



Strategic Plan 2016-2020*

DG NEAR

**The current Commission's term of office runs until 31 October 2019. New political orientations provided by the incoming Commission for the subsequent period will be appropriately reflected in the strategic planning process.*

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PART 1. Strategic vision for 2016-2020

A. Mission statement

The mission of DG NEAR is to take forward the EU's neighbourhood and enlargement policies. The DG primarily serves the Commissioner for Neighbourhood and Enlargement Negotiations, Johannes Hahn and, to a lesser degree, the High Representative/Vice-President, the President of the Commission and other Commissioners where appropriate. DG NEAR works closely with the European External Action Service and the line DGs in charge of thematic priorities.

The DG is based in Brussels and has approximately 1,650 staff members in Brussels and in the EU Delegations in the partner countries.

In the neighbourhood, the DG is responsible for co-ordinating across the Commission the implementation of the revised European Neighbourhood Policy (ENP), working closely with the European External Action Service. Separately, by implementing financial assistance in Europe's eastern and southern neighbourhood, DG NEAR supports reform and democratic consolidation, and contributes to strengthening stability and security around Europe and fostering political and economic reforms. DG NEAR helps to promote EU values, policies and interests in this region, and contributes to developing the special relationship of the EU with its neighbouring countries.

In the enlargement area, DG NEAR assists those countries with a prospect of joining the EU in meeting the criteria defined by the Treaty on European Union and the European Council. DG NEAR closely monitors the progress of enlargement countries towards the EU and supports accession negotiations as required by the Council. The DG manages the bilateral relations of the Union with candidate countries and potential candidates on their path to the EU, frontloading reforms on rule of law, economic governance and public administration reform. Concerning the Western Balkans, the DG develops and implements the stabilisation and association policy of the European Union as defined by the European Council.

DG NEAR manages the bulk of the Union's financial and technical assistance to the neighbourhood and enlargement countries, amounting to € 27 Billion in total for 2014-2020.

B. Operating context

In line with the mission statement, the mission of DG NEAR is to take forward the EU's neighbourhood and enlargement policies.

Legal Framework

Article 8 of the Treaty on European Union provides the legal framework guiding the work of DG NEAR on the neighbourhood policy. This article notes in particular that "*The Union shall develop a **special relationship with neighbouring countries**, aiming to establish an area of prosperity and good neighbourliness, founded on the values of the Union and characterised by close and peaceful relations based on cooperation.*"

Furthermore, Article 49 of the Treaty on European Union provides the legal framework guiding the work of DG NEAR on the enlargement policy. This article in particular notes that: "*Any European State which respects the values referred to in Article 2 and is committed to promoting them **may apply to become a member of the Union***".

The legal acts which guide the work of the DG as concerns financial assistance for both the enlargement and neighbourhood zones are provided through articles 209 and 212 of the Treaty on the Functioning of the European Union.

Based on the successive European Council conclusions, the current enlargement agenda concerns Turkey and the Western Balkans.

The European Neighbourhood Policy covers 6 Neighbours in the East and 10 in the South.

Role of DG NEAR

As concerns enlargement policy, all decisions are based on the principle of unanimity amongst the member states. The role of DG NEAR, on behalf of the Commission, is to support the preparation of the enlargement countries for accession to the European Union, with the overall objective of promoting stability and prosperity in Europe. It ensures this by monitoring whether the candidate countries meet accession criteria, or Copenhagen criteria (after the European Council in Copenhagen in 1993 which defined them). These criteria are

- political criteria: stability of institutions guaranteeing democracy, the rule of law, human rights and respect for and protection of minorities;
- economic criteria: a functioning market economy and the capacity to cope with competition and market forces;
- administrative and institutional capacity to effectively implement the *acquis* and ability to take on the obligations of membership.

DG NEAR also keeps the EU Council and European Parliament informed throughout the process, in particular through regular reports and annual communications.

DG NEAR co-ordinates the accession negotiations with the enlargement countries as well as the Stabilisation and Association process with the countries of the Western Balkans, notably by promoting and supporting alignment of their national legislation and systems to EU laws and standards (the *acquis*).

DG NEAR manages the Instrument for Pre-accession Assistance (IPA) which is the means by which the EU supports reforms in the 'enlargement countries' throughout the accession

process with financial and technical assistance. For the period 2007-2013 IPA had a budget of some € 11.5 billion; IPA II, its successor for the period 2014-2020, has a budget of € 11.7 billion.

Current beneficiaries of IPA are: Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo* , Montenegro, Serbia, and Turkey.

The European Neighbourhood Policy was reviewed in 2015 and DG NEAR is responsible for co-ordinating across the Commission the roll-out of this revised policy. Its aim is the stabilisation of the Neighbourhood region, in political, economic, and security related terms. In particular, DG NEAR will contribute to developing with Neighbourhood countries partnerships that are more effective and tailor made to reflect difference of ambitions, interests and capacities among these countries.

DG NEAR also leads on the implementation of the European Neighbourhood Instrument (ENI). ENI is the main financial instrument for implementing the ENP and provides the bulk of EU funding to the 16 ENP partner countries. It has a budget of €15.4 billion for the period 2014-2020. DG NEAR also implements the European Neighbourhood and Partnership Instrument (2007-2013) which had a budget of € 11.8 billion.

Management Modes of programmes implemented by DG NEAR

For both ENI and IPA, assistance is implemented through a broad range of management modes which take the different levels of preparedness of the beneficiary countries into account. Currently the management modes implemented by the DG are as follows:

- Direct management, both centralised (in Brussels) and de-centralised to EU Delegations under the supervision of DG NEAR;
- The DG also uses Indirect Management, including:
 - Indirect Management by Beneficiary Countries (IMBC);
 - Indirect Management by Entrusted Entities, notably International Organisations, International Financial Institutions (IFIs) as well as member state development assistance agencies.
- The DG uses shared management with Member States for the management of Cross-border cooperation programmes under both ENI and IPA II.

Key Stakeholders

The main stakeholders of the DG in co-ordinating the neighbourhood and enlargement policies are the EEAS, the RELEX family of Commission DGs (DEVCO, FPI, ECHO, TRADE) as well as more broadly the "internal" DGs such as ECFIN, ENER, JUST and HOME. The main stakeholders as concerns implementing the policy include the partner countries, EU member states and other European institutions, international and regional organisations, the private sector, as well as local and international civil society organisations and non-governmental organisations.

* The designation of Kosovo is without prejudice to positions on status, and is in line with UNSCR 1244/99 and the ICJ Opinion on the Kosovo declaration of independence.

C. Strategy

Overview of the strategy 2016-2020

In line with the mission of Commissioner for Neighbourhood and Enlargement Negotiations Mr Johannes Hahn, the main role of DG NEAR is to develop and strengthen the neighbourhood policy **to promote stability** at Europe's border. It also **supports those countries with a European perspective** to implement the democratic and economic reforms necessary for fulfilling the obligations of EU membership including supporting the process of accession negotiations.

DG NEAR is working with regions characterised by a **very unstable environment both politically and economically** and affected by the **refugee crisis**.

The work of DG NEAR is **strongly linked to President Juncker's political priorities**. In particular, it contributes **to four of them**, which are ranked in terms of relevance for DG NEAR as follows:

- A Stronger Global Actor
- Towards a European agenda on Migration
- A Resilient Energy Union with a Forward-Looking Climate Change Policy
- Jobs growth and investment

To best provide its contribution to these general objectives, **DG NEAR will work closely with numerous actors** including other Commission departments, the European External Action Service (EEAS), other EU institutions, EU Member States, partner countries, international and regional organisations, civil society and the private sector.

DG NEAR will contribute to these four Commission general objectives, **by working towards the following seven DG NEAR specific objectives**:

General Objective 1– A stronger global actor

By taking forward the neighbourhood and enlargement policies, DG NEAR intends to make a significant contribution to the general objective of **making the EU a stronger global actor**. Through the neighbourhood policy, the EU has **greater leverage** to achieve its common goals **of stabilising neighbourhood** countries and developing more tailor made partnerships with them, based on mutual interests. In addition, the **enlargement policy** helps to make Europe **more prosperous** and increases the weight of the EU on the international scene. Both policies help also to **make Europe safer**, hence contributing to the President Juncker's political priority on an area of justice and security.

To contribute to this general objective, DG NEAR will pursue **the four following specific objectives**:

Neighbourhood

- **DG NEAR Specific objective 1:** Increased stability in the Neighbourhood in political, economic, and security related terms.
- **DG NEAR Specific objective 2:** Strengthened Eastern Partnership; support regional cooperation between southern neighbours, including through the Union for the Mediterranean; promote cross border cooperation between member states and partner countries.

Enlargement

- **DG NEAR Specific objective 3:** The enlargement countries are more ready to join the EU, in particular as regards the fundamental areas of rule of law, public administration reform and economic development, reaping benefits of closer integration with the EU before accession and ensuring continued progress in the accession negotiations where relevant.
- **DG NEAR Specific objective 4:** Improved connectivity within the Western Balkans and with the EU. Improved good neighbourly relations among Enlargement countries with a view to overcoming the legacy of the past.

General objective 2- Towards a New Policy on Migration

The **refugee crisis** is one of the most challenging crises since the EU's creation. Thousands of new asylum seekers arrive in Europe daily, mainly via the Eastern Mediterranean – Western Balkans route. Most are refugees fleeing conflicts in our Neighbourhood, notably the Syrian war.

The key questions that need to be addressed to solve this crisis are:

- how to reinforce the EU external borders;
- how to cooperate more effectively with third countries to manage effectively this refugee crisis, since Europe can not tackle this global challenge by itself;
- how to address the root causes of migration (ex: war in Syria, low economic development, etc...).

On all these questions, DG NEAR is playing a pivotal role, in particular by driving forward policies and programmes aimed at **stemming the influx of irregular migrants** and refugees to the EU in close coordination with the countries concerned such as Turkey, Lebanon, Jordan, and the Western Balkans. DG NEAR is also addressing **the root causes of forced displacement, destabilisation and other migratory pressures, by promoting economic and equal opportunities, security and development** in Neighbourhood and Enlargement countries. In addition, DG NEAR is managing the € 3 billion facility for refugees in Turkey, the EU trust fund for Syria and contributing to the implementation of the Compacts for the host countries Lebanon and Jordan.

To contribute to this general objective, DG NEAR will pursue **the following specific objective:**

- **DG NEAR Specific objective 5:** Stem the influx of irregular migrants to the EU, by addressing the root causes of destabilisation, forced displacement and irregular migration in Enlargement and Neighbourhood countries. Promote mobility and mutually beneficial migration.

General objective 3 – A Resilient Energy Union with a Forward-Looking Climate Change Policy

The EU's energy security also depends on the energy security of its neighbours. In this respect, DG NEAR promotes the external dimension of the Energy Union in the Enlargement and Neighbourhood countries, therefore contributing to Europe's energy security.

To contribute to this general objective, DG NEAR will pursue **the following specific objective:**

- **DG NEAR Specific objective 6:** Increased energy security and more effective climate policies in the Enlargement and Neighbourhood countries as well as increased energy connectivity between the EU and Enlargement and Neighbourhood countries.

