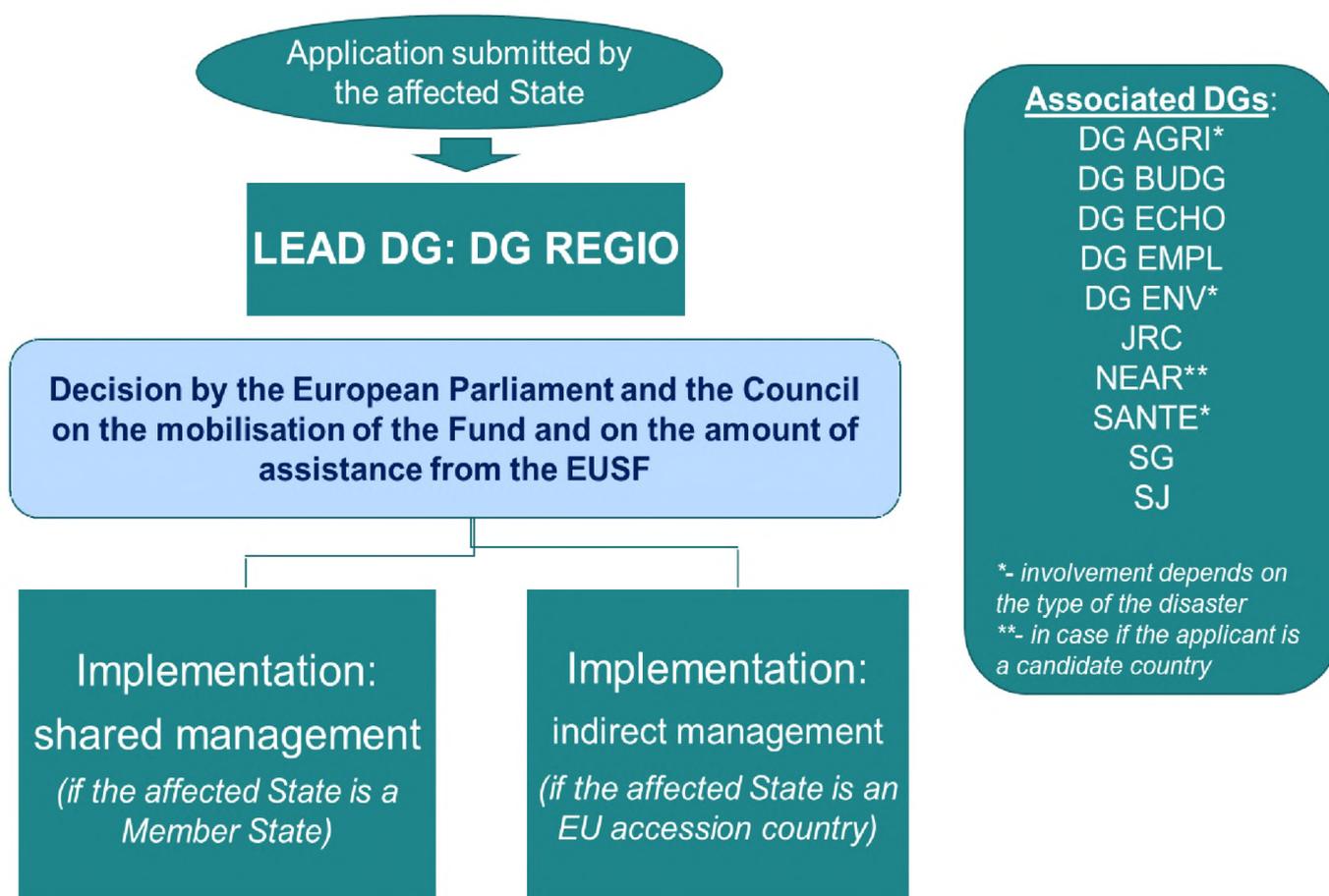
Once the appropriations become available in the EU budget, the Commission adopts a decision awarding the aid to the affected State, which receives it immediately and in a single instalment. Once the aid is paid out, the affected State is responsible for the implementation including the selection of operations and their audit and control. Emergency measures may be financed retroactively from day one of the disaster.

## 1.7. Graphic overview of the programme structure

Figure 1. Concise EUSF process



Figure 2. Graphic overview of the EUSF implementation structure and actors



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
Regulation (EU) 2020/461 of the European Parliament and of the Council of 30 March 2020 amending Council Regulation (EC) No 1012/2002 in order to provide financial assistance to Member States and to countries negotiating their accession to the Union that are seriously affected by a major public health emergency (OJ L 99, 31.3.2020, p. 9–12).	2021 - 2027	

### 1.8.2. Legal basis explanation

As part of the Coronavirus Response Investment Initiative (CRII), the Regulation (EU) 2020/461 of the European Parliament and of the Council of 30 March 2020 amended the EUSF Regulation by including major public health emergencies within the scope of the EUSF. Since 1 April 2020, EU Member States and accession countries can apply for support from the EUSF also for public health emergency reasons to alleviate the burden from the first response measures.

The Regulation (EU) 2020/461, amending the EUSF Regulation (EC) 2012/2002, increased the percentage of the advance payments from 10% to maximum 25% of the anticipated financial contribution from the EUSF, limited to a maximum amount of EUR 100 million (increased from the previous EUR 30 million).

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>	<b>98,0</b>	<b>50,0</b>	<b>50,0</b>	<b>50,0</b>	<b>50,0</b>	<b>50,0</b>	<b>50,0</b>	<b>398,0</b>

### 1.8.4. Financial programming explanation

## 1.9. Link with the 2014-2020 MFF

The EUSF is part of the special instruments in the MFF, outside of the EU budget. The maximum annual amount available under MFF 2014-2020 is EUR 500 million in 2011 prices.

### 1.10. Relevant websites providing more information

[https://ec.europa.eu/regional\\_policy/en/funding/solidarity-fund/](https://ec.europa.eu/regional_policy/en/funding/solidarity-fund/)

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

The multi-annual financial framework (MFF) Regulation for the period 2021-2027 has merged the EUSF and the Emergency Aid Reserve (EAR) in the Solidarity and Emergency Aid Reserve (SEAR). The maximum annual amount for the SEAR is EUR 1.20 billion (2018 prices), or EUR 1.27 billion in current prices in 2021.

In order to avoid early depletion of the annual allocation, in accordance with Article 9(4) of the MFF Regulation, 25% of the total 2021 allocation of SEAR (EUR 318.4 million) needs to be retained until 1 October 2021 and no transfer of unused funds can be conducted between the different components of SEAR prior to 1 September. In addition, until 1 September 2021, the maximum amount available for the EUSF is 50% of the overall SEAR amount available until 1 September 2021, i.e., EUR 477.5 million.

