



# **2019**

# **Annual Activity Report**

# **Annexes**

**Service for Foreign Policy Instruments**

# **2019**



## Table of Contents

<b>ANNEX 1:</b>	<b>STATEMENT OF THE HEAD OF UNIT IN CHARGE OF RISK MANAGEMENT AND INTERNAL CONTROL</b> .....	<b>3</b>
<b>ANNEX 2:</b>	<b>REPORTING – HUMAN RESOURCES, BETTER REGULATION, INFORMATION MANAGEMENT AND EXTERNAL COMMUNICATION</b> .....	<b>4</b>
<b>ANNEX 3:</b>	<b>DRAFT ANNUAL ACCOUNTS AND FINANCIAL REPORTS</b> .....	<b>15</b>
<b>ANNEX 4:</b>	<b>MATERIALITY CRITERIA</b> .....	<b>37</b>
<b>ANNEX 5:</b>	<b>RELEVANT CONTROL SYSTEM(S) FOR BUDGET IMPLEMENTATION (RCSs)</b> .....	<b>39</b>
<b>ANNEX 6:</b>	<b>IMPLEMENTATION THROUGH NATIONAL OR INTERNATIONAL PUBLIC-SECTOR BODIES AND BODIES GOVERNED BY PRIVATE LAW WITH A PUBLIC SECTOR MISSION</b> .....	<b>62</b>
<b>ANNEX 7:</b>	<b>EAMR OF THE UNION DELEGATIONS (IF APPLICABLE)</b> .....	<b>76</b>
<b>ANNEX 8:</b>	<b>DECENTRALISED AGENCIES (NOT APPLICABLE)</b> .....	<b>77</b>
<b>ANNEX 9:</b>	<b>EVALUATIONS AND OTHER STUDIES FINALISED OR CANCELLED DURING THE YEAR</b> .....	<b>78</b>
<b>ANNEX 10:</b>	<b>SPECIFIC ANNEXES RELATED TO "FINANCIAL MANAGEMENT" EXAMPLES OF SUPERVISION MISSION FINDINGS</b> .....	<b>79</b>
<b>ANNEX 11:</b>	<b>SPECIFIC ANNEXES RELATED TO "ASSESSMENT OF THE EFFECTIVENESS OF THE INTERNAL CONTROL SYSTEMS"</b> .....	<b>83</b>
<b>ANNEX 12:</b>	<b>PERFORMANCE TABLES</b> .....	<b>84</b>

## **ANNEX 1: Statement of the Head of Unit in charge of Risk Management and Internal Control**

***I declare that in accordance with the Commission's communication on the internal control framework<sup>1</sup> I have reported my advice and recommendations on the overall state of internal control in the Service to the Head of Service.***

***I hereby certify that the information provided in the present Annual Activity Report and in its annexes is, to the best of my knowledge, accurate and complete.***

*Date 31/03/2020*

*[signed]*

Ronan Mac Aongusa

Acting Head of Unit FPI.1

and

Acting Head of Unit in charge of Risk Management and Internal Control<sup>2</sup> of FPI

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<sup>1</sup> C(2017)2373 of 19.04.2017.

<sup>2</sup> Due to the "lean" structure of FPI, this function is assigned to the Head of Unit level.

## ANNEX 2: Reporting – Human Resources, Better Regulation, Information Management and External Communication

This annex is the annex of section 2.2 "Other organisational management dimensions".

### Human Resources

**Objective:** The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.

**Indicator 1:** Percentage of female representation in middle management

**Source of data:** DG HR Collaborate Workspace

Baseline (2015)	Target	Latest known results (31/12/2019)
20%	40% by 2019	60% <sup>3</sup>

**Indicator 2:** Percentage of staff who feel that the Commission cares about their well being

**Source of data:** Commission staff survey

Baseline (2014)	Target	Latest known results (31/12/2018)
39%	Increase on baseline by 2020	58%

**Indicator 3:** Staff Engagement Index

**Source of data:** Commission staff survey

Baseline (2014)	Target	Latest known results (31/12/2018)
59%	Increase on baseline by 2020	72%

### Main outputs in 2019:

Description	Indicator	Target	Latest known results
FPI Regional Teams at their full potential	Enhanced quality of project design (taking into account geographical specificities); full control of FPI financial circuits	February 2019	Confirmed by Supervision missions to RT Dakar (May 2019) and RT Brasilia (October 2019).

<sup>3</sup> 1 HoU post vacant on 31/12/2019 due to secondment of then HoU to Cabinet. 60% between 01/02/--30/11/2019. A newly appointed female HoU replaced the seconded colleague as from 16/2/2020.<sup>4</sup> The Service will aim to reduce the amount at risk through effective ex-ante and ex-post controls and corrections, if needed.

	and files		
More appointments of promising young colleagues to middle management positions with a particular focus on female appointments	Newly appointed women in middle management	A further 20% by first trimester of 2019	
Well-trained FPI staff	Implement Learning & Development Strategy for FPI	December 2019	December 2019
Streamlined approach to integrating new colleagues	FPI Welcome Guide published on intranet	Second trimester 2019	Delayed until 1 <sup>st</sup> trimester 2020
Additional features of OPSYS agreed with developers and made available to FPI staff	Timely organisation of further OPSYS training (in cooperation with DG DEVCO and DG NEAR)	December 2019	First OPSYS release in July 2018 (Track 1), FPI.1 participated in eight roll-out webinars from September to December 2018
Improved staff project management skills in line with approach of revised FPI Manual	Continuous support to FPI staff provided by FPI.1 on use of revised FPI Manual		Training session on FPI Manual / Results Framework organised during FPI Days in April 2019
Improved staff knowledge of FPI Results Framework	Timely communication on DEVCO's training on EVAL module to FPI staff		Training session on Evaluation/EVAL module organised during FPI Days in April 2019;
Improved staff			

knowledge of evaluation methodology via webinar and classroom training	Continuous support to use of EVAL module to FPI staff by FPI.1		FPI colleagues regularly informed (via intranet) of EVAL trainings given by DEVCO training team
Action plan as follow-up of staff opinion survey 2018	Approval of action plan by Director	By end of Q2 2019	30/06/2019
Internal Communication Strategy reinforcing FPI corporate identity including targeted staff engagement actions	Easily accessible and revamped intranet	Internal Communication Strategy reinforcing FPI corporate identity including targeted staff engagement actions	Revamping on-going

## Financial management

### Objective 1:

Effective and reliable internal control system giving the necessary guarantees concerning the legality and the regularity of the underlying transactions

#### Indicator 1: Estimated residual error rate

Source of data: Annual Activity report; covers all operational expenditure

Baseline (2014)	Target	Latest known results (31/12/2019)
0.73%	Residual error rate of the underlying transactions for budget implementation (RER) below 2%	0.88%

#### Indicator 2: Estimated overall amount at risk for the year for the entire budget under the Service's responsibility

Source of data: Annual Activity report

Baseline (2014)	Target	Latest known results
EUR 7.2 million	None <sup>4</sup>	EUR 6.32 million

#### Indicator 3: Estimated future corrections

Source of data: Annual Activity report

Baseline (2014)	Target	Latest known results
EUR 1.3 million	≤EUR 1 million	EUR 2.53 million

### Main outputs in 2019:

Description	Indicator	Target	Latest known results
Ex-post controls plan	Number of EPCs implemented	24 = 100%	24 = 100%
Effective cooperation with the IAS on the Audit on Partnership	Respecting the deadlines indicated in the Mutual Expectation paper of the IAS for	100% compliance with deadlines	100%

<sup>4</sup> The Service will aim to reduce the amount at risk through effective ex-ante and ex-post controls and corrections, if needed.

Instrument launched end 2018	replies to Draft Report		
Implementation of Mission Supervision Plan	Number of Supervision Missions conducted	100% by end-October 2019 (Regional Teams in Dakar and Brasilia, Delegations in Beijing and Washington)	100%
Specific risk management criteria developed for IcSP at Instrument level suited to operational needs in all 5 Regional Teams	Criteria for risk management	100% by year end (31 December 2019)	100%
Full implementation of the Recommendations from the IAS audit of EC-EEAS coordination	Number of implemented recommendations stemming from the IAS audit of EC-EEAS coordination	100% by year end (31 December 2019)	The target date for the implementation of the recommendations is postponed to 30 June 2020, due to need for a coordinated approach between all external relation DG's involved, and the SG on the issuing of updated working arrangements with the EEAS. It should be noted that the IAS overlooked this when drafting the Recommendation. FPI alerted IAS -on 23 July 2019. <sup>5</sup>
Overall amount at risk for the year for the entire	Estimated overall amount at risk for the year for the entire	≤€ 5 million	EUR 6.32 million

<sup>5</sup> The current value is 87.5% as the last recommendation, the launch of a perception study, will be implemented during the first semester of 2020.



budget under the FPI's responsibility	budget under the Service's responsibility		
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**Objective 2:  
Effective and reliable internal control system in line with sound financial management**

**Indicator 1: conclusions reached on cost effectiveness of controls**

**Source of data: Annual Activity Report**

Baseline (2014)	Target	Latest known results (situation on 31/12/2019)
Positive conclusion on cost effectiveness of controls	Positive conclusion on cost effectiveness of controls (cost/managed funds ratio to be maintained at the current level)	Positive conclusion on cost effectiveness of controls

**Main outputs in 2019:**

Description	Indicator	Target	Latest known results
Risk-differentiated & cost-effective internal control systems	Review status of the control systems to differentiate the frequency and/or the intensity of the Service's controls	Reviewed with positive conclusion (no need to revise)	Positive conclusion
Increased level of awareness of the new Internal Control Framework (ICF)	% of staff are aware about the change of the Internal Control Framework	>50%	53.6%
Timely execution of payments	Percentage of payments made within the time limits	≥90%	93%
Open recommendations from European Court of Auditors (ECA)	Number of critical recommendations from ECA overdue for more than 6 months	None	None

**Objective 3:**

**Minimisation of the risk of fraud through application of effective anti-fraud measures, integrated in all activities of the DG, based on the DG's anti-fraud strategy (AFS) aimed at the prevention, detection and reparation of fraud**

**Indicator 1:** Updated anti-fraud strategy of FPI, elaborated on the basis of the methodology provided by OLAF

**Source of data:** FPI.1

Baseline (2014)	Target	Latest known results (situation on 31/12/2019)	
yes	Update every 2 years (in 2016, 2018 and 2020)	yes	
<b>Main outputs in 2019:</b>			
Description	Indicator	Target	Latest known results
Implementation of the Anti-Fraud Strategy as planned in 2019	% of the implementation of the actions planned for 2019 in the anti-fraud strategy	100%	100%
Increased anti-fraud awareness amongst FPI headquarters' staff (newcomers)	% of newcomers attending the training course in 2019	100%	100%
Use of Vademecum on financial and accounting procedures for CSDP Missions including specific chapters on anti-fraud internal control, procurement and ethics and integrity	% of CSDP Missions using and implementing the Vademecum in 2019	100%	100%

Update of the Procurement Rules for CFSP Operations further to the entry into force of the new Financial Regulation (2018) and organisation of a specific training course on procurement, including anti-fraud issues, in 2019.	% of CSDP Missions using and implementing the Procurement Guide	100%	100%
Update of the template of the Contribution Agreement (which includes anti-fraud clauses) for CFSP Actions further to the entry into force of the new Financial Regulation (2018)	% of CSDP Missions using and implementing the Procurement Guide	100%	100%

### Information Management

**Objective: Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable**

**Indicator 1:** Percentage of registered documents that are not filed<sup>6</sup> (ratio)

<sup>6</sup> Each registered document must be filed in at least one official file of the *Chef de file*, as required by the [e-Domec policy rules](#) (and by ICS 11 requirements). The indicator is to be measured via reporting tools available in Ares.

<b>Source of data:</b> Hermes-Ares-Nomcom (HAN) <sup>7</sup> statistics			
Baseline (2014)	Target		Latest known results (31/12/2019)
15.02%	0% by 2020		4.24%
<b>Indicator 2:</b> Number of HAN files readable/accessible by all units in the DG			
<b>Source of data:</b> HAN statistics			
Baseline (2014)	Target		Latest known results (31/12/2019)
92.10%	95% by 2020		95.97%
<b>Indicator 3:</b> Number of HAN files shared with other DGs			
<b>Source of data:</b> HAN statistics			
Baseline (2014)	Target		Latest known results (31/12/2019)
23.77%	40% by 2020		14.83%
<b>Main outputs in 2019:</b>			
Description	Indicator	Target	Latest known results (31/12/2019)
Business Continuity Plan	Update FPI business continuity plan including simulation exercise	June 2019	The update of the Business Continuity Plan is ongoing.  It remains a priority for 2020.
Electronic filing of registered documents in Ares	Number of registered documents in Ares	100% of registered documents filed	94.8%
Ensure full traceability of financial and contractual information for operational and ECA audit purposes in line with ICP 7	Compliance with Internal Control Principle 7 (Identification and Analysis of Risks)	June 2019	December 2019

<sup>7</sup> Suite of tools designed to implement the [e-Domec policy rules](#).

Compliance with the Action Plan and the Internal Regulation on Data Protection	Implementation of records and privacy statements to ensure compliance	ongoing	Ongoing. The current FPI inventory includes 17 processing operations. Controller Units are in the process of drafting new records and converting legacy notifications into records. An FPI intranet page on data protection was created in May. In July 2019, a comprehensive data breach response plan was finalised and communicated to all staff.
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### External Communication

**Objective: 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 and they know about their rights in the EU**

**Indicator 1:** Percentage of EU citizens having a positive image of the EU

**Source of data:** Standard Eurobarometer (DG COMM budget)

Baseline (2015) November	Target	Latest known results (31/12/2018)
Total "Positive": 37% Neutral: 38 % Total "Negative": 23%	Positive image of the EU $\geq$ 50%	43% <i>[latest results pending]</i>  Positive 43% Neutral 36% Negative 20%

#### Main outputs in 2019:

Description	Indicator	Target	Latest known results (31/12/2019)
Improved access to and information about EU institutions to 3 <sup>rd</sup> country	Number of visits facilitated under EUVP	134 visits	185

visitors under EUVP			
Provision of full digital broadcasting service in Farsi through Euronews	Number of calendar days of coverage	365 calendar days	365 calendar days

FPI external communication focused on how the EU budget contributes chiefly to the achievement of the 2014-2019 Commission political priorities Nr. 9, 'A stronger global actor', as well as to several other of the Commission's political priorities, in particular but not exclusively those related to "A new boost for jobs, growth and investment", "A connected digital single market", "A resilient Energy Union with a Forward-Looking Climate Change Policy", "Trade: A balanced and progressive trade policy to harness globalisation", and "A New Policy on Migration". FPI ensured its website was up to date including new public interest stories on all operations.

Most of the communication spending was administered by the EEAS, both in Headquarters and in Delegations, in line with the Service Level Agreement (SLA) concluded between FPI and EEAS in 2013 and the spending related to the annual press and information budgets for some 140 EU Delegations throughout the world. Another large part of spending financed a transmission on the Euronews channel in the Farsi language via various digital platforms (website, social networks, Youtube) while continued support was also given to management and updating of the FPI website and the European Union Visitors Programme. See also Part I 'Information outreach on the Union's external relations'.