General objective 4 - A New Boost for Jobs, Growth and Investment

Increased prosperity in the EU is also to be achieved by expanding opportunities for EU companies, investors, and consumers beyond its borders. DG NEAR contributes to this in the Enlargement and Neighbourhood countries. Improving the economy of these countries also helps to mitigate migratory pressures from these countries to the EU.

To contribute to this general objective, DG NEAR will pursue **the following specific objective**:

- **DG NEAR Specific objective 7:** Increased prosperity in the EU and in the Enlargement and Neighbourhood countries through increased economic and trade opportunities between the EU and these countries.

*HINT: Please look into the **annexed performance tables** to see details on indicators for general and specific objectives, in terms of their definition, milestones and targets.*

General Objective 1- A stronger global actor

1) Neighbourhood

Corporate impact indicator:

- Ranking to measure political stability and absence of violence in the Neighbourhood countries

The above corporate impact indicator aims at showing the **long-term effects of the Commission's interventions** on Neighbourhood countries in the area of **security**, with the Indicator on Political stability and absence of violence.

The Commission, in particular thanks to the action of DG NEAR, expects to contribute to **positive evolution of this indicator**, which is influenced by many other factors and players.

DG NEAR Specific objective 1: Increased stability in the Neighbourhood in political, economic, and security related terms.

Result indicators:

- For Neighbourhood countries, development of more tailor-made partnerships, covering core issues of common interests.
- 2 new DCFTA signed (Morocco, Tunisia)
- Joint programming: development of joint programmes between the Commission's financial assistance and that of the Member States

DG NEAR Specific objective 2: Strengthened Eastern Partnership; support regional cooperation between southern neighbours, including through the Union for the Mediterranean; promote cross border cooperation between member states and partner countries.

Result indicators:

- Number of ministerial, platform and panel meetings under the Eastern Partnership.
- Increased credibility of the Union for the Mediterranean through a high number of ministerial meetings establishing regional sector priorities and through the engagement of regional cooperation, finance and planning ministers via the holding of UFM ministerial conferences on regional cooperation and planning
- Progress on specific regional objectives defined in ministerial declarations under the Union for the Mediterranean
- Number of Financing Agreements signed with partner countries under the new ENI CBC programmes

By acting at the Union level and by streamlining financial resources **the EU has greater leverage** to achieve its common goals of **stabilising** the Neighbourhood and developing a special relationship with this region.

In addition, the EU has a leading role in **bringing together major actors** outside the EU, including IFIs and other donors, to work together on providing a **comprehensive response to challenges** in the region including mutual ones.

Firstly, **achieving the two neighbourhood related specific objectives** requires greater **coordination with the Member States's actions** and exploring further initiatives such as joint programming as well as covering a broadened scope such as the security dimension. A more coordinated policy in the Neighbourhood should strongly contribute to **consolidating the EU's role on the global stage**.

Secondly, the achievement of these objectives, particularly in the security field, will deliver strong benefits to the EU both in geo-strategic and economic terms, in particular by **making the EU a safer place, contributing to its prosperity** and improving the quality of EU people's life.

Delivery on these specific objectives will also be vital for countries such as **Ukraine** and **Moldova** where a clear focus on providing long-term opportunities for growth and economic development will be crucial for ensuring that they stay on track and live up to the rights, expectations and aspirations of citizens. Similarly in the South, in **Tunisia** for example, DG NEAR continues to do its utmost to support the democratic transition with assistance and targeted measures supporting economic and political reforms.

DG NEAR will contribute to build and implement **more effective and tailor-made partnerships** with each ENP country, focusing on core issues of security, good governance, economic development, energy, connectivity, migration and mobility. The actions to implement the partnerships are aimed at supporting stabilisation and enhanced regional cooperation in the Neighbourhood. In doing so, DG NEAR, in line with the ENP review, will also seek a deeper engagement with civil society and social partners.

As called for by the revised ENP, DG NEAR will **step up its cooperation with ENP countries on a wide range of security** and crisis management issues. This enhanced cooperation will comprise security areas that **coincide with the EU's internal priorities** (i.e. terrorism and foreign terrorist fighters, cybercrime and organised crime), bringing about coherence between the EU's internal and external actions, and positive effects for the EU. DG NEAR contributes to this wider EU effort by deploying tools at its disposal including ENI and the Instrument contributing to Stability and Peace.

Under the political framework provided by the partnerships, DG NEAR will **steer the implementation of the ENI funding**. The vast majority of ENI is used for bilateral cooperation, tailor-made to each Neighbourhood partner country. In addition to bilateral cooperation, ENI funding also supports regional, Neighbourhood -wide (such as TAIEX and twinning) and Cross Border Cooperation (CBC) programmes.

The most important external factors that influence the achievement of the Neighbourhood specific objectives are (a) the Political/economic instability including the conflicts in partner countries which may jeopardise the implementation of interventions and (b) the influence of other actors which may reduce EU leverage in partner countries.

2) Enlargement

Corporate impact indicator:

- GDP per capita as % of EU level in candidate countries or potential candidates for EU accession (current prices-PPS)

The above corporate impact indicator aims at showing the **long-term effects of the Commission's interventions** on Enlargement countries in the area of **Economic development** with the indicator on the GDP per capita as % of EU level for Enlargement countries.

The Commission, in particular thanks to the action of DG NEAR, expects to contribute to **positive evolution of this indicator**, which are influenced by many other factors and players.

DG NEAR Specific objective 3: The enlargement countries are more ready to join the EU, in particular as regards the fundamental areas of rule of law, public administration reform and economic development, reaping benefits of closer integration with the EU before accession and ensuring continued progress in the accession negotiations where relevant.

Result indicators:

- Readiness indicators on fundamental areas of political criteria (Areas: Judiciary, Fighting organised crime, Freedom of expression, Fight against corruption, Public administration reform)
- Readiness indicators on fundamental areas of Economic criteria (i.e. functioning market economy and competitiveness in the EU)
- For negotiating countries: degree of readiness and alignment to the *acquis* as reflected in the accession negotiations and in the country reports
- Public Administration Reform strategy framework, which is in line with the Principles of Public Administration
- Public Financial Management (PFM) reform programmes by 2020

DG NEAR Specific objective 4: Improved connectivity within the Western Balkans and with the EU. Improved good neighbourly relations among Enlargement countries with a view to overcoming the legacy of the past.

Result indicators:

- Progress in implementing the Projects of Energy Community Interest
- Progress in completing the Core transport network and the Core transport corridors.
- Progress in implementing the soft measures on energy and transport.
- Contribution to smooth organisation of Berlin process summits.

The enlargement of the EU is by its very nature a common task which can be pursued **only at EU level**. Only the Member States acting together can decide on the accession requests by new candidates.

Enlargement policy contributes to meeting the general objective of making the EU a stronger global actor in the following three ways: Firstly, it helps to make **Europe a safer place**, where, through the accession process, the EU promotes democracy and fundamental freedoms and consolidates the rule of law including counter terrorism, and tackling violent extremism and serious crime across the enlargement countries; secondly, it helps **improve the quality of people's lives** through integration and cooperation in areas like energy, transport, rule of law, migration, food safety, consumer and environmental protection and climate change; thirdly, it **makes the EU more prosperous** and, where a bigger Europe is a stronger Europe, **increases the weight of the EU on the international scene**.

DG NEAR has two **specific objectives** which contribute to meeting the more **general objective** of the Commission of "a global stronger actor":

- Firstly, there is the objective of "The enlargement countries are more ready to join the EU, in particular as regards the fundamental areas of rule of law, public administration reform and economic development, reaping benefits of closer integration with the EU before accession and ensuring continued progress in the accession negotiations where relevant."

For this, for the period 2016-2020, the Commission will focus its efforts on ensuring that countries prioritise reforms in the key areas of rule of law and fundamental rights, economic development and the functioning of democratic institutions. DG NEAR has planned 3 evaluations for the period 2015-2017 to measure the impact of its work in these areas. These evaluations will be on the instrument for pre-accession assistance; on public administration reform and on support to economic governance.

- Secondly, during 2016-2020, the Commission is looking at boosting regional economic development and connectivity in the Western Balkans as well as to improve good neighbourly relations between Western Balkans countries. The aim will be to continue progress achieved to date, notably through the "Berlin process" and the "Western Balkans Six" format, which brings together heads of state and government from the region to discuss concrete regional projects and initiatives and is strengthening the countries' ownership of regional co-operation.

Through the following **interventions**, the DG will aim at achieving its specific objectives:

- issuing of the annual reports, which provide an overview of the readiness of the enlargement countries for EU membership;

- co-ordinating the accession process within the Commission and through steering the enlargement countries through the process;

- following up on international agreements in place with the enlargement countries, such as the stabilisation and association agreements with the countries of the Western Balkans or the customs union with Turkey, which assist in bringing these countries closer to EU norms, standards and rules;

- involvement in fostering regional co-operation in the Western Balkans, for example in the form of the Berlin process and the Western Balkans 6 summits, but also in the area of justice and home affairs;

- support in the form of the Technical Assistance and Information Exchange instrument (TAIEX) as well as technical assistance under Instrument for pre-accession Assistance (IPA). DG NEAR also grants co-financing to connectivity projects (via Western Balkans Investment Framework).

External factors which could impact on the achievement of the objectives include (a) One or more Member States not supporting recommendations and proposals made by the Commission; (b) one or more candidate countries or potential candidates limiting or not meeting their commitments or withdrawing from the accession process.

General objective 2 - Towards a New Policy on Migration

DG NEAR additional impact indicator

To measure the stemming of irregular migration to the EU to which DG NEAR is expected to contribute, the **following impact indicator** will be used:

- Irregular arrivals from Turkey to Greece (Frontex)

DG NEAR Specific objective 5: Stem the influx of irregular migrants to the EU, by addressing the root causes of destabilisation, forced displacement and irregular migration in Enlargement and Neighbourhood countries. Promote mobility and mutually beneficial migration.

Result indicators:

- Implementation of the Facility for Refugees in Turkey
- Implementation of the EU Regional Trust Fund in response to the Syrian Crisis
- Implementation of the Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa – North Africa window
- Further Visa liberalisation with relevant countries

The **refugee crisis** is one of the most challenging crises since the EU's creation. Thousands of new asylum seekers arrive in Europe daily, mainly via the Eastern Mediterranean – Western Balkans route. Most are refugees fleeing conflicts in our Neighbourhood, notably the Syrian war. Many Enlargement and Neighbourhood partner countries are affected by this crisis, either by being **countries of origin, transit or destination**.

The key questions that need to be addressed to solve this crisis are:

- how to reinforce the EU external borders;
- how to cooperate more effectively with third countries to manage effectively this refugee crisis, since Europe can not tackle this global challenge by itself;
- how to address the root causes of migration (ex: war in Syria, low economic development, etc...);

In line with President Juncker's political priorities, the EU as a whole needs **to better manage migratory flows including the refugee crisis**. In addition, by pooling financial means at EU level in particular through the EU trust funds, the EU has a greater leverage in terms of achieving its goal of stemming irregular migration.