#### The EUSF implementation status

By the deadline of 24 June 2020, the European Commission had received **22 applications** (19 from Member States and three from accession countries) for financial contribution from the EUSF for major health emergency due to COVID-19.

All applications received were assessed in a single package to ensure consistent and equitable treatment. Given the unprecedented nature of the emergency dealt with and the important workload due to the simultaneous assessment of 22 applications, the Commission has set up a special Inter-service coordination group consisting from different Commission services in order to ensure better coordination and benefit from the specialised expertise of the different services. The Commission thoroughly looked into several aspects, such as the eligibility of the expenditure (including, analysing if the presented expenditure covered eligible operations and if the expenditure fell within the eligibility period), emergency nature of expenditure and direct link to the COVID-19 health emergency, the consistency of the overall assessment. Following a series of exchanges with the responsible national authorities to clarify issues regarding the eligibility of certain types of expenditure declared the Commission has finalised its assessment in February 2021.

As solidarity was the main justification for the creation of the EUSF, the Commission took the view that aid from the Fund should be progressive. The methodology for calculating the EUSF aid was set out in the 2002-2003 Annual Report on the EUSF and accepted by the European Parliament and the Council. In the case of major public health emergencies, the Commission will apply a similar method for determining aid amounts as for natural disasters: a country receives 2.5% of the total amount of eligible public expenditure up to the country specific threshold for major health emergencies, plus 6% of the part of the public expenditure exceeding the threshold. This was also communicated through the Commission's website<sup>1</sup>. As this calculation led to a total amount for all countries exceeding the available budget resources, the amounts per country were reduced on a pro rata basis.

As regards the EUSF applications submitted by Albania, Austria, Belgium, Croatia, Czechia, Estonia, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Montenegro, Portugal, Romania, Serbia and Spain related to the major public health emergency caused by the COVID-19 pandemic, the Commission services therefore propose to the budget authority to mobilise the following aid amounts:

In **February 2021**, the Commission launched the adoption of the Communication on the application for a financial contribution from the EUSF presented by twenty applicant countries (Albania, Austria, Belgium, Croatia, Czechia, Estonia, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Montenegro, Portugal, Romania, Serbia, Spain) in response to the major public health emergency caused by the COVID-19 pandemic in early 2020. After the adoption of the said Communication the Commission intends to submit a proposal for mobilisation of the financial contribution from the EUSF to the European Parliament and the Council in March 2021, mobilising the resources available while ensuring a fair distribution among the applicant countries.

In the last 2 months of 2020, **four new natural disaster applications** have been received by the Commission: two for Greece (Evia floods and cyclone Ianos), France (storm Alex) and Italy (storm Alex). The applications from Greece and France were considered eligible, while the one from Italy failed to reach the minimum threshold both for national and regional disaster and was rejected. In January 2021, Greece submitted **another eligible EUSF application** (earthquake in Samos). The respective implementation decisions to pay advances have been adopted (due to the budgetary constraints – only 10% of estimated total aid amount to each of four eligible applications).

<sup>1</sup> [https://ec.europa.eu/regional\\_policy/en/funding/solidarity-fund/covid-19](https://ec.europa.eu/regional_policy/en/funding/solidarity-fund/covid-19)

In February 2021, the Commission launched the adoption of the Communication on the applications for a financial contribution from the EUSF presented by Greece relating to the floods in Sterea Ellada, in August 2020, the damages caused by the Cyclone Ianos, in September 2020, the earthquake in islands of Samos, Icaria and Chios, in October 2020, and presented by France relating to the storm Alex in Provence-Alpes-Côtes d'Azur region, France, in October 2020.

After the adoption of communications to the College for both health emergency and natural disaster applications, BUDG will prepare the necessary Draft Amending Budget and a request for transfer of payment appropriations under Article 31 of Financial Regulation, with expected adoption by the Parliament and the Council by May or June.

## 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

SUM OF YEARLY BUDGET AMOUNTS 2014-2020	EUR 3 114.5 million
--	---------------------

EUSF can be activated in case of need and as such are not predictable and programmable. The instrument has a ceiling of EUR 500 million (2011 prices) per year, of which unused parts can be carried-over to the following year under specific conditions.

	Country	Total claimed public expenditure (EUR)	Total eligible public expenditure accepted by the EC (EUR)	major health emergency threshold (million EUR)	Potential aid amount (EUR)	Pro-rata aid amount (EUR)	Advance payment	balance payment (EUR)
1	Albania	54,998,000	54,755,654	38.852	1,925,519	905,271	0	905,271
2	Austria	2,111,595,244	1,798,883,065	1,153.959	67,544,419	31,755,580	0	31,755,580
3	Belgium	2,192,550,000	2,132,102,000	1,388.322	79,334,850	37,298,777	0	37,298,777
4	Croatia	658,771,839	358,524,373	151.638	16,204,132	7,618,270	8,462,280	0 <sup>2</sup>
5	Czechia	1,832,510,000	959,231,097	588.597	36,952,971	17,373,205	0	17,373,205
6	Estonia	173,328,000	171,932,664	76.647	7,633,315	3,588,755	0	3,588,755
7	France	7,011,813,781	4,284,611,574	1,792.639	194,334,329	91,365,053	0	91,365,053
8	Germany	2,079,000,000	2,079,000,000	1,792.639	61,997,635	29,147,795	15,499,409	13,648,386
9	Greece	623,925,000	623,925,000	551.220	18,142,800	8,529,722	4,535,700	3,994,022
10	Hungary	1,997,208,000	1,632,956,193	385.263	84,493,167	39,723,926	26,587,069	13,136,857
11	Ireland	1,997,000,000	1,996,328,000	762.921	93,077,445	43,759,771	23,279,441	20,480,330
12	Italy	3,755,558,000	3,749,558,000	1,792.639	162,231,115	76,271,930	0	76,271,930
13	Latvia	178,626,000	91,884,602	85.947	2,504,931	1,177,677	0	1,177,677
14	Lithuania	176,974,000	176,932,597	131.433	6,015,801	2,828,291	0	2,828,291
15	Luxembourg	168,230,000	168,230,000	114.768	6,076,920	2,857,025	0	2,857,025
16	Montenegro	15,329,000	15,329,000	14.154	424,350	199,505	0	199,505
17	Portugal	3,470,870,000	2,318,870,000	598.233	118,194,045	55,568,181	37,528,511	18,039,670
18	Romania	848,631,000	841,391,000	596.025	29,622,585	13,926,870	0	13,926,870
19	Serbia	495,400,765	495,400,765	121.926	25,456,636	11,968,276	0	11,968,276
20	Spain	15,750,543,061	2,941,717,381	1,792.639	113,760,678	53,483,861	16,844,420	36,639,441
<b>TOTAL</b>					<b>1,125,927,643</b>	<b>529,347,741</b>	<b>132,736,830</b>	<b>397,454,921</b>