<b>Annual communication spending (based on estimated commitments):</b>			
Baseline (Year n-1):	Target (Year n):	Total amount spent	Total of FTEs working on external communication
EUR 16 025 000	EUR 16 100 000	EUR 19 500 000	1

## **ANNEX 3: Draft annual accounts and financial reports**

AAR 2019 Version 1

### **Annex 3 Financial Reports - DG FPI - Financial Year 2019**

**Table 1 : Commitments**

**Table 2 : Payments**

**Table 3 : Commitments to be settled**

**Table 4 : Balance Sheet**

**Table 5 : Statement of Financial Performance**

**Table 5 Bis: Off Balance Sheet**

**Table 6 : Average Payment Times**

**Table 7 : Income**

**Table 8 : Recovery of undue Payments**

**Table 9 : Ageing Balance of Recovery Orders**

**Table 10 : Waivers of Recovery Orders**

**Table 11 : Negotiated Procedures**

**Table 12 : Summary of Procedures**

**Table 13 : Building Contracts**

**Table 14 : Contracts declared Secret**

**Table 15 : FPA duration exceeds 4 years**

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

*Refresh date : 23/03/2020*



## Additional

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Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

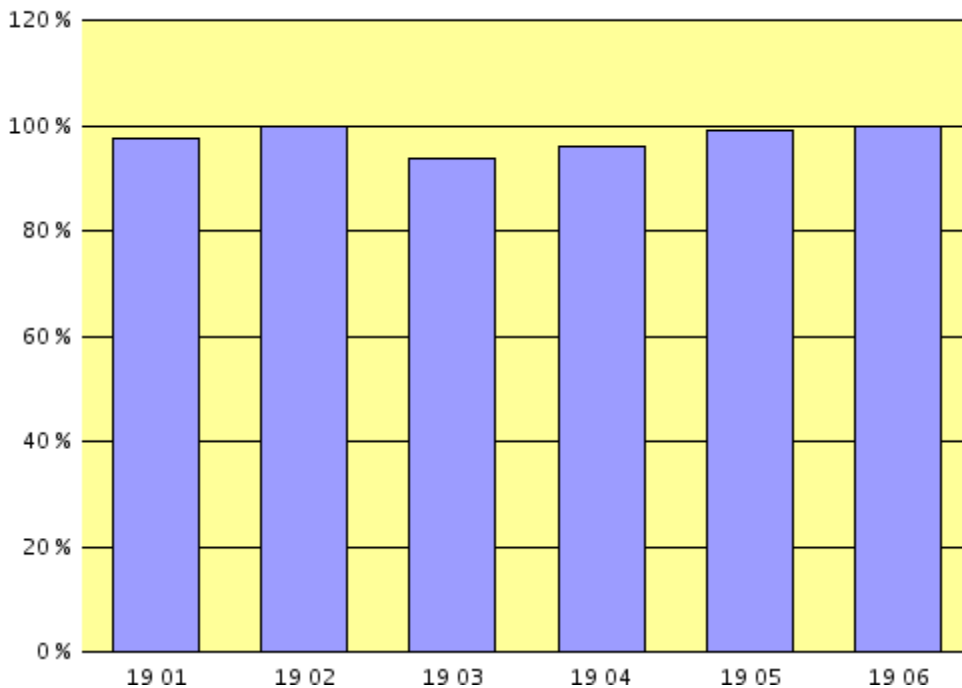
*Refresh date : 23/03/2020*

**TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG FPI**

			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
<b>Title 19 Foreign policy instruments</b>					
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	2,59	2,53	97,57 %
	19 02	Instrument contributing to Stability and Peace (IcSP) - Crisis response, conflict prevention, peace-building and crisis preparedness	299,95	299,7	99,92 %
	19 03	Common foreign and security policy (CFSP)	383,44	359,4	93,73 %
	19 04	Election observation missions (EU EOMs)	29,98	28,84	96,19 %
	19 05	Cooperation with third countries under the Partnership Instrument (PI)	133,33	132,18	99,14 %
	19 06	Information outreach on the Union's external relations	16,65	16,65	100,00 %
<b>Total Title 19</b>			<b>865,94</b>	<b>839,3</b>	<b>96,92 %</b>
<b>Total DG FPI</b>			<b>865,94</b>	<b>839,3</b>	<b>96,92 %</b>

\* Commitment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous commitment appropriations for the period (e.g. internal and external assigned revenue).

**% Outturn on Commitment Appropriations in 2019 for DG FPI**



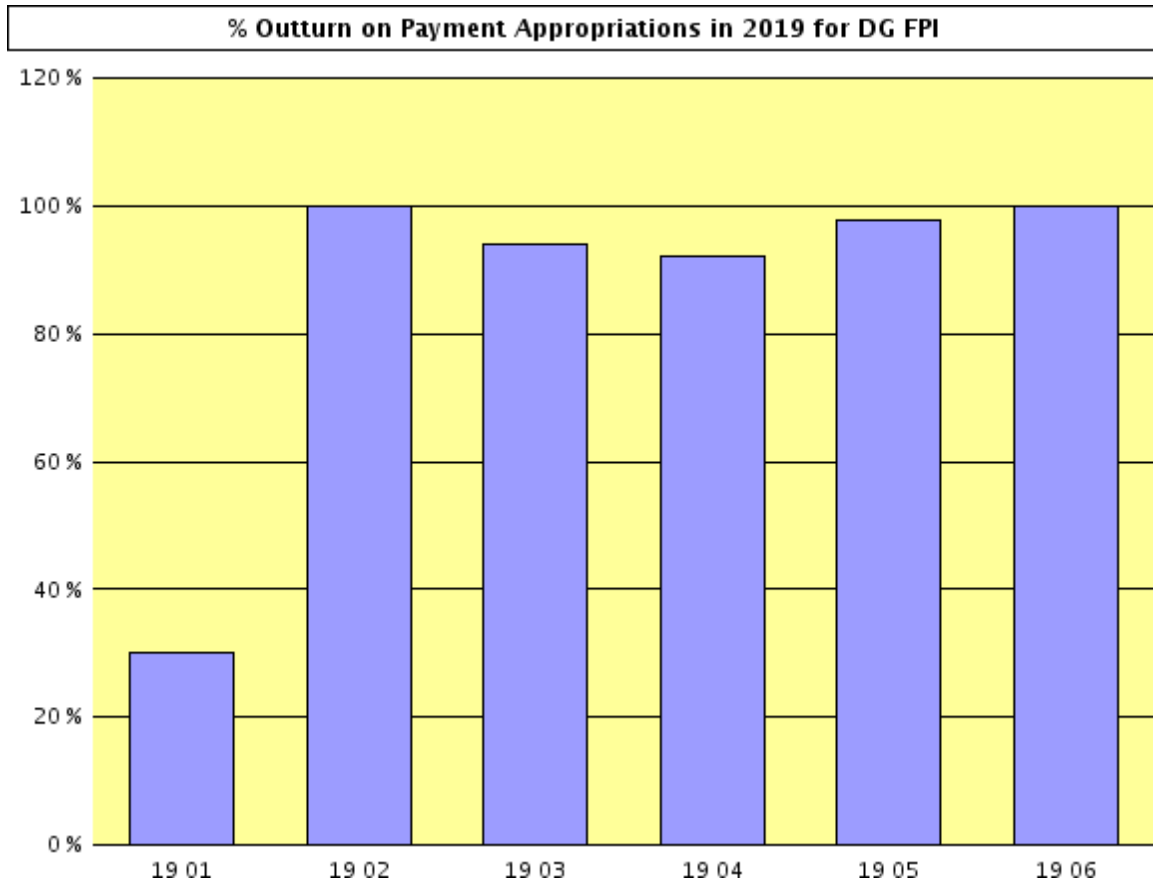
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG FPI**

			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
<b>Title 19 Foreign policy instruments</b>					
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	5,85	1,75	29,98 %
	19 02	Instrument contributing to Stability and Peace (IcSP) - Crisis response, conflict prevention, peace-building and crisis preparedness	243,98	243,97	100,00 %
	19 03	Common foreign and security policy (CFSP)	360,79	338,83	93,91 %
	19 04	Election observation missions (EU EOMs)	24,26	22,37	92,22 %
	19 05	Cooperation with third countries under the Partnership Instrument (PI)	108,77	106,36	97,78 %
	19 06	Information outreach on the Union's external relations	16,64	16,64	100,00 %
<b>Total Title 19</b>			<b>760,29</b>	<b>729,93</b>	<b>96,01%</b>
<b>Total DG FPI</b>			<b>760,29</b>	<b>729,93</b>	<b>96,01 %</b>

\* Payment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous payment appropriations for the period (e.g. internal and external assigned revenue).



Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

*Refresh date : 23/03/2020*

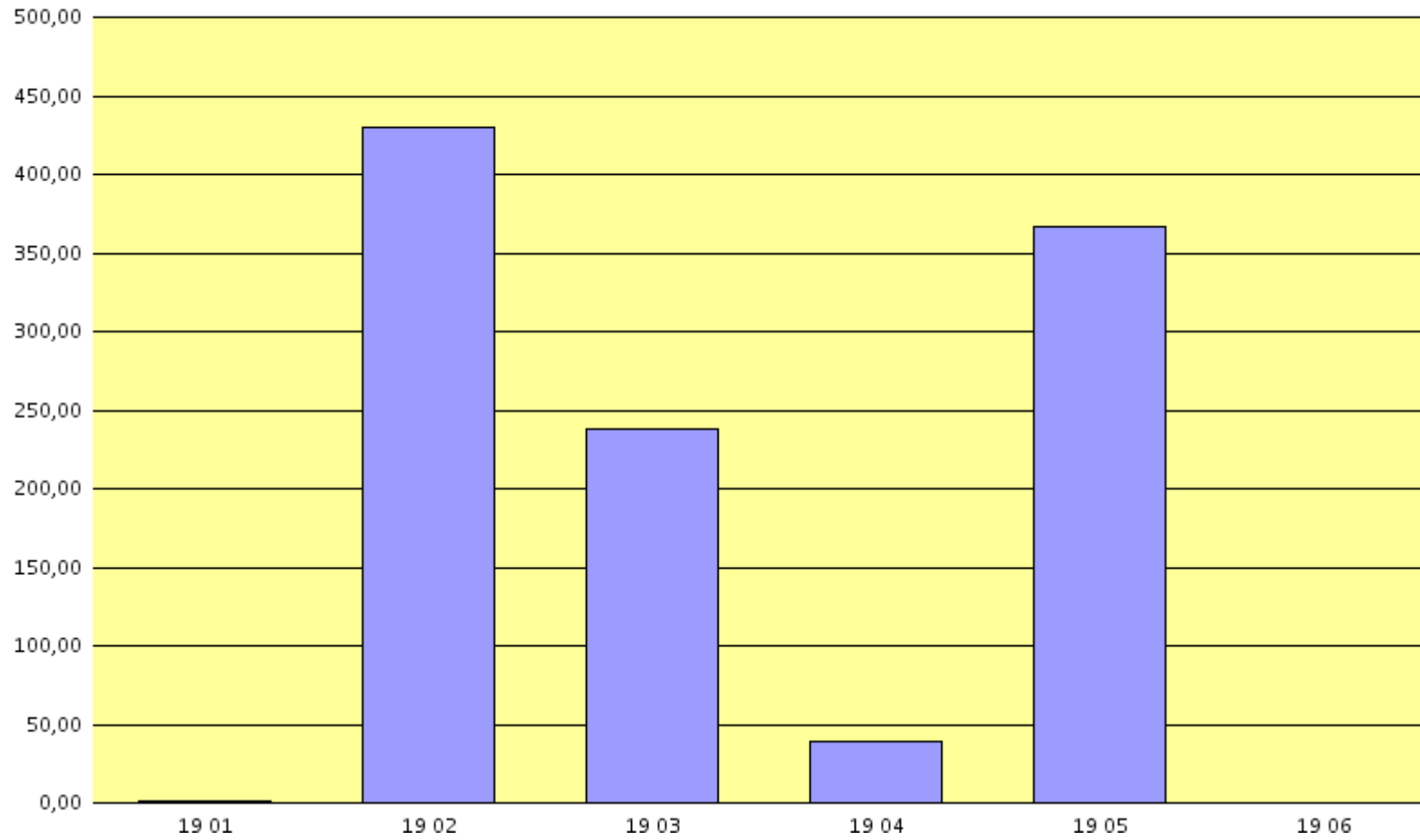
**TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG FPI**

Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	2,53	0,82	1,71	67,42%	0,00	1,71	1,39
	19 02	Instrument contributing to Stability and Peace (IcSP) - Crisis response, conflict prevention, peace-building and crisis preparedness	299,70	103,71	195,99	65,40%	233,95	429,95	386,55
	19 03	Common foreign and security policy (CFSP)	359,40	209,85	149,55	41,61%	88,09	237,64	265,82
	19 04	Election observation missions (EU EOMs)	28,84	16,81	12,02	41,70%	27,60	39,63	34,18
	19 05	Cooperation with third countries under the Partnership Instrument (PI)	132,18	3,36	128,81	97,45%	237,89	366,71	340,89
	19 06	Information outreach on the Union's external relations	16,65	16,64	0,01	0,05%	0,21	0,21	0,40
<b>Total Title 19</b>			<b>839,30</b>	<b>351,20</b>	<b>488,09</b>	<b>58,16%</b>	<b>587,75</b>	<b>1.075,84</b>	<b>1.029,22</b>
<b>Total for DG FPI</b>			<b>839,3</b>	<b>351,20</b>	<b>488,09</b>	<b>58,16 %</b>	<b>587,75</b>	<b>1.075,84</b>	<b>1.029,22</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**Breakdown of Commitments Remaining to be Settled (in Mio EUR) at 31/12/2019 for DG FPI**



Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 4 : BALANCE SHEET for DG FPI**

<b>BALANCE SHEET</b>	<b>2019</b>	<b>2018</b>
<b>A.I. NON CURRENT ASSETS</b>	<b>19.059.192,7</b>	<b>55.415.667,12</b>
A.I.5. Non-Current Pre-Financing	19.059.192,70	55.415.667,12
<b>A.II. CURRENT ASSETS</b>	<b>365.517.958,85</b>	<b>343.730.333,49</b>
A.II.2. Current Pre-Financing	380.521.516,79	353.780.533,05
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	-15.003.557,94	-10.050.199,56
A.II.4. Inventories	0,00	0,00
<b>ASSETS</b>	<b>384.577.151,55</b>	<b>399.146.000,61</b>
<b>P.I. NON CURRENT LIABILITIES</b>	<b>44.889</b>	<b>44.889</b>
P.I.3. Non-Current Financial Liabilities	44.889,00	44.889,00
<b>P.II. CURRENT LIABILITIES</b>	<b>-83.837.923,91</b>	<b>-76.902.825,7</b>
P.II.4. Current Payables	-13.001.709,56	-14.522.898,06
P.II.5. Current Accrued Charges & Defrd Income	-70.836.214,35	-62.379.927,64
<b>LIABILITIES</b>	<b>-83.793.034,91</b>	<b>-76.857.936,7</b>
<b>NET ASSETS (ASSETS less LIABILITIES)</b>	<b>300.784.116,64</b>	<b>322.288.063,91</b>
P.III.2. Accumulated Surplus/Deficit	3.065.288.498,43	2.527.575.528,06
Non-allocated central (surplus)/deficit*	-3.366.072.615,07	-2.849.863.591,97
<b>TOTAL DG FPI</b>	<b>0,00</b>	<b>0,00</b>

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE for DG FPI**

<b>STATEMENT OF FINANCIAL PERFORMANCE</b>	<b>2019</b>	<b>2018</b>
<b>II.1 REVENUES</b>	<b>-1.037.574,08</b>	<b>-361.252,06</b>
II.1.1. NON-EXCHANGE REVENUES	-1.313.853,04	-1.038.329,94
II.1.1.5. RECOVERY OF EXPENSES	-812.928,08	-130.119,97
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-500.924,96	-908.209,97
II.1.2. EXCHANGE REVENUES	276.278,96	677.077,88
II.1.2.1. FINANCIAL INCOME	-46.857,52	-83.950,23
II.1.2.2. OTHER EXCHANGE REVENUE	323.136,48	761.028,11
<b>II.2. EXPENSES</b>	<b>717.168.612,19</b>	<b>538.074.222,43</b>
II.2. EXPENSES	717.168.612,19	538.074.222,43
II.2.10. OTHER EXPENSES	18.106.389,85	14.585.411,31
II.2.2. EXP IMPL BY COMMISS&EX.AGENC	268.258.816,36	204.029.893,75
II.2.3. EXP IMPL BY OTH EU AGENC&BODIES	9.708.953,18	6.629.236,58
II.2.4. EXP IMPL BY 3RD CNTR & INT ORG (IM)	119.323.849,24	106.344.672,91
II.2.5. EXP IMPL BY OTHER ENTITIES (IM)	301.662.911,19	206.466.354,21
II.2.8. FINANCE COSTS	107.692,37	18.653,67
<b>STATEMENT OF FINANCIAL PERFORMANCE</b>	<b>716.131.038,11</b>	<b>537.712.970,37</b>