As outlined in the European Agenda on migration² **addressing the root causes of migration contributes to reducing the incentive for irregular migration**. In turn and with a view to overall better managing migration to Europe, reducing the incentive for irregular migration

² COM 2015 240 final

also depends on securing **Europe's external borders**, a strong common **asylum policy** as well as a new **European policy on legal migration**.

In order **to contribute to DG NEAR specific objective** namely to "Stem the influx of irregular migrants to the EU, by addressing the root causes of destabilisation, forced displacement and irregular migration in Enlargement and Neighbourhood countries. Promote mobility and mutually beneficial migration", DG NEAR will:

- **Tackle the drivers of irregular migration** to the EU, by supporting programmes creating employment and education opportunities in partner countries; addressing **migrant smuggling** and trafficking in human beings; strengthening integrated **border management** capacities; and tightening cooperation with partner countries on **return and readmission**.
- Addressing **the root causes of forced displacement, destabilisation and other migratory pressures, by promoting** economic and equal opportunities, **security and development** in Neighbourhood and Enlargement countries; **Ensure protection for those in need**, in particular through improving capacities of partner countries to establish functioning legislative and institutional frameworks on asylum and international protection; strengthen the resilience of **displaced populations** together with their **host communities**, through the delivery of services, job skills and income-generating opportunities. To this end, DG NEAR will manage the Facility for Refugees in Turkey, the EU regional trust fund in response to the Syrian crisis, and the North Africa window of the Emergency Trust Fund for "Stability and addressing root causes of irregular migration and displaced persons in Africa". DG NEAR will also seek to foster capacity of countries hit by conflict/ frozen conflicts to respond to the needs of their IDPs.
- Enhance mutually-beneficial **legal migration and mobility**, through the improvement of skills and jobs matching relating to the European labour market and develop mobility schemes in relevant sectors and regions; work on circular migration and mobility so as to engage migrants who come temporarily to the EU or persons regularly settled in the EU, in an activity in their country of origin; supporting migrants going back to sustainably reintegrate their countries of origin; mobilise the human and financial capacities of the diaspora to increase investments, as well as transfer of skills and knowledge, in their countries of origin.

DG NEAR works closely with **DG HOME** on the implementation of the above tasks.

The most important external factors that influence the achievement of this objective is:

- **Persistence of various armed conflicts** in Africa, as well as social and political **upheavals** in the EU neighbourhood region (and beyond). They could cause ever increasing forced displacement of people, rendering difficult the achievement of this specific objective.
- In addition, the possible **deterioration of the economic environment** in many partner countries could fuel irregular migration.

General objective 3 – A Resilient Energy Union with a Forward-Looking Climate Change Policy

DG NEAR Specific objective 6: Increased energy security and more effective climate policies in the Enlargement and Neighbourhood countries as well as increased energy connectivity between the EU and these countries.
Result indicators:
<ul style="list-style-type: none"> ○ Number of sector dialogues on gas, renewable energy and energy Efficiency at regional level
<ul style="list-style-type: none"> ○ Neighbourhood East - Number of NIF investments from the Neighbourhood Investment Facility adopted on Renewable Energy and Energy Efficiency
<ul style="list-style-type: none"> ○ Neighbourhood South - At least 30% of the Neighbourhood Investment Facility (NIF) grant investments in the Southern Neighbourhood will be devoted by 2020 to facilitate investments in the Renewable Energy and Energy Efficiency Sectors
<ul style="list-style-type: none"> ○ Progress in implementing the Projects of Energy Community Interest

The EU's energy security depends on the energy security of its neighbours. The essence of the Energy Union is also to improve energy security in Europe's neighbourhood, not only in the EU. DG NEAR **promotes energy security** in the Enlargement and Neighbourhood countries, therefore contributing to Europe's energy security. Energy security of the EU and/ or partner countries is not only improved by investing in energy infrastructure, but also on promoting sustainable policies that envisage energy resources on a regional basis.

In the Western Balkans, DG NEAR has developed a 'Connectivity Agenda', which promotes investments (via the Western Balkans Investment Facility) in energy interconnections as well as creating a regional energy market. This market will be integrated into the Internal Energy Market in a second stage. Moreover, DG NEAR contributes to strengthening of the Energy Community, encouraging inclusive reform of the energy sectors to introduce sound (EU-compatible) practices. DG NEAR helps these countries to meet their COP-21 commitments.

In the ENP countries, in line with the ENP review there will be **an increase of targeted investments** in energy projects, as well as tailored reform assistance. There will be a particular focus on **reducing the energy and carbon intensity** of these countries through promoting energy efficiency and renewable energies.

DG NEAR (together with DG ENER) is working on **deepening the energy dialogue with Turkey**, as an increasingly important energy partner.

DG NEAR aims at better targeting its assistance to further increase its contribution to the EU's overall objective of 20% of the EU-budget to be devoted to **climate-related** activities.

General objective 4 - A New Boost for Jobs, Growth and Investment

➤ Corporate impact indicator:
Europe 2020 target - Employment rate population aged 20-64

The above corporate impact indicator aims at showing the **long-term effects of the Commission's interventions** on the employment rate in the EU. The Commission, in particular thanks to the action of many DGs including DG NEAR, expects to contribute to **positive evolution of this indicator**, which is influenced by many other factors and players.

DG NEAR Specific objective 7: Increased prosperity in the Enlargement and Neighbourhood countries and in the EU through increased economic and trade opportunities between the EU and these countries.
Result indicators:
○ EU-Turkey Customs Union
○ Deep and Comprehensive Free Trade Agreement with Morocco and Tunisia
○ DCFTA Facility for Georgia, Moldova and Ukraine

To boost shared prosperity in the EU and in the Neighbourhood and Enlargement countries, DG NEAR is responsible for the following three types of intervention:

➤ **On Trade matters**, DG NEAR seeks in close cooperation with DG TRADE to support trade agreements with Neighbourhood and Enlargement countries in their preparation, conclusion and implementation.

These trade agreements serve to reduce trade barriers with a view to facilitating the exchanges of goods and services between the partner countries and the EU and to improving conditions for citizens, consumers, workers and self-employed, as well as small, medium and large enterprises on both sides. Overall, they should contribute to delivering growth, jobs, investment and innovation. In turn this should help to foster the prosperity, and strengthen solidarity and security both in the partner countries and in Europe.

In particular, during 2016-2020, DG NEAR will support the implementation of the existing Deep and Comprehensive Free Trade Agreement (DCFTA) with Neighbouring countries and Trade related parts of the Stabilisation and Association agreements (SAA) with Enlargement countries. It will seek to reinforce the capacity of partner countries and/or regional organisations to trade with the EU and to integrate in the international trading system. It will also contribute to the conclusion of new DCFTAs with Morocco and Tunisia. Moreover, it will work on the modernisation and extension of the EU-Turkey Customs Union, with the aim to enhancing trade relations to a level commensurate with the strategic importance of EU-Turkey relations and their respective economies.

The value added of the EU – and hence the Commission - intervening at this level is very clear since the area of trade policy is an exclusive competence of the EU – so only the EU, and not individual member states, can legislate on trade matters and conclude international trade agreements.

➤ DG NEAR holds **economic dialogues** with the partner countries, and **provides policy advice** to them in the area of economic governance and development. These dialogues mainly aim at supporting the partner countries in improving the business climate, the macro-economic stability, the public finance management and encouraging more inclusive economic development (incl. in particular for the youth).

In the area of enlargement in particular, the Commission manages an annual exercise whereby the enlargement countries submit to the Commission Economic Reform Programmes (ERPs); these programmes set out a medium-term macro-fiscal policy framework together with key structural reforms aimed at supporting the framework and boosting competitiveness. The ERPs are then the basis for country-specific recommendations jointly adopted by the EU and the Western Balkans and Turkey in the annual Economic and Financial Dialogue meeting. These recommendations are also fully reflected in the Commission's underlying enlargement annual reports which provide further guidance for reform priorities.

DG NEAR also monitors and supports the efforts of candidates and potential candidates to **meet the economic criteria and align with economic related "acquis" chapters**, notably via the accession negotiations and technical support to these countries' work towards reaching the relevant EU standards and *acquis*. Relevant chapters of the *acquis* include the free movement of goods, of services, and of capital, as well as public procurement, company law, intellectual property rights, competition, financial services, taxation, employment, enterprise and industrial policy, research, consumer protection, and customs.

➤ Finally, DG NEAR manages **spending programmes** – mainly under the Instrument for Pre-Accession and the European Neighbourhood Instrument. Through these instruments, a key objective is to support economic reforms. In particular, DG NEAR works directly with partner to build their capacity on economic governance and help to improve their public finance management.

Under these programmes, DG NEAR works also hand in hand with International Financial Institutions (IFIs), in particular by blending EU grants and loans to support in particular infrastructure projects and SMEs development.

By acting at the Union Level through the **economic dialogues and the spending programmes**, the EU has greater leverage to influence the partner countries with a view to improving their prosperity and that of the EU. These dialogues, the spending programmes and the EU activities on Trade are also highly complementary. In particular the dialogues help to better target the EU funding.

Overall the interventions DG NEAR carries out in support of this specific objective help to serve the General Objective 1 of the Juncker Commission in a number of ways:

- They are key to stabilizing and promoting the development of the Neighbourhood, which is in the EU's economic interest;

- In all these countries, they expand opportunities for EU companies, investors, consumers, and property owners;

- Increasing competitiveness and introducing measures fostering job creation in the Enlargement and Neighbourhood countries mitigates migratory pressures from these countries to the EU;

- They also lead to the gradual economic integration of some of our partners in the EU internal market and therefore to the creation of a larger economic area. A larger single market is more attractive for investors.

The most important external factors and players that influence the achievement of this specific objective are:

- Political instability in particular in some Neighbourhood countries can decrease prosperity and in turn reduce economic opportunities for EU stakeholders.
- In the partner countries, weaknesses with the rule of law and public financial management exacerbate the risk of corruption and negatively affect the investment climate.

D. Key performance indicators (KPIs)³

Enlargement

- KPI 1: Readiness indicators on fundamental areas of political criteria (Areas: Judiciary, Fighting organised crime, Freedom of expression, Fight against corruption, Public administration reform)
- KPI 2: Readiness indicators on fundamental areas of Economic criteria (i.e. functioning market economy and competitiveness in the EU)

Neighbourhood:

- KPI 3: Ranking to measure political stability and absence of violence in the Neighbourhood countries

Spending programmes:

- KPI 4: Residual error rate (RER) for IPA and ENI

Definition, milestones and targets for these KPIs can be found in **Annex on Performance tables**.

³ These KPIs are different from the KPIs used in the context of the External Assistance Management report by Delegations. The latter indeed mostly focus on financial (more precisely on sound financial management, internal control and efficiency of audits).

