



Management Plan 2017

Service for Foreign Policy Instruments (FPI)



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LIST OF ACRONYMS

ABB: Activity Based Budgeting
AAP: Annual Action Programme
AFET: European Parliament - Committee on Foreign Affairs
AOD: Authorising Officer by Delegation
AOSD: Authorising Officer by Sub-Delegation
CEOS: Conditions of Employment for Other Servants of the European Union
CFSP: Common Foreign and Security Policy of the European Union
CIVCOM: Committee for Civilian Aspects of Crisis Management
CPCC: Civilian Planning and Conduct Capability
CSO: Civil Society Organisation
DAS: Statement of Assurance
DCI: Development Cooperation Instrument
DEVCO: DG for International cooperation and development
DG: Directorate General
EAC: DG for Education and Culture
EAT: Election Assistance Team
EC: European Commission
ECHO: DG for humanitarian and civil protection
EEAS: European External Action Service
EEM: Election Expert Mission
EFI: External Financing Instrument
EFM: Election Follow-up Mission
EIDHR: European Instrument for Democracy and Human Rights
ENER: DG for Energy
ENV: DG for Environment
EOMs: Election Observation Missions
EP: European Parliament
ETP: Equivalent Temps Plein
EU: European Union
EUDEL: Delegation of the European Union
EUSR: European Union Special Representative
ExM: Exploratory Mission
FPI: Service for Foreign Policy Instruments
FWC: Framework Contract
GROW: DG for Internal Market, Industry, Entrepreneurship and SMEs
HQ: Head quarter
HR/VP: High Representative of the Union for Foreign Affairs and Security Policy/Vice-President of the
ICI: Instrument for Cooperation with Industrialised Countries
IcSP: Instrument contributing to Stability and Peace
IfS: Instrument for Stability
ISC: Inter Service Consultation
ISIL: Islamic State of Iraq and the Levant
KPCS: Kimberley Process Certification Scheme
KPI: Key Performance Indicator
MEP: Member of the European Parliament
MFF: Multiannual Financial Framework
MSP: Mission Support Platform
MTR: Mid-Term Review (mid-term evaluation of the External Financing Instruments)
NATO: North Atlantic Treaty Organization

NEAR: DG for Neighbourhood and Enlargement Negotiations
NPD: non-proliferation and disarmament
OLAF: office européen de lutte antifraude
PI: Partnership Instrument
PRAG: Practical Guide to Contract Procedures for EU external actions
PSC: Political and Security Committee
RAL: Reste A Liquider
RELEX family: DEVCO, ECHO, FPI, NEAR, TRADE
RER: Residual Error Rate
SLA: Service Level Agreement
SPF: Statement of Preliminary Findings
SWD: Staff Working Document
TEU: Treaty on the European Union (Lisbon Treaty)
TFEU: Treaty on the Functioning of the European Union
TRADE: DG for Trade

INTRODUCTION

FPI is the Commission's service responsible for the operational and financial management of the budgets for the Foreign Policy Financing Instruments and for the implementation of Foreign Policy Regulatory Instruments.

The Service is directly attached to the High Representative/Vice-President and works closely with the European External Action Service delivering operations closely connected to the EEAS foreign policy agenda.

FPI is responsible for managing in particular financing instruments that are able to respond rapidly and flexibly to changing policy priorities and are therefore essential for the successful implementation of the Global Strategy of June 2016.

The FPI-managed financing instruments serve the EUs external political priorities, provide a coherent management framework under which structural support for the implementation of the EU Global Strategy can be assured following the steer from the European External Action Service.

More particularly, FPI contributes to the implementation of the comprehensive approach to conflicts and crises through timely interventions under the Instrument contributing Stability and Peace (IcSP) or through CSDP Missions contributing inter alia to the rule of law, the fight against terrorism or to security sector reform.

Furthermore, FPI contributes under the Partnership Instrument to the projection of EU interests abroad in areas ranging from climate change, the protection of the environment, energy security to migration or transport enhancing political partnerships with strategic partners and beyond, fostering peer-to-peer relationships and influencing partner's policy making. FPI also provides the framework under which EU Elections Observations are deployed within very short deadlines.

As such, FPI therefore contributes to and is entirely accounted for under the **general objective Nr 9 "A stronger global actor"** within the 10 Juncker Commission's priorities, as stated in its Strategic Plan 2016-2020 and focusing on two main aspects:

- Increase EU position as a peace maker on the international scene;
- Advance and promote the EU and mutual interests on the international scene¹.

This FPI Management Plan 2017 also duly reflects and supports the Commission Work Programme for 2017 by including reference to the adoption of a new Capacity-Building for Security and Development initiative by means of an amendment to the IcSP Regulation.

As regards the allocated resources, under Heading 4 of the current MFF (EUR 66.3 billion at current prices), FPI is set to manage 5.5 billion (8.3%), with an annual budget growing from 713 million in 2014 to 861 million in 2020. Crisis response will remain the major share of FPI's challenge in the coming years. Taken together, crisis response and crisis management operations under the CFSP and the Instrument contributing to Stability and Peace (IcSP) represent 77% of the EUR716 million budget to be implemented in 2017 by FPI.

¹ FPI Strategic Plan 2017-2020 mentioned 4 main aspects instead of 2. After an in-depth evaluation of the Partnership Instrument done in 2016 for a matter of simplification the 3 aspects related to this Instrument have been merged in one single: • Advance and promote the EU and mutual interests on the international scene.

The continued effective and efficient management of FPI operations will therefore remain the overarching objective in 2017, with the emphasis on aiming for consistent high standards even in the most difficult circumstances.

Below the reader will find more details on the link between the present FPI Management Plan and the Strategic Plan 2016-2020.

Increase EU position as a peace maker on the international scene

⇒ FPI specific objectives No 1.1, 1.2, 1.3, 1.4 and 1.5

The credibility of the EU in this particular area is linked to its capacity to act and intervene quickly and in an efficient way. This entails that FPI develops specific tools and trains high level experts who can be deployed when a crisis emerges (CFSP, EOMs, IcSP), therefore the main impact indicators proposed by FPI in this area are designed to assess the EU reactivity in this matter.