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

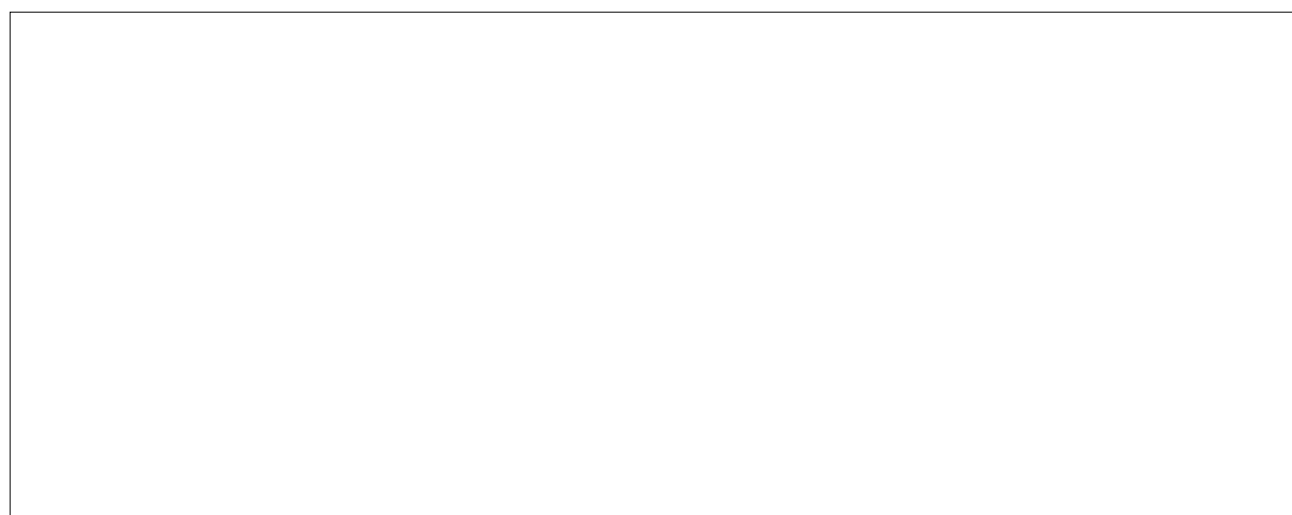
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020



**TABLE 5bis : OFF BALANCE SHEET for DG FPI**

<b>OFF BALANCE</b>	<b>2019</b>	<b>2018</b>
OB.1. Contingent Assets	65.476.238,85	72.908.365,39
GR for pre-financing	65.476.238,85	72.908.365,39
OB.2. Contingent Liabilities	-800.000	-512.788,49
OB.2.7. CL Legal cases OTHER	-800.000,00	-512.788,49
OB.3. Other Significant Disclosures	-992.460.930,99	-957.500.364,47
OB.3.2. Comm against app. not yet consume	-992.460.930,99	-957.500.364,47
OB.4. Balancing Accounts	927.784.692,14	885.104.787,57
OB.4. Balancing Accounts	927.784.692,14	885.104.787,57
<b>OFF BALANCE</b>	<b>0,00</b>	<b>0,00</b>



It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 6: AVERAGE PAYMENT TIMES in 2019 for FPI**

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	246	226	91,87 %	15,58	20	8,13 %	40,47
34	1				1	100,00 %	38
45	5	5	100,00 %	16,6			
60	278	264	94,96 %	38,25	14	5,04 %	90,54
90	143	133	93,01 %	46,49	10	6,99 %	100,88

<b>Total Number of Payments</b>	<b>673</b>	<b>628</b>	<b>93,31 %</b>		<b>45</b>	<b>6,69 %</b>	
<b>Average Net Payment Time</b>	<b>34,19</b>			<b>31,66</b>			<b>69,42</b>
<b>Average Gross Payment Time</b>	<b>91,16</b>			<b>88,39</b>			<b>129,76</b>

Suspensions							
Average Report Approval Suspension Days	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
0	40	244	36,26 %	673	177.795.822,29	24,94 %	712.879.831,31

Late Interest paid in 2019			
DG	GL Account	Description	Amount (Eur)
FPI	65010000	Interest expense on late payment of charges	16 781,09
FPI	65010100	Interest on late payment of charges New FR	90 911,28
			<b>107 692,37</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 7 : SITUATION ON REVENUE AND INCOME in 2019 for DG FPI**

Chapter		Revenue and income recognized			Revenue and income cashed from			Outstanding balance
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
		1	2	3=1+2	4	5	6=4+5	7=3-6
40	MISCELLANEOUS TAXES AND DEDUCTIONS	500.924,96	0,00	500.924,96	444.474,28	0,00	444.474,28	56.450,68
52	REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST	40.828,67	5.238,65	46.067,32	40.828,67	5.238,65	46.067,32	0,00
55	REVENUE FROM THE PROCEEDS OF SERVICES SUPPLIED AND WORK CARRIED OUT	229.185,48	0,00	229.185,48	229.185,48	0,00	229.185,48	0,00
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	1.161.172,91	272.745,94	1.433.918,85	1.142.404,64	0,00	1.142.404,64	291.514,21
66	OTHER CONTRIBUTIONS AND REFUNDS	28.032.865,21	2.451.740,82	30.484.606,03	27.562.132,21	1.911.919,62	29.474.051,83	1.010.554,20
<b>Total DG FPI</b>		<b>29.964.977,23</b>	<b>2.729.725,41</b>	<b>32.694.702,64</b>	<b>29.419.025,28</b>	<b>1.917.158,27</b>	<b>31.336.183,55</b>	<b>1.358.519,09</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 8 : RECOVERY OF PAYMENTS in 2019 for DG FPI**

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2019  Year of Origin (commitment)	Irregularity		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
<b>2009</b>	1	12.598,55	1	<b>12.598,55</b>	1	12.598,55	100,00%	100,00%
<b>2012</b>	3	23.654,5	3	<b>23.654,5</b>	7	501.677,85	42,86%	4,72%
<b>2013</b>	1	453.162	1	<b>453.162</b>	4	2.106.630,17	25,00%	21,51%
<b>2014</b>	2	40.311,5	2	<b>40.311,5</b>	6	239.433,86	33,33%	16,84%
<b>2015</b>	1	274	1	<b>274</b>	15	4.964.780,28	6,67%	0,01%
<b>2016</b>	1	2.831	1	<b>2.831</b>	19	7.929.283,51	5,26%	0,04%
<b>2017</b>					30	13.304.755,35		
<b>2018</b>					17	1.233.964,78		
<b>No Link</b>	1	3.685	1	<b>3.685</b>	12	232.870,48	8,33%	1,58%
<b>Sub-Total</b>	<b>10</b>	<b>536.516,55</b>	<b>10</b>	<b>536.516,55</b>	<b>111</b>	<b>30.525.994,83</b>	<b>9,01%</b>	<b>1,76%</b>

EXPENSES BUDGET	Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES										
NON ELIGIBLE IN COST CLAIMS	23	2.034.268,27			23	<b>2.034.268,27</b>	26	2.074.521,28	88,46%	98,06%
CREDIT NOTES	33	413.367,67			33	<b>413.367,67</b>	45	2.133.951,64	73,33%	19,37%

<b>Sub-Total</b>	<b>56</b>	<b>2.447.635,94</b>			<b>56</b>	<b>2.447.635,94</b>	<b>71</b>	<b>4.208.472,92</b>	<b>78,87%</b>	<b>58,16%</b>
<b>GRAND TOTAL</b>	<b>66</b>	<b>2.984.152,49</b>			<b>66</b>	<b>2.984.152,49</b>	<b>182</b>	<b>34.734.467,75</b>	<b>36,26%</b>	<b>8,59%</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors.

*Refresh date : 23/03/2020*

**TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2019 for DG FPI**

	Number at 1/01/2019	Number at 31/12/2019	Evolution	Open Amount (Eur) at 1/01/2019	Open Amount (Eur) at 31/12/2019	Evolution
2008	1	1	0,00 %	272.745,94	272.745,94	0,00 %
2015	4	3	-25,00 %	538.692,57	473.772,09	-12,05 %
2016	1	1	0,00 %	112.706,26	112.706,26	0,00 %
2017	1		-100,00 %	113.820,54		-100,00 %
2018	7		-100,00 %	1.738.417,25		-100,00 %
2019		5			545.951,95	
	<b>14</b>	<b>10</b>	<b>-28,57 %</b>	<b>2.776.382,56</b>	<b>1.405.176,24</b>	<b>-49,39 %</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 10 :Recovery Order Waivers >= 60 000 € in 2019 for DG FPI**

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group
0	3233190048	3241500570	-64.920,48	Private Companies
1	3233190049	3241711299	-113.820,54	Private Companies
2	3233190060	3241815838	-62.934,40	Other Public Bodies
3	3233190082	3241902765	-69.666,50	Other Public Bodies
4	3233190090	3241814850	-306.100,12	Private persons

<b>Total DG FPI</b>	-
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<b>Number of RO waivers</b>	<b>5</b>
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There are 3 waivers below 60 000 € for a total amount of -59.708,4

#### **Justificati**

Waiver central Key	Commission Decision	Justification
3233190048	C(2019)1763	Article 101(2)(b) FR - Age
3233190049	C(2019)1763	Article 101(2)(b) FR - Age
3233190060	N/A	Article 101(2)(c) FR - Proportionality
3233190082	N/A	Article 101(2)(c) FR - Proportionality
3233190090	C(2019)3378	Article 101(2)(c) FR - Proportionality

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 11 :Negociated Procedures in 2019 for DG FPI****External Procedures > € 20,000**

<b>Negotiated Procedure Legal base</b>	<b>Number of Procedures</b>	<b>Amount (€)</b>
Annex 1 - 11.1 (b) - Artistic/technical reasons or exclusive rights or technical monopoly/captive market	1	2.720.000,00
Annex 1 - 11.1 ( c ) - Extreme urgency caused by unforeseeable events not attributable to the contracting authority	2	306.350,00
Annex 1 - 11.1 ( e ) - New services/works consisting in the repetition of similar services/works	1	1.240.000,00
Annex 1 - 39.1 (a) - Services entrusted to public-sector bodies or non-profit institutions or organisations	4	649.598,60
<b>Total</b>	<b>8</b>	<b>4.915.948,60</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020



**TABLE 12 : Summary of Procedures in 2019 for DG FPI****External Procedures > € 20,000**

<b>Procedure Legal base</b>	<b>Number of Procedures</b>	<b>Amount (€)</b>
(Ext. act) Service - International Restricted Procedure with prior publication (Art. 265.1(a)(i) & 2 RAP)	7	20.081.542,00
Negotiated procedure without prior publication (Annex 1 - 11.1)	4	4.266.350,00
Negotiated procedure with single tender (Annex 1 - 39.1)	4	649.598,60
Restricted procedure - As provided for in FR 164(1)(b) - Services/Supplies as from EUR 300 000 - Works as from EUR 5 000 000 - publication (Annex 1 - 38.1 (a))	10	24.698.112,00
<b>Total</b>	<b>25</b>	<b>49.695.602,60</b>

**Internal Procedures > € 60,000**

<b>Procedure Legal base</b>	<b>Number of Procedures</b>	<b>Amount (€)</b>
Open procedure (FR 164 (1)(a))	1	4.000.000,00
Restricted procedure without Dynamic purchasing system (FR 164 (1)(b))	1	200.000.000,00
<b>Total</b>	<b>2</b>	<b>204.000.000,00</b>

**Additional Comments:**

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 13 : BUILDING CONTRACTS in 2019 for DG FPI**

Legal Base	Procedure subject	LC/FW?	Contract/ FW Number	Contractor Name	Contract/FW Subject	Amount (€)

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 14 : CONTRACTS DECLARED SECRET in 2019 for DG FPI**

Legal Base	Procedure subject	LC/FW?	LC Contract/Grant type or FW type	LC Date	Contract/FW Number	Contractor Name	Contract/FW Subject	Amount (€)

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 23/03/2020

**TABLE 15 : FPA duration exceeds 4 years - DG FPI**

*None of your FPA (if any) exceeds 4 years*

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

*Refresh date : 23/03/2020*

## ANNEX 4: Materiality criteria

The principal criterion for defining significant weaknesses is the detection of significant deficiencies/errors during the controls, supervision and evaluation exercises. Different parameters are considered, such as the nature/typology of the deficiency and its scope, the relative importance of the system component affected by the deficiencies, their frequency and duration, their cause, the financial impact, monetary value of the identified problem/amount considered erroneous, the amount considered at risk, the possibility to undertake corrective actions and the existence of compensatory measures (mitigating controls which reduce the impact of the weakness). In addition, an examination is made as to whether the deficiencies give risk to special factors which put at risk the reputation of EU institutions (e.g. risk of widespread fraud).

From the examination carried out on the basis of the above factors, management should conclude that the deficiencies are significant and deserve to be disclosed in the declaration of assurance where:

- the problems identified concern key control elements/components linked to the underlying expenditure and, having regard to the relevant factors, it appears they are systematic and wide-ranging in their occurrence;
- the multi-annual residual error rate (RER) for one or more activities of the Service exceeds 2% of the authorised payments of the reporting year for this activity;
- the audit coverage is insufficient and information on internal control system inadequate to conclude on the robustness of internal control;
- the existence of critical issues reported by the Court of Auditors, the IAS or OLAF, including the impact on assurance of very important recommendations for which there is a significant delay in the implementation of the action plan;
- there are distinctive factors in relation to the qualitative aspects of the deficiencies, which give rise to a high reputational risk (both concerning the nature of the impact on reputation, the breadth of awareness of the event as well as the duration of impact on a reputation) for the EU institutions, which would lead to the conclusion that the deficiencies are significant notwithstanding the absence of one or both of the above elements.

Identification and correction of weaknesses/errors are based on a number of sources, comprising, inter alia:

- regular assessment of the implementation of the internal control framework;
- specific controls, audits or investigations and their results;
- management and monitoring reports;
- and recommendations of internal and external audit bodies .

As from 2019<sup>8</sup>, a 'de minimis' threshold for financial reservations is introduced.

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<sup>8</sup> Agreement of the Corporate Management Board of 30/4/2019.

Quantified AAR reservations related to residual error rates above the 2% materiality threshold, are deemed not substantial for segments representing less than 5% of a DG's total payments and with a financial impact below EUR 5 million. In such cases, quantified reservations are no longer needed.

## ANNEX 5: Relevant Control System(s) for budget implementation (RCSs)

**RCS 1:** *Instrument Contributing to Stability and Peace (Grants – direct management)*  
*Partnership Instrument, Instrument for Cooperation with Industrialised Countries (Grants – direct management)*

### Stage 4 - Ex-Post controls

#### A - Reviews, audits and monitoring

**Main control objectives:** Measuring the effectiveness of ex-ante controls by ex-post controls; detect and correct any error or fraud remaining undetected after the implementation of ex-ante controls (legality & regularity; anti-fraud strategy); addressing systemic weaknesses in the ex-ante controls, based on the analysis of the findings (sound financial management); Ensuring appropriate accounting of the recoveries to be made (reliability of reporting, safeguarding of assets and information).

**Overall control efficiency indicator:** estimated cost of controls of grant operations divided by total amount of expenditure under grant operations in the year.

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
The ex-ante controls (as such) fail to prevent, detect and correct erroneous payments or attempted fraud.	Ex-post control strategy: Carry out audits of a representative sample of operations to determine effectiveness of ex-ante controls.  If error rate over tolerable threshold, control a risk-based sample to lower the	Representative sample: annual ex-post control plan sufficiently representative to draw valid management conclusions. Selection based on comprehensive risk assessment.  Risk-based sample: special purpose audits aimed at	<b>Effectiveness:</b> detected error rate. Residual error rate. Number of supervisory control failures. Number of projects with errors; amount of the errors detected. <b>Efficiency:</b> total (average)

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
	residual error rate below the tolerable threshold. Validate audit results with beneficiary. If needed: referring the beneficiary or grant to OLAF	projects where problems are anticipated or have already been identified.	annual cost of audits in EPC plan + special purpose audits compared with benefits (ratio). <b>Economy:</b> cost of the external audit firms for the controls of IfS/IcSP and ICI/PI beneficiaries. Average cost per audit/ Benefits: value of the errors detected by the auditors.
	Supervision missions to Delegations by independent staff (FPI.1) not involved in the operational and financial circuits.	Size and composition of the sample are determined in accordance with the portfolios managed by the visited Delegations.	<b>Efficiency:</b> total (average) mission cost of supervisors compared with benefits (ratio). Average mission cost per million EUR of payments managed. <b>Economy:</b> mission cost of the controls of EU Delegations conducted by FPI staff (cost of staff not included). Average cost per mission/ Benefits: non-quantifiable.