PART 2. Organisational management

A. Human Resource Management

Objective (mandatory): 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: 40% by 2019

Source of data: SEC(2015)336 final : Targets for female representation in management functions in the European Commission for the years 2015-2019

Baseline : 38 % in January 2016	Target: 40% in 2019
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Indicator 2: Percentage of staff who feel that the Commission cares about their well-being⁴

Source of data: Commission staff survey

Baseline 2014 : 32%	Target: Commission Average (now 35%) in 2016 Two percentage points above Commission Average (now 37%) in 2018 In relation to the indicator 2 on staff well-being, DG NEAR sets the target for this indicator in 2016 at the level of Commission Average (currently 35%) for 2016 and at 2 percentage points above the Commission average in the 2018 staff survey. This is based on the recommendations of the DG NEAR Staff Engagement Working Group, which was established following the results of the 2014 survey. The target was approved by senior management.
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Indicator 3: Staff engagement index

Source of data: Commission staff survey

Baseline 2014 : DG NEAR Staff engagement	Target: Commission Average (now 65%) in 2016 Two percentage points above Commission Average (now 67%) in 2018
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⁴ This indicator may be replaced by a fit@work index on which DG HR is currently working.

index = 64

DG NEAR sets the target for this indicator in 2018 at 2 percentage points above the Commission average in the 2018 staff survey. This is based on the recommendations of a DG NEAR Staff Engagement Working Group established following the results of the 2014 survey, and approved by senior management of the DG.

With a view to maintaining the **female representation rate** as close as possible to 40% between 2016 to 2019, DG NEAR will continue to monitor the rate of female representation in middle management. Under the 2010-2014 equal opportunities Strategy the then DG ELARG had a target of 27.8% female representation in middle management. Through awareness of the situation not only did DG ELARG/NEAR meet the target but surpassed it (increase in female representation rose from 31% in January 2014 to 35% in December 2015). This is due in large part to increased raising of awareness at Senior Management level of the importance of a diverse workforce but also increased career guidance and training for all staff interested in management functions. DG NEAR will continue to actively encourage (in its vacancy notices) applications from eligible female staff for middle management positions. DG NEAR selection panels will continue to monitor appropriate gender balance in the pre-selection and selection phases of middle management selection procedures. As part of its talent management policy DG NEAR actively encourages training and mentoring possibilities for potential managerial colleagues.

With a view to **improving staff perception** of the Commission as an employer who is interested in the overall **well-being of its staff**, DG NEAR has developed a Staff Engagement Action Plan aligned with the Commission's 'fit@work' campaign for implementation as of 1 January 2016. The actions include awareness raising for staff and managers regarding the various working conditions available, continued professionalisation of Heads of Unit as managers of people, and better targeted training possibilities for all staff. In addition DG NEAR will continue its programme of well being activities including yoga & meditation and information sessions on such issues as nutrition and stress prevention techniques.

DG NEAR has developed a **staff engagement action plan** to be implemented as of January 2016. It contains concrete actions addressing the 7 questions which make up the staff engagement index namely:

- I have the information, material and resources to do my work well;
- I have a clear understanding of the Commission's purpose;
- I feel that my opinion is valued;
- I have recently received recognition or praise for good work;
- My manager seems to care about me as a person;
- My line manager helps me to identify my training and development needs;
- My colleagues are committed to doing quality work.

DG NEAR will monitor, via the Commission Staff Survey, and other in-house modalities, the satisfaction rate amongst staff in these 7 areas and take additional remedial actions where

necessary. It will pay particular attention to question 6 concerning training for which the DG NEAR result in 2014 at 31% was some 5 percentage points lower than the Commission average

B. Financial Management: Internal control and Risk management

Overarching objective: The Authorising Officer by Delegation should have reasonable assurance that resources have been used in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions including prevention, detection, correction and follow-up of fraud and irregularities.

Objective 1 (mandatory): Effective and reliable internal control system giving the necessary guarantees concerning the legality and the regularity of the underlying transactions

Indicator 1 (mandatory): Estimated residual error rate

Source of data: AAR DG ELARG 2014; AAR DG DEVCO 2014

Action plan:

DG NEAR plans to perform careful monitoring of this indicator to ensure the achievement of the objective. If there are indications that the RER is above the benchmark, corrective measures will be applied.

Baseline	Target
2014 IPA Direct Management RER: 1.36%	Benchmark for IPA and ENI < 2%
2014 IPA Indirect management by beneficiary countries RER: 2.67%	

Indicator 2 (mandatory): Estimated overall amount at risk for the year for the entire budget under the DGs responsibility.

Source of data: Budget execution 2015; RER 2015

Action plan:

DG NEAR plans to perform careful monitoring of this indicator to ensure the achievement of the objective.

Baseline	Target
In 2014, the amount at risk for DG NEAR (ex DG ELARG) was € 11.71 million, based on the estimate of 1.43% of average error rate for the DG, of a total payment of € 819 million.	None

Indicator 3 (mandatory): Estimated future corrections.

DG NEAR will use two sub-sets of indicators, in line with the KPIs used in the EAMR:

- Ineligible amounts identified by ex-ante controls that should be superior to 2% of DG NEAR annual overall spending.
- Ineligible amounts identified by audits as a % of the audited amount, should also be superior to 2%.

Source of data: ABAC report - Recovery _Context_by_Year

Action plan:

DG NEAR plans to perform careful monitoring of this indicator to ensure the achievement of the objective.

Baseline	Target
<p>No baseline exists for 2014 as it is the first year that the indicators are introduced for the DG.</p> <p>In the 2014 AAR for DG Elarg, the following figures are available:</p> <ul style="list-style-type: none"> - Corrections to payments: 0.73% of total payments. - Value of recovery orders issued in 2014 as a result of errors and irregularities, including those arising in ex-post controls/OLAF reports: € 8.6 million. 	<p>Target 2% for ineligible amounts by ex-ante controls (in relation to total spending of the DG).</p> <p>Target of 2% for ineligible amounts identified by audits (in relation to the amounts audited).None</p>

Objective 2 (mandatory): Effective and reliable internal control system in line with sound financial management.

Indicator 1 (mandatory): Conclusion reached on cost effectiveness of controls

In relation to the Cost effectiveness of Controls, DG NEAR is of the opinion that the Costs of Control should remain below the target of 5% of the overall annual spending of the DG (i.e. including the operational and administrative spending alike). The overall cost of control will be detailed per distinct management modes/control systems.

Additionally, an assessment of the benefits of control versus the costs of these controls will also be undertaken.

Source of data:

- Cost of control exercise
- Annual spending of the DG
- Datawarehouse extractions relating to the financial benefits of control.

Action plan:

DG NEAR plans to perform careful monitoring of this indicator to ensure the achievement of the objective.

Baseline 2014	Target
In the 2014 AAR, a conclusion was reached on the effectiveness of the cost of control on the basis of a ratio cost/benefit and a percentage of the overall payment.	Conclusion will be reached on the basis of the cost of control as a percentage of the overall spending and also through a cost/benefit analysis.

Objective 3 (mandatory): 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 (mandatory – information available in DG's AFS): Updated anti-fraud strategy of DG NEAR, elaborated on the basis of the methodology provided by OLAF

Source of data: See DG NEAR's AFS; Ares(2016)206453.

Action plan:

DG NEAR plans to perform careful monitoring of this indicator to ensure the achievement of the objective.

Baseline	Target
Interim Milestone	
The last update was made on 14/01/2016.	The AFS will be updated every two years. The next update will be made by the end of 2017.

Indicator 2 (optional): Fraud awareness is increased for target population(s) as identified in the DG's AFS

Sources of data: DG NEAR's AFS (objective 1, action 1.1 and objective 3, actions 3.1 to 3.4 inclusive); and DG NEAR's MP 2016. DG NEAR have developed five 'measurement tools' (i.e. indicators) to be inserted into the MP 2016

Action plan:

DG NEAR plans to perform careful monitoring of this indicator to ensure the achievement of the objective.

Baseline	Interim Milestone (to be added if relevant)	Target
		The target is to raise the anti-fraud awareness of over 100 members of staff through: The adoption and dissemination of an OLAF manual; the completion of an anti-fraud questionnaire; and, the launching of an online training tool, amongst other initiatives.

Indicator 3 (optional): Regular monitoring of the implementation of the anti-fraud strategy and reporting on its result to management

Source of data: DG NEAR's AFS, objective 2, actions 2.1, 2.2 and 2.4 inclusive.		
Action plan: DG NEAR plans to perform careful monitoring of this indicator to ensure the achievement of the objective.		
Baseline	Interim Milestone (to be added if relevant)	Target
		Implementation of the AFS will be reported upon twice a year as part of the Management Report to the Commissioner, or as part of an equivalent management report.

Objective 1: Effective and reliable internal control systems giving the necessary guarantees concerning the legality and regularity of the underlying transactions.

In order to ensure the adequate management of the risk relating to the legality and regularity of underlying transactions, taking into account the multiannual character of programmes as well as the nature of the payments concerned, the DG has a clear control system in place, made up of a number of different elements.

Objective 2: Effective and reliable internal control system in line with sound financial management.

With a view of reaching a conclusion on the cost effectiveness of controls, a new methodology has been implemented, starting in 2016, that follows DG BUDG Guidelines on the matter. The time spent by each unit is assessed based on the definition of control as per article 2 of the Financial Regulation: **"control" means any measure taken to provide reasonable assurance regarding the effectiveness, efficiency and economy of operations, the reliability of reporting, the safeguarding of assets and information, the prevention and detection and correction of fraud and irregularities and their follow-up, and 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. Controls may involve various checks, as well as the implementation of any policies and procedures to achieve the objectives described in the first sentence.** This definition of "Control" and the activities in relation to it have also been detailed further in the Internal Control Strategy (Annex 9).

The activities of each unit are then divided into 3 categories: Direct costs, Indirect Costs and Overhead Costs. Thus the cost of control in terms of personnel is obtained. This is added to other costs of control (Audits and Evaluations). Finally, the cost of control per management modes is broken down on the basis of the volume of transactions of each management mode.

Costs of control will be monitored over the period of the Strategic Plan and should be contained below the limit of 5% of the overall spending of the DG. If the percentage fluctuates in an important way from one year to the other, explanations will be sought.

Alternatively, the cost of control will also be contrasted against the financial benefits of control.

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.

An Anti-fraud strategy has been adopted on 14/01/2016 (Ares(2016)206453) for the years 2016-2017. This document outlines the anti-fraud strategy of the DG, as a specific strategy within the broader context of the strategies of the other DG's involved in External Relations. It is addressed to all NEAR staff, both in HQ and in the European Union Delegations/Office where DG NEAR staff are present. For more details on the Anti-Fraud Strategy, please refer to the Internal Control Strategy (Annex 9), and the Anti-Fraud Strategy (Annex 10).

C. Better Regulation (only for DGs managing regulatory acquis)

Objective (mandatory): Prepare new policy initiatives and manage the EU's acquis in line with better regulation practices to ensure that EU policy objectives are achieved effectively and efficiently.

Indicator 1 (mandatory – monitored by the DGs concerned): Percentage of Impact assessments submitted by DG NEAR to the Regulatory Scrutiny Board that received a favourable opinion on first submission.

Explanation: The opinion of the RSB will take into account the better regulation practices followed for new policy initiatives. Gradual improvement of the percentage of positive opinions on first submission is an indicator of progress made by the DG in applying better regulation practices.