Apart from EU short-term responses to emerging crisis, FPI works on a long-term basis through civilian stabilisation missions in crisis management (CFSP), sanctions, or promoting strategies to limit the use of weapons at international level. FPI reinforces also the conflict prevention, peace-building and preparedness and resilience capacity of third countries facing regular crises (IcSP).

Advance and promote the EU and mutual interests on the international scene

⇒ FPI specific objectives No 1.6, 1.7, 1.8 and 1.9

FPI works on increasing EU capacity to provide an impetus to tackling challenges of global concern in line with the EU political and diplomatic agenda, in particular following Council conclusions by starting a negotiation at international level or by bringing these challenges to the attention of the world community and working on solutions through international coordination and consensus. FPI also works to reduce cultural, social and political misunderstandings between the EU and third countries/regions, mainly through outreach and targeted communication.

FPI will contribute to increase EU capacity in accessing new economic markets, supporting the negotiation and/or implementation of Free Trade Agreements (together with TRADE), or reducing standards and norms gaps between the EU and a third country or an economic region, and enhancing the penetration of new economic markets by EU companies with dedicated support programmes.

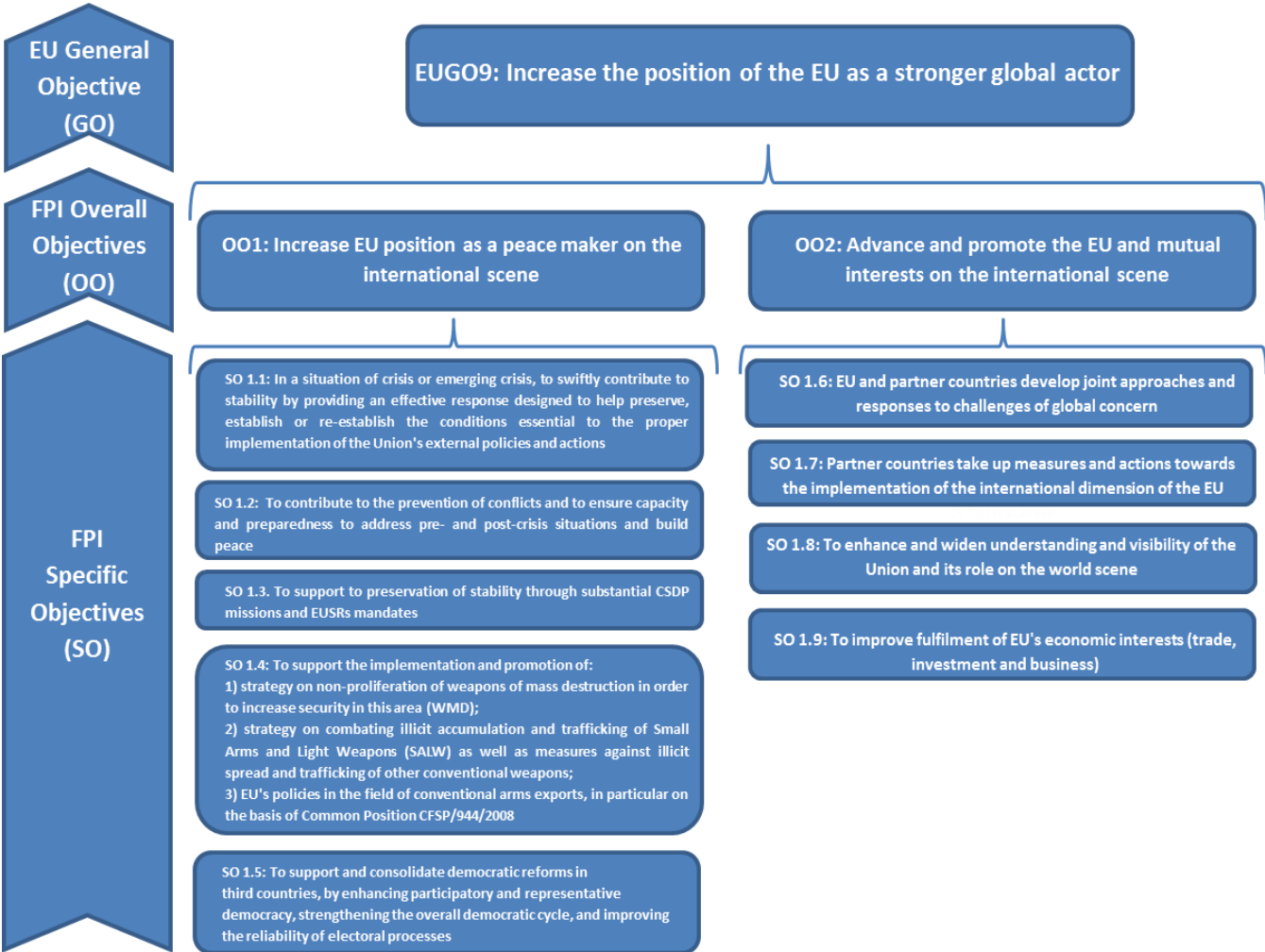
Finally, as also stated above, FPI will work with the EEAS to give effect to key aspects of the June 2016 EU Global Strategy for Foreign and Security Policy as regards developing an integrated approach to conflicts and crises and promoting global governance for the 21st century and cooperative regional orders.

FPI Intervention Logic

Main outputs expected in 2017 to implement FPI Strategic Plan 2016-2020

FPI will continue to assess its capacity to react swiftly to crises or emerging crises in the world or to new political priorities from the EU during 2017. FPI will also focus on the identification of new projects to be funded under the IcSP and PI in 2018 and on the full implementation of the AAP 2016 actions.

Furthermore, FPI will finalise in 2017 the mid-term evaluation of its 2 instruments: the IcSP and the PI, which will feed into the Impact Assessment of the post-2020 legislative package (Heading IV of the MFF).