<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>The ex-post controls focus on the detection of external errors (e.g. made by beneficiaries) and do not consider any internal errors made by staff or embedded systematically in the own organisation.</p>	<p>Establish an ex-post supervision strategy:            Carry out ex-post controls of systems and transactions in EU Delegations implementing IfS/IcSP and ICI/PI projects            Recommended: to be able to serve multiple purposes (e.g. for assurance as well as to give guidance and advice on IfS/IcSP and ICI/PI systems and procedures)</p>	<p>Annual ex-post control plan of EU Delegations to visit based on comprehensive risk assessment. Desk review in case of high risk Delegations (e.g. Afghanistan)            Depth: review of underlying checklists and documents relating to IfS commitments and payments.</p>	<p><b>Effectiveness:</b>            Number of administrative errors detected by the supervisors. Number of material findings. Value of material errors concerned. Detected error rate. Residual error rate. Average number of errors per Delegation.</p> <p><b>Efficiency:</b> total (average) mission cost of supervisors compared with benefits (ratio). Average mission cost per million EUR of payments verified.</p> <p><b>Economy:</b> mission cost of the controls of EU Delegations conducted by FPI staff (cost of staff not included). Average cost per mission/            Benefits: value of the errors detected by the supervisors.</p>

**B - Implementing results from ex-post audits/controls**

**Main control objectives:** Ensuring that the (audit) results from the ex-post controls lead to effective recoveries (legality & regularity; anti-fraud strategy); Ensuring appropriate accounting of the recoveries made (reliability of reporting).

**Overall control efficiency indicator:** percentage of cashed recoveries as of 31 March N+1.

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>The errors, irregularities and cases of fraud detected are not addressed or not addressed timely</p>	<p>Systematic registration of audit / control results to be implemented.                      Financial operational validation of recovery in accordance with financial circuits.                      Authorisation by AO.</p>	<p><b>Coverage:</b> 100% of final audit results <i>with a financial impact</i>.  <b>Depth:</b> consider 'extending' the findings of systemic errors into corrections of non-audited projects by the same beneficiary</p>	<p><b>Effectiveness:</b>                      Success ratio: % of value of the ROs over detected errors by the auditors after 1 year (not yet available).                      Number of suspected fraud cases transferred to OLAF.                      Analysis of financial control findings, internal control findings and other compliance findings per category of error. Number of occurrences per category of error detected.</p> <p><b>Efficiency:</b>                      Time-to-recovery (not yet determined).</p> <p><b>Economy:</b>                      Loss value of such ROs which are 'waived' or have to be cancelled/</p>

<b>Main risks</b> <i>It may happen (again)</i> <i>that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
			Benefits: value of the errors, detected by ex-post controls, which have actually been corrected (offset or recovered).

**RCS 2: Instrument contributing to Stability and Peace**  
**Indirect management (including 'similarly' managed budget 'entrusted' to other entities)**

**Stage 2 – Ex-ante (re)assessment of the entrusted entity’s financial and control framework (towards “budget autonomy”; “financial rules”).**

**Main control objectives:** Ensuring that the entrusted entity is fully prepared to start/continue implementing the delegated funds autonomously with respect of all 5 ICOs.

DEVCO is in charge of launching 4-pillar compliance assessments (International Organisations) and 6-pillar compliance assessments (indirect management).

**Stage 3 – Operations: monitoring, supervision, reporting (“representation” / “control with or around the entity?”).**

**Main control objectives:** Ensuring that the Commission is fully and timely informed of any relevant management issues encountered by the entrusted entity, in order to possibly mitigate any potential financial and/or reputational impacts (legality & regularity, sound financial management, true and fair view reporting, anti-fraud strategy)

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E’s)</b>
Due to weak "modalities of cooperation, supervision & reporting", the Commission is not (timely) informed of relevant management issues encountered by the entrusted entity, and/or does not (timely) react upon notified issues by mitigating them or by making a reservation for them – which may reflect	Delegation agreement/ Contribution agreement specifying the control, accounting, audit, publication, etc. related requirements.  Carry out verification missions of international organisations.	<b>Coverage:</b> verification missions of international organisations included in annual ex-post control plan. Selection of verification missions based on comprehensive risk assessment identical to grants.	<b>Effectiveness:</b> Number of verification missions; number of internal control and other compliance findings; amount of the errors concerned.  <b>Efficiency Indicators:</b> Cost/benefit ratio.

<b>Main risks <i>It may happen (again) that...</i></b>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
negatively on the Commission's governance reputation and quality of accountability reporting.			<b>Economy:</b> cost of the verification missions of international organisations included in the total cost of the annual ex-post control plan/ Benefits: value of the errors detected by the verification team.

#### **Stage 4 – Commission contribution: payment or suspension/interruption.**

**Main control objectives:** Ensuring that the Commission fully assesses the management situation at the entrusted entity, before either paying out the (next) contribution for the operational and/or operating budget of the entity, or deciding to suspend/interrupt the (next) contribution (legality & regularity, sound financial management, anti-fraud strategy).

<b>Main risks <i>It may happen (again) that...</i></b>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
The Commission pays out the (next) contribution to the entrusted entity, while not being aware of the management issues that may lead to financial and/or reputational damage.	Delegation agreement/ Contribution agreement specifying the control, accounting, audit, publication, etc. related requirements.	<b>Coverage:</b> 100% of the contribution payments (for ex-ante OV and FV). Verification missions of international organisations included in annual ex-post control plan (conducted	<b>Effectiveness:</b> Number of verification missions; number of internal control and other compliance findings; amount of the errors concerned.

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
	Ex-ante OV and FV. Carry out (mid-term) verification missions of international organisations under joint management. <u>If appropriate/needed:</u> suspension or interruption of payments	after 1 <sup>st</sup> year of operations or before signature of new contribution agreement).	<b>Efficiency Indicators:</b> Cost/benefit ratio. <b>Economy:</b> cost of the verification missions of international organisations included in the total cost of the annual ex-post control plan/ Benefits: value of the errors detected by the verification team. The total amount entrusted to the entity, possibly at 100% if significant (legal, management, accounting, fraud, reporting) errors would otherwise be detected.

**Stage 5 – Audit and evaluation (indirect management only)**

**Main control objectives:** Ensuring that assurance building information on the entrusted entity’s activities is being provided through independent sources as well, which may confirm or contradict the management reporting received from the entrusted entity itself (on the 5 ICOs).

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>The Commission has not sufficient information from independent sources on the entrusted entity's management achievements, which prevents drawing conclusions on the assurance for the budget entrusted to the entity – which may reflect negatively on the Commission's governance reputation and quality of accountability reporting.</p>	<p>Ex-post control strategy: Carry out audits of projects under indirect management. If error rate over tolerable threshold, control a risk-based sample to lower the residual error rate below the tolerable threshold. Validate audit results with beneficiary. If needed: referring the beneficiary or grant to OLAF</p>	<p>Representative sample: annual ex-post control plan may include indirect managed projects. Selection based on comprehensive risk assessment. Risk-based sample: special purpose audits aimed at projects where problems are anticipated or have already been identified.</p>	<p><b>Effectiveness:</b> detected error rate. Residual error rate. Amount of budget of errors concerned. Number of projects with errors; amount of the errors detected. <b>Efficiency:</b> total (average) annual cost of audits in EPC plan + special purpose audits (if any under indirect management) compared with benefits (ratio). <b>Economy:</b> cost of the external audit firms for the controls of IcSP/IfS beneficiaries. Average cost per audit (for all management modes combined)/ Benefits: value of the errors detected by the auditors.</p>

**RCS 3: Common Foreign and Security Policy**  
**Indirect management (including 'similarly' managed budget 'entrusted' to other entities)**

**Stage 1 – Establishment (or prolongation) of the mandate to the entrusted entity (“delegation act”/ “contribution agreement” / etc).**

**Main control objectives:** Ensuring that the legal framework for the management of the relevant funds is fully compliant and regular (legality & regularity), delegated to an appropriate entity (best value for public money, economy, efficiency), without any conflicts of interests (anti-fraud strategy).

**Overall control efficiency indicator:** estimated cost of control of CSFP operations divided by total amount of expenditure under these operations in the year.

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E’s)</b>
<p>The establishment (or prolongation) of the mandate of the entrusted entity is affected by legal issues, which would undermine the legal basis for the management of the related EU funds (via that particular entity).</p> <p>The Council takes decisions on political grounds without taking into account the comments from the Commission on sound financial management.</p>	<p>Ensure participation in the decision making process from an early stage.</p> <p>Ex-ante verification (checklist based verification) of the proposed projects, beneficiaries and budgets before adoption by the Council.</p> <p>Explicit allocation of responsibility to individual officials (reflected in task assignment or function descriptions).</p>	<p><b>Coverage/Frequency:</b> 100% of each proposed project.</p> <p><b>Depth:</b> Checklist includes a list of the requirements of the regulatory provisions to be complied with.</p> <p><b>Factors</b> would be (i) whether it is an establishment or a prolongation, (ii) consistency with any other entities entrusted by the same DG or family.</p> <p>If risk materialises, all</p>	<p><b>Effectiveness:</b> Quality of the legal work – Council Decision. Number of initially negative ISC opinions. Number of contracts not signed.</p> <p><b>Economy:</b> estimation of cost of staff involved in the preparation, adoption and selection work/ Benefits: non-financial qualitative benefits (clear contracts, less disputes,</p>



<b>Main risks <i>It may happen (again) that...</i></b>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>The Commission does not play a programming role nor does it have a final say in decisions. The Commission can, due to its expertise in project management and its budgetary role, try to influence the Council's decisions. Arguments on sound financial management risk being overruled and the Council often may make decisions on political grounds, with political objectives being considered to be of overriding importance.</p>	<p>Hierarchical validation within the authorising department. Inter-service consultation, including all relevant DGs. Adoption by the Commission.</p>	<p>funds delegated during the year(s) to the entrusted entity would be irregular. Possible impact 100% of budget involved and significant reputational consequences.</p>	<p>time saved during the implementation phase, reputational). Financial benefits: approved budget lower than initially proposed, improved implementation of the budget.</p>

**Stage 2 – Ex-ante (re)assessment of the entrusted entity's financial and control framework (towards "budget autonomy"; "financial rules").**

**Main control objectives:** Ensuring that the entrusted entity is fully prepared to start/continue implementing the delegated funds autonomously with respect of all 5 ICOs.

**Overall control efficiency indicator:** number of entrusted entities pillar-assessed (target = 100%).

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>The financial and control framework deployed by the entrusted entity is not fully mature to guarantee achieving all 5 ICOs</p>	<p><u>Ex-ante assessment, conditional to granting budget autonomy</u></p> <p>Hierarchical validation within the authorising department</p> <p>Use of Model- or Framework- financial rules (MFR or FFR)</p> <p>Requiring justification and prior consent for any deviations from financial rules</p> <p>Requiring ex-ante control of procurement and contract award files, approval of selection and grading of international contracted staff.</p> <p>Postponing the budget autonomy.</p>	<p><b>Coverage/frequency:</b> 100% of entrusted entities/initial and follow-up assessments</p> <p><b>Depth</b> may be determined after considering the <u>type or nature</u> of the entrusted entity (e.g. other international organisation with a specific EC agreement, CFSP persons, etc.) and/or the <u>value</u> of the budget ,size of the entity concerned and the location (difficult environment ).</p>	<p><b>Effectiveness:</b> Number of art. 60 assessments</p> <p><b>Efficiency Indicators:</b> Number of exceptions reported by the missions/EUSRs. Number of interventions by FPI.</p> <p><b>Economy:</b> estimation of cost of staff involved in the ex-ante assessment process (which may include missions, if applicable). Cost of externalised assessments/ Benefits: The (average annual) total amount entrusted to the entity, possibly at 100% if significant (legal) errors would otherwise be detected.</p> <p>Qualitative benefits: mission better organised,</p>

<b>Main risks It may happen (again) that...</b>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
			more efficient due to application of correct procedures. Less support to be provided by FPI.

**Stage 3 – Operations: monitoring, supervision, reporting (“representation” / “control with or around the entity?”).**

**Main control objectives:** Ensuring that the Commission is fully and timely informed of any relevant management issues encountered by the entrusted entity, in order to possibly mitigate any potential financial and/or reputational impacts (legality & regularity, sound financial management, true and fair view reporting, anti-fraud strategy).

<b>Main risks It may happen (again) that...</b>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
Due to weak "modalities of cooperation, supervision & reporting", the Commission is not (timely) informed of relevant management issues encountered by the entrusted entity, and/or does not (timely) react to notified issues by mitigating them or by making a reservation for	Delegation Act/ Contribution agreement/etc specifying the control, accounting, audit, publication, and other related requirements and the reporting . Monitoring or supervision of the entrusted entity (e.g. 'regular' monitoring meetings at operational level; <u>review of reported</u>	<b>Coverage:</b> 100% of the entities are monitored/supervised. <b>Frequency:</b> monthly, quarterly interim reports are immediately carefully scrutinised. At least one monitoring mission per year/entity is carried out. <u>In case of</u> operational and/or financial issues, measures are being	<b>Effectiveness:</b> number of reports scrutinised, problems detected, number of regular monitoring actions (missions), number of serious IAS and ECA findings. <b>Efficiency Indicators:</b> Cost/benefit ratio. Cost of monitoring and support missions, provision

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>them – which may reflect negatively upon the Commission's governance reputation and quality of accountability reporting.</p>	<p><u>control results and any underlying management/audit reports</u>; scrutiny of the interim and final reports, etc).</p> <p>Reporting template provided by FPI. Obligatory use of audit framework contracts for the final financial report audit.</p> <p>Management review of the supervision results.</p> <p><u>If appropriate/needed:</u></p> <ul style="list-style-type: none"> <li>- reinforced monitoring of operational and/or financial aspects of the entity</li> <li>- intervention, e.g. via own on-the-spot controls, specific external audits</li> <li>- potential escalation of any major governance-related issues with entrusted entities</li> <li>- referral to OLAF</li> </ul>	<p>reinforced.</p> <p>The <b>depth:</b> full control of the entity's internal control and management systems and actions.</p>	<p>of additional expert support.</p> <p><b>Economy:</b></p> <p>estimation of cost of staff involved in the actual (regular or reinforced) monitoring of the entrusted entities (which includes missions). The cost of specific external audits if required/</p> <p>Benefits: Avoiding the cost of significant (legal, management, accounting, fraud, reporting) errors if these controls would not be in place. Reputational benefit.</p>

**Stage 4 – Commission contribution: payment or suspension/interruption.**

**Main control objectives:** Ensuring that the Commission fully assesses the management situation at the entrusted entity, before either paying out the (next) contribution for the operational and/or operating budget of the entity, or deciding to suspend/interrupt the (next) contribution (legality & regularity, sound financial management, anti-fraud strategy).

**Stage 5 – Audit and evaluation, Discharge**

**Main control objectives:** Ensuring that assurance building information on the entrusted entity’s activities is being provided through independent sources, which may confirm or contradict the management reporting received from the entrusted entity itself.

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E’s)</b>
<p>The Commission has not sufficient information from independent sources on the entrusted entity’s management achievements, which prevents drawing conclusions on the assurance for the budget entrusted to the entity – which may reflect negatively on the Commission’s governance reputation and quality of accountability reporting.</p>	<p>Delegation Act/Contribution agreement/etc specifying the control, accounting, audit, publication, etc related requirements; reporting requirements; independent external audit of the accounts and financial statement.</p> <p>The entities are part of the population subjected to the ex-post control programme.</p> <p><u>If needed:</u></p> <ul style="list-style-type: none"> <li>- supplementary ex-post</li> </ul>	<p><b>Coverage:</b> The final report/financial statement per mandate (annual for most CSDP missions and EUSRs) and the required external audit report to be in-depth scrutinised.</p> <p><b>Frequency:</b> once a year (as a rule).</p> <p>Entities are selected for ex-post controls (external audits) on the basis of a risk analysis.</p> <p>The <b>depth</b> depends on the <u>mandate</u> of the (type of) entity, inter alia whether the Commission has full</p>	<p><b>Effectiveness:</b> detected error rate, residual error rate.</p> <p>Number of transactions with errors; amount of the errors detected by the own supervisors.</p> <p><b>Efficiency:</b> total (average) annual cost of own audits compared with benefits (ratio).</p> <p><b>Economy:</b> estimation of cost of staff involved in the coordination and execution of the own ex-post controls</p>

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
	audit(s) on-the-spot, by FPI.3 of the entity. - potential escalation of any major governance-related issues with entrusted entities - referral to OLAF	access to the entity's internal control information.	and audits (which may include missions, if applicable). Cost of the appointment of audit firms for the outsourced audits/ Benefits: The (average annual) total amount entrusted to the entity, possibly at 100% if significant (legal, management, accounting, fraud, reporting) errors would otherwise be detected. Benefits: value of the errors with the entity's beneficiaries detected by the own auditors, and subsequently corrected.

**RCS 4: Partnership Instrument, Instrument for Cooperation with Industrialised Countries (Procurement - direct management)**  
**Election Observation Mission (Procurement - direct management)**

**Stage 2 – Financial transactions**

**Main control objectives:** Ensuring that the implementation of the contract is in compliance with the signed contract

**Overall control efficiency indicator:** Estimated cost of controls of procurement operations divided by total amount of expenditure under procurement contracts in the year.

