



Strategic Plan 2016-2020*

Service for Foreign Policy Instruments-FPI

*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 the Service for Foreign Policy Instruments (FPI) is to support the attainment of the objectives of the EU foreign and security policy as defined in Article 21 of the Treaty on European Union, in particular with regards to peace and conflict prevention, and to project the EU's interests and image in the world. FPI contributes mainly to achieve the EU general objective: 'a stronger global actor'. For that purpose FPI is responsible, under the authority of the High Representative of the Union for Foreign Affairs and Security Policy in her capacity as Vice-President of the Commission (HR/VP), for the operational and financial management of the budgets for Common Foreign and Security Policy (CFSP), Instrument contributing to Stability and Peace (IcSP), Partnership Instrument (PI), Election Observation Missions (EOMs) and Press and Public Diplomacy (PPD). In addition, FPI is also responsible for the implementation of Foreign Policy Regulatory Instruments (such as sanctions, the Kimberley Process on conflict diamonds, and the "Anti-Torture" Regulation).

FPI is a Commission Service directly attached to the HR/VP Mogherini and works closely with the European External Action Service (EEAS) and with the Commission's Directorates-General, notably international cooperation and development (DEVCO), neighbourhood policy and enlargement negotiations (NEAR), Trade (TRADE), humanitarian aid and civil protection (ECHO).

B. Operating context

The operational and management environment in which the Service operates is determined by:

- The evolution of world events including unforeseen events / crises: the Service's activities are shaped largely by external events and the evolution of the world political situation.
- The global scale and complexity of the EU's relations with the rest of the world: FPI's responsibilities require intensive coordination with the EEAS, the external relations Directorates General (DG) mentioned already, as well as other Commission's DGs (external dimension of internal policies). Maintaining business continuity and effective operations is a challenge in the face of complex and sensitive operations and high stakeholder expectations.
- The emergence of economies which are playing an increasingly important role in global affairs, the international economy and trade, in multilateral and global governance and the ever growing globalisation in which many challenges have arisen.
- Increasing financial and operational challenges: the budget FPI manages has increased, with EUR 756 million in operational expenditure authorised for 2016 (appropriations for commitments) compared to EUR 691 million in 2013. The budget is planned to gradually increase to EUR 861 million by 2020 (see Annexe 2). Moreover operations in crisis situations by definition carry higher risks, with implementation scattered across a large geographical scope due to the nature of the instruments.

In addition, within the context of EU external relations, the administrative and institutional environment is generally characterised by:

- geographically dispersed activities, including in areas with difficult legal and institutional settings and/or political complexities;
- a need to respond swiftly and bring forward evolving bilateral agendas with EU strategic partners and other countries with which the Union has an interest in strengthening links;
- CFSP specific provisions based on the TEU;

- a high number of operations and associated financial transactions, due to the nature and characteristics of the financing instruments;
- a high level of risk due to the geopolitical, social, institutional and administrative environment, particularly in areas affected by instability ;
- a complex and highly diverse legal and administrative environment;
- limited resources to ensure full scale supervision of small and medium sized financial transactions within the EU Delegations;
- different and sometimes evolving management modes;
- the diversity of implementing organisations and partner countries with different management and control capacities.

Stakeholders and partners place high expectations on the capacity of the EU to respond. However, the volatile and violent situation in many crisis zones implies serious security concerns and typically leaves the EU with a limited choice of options and implementing partners. In other words, interventions are called for in dangerous operating environments and political contexts with a concomitant risk of ineffectiveness, while at the same time the reputation of the EU is at risk if it is seen to be unable to act in pursuit of its policy goals. Security for our operations and the people serving in them, for whom we have the duty of care, will remain a challenge and an absolute priority, particularly for CFSP and EOMs missions, by making sure that adequate means for providing security are at the disposal of all operations in the field.

In its CFSP operations, FPI implements decisions adopted by the Council in response to particular political and security issues. Under the Instrument contributing to Stability and Peace, FPI intervenes to help prevent conflict, to respond to emerging or actual crises or to build the capacity of a wide range of peace-building actors. The Political and Security Committee (PSC) of the Council gives strategic guidance and political direction for CFSP operations, the main current ones being the CFSP missions in the field in Kosovo, Afghanistan, and Georgia. PSC is kept informed of the crisis response measures under the Instrument contributing to Stability and Peace, with a view to ensuring overall coherence.

- *Treaty obligations relevant to FPI;*

Under the Treaty on the European Union (TEU), the European Union has committed to pursue objectives for its external relations as set out in Article 21. The Service for Foreign Policy Instruments (FPI) is responsible for managing the operational budget in support of these objectives closely linked to the strategic interests and security of the European Union, in close cooperation with the European External Action Service and the High Representative/Vice President.

CFSP operations are governed by the special provisions under the TEU (Title V, chapter 2).

The other instruments are governed by the TFEU (Title III – Cooperation with third countries and humanitarian aid).