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

##### *Applications for natural disasters - implementation status (2019-2020)*

The EUSF is activated upon request of an eligible State when major or regional natural disasters eligible for EUSF aid occur, such as earthquakes, floods, droughts, forest fires, storms, etc. Eligibility is essentially determined by total direct damage which must exceed a threshold specific to each Member State/country negotiating EU accession or region at NUTS level 2. The number and size of eligible disaster determines the amount of spending in a given year. The total annual budgetary allocation to the Fund that is laid down in the multi-annual financial framework (MFF) is a ceiling rather than a spending target. The EUSF is therefore not programmable, as it entirely depends on the unpredictable occurrence, nature and magnitude of these disasters.

In 2019, the Commission received four natural disaster applications:

<sup>2</sup> an amount of € 844,010 will be recovered from Croatia.

- The first application came from **Austria** regarding extreme weather conditions of 2018. Austria received the payment of the EUSF financial contribution amounting to EUR 8 154 899 in October 2019.
- The second application came from **Greece** regarding to the storm in Crete early 2019. Greece received the advance payment of the EUSF financial contribution amounting to EUR 455 252 in August 2019 and the balance payment amounting to EUR 4 097 265 in February 2020.
- The third application was submitted by **Portugal** regarding the hurricane Lorenzo in the Azores in 2019. Portugal received the advance payment of the EUSF financial contribution amounting to EUR 821 270 in late December 2019. The balance payment amounting to EUR 7 391 427 in July 2020.
- Finally, the fourth application in 2019 came from **Spain** regarding the extreme weather DANA which provoked floods in the regions of Valencia, Murcia, Castilla-La Mancha and Andalucía in September 2019. Spain received the advance payment of the EUSF financial contribution amounting to EUR 5 674 336 in early March 2020 and the balance payment of EUR 51 069 022 in November 2020.

In 2020, the Commission received nine natural disaster applications, namely:

- The application from **Italy** regarding the extreme weather damages in late 2019 causing severe damage from flooding and landslides and culminating in the flooding of Venice. Italy received the payment of the EUSF financial contribution amounting to EUR 211 707 982 in October 2020.
- The application from **Austria** following the extreme weather events of November 2019. The south-western parts of Austria suffered from severe flooding, in particular in Carinthia and Eastern Tyrol. Austria received the payment of the EUSF financial contribution amounting to EUR 2 329 777 in August 2020.
- The application from **Spain** following the damage caused by storm Gloria in January 2020. However, the application failed to reach the applicable thresholds. The damage caused by storm Gloria in the six regions taken together remained considerably below 1.5% of the weighted regional GDP of the affected regions. Moreover, the damage did not reach the 1.5% threshold in any of the six regions individually. Thus, **the application was rejected**.
- The application from **Croatia** following the devastating earthquake that hit the city of Zagreb and its surroundings on 22 March 2020. Croatia received the advance payment of the EUSF financial contribution amounting to EUR 88 951 877 in early August 2020 – this was the highest advance payment ever paid out under the EUSF. The balance payment amounting to EUR 594 788 646 was paid in December 2020. The total assistance to Croatia under the EUSF amounts to EUR 683 740 523 - the second highest amount ever paid by the Fund for emergency and recovery operations after a natural disaster.
- The application from **Poland** regarding the floods in the Podkarpackie province in June 2020. Poland received the payment of the EUSF financial contribution amounting to EUR 7 071 280 in December 2020.
- The application from **Greece** regarding the floods in the region of Sterea Ellada of August 2020.
- The application from **Greece** regarding relating to the damages caused by the Mediterranean Cyclone Ianos in September 2020.
- The application from **France** relating to the damages caused by the storm Alex in October 2020.
- Application from **Italy** relating to the damages caused by the storm Alex in regions Piedmont, Liguria and Valled'Aosta in October 2020. However, the application failed to reach the threshold both for national and regional disaster, therefore **it was rejected**.

The Commission has started assessment of the two applications from Greece and applications from France and Italy (all received in the last months of 2020) but the decisions regarding the possible awarding of the EUSF assistance will be taken in 2021.

For each case, following the adoption of the mobilisation decision by the budgetary authority and prior to making the payment, the Commission adopts an implementing decision addressed to the beneficiary State, specifying the conditions for the use of the money (with indicative amounts per measure). Spending is limited to the four types of eligible emergency and recovery operations laid down in the EUSF Regulation. Eligibility starts however from the first occurrence of the damage and costs (for emergency and recovery operations) taken before the Commission's decision may therefore be eligible for the intervention too. After the end of the 18 months implementation period, the beneficiary State has six months to present a report on the implementation of the financial contribution from the Fund with a statement justifying the expenditure incurred. It should be noted that the EUSF was not set up with the aim of meeting all the costs linked to natural disasters. The Fund is limited in principle to non-insurable damage and does not compensate for private losses. Long-term action – such as lasting reconstruction, economic redevelopment and prevention – are not eligible for EUSF aid. In most of the above cases, the beneficiary States decided to dedicate EUSF aid for the restoration of public infrastructure.

### *The EUSF applications in relation to the major public health emergency caused by the COVID-19 pandemic in 2020*

In December 2019, a pneumonia epidemic of unknown origin was reported to the WHO from Wuhan, China. This was later identified as a new strain of coronavirus that had not been previously known in humans - Coronavirus disease 2019 (COVID-19). On 30 January 2020, the WHO declared an epidemic emergency of international scale due to the new coronavirus epidemic. In

2020 as part of the Coronavirus Response Investment Initiative (CRII), the EUSF Regulation was amended<sup>3</sup> by including major public health emergencies within the scope of the EU solidarity principle.

Since 1 April 2020, EU Member States and accession countries can apply for support from the EU Solidarity Fund also for public health emergency reasons to alleviate the burden from the first response measures, such as provision of medical assistance and purchase of medical equipment, support to vulnerable groups, measures to contain the spreading of the disease, strengthening preparedness and others.