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>The products/services foreseen are not, totally or partially, provided in accordance with the technical description and requirements foreseen in the contract and/or the amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions.</p>	<p>Operational and financial checks in accordance with the financial circuits. Follow-up by project manager.</p>	<p><b>Coverage:</b> 100% of the contracts are controlled</p>	<p><b>Effectiveness:</b> Ex-ante verification results</p> <p><b>Efficiency:</b> Ex-ante verification results</p> <p><b>Economy:</b> Benefits: Amount of irregularities, errors and overpayments prevented by the controls</p>

### Stage 3 – Monitoring implementation

**Main control objectives:** Ensuring that any weakness in the procedures (tender and financial transactions) is detected and corrected

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls*</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>An error or non-compliance with regulatory and contractual provisions, including technical specifications, or a fraud is not prevented, detected or corrected by ex-ante control, prior to payment</p>	<p>Supervisory desk review of procurement and financial transactions</p> <p>Ex-post publication (possible reaction from tenderer / potential tenderer such as whistle blowing)</p> <p>Ex-post control strategy: Carry out audits of procurement projects (products/services).</p>	<p>Representative sample: annual ex-post control plan may include procurement projects. Selection based on comprehensive risk assessment.</p> <p>Risk-based sample: special purpose audits aimed at projects where problems are anticipated or have already been identified.</p>	<p><b>Effectiveness:</b> detected error rate. Residual error rate below tolerable threshold.</p> <p>Amount of budget of errors concerned.</p> <p>Number of projects with errors; amount of the errors detected (for all management modes combined).</p> <p><b>Efficiency:</b> total (average) annual cost of audits in EPC plan + special purpose audits (if any procurement contract) compared with benefits (ratio).</p> <p><b>Economy:</b> cost of the external audit firms for the controls of ICI/PI beneficiaries.</p> <p>Average cost per audit (for all management modes)</p>



<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls*</b>	<b>Cost-Effectiveness indicators (three E's)</b>
			combined)/ Benefits: value of the errors detected by the auditors.

**Stage 4 – Ex-post controls**

**Main control objectives:** Measuring the effectiveness of ex-ante controls by ex-post controls; detect and correct any error or fraud remaining undetected after the implementation ex-ante controls (legality & regularity; anti-fraud strategy); addressing systemic weaknesses in the ex-ante controls, based on the analysis of the findings (sound financial management); Ensuring appropriate accounting of the recoveries to be made (reliability of reporting, safeguarding of assets and information).

**Overall control efficiency indicator:** estimated cost of controls of procurement operations divided by total amount of expenditure under procurement operations in the year.

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
<p>The ex-ante controls (as such) fail to prevent, detect and correct erroneous payments or attempted fraud.</p>	<p>Ex-post control strategy: Carry out audits of a representative sample of operations to determine effectiveness of ex-ante controls.</p> <p>If error rate over tolerable threshold, control a risk-based sample to lower the residual error rate below the tolerable threshold.</p> <p>Validate audit results with beneficiary.</p> <p>If needed: referring the beneficiary or grant to OLAF</p>	<p>Representative sample: annual ex-post control plan sufficiently representative to draw valid management conclusions. Selection based on comprehensive risk assessment.</p> <p>Risk-based sample: special purpose audits aimed at projects where problems are anticipated or have already been identified.</p>	<p><b>Effectiveness:</b> detected error rate. Residual error rate. Number of supervisory control failures. Number of projects with errors; amount of the errors detected.</p> <p><b>Efficiency:</b> total (average) annual cost of audits in EPC plan + special purpose audits compared with benefits (ratio).</p> <p><b>Economy:</b> cost of the external audit firms for the controls of ICI/PI beneficiaries. Average cost per audit/ Benefits: value of the errors detected by the auditors.</p>
	<p>Verification missions to Delegations by independent staff (FPI.1) not involved in the operational and financial circuits.</p>	<p>Size and composition of the sample are determined in accordance with the portfolios managed by the visited Delegations.</p>	<p><b>Efficiency Indicators:</b> total (average) mission cost of supervisors compared with benefits (ratio). Average mission cost per million EUR of payments managed.</p>

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
			<b>Economy:</b> mission cost of the controls of EU Delegations conducted by FPI staff (cost of staff not included). Average cost per mission/ Benefits: non-quantifiable.
The ex-post controls focus on the detection of external errors (e.g. made by beneficiaries) and do not consider any internal errors made by staff or embedded systematically in the own organisation.	Establish an ex-post supervision strategy: Carry out ex-post controls of systems and transactions in EU Delegations implementing ICI/PI projects Recommended: to be able to serve multiple purposes (e.g. for assurance as well as to give guidance and advice on ICI/PI systems and procedures)	Annual ex-post control plan of EU Delegations to visit based on comprehensive risk assessment. Desk review in case of high risk Delegations (e.g. Afghanistan) Depth: review of underlying checklists and documents relating to IfS commitments and payments.	<b>Effectiveness:</b> Number of administrative errors detected by the supervisors. Number of material findings. Value of material errors concerned. Detected error rate. Residual error rate. Average number of errors per Delegation. <b>Efficiency Indicators:</b> total (average) mission cost of supervisors compared with benefits (ratio). Average mission cost per million EUR of payments verified.  <b>Economy:</b> mission cost of the controls

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
			of EU Delegations conducted by FPI staff (cost of staff not included). Average cost per mission/ Benefits: value of the errors detected by the supervisors.

**B - Implementing results from ex-post audits/controls**

**Main control objectives:** Ensuring that the (audit) results from the ex-post controls lead to effective recoveries (legality & regularity; anti-fraud strategy); Ensuring appropriate accounting of the recoveries made (reliability of reporting).

**Overall control efficiency indicator:** percentage of cashed recoveries as of 31 March N+1.

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
The errors, irregularities and cases of fraud detected are not addressed or not addressed timely	Systematic registration of audit / control results to be implemented. Financial operational validation of recovery in accordance with financial circuits. Authorisation by AO	<b>Coverage:</b> 100% of final audit results <i>with a financial impact</i> . <b>Depth:</b> consider 'extending' the findings of systemic errors into corrections of non-audited projects by the same beneficiary	<b>Effectiveness:</b> Success ratio: % of value of the ROs over detected errors by the auditors after 1 year (not yet available). Number of suspected fraud cases transferred to OLAF. Analysis of financial control findings, internal control findings and other compliance findings per category of error. Number of occurrences per

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>Coverage, frequency and depth of controls</b>	<b>Cost-Effectiveness indicators (three E's)</b>
			<p>category of error detected.</p> <p><b>Efficiency Indicators:</b> Time-to-recovery (not yet determined).</p> <p><b>Economy:</b> Loss value of such ROs which are 'waived' or have to be cancelled/ Benefits: value of the errors, detected by ex-post controls, which have actually been corrected (offset or recovered).</p>

## **ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission**

This annex, which *applies only to indirect management*, includes information about implementing tasks entrusted to national or international public sector bodies and bodies governed by private law with a public sector mission. In practice, this includes "national agencies" and bodies governed by private law with a public sector mission including PPPs (but not executive agencies, regulatory agencies, EIB and EIF).

In 2019, 44 delegation agreements under indirect management were signed for a total amount of EUR 175.7 million.

The majority of the delegation agreements was signed with UN agencies (30 delegation agreements for a total amount of EUR 81.3 million). Five delegation agreements were signed with International Organization for Migration (EUR 46.6 million). Three delegation agreements were signed with OSCE (EUR 17 million) and remaining six (EUR 30.8 million) with other international organisations.

The most important reasons for selecting a specific implementing partner are:

1. Presence / capacity to mobilise in the field
2. Expertise in the concerned areas
3. Track record of similar activities in the past

The cost of administration (management fee) related to indirect management (entrusted entities) is estimated at EUR 12 million in 2019. To be noted that only a portion of that fee covers the costs of controls of the entrusted entity, but cannot be compared with control activities performed at Headquarters presented in the table under cost-effectiveness and efficiency (point 2.1.1 Control Results).

Program	Project ID	Amount	Project title	Duration (month)	LE Official Name	Justification of the selection of the bodies	Summary description of the implementing tasks entrusted to these bodies	Justification of the recourse to indirect management
CFSP	SI2.809486	11.221.466,00	CD (CFSP) 2019/538 OF 01/04/2019 - CONTRACT "CFSP/2019/05/ OPCW VII"	1	ORGANISATION FOR THE PROHIBITION OF CHEMICAL WEAPONS*OPCW L'ORGANISATION POUR L'INTERDICTION DES ARMES CHIMIQUES OIAC	Specific expertise	Support of activities of the Organisation for the Prohibition of Chemical Weapons (OPCW) in the framework of the implementation of the EU Strategy against Proliferation of Weapons of Mass Destruction	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
CFSP	SI2.814830	1.913.900,00	CD (CFSP) 2019/1296 OF 31/07/2019 - CONTRACT "CFSP/2019/14/ OSCE BIOSAFETY AND BIOSECURITY UKRAINE"	1	ORGANIZATION FOR SECURITY AND COOPERATION IN EUROPE*OSCE ORGANISATION POUR LA SECURITE ET LA COOPERATION EN EUROPE	Experience in the country/region	Support of strengthening biological safety and security in Ukraine in line with the implementation of United Nations Security Council Resolution 1540 (2004) on non-proliferation of weapons of mass destruction and their means of delivery	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
CFSP	SI2.821311	5.151.579,00	CD (CFSP) 2019/2009 OF 02/12/2019 - CONTRACT "CFSP/2019/17/ OSCE SALW"	1	ORGANIZATION FOR SECURITY AND COOPERATION IN EUROPE*OSCE ORGANISATION POUR LA SECURITE ET LA COOPERATION EN EUROPE	Experience in the country/region	Support of Ukraine's efforts to combat illicit trafficking in weapons, ammunition and explosives, in cooperation with the OSCE	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

CFSP	SI2.809349	2.856.278,00	CD(CFSP)2019/938 OF 06/06/2019 - CONTRACT "CFSP/2019/09/WMDZME - UNIDIR"	14	UNITED NATIONS INSTITUTE FOR DISARMAMENT RESEARCH*UNIDIR INSTITUT DES NATIONS UNIES POUR LA RECHERCHE SUR LE DESARMEMENT	Specific expertise	Support of a process of confidence-building leading to the establishment of a zone free of nuclear weapons and all other weapons of mass destruction in the Middle East	Pursuant to Article 62(1)(c) of the Financial Regulation, indirect management is to be used for the implementation of the Action (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)
CFSP	SI2.804997	2.167.031,04	CFSP/2018/22/EU PROJECT IN SUPPORT OF UNVIM IN YEMEN - CD (CFSP) 2018/1249 OF 18.09.2018	12	UNITED NATIONS OFFICE FOR PROJECT SERVICES*UNOPS BUREAU DES NATIONS UNIES POUR LES SERVICES D'APPUI AUX PROJETS	International mandate/regulation contribution/membership or similar fees	Supporting the UN Verification Mechanism based in Djibouti (UNVIM). UNVIM is carrying out the inspection of cargo vessels bringing commercial goods into Yemen through the entry port of Hodeidah.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
CFSP	SI2.818409	4.458.333,00	CFSP/2019/20/EU ACTION IN SUPPORT TO UNVIM IN YEMEN	12	UNITED NATIONS OFFICE FOR PROJECT SERVICES*UNOPS BUREAU DES NATIONS UNIES POUR LES SERVICES D'APPUI AUX PROJETS	International mandate/regulation contribution/membership or similar fees	Supporting the UN Verification Mechanism based in Djibouti (UNVIM). UNVIM is carrying out the inspection of cargo vessels bringing commercial goods into Yemen through the entry port of Hodeidah.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
CFSP	SI2.799993	3.029.856,79	CD (CFSP) 2019/97 OF 21/01/2019 - CONTRACT "CFSP/2019/01/UNODA BTWC"	36	UNITED NATIONS ORGANISATION*UNO ORGANISATION DES NATIONS UNIES ONU	Specific expertise	Support of the Biological and Toxin Weapons Convention in the framework of the EU Strategy against Proliferation of Weapons of Mass Destruction	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.



CFSP	SI2.801301	4.375.507,85	CD(CFSP) 2018/2011 OF 17/12/2018 - CONTRACT "CFSP/2018/34/ GENDER AND SALW UNODA	36	UNITED NATIONS ORGANISATION*UN O ORGANISATION DES NATIONS UNIES ONU	Specific expertise	Support of gender mainstreamed policies, programmes and actions in the fight against small arms trafficking and misuse, in line with the Women, Peace and Security agenda	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
CFSP	SI2.807754	1.299.883,68	CD (CFSP) 2019/615 OF 15/04/2019 - CONTRACT "CFSP/2019/02/ NPT-SUPPORT- UNODA"	6	UNITED NATIONS ORGANISATION*UN O ORGANISATION DES NATIONS UNIES ONU	Specific expertise	Support for activities leading up to the 2020 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons (NPT)	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
PI	SCR.CTR.406271.01	2.300.000,00	PI/2019/406-271-IMPROVING CHINA'S INSTITUTIONAL CAPACITY TOWARDS UNIVERSAL SOCIA	36	INTERNATIONAL LABOUR ORGANIZATION*IL O ORGANISATION INTERNATIONALE DU TRAVAIL OIT	Specific expertise	The Action aims to provide technical assistance to the Government of China with the following specific aims: 1. Contribute to the improvement of the adequacy and sustainability of old-age benefits, 2. Contribute to the extension of the coverage of social security to workers in non-standard forms of employment, with a special attention to migrant workers and women.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
PI	SCR.CTR.407068.01	2.000.000,00	PI/2019/407-068-EU-CHINA DIALOGUE ON MIGRATION AND MOBILITY SUPPORT PROJECT - PH	36	INTERNATIONAL ORGANIZATION FOR MIGRATION	Specific expertise	The project objective is to facilitate and strengthen the European Union (EU)'s dialogue on migration and mobility with China by addressing migration as a global challenge. The second phase of the EU-China Dialogue on Migration and Mobility Support Project (MMSP II) builds on the results of the first phase of MMSP, which was active from	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

							April 2015 to December 2018.	
PI	SCR.CTR.410818.01	5.700.000,00	PI/2019/410-818-PROMOTING SOCIAL AND SOLIDARITY ECONOMY ECOSYSTEMS	36	ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT*OECD ORGANISATION DE COOPERATION ET DEVELOPPEMENT ECONOMIQUES OCDE	Specific expertise	'Promoting Social and Solidarity Economy Ecosystems" is an action developed by the European Union (EU) together with the Organisation for Economic Co-operation and Development (OECD) to promote inclusive, smart and sustainable growth by supporting the SSE as well as social entrepreneurship development and internationalisation.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
PI	SCR.CTR.406773.01	9.600.000,00	PI/2019/406-773-WORKING TOGETHER TO FIGHT ANTIMICROBIAL RESISTENCE	36	PAN AMERICAN HEALTH ORGANIZATION*PAHO	Specific expertise	The overall strategic objective, to be measured as project impact, is to contribute to partner countries preparedness to tackle AMR as described in the 2017 EU action plan, engaging with major global players and strategic countries and contributing towards achieving the objectives of the Global Action Plan on AMR developed by WHO in collaboration with FAO and OIE and formally endorsed by its Member States, by sharing experiences, advocating best practices and stimulating actions outside the EU	Pursuant to Article 62(1)(c) of the Financial Regulation, indirect management is to be used for the implementation of the Action (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)
PI	SCR.CTR.410348.01	5.500.000,00	PI/2019/410-348-BUSINESS AND HUMAN RIGHTS IN ASIA: ENABLING SUSTAINABLE	48	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIESPOUR LE DEVELOPPEMENT	Specific expertise	The overall aim of the action is to promote the agenda on Business and Human Rights and ensure that it is further taken up by Asian governments and business, through an EU-UN partnership, thereby	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