Source of data:

Baseline 2015	Interim Milestone 2016	Target 2020
68% = Commission average in 2014: DG NEAR: not applicable	<i>Positive trend compared to DG's 2014 situation.</i> DG NEAR: not applicable	<i>Positive trend compared to DG's 2016 situation.</i> DG NEAR: not applicable

Indicator 2 (mandatory – monitored by the DGs concerned): Percentage of the DG's primary regulatory acquis covered by retrospective evaluation findings and Fitness Checks not older than five years.

Explanation: Better Regulation principles foresee that regulatory acquis is evaluated at regular intervals. As evaluations help to identify any burdens, implementation problems, and the extent to which objectives have been achieved, the availability of performance feedback is a prerequisite to introduce corrective measures allowing the acquis to stay fit for purpose.

Relevance of Indicator 2: The application of better regulation practices would progressively lead to the stock of financing instruments covered by regular evaluations to increase.

Source of data:		
Baseline 2015	Interim Milestone 2016	Target 2020
<i>Percentage of the DG's primary regulatory acquis covered by retrospective evaluations and Fitness Checks not older than five years.</i> DG NEAR: not applicable	<i>Positive trend compared to baseline</i> DG NEAR: not applicable	<i>Positive trend compared to interim milestone</i> DG NEAR: 100%

DG NEAR does not deal with regulatory acquis, but only with the setting up and implementation of specific regulations underpinning the functioning of following financial instruments: the Instruments for Pre-accession (IPA) I and II, the European Neighbourhood and Partnership Instrument 2007-2013 and the European Neighbourhood Instrument (ENI) 2014-2020.

In line with the "Better Regulation" principles, the IPA II and ENI will be evaluated in 2016-2017 in order to feed both the mid-term review report of these instruments due end 2017 and the impact assessments of possible successor instruments after 2020, to be launched in 2017.

To feed the mid-term review, DG NEAR will continue assessing the impact and effectiveness of its interventions in key areas. Among these, the following evaluations will be fully in line with "Better Regulation" principles:

- evaluation on economic governance
- evaluation on public administration reform

D. Information management aspects

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

Indicator 1 (mandatory – data to be provided by DG DIGIT): Percentage of registered documents that are not filed⁵ (ratio)

Source of data: *Hermes-Ares-Nomcom (HAN)⁶ statistics*

Baseline 2015	Target
4,73%	0%

Indicator 2 (mandatory - data to be provided by DG DIGIT): Number of HAN files readable/accessible by all units in the DG

⁵ 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.

⁶ Suite of tools designed to implement the [e-Domec policy rules](#).

Source of data: <i>HAN statistics</i>	
Baseline 2015	Target
93,39%	93%
Indicator 3 (mandatory data to be provided by DG DIGIT): Number of HAN files shared with other DGs	
Source of data: <i>HAN statistics</i>	
Baseline 2015	Target
4,15%	20%

The main objective will focus on the sharing of operational and financial files between the Headquarters and the EU Delegations in order to avoid the duplication of decision and contract files.

To achieve targets indicated, the following actions will be implemented:

- Monthly reporting related to filing in Ares
- By default the entity DG NEAR will be file reader
- In the context of DG NEAR, sharing is foreseen with Delegations for operational and financial files.

E. External communication activities

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.

Definition: Eurobarometer measures the state of public opinion in the EU Member States. This global indicator is influenced by many factors, including the work of other EU institutions and national governments, as well as political and economic factors, not just the communication actions of the Commission. It is relevant as a proxy for the overall perception of the EU citizens. Positive visibility for the EU is the desirable corporate outcome of Commission communication, even if individual DGs' actions may only make a small contribution.

Source of data: Standard Eurobarometer (DG COMM budget) [*monitored by DG COMM [here](#)*].

Baseline: November 2014	Target: 2020
Total "Positive": 39% Neutral: 37 % Total "Negative": 22%	Positive image of the EU ≥ 50%

Better communicating and promoting the objectives and the results of the European Neighbourhood Policy and the enlargement process will be a priority for DG NEAR in 2016-2020.

Improved public diplomacy will contribute to better explaining the rationale of EU policies and the positive impact of concrete EU actions in the neighbouring countries. Similarly, effective communication on how the enlargement process works and its implications for citizens' lives remains essential for ensuring public support. Both require a joint effort of the EU and its Member States as well as of the governments and civil society in the partner countries.

DG NEAR will provide financial support and advice in the areas of neighbourhood and enlargement to the EU Delegations who are in the lead for communication activities in the partner countries. In addition, the DG has launched a regional communication programme complementing the Delegations activities through thematic campaigns, which will be developed based on opinion surveys and EC communication priorities, to be defined on an annual basis, in the countries of the eastern and southern neighbourhood. DG NEAR will also contribute to communication towards the EU Member State audiences, both through corporate communication and through targeted activities addressing in particular stakeholder audiences and multipliers.

DG NEAR will contribute to ensuring greater visibility for the use of EU funds for the neighbourhood and enlargement regions as well as Russia. An appropriate mix of communication tools will allow the benefits of each country's cooperation with the EU and at regional level to be explained with the ultimate goal of creating a positive narrative about the partnerships developed under the neighbourhood and enlargement policies.

In this way, the external communication activities of DG NEAR will support the ten political priorities of the Commission as defined in the Political Guidelines, in particular priority number 9 "A Stronger Global Actor".

Annex to the Strategic Plan - Performance tables

General objective 1 - A Stronger Global Actor – Corporate impact indicators

General objective 1 <u>General objective 9 - A Stronger Global Actor</u>	
Corporate impact indicator: GDP per capita (current prices- <u>PPS</u>) as % of EU level in countries that are candidates or potential candidates for EU accession	
Source of the data: Eurostat	
Baseline 2014	Target 2020
32.53% for WEB (except Kosovo ⁷) 52% for Turkey	Increase
Corporate Impact indicator: Ranking to measure political stability and absence of violence in countries part of the European Neighbourhood Policy (ENP)	
Definition: This indicator measures perceptions of the likelihood that the government will be destabilized or overthrown by unconstitutional or violent means, including politically-motivated violence and terrorism. Higher values in percentile rank indicate better governance ratings.	
For Neighbourhood South(NS) Number of countries in a percentile rank above 10	
For Neighbourhood East (NE) -Number of countries in a percentile rank above 30	
Source of the data: Worldwide Governance Indicators (WGI) project (WB group) http://info.worldbank.org/governance/wgi/index.aspx#home	
Baseline 2014	Target 2020
NE: 33.89 - 4 countries above 30 NS: 11.99 – 5 countries above 10	NE: Increase the number of countries above 30 NS: Increase the number of countries above 10

⁷ No 2014 data available for Kosovo

General objective 1 - A Stronger Global Actor – Neighbourhood

Specific objective 1: Increased stability in the Neighbourhood in political, economic, and security related terms		Related to spending programme(s) ENI
Result indicator: For Neighbourhood countries, development of more tailor-made partnerships covering core issues of common interests.		
Definition: The purpose of the reviewed ENP is to build more effective partnerships between the EU and the neighbourhood; hence having an indicator on the new partnerships is highly relevant to measure the success of this policy.		
Differentiation is the hallmark of the new ENP, recognising that not all partners aspire to EU rules and standards, and reflecting the wishes of each country concerning the nature and focus of its partnership with the EU. Therefore the partnerships should be tailor-made.		
Core issues proposed for cooperation will notably include economic development for stabilisation (e.g. economic modernisation, employment, transport, connectivity, energy, climate action), the security dimension, and migration and mobility.		
At the core of the revised ENP, there is also the idea that the ENP and the related partnerships should reflect EU interests and the interests of our partners.		
DG NEAR will contribute to launching work leading to the development of these new partnerships, working in close cooperation with the EEAS. It will support the development of partnerships, where relevant with its financial assistance.		
Source of data: European Commission (DG NEAR)		
Baseline (year)	Interim Milestone 2017	Target 2020
Not applicable	- Complete negotiation on new association agreements with Armenia and Azerbaijan. - Complete discussions with interested countries on more tailor-made partnerships	-New association agreements in force or provisionally applied with Azerbaijan and Armenia. - New priorities established
Result indicator: Deep and Comprehensive Free Trade Agreement with Morocco and Tunisia		
Definition: Continued participation in EU's awareness raising and negotiation efforts in relation to DCFTA with Morocco and Tunisia. Ensure implementation of financial assistance to accompany the DCFTA negotiations.		
Source of data: European Commission (DG TRADE and NEAR)		
Baseline 2015	Interim Milestone 2017	Target 2020
0	DFCTA negotiated: 2	New DCFTA in force or provisionally applied

Result indicator: Joint programming: development of joint programmes between the Commission's financial assistance and that of the Member States		
Definition: This indicator looks at the number of joint programmes for financial assistance implementation which are concluded with EU Member States within the period covered by the Strategic Plan.		
Source of data: DG NEAR		
Baseline (2014)	Interim Milestone	Target 2020
	2018 (year)	
Bilateral Neighbourhood East = 0 Bilateral	Bilateral Neighbourhood East = 3	Bilateral Neighbourhood East = 4
Bilateral Neighbourhood South = 0	Bilateral Neighbourhood South = 5 (Algeria, Egypt, Lebanon, Morocco, Palestine)	Bilateral Neighbourhood South = 5
Planned evaluations:		
<ul style="list-style-type: none"> ○ Economic governance, 2016 - thematic; ○ Competitiveness, 2016 - thematic; ○ Social protection, 2016 – thematic; ○ Security, 2016 - thematic; ○ Rule of Law, 2018 - thematic; ○ Migration and border management, 2019 – thematic. 		
Specific objective 2: Strengthened Eastern Partnership; support regional cooperation between southern neighbours, including through the Union for the Mediterranean; promote cross border cooperation between member states and partner countries		Related to spending programme(s) ENI
Result indicator: Number of ministerial, platform and panel meetings under the Eastern Partnership.		
Definition: DG NEAR, in coordination with the EEAS and the line DGs, is supporting policy dialogue in the Eastern Partnership countries at different levels (ministerials, platforms, panels), in view of enhancing relations with partner countries and developing our sectorial reforms and cooperation. This process is expected to become more focused and results-oriented ensuring closer links between policy priorities and financial support within the spirit of the four priority areas agreed at the Riga Summit (May 2015) and on the basis of the ENP Review Communication, which promotes partnership, ownership and differentiation. DG NEAR provides funding for the organisation of policy dialogue events through the dedicated Facility.		
Source of data: Events facility contract managed by NEAR		
Baseline 2014	Interim Milestone 2016	Target 2020

Between 70 and 80 policy dialogue events were organised	80 policy dialogue events organised.	This target is based on the 2014-2015 Management Plans. 90 policy dialogue events organised.
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Result indicator: Progress on Eastern Partnership priorities

Definition: The main four priority areas of the EaP were defined at the Riga summit in 2015. Progress can be monitored in the sectoral policy platforms and other relevant activities/events. DG NEAR mainly supports the different processes through policy coordination and financial assistance.