Subsequently, by the deadline of 24 June 2020 the Commission received 22 applications for a financial contribution from the EUSF. Overall, 19 EU Member States (Austria, Belgium, Croatia, Czechia, Estonia, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Poland, Portugal, Romania, Slovenia and Spain) and three accession countries (Albania, Montenegro and Serbia) requested assistance in response to the major public health emergency caused by the COVID-19 pandemic in early 2020.

In 2020, based on its preliminary assessment, the Commission paid in total the amount of EUR 132 736 830 in advance payments to Germany, Ireland, Greece, Spain, Croatia, Hungary, and Portugal. The seven Member States were the only ones making specific request and entitled to receive advance payments, in line with Article 4(2)(a) of the amended EUSF Regulation<sup>4</sup>.

All applications received were assessed in a single package to ensure consistent and equitable treatment. Given the unprecedented nature of the emergency dealt with and the important workload due to the simultaneous assessment of 22 applications, the Commission has set up a special Inter-service coordination group consisting from different Commission services in order to ensure better coordinated and benefit from the specialised expertise of the different services. The Commission thoroughly looked into several aspects, such as the eligibility of the expenditure (including, analysing if the presented expenditure covered eligible operations and if the expenditure fell within the eligibility period), emergency nature of expenditure and direct link to the COVID-19 health emergency, the consistency of the overall assessment. Following series of exchanges with the responsible national authorities to clarify issues regarding the eligibility of certain types of expenditure declared the Commission is finalising the assessment. The Commission intends to submit a proposal for financial contribution to the European Parliament and the Council in the first quarter of 2021, mobilising the resources available while ensuring a fair distribution among the applicant countries.

### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.3. Previous programme performance

#### **Applications for natural disasters - implementation status (2019-2020)**

Members States and regions are increasingly confronted with natural disasters, which often appear to be linked to climate change. In 2020, the EU Solidarity Fund (EUSF) continued to offer them vital support, adding to financial relief but also a clear and tangible sign of European solidarity to the populations affected.

**In 2020 more than EUR 969 million** of the EUSF assistance were awarded to 6 Member States and paid out in order to help them finance emergency and recovery operations after the natural disasters which affected those countries. Furthermore, support from the EUSF helps to increase the Member States' and regions' resilience and preparedness to address the consequences of these natural disasters.

In 2019, the Commission received four natural disaster applications out of which **for three applications the payments were done in 2020:**

- The application from **Greece** regarding to the storm in Crete early 2019 received the advance payment of the EUSF financial contribution amounting to EUR 0.5 million in August 2019 and the balance payment amounting to **EUR 4.1 million in February 2020**.
- The application submitted by **Portugal** regarding the hurricane Lorenzo in the Azores in 2019 received the advance payment of the EUSF financial contribution amounting to EUR 0.8 million in late December 2019. The balance payment amounting to **EUR 7.4 million in July 2020**.
- The application from **Spain** regarding the extreme weather DANA which provoked floods in the regions of Valencia, Murcia, Castilla-La Mancha and Andalucía in September 2019: Spain received the advance payment of the EUSF financial contribution amounting to **EUR 5 674 336 in early March 2020** and the balance payment of **EUR 51 069 022 in November 2020**.

In 2020, the Commission received **nine natural disaster applications**, namely:

<sup>3</sup> Regulation (EU) 2020/461 of the European Parliament and of the Council of 30 March 2020.

<sup>4</sup> Council Regulation (EC) No 2012/2002 of 11 November 2002 establishing the European Union Solidarity Fund (OJ L 311, 14.11.2002, p. 3) as amended by Regulation (EU) No 661/2014 of the European Parliament and the Council of 15 May 2014 (OJ L 189, 27.6.2014, p. 143) and by Regulation (EU) No 461/2020 of the European Parliament and the Council of 30 March 2020 (OJ L 99, 31.3.2020, p. 9).

- The application from **Italy** regarding the extreme weather damages in late 2019 causing severe damage from flooding and landslides and culminating in the flooding of Venice. Italy received the payment of the EUSF financial contribution amounting to **EUR 211.7 million in October 2020**.
- The application from **Austria** following the extreme weather events of November 2019. The south-western parts of Austria suffered from severe flooding, in particular in Carinthia and Eastern Tyrol. Austria received the payment of the EUSF financial contribution amounting to **EUR 2.3 million in August 2020**.
- The application from **Spain** following the damage caused by storm Gloria in January 2020. However, the application failed to reach the applicable thresholds. The damage caused by storm Gloria in the six regions taken together remained considerably below 1.5% of the weighted regional GDP of the affected regions. Moreover, the damage did not reach the 1.5% threshold in any of the six regions individually. Thus, **the application was rejected**.
- The application from **Croatia** following the devastating earthquake that hit the city of Zagreb and its surroundings on 22 March 2020. Croatia received the advance payment of the EUSF financial contribution amounting to **EUR 89 million in early August 2020** – this was the highest advance payment ever paid out under the EUSF. The balance payment amounting to **EUR 594.8 million was paid in December 2020**. The total assistance to Croatia under the EUSF amounts to EUR 683.7 million - the second highest amount ever paid by the Fund for emergency and recovery operations after a natural disaster.
- The application from **Poland** regarding the floods in the Podkarpackie province in June 2020. Poland received the payment of the EUSF financial contribution amounting to **EUR 7.1 million in December 2020**.
- The application from **Greece** regarding the floods in the region of Sterea Ellada of August 2020.
- The application from **Greece** regarding relating to the damages caused by the Mediterranean Cyclone Ianos in September 2020.
- The application from **France** relating to the damages caused by the storm Alex in October 2020.
- Application from **Italy** relating to the damages caused by the storm Alex in regions Piedmont, Liguria and Valled'Aosta in October 2020. However, the application failed to reach the threshold both for national and regional disaster, therefore **it was rejected**.

### **The EUSF applications in relation to the major public health emergency caused by the COVID-19 pandemic in 2020**

In December 2019, a pneumonia epidemic of unknown origin was reported to the WHO from Wuhan, China. This was later identified as a new strain of coronavirus that had not been previously known in humans - Coronavirus disease 2019 (COVID-19). On 30 January 2020, the WHO declared an epidemic emergency of international scale due to the new coronavirus epidemic. In 2020 as part of the Coronavirus Response Investment Initiative (CRII), the EUSF Regulation was amended<sup>5</sup> by including major public health emergencies within the scope of the EU solidarity principle.

Since 1 April 2020, EU Member States and accession countries can apply for support from the EU Solidarity Fund also for public health emergency reasons to alleviate the burden from the first response measures, such as provision of medical assistance and purchase of medical equipment, support to vulnerable groups, measures to contain the spreading of the disease, strengthening preparedness and others.