			ECONOMIC		PNUD		promoting multilateralism and levelling the playing field for businesses that integrate human rights considerations into their operations and supply chains.	necessary.
PI	SCR.CTR.404960.01	7.500.000,00	PI/2019/404-960- PROMOTING ECONOMIC EMPOWERMENT OF WOMEN AT WORK IN ASIA (WE EMPO	36	UNITED NATIONS ENTITY FOR GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN*UN WOMEN	Specific expertise	The overall objective of the programme is to contribute to strengthening women's leadership and role in the process for sustainable and inclusive economic growth and their access to business opportunities and leadership within the private sector.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
PI	SCR.CTR.410826.01	149.083,00	PI/2019/410-826- IMPLEMENTING THE UNITED NATION RESOLUTION ON TORTURE-FREE TRADE	7	UNITED NATIONS HIGH COMMISSIONER FOR HUMAN RIGHTS*OHCHR HAUT COMMISSARIAT DES NATIONS UNIES AUX DROITS DE L'HOMME HCDH	Specific expertise	The purpose of this Agreement is to provide a financial contribution to finance the implementation of the action 'Implementing the United Nation resolution on Torture-Free Trade' as described in Annex I (the "Action"). This Agreement establishes the rules for the implementation and for the payment of the EU Contribution, and defines the relations between the Organisation and the Contracting Authority.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.406034.01	1.000.000,00	ICSP/2019/406-034- ESTABLISHING AN ENVIRONMENT FOR INCLUSIVE, KNOWLEDGE-BASED DIA	18	INTERNATIONAL INSTITUTE FOR DEMOCRACY AND ELECTORAL ASSISTANCE	Specific expertise	Establish an enabling environment for an informed, inclusive national stakeholder dialogue on legal and institutional reforms based on evidence-based knowledge that contribute to consolidating national cohesion and fostering peace and political stability in	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

							Ethiopia.	
IcSP	SCR.CTR.401946.01	5.100.000,00	ICSP/2018/401-946- PREVENTING AND REDUCING VIOLENCE IN COMMUNITIES AT RISK	18	INTERNATIONAL ORGANIZATION FOR MIGRATION	Specific expertise	To provide spaces for local conflict resolution and prevention and to reduce local sources of violence.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.406305.01	30.000.000,00	ICSP/2019/406-305- STRENGTHENIN G THE OPERATIONAL CAPACITIES OF THE TURKISH COAST	26	INTERNATIONAL ORGANIZATION FOR MIGRATION	Continuation of an existing programme	The project foresees the provision of nine additional search and rescue boats to the TCG	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.407954.01	3.500.000,00	ICSP/2019/407-954- INTEGRATED BORDER MANAGEMENT & REFERRAL MECHANISMS TO IMPROVE	18	INTERNATIONAL ORGANIZATION FOR MIGRATION	Continuation of an existing programme	This project aims to address the detrimental impact of migratory patterns on the peace, security and stability of communities living in the area between the Dominican Republic and Haiti through the integration of border management systems and referral mechanisms to improve the protection of migrants	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.410913.01	6.000.000,00	ICSP/2019/410-913- SUPPORTING PEACE AND STABILITY IN ABYEI PCA BOX: DECREASING TE	18	INTERNATIONAL ORGANIZATION FOR MIGRATION	Specific expertise	Contribute to an enabling environment for improved peace and stability by reviving and strengthening traditional inter-tribal relations between the Misseriya and Dinka-Ngok communities in support of the on-going peace process in Abyei.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

IcSP	SCR.CTR.398846.01	10.000.000,00	ICSP/2018/398-846-FURTHER SUPPORT TO THE OSCE SPECIAL MONITORING MISSION IN UKRA	24	ORGANIZATION FOR SECURITY AND COOPERATION IN EUROPE*OSCE ORGANISATIONPOUR LA SECURITE ET LA COOPERATIONEN EUROPE	International mandate/regulation or contribution/membership or similar fees	Continued support of the OSCE Special Monitoring Mission in Ukraine through provision of technological surveillance assets and monitor staff costs.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.405768.01	906.606,00	ICSP/2019/405-768-EMERGENCY SUPPORT TO JUDICIAL ASSISTANCE IN THE KINGDOM OF LES	18	SOUTHERN AFRICAN DEVELOPMENT COMMUNITY SECRETARIAT*	Experience in the country/region	The project supports SADC Member States judges potentially from Swaziland, Zimbabwe, Botswana, South Africa and Namibia to adjudicate criminal cases involved high profile security related individuals in Lesotho. The overall objective is to support the impartial, efficient and expedient disposal of criminal cases involve high profile security related individuals in Lesotho.	Pursuant to Article 62(1)(c) of the Financial Regulation, indirect management is to be used for the implementation of the Action (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)
IcSP	SCR.CTR.389808.01	1.000.000,00	ICSP/2018/389-808-STRENGTHENING RESILIENCE AND CIVIC ENGAGEMENT OF ADOLESCENTS A	24	UNITED NATIONS CHILDREN'S FUND*UNICEF LE FONDS DES NATIONS UNIES POUR L'ENFANCE	Specific expertise	Mitigate the impact of the conflict through increased resilience and civic engagement among adolescents and youth in conflict-affected eastern Ukraine.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

IcSP	SCR.CTR.405946.01	1.200.000,00	ICSP/2019/405-946-CONFIDENCE BUILDING AND CONFLICT PREVENTION THROUGH THE PROMOT	36	UNITED NATIONS CHILDREN'S FUND*UNICEF LE FONDS DES NATIONS UNIES POUR L'ENFANCE	Continuation of an existing programme	Project focus on <ul style="list-style-type: none"> <li>• Exposing key policy and decision makers, as well as education experts and specialists to international experiences and best practices to support the development of a specific MTB MLE model for Abkhazia</li> <li>• Motivating constructive debate on MTB MLE across the dividing line</li> <li>• Extending MTB MLE to the pre-school level, to ensure broader inclusion</li> </ul>	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.409500.01	3.200.000,00	ICSP/2019/409-500-APPUI À LA MISE EN ŒUVRE DE LA STRATÉGIE NATIONALE D'INTÉGRATI	18	UNITED NATIONS CHILDREN'S FUND*UNICEF LE FONDS DES NATIONS UNIES POUR L'ENFANCE	Continuation of an existing programme	promouvoir la stabilité et la consolidation de la paix en Côte d'Ivoire à travers une cohésion et sécurité nationale renforcées.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.411178.01	7.000.000,00	ICSP/2019/411-178-BUILDING RESILIENCE THROUGH EDUCATION AND YOUTH ENGAGEMENT IN	18	UNITED NATIONS CHILDREN'S FUND*UNICEF LE FONDS DES NATIONS UNIES POUR L'ENFANCE	Presence in the country/region	Overall objective: Resilience of children and communities in cyclone and flood affected areas is strengthened through equitable and inclusive learning opportunities in safe environments.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.405942.01	5.500.000,00	ICSP/2019/405-942-CONFIDENCE BUILDING EARLY RESPONSE MECHANISM (COBERM)	36	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIES POUR LE DEVELOPPEMENT PNUD	Continuation of an existing programme	The programme 1. provide targeted support to pragmatic initiatives with conflict transformation potential (responding to existing and developing needs) and 2. Empower societies, in particular women and youth, to contribute to peace-building /conflict-transformation processes and	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

							the normalisation of constructive P2P contacts.	
IcSP	SCR.CTR.405994.01	800.000,00	ICSP/2019/405-994-IMMEDIATE ASSISTANCE TO THE LIBYAN POLITICAL DIALOGUE AND THE	12	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIESPOUR LE DEVELOPPEMENT PNUD	Logistical and management capacities	The specific objective is to facilitate national unity and encourage discussion between the various communities and galvanize a national narrative agreeing upon key issues.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.409519.01	2.500.000,00	ICSP/2019/409-519-JOINT UNDP-DPPA PROGRAMME ON BUILDING NATIONAL CAPACITIES FOR	36	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIESPOUR LE DEVELOPPEMENT PNUD	Continuation of an existing programme	Build, strengthen and consolidate national capacities for conflict prevention in conflict-affected, fragile countries, as well as countries undergoing political instability or difficult transitions.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.409778.01	1.000.000,00	ICSP/2019/409-778-PEACE SUPPORT FACILITY FOR YEMEN	12	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIESPOUR LE DEVELOPPEMENT PNUD	International mandate/regulation contribution/membership or similar fees	The measure will provide EU contributions to the United Nations (UN) Peace Support Facility (PSF) for Yemen to allow for the rapid implementation of activities that can support and underpin peace agreements whenever they are reached. The aim of the PSF is to support the peace process by accelerating the implementation of agreements reached by the parties to the conflict during negotiations led by the UN Secretary General's Special Envoy to Yemen.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

IcSP	SCR.CTR.410757.01	100.000,00	ICSP/2019/410-757-EU CONTRIBUTION TO THE UNITED NATIONS PEACE BUILDING FUND (UNP	2	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIESPOUR LE DEVELOPPEMENT PNUD	International mandate/regulation or contribution/membership or similar fees	The PBF's mandate is to foster peace in countries at risk of violent conflict through well-coordinated international support that brings development, diplomatic and security actors together behind joint objectives. The PBF was created to address critical financial gaps for peacebuilding and act as a timely, catalytic and risk-tolerant instrument to both respond to urgent needs and help pave the ground to consolidate peace and enable development.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.411488.01	1.000.000,00	ICSP/2019/411-488- PREVENTING VIOLENT EXTREMISM THROUGH PROMOTING TOLERANCE AND R	18	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIESPOUR LE DEVELOPPEMENT PNUD	Specific expertise	The project aims to assist the Maldives government and other key stakeholders in understanding and preventing violent extremism, building community resilience, and promoting peace and tolerance.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.411490.01	1.500.000,00	ICSP/2019/411-490- PREVENTING VIOLENT EXTREMISM THROUGH PROMOTING TOLERANCE AND R	18	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIESPOUR LE DEVELOPPEMENT PNUD	Specific expertise	The project aims to assist the Sri Lanka government and other key stakeholders in understanding and preventing violent extremism, building community resilience, and promoting peace and tolerance.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.



IcSP	SCR.CTR.412134.01	2.000.000,00	ICSP/2019/412-134-EMERGENCY MINE ACTION PROJECT	18	UNITED NATIONS DEVELOPMENT PROGRAMME*UNDP PROGRAMME DES NATIONS UNIES POUR LE DEVELOPM PNUD	Presence in the country/region	The overall aim of this action is to support the implementation of the 2018 Stockholm Agreement, notably relating to the port town of Hodeidah.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.406003.01	3.000.000,00	ICSP/2019/406-003-EARLY WARNING AND RAPID RESPONSE IN THE NORTHERN BORDER OF ECU	18	UNITED NATIONS HIGH COMMISSIONER FOR REFUGEES* UNHCR HAUT COMMISSARIATDES NATIONS UNIES POUR LES REFUGIESHCR	Experience in the country/region	The overall objective of the action is to contribute to the protection of human rights of the population in the northern border region of Ecuador through the development of an integrated early warning and response system to inform public policy priorities and to ensure a rapid response to most urgent needs.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.411451.01	1.500.000,00	ICSP/2019/411-451-SUPPORT TO MALDIVES ON COUNTER-TERRORISM	18	UNITED NATIONS OFFICE ON DRUGS ANDCRIME*UNODC	Specific expertise	The project will focus on: (a) enhancing overall security capacity on islands with a tourist presence; (b) strengthening capacity of Maldives Prison Service to counter and prevent the proliferation of violent extremist ideology; (c) supporting the judiciary to ensure that terrorism and violent extremism cases are adjudicated fairly and effectively; (d) developing and strengthening law enforcement capabilities to prevent and disrupt terrorism and/or terrorist-related activities	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

IcSP	SCR.CTR.411458.01	4.500.000,00	ICSP/2019/411-458-SUPPORT TO SRI LANKA ON COUNTER-TERRORISM	18	UNITED NATIONS OFFICE ON DRUGS AND CRIME*UNODC	Specific expertise	This project aims to support institutional capacity building to effectively prevent/detect, investigate, prosecute and adjudicate terrorism cases in Sri Lanka, in line with the relevant international legal instruments and human rights norms, standards and good practices.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.411801.01	4.000.000,00	ICSP/2019/411-801-SUPPORT TO PAKISTAN'S ACTION TO COUNTER TERRORISM (PACT), WITH	18	UNITED NATIONS OFFICE ON DRUGS AND CRIME*UNODC	Continuation of an existing programme	PACT Sindh will aim to strengthen the capacities of the federal, and provincial, counter-terrorism (CT) and criminal justice institutions to effectively deal with terrorism.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.404187.02	3.000.000,00	ICSP/2018/404-187-STRENGTHENING INTERNATIONAL MEDIATION CAPACITIES - SUPPORT TO	36	UNITED NATIONS ORGANISATION*UN O ORGANISATION DES NATIONS UNIES ONU	Continuation of an existing programme	The project provides support to the UN Standby Team of Senior Mediation Advisers (through the UN Department of Political Affairs).	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.409202.01	494.826,00	ICSP/2019/409-202-ADVANCING PREVENTION AND PREPARING FOR PEACE - ATROCITY PREVEN	18	UNITED NATIONS ORGANISATION*UN O ORGANISATION DES NATIONS UNIES ONU	International mandate/regulation or contribution/membership or similar fees	The project aims to develop policy guidance on atrocity crime prevention, which will be based upon the research on the eight case studies.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.410812.01	3.000.000,00	ICSP/2019/410-812-SUPPORTING INTERNATIONAL AND	18	UNITED NATIONS ORGANISATION*UN O ORGANISATION DES NATIONS UNIES ONU	Continuation of an existing programme	The Overall Objective of the Action is to contribute to ensuring accountability for the most serious crimes under international law committed in	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

			INDEPENDENT MECHAN		UNIES ONU		the Syrian Arab Republic since March 2011.	support measures are in place as necessary.
IcSP	SCR.CTR.406004.01	2.200.000,00	ICSP/2019/406- 004-YOUTH AND STABILISATION FOR PEACE AND SECURITY IN THE FAR NORT	18	UNITED NATIONS POPULATION FUND*UNFPA FONDS DES NATIONS UNIES POUR LA POPULATION FNUAP	Logistical and management capacities	This project aims to contribute to stabilising the Far North region of Cameroon by addressing the issue of violent extremism. In particular, the project aims at increasing the resilience of the most vulnerable youth towards violent extremism, with a focus on women and girls.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.
IcSP	SCR.CTR.403895.01	1.439.646,00	ICSP/2018/403- 895- SUPPORTING UNRWA'S SUSTAINABILIT Y THROUGH EARLY VOLUNTARY SEPA	15	UNITED NATIONS RELIEF AND WORKS AGENCY FOR PALESTINE REFUGEES IN THE NEAR EAST*UNRWA OFFICE SECOURS TRAVAUX REFUGIES PALESTINE PROCHE ORIENT	Logistical and management capacities	To enhance UNRWA's financial stability, organizational cost efficiencies and reforms, and the continued delivery of critical humanitarian and development services to Palestine refugees.	The organisation complies with the conditions of points (a) to (d) of the first subparagraph of Article 154(4) of Regulation (EU, Euratom) 2018/1046 and the supervisory and support measures are in place as necessary.

## **ANNEX 7: EAMR of the Union Delegations (if applicable)**

The assurance is based, inter alia, on annual reports of sub-delegated authorising officers (at HQ) and by Heads of EU Delegation managing FPI funds (IcSP/IfS and PI/ICI) which include a declaration of assurance.

For 2019, 74 AOSD reports by the Heads of Delegations were received and analysed at HQ, 4 AOSD reports by the Heads of the Regional Teams and 4 AOSD reports by Heads of Units in FPI HQ. The reports do not point to any issues which could have potential material impact on the assurance.