PART 1. MAIN OUTPUTS FOR THE YEAR

As part of its main activities, FPI will foster its capacity to assess its performance developing a Results Framework. This Results Framework will allow FPI to track better the effects produced by the actions it manages in the field. In addition, commencing in 2017, FPI will progressively implement the EU Gender Action Plan 2016-20 with regard to its interventions, starting with measuring the number of new interventions meeting the OECD tracks aid in support of gender equality and women's rights gender equality policy marker (G-marker)² which is a qualitative statistical tool to record aid activities that target gender equality as a policy objective.

Finally, FPI will cooperate with DEVCO and NEAR on the roll-out and testing of the Results Management module of OPSYS.

Specific objective 1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8 and 1.9: other important outputs		Related to FPI spending instruments and policy
		Unit in charge: FPI1
Main outputs in 2017		
Output	Indicator	Target
Launch of the FPI Results Framework	FPI Results Framework drafted with related indicators	31 July 2017
Output	Indicator	Target
Progressively implement the EU Gender Action Plan 2016-2020 with regard to FPI interventions	% of FPI interventions meeting G-marker - 0 (GAP Indicator 5.3.1)	31 December 2017
	% of FPI interventions meeting G-marker-1 or -2 (GAP Indicator 5.3.2)	
Output	Indicator	Target
Cooperate with DEVCO & NEAR on design and development of OPSYS ³	Roll out and testing of 1st phase on Results Management module	31 December 2017

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

The Instrument contributing to Stability and Peace (IcSP) for the period 2014-2020 builds on the previous Instrument for Stability (IfS) 2007-2013. It aims to address security and political challenges, to respond immediately to crisis situations in third countries world-wide, to build capacity for conflict prevention, peace-building and crisis

² The G-marker is used by Development Assistance Committee (DAC) members as part of their annual aids activities reporting and is based on a three-point scoring system:

- Principal (marked 2) means that gender equality is the main objective of the activity and that the activity would not have been undertaken without this objective.
- Significant (marked 1) means that gender equality is an important but secondary objective.
- Not targeted (marked 0) means that the activity has been screened using the gender equality policy marker and does not target gender equality.

³ OPSYS is an IT system able to manage the different phases of an EU intervention (identification, formulation, implementation, evaluation, monitoring, and legal and financial aspects).

preparedness and to address global and trans-regional threats with a security or stability dimension.

The IcSP comprises two specific objectives, of which the main one is the **SO1.1 "Assistance in response to situations of crisis or emerging crisis to prevent conflicts"** (Article 3 of IcSP Regulation) for which 70% of the financial envelope is allocated. This part of the Instrument is non-programmable, allowing a rapid mobilisation of resources to respond to a given crisis or emerging crisis situation. It often complements CFSP/CSDP, development instruments and/or humanitarian aid interventions.

The second specific objective is **SO1.2 "to contribute to the prevention of conflicts and to ensuring capacity and preparedness to address pre- and post-crisis situations and build peace"** (Article 4 of IcSP Regulation). These programmable actions aim at enhancing capacities for conflict prevention, peace-building and crisis preparedness, working in cooperation with international, regional and sub-regional partners as well as Member states and civil society organisations.

The main challenge for the EU in the area of crisis response, conflict prevention, peace-building and crisis preparedness is linked to its capacity to act and intervene quickly and in an efficient way. Therefore the main output indicators for the IcSP are designed to **assess the EU reactivity** in this matter.

The indicator for the specific objective 1.1 therefore 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.

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 Instrument contributing to Stability and Peace (IcSP) Unit in charge: FPI2
Main outputs in 2017		
Output	Indicator	Target date
Swift adoption of short-term crisis response measures (Exceptional Assistance Measures – Article 3 of the IcSP regulation) where other financial instruments are not available and/or where action is required to contribute to a comprehensive response (indicatively: some 33 EAMs)	Percentage of Financing Decisions adopted within 3 months of a crisis context (date of presentation to PSC).	70% by December 2017
Output	Indicator	Target
Swift contracting of short-	Percentage of programmes/projects contracted	70% by December

term crisis response measures (EAMs) after adoption of the Commission Decision.	within 4 months after adoption of the Commission Decision.	2017
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Regarding the Specific Objective 1.2. the main output in 2017 is related to **AAP preparation and approval the full contracting of the AAP 2016 and implementation of AAPs 2014-2016.**

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 Instrument contributing to Stability and Peace (IcSP) Unit in charge: FPI2
Main outputs in 2017		
Output	Indicator	Target
Launch of the implementation of the 2017 programme under Article 4 of IcSP Regulation	Adoption of the Annual Action Programme (AAP), in cooperation with the EEAS	June 2017
Output	Indicator	Target
Action documents under AAP 2016 contracted	% of action documents under AAP2016 contracted by 31/12/2017	100%
Output	Indicator	Target
Action documents under AAPs 2014 and 2015 implemented as planned	% of action documents under AAP 2014-2015 for which implementation is on track /first report received	50%

In view of the Mid-Term Review Report, a **strategic mid-term evaluation of the Instrument contributing to Stability and Peace** requested by the Common Implementing Regulation (CIR)⁴ was launched in 2015 (Roadmap) and will end in 2017. A Staff Working Document will gather the main findings of the evaluation related to relevance, EU added value, coherence and complementarity, effectiveness, efficiency, sustainability, leverage and impact of the instrument. The evaluation is part of a wider set of evaluations covering the External Financing Instruments under Heading 4 of the Multiannual Financial Framework 2014-2020 as set out in the CIR.

In addition, the Annual Evaluation Plan for 2017 covers 14 IcSP project/sector evaluations.

⁴ Regulation (EU) No 236/2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action, art. 17.

Specific objective 1.2, 1.3: other important outputs		Related to spending Instrument contributing to Stability and Peace (IcSP) Unit in charge: FPI2
Main outputs in 2017		
Output	Indicator	Target
IcSP MTR evaluation	SWD drafted	31 July 2017
Output	Indicator	Target
Projects/programmes evaluations finalised	Number of final evaluation reports completed by 31 December 2017	10

A legislative initiative to incorporate **Capacity-Building for Security and Development (CBSD) in the IcSP** is part of the Commission Work Programme and FPI, in cooperation with other Commission services and the EEAS will work towards a swift adoption of the CBSD proposal by the co-legislators.