Subsequently, by the deadline of 24 June 2020 the Commission received 22 applications for a financial contribution from the EUSF. Overall, 19 EU Member States (Austria, Belgium, Croatia, Czechia, Estonia, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Poland, Portugal, Romania, Slovenia and Spain) and three accession countries (Albania, Montenegro and Serbia) requested assistance in response to the major public health emergency caused by the COVID-19 pandemic in early 2020.

In 2020, based on its preliminary assessment, the Commission paid in total the amount of EUR 132.7 million in advance payments to Germany, Ireland, Greece, Spain, Croatia, Hungary, and Portugal. The seven Member States were the only ones making specific request for an advance payment and entitled to receive advance payments, in line with Article 4(2)(a) of the amended EUSF Regulation<sup>6</sup>. The EUSF Regulation envisages the possibility to ask for advance payments only for EU Member States.

For details on the assessment of the EUSF applications regarding the major public health emergency caused by the COVID-19 pandemic – see section 2.1.

### **3.2. Key achievements**

In 2020, the Commission awarded and paid out the EUSF contribution amounting to **EUR 969.8 million for six affected applicant States** relating to the **natural disasters** occurred in 2019 and 2020: namely hurricane Lorenzo in Portugal (regional disaster), extreme weather in Spain (regional disaster), extreme weather in Italy (major disaster), extreme weather in Austria (neighbouring state natural disaster), earthquake in Croatia and floods in Poland (regional disaster).

For the natural disasters, the EUSF contribution is determined by awarding 2.5 % for the part of total direct damage up to the ‘major disaster’ threshold and 6 % for the part of the damage exceeding the threshold; accordingly, for regional disasters and disasters accepted under the ‘neighbouring country’ provision, the EUSF contribution is 2.5 % of total direct damage.

EUR 969 805 617	31	6
The amount of the EUSF awarded and the contribution paid out for 6 affected applicant States related to the <b>natural</b> disasters occurred in 2019 and 2020	New EUSF application received in 2020: - 9 <u>natural disaster applications</u> ; - 22 <u>major public health emergency applications</u> .	Applications relating to the <b>natural</b> disasters assessed and the assistance from the EUSF awarded

In addition, in 2020, based on its preliminary assessment, the Commission paid in total the amount of **EUR 132.7 million in advance payments** to Germany, Ireland, Greece, Spain, Croatia, Hungary, and Portugal in relation to their applications for assistance in response to the major public health emergency caused by the COVID-19 pandemic in early 2020.

**NOTE:** The established indicators (including financial data) are reported on the year when the awarded EUSF amount has been paid. Therefore the information on the advance payments for COVID-19 health emergency has not been included in the table regarding the key achievements.

The overall impact of the EUSF is targeted on the affected population. However as, by its nature, the EUSF cannot follow the programme approach, it is usually not possible to identify the specific part of the population or areas covered by the EUSF intervention alone as most emergency and recovery operations are substantially covered by the beneficiary State's own budget.

### 3.3. Evaluations, studies and reports

An in-depth ex-post evaluation to assess the financial assistance provided by EUSF over the period 2002-2016 was completed in 2019 (SWD (2019)187). The purpose of the ex-post evaluation was to assess the implementation and performance of the financial assistance provided by the EUSF over the period 2002-2016. The evaluation confirmed the effectiveness of the Fund and the positive effects of synergies between the EU Solidarity Fund and other EU policy instruments for disaster risk management. It further concluded that the EUSF brings clear EU added value as a toolkit for disaster intervention and that consideration should be given to policy actions that increase the potential for the Fund to intervene.

[https://ec.europa.eu/regional\\_policy/sources/docgener/evaluation/pdf/eusf\\_2002\\_2016/eusf\\_2002\\_2016\\_swd\\_en.pdf](https://ec.europa.eu/regional_policy/sources/docgener/evaluation/pdf/eusf_2002_2016/eusf_2002_2016_swd_en.pdf)

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :Grant financial assistance to Member States or countries negotiating their accession to the EU in the event of a major natural disaster or a major public health emergency**

**Indicator 1:Population of the EUSF supported countries and regions**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Note: Demand-driven performance indicator As there is no programming of the EUSF assistance, therefore there is not baseline, milestones and targets.

**Indicator 2: Number of countries supported by EUSF**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	
Unit of measurement	
Cut-Off Date	
Data source	
Link to the objective	
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Note: Demand-driven performance indicator As there is no programming of the EUSF assistance, therefore there is not baseline, milestones and targets.

## **5. Programme 2014-2020 - Key monitoring indicators**

### *Previous Program 1 : European Union Solidarity Fund (EUSF)*

**Specific Objective 1 :To grant financial assistance to Member States or countries negotiating their accession to the EU in the event of a major natural disaster with serious repercussions on living conditions, the natural environment or the economy for the financing of emergency operations undertaken by the public authorities in support of the affected population**

**Indicator 1: Number of population helped in overcoming a crisis situation where their living conditions have been affected**

Baseline	2014	2015	2016	2017	2018	2019	2020	2021	2022	Target
	Milestones									2020
	Actual Progress									Final
							95000000			

Are we on track	
Indicator type	Output
Unit of measurement	Number of population of the affected State or the region of an eligible State.
Cut-Off Date	31/12/2020
Data source	Eurostat
Narrative	
Methodology	Number of population (EUROSTAT data on the year when the awarded EUSF amount has been paid) of the affected State or of the region of an eligible state
Link MFF 14-20 / MFF 21-27	
Other methodological comments	
Full metadata available at this address	
Justification of the trend	Note: Demand-driven performance (output) indicators As there is no programming of the EUSF assistance, therefore there is not baseline, milestones and targets.