Source of data: DG NEAR, European Council and outcomes from platforms and ministerial sectoral meetings, implementation of relevant assistance projects.

Baseline 2015	Interim Milestone 2016	Target 2020
Establishment of the main priority areas at the Riga Summit in 2015 (i.e. (1) strengthening institutions and good governance; (2) increasing mobility and people to people contacts; (3) market opportunities; (4) interconnections.)	Strategic progress mainly in the areas of: <ul style="list-style-type: none"> ▪ Interconnections: Approval of the extension of the core TEN-T network at ministerial level. Endorsement of the single project pipeline by the EaP countries, IFIs and the EU. ▪ Market opportunities: Development of the three DCFTAs (i.e. Ukraine, Georgia, Moldova) and assistance provided 	Significant progress in the four priority areas established at the Riga Summit in 2015

Result indicator: Increased credibility of the Union for the Mediterranean through a high number of ministerial meetings establishing regional sector priorities and through the engagement of regional cooperation, finance and planning ministers via the holding of UFM ministerial conferences on regional cooperation and planning

Definition: DG NEAR, in coordination with the EEAS and the line DGs, is supporting policy dialogue in the Southern Neighbourhood countries at different levels (ministerials, platforms etc.), in view of enhancing relations with partner countries and developing our sectorial reforms and cooperation. It also provides funding for the organisation of policy dialogue events through its projects and a dedicated facility.

The Ministerial meetings are organised under the Union for the Mediterranean (UfM). A dynamic regional dialogue could be expected to generate ministerial meetings in a given sector about every 2 to 3 years.

This indicator is relevant to measure the results of DG NEAR's under this specific objective as the Southern Neighbourhood as such remains one of the least integrated in the world, hence organising regional cooperation meetings can prove already challenging. Indeed, the overall

political climate in this region remains tense, affecting the possibilities for regional cooperation. Whilst in recent years there has been progress on specific regional agenda-setting, there is also a need to ensure cross-cutting political and financial support to these agendas. This can be achieved with a closer involvement of ministers in charge of international cooperation/national budgets etc.

Source of data: Near B2 and events facility contract managed by NEAR

Baseline 2014	Target 2016	Target until 2020
Three ministerials establishing regional sector priorities	Three ministerials foreseen in 2016 establishing regional sector priorities	Three ministerials per year (15 in total)
Ministries of Finance, Planning and International Cooperation relatively un-engaged in regional cooperation. No cooperation ministerial ever held	UFM Ministerial on Regional Cooperation and Planning successfully organised	A regular process of coordination around financing of regional integration is operational

Result indicator: Progress on specific regional objectives defined in ministerial declarations under the Union for the Mediterranean

Definition: Each Ministerial meeting indicates specific regional cooperation and integration objectives, and progress is monitored in the various sectoral policy platforms put in place to enable discussions on issues and progress. Progress is dependent on many stakeholders' actions, and is not fully under control of DG NEAR directly. DG NEAR supports the developments measured by this indicator through its policy coordination role and its financial assistance (in particular regional projects).

Source of data: UFM Secretariat, line DGs and EU agencies, UN, and NEAR B2

Baseline 2014	Target 2020
N.A.	Tangible progress in the key elements for regional integration and cooperation identified in the Ministerial Declarations, such as: <ul style="list-style-type: none"> - Regional transport network identified - Progress in depolluting Mediterranean - Electricity connections between countries enhanced

Result indicator: Number of Financing Agreements signed with partner countries under the new ENI CBC programmes	
Definition The signature of the Financing Agreement (FAs) between the Commission and partner countries in the new ENI-CBC programmes, allows for the implementation of the ENI-CBC programmes adopted by the Commission.	
16 ENI-CBC programmes were included in the ENI-CBC programming documents. An additional programme was included (Baltic Sea) but its implementation is part of DG REGIO's portfolio. The total EU's financial contribution amounts to approximately € 1 billion.	
Out of the above 16 programmes, only 13 were adopted by the Commission in 2015. Due to political reasons, two programmes (PL-RU and LT-RU) were not submitted to the Commission for adoption in 2015, and the other programme (Mid-Atlantic), although submitted, has not been adopted by the Commission yet.	
23 FAs needs to be signed in 2016 to implement the 13 ENI-CBC adopted programmes. If some of the remaining 3 programmes were adopted by the Commission in 2016 then additional FAs would be signed in 2016/2017.	
Source of data: DG Near as responsible DG for the ENI-CBC programmes	
Baseline 2015	Target 2016
0	23 FAs signed between the Commission and participating countries which correspond to the 13 ENI-CBC programmes adopted by the Commission It some of the 3 remaining ENI-CBC programmes were adopted, then additional FAs would be signed in 2016/2017
Planned evaluations:	
○ ENPI-CBC 2014-2013 to be completed in 2017	

General objective 1 - A Stronger Global Actor – Enlargement

<p>Specific objective 3: The enlargement countries are more ready to join the EU, in particular as regards the fundamental areas of rule of law, public administration reform and economic development, reaping benefits of closer integration with the EU before accession and ensuring continued progress in the accession negotiations where relevant.</p>		Related to spending programme(s) IPA
<p>Result indicator: Readiness indicators on fundamental areas of political criteria (Areas: Judiciary, Fighting organised crime, Freedom of expression, Fight against corruption, Public administration reform)</p>		
<p>Definition: These indicators aim at showing where the seven enlargement countries stand in terms of their preparations for meeting key areas of the political accession criteria, namely the functioning of the judiciary, fight against corruption, fight against organised crime, freedom of expression and Public administration reform.</p> <p>In each of these areas, the state of play (i.e. the readiness) is assessed according to the following five-tier standard assessment scale: Early stage – Some level of preparation - Moderately prepared - Good level of preparation – Well Advanced</p> <p>These indicators have been introduced in the enlargement country reports of 2015. For further details, please see the Communication on the EU Enlargement Strategy⁸.</p> <p>These result indicators are particularly relevant for DG NEAR since they show the results of its enlargement policy and financial assistance as regards two main fundamentals of the enlargement strategy (i.e. The rule of law and fundamental rights and public administration reform). DG NEAR role is to support the enlargement countries to address the core issues measured by these indicators. These indicators provide also greater transparency in the enlargement process and should facilitate greater scrutiny of reforms by all stakeholders.</p>		
<p>Source of data: Annual enlargement country reports – European Commission</p>		
Baseline 2015	Interim Milestone 2018	Target 2020
Five cases of early stage of preparation in these areas	Reduced number of cases of early stage of preparation in these areas	A majority of countries are moderately prepared in these areas ⁹

⁸ COM (2015) 611 final, 10.11.2015

⁹ Assuming that there will not be any backsliding on these areas, the target implies that by 2020 at least 3 more countries become moderately prepared on the functioning of the judiciary; at least four more countries become moderately prepared on the fight against corruption; at least four more countries become moderately prepared on the fight against organised crime; at least four more countries become moderately prepared on freedom of expression. As for the public administration reform area, a majority of countries are moderately prepared in this area already in 2015.

Result indicator: Readiness indicators on fundamental areas of Economic criteria (i.e. functioning market economy and competitiveness in the EU)

Definition: These indicators aim at showing where the seven enlargement countries stand in terms of their preparations for meeting key areas of the two economic accession criteria, namely the existence of a functioning market economy and the capacity to cope with competitive pressures and market forces within the Union.

In each of these areas, the state of play, the state of play (i.e. the readiness) is assessed according to the following five-tier standard assessment scale: Early stage – Some level of preparation - Moderately prepared - Good level of preparation – Well Advanced.

These indicators have been introduced in the enlargement country reports of 2015. For further details, please see the Communication on the EU Enlargement Strategy¹⁰.

These result indicators are particularly relevant for DG NEAR since they show the results of its enlargement policy and financial assistance as regards one main fundamental of the enlargement strategy (i.e. economic criteria). DG NEAR role is to support the enlargement countries to address the core issues measured by these indicators. These indicators provide also greater transparency in the enlargement process and should facilitate greater scrutiny of reforms by all stakeholders.

Source of data: Annual enlargement country reports – European Commission

Baseline 2015	Interim Milestone 2018	Target 2020
Four cases of early stage of preparation in these areas	Reduced number of cases of early stage of preparation in these areas	A majority of countries reach a good level of preparation in these areas ¹¹

Result indicator: Degree of readiness and alignment to the *acquis* as reflected in the country reports

Definition: These indicators aim at showing where the seven enlargement countries stand in terms of their preparations for fulfilling the obligations stemming from the membership, including the alignment to the *acquis*.

In each of the *acquis* chapters¹², the state of play (i.e. the readiness) is assessed according to the following five-tier standard assessment scale: Early stage – Some level of preparation - Moderately prepared - Good level of preparation – Well Advanced

For further details, please see the Communication on the EU Enlargement Strategy¹³.

These result indicators are particularly relevant for DG NEAR since they show the results of its enlargement policy and financial assistance as regards the third accession criteria¹⁴. DG NEAR role is

¹⁰ COM (2015) 611 final, 10.11.2015

¹¹ Assuming that there will not be any backsliding on these areas, the target implies that by 2020 at least two more countries reach a good level of preparation on the functioning market economy; at least three more countries reach a good level of preparation on the capacity to cope with competitive pressures and market forces within the Union.

¹² BiH and Kosovo are assessed according to the European Standards, not the chapter structure.

¹³ COM (2015) 611 final, 10.11.2015

to support the enlargement countries to address the issues measured by these indicators. These indicators provide also greater transparency in the enlargement process and should facilitate greater scrutiny of reforms by all stakeholders.

Source of data: Annual enlargement country reports – European Commission

Baseline 2015	Interim Milestone 2018	Target 2020
51 cases of early stage of preparation in the 35 chapters ¹⁵ .	Reduced numbers of early stages	A majority of countries are moderately prepared in these areas.

Result indicator: Public Administration Reform (PAR) strategy framework, which is in line with the Principles of Public Administration

Definition: This indicator aims at showing the progress of the seven enlargement countries with the preparation, adoption and implementation of a strategic framework on PAR, addressing the following core areas of PAR: Policy development and coordination, Public service and human resources management; Accountability of Administration and Service delivery. These core areas are in line with the new approach on PAR, as advocated since the 2014-15 enlargement strategy and further defined by the Principles of Public Administration.

Source of data: National authorities in the Enlargement countries leading Public Administration Reforms

Baseline 2015	Interim Milestone 2018	Target 2020
3 countries	5 countries are implementing a PAR strategy framework in line with the Principles of Public Administration	7 countries are implementing a PAR strategy framework

Result indicator Public Financial Management (PFM) reform programmes

Definition: This indicator aims at showing the progress of the seven enlargement countries with the preparation, adoption and implementation of credible and relevant PFM reform programmes.