Specific objective 1.1, 1.2: other important outputs		Related to spending Instrument contributing to Stability and Peace (IcSP) Unit in charge: FPI2
Main outputs in 2017		
Output	Indicator	Target
IcSP Regulation amended to incorporate CBSD	All inputs provided for cooperation with other Commission services and EEAS to allow for timely adoption of the CBSD proposal by Parliament and Council.	31 December 2017

Building on the creation of an online, map-based tool sharing information on IcSP projects in 2016 (Insight on Conflict⁵), work will continue on the development and roll-out of web-based communication highlighting key results and impact.

Particular focus will also be given to engaging with the Spokesman's Service and the Strategic Communication Division of the EEAS on drafting press releases in relation to key IcSP interventions and actions.

⁵ http://ec.europa.eu/dgs/fpi/what-we-do/instrument_contributing_to_stability_and_peace_en.htm

Specific objective 1.1, 1.2: other important outputs

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

Unit in charge: FPI2

Main outputs in 2017

Output	Indicator	Target
Development and roll-out of web-based communication tools	Number of web-based communication products developed and press releases issued	31 December 2017

ABB activity 19.03 – Common Foreign and Security Policy

The Common Foreign and Security Policy (CFSP) of the European Union contributes to the objectives of preserving peace, preventing conflicts and strengthening international security laid out in Article 21 of the Treaty on the European Union as well as to the EU's General Objective (09) of increasing the position of the EU as a strong global actor.

As the June 2016 Global Strategy for the EU's Foreign and Security Policy highlights, "Internal and external security are ever more intertwined". Security within the EU depends upon peace beyond the EU's borders. The CFSP is an important component of the EU's commitment to act globally to address the root causes of conflict and poverty, and to promote human rights.

So as to increase the EU position as a peacemaker on the international scene (FPI's Overall Objective 01) FPI pursues the achievement of two specific objectives in relation to the CFSP, SO 1.3 and SO 1.4.

SO1.3: To support the preservation of stability through substantial Common Security and Defence Policy (CSDP) missions and European Union Special Representative (EUSR) mandates.

Where necessary to head-off and respond to international and security crises, the Council of the European Union (supported by the European External Action Service) establishes civilian CSDP missions and appoints EU Special Representatives (EUSRs) to play an active role in efforts to consolidate peace, stability and the rule of law in troubled countries and regions. These civilian CSDP missions and EUSRs form an important part of the EU's "comprehensive approach to conflicts and crises" put forward in the Global Strategy for the EU's Foreign and Security Policy.

The mandates of civilian CSDP missions and EUSRs are specifically tailored to the particular needs of afflicted countries and regions so that, in accordance with the Global Strategy, the EU can act at all stages of the conflict cycle to counter crises arising or escalating, to respond responsibly yet decisively and to foster stabilisation.

Civilian CSDP missions play an important role with respect to the core priority of our Union with activities ranging from strengthening the rule of law to supporting internal security sector efforts and reforms, strengthening border security, combatting piracy or monitoring peace agreements. EUSRs contribute to the integrated approach to conflicts through diplomacy, mediation and reporting.

Preventing and responding to crises requires rapid action. The Commission, through FPI, provides its expert assistance on project and financial management to the EEAS and the Council so that the necessary financial and human resources and other necessary assets are made available straightaway. FPI also develops, puts in place, adapts and refines operational policies, procedures, guidelines, mechanisms, procurement/Framework contracts and support structures so that the EUSRs and civilian CSDP missions can be deployed and become effective at the shortest possible notice.

In order to maintain flexibility and responsiveness, EUSR and CSDP mission mandates are initially established for short periods of time. Depending upon evolving circumstances and needs, the Council decides to extend or modify mandates or to close down the EUSR organisations / civilian CSDP missions that have achieved their purpose. So that those Council Decisions can be rapidly taken on the basis of reliable information and implemented swiftly, FPI also supports the Council and EEAS in the monitoring of the missions during their operation. Throughout the mandates of EUSRs and CSDP missions, FPI deploys its expertise and resources to ensure that the EUSRs and civilian CSDP

missions are correctly resourced and comply with the financial and operational regulations, rules and procedures for the receipt of EU funding.

As the credibility of the EU's actions and the effectiveness of the Commission's support depend upon the ability to react immediately to evolving threats and crises, the indicators selected to monitor and assess FPI's achievement of specific objective 1.3 are directly linked to the speed with which EUSRs and civilian CSDP missions can be deployed and the rapidity with which progress is achieved.

Specific objective 1.3: Support to preservation of stability through substantial CSDP missions and EUSRs mandates		Related to spending Common foreign and security policy (CFSP)
		Unit in charge: FPI3
Main outputs in 2017		
Output	Indicator	Target date
Swift preparation and adoption of the Commission Financing Decisions after Council Decisions adoption (some 10 CSDP missions and 10 EUSRs and 5 NPD)	Percentage of Commission Financing Decisions adopted within 1 month after Council Decision adoption.	90% by December 2017
Output	Indicator	Target
Swift contracting after Commission Financing Decision adoption	Percentage of Delegation Agreements with EUSR & CSDP missions signed within 1 month after Commission Financing Decision adoption.	90% by December 2017

SO1.4: To support the implementation and promotion of:

- 1) The strategy on non-proliferation of weapons of mass destruction (WMDs) in order to increase security in this area;**
- 2) The strategy combatting illicit accumulations and trafficking of small arms and light weapons (SALW) as well as of other measures against the illicit spread and trafficking of other conventional weapons;**
- 3) The EU policies in the field of conventional arms exports, in particular on the basis of Common Position CFSP/944/2008.**

CFSP actions also promote the implementation of major strategies to restrict illegal and ill-intentioned access to and proliferation of weaponry, the importance of which is underlined in the June 2016 Global Strategy for the EU's Foreign and Security Policy.