## **6. The programme contribution to horizontal policies**

### **6.1. Contribution to climate mainstreaming**

Not applicable

### **6.2. Contribution to biodiversity mainstreaming**

Not applicable

### **6.3. Contribution to clean air financing**

Not applicable

**6.4. Contribution to gender equality**

Not applicable

**6.5. Contribution to the sustainable development goals**

Not applicable

**HEADING O: Outside MFF****Innovation Fund****Lead DG:CLIMA**

1. Overview .....	1338
1.1. Challenges .....	1338
1.2. Mission (general objectives) .....	1339
1.3. Specific objectives .....	1339
1.4. Public intervention context .....	1339
1.5. Actions .....	1339
1.6. Delivery mode .....	1339
1.7. Graphic overview of the programme structure .....	1340
1.8. Legal basis and financial programming .....	1340
1.9. Link with the 2014-2020 MFF .....	1341
1.10. Relevant websites providing more information .....	1341
2. Where are we in the implementation ? .....	1341
2.1. Programme 2021-2027 .....	1341
2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations .....	1341
3. How is the programme performing ? .....	1341
3.1. Performance .....	1341
3.2. Key achievements .....	1342
3.3. Evaluations, studies and reports .....	1342
4. Programme 2021-2027 - Key monitoring indicators .....	1342
Specific Objective 1 :Support projects demonstrating highly innovative technologies, processes or products that are sufficiently mature and have a significant potential to reduce greenhouse gas emissions .....	1342
Specific Objective 2 :To offer financial support tailored to market needs and risk profiles of eligible projects, while attracting additional public and private resources .....	1344
Specific Objective 3 :To ensure that the revenues of the Innovation Fund are managed in accordance with the objectives of the EU Emission Trading System (EU ETS) in terms of technology pathways and geographical coverage .....	1345
5. Programme 2014-2020 - Key monitoring indicators .....	1345
6. The programme contribution to horizontal policies .....	1345
6.1. Contribution to climate mainstreaming .....	1345
6.2. Contribution to biodiversity mainstreaming .....	1346
6.3. Contribution to clean air financing .....	1346
6.4. Contribution to gender equality .....	1346
6.5. Contribution to the sustainable development goals .....	1346

**1. Overview****1.1. Challenges**

To meet the objective of a climate-neutral EU by 2050, and the EU target of a net domestic reduction in greenhouse gas emissions of at least 55% by 2030 compared to 1990, there is a need to support and incentivize innovative and low-carbon technologies.

The challenge is to enable EU companies to get in pole position developing, deploying and commercialising low-carbon solutions.

Low-carbon technology demonstration projects are inherently high-risk endeavours and struggle to attract the required capital. Yet they have potentially vast positive beneficial effects, well beyond the individual company or Member State that finances them or carries them out, which warrants public support at the EU level. In addition, the *IF* is funded from revenues arising directly from EU policies, i.e. from the auctioning of EU ETS allowances.

## 1.2. Mission (general objectives)

*IF* aims at catalysing funding for highly innovative technologies and flagship projects in all Member States that can yield significant emission reductions by:

- Creating the right financial incentives to invest now in the next generation of technologies needed for the EU's low-carbon transition; and
- Boosting growth and competitiveness by empowering EU companies with a first-mover advantage to become global technology leaders.

The ultimate goal is to help businesses and industry invest in clean technologies, thus boosting economic growth, creating local future-proof jobs and reinforcing Europe's technological leadership on a global scale.

## 1.3. Specific objectives

*IF*'s objectives are to:

1. support projects with highly innovative technologies, processes or products, that are sufficiently mature and have a significant potential to reduce greenhouse gas emissions;
2. offer financial support tailored to market needs and risk profiles of eligible projects, while attracting additional public and private resources;
3. ensuring that *IF*'s revenues are managed in accordance with the objectives of the EU Emission Trading System.

## 1.4. Public intervention context

Under the Treaty of Lisbon, environment policy is a shared competence between the Union and the Member States (Article 4 TFEU). Article 191 of the Treaty on the Functioning of the European Union (TFEU) makes combating climate change an explicit objective of EU environmental policy. The Innovation Fund is established by the EU Emission Trading System (EU ETS) Directive (Directive 2003/87/EC) and the Commission Delegated Regulation 2019/856 (see section 1.8 below).

Member States actively participate in the implementation of the Innovation Fund. They are consulted on key decisions (e.g. decisions to launch call for proposals, maximum amount for the PDA, list of pre-selected projects, etc.). If requested by the Commission, Member States will also advise and assist the Commission in setting general orientations for the Innovation Fund, as well as in addressing problems in the implementation of a project.

## 1.5. Actions

*IF* supports highly innovative technologies by sharing their risk with project promoters via:

(a) Grants through calls for large and small-scale projects focusing on:

- innovative low-carbon technologies and processes in energy-intensive industries, including products substituting carbon-intensive ones;
- carbon capture and utilisation;
- construction and operation of carbon capture and storage;
- innovative renewable energy generation;
- energy storage.

(b) Contributions to blending operations under the Union investment support instrument; and

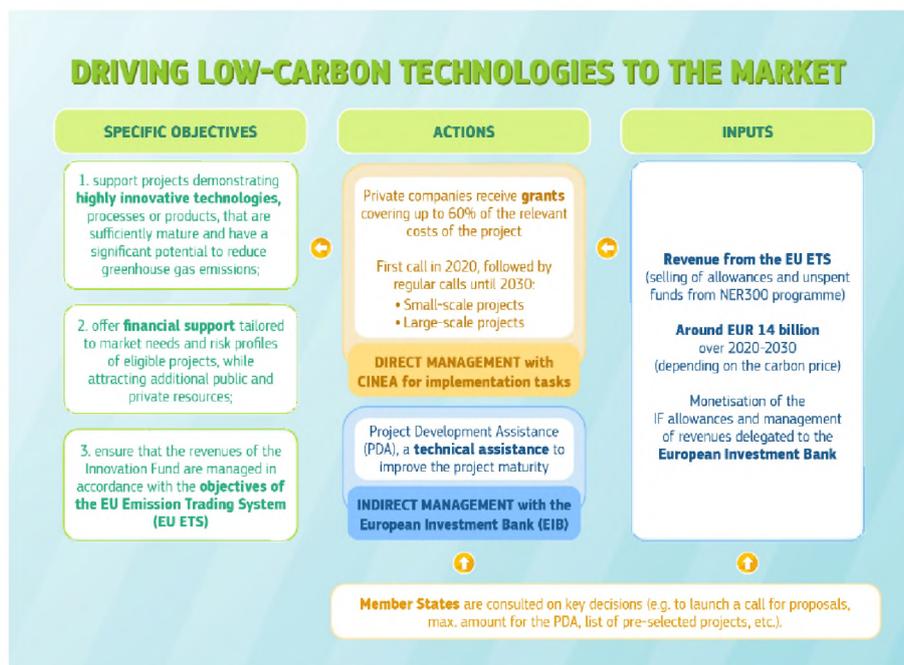
(c) Prizes and procurement.

*IF* resources may contribute to InvestEU Financial Instruments, to provide debt or equity financing to clean-tech innovative projects.