The 2013-14 and 2014-15 enlargement strategies have gradually introduced a new policy on Public Financial Management (PFM) in the enlargement countries. Improved public financial management, including revenue administration and collection are of fundamental importance for the functioning of the state and for implementing the reforms needed for EU integration. Countries have been invited to prepare "credible and relevant" PFM reform programmes/strategies

Both the enlargement strategy and the budget support guidelines highlight that an acceptable PFM reform programme is both relevant and credible. Relevance means how key constraints and weaknesses identified in different assessments (e.g. PEFA, SIGMA baseline assessment, IMF Tax Administration Diagnostic Assessment Tool TADAT) are addressed in the PFM strategy/programme. Credibility refers to the quality of the reform process in terms of its 'realism', appropriate sequencing and prioritisation of actions, institutional arrangements, allocation of resources, implementation track record and political commitment to the reforms.

¹⁴ This criteria is about the administrative and institutional capacity to effectively implement the *acquis* and ability to take on the obligations of membership.

¹⁵ BiH and Kosovo are assessed according to the European Standards, not the chapter structure.

Source of data: Ministries of Finance in the Enlargement countries		
Baseline 2015	Interim Milestone 2018	Target 2020
Only 1 country implements credible and relevant PFM reform programmes	5 countries are implementing credible and relevant PFM reform programmes	All 7 countries are implementing credible and relevant PFM reform programmes by 2020
Planned evaluations:		
<p>A key source for assessing the achievement of this specific objective and the related indicators is the annual Enlargement Package. Planned or already launched strategic evaluations in 2016 somewhat related to this objective are the following:</p> <p>At programme/strategic level:</p> <ul style="list-style-type: none"> • Mid-term review of IPA assistance, 2017 – IPA II; • Interim evaluation of IPA assistance, 2017 – ENI; • Ex-post evaluation of IPA I 2007-2013, 2021 – IPA I; • Ex-post evaluation of IPA II, 2028 – IPA II. <p>At thematic level,</p> <ul style="list-style-type: none"> • Economic governance, 2016 - thematic; • Competitiveness, 2016 - thematic; • Social protection, 2016 - thematic; • Public administration reform, 2016 - thematic; • Security, 2016 - thematic;; • Rule of Law, 2018 - thematic; • Education and vocational training, 2019 – thematic; • Migration and border management, 2019 – thematic; • Transport, 2019 – thematic; • Public Financial Management, 2020 – thematic; • Energy, 2019 – thematic 2019; <p>Environment and Climate action, 2019 – thematic.</p>		
<p><i>Specific objective 4: Improved connectivity within the Western Balkans and with the EU. Improved good neighbourly relations among Enlargement countries with a view to overcoming the legacy of the past</i></p>		<p>Related to spending programme(s) IPA</p>
<p>Result indicator: Progress in completing the Core transport network and the Core transport corridors.</p>		
<p>Definition: The EU adopted, in January 2014, a new transport infrastructure policy to put in place a powerful European transport network across the 28 Member States. These new guidelines refocus transport financing on a tightly defined new core network, the Trans-European Transport Core Network (TEN-T core network), which will form the backbone for transportation in Europe's single market. It will remove bottlenecks, upgrade infrastructure and streamline cross border transport operations for passengers and businesses throughout the EU. Within the Western Balkans Six</p>		

framework, the European Commission and the six Prime Ministers from the Western Balkans agreed, on 21 April 2015 in Brussels, on **indicative extensions of the TEN-T core network in the Western Balkans region**. In Riga, on 22 June 2015, the Western Balkans Six Transport Ministers confirmed the maps of the comprehensive and core networks extending the TEN-T network in the Western Balkans. A **list of priority projects** was agreed at the Vienna Summit in August 2015.

Source of data: South East Europe Transport Observatory (SEETO) Annual Report; Western Balkans Investment Framework Annual Assessment

Baseline 2015	Interim Milestone 2018	Target 2020
24 priority projects on the list agreed in Vienna	At least 33% priority projects approved/under implementation	75% of 24 priority projects identified in Vienna approved/under implementation

Result indicator: Progress in implementing the Projects of Energy Community Interest

Definition: The South East Europe Energy Strategy adopted in October 2013 outlines the key objectives and actions needed to create a regional energy market, as well as the investment needs for energy efficiency and renewable energy. A list of **Projects of Energy Community Interest (PECI)** was subsequently adopted, identifying in particular the **electricity and gas interconnections** as key areas that would contribute to the Western Balkans economic development and further EU integration

Source of data: Energy Community Annual Report (revision of the PECI list in 2016); Western Balkans Investment Framework Annual Assessment

Baseline (year)	Interim Milestone 2018	Target 2020
20 electricity and gas projects in 2013 PECI list	At least 33% of the 20 relevant PECI project approved/under implementation	At least 75% of the 20 relevant PECI projects approved/under implementation

Result indicator: Progress in implementing the soft measures on energy and transport

Definition: As agreed at the Vienna Summit in August 2015, the Western Balkans countries have to complement the investments through the implementation of soft measures aiming to increase the added value of the infrastructure investments. **The soft measures will require limited funding but a strong political commitment.** They include measures such as aligning and simplifying border crossing procedures, railway reforms, information systems (ITS), road safety and maintenance schemes, unbundling and third party access, regulator independence, licensing and permitting regimes, customer switching, etc.

Source of data: Conclusions of Western Balkans Ministerial meetings and Summits

Baseline 2015	Interim Milestone 2016	Target 2020
40 short and long term measures for	50% of short term measures in Vienna list implemented	85% of all 40 soft measures in Vienna list implemented

energy and transport agreed in Vienna		
Result indicator: European Commission contributes to smooth organisation of Berlin process summits		
Definition: The European Commission is looking at boosting regional economic development and connectivity in the Western Balkans as well as to improve good neighbourly relations between Western Balkans countries. The aim will be to continue progress achieved to date, notably through the "Berlin process" and the "Western Balkans Six" format, which brings together heads of state and government from the region and is strengthening the countries' ownership of regional co-operation.		
Source of data: Conclusions of Western Balkans Ministerial meetings		
Baseline	Yearly milestone 2016-2018	Target 2020
N/A	Connectivity Package endorsed by summit At least 2 Western Balkans Ministerial meetings organised in preparation of summit	Connectivity Package endorsed by summit At least 2 Western Balkans Ministerial meetings organised in preparation of summit
Planned evaluations:		
Transport, 2019 – thematic		

General objective 2 - Towards a New Policy on Migration

<p>Specific objective 5: Stem the influx of irregular migrants to the EU, by addressing the root causes of destabilisation, forced displacement and irregular migration in Enlargement and Neighbourhood countries. Promote mobility and mutually beneficial migration.</p>		<p>Related to spending programme(s) IPA and ENI</p>		
<p>Result indicator: Implementation of the Facility for Refugees in Turkey</p>				
<p>Definition: The implementation of this facility will be measured by the amount for which the Steering Committee of the Facility has provided guidance and by the amount committed.</p> <p>The Facility for Refugees in Turkey is the answer to the October 2015 European Council's call for significant additional funding to support refugees in Turkey. The Facility will provide a joint coordination mechanism for actions financed by the EU budget and national contributions made by the Member States, designed to ensure that the needs of refugees and host communities are addressed in a comprehensive and coordinated manner.</p> <p>To ensure coordination, complementarity and efficiency in the financing, the Steering Committee of the Facility will provide strategic guidance and decide on which types of actions will be supported and through which financing instruments. The Steering Committee will monitor and assess the implementation of the Facility. It will be composed of representatives of Member States, the Commission and of Turkey, in an advisory capacity.</p> <p>The assistance provided under the Turkey Refugee Facility will be conditional on the compliance by Turkey with the EU-Turkey Joint Action Plan, which aims to bring order into migratory flows and help to stem irregular migration, and the EU-Turkey Statement from 29 November 2015.</p> <p>DG NEAR will be in charge of chairing the Steering Committee, managing its secretariat; and implementing the actions conducted under IPA. This result indicator is of high relevance to measure the results of DG NEAR's action on this specific objective since the Facility will be managed by DG NEAR and because Turkey, by its geographical position, is a major first reception and transit countries for migrants.</p>				
<p>Source of data: Facility monitoring reports</p>				
<p>Baseline 2015</p>	<p>Interim Milestone</p> <table border="1"> <tr> <td>2016</td> <td>2017</td> </tr> </table>	2016	2017	<p>Target 2017</p>
2016	2017			
<p>0</p>	<p>2.000.000.000, on which Steering Committee has provided guidance</p>	<p>3.000.000.000 on which Steering Committee has provided guidance</p>		
		<p>Corresponding amounts should be committed by 31.12.17</p>		
<p>Result indicator: Implementation of the EU Regional Trust Fund in response to the Syrian Crisis</p>				
<p>Definition: Definition: The EU Regional Trust Fund in response to the Syrian Crisis (EUTF) will continue its activities, mainly linked to the contractualisation and delivery of projects adopted by two Board meetings and identified until end 2015 and the preparation of a new pipeline of projects, in all the countries affected by the Syrian crisis.</p> <p>The EUTF was established in December 2014 with the overall objective to provide a coherent and reinforced aid response to the Syrian crisis on a regional scale, responding primarily in the first instance to the needs of refugees from Syria in neighbouring countries, as well as of the</p>				

communities hosting the refugees and their administrations, in particular as regards resilience and early recovery.

Following the Commission Communication of 23 September 2015 with proposals on Managing the refugee crisis, the Commission i.a. proposed a **substantial increase of funding in support of Syrian refugees** and their host countries through the Trust Fund, amounting to more than € 500 million in appropriations. It has also received contributions and pledges from 19 Member States amounting to € 60 million.

The Trust Fund is **managed by DG NEAR** who chairs the TF board and is in charge of developing actions to be submitted to the board.

Source of data:

Baseline 2015	Interim Milestone		Target 2020
	2016	2017	
<ul style="list-style-type: none"> • 2 Board meetings held • Actions for € 387.5 million adopted • € 17.5 million contracted 	<ul style="list-style-type: none"> • At least 2 Board meetings held • At least Actions for € 250 million adopted • At least € 300 million contracted 	2017 milestones depending on post 2016 commitments to the Fund	At least € 1 billion mobilised and implemented through the Fund (target from 23 Sept 2015 communication)

Result indicator: Implementation of the Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa – North of Africa Window

Definition: The European Commission has launched an “Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa”, made up of **€ 1.8 billion** from the EU budget and European Development Fund, combined with contributions from EU Member States and other donors. The EU Trust Fund for Africa was signed by the President of the European Commission Jean Claude Juncker, along with 25 EU member states, as well as Norway and Switzerland, and was launched at the Valletta Summit on Migration on November 12th 2015 by European and African partners

The Trust Fund benefits a coherent group of countries across Africa crossed by the major migration routes. These countries are part of **three regional operational windows**: the Sahel region and Lake Chad area, the Horn of Africa and the North of Africa.

DG NEAR is in charge of managing the **North of Africa window**, comprised of Morocco, Algeria, Tunisia, Libya and Egypt.

The North of Africa window will be focused at **improving migration management** in all its aspects, including contributing to the development of national and regional **strategies on migration** management, containing and preventing **irregular migration** and fight against trafficking of human beings, **smuggling of migrants** and other related crimes, effective return and readmission, international protection and asylum, legal migration and mobility, enhancing synergies between migration and development.

The first operational committee of the North of Africa window will take place around mid 2016 to examine a first pipeline of projects. The preparation of projects for 2017 will start in parallel and it is expected that the following operational committees will be able to achieve a higher level of commitments.