Working together with, and providing funding, for international organisations, expert monitoring organisations and civil society, implementation of the EU's CFSP promotes collaborative approaches to combatting the destabilising proliferation and accumulation of weaponry. Consensus-building dialogue and discussion efforts are combined with tangible actions to support the ratification and implementation of, and the necessary monitoring / enforcement capacity for United Nation's Security Council Resolutions and for other international treaties, agreements, conventions and codes of conduct.

Areas of activity are wide and varied tackling such issues as: the proliferation of weapons of mass destruction and of ballistic missiles; the comprehensive banning of nuclear tests; the production, stockpiling, transfer and use of anti-personnel mines; the security of nuclear materials and the non-proliferation of sensitive materials and equipment as well as the detection of, and response to, illicit trafficking of nuclear and radioactive materials; biosafety and biosecurity; the safety, security and sustainability of activities in

outer space; the non-proliferation of chemical weapons and the elimination of stockpiles of, and facilities for, the production of chemical weapons; control systems for and the licensing and enforcement of the trade in armaments; the physical protection of stockpiles of small arms and light weapons (SALW) and the reduction of SALW availability through destruction and improved monitoring and tracing systems.

As with other CFSP activities, progress in these complex areas depends both on a sustained and comprehensive approach and rapid action to respond to pressing needs or arising opportunities. Following the Council and EEAS's determination of the actions to be undertaken, the Commission, through FPI, deploys its expertise for the swift preparation of efficient and economic projects that can credibly and effectively realise the EU's overarching ambition of contributing to peace and security. Throughout the lifetime of projects, FPI also deploys its expertise and resources to ensure that projects are correctly managed and monitored so that they stay on track and envisaged results are achieved, whilst ensuring compliance with sound financial management.

The output indicators selected to monitor and assess FPI's achievement of specific objective 1.4 are directly linked to the speed with which the Council's Decisions are translated into operational activities and the rapidity with which progress is achieved.

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. Support to preservation of stability through substantial CSDP missions and EUSR's mandates.		Related to spending Common foreign and security policy (CFSP) Unit in charge: FPI3
Main outputs in 2017		
Output	Indicator (e.g. adoption by...; completion)	Target date
Swift preparation and adoption of the Commission Financing Decisions after Council Decisions' adoption	Percentage of Commission Financing Decisions adopted within 1 month after Council Decision adoption.	90% by December 2017
Output	Indicator	Target
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 2017

Foreign Policy Regulatory Instruments: Restrictive Measures (CFSP-related Sanctions), Kimberley Process and Anti-Torture

FPI serves as the Commission's lead service for restrictive measures (sanctions) and other foreign policy regulatory instruments such as the Kimberley Process Certification Scheme (KPCS) on conflict diamonds and the so-called 'Anti-Torture' Regulation concerning trade in certain goods which could be used for torture or capital punishment (Regulation 1236/2005). All three regulatory instruments are EU foreign policy regulatory instruments imposing certain trade restrictions in order to achieve EU CFSP and human rights policy objectives.

As regards EU sanctions policy, FPI's role is determined by the Treaties, in particular Article 215 TFEU which states that the Commission makes a "joint proposal" with the High Representative for a Regulation on restrictive measures. As for the 'Kimberley Process' and 'Anti-Torture' Regulations, both based on Article 207 TFEU (common

commercial policy), FPI is responsible for representing the EU in Kimberley Process plenary and other meetings and for monitoring of implementation by the Member States.

In 2017, the main focus of FPI's sanctions-related work will be on ensuring effective implementation of the EU restrictive measures in place against Russia, Syria and the Democratic People's Republic of North Korea (DPRK) as well as those against Iran to be lifted under the Joint Comprehensive Plan of Action (JCPOA). In this context, FPI has also developed an electronic platform for information-sharing on sanctions implementation issues, which will be operational on 1 January 2017.

Furthermore, FPI will continue working with the EEAS and other Commission services concerned on proposals to effectively combat terrorist financing and further speed up transposition of UN measures into EU legislation, in particular as regards the ISIL/Da'esh and Al Qaida sanctions regime for which the Commission has implementing powers. In this context, FPI has developed a new application to its Financial Sanctions Database that would enable it to transmit information on new UN listings before transposition into EU legislation. This new application will be operational from 1 January 2017.

As regards the Kimberley Process (KP), in 2017 FPI will work closely with the Member States to ensure a successful EU KP Vice-Chairmanship 2017 and develop a vision statement and work programme for the EU's KP Chairmanship in 2018. In its capacity of EU KP Vice-Chair, FPI will aim to preserve the tripartite nature of the KP and promote an open dialogue between its three pillars – Governments, industry and civil society – with a view to forging consensus around the next KP review cycle and further strengthening implementation of the Scheme.

In relation to 'Anti-Torture', following adoption by the European Parliament and the Council⁶ of the proposed amendments to the Regulation on 14 November 2016, FPI will aim to promote the new, strengthened EU model of trade rules applicable to goods that could be used for capital punishment or torture towards third countries.

⁶ Regulation (EU) 2016/2134 of the European Parliament and of the Council of 23 November 2016 amending Council Regulation (EC) No 1236/2005 concerning trade in certain goods which could be used for capital punishment, torture or other cruel, inhuman or degrading treatment or punishment, OJ L 338, 13.12.2016, p. 1

ABB activity 19.04 – Election Observation Missions

Election observation is a key element of the EU's human rights policy and makes a constructive contribution to the election process in third countries, thus promoting democracy and consolidating stability, particularly where the EU is engaged in post-conflict stabilisation. The deployment of Election Observation Missions (EOMs) brings substantial added value to the democratic process of partner countries as well as to the peaceful transition of countries emerging from civil strife or war.

The total number of processes observed and assessed by the EU depends on:

- the political agenda defined by the High Representative/Vice President;
- the changes (postponements/cancellations) of the corresponding electoral calendars/processes;
- the annual budget available;
- the security situation in the countries in which EOMs are to be deployed since the EC has the duty of care of all staff participating in them;
- EU capacity to deploy electoral missions.

Main output in 2017 will concentrate on the preparation of **the next AAP** and on the **effective implementation of the missions foreseen**.