- *The competences of the European Union (exclusive, shared, supporting / coordinating / complementary);*

Security objectives are to be seen against a wider picture of global instability where many countries are affected by conflicts and repeated cycles of political and criminal violence with spill over effects to other more stable areas, including the EU, through all kinds of trafficking, refugee flows, and organised crime. Chiefly, the EU (and the international community) has also acknowledged that there cannot be sustainable development without peace and security.

The post-Lisbon institutional setup allows for closer coordination and cooperation at EU level to prevent conflict, build peace and strengthen international security. CFSP operations and Instrument contributing to Stability and Peace actions, along with regulatory instruments, contribute to that objective although they have to be placed, under the Comprehensive Approach developed by the EU, as "front level" instruments in this area and contributing to a common objective combined with the wide array of policies, tools and instruments at its disposal – spanning the diplomatic, security, defence, financial, trade, development cooperation and humanitarian aid fields.

Through its network of 139 Delegations in the world, the EU is in a unique position to monitor global instability and pool diplomatic skills with other tools and instruments to contribute to conflict resolution and prevention, and to advance EU's public diplomacy.

- *Types of the Commission's interventions*

FPI uses different modalities to intervene depending on the nature of each instrument it manages, these modalities are:

- management of spending programmes (through direct and indirect management methods of implementation);
- regulatory and restrictive measures (sanctions, anti-torture regulation and the Kimberley Process);
- policy and annual planning coordination activities.

- *FPI management modes*

FPI uses two management modes: direct management modes for part of IcSP, PI and EOMs, and indirect management for part of IcSP, PI and for CFSP.

Part II of the Financial Regulation, complemented by PRAG, is of application for the implementation of those external action programmes. FPI accordingly uses the standard contract models (services, works, supplies, grants and delegations agreements under indirect management) and their annexes, as elaborated and updated by DEVCO and made available in PRAG. This is complemented by guidance and instructions by the AOD for the management and implementation of external action projects. In order to put at the disposal of each AOSD a clear set of guidelines and procedures for the management of FPI funds - especially for the ones managed in EU Delegations - the DEVCO Companion is of application for the programmes under FPI's responsibilities unless instructed differently by the AOD.

The rules and procedures for implementation of the IcSP, PI and EOMs (EIDHR) are laid down in the "Common Implementing Regulation"¹ which applies to financing instruments for EU external actions.

- *FPI key stakeholders*

Under the authority of the HR/VP Mogherini (as Vice-President of the European Commission), FPI works closely with other European Commission (EC) Directorates General (DG) in charge of a particular dimension of the EU foreign policy (development, humanitarian assistance, trade, etc.) in line with the Commission general objectives and priorities.

¹ Regulation (EU) N° 236/2014 of the European Parliament and of the Council of 11 march 2014, laying down common rules and procedures of the implementation of the Union's Instruments for financing external action.

The European External Action Service (EEAS) is one of the main FPI partners, as the European Union's diplomatic service and under the authority of HR/VP Mogherini (as High Representative of the Union for foreign affairs), EEAS ensures that all the different activities that the EU performs abroad are consistent and effective.

FPI works closely with the Council of the European Union mainly in CFSP area. In fact, unlike other EU policies, it is the HR/VP Mogherini, and not the Commission, who holds the right of initiative in the field of the CFSP. The Council adopts the legal acts for the CFSP. These legal acts create and appoint CSDP Missions and EUSRs which conclude a delegation agreement with the Commission.

FPI is also in direct contact with the European Parliament for the implementation of the EOMs. In fact, EOMs are led by a Chief Observer who is a Member of the European Parliament. Furthermore, a Delegation of the European Parliament composed of MEPs is deployed to the partner country to observe the Election Day and is fully embedded in the EOM. The European Parliament is consulted on the yearly list of priority countries for election observation.

FPI close coordination with the EU Delegations is also essential because they play a key role in the FPI's annual planning process. EU Delegations liaise with Member States at local level as well as with relevant stakeholders such civil society organizations, chambers of commerce, think tanks, local governments, Member States' Agencies, EU companies, etc. which are associated as appropriate to the overall implementation process.

The main FPI relations with other entities inside and outside the EC are described in annex 3 "FPI stakeholders' map".

C. Strategy

FPI will contribute to and be entirely accounted for within the general objective number 9 "A stronger global actor" within the 10 Juncker Commission's priorities. Impact indicator "EU Collective Net Official Development Assistance (ODA) as a percentage of EU GNI" will be used to measure this contribution.

FPI will also contribute to some extent to the general objectives number 1 ("A New Boost for Jobs, Growth and Investment"), number 3 (A Resilient Energy Union with Forward-Looking Climate Change Policy), and number 6 (A reasonable and Balanced Free Trade Agreement with the US) through the Partnership Instrument whose specific objectives are to promote the external dimension of the EU Strategy 2020 and to advance the EU economic interests. Finally, FPI will also contribute to the general objective number 8 (Towards a New policy on Migration) through the CFSP, IcSP and to some extent PI (support of migration) actions which could be indirectly related to this objective. The impact indicators that have been retained for these four general objectives are not directly linked and relevant to FPI operations (they are geared towards measurements within the EU) and do not illustrate the main aspects of the interventions that would justify FPI's contribution to be accounted for under these objectives. Finally, in terms of "volume" as regards policy and expenditure, those contributions would be relatively marginal. By consequence, FPI contribution to general objectives 1, 3, 6 and 8 will not be measured by indicators. However, FPI will explain in its reporting how its operations are complementary and contribute also to these general objectives.