**ANNEX 8: Decentralised agencies (not applicable)**

## ANNEX 9: Evaluations and other studies finalised or cancelled during the year

	Title	Reason <sup>1</sup>	Scope <sup>2</sup>	Type <sup>3</sup>	Associated DGs	Comments <sup>4</sup>	Reference <sup>5</sup>
<b>I. Evaluations finalised or cancelled in 2018</b>							
<b>a. Evaluations finalised in 2018</b>							
	Evaluation of ICSP actions on Migration crisis response in the Middle East and Turkey - 2017/383-993	FR	Article 3 of ICSP Regulation (EU) No 230/2014	E	NEAR		
	Evaluation du projet de renforcement du contrôle des frontières lacustres et fluviales afin de promouvoir la sécurité des populations et des activités socio-économiques face aux activités criminelles et à la menace terroriste au Tchad	FR	Article 3 of ICSP Regulation (EU) No 230/2014	E			
	Evaluation on Haiti and the Dominican Republic - 'Support to address the mixed migration crisis on the Island of Hispaniola' (ICSP)	FR	Article 3 of ICSP Regulation (EU) No 230/2014	E	DEVCO		
	Final evaluation of the IFs/ICSP support under Article 3 to Mine Action in beneficiary countries	FR	Article 3 of ICSP Regulation (EU) No 230/2014	E	DEVCO	The evaluation assessed the IFs/ICSP projects relating to Mine Action in beneficiary countries.	
	Evaluation of the Partnership Instrument Policy Support Facility actions on market access, and trade & investment agreement negotiation and implementation	FR	Partnership Instrument Regulation (EU) No 234/2014	E	TRADE	The evaluation was foreseen in the Partnership Instrument - Policy Support Facility for trade action fiche. Its objective was to assess the policy relevance of the PSF-TRADE actions.	
	Clean Energy Cooperation with India (CECI) - Mid-term review	FR	Partnership Instrument Regulation (EU) No 234/2014	E	ENER		
	Final evaluation of the IFs/ICSP support under Article 3 to Migration in beneficiary countries (2007-2016) 2017/383-399	FR	Article 3 of ICSP Regulation (EU) No 230/2014	E			
	Final evaluation of the IFs/ICSP support under Articles 3 and 4 to Counter-terrorism and Preventing Violent Extremism (CT/PVE) in beneficiary countries (2007-2016) 2017/383-393	FR	Article 4 of ICSP Regulation (EU) No 230/2014	E			
	Mid-term assessment of the EU's International Urban Cooperation (IUC) programme	FR	Partnership Instrument Regulation (EU) No 234/2014	E	CLIMA, GROW, REGIO, RTD	The aim of the evaluation was to assess mid-term results and to feed into a possible second phase.	
	Evaluation of ICSP financed Mediation and Peacebuilding Initiatives in Libya (2015-2018) Contract 2018/398-995	FR	Article 4 of ICSP Regulation (EU) No 230/2014	E			
	Evaluation of ICSP actions on Counter-Terrorism and Countering Violent Extremism in the Middle East and North Africa (MENA) - ICSP/2017/383-991	FR	Article 4 of ICSP Regulation (EU) No 230/2014	E			
	Midterm evaluation of 2015/358-830 "Building and Consolidating National Capacities for Conflict Prevention" 2017/389-215	FR	Article 4 of ICSP Regulation (EU) No 230/2014	E			
<b>b. Evaluations cancelled in 2018</b>							
<b>II. Other studies finalised or cancelled in 2018</b>							
<b>a. Other studies finalised in 2018</b>							
	Formulation of risk assessment, monitoring and evaluation procedures/modalities for interventions under Capacity Building in Support of Security for Development (CBSD)	FR	Article 4 of ICSP Regulation (EU) No 230/2014	Study			
	Impact Assessment for the proposal of establishing the Neighbourhood, Development and International Cooperation Instrument	LMFF	Proposal for a Regulation establishing the Neighbourhood, Development and International Cooperation Instrument COM(2018) 460 final of 14 June 2018	IA	DEVCO, NEAR, EEAS, ECHO, ECFIN, Cyprus Settlement Support team		SWD(2018) 337 final - <a href="https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018S0337&amp;from=EN">https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018S0337&amp;from=EN</a>
<b>b. Other studies cancelled in 2018</b>							

<sup>1</sup> Reason why the evaluation/other study was carried out, please align with Annex 3 of the MP 2016. The individual symbols used have the following meaning: L - legal act, LMFF - legal base of MFF instrument, FR - financial regulation, REFT, REFT/A, CWP - 'evaluate first', O - other (please specify in Comments)

<sup>2</sup> specify what programme/regulatory measure/initiative/policy area etc. has been covered

<sup>3</sup> IC - fitness check, E - expenditure programme/measure, R - regulatory measure (not recognised as a FC), C - communication activity, I - internal Commission activity, O - other - please specify in the Comments

<sup>4</sup> 'As far as to provide any comments related to the item (in particular changes compared to the planning). When relevant, the reasons for cancelling evaluations/other studies also needs to be explained in this column.

<sup>5</sup> For evaluations the references should be 1) number of its Evaluation Staff Working Document and number of the SWD's executive summary; 2) link to the supportive study of the SWD in EU bookshop. For other studies the references should be the link to EU bookshop or other reference where the 'other study' is published via

## ANNEX 10: Specific annexes related to "Financial Management"

### Examples of Supervision mission findings

The examples (*non-exhaustive*) of some findings and recommendations issued during Supervision missions are presented below:

*China: The assessment took place in June and the main recommendations were on staff allocation, training and document management and registration issues.*

*Senegal: The assessment took place in August and the main recommendations issued related to mission security, lack of VTC and telephone conference facilities, document management/registration and the monitoring and identification of risks in FPI actions.*

*Brazil: The assessment took place in October resulting in the identification of a limited number of minor recommendations mainly related to document management issues, the need to enhance monitoring and to make better use of the results of evaluations.*

*USA: The assessment took place in October and was primarily a follow-up to the Supervision Mission of 2016 and the IAS audit on the Partnership Instrument. The main purpose of the mission was to verify the implementation of the issued recommendations and also to carry out a limited reassessment of the management and control systems. All recommendations as per IAS final audit report and all but one (risk management) of the recommendations as per 2016 Supervision Mission report have been implemented.*

*The reassessment of the management and control systems resulted in a limited number of minor recommendations, mainly relating to the appointment of key contact points and the monitoring of contracts.*

In general, the process shows that the management and control systems in place meet the requirements to ensure that FPI is an effective spending organisation operating in a decentralized control environment.

**Table Y Overview of the estimated cost of controls at Commission (EC) level:**

Common Foreign and Security Policy (CFSP)							
Ex-ante controls			Ex-post controls			Total**	
EC total costs (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
947.711	338.832.250	0,28%	256.980	29.268.603	0,88%	1.204.691	0,36%
Instrument contributing to Stability and Peace (IcSP)							
Ex-ante controls			Ex-post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
1.043.826	243.974.330	0,43%	348.093	26.807.746	1,30%	1.391.919	0,57%



Partnership Instrument (PI)							
Ex-ante controls			Ex-post controls			Total**	
EC total cost  (in EUR)	funds managed (in EUR)*	Ratio (%)*:  <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs  (in EUR)	total value verified and/or audited (in EUR)	Ratio (%):  <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*:  <i>Total cost of controls ÷ funds managed</i>
526.661	106.357.233	0,50%	276.123,30	9.277.738	2,98%	802.784	0,75%
on Observation Missions (EOMs)							
Ex-ante controls			Ex-post controls			Total**	
EC total cost  (in EUR)	funds managed (in EUR)*	Ratio (%)*:  <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs  (in EUR)	total value verified and/or audited (in EUR)	Ratio (%):  <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*:  <i>Total cost of controls ÷ funds managed</i>
279.760	22.370.975	1,25%	228.478	3.239.279	7,05%	508.239	2,27%

OVERALL estimated cost of control at EC level							
Ex-ante controls			Ex-post controls			Total**	
EC total cost  (in EUR)	funds managed (in EUR)*	Ratio (%)*:  <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs  (in EUR)	total value verified and/or audited (in EUR)	Ratio (%):  <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*:  <i>Total cost of controls ÷ funds managed</i>
2.797.958	711.534.788	0,39%	1.109.675	68.593.365,01	1,62%	3.907.633	0,55%

\* ratio possibly "Not Applicable (N/A)" if a RCS specifically covers an Internal Control Objective

## **ANNEX 11: Specific annexes related to "Assessment of the effectiveness of the internal control systems"**

The annex is not applicable for the Service for Foreign Policy Instruments as all the information building up assurance on this topic has been presented in section 2.1.3 of this Annual Activity Report.

## ANNEX 12: Performance tables

### General Objective 9: A Stronger Global Actor

**Impact indicator 1:** EU collective Net Official Development Assistance (ODA) as a percentage of EU GNI: a) in total, b) to LDCs (Least Developed Countries)

**Source of data:** OECD Development Assistance Committee (DAC)

Baseline 2014	Interim Milestone	Target	Latest known results
	2020	2030	2017 and 2018 <sup>9</sup>
<p>In total: 0.43% To LDCs: 0.11%</p> <p>Based on analysis of final 2014 ODA spending by EU Member States and non-imputed spending by the EU institutions as reported by OECD DAC. Final data for 2 EU Member States was not available so earlier data was extrapolated.</p>	<p>In total: n/a To LDCs: 0.15%</p>	<p>Council Conclusions of 26 May 2015, in the framework of the 2030 Agenda for Sustainable Development.</p> <p>In total: 0.70% To LDCs: 0.20%</p>	<p>In total: 0.47% (2018) To LDCs: 0.12% (2017)</p>

#### 19.02 – Instrument contributing to Stability and Peace – Crisis response, conflict prevention, peace-building and crisis preparedness

**Specific objective 1.1:** 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

Related to spending programme Instrument contributing to Stability and Peace (IcSP)

**Result indicator 1.1.1:** Percentage of projects adopted within 3 months of a crisis context (period from date of presentation to PSC).

Measure swift mobilization of resources to implement projects for short-term crisis response and conflict prevention where other financial instruments are not available and/or where the IcSP needs to contribute to a comprehensive response.

**Source of data:** FPI.2

<sup>9</sup> No new results are available in 2019

<b>Baseline</b> 2012	<b>Interim Milestone</b>	<b>Target</b>	<b>Latest known results</b>
	2017	2020	2019
2011-2013: 69% <sup>10</sup>	65%	75%	91%

### Main outputs in 2019

#### Important items from work programmes/financing decisions/operational programmes<sup>11</sup>

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Swift adoption of short-term crisis response measures <sup>12</sup> where other financial instruments are not available and/or where action is required to contribute to a comprehensive response	Percentage of projects/Financing Decisions adopted within 3 months of a crisis context (date of presentation to PSC).	75% by December 2019	91%
Swift contracting of short-term crisis response measures (EAMs) after adoption of the Commission Decision	Percentage of actions (programmes/projects) contracted within 4 months after adoption of the Commission Decision	70% by December 2019	77%

#### Completed evaluations:

Evaluation of IcSP actions on Migration crisis response in the Middle East and Turkey;  
 Evaluation on Haiti and the Dominican Republic - 'Support to address the mixed migration crisis on the Island of Hispaniola';  
 Final evaluation of the IfS/IcSP support under Articles 3 and 4 to Counter-terrorism and Preventing Violent Extremism (CT/PVE) in beneficiary countries (2007-2016)  
 Final evaluation of the Ifs/IcSP support under Article 3 to Mine Action in beneficiary countries;

Other evaluations: <https://webgate.ec.testa.eu/publications/studiesdb/Home.xhtml>

<sup>10</sup> The indicator measures swift mobilization of resources to implement projects for short-term crisis response and conflict prevention where other financial instruments are not available and/or where the IcSP needs to contribute to a comprehensive response. Total number of IfS actions

<sup>11</sup> For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the Draft Budget for 2019.

<sup>12</sup> Exceptional Assistance Measures – Article 3 of the IcSP Regulation

**Specific objective 1.2:** To contribute to the prevention of conflicts and to ensure capacity and preparedness to address pre- and post-crisis situations and build peace.

Related to spending programme Instrument contributing to Stability and Peace (IcSP)

**Result indicator 1.2.1:** Number of processes and entities with strengthened capacity of EU and beneficiaries attributable to IcSP funding to prevent conflicts, address pre and post conflict situations and to build peace

The indicator measures the strengthened capacity of EU and beneficiaries of EU assistance to prevent conflicts, address pre-and post-conflict situations and to build peace

**Source of data:** FPI.2 (CRIS)

Baseline 2012	Interim Milestone	Target	Latest known results
	2017	2020	2019
1183 <sup>13</sup> (number of processes and entities)	1200	1500	1609 (971 Processes and 638 entities)

**Completed evaluations:**

Evaluation of the IcSP project to strengthen the control of lake and river borders to promote the security of populations and socio-economic activities in the face of criminal activities and the terrorist threat in Chad;

Evaluation of IcSP financed Mediation and Peacebuilding Initiatives in Libya (2015-2018);

Evaluation of IcSP actions on Counter-Terrorism and Countering Violent Extremism in the Middle East and North Africa (MENA);

ICSP/2017/ 389-215 Mid-term evaluation of 2015/358-830 "Building and Consolidating National Capacities for Conflict Prevention"

Other evaluations: <https://webgate.ec.testa.eu/publications/studiesdb/Home.xhtml>

**Main outputs in 2019**

<sup>13</sup> The indicator measures the strengthened capacity of EU and beneficiaries of EU assistance to prevent conflicts, address pre and post conflict situations and to build peace. It refers to the number of processes (mediation processes, internal political dialogues) and entities benefiting from strengthened capacity, attributable to IcSP funding in conflict prevention, crisis preparedness and peace-building through the so-called "Peace Building Partnership". In 2011 – the baseline given in the Strategic Plan – the figure was 952. In 2012, following a revised compilation methodology, the figure was 1183 processes and entities (734 processes and 449 entities) with strengthened capacity attributable to IcSP funding with a budget of EUR 22 Million.

<b>Important items from work programmes/financing decisions/operational programmes<sup>14</sup></b>			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Timely adoption of the Multiannual Action Programmes 2019 and 2020 (MAAP) for Article 4 of the IcSP regulation in cooperation with the EEAS	Adoption of MAAP	July 2019	July 2019
<b>Other important outputs</b>			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Action documents under AAP 2018 contracted	% of action documents under AAP 2018 contracted	100% by 31 December 2019	100%
Action documents under AAPs 2014, 2015, 2016 and 2017 implemented as planned	% of action documents under AAPs 2014-2016 for which implementation is completed / on track / first report received	100%	100%
	% of action documents under AAP 2017 for which implementation is on track / first report received	50%	50%

<sup>14</sup> For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

<p>Actions to increase resilience of target groups to potential disasters in the area of Disaster Risk Reduction are reported upon in line with OECD-DAC criteria</p>	<p>Disaster risk reduction marker</p>	<p>100% coverage of Disaster Risk Reduction by year end</p>	<p>0% While significant work took place<sup>15</sup>, no <u>new</u> action of this type was launched in 2019.</p>
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<sup>15</sup> Two Post-Disaster Needs Assessment interventions (Mozambique and Albania) were conducted during 2019 under an existing RPBA-PDNA action. In addition, one Preventive Peace Building Assessment in Burkina Faso was launched in 2019. Further, a pre-scoping mission was conducted in Sudan, but this mission did not trigger a Recovery and Peacebuilding Assessment.



**Specific objective 1.1:** 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

**and**

**Specific objective 1.2:** : To contribute to the prevention of conflicts and to ensure capacity and preparedness to address pre- and post-crisis situations and build peace.

Related to spending programme Instrument contributing to Stability and Peace (IcSP)

### Main outputs in 2019

#### Delivery on legislative proposals pending with the legislator

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Delivering on the adoption of the Commission's legislative proposal for a new Neighbourhood, Development and International Cooperation Instrument (NDICI) <sup>16</sup>	Political agreement	Third quarter 2019	Negotiations still ongoing

#### Other important outputs

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Project- and sector evaluations finalised in line with guidance provided in the FPI Manual	Number of final evaluation reports launched and/or approved at Inception Report level	7 by 31 December 2019	9
Theories of Change integrated into design of IcSP actions, specifically on SO 1.1 and SO 1.2 (in the Concept Note of each action)	% of action documents with explicit Theories of Change	100%	100%
Web-based communication tools developed and rolled-out (show-cases;	Number of web-based communication products developed	7 showcases 15 information	10 showcases 18 information sheets

<sup>16</sup> Proposal of 14 June 2018 for a Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument ([COM \(2018\)460, Procedure 2018/0243/COD](#))

information sheets; photo gallery)		sheets	
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### 19.03 - Common Foreign and Security Policy

**Specific objective 1.3:** Support to preservation of stability through substantial CSDP missions and EUSRs mandates

Related to spending programme(s)  
Common foreign and security policy (CFSP)

**Result indicator 1.3.1:** Planned vs. actual capacity deployment rate (international staff) of the main CSDP missions

It measures the actual implementation of the deployment (versus the operational plan) of the CSDP civilian missions under the respective responsibilities of:

- EEAS in terms of human resources mobilization (international staff, i.e. staff seconded from the Member States and contracted staff), IT, procurement, logistics, etc.
- FPI in terms of expenditure management (budget, contracting, support to missions in financial issues, etc.)

The indicator monitors the effectiveness of the on-going civilian CSDP missions' deployment but also the level of cooperation between the HR/VP'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.