## 1.6. Delivery mode

*IF* is implemented in direct management by the Directorate-General for Climate Action (DG CLIMA), with the assistance of the European Climate, Infrastructure and Environment Executive Agency (CINEA) to whom the implementation of the grant component of the programme is delegated. Some activities are implemented in indirect management, through the European Investment Bank, for the management of the Project Development Assistance support and the channelling of *IF* resources via financial instruments. The monetisation of the Innovation Fund allowances and the management of the Innovation Fund revenues have also been delegated to the European Investment Bank.

## 1.7. Graphic overview of the programme structure



## 1.8. Legal basis and financial programming

### 1.8.1. Legal basis

Legal Basis	Period of application	Reference Amount (EUR million)
	2020 - 2027	

### 1.8.2. Legal basis explanation

Legal basis	Period of application	Reference amount (EUR million)
Directive (EU) 2018/410 amending Directive 2003/87/EC to enhance cost-effective emission reductions and low-carbon investments	2020-2030	N/A
Commission Delegated Regulation 2019/856 of 26 February 2019 supplementing Directive 2003/87/EC of the European Parliament and of the Council with regard to the operation of the Innovation Fund	2020-2030	N/A

The revised EU Emissions Trading System (Directive (EU) 2018/410) is providing the revenues for the Innovation Fund from the auctioning of 450 million allowances from 2020 to 2030, as well as any unspent funds from the NER300 programme.

The revised EU ETS Directive defines the basic elements of the Innovation Fund, such as its size, scope, maximum funding rate (i.e. the maximum support that can be given to a project), and disbursement rules. It stipulates that the Innovation Fund will be endowed with the revenues from the auctioning of at least 450 million allowances from 2020 to 2030, and any unspent revenues from the second call of the predecessor programme, the NER 300, which translates into around EUR 14 billion (at carbon price of €30/tCO<sub>2</sub>)

The rules on the operation of the Innovation Fund are set out in Commission delegated regulation 2019/856, with the definition of relevant costs and funding rate, disbursement of grants, project selection procedure, monetisation of allowances, and governance arrangements.

### 1.8.3. Financial programming table

	Financial Programming (EUR million)							Total Programme
	2021	DB2022	2023	2024	2025	2026	2027	
<b>Total</b>								

#### 1.8.4. Financial programming explanation

#### 1.9. Link with the 2014-2020 MFF

IF builds on its predecessor, the off-budget fund NER 300 programme, but it is open to projects from energy-intensive industries, has a larger grant coverage, provides support in more flexible ways, and—following recommendations from the Court of Auditors—has a streamlined governance and simplified decision-making.

#### 1.10. Relevant websites providing more information

[https://ec.europa.eu/clima/policies/innovation-fund\\_en#tab-0-3](https://ec.europa.eu/clima/policies/innovation-fund_en#tab-0-3)

<https://ec.europa.eu/inea/en/innovation-fund>

## 2. Where are we in the implementation ?

### 2.1. Programme 2021-2027

### 2.2. Programme(s) 2014-2020 : Cumulative implementation rate and explanations

DG CLIMA worked closely with INEA, which manages the IF grants since June 2020, to prepare the timely onboarding of the programme, including the delegation package and the Memorandum of Understanding. Despite the COVID-19 outbreak, DG CLIMA successfully performed all preparatory tasks for the timely launch of the first two calls in 2020.

A first call for proposals was launched in July 2020, amounting to €1 billion and addressing large-scale projects. It registered very high interest, with a high amount of proposals received (i.e. 311 project proposals received). The two-stage evaluation of the proposals started on time and will continue in 2021.

A second call for proposals was launched in December 2020, amounting to €100 million and addressing small-scale projects. It will be opened for submission of applications until 10 March 2021.

DG CLIMA actively engaged with stakeholders and organised a series of technical workshops preparing for the calls for proposals, and dedicated webinars to answer applicants' questions when the calls were open. In September 2020, financiers and industry representatives gathered virtually during the 1<sup>st</sup> clean tech virtual conference, to exchange views on what makes an innovative clean tech project attractive for financiers, how to balance profitability and innovativeness, how to structure the financing of innovative clean tech projects, and what added value the Innovation Fund can bring to investors and project promoters. A second virtual conference focused on how the call for small-scale projects under the Innovation Fund can help innovative clean tech projects take off and reach the market.

On the revenue side, the implementation is making good progress. A contribution agreement was signed in January 2021 between the EU and the EIB ensuring that the monetisation of the allowances set aside for the Innovation Fund is carried out in accordance with the Auctioning Regulation and the revenues of the Innovation Fund are managed in accordance with the objectives of the ETS Directive. An initial letter of commitment was signed by both the EIB and the EC enabling the auctioning of 50 million emission allowances in 2020 yielding 1 333 823 005 EUR (or an average realised carbon price of 26,68 EUR/ton CO<sub>2</sub>). In addition, 746 627 156 EUR of unspent revenues from the second call of the predecessor programme, the NER 300 were transferred to the Innovation fund since 2020.

## 3. How is the programme performing ?

### 3.1. Performance

#### 3.1.1. Introduction

The Innovation Fund is the successor to the funding programme for innovative low-carbon energy demonstration projects from EU ETS revenues – the so-called NER 300 programme. The experience with the NER 300 implementation provided valuable insights for the design of the Innovation Fund, in particular through:

- Recommendations made by the European Court of Auditors ([ECA special report N° 24/2018](#)).
- The NER 300 lessons learnt study
- Several workshops and consultations hold with stakeholders and experts to share their experiences with the NER 300 implementation

The IF builds on the lessons learned from NER300 programme such as challenging investment conditions (low carbon price), lack of public and private financing in the early stages, the programme's rigid design, complex project selection and decision-making and generally low maturity of projects.

It is too early to report on the performance of the Innovation Fund since first calls for proposals were launched in 2020. However, the first call is promising, with a number of proposals received exceeding expectations, including many good quality proposals. Although the evaluation is still ongoing, the Commission expects that flexibility clause allowing for a 20% top-up of the initial call budget will be fully used, also because the IF revenues exceed expectations.

### 3.1.2. Active programme performance

Performance assessment will be provided once the implementation of the programme 2021-2027 will have started

### 3.1.3. Previous programme performance

## 3.2. Key achievements


## 3.3. Evaluations, studies and reports

## 4. Programme 2021-2027 - Key monitoring indicators

**Specific Objective 1 :Support projects demonstrating highly innovative technologies, processes or products that are sufficiently mature and have a significant potential to reduce greenhouse gas emissions**

**Indicator 1:Absolute GHG emissions avoidance planned/achieved**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	Reduction of GHG emissions (in tons of CO2 eq.) [cumulative ]
Cut-Off Date	
Data source	CINEA database
Link to the objective	The IF aims at supporting projects with a significant potential to reduce greenhouse gas emissions
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Level of financial maturity of supported projects**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	% of projects reaching financial close within 4 years from the grant agreement [cumulative]
Cut-Off Date	
Data source	CINEA database
Link to the objective	The IF aims at supporting highly innovative technologies, processes or products that are sufficiently mature
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 3: Level of operational maturity of supported projects

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Result
Unit of measurement	% of projects entering into operation [cumulative]
Cut-Off Date	
Data source	CINEA database
Link to the objective	The IF aims at supporting highly innovative technologies, processes or products that are sufficiently mature
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 4: Events to increase knowledge on the cleantech solutions

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of knowledge sharing events per year [annual]
Cut-Off Date	
Data source	CINEA database
Link to the objective	The IF aims at supporting highly innovative technologies, processes or products that are sufficiently mature
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 5: Participants to knowledge events on the cleantech solutions

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of participants [annual]
Cut-Off Date	
Data source	CINEA database
Link to the objective	The IF aims at supporting highly innovative technologies, processes or products that are sufficiently mature
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## Specific Objective 2 :To offer financial support tailored to market needs and risk profiles of eligible projects, while attracting additional public and private resources

### Indicator 1:Sufficient support provided for grants

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Number of projects supported										
	Milestones									
	Actual Progress									Final
Funding committed to projects										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of projects supported [cumulative]; funding committed to projects [cumulative]
Cut-Off Date	
Data source	CINEA database
Link to the objective	Offer financial support tailored to market needs and risk profiles of eligible projects, while attracting additional public and private resources
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

### Indicator 2:Investments mobilised

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
Investments mobilised by the IF grants										
	Milestones									
	Actual Progress									Final
Investments mobilised via Financial Instruments										
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Total volume of clean-tech investments mobilised by the IF grants [cumulative]; Total volume of clean-tech investments, induced by support channelled via Financial Instruments [cumulative]
Cut-Off Date	
Data source	CINEA database (IF); InvestEU database (Financial Instruments)
Link to the objective	Offer financial support tailored to market needs and risk profiles of eligible projects, while attracting additional public and private resources
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	

Full metadata available at this address	
Justification of the trend	

**Specific Objective 3 :To ensure that the revenues of the Innovation Fund are managed in accordance with the objectives of the EU Emission Trading System (EU ETS) in terms of technology pathways and geographical coverage**

**Indicator 1:Technology sectors covered**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of sectors covered [cumulative]
Cut-Off Date	
Data source	CINEA database
Link to the objective	Ensuring that the revenues of the Innovation Fund are managed in accordance with the objectives of the EU Emission Trading System (EU ETS)
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

**Indicator 2:Geographically balanced locations**

Baseline	2021	2022	2023	2024	2025	2026	2027	2028	2029	Target
	Milestones									
	Actual Progress									Final

Are we on track	
Indicator type	Output
Unit of measurement	Number of Member States covered [cumulative]
Cut-Off Date	
Data source	CINEA database
Link to the objective	Ensuring that the revenues of the Innovation Fund are managed in accordance with the objectives of the EU Emission Trading System (EU ETS)
Link MFF 14-20 / MFF 21-27	No link to MFF 14-20
Other methodological comments	
Full metadata available at this address	
Justification of the trend	

## **5. Programme 2014-2020 - Key monitoring indicators**

### **6. The programme contribution to horizontal policies**

#### **6.1. Contribution to climate mainstreaming**

##### **6.1.1. Tracking and estimates**

2020-2021 estimates		2022-2027 programming						Total
2020	2021	2022	2023	2024	2025	2026	2027	
	0,0	0,0						0,0

(\*Consolidated and updated comparable information for the annual expenditures adopted, estimated or programmed for the 2021-2027 programming period (totals by programme in EUR Million).

##### **6.1.2. Explanation and justification on the financial contribution**

**6.1.3. Key achievements**

The Innovation Fund is a key funding instrument for delivering the EU's economy-wide commitments under the Paris Agreement and its objective to be climate neutral by 2050, as recognised in the European Green Deal Investment Plan. The Innovation Fund focuses on highly innovative technologies and big flagship projects within Europe that can bring on significant emission reductions. As such, the IF's contribution towards climate objectives is significant (i.e. 100% according to the 'Rio markers').

**6.2. Contribution to biodiversity mainstreaming**

Not applicable

**6.3. Contribution to clean air financing**

Not applicable

**6.4. Contribution to gender equality**

Not applicable

**6.5. Contribution to the sustainable development goals**

Not applicable

## **Getting in touch with the EU**

### **In person**

All over the European Union there are hundreds of Europe Direct information centres. You can find the address of the centre nearest you at: [https://europa.eu/european-union/contact\\_en](https://europa.eu/european-union/contact_en)

### **On the phone or by email**

Europe Direct is a service that answers your questions about the European Union. You can contact this service:

- by freephone: 00 800 6 7 8 9 10 11 (certain operators may charge for these calls),
- at the following standard number: +32 22999696 or
- by email via: [https://europa.eu/european-union/contact\\_en](https://europa.eu/european-union/contact_en)

## **Finding information about the EU**

### **Online**

Information about the European Union in all the official languages of the EU is available on the Europa website at: [https://europa.eu/european-union/index\\_en](https://europa.eu/european-union/index_en)

### **EU publications**

You can download or order free and priced EU publications at: <https://publications.europa.eu/en/publications>.

Multiple copies of free publications may be obtained by contacting Europe Direct or your local information centre (see [https://europa.eu/european-union/contact\\_en](https://europa.eu/european-union/contact_en)).

### **EU law and related documents**

For access to legal information from the EU, including all EU law since 1952 in all the official language versions, go to EUR-Lex at: <http://eur-lex.europa.eu>

### **Open data from the EU**

The EU Open Data Portal (<http://data.europa.eu/euodp/en>) provides access to datasets from the EU. Data can be downloaded and reused for free, for both commercial and non-commercial purposes.



Find out more about the EU's financial programming  
and budget by visiting our website regularly:  
[ec.europa.eu/budget](https://ec.europa.eu/budget)

**FOLLOW US ON:**

[facebook.com/EuropeanCommission](https://facebook.com/EuropeanCommission)  
[twitter.com/EU\\_Budget](https://twitter.com/EU_Budget)  
[twitter.com/EU\\_Commission](https://twitter.com/EU_Commission)



Publications Office  
of the European Union