Source of data: Reports of the operational committee of the North of Africa window

Baseline 2015	Interim Milestone		Target 2020
	2016	2018	
Launching of the North of Africa window – No operational committee + preparation of a first pipeline of projects	Operational committees of the NA window approve a pipeline of € 40 Mio	Operational committees of the NA window approve a <u>cumulative</u> pipeline of € 160 Mio	Projects worth the totality of ENI + MS funds pledged are approved by the operational committees.
<p>Result indicator: Further Visa liberalisation with relevant countries (i.e. Georgia, Armenia, Ukraine, Kosovo, Turkey)</p> <p>Definition: Visa liberalisation is the result of 'Visa Liberalisation Dialogues' conducted between the EU and third countries. Through the Visa Dialogues, the EU takes gradual steps towards the long-term goal of visa-free travel for short term stays on a case-by-case basis, provided that conditions for well-managed and secure mobility are in place. These dialogues are reserved for enlargement and East neighborhood countries.</p> <p>Visa-free regime can fulfill the purpose of increasing people-to-people contacts between the EU and the third countries, hence helping to develop special relationships between the EU and the concerned Neighbourhood countries or helping to advance the integration process in case of Enlargement countries.</p> <p>In terms of process, the Commission reports on the implementation by the third country of the related Visa Liberalisation Action Plan (VLAP). Once all benchmarks are met by the third country in a sustainable manner, the Commission is in a position to propose to transfer this country to the list of third countries whose nationals are exempt from visa requirement (Regulation 539/2001). Finally, the European Parliament and the Council decide whether to approve the Commission's proposal, taking into account possible migration and security risks.</p> <p>Within the Commission, DG HOME is in the lead for conducting Visa Liberalisation Dialogues, with support from DG JUST, the EEAS and DG NEAR.</p>			
Source of data: European Commission (DG HOME and DG NEAR)			
Baseline 2015	Interim Milestone		Target 2020
	2016	2017	
Ukraine: Ukraine meets criteria for visa liberalisation, based on the commitments taken in the sixth VLAP	Ukraine: Entry into force of visa liberalisation for Ukraine		

<p>report</p> <p>Georgia: Positive appraisal of benchmarks under the Visa Liberalisation Action Plan</p> <p>Armenia: Preliminary discussions on Visa Liberalisation</p> <p>Kosovo: visa liberalisation dialogue launched with Kosovo on 19 January 2012</p> <p>Turkey: visa liberalization dialogue started in December 2013</p>	<p>Georgia: Entry into force of visa liberalisation for Georgia</p> <p>Armenia: Discussions on Armenia's request to launch a Visa Liberalisation Dialogue</p> <p>Kosovo: Visa liberalisation possibly granted to Kosovo</p> <p>Turkey: Visa liberalisation granted to Turkish citizens in the Schengen zone by October 2016 once the requirements of the Roadmap are met.</p>	<p>Armenia: Follow-up on 2016 developments</p>	<p>Armenia: Advancement on fulfilling benchmarks for Visa Liberalisation</p>
<p>Planned evaluations:</p> <ul style="list-style-type: none"> ➤ Migration and border management, 2019 - thematic ➤ Security, 2016 - thematic. 			

General objective 3 – A Resilient Energy Union with a Forward-Looking Climate Change Policy

<p>Specific objective 6: Increased energy security and more effective climate policies in the Enlargement and Neighbourhood countries as well as increased energy connectivity between the EU and these countries.</p>		<p>Related to spending programme(s) IPA and ENI</p>	
<p>Result indicator: Number of sector dialogues on gas, renewable energy and energy Efficiency at regional level</p>			
<p>Definition:</p> <p>Eastern Partnership (EaP):</p> <p>At regional level, meetings of the regional EaP Platform 3 on Energy Security, which supports dialogue in developing electricity, gas and oil interconnections, as well as improving energy efficiency and renewable energy sources.</p> <p>Neighbourhood South:</p> <p>The progressive integration of the energy markets in the Mediterranean is a key aspect of the ENP Review and one of its objectives. Such integration could only be achieved through the establishment and functioning of dedicated international fora where the policy priorities and the actions to implement them are discussed and adopted. In the Mediterranean region, this is currently done through the sector policy dialogues under the UfM umbrella (i.e.: the UfM Energy Platforms in the field of Gas; Regional Electricity Markets; Renewable Energies and Energy Efficiency). The level of activity and relevance of these policy dialogues is measured through the frequency of their meetings and the quantity and quality of the results that are produced therein. Therefore the number of meetings held in the framework of each policy dialogue can be considered as an appropriate indicator to be employed.</p> <p>Together with DG ENER, DG NEAR is leading the policy dialogues that are being shaped in the framework of the three UfM Energy Platforms. More specifically, NEAR regularly provides technical input regarding the following aspects: definition of the platforms' work programmes and activities; identification and formulation of policy priorities in the energy sector; logistical aspects that are linked to the organisation of the platforms' meetings. This work is essential to achieve the desired frequency of policy dialogue meeting and the quality of their results. In addition, DG NEAR provides a more political contribution, by regularly cooperating with DG ENER in view of the UfM Energy Ministerial meetings. Finally, DG NEAR manages two contracts with the key technical partners of the UfM Regional Electricity Markets Platform: MEDREG and MED-TSO.</p>			
<p>Source of data:</p> <ul style="list-style-type: none"> - EaP: Platform 3 meetings funded by regional EaP events facility. - Neighbourhood South: DG NEAR and DG ENER internal reporting. UfMS activity report and minutes of meetings. 			
<p>Baseline</p> <p>2015</p>	<p>Interim Milestone</p> <p>2016 (year)</p>		<p>Target</p>
<p>EaP: 2 per year</p>	<p>EaP: 2 meetings per year</p>		

UfM: 1 meeting of the Regional Electricity Platform (REM) and 1 meeting for the Gas Platform	The target is 2 meetings per year for each UfM Platform until 2020 (30 meetings in total)		
Result indicator: Neighbourhood East - Number of investments from the Neighbourhood Investment Facility (NIF) adopted on Renewable Energy and Energy Efficiency			
Definition Strategic investment projects on Renewable Energy and Energy Efficiency funded by the NIF – Neighbourhood East			
Source of data: NIF Board decisions			
Baseline 2015	Interim Milestone 2018		Target 2020; based on desk evaluation
0	2 per year		
Result indicator: Neighbourhood South - At least 30% of the Neighbourhood Investment Facility (NIF) grant investments in the Southern Neighbourhood will be devoted by 2020 to facilitate investments in the Renewable Energy and Energy Efficiency Sectors			
Definition: Facilitating investments to establishing better and more sustainable energy interconnections (between the EU and neighbouring countries and between the neighbouring countries themselves), improving energy efficiency and demand management, promoting the use of renewable energy sources, strengthening energy security through diversification of energy supplies and energy market integration are part of the NIF strategic orientations and priority objectives adopted by the Commission with the agreement of partner countries for the period 2014-2020.			
The NIF is a blending designed to combine EU grants with other public and private financing. By reducing, through co-financing, the overall cost or risk of the project or by subsidising interest rates and/or financing technical assistance, the Facility will encourage the beneficiary governments, private sector and/or public institutions to carry out essential investments in sectors which would otherwise be postponed due to lack of resources.			
The role of DG NEAR is to discuss and promote with the European Financial Institutions, in close association with the concerned EU Delegations, the identification and submission to the NIF of investment projects in the targeted sector.			
Source of data: NIF Secretariat and NIF Annual Reports			
Baseline Period 2008-2013		Target 2020	
The base line was 20% to 25% of NIF grants for the Energy sector		At least 30% of the NIF grant investments in the Southern Neighbourhood will be devoted by 2020 to facilitate investments in the Renewable Energy and Energy Efficiency Sectors	
Result indicator: Progress in implementing the Projects of Energy Community Interest			
➤ See description of this indicator under Specific objective 4			

Planned evaluations:

- Energy, 2020, *thematic*

General objective 4 - A New Boost for Jobs, Growth and Investment

General objective 4 - A New Boost for Jobs, Growth and Investment		
Impact indicator: Europe 2020 target - Employment rate population aged 20-64		
Source of the data: EUROSTAT		
Baseline (2014)	Target 2020)	
69.2%	at least 75%	
Specific objective 7: Increased prosperity in the Enlargement and Neighbourhood countries and in the EU through increased economic and trade opportunities between the EU and these countries.	Related to spending programme(s) IPA and ENI	
Result indicator: Initiative on the enhancement of EU-Turkey bilateral trade relations and modernisation of the EU-Turkey Customs Union (CU)		
<p>Definition: The main policy objective of this initiative is to enhance the bilateral preferential trade framework by extending the CU to other areas (agriculture, services and public procurement) and improving the functioning of current mechanisms.</p> <p>This indicator will measure the progress of the negotiation between Turkey and the EU with a view to modernising the EU-Turkey Customs Union.</p> <p>This indicator is particularly relevant to this specific objective since Turkey is the EU's 6th biggest trading partner and accounts for nearly 4% of its total trade. Three fourths of FDI inflows to Turkey originate in the EU, mainly greenfield and services investments. Enhancing economic integration by improving market access in agricultural and public procurement markets, and fostering investments in the services sectors through better opening and regulatory alignment would increase further market integration to the benefits of both parties.</p> <p>DG NEAR will work jointly with DG TRADE on this initiative, in a supportive and complementary role.</p>		
Source of data: European Commission (TRADE and NEAR)		
Baseline	Interim Milestone	Target
2016	2017	2018
Existing Customs Union Agreement EU-Turkey (in force since 1996)	Conduct negotiations for modernising Customs Union with Turkey	Upgraded/extended CU in force or provisionally applied, including new mechanisms
Result indicator: Deep and Comprehensive Free Trade Agreement with Morocco and Tunisia		
➤ See description of this indicator under Specific objective 1		
Result indicator: DCFTA Facility for Georgia, Moldova and Ukraine		
Definition: DG NEAR, jointly with European Financial Institutions (EFIs) – the European Investment		

<p>Bank (EIB) and the European Bank for Reconstruction and Development (EBRD) in the first place – has put in place the DCFTA Facility for SMEs to help SMEs to seize new trade opportunities opened thanks to the DCFTA and to comply with the DCFTA provisions.</p>	
<p>Source of data: European Commission (TRADE and NEAR)</p>	
<p>Baseline 2015</p>	<p>Target 2020</p>
	<p>The two DCFTA Facilitation programmes with the EIB and the EBRD will generate approximately 13,750 sub-loans to companies. Other objectives include to:</p> <ul style="list-style-type: none"> - improve technical and SPS standards leading to enhance the competitiveness of SMEs in the DCFTA signatory countries - transfer knowledge on how to use the opportunities and address the challenges resulting from the DCFTA implementation.
<p>Planned evaluations:</p>	
<ul style="list-style-type: none"> • Economic governance, 2016 - thematic • Competitiveness, 2016 – thematic 	
<p>On the customs Union, an Impact Assessment study will be finalized by Q3 2016</p>	