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)
		Unit in charge: FPI5
Main outputs in 2017		
Output	Indicator	Target
Preparation of the 2018 Election Observation programme	Adoption of the Annual Action Programme (AAP), in cooperation with the EEAS	November 2017
Output	Indicator	Target
Organisation of EU Election Observation Missions (EOMs); EU Election Assessment Team missions (EATs) and EU Election Expert Missions (EEMs)	Number of missions deployed	23 by 31 December 2017
Output	Indicator	Target
Organisation of Election Follow-up Missions (EFMs)	Number of Election Follow-up Missions (post-election expert missions) deployed in countries after an Election Observation Mission to assess the implementation of recommendations	4 by 31 December 2017

FPI will contribute to the Mid-Term evaluation of the EIDHR for activities related to art. 1(a) of the Regulation, namely *'improving the reliability of electoral processes, in particular by means of EU Election Observation Missions'*. This evaluation is led by DG DEVCO and shall be concluded by July 2017.

ABB activity 19.05 – Partnership Instrument

The Partnership Instrument (PI) has been designed to advance and promote EU and key partner countries mutual interests abroad by supporting the external dimension of EU policies, in particular the "Europe 2020" Strategy, and by addressing major global challenges, both at bilateral and at multilateral level. Contrary to many traditional financing instruments, the PI promotes peer to peer relationships globally, although with a specific focus on EU's designated strategic partners. The PI also intends to improve market access and develop trade and business opportunities for EU companies through economic partnerships, business and regulatory cooperation. Finally, the PI is intended to enhance widespread understanding and visibility of the Union on the world scene by means of public diplomacy, education/academic cooperation & outreach activities.

In order to succeed in the implementation of the Partnership Instrument, FPI faces both operational and policy challenges: on one hand, FPI will have to ensure that following the adoption of Annual Action Plans (AAPs), the actions are timely and soundly implemented; on the other hand, FPI needs to steer a complex annual planning exercise involving policy prioritisation by both the EEAS (Headquarters and Delegations) and the concerned Commission DGs in view of the timely adoption of future AAPs. An additional challenge is linked to the capacity of FPI to ensure responsiveness to developing policy priorities. For this purpose, FPI has developed an approach of adopting Annual Action Plans in two phases, indicatively in April/May and November/December, respectively.

As a consequence, the main outputs to be expected in 2017 and related to Specific objectives:

- **SO1.6: EU and partner countries have developed joint approaches and responses to challenges of global concern;**
- **SO1.7: Partner countries take up measures and actions towards the implementation of the international dimension of the EU 2020 strategy;**
- **SO1.8: Understanding and visibility of the Union and its role on the world scene is enhanced and widened;**
- **SO1.9: Improved fulfilment of EU's economic interests (trade, investment and business);**

are those linked to the **preparation and adoption of the AAP 2017** (in two phases, the **full contracting of the AAP 2016 and implementation of AAPs 2014-2016**.

Specific objective 1.6: EU and partner countries have developed joint approaches and responses to challenges of global concern		Related to spending Partnership Instrument (PI)
		Unit in charge: FPI4
Main outputs in 2017:		
Output	Indicator (e.g. adoption by...; completion)	Target date
Annual Action Programme (AAP) 2017 adopted on time	Adoption of AAP 2017 (part 1) Adoption of AAP 2017 (part 2)	May 2017 December 2017
Output	Indicator	Target
Action documents under AAP 2016 contracted	% of action documents under AAP 2016 contracted by 31/12/2017	100%
Output	Indicator	Target
Action documents under	% of action documents under AAP 2014-2015 for	75%

AAPs 2014 and 2015 implemented as planned	which implementation is on track	
Specific objective 1.7: Partner countries take up measures and actions towards the implementation of the international dimension of the EU 2020 strategy		Related to spending Partnership Instrument (PI) Unit in charge: FPI4
Main outputs in 2017		
Output	Indicator	Target date
Annual Action Programme (AAP) 2017 adopted on time	Adoption of AAP 2017 (part 1) Adoption of AAP 2017 (part 2)	May 2017 December 2017
Output	Indicator	Target
Action documents under AAP 2016 contracted	% of action documents under AAP2016 contracted by 31/12/2017	100%
Output	Indicator	Target
Action documents under AAPs 2014 and 2015 implemented as planned	% of action documents under AAP 2014-2015 for which implementation is on track/first results received	50%
Specific objective 1.8: Understanding and visibility of the Union and its role on the world scene is enhanced and widened		Related to spending Partnership Instrument (PI) Unit in charge: FPI4
Main outputs in 2017		
Output	Indicator	Target date
Annual Action Programme (AAP) 2017 adopted on time	Adoption of AAP 2017 (part 1) Adoption of AAP 2017 (part 2)	May 2017 December 2017
Output	Indicator	Target
Action documents under AAP 2016 contracted	% of action documents under AAP2016 contracted by 31/12/2017	100%
Output	Indicator	Target
Action documents under AAPs 2014 and 2015 implemented as planned	% of action documents under AAP 2014-2015 for which implementation is on track/first results received	50%
Specific objective 1.9: Improved fulfilment of EU's economic interests (trade, investment and business)		Related to the Partnership Instrument Unit in charge: FPI4
Main outputs in 2017		
Output	Indicator	Target date
Annual Action Programme (AAP) 2017 adopted on time	Adoption of AAP 2017 (part 1) Adoption of AAP 2017 (part 2)	April 2017 December 2017
Output	Indicator	Target

Actions documents under AAP 2016 contracted	% of action documents under AAP2016 contracted by 31/12/2017	100%
Output	Indicator	Target
Action documents under AAPs 2014 and 2015 implemented as planned	% of action documents under AAP 2014-2015 for which implementation is on track/first results received	50%

In view of the Mid-Term Review Report, a **strategic mid-term evaluation of the Partnership Instrument** requested by the Common Implementing Regulation (CIR) was launched in 2015 (Roadmap) and will end in 2017. A Staff Working Document will gather the main findings of the evaluation related to relevance, EU added value, coherence and complementarity, effectiveness, efficiency, sustainability, leverage and impact of the instrument. The evaluation is part of a wider set of evaluations covering the External Financing Instruments under Heading 4 of the Multiannual Financial Framework 2014-2020 as set out in the CIR.

Specific objective 1.6, 1.7, 1.8 and 1.9: other important outputs		Related to the Partnership Instrument
		Unit in charge: FPI4
Main outputs in 2017:		
Description	Indicator	Target
PI MTR evaluation	SWD drafted	Before 31 July 2017

ABB activity 19.06 – Press and Information

FPI and EEAS have entered into a service level agreement (SLA) allowing the EEAS to carry out information and communication activities on behalf of the Commission and its DGs within the framework established by the administrative arrangement between Commission and EEAS services on 14/12/2010. As a result, the EEAS provides services directly to the FPI for the implementation of certain activities of the annual Press and Information budget for the benefit of the EU. This responds to a need for simplification and efficiency in the management of these activities, in particular as regards the EU Delegations. The information and communication activities to be carried out on an annual basis by the EEAS are the following:

- Press and Outreach activities in EU Delegations: The communication activities of EU Delegations focus mainly on building and maintaining contacts with the media, responding to public enquiries, organising events (often of cultural nature), publishing newsletters, producing information and communication materials and promoting cultural diplomacy activities.
- Information and Communication outreach activities in EEAS Headquarters: they serve to reach out to audiences, predominantly the media, in the EU and to support the work of the Delegations in implementing EU's External Action policies. These activities may comprise the following: design, modernisation and maintenance of websites and social media platforms (including EU delegations websites); production of Summit information kits; production of audio-visual material, such as videos, web-documentaries info-clips etc.; organisation of press visits and press events; organisation of conferences, exhibitions and public outreach events; production of publications and general communication material.

FPI remains responsible for the Annual Work Programme (Financing Decision) for this activity. Likewise it remains responsible for the overall control of the activity, in line with the implementation responsibilities delegated by the Commission to the Director of the Service. To ensure seamless coverage and financing for all press, information and communication activities from one year to another, it is foreseen to have the Annual Work Programme for 2018 adopted by the end of 2017.

FPI will also continue to implement the EU Visitors Programme (in close and effective collaboration with the EP secretariat) and to support and develop its own specific needs as regards the FPI website.

Finally, an important part of the budget resources is currently allocated to the financing of the television programme in the Farsi language on the Euronews channel: it is considered to move towards a Digital Model which would allow greater cost-effectiveness while ensuring a 12-month coverage.

Specific objective 1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8 and 1.9: other important outputs		Related to all FPI instruments and operations
		Unit in charge: FPI5
Main outputs in 2017		
Output	Indicator	Target date
P&I Annual Work Programme (AWP) 2018 adopted on time	Adoption of AWP 2018	December 2017

PART 2. MAIN ORGANISATIONAL MANAGEMENT OUTPUTS FOR THE YEAR

A. Human resource management

As a first priority, FPI will move to establish autonomous Regional Teams in 5 EU Delegations to ensure worldwide coverage of its instruments and to provide a better service to HRVP which ensuring solidity of financial circuits.

Continued effort will also be invested in ensuring an increase of women middle managers by the end of 2017. Until June 2016, FPI continuously had one female middle manager (out of 5 in total) representing a rate of 20%. The female manager then left which brought the rate down to 0%. It will therefore be more difficult than expected for FPI to reach the goal of 40% female middle managers in the short term. By the end of 2017, FPI would like to achieve again the level of 20% female middle managers (1 out of 5 HOU posts). It is expected that at least 2 HOU posts will be filled in the course of 2017 (1 HOU post has already been published, a second is likely to become vacant towards the middle of the year). The objective is to fill one of these posts by a female candidate. The room for manoeuvre within FPI is relatively limited because of its small size (only 5 units). In addition, FPI needs very specialized profiles, mostly dealing with crisis management and security policy issues. Unlike other services, FPI has only one unit of a more horizontal nature. FPI will strive in the coming years to reach the goal set by the Commission of 40% female middle managers by the year 2019.

The HR Modernisation project implemented according to the Communication on Synergies and Efficiencies of April 2016 makes changes to the way that HR services are delivered. HR services will be delivered by an Account Management Centre (AMC) inside DG HR. Each DG will have an HR Business Correspondent, responsible for defining HR strategy and taking HR decisions, in consultation with the management of the DG, as well as ensuring that the DG gets the HR service it needs, in cooperation with the AMC. The FPI will move to the new way of working in 2017. The FPI will be supported by AMC4 which will serve the following group of DGs: DEVCO, ECHO, FPI, NEAR and TRADE for staff in Delegations only.

Definition of HR strategy and priority actions to make progress towards the Strategic Plan targets are the responsibility of the HR Business Correspondent (BC) and will continue to be addressed in the DG Management Plan and Annual Activity Report.

Because of the specificities of its Instruments and operations, FPI staff needs to build up a specialised expertise mainly in crisis management. To realise this objective, a learning and development strategy will be designed by the end of the year. FPI will also develop an action plan following the latest Staff Survey (see point D), which shows that FPI staff would like to see improvements with regard to career management, communication to staff on management decisions and well-being (work conditions in Delegations and work-life balance). A more thorough analysis will be made at the beginning of 2017 when dedicated human resources staff will be made available to FPI for the Business Correspondent. As some of the staff expectations, e.g. relating to career development, need to be addressed at corporate level, the BC will work closely with the new AMC to develop an appropriate action plan.

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

Main outputs in 2017

Output	Indicator	Target
Establishment of FPI Regional Teams in 5 Delegations	Recruitment and deployment of relevant staff for 5 FPI Regional Teams and establishment of financial circuits	November 2017
Output	Indicator	Target
Increasing women representation in middle management functions	20% of women in middle management	End 2017 (main output linked with Strategic plan but no multiannual objective and target)
Output	Indicator	Target
Establishment of Business Correspondent for HR in FPI	Recruitment and deployment of 2 AST Business Correspondent positions	July 2017
Output	Indicator	Target
Learning and Development Strategy	Adopt customized training and learning strategy for FPI staff	December 2017
Output	Indicator	Target
Employee Engagement Index	Percentage of positive responses from FPI staff to Staff Survey	60 %

B. Financial Management: Internal control and Risk management

FPI has set up internal control processes aimed to ensure the adequate management of the risks relating to the legality and regularity of the underlying transactions, taking into account the multiannual character of programmes as well as the nature of the payments concerned. These processes include adequate and cost-effective ex ante verification and ex post control procedures.

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

Main outputs in 2017

Output	Indicator	Target
Legality and regularity of the underlying transactions in FPI	Residual error rate (RER) of the underlying transactions for budget implementation	Residual error rate (RER) below 2% for budget implementation
Ex post controls plan	Number of EPCs indicators implemented	100%

FPI will also finalise in 2017 the full implementation of corrective measures to be taken in the framework of the 2015 Annual Activity Report reservation Action plan. FPI foresees to implement the full set of measures during the second Quarter of 2017.

Objective: Effective and reliable internal control system in line with sound financial management

Main outputs in 2017

Output	Indicator	Target
Control cost-effectiveness	Cost of controls / payments made	Positive conclusion on cost effectiveness of controls
Output	Indicator	Target

Follow up of the 2015 Annual Activity Report reservation Action plan measures implemented	% of follow up corrective measures implemented by end of 2nd quarter 2017	100%
Output	Indicator	Target
Timely execution of payments	Percentage of payments made within the time limits	≥90%
Output	Indicator	Target
Open recommendations from European Court of Auditors (ECA)	Number of critical recommendations from ECA overdue for more than 6 months	None

Objective: 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

Main outputs in 2017

Output	Indicator	Target
Implementation of the Anti-Fraud Strategy as planned in 2017	% of the implementation of the actions planned for 2017 in the anti-fraud strategy	100%

Since 2013, FPI has developed and implemented its own Anti-fraud Strategy (AFS) – elaborated on the basis of the methodology provided by OLAF. FPI has updated its AFS end of 2016 and will continue to monitor its implementation in 2017.

C. Better Regulation

The main planned outputs linked to the Better Regulation objective in the Strategic Plan are listed in Part 1 under the relevant specific objective. They are presented in the tables under the headings "All new initiatives and REFIT initiatives from the Commission Work Programme" and "other important items".

FPI use Better Regulation principles in the framework of the mid-term evaluation of the Instrument contributing to Stability and Peace and the Partnership Instrument (please see part.1).

D. Information management aspects

As a first priority, FPI will give more attention to ensuring business continuity to secure the effective delivery of its operations and will guarantee sound document management. Following the centralisation of finance and contract functions in one Unit in June 2016, FPI will pursue its archive reorganisation project during 2017 in order to ensure efficient and transparent management of all contract and financial information as a support to its operations. Following analysis of the results of the Staff Survey – see point A – internal communication and interaction of staff with management will need to be improved. FPI will therefore develop an internal communication strategy including a revamped FPI intranet and other staff engagement actions to create an FPI identity.

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

Main outputs in 2017:

Output	Indicator	Target
Business Continuity Plan	Update FPI business continuity plan including simulation exercise	December 2017
Output	Indicator	Target
Electronic filing of registered documents in Ares	Number of registered documents in Ares	100% of registered documents filed
Output	Indicator	Target
Ensure full traceability of financial and contractual information for operational and ECA audit purposes in line with ICS 11	Compliance with Internal Control Standard Nr 11 – Document Management	June 2017
Output	Indicator	Target
Internal Communication Strategy	Building an FPI identity through inter alia revamping the intranet making it easily accessible and launching other staff engagement actions	December 2017

E. External communication activities

FPI external communication will focus on how the EU budget contributes to the achievement of Juncker's Commission political priorities Nr.9, 'a stronger global actor'. FPI will ensure its website is kept up to date.

Objective (definition): 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

Main outputs in 2017:

Output	Indicator	Target
The image of the EU (Commission wide indicator)	Eurobarometer	Increase on previous results (November 2015: 37% positive, 38% neutral, 23% negative)

FPI is responsible for planning Press and Information activities and control them. It encompasses Press and Outreach activities in EU Delegation, Information and Communication outreach activities in EEAS Headquarters, EU Visitors Programme and Euronews television programme in the Farsi language.

For external communication overall spending will be:

Annual communication spending (based on estimated commitments):

Baseline 2016: EUR 1.200.000	Target 2017: EUR 1.200.000
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F. Example(s) of initiatives to improve economy and efficiency of financial and non-financial activities of the DG

Creation of FPI regional teams (IcSP and PI)

- In 2017, all five regional teams will be created, allowing FPI to respond faster and more flexibly when implementing the PI and the IcSP. Colleagues in the team will have more opportunity to exchange experiences, help each other and thus not

only ensure good continuity and more comprehensive geographical coverage but also a further professionalization of the way the two instruments are implemented.

- The creation of the regional teams is made possible through a reform at the Headquarters of FPI which started in 2016 and continues in 2017. To ensure that the ten new officials' posts necessary to start the regional teams can be made available without increasing the total numbers of staff, colleagues in HQ were encouraged to consider moving to Delegation with their posts. Additional economies are being achieved by centralising finance and contract functions.

New reporting system for IcSP

- Following the successful introduction of a new, more results-oriented reporting system for the IcSP in 2016, this effort will be complemented in 2017 by introducing a more systematic use of indicators. In order to ensure that this leads to more effective institutional learning, training on how to develop and use indicators will be provided.

Pooling of resources and central stocking of equipment for CFSP and CSDP missions

- The establishment of a mission support platform (MSP) to provide services and streamline the operational administration of CSDP missions commenced in 2016. During 2017, the role of the MSP will be consolidated so that the MSP can develop common tools and procedures for missions and thereby achieve gains in efficiency and economies of scale.
- The process and procedures to establish a large-scale logistical platform / warehouse to provide all CSDP missions with rapid access to essential equipment and logistical services (IT, fleet management, etc.) commenced in 2016. The process to identify a suitable contractor to implement the logistical platform will be finalised in the first half of 2017 with a view to the initiative starting its operations during 2017.