**Source of data:** Civilian Planning and Conduct Capability (CPCC) quarterly update on staff

Baseline 2012	Interim Milestone 2017	Target 2020	Latest known results 2019
84%	86%	90%	88%

### Main outputs in 2019

#### Important items from work programmes/financing decisions/operational programmes<sup>17</sup>

Output description	Indicator	Target date	Latest known results (situation on 31/12/2019)
Swift preparation by FPI of the Commission Financing Decisions	Percentage of Commission Financing Decisions adopted within 1 month after Council Decision adoption	90% by end-December 2019	100%
Swift contracting by	Percentage of	90% by end-	100%

<sup>17</sup> For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

FPI after Commission Financing Decision adoption	Delegation Agreements with EUSR & CDSP missions signed within 1 month after Commission Financing Decision adoption	December 2019	
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**Other important indicators**

Output description	Indicator	Target date	Latest known results (situation on 31/12/2019)
Establishing and equipping the large-scale logistical platform / warehouse	The logistical platform / warehouse established and fully stocked with strategic equipment and logistical services (IT, fleet management, etc.) to provide all CDSP missions with rapid access to strategic items	End of June	In 2019, the Warehouse became operational, providing CDSP Missions and EUSRs with strategic equipment. The last remaining tenders, for personal protective equipment <i>and</i> soft skin vehicles) were finalised by end 2019.

**Delivery on legislative proposals pending with the legislator**

Output description	Indicator	Target date	Latest known results (situation on 31/12/2019)
Pour mémoire: adoption of the European Peace Facility	Political agreement	Third quarter 2019	Negotiations still ongoing

Specific objective 1.4: 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.

Related to spending programme(s) Common foreign and security policy (CFSP)

<b>Result indicator 1.4.1:</b> Number of countries having ratified the treaties mentioned in the baseline			
<b>Source of data:</b> 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>			
<b>Baseline</b>	<b>Interim Milestone<sup>18</sup></b>	<b>Target</b>	<b>Latest known results</b>
2012	2018	2020	2019
1) Comprehensive Nuclear-Test-Ban Treaty Organization, CTBTO: number of countries having ratified 159	167	169	168
2) UN Resolution 1540: number of countries having submitted the National Implementation Plan	180	192	39 <sup>19</sup>
3) Nuclear security assistance provided by IAEA: 82 countries	Assistance provided to up to 120 countries.	120 countries (focusing on countries for EU interest)	97 in 2019 97 in 2018 (104 in 2017 – number of countries supported varies from year to year depending on need)
4) Arms Trade Treaty: number of ratifications Signed by 110 States in April 2013  NB: entered into force on 24/12/2014	Ratified by 101 States as Parties	130 States	105 (138 including Accessions, Acceptances and Approvals)

<b>Main outputs in 2019:</b>			
Description	Indicator	Target date	Latest known results (situation on 31/12/2019)
Swift preparation and	Percentage of	90% by December	75% by December

<sup>18</sup> The column should be deleted if only short-and medium term (less than 3 years) targets are set.

<sup>19</sup> The number of countries having implemented the national implementation plan for UN Resolution 1540 started from a very low baseline, and has more than doubled from 14 in 2014 to 39 in 2019.

adoption of the Commission Financing Decisions after Council Decisions' adoption	Commission Financing Decisions adopted within 1 month after Council Decision adoption.	2019	2019
Swift contracting after Commission Financing Decisions' adoption	Percentage of Grants or Delegation Agreements with partner organisations signed within 1 month after Commission Financing Decision adoption.	90% by December 2019	75% by December 2019

#### 19.04 – Election Observation Missions

**Specific objective 1.5 :** Support and consolidate democratic reforms in third countries, by enhancing participatory and representative democracy, strengthening the overall democratic cycle, and improving the reliability of electoral processes, in particular by means of election observation missions

Related to spending European Instrument for Democracy and Human Rights (EIDHR)

**Result indicator 1.5.1:** Number of electoral processes and democratic cycles supported, observed, and followed by means of Election Observation Missions, Election Assessment Teams and Election Experts Missions and Election Follow-up Missions proposing recommendations to the host country

**Source of data:** FPI.3

Baseline	Interim Milestone	Target	Latest known results
average 2010-2013	2017	2020	2019
17	23	25	30

#### Main outputs in 2019

##### Delivery on legislative proposals pending with the legislator

Output description	Indicator	Target date	Latest known results
Delivering on the adoption of the Commission's legislative proposal for a new Neighbourhood, Development and	Political agreement	Third quarter 2019	Negotiations still ongoing

International Cooperation Instrument (NDICI) <sup>20</sup>			
<b>Main outputs in 2019</b>			
<b>Important items from work programmes/financing decisions/operational programmes<sup>21</sup></b>			
Output description	Indicator	Target date	Latest known results (situation on 31/12/2019)
Timely preparation of the 2020 Election Observation programme in cooperation with the EEAS	Adoption of the Annual Action Programme (AAP)	November 2019	November 2019
Organisation of EU Election Observation Missions (EOMs); EU Election Assessment Team missions (EATs) and EU Election Expert Missions (EEMs)	Number of missions deployed	18 by 31 December 2019	15
Deployment of Election Follow-up Missions (EFM) in countries after an Election Observation Mission to assess the implementation of recommendations	Number of EFM deployed	5 by 31 December 2019	9 (on 31/12/2019)
<b>Other important outputs</b>			
Output description	Indicator	Target date	Latest known results (situation on 31/12/2019)
Follow-up of Evaluation of EU Election Observation Activities recommendation:	Review of the toolbox	End of December 2019	The database on the follow-up of Election Observation Missions' recommendations has

<sup>20</sup> Proposal of 14 June 2018 for a Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument ([COM \(2018\)460, Procedure 2018/0243/COD](#))

<sup>21</sup> For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Improvement of the instrument's flexibility			been on line since September 2019 <sup>22</sup>
Core team experts trained on ethical aspects of the Code of Conduct, including harassment prevention	Percentage of EOM core team members trained on ethical aspects of the Code of Conduct, including harassment prevention (Women/Men)	100% by the end of 2019	All EOM members deployed in 2019 were briefed on the Code of Conduct and ethical guidelines. All training provided in 2019 had a dedicated session on the Code of conduct and related ethical guidelines.

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<sup>22</sup> <http://ec.europa.eu/info/strategy/relations-non-eu-countries/types-relations-and-partnerships/election-observation/mission-recommendations-repository/home>

Activity 19.05 – Partnership Instrument

**Specific objective 1.6:** EU and partner countries have developed joint approaches and responses to challenges of global concern

Related to spending programme:  
Partnership Instrument (PI)

**Result indicator 1.6.1:** 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 3 sub-indicators.

Operating Emissions Trading Schemes for greenhouse gas mitigation (ETS) outside the EU/EEA (at city, regional, country or multi-country level)

**Source of data:** Data source: <https://icapcarbonaction.com> – International Carbon Action Partnership (ICAP), Status Report – annual report

Baseline	Interim Milestone	Target	Latest known results
2014	2017	2020	2019
15	21	26	26

**Result indicator 1.6.2:** Share of renewables in total energy production in the 9 strategic partners

**Source of data:** <http://energyatlas.iea.org>

Baseline	Interim Milestone	Target	Latest known results
2014	2017	2020	2017
Brazil: 45% Canada: 10% China: 10% India: 38% Japan: 72% Republic of Korea: 8% Mexico: 8% Russian Federation: 1% USA: 8%	Increase in % share	Increase in % share by at least 10% in each strategic partner country	Brazil: 42% Canada: 10% China: 11% India: 37% Japan: 55% Republic of Korea: 10% Mexico: 10% Russian Federation: 1% USA: 8%



<b>Result indicator 1.6.3:</b> CO2 emissions from fuel combustion in the 9 strategic partners			
<b>Source of data:</b> <a href="http://energyatlas.iea.org">http://energyatlas.iea.org</a>			
<b>Baseline</b>	<b>Interim Milestone</b>	<b>Target</b>	<b>Latest known results</b>
2014	2017	2020	2017
20979,55 Mt CO2	Reduction by 3%	Reduction by 6%	Reduction by 0.5% (20874 Mt CO2)
<b>Result indicator 1.6.4 :</b> Number of local and regional authorities signing the Covenant of Mayors			
<b>Source of data:</b> <a href="http://www.covenantofmayors.eu/index_en.html">http://www.covenantofmayors.eu/index_en.html</a>			
Annual data provided directly by the Covenant of Mayors Office on 31/12			
<b>Baseline</b>	<b>Interim Milestone</b>	<b>Target</b>	<b>Latest known results</b>
2014	2018	2020	2019
6270	8100	10270	9984
<b>Completed evaluations:</b> none in 2019			
<b>Specific objective 1.7:</b> Partner countries take up measures and actions towards the implementation of the international dimension of the EU 2020 strategy			Related to spending programme: Partnership Instrument (PI)
<b>Result indicator:</b> Uptake of the "Europe 2020" strategy by key partner countries – implementing the international dimension of the "Europe2020, A strategy for smart, sustainable and inclusive growth" - as measured by the following sub-indicators:			
<b>Sub indicator 1.7.1:</b> Number of cities that have signed new bilateral or multilateral agreements on sustainable urban development			
<b>Source of data:</b> FPI.4			
<b>Baseline</b>	<b>Interim Milestone</b>	<b>Target</b>	<b>Latest known results</b>
2014	2018	2020	2019
0	60	At least 84 cities in at least 7 strategic partners	85
<b>Sub indicator 1.7.2 :</b> Number of regions that have signed new bilateral or multilateral agreements on innovation			
<b>Source of data:</b> FPI.4			

Baseline	Interim Milestone	Target	Latest known results
2014	2018	2020	2019
0	13	At least 18 regions / provinces worldwide	20
<p><b>Result indicator 1.7.3:</b> Number of international agreements on Migration and Mobility signed with the strategic partners</p> <p><b>Source of data:</b> <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></p>			
Baseline	Interim Milestone	Target	Latest known results
2014	2018	2020	2019
15	15	20	17
<p><b>Result indicator 1.7.4:</b> Average worldwide level of implementation of international safety standards in civil aviation</p> <p><b>Source of data</b> <a href="https://www.icao.int/safety/Pages/Safety-Report.aspx">https://www.icao.int/safety/Pages/Safety-Report.aspx</a></p>			
Baseline	Interim Milestone	Target	Latest known results
2014	2016	2020	2019
62%	62%	Increase at least by 5%	67.43%
<p><b>Completed evaluations:</b> none in 2019</p>			
<p><b>Specific objective 1.8:</b> Understanding and visibility of the Union and its role on the world scene is enhanced and widened</p>			<p>Related to spending programme: Partnership Instrument (PI)</p>
<p><b>Result indicator:</b> EU Visibility</p> <p>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 other outreach activities to promote the Union's values and interests</p> <p><b>Source of data:</b> 2015 Opinion poll (in 10 Strategic Partner countries – Brazil, Canada, China, India, Japan, Mexico, Russia, South Africa, Republic of Korea and USA) launched by FPI.4</p>			
Baseline <sup>23</sup>	Interim Milestone	Target	Latest known results

<sup>23</sup> This indicator is not to be measured annually. Expected new measurement in 2020.

2014	2017	2020	2015
Brazil – Visible 93%, Not 7% Canada – Visible 87%, Not 13% China – Visible 95%, Not 5% India – Visible 93%, Not 7% Japan – Visible 76%, Not 24% Mexico – Visible 97%, Not 3% Russia – Visible 93%, Not 7% South Africa – Visible 85%, Not 15% Republic of Korea – Visible 92%, Not 8% USA – Visible 88%, Not 12%	Maintain high visibility in SPC where EU highly visible and improve where less visible	Maintain high visibility in SPC where EU highly visible and improve where less visible	This indicator will not be measured annually.  The figures for the baseline are taken from the latest study indicated below, published in 2015. The Service will soon launch the update of the study.
<b>Completed evaluations:</b> none in 2019			

<b>Specific objective 1.9:</b> Improved fulfilment of EU's economic interests (trade, investment and business)		Related to spending programme: Partnership Instrument (PI)	
<b>Result indicator:</b> Improving access to partner 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 - as measured by the following sub-indicators:			
<b>Sub indicator</b> 1.9.1: EU share in foreign trade in goods and services of 9 Strategic Partners			
<b>Source of data:</b> <a href="http://ec.europa.eu/eurostat/web/international-trade/data/database">http://ec.europa.eu/eurostat/web/international-trade/data/database</a> COMEXT/IMF for trade in goods - first data published approximately in July of year n+1. WTO/EUROSTAT for trade in services – first WTO data published in April of year n+1, preliminary EUROSTAT data published approximately in June of year n+1 and complete EUROSTAT data published approximately in December of year n+1.			
<b>Baseline</b> 2013 <sup>24</sup>	<b>Interim Milestone</b>	<b>Target</b>	<b>Latest known results</b>

<sup>24</sup> EU share in Brazil, Mexico, US, Canada, Russian Federation, India, China, Japan and Republic of Korea total foreign trade in goods and services (imports + exports) (N.B.: these figures do not measure these countries' share in EU foreign trade). As from 2010, the reporter is EU-28 for both trade in goods and trade in services. As from 2010, the data for both trade in goods and trade in services is calculated according to BMP6 (Balance of Payments and International Investment Position Manual) methodology.

	2018	2020	2018
2013: 17.0%	18.0%	Overall increase in share	18.0%
<b>Result indicator 1.9.2</b> : EU investments flows from/to 9 strategic partners <sup>25</sup>			
<b>Source of data:</b> EUROSTAT			
<a href="http://ec.europa.eu/eurostat/statistics-explained/index.php/Foreign_direct_investment_statistics">http://ec.europa.eu/eurostat/statistics-explained/index.php/Foreign_direct_investment_statistics</a>			
Preliminary data for selected countries published in June of year n+1; data with complete geographical breakdown are foreseen in December of year n+1.			
<b>Baseline</b> <sup>26</sup>	<b>Interim Milestone</b>	<b>Target</b>	<b>Latest known results</b>
2013	2018	2020	2017
EU Foreign Direct Investment <sup>27</sup>  - Inward flows: 442 billion EUR - Outward flows: 421.6 billion EUR	Possible increase in FDI flows	Increase FDI flows in parallel with global economic growth	- Inward flows: -142.6 billion EUR  - Outward flows: 109 billion EUR

**Specific objective 1.6:** EU and partner countries have developed joint approaches and responses to challenges of global concern

**Specific objective 1.7:** Partner countries take up measures and actions towards the implementation of the international dimension of the EU 2020 strategy

**Specific objective 1.8:** Understanding and visibility of the Union and its role on the world scene is enhanced and widened

**Specific objective 1.9:** Improved fulfilment of EU's economic interests (trade, investment and business)

Related to spending programme Partnership Instrument (PI)

**Main outputs in 2019:**

**Delivery on legislative proposals pending with the legislator**

Description	Indicator	Target	Latest known results
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<sup>25</sup> This indicator proves to be too volatile to actually measure PI activity. However, since we introduced it at the beginning of the MFF, we need to measure it until 2020.

<sup>26</sup> Until 2012 the reporter was the EU-27 and the data were calculated according to BMP5 (Balance of Payments and International Investment Position Manual) methodology. The figures as from 2013 use the reporter of EU-28 and are calculated according to BPM6. Data for all values extracted on 29 January 2017.

<sup>27</sup> Foreign direct investment (FDI) flows are highly volatile.

			(situation on 31/12/2019)
Delivering on the adoption of the Commission's legislative proposal for a new Neighbourhood, Development and International Cooperation Instrument (NDICI) <sup>28</sup>	Political agreement	Third quarter 2019	Negotiations still ongoing
<b>Important items from work programmes/financing decisions/operational programmes<sup>29</sup></b>			
Annual Action Programme (AAP) 2019 adopted on time	Adoption of AAP 2019 (part 1)	April 2019	May 2019
	Adoption of AAP 2019 (part 2)	July 2019	November 2019
<b>Other important outputs</b>			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Actions under AAP 2018 contracted	% of actions under AAP 2018 contracted by 31/12/2019	100%	99%
Actions under AAPs 2015 to 2017 implemented as planned	% of actions under AAP 2014-2017 for which implementation is on track / first results achieved	90%	95%
Full implementation of the Recommendations from the IAS audit of the Partnership Instrument	Number of implemented recommendations stemming from the IAS audit of the Partnership Instrument	100% by year end (31 December 2019)	87.5% (seven actions completed out of eight)

<sup>28</sup> Proposal of 14 June 2018 for a Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument ([COM \(2018\)460, Procedure 2018/0243/COD](#))

<sup>29</sup> For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2020](#).

### 19.06 –Information Outreach

**Specific objectives 1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8 and 1.9**

Related to all FPI instruments and operations

Unit in charge: FPI5

#### Main outputs in 2019

#### Important items from work programmes/financing decisions/operational programmes<sup>30</sup>

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Information Outreach Annual Work Programme (AWP) 2020 adopted on time	Adoption of AWP 2020	December 2019	AWP adopted on 16 December 2019

<sup>30</sup> For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).