The general objective 9 "A stronger global actor" is complex and encompasses several EU external policies reflecting different facets of the EU abroad. In fact, the EU could be seen as a political/diplomatic power (in its capacity to negotiate international agreements, to impose sanctions on a country or to accompany peace and democratic processes for example), an economic power (as 1st economic area in the world) or a cultural power (in its role of transmitting humanist values, basis

of its own construction²). FPI contributes to strengthen these three facets of the EU, as a global actor, working on four main aspects:

- Increase EU position as a peace maker on the international scene;
- Increase EU capacity and position as a reference on challenges of global concerns;
- Increase EU capacity in accessing new economic markets;
- Strengthen EU positive image abroad in particular regarding the three areas mentioned above.

The challenges of the coming years will be tackled under the leadership of the Commission which has taken office in 2014. The HR/VP and Commissioners in charge of external actions meet at least once a month (Commissioners' Group on External Action - CGEA), along with other Commissioners as necessary for topics relating to external actions (e.g. climate, environment, energy), thus giving momentum to the Comprehensive Approach and to a stronger coordinated way of operating. This Group has become very valuable for the co-ordination of external policies of the Union and a forum for up-stream discussions on key policy issues before decisions are made.

Under Heading 4 of the current MFF (EUR 66.3 billion at current prices), FPI is set to manage 5.5 billion (8.3%), with an annual budget growing from 713 million in 2014 to 861 million in 2020.

The strategic challenges for the next 5 years 2016-2020 are:

- Contributing to the Commission's Results Framework through the effective implementation of the financing instruments under FPI's remit;
- Preparing and steering the MTR of the EFIs through a solid evaluation plan and process;
- Preparing the next legislative package post-2020 in coordination with the RELEX family and steering the legislative package through the legislative process in view of adoption by end-2020.

Crisis response will remain the major share of FPI's challenge in the coming years. Taken together, crisis response and crisis management operations under the CFSP and the Instrument contributing to Stability and Peace (IcSP) represent 77% of the EUR 737 million budget to be implemented in 2015 by FPI for example. This budget is set to increase further in the next four years, reaching EUR 861 million in 2020. The number of conflicts as a measure of global instability, remains high with 424 conflicts worldwide in 2014 (an upwards trend compared to 2013 (414), 2012 (405) and 2011 (387)) including 21 wars, 25 limited wars, 177 violent conflicts, 89 non-violent crises, and 112 disputes).

The continued effective and efficient management of FPI operations will therefore remain the overarching objective, with the emphasis on aiming for consistent high standards even in the most difficult circumstances. Security of FPI funded operations and the people serving in them will remain a challenge and an absolute priority, particularly for CFSP and EOMs missions, by making sure that adequate means for providing security are at the disposal of all operations in the field, in liaison with the EEAS and Commission Security services in DG Human Resources. FPI will continue to ensure the

² As stated in the Treaty of Lisbon, *"The Union's action on the international scene shall be guided by the principles which have inspired its own creation, development and enlargement, and which it seeks to advance in the wider world: democracy, the rule of law, the universality and indivisibility of human rights and fundamental freedoms, respect for human dignity, the principles of equality and solidarity, and respect for the principles of the United Nations Charter and international law"*

capacity of the EU to respond across the full range of its foreign policy instruments, including the regulatory ones (especially sanctions).

- ***Increase EU position as a peace maker on the international scene***
⇒ FPI specific objectives No 1.1, 1.2, 1.3, 1.4 and 1.5

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

Apart from EU short-term reactions to emerging crisis, FPI works on a long-term basis through diplomatic negotiations (CFSP), sanctions, or promoting strategies to limit the use of weapons at international level. FPI reinforces also the resilience capacity of third countries facing regular crises (IcSP).

EU added-value: the EU plays an important role coordinating different actors involved in this area, it allows Member States (MS) to be part of the process even when bilateral relations between a MS and a third country is sensitive.

Risks and external factors: building peace is a very long-term process, where a lot of stakeholders and external factors interfere. The contribution of the EU action in this area can be difficult to separate from the actions done by the international community as a whole.

- ***Increase EU capacity and position as a reference on challenges of global concern***
⇒ FPI specific objectives No 1.6 and 1.7

As a global actor, the EU should have the capacity to give an impetus on tackling challenges of global concern starting a negotiation at international level or bringing these challenges to the attention of the world community, and working on solutions through international coordination and consensus. Tackling these challenges, the EU also exports its values abroad (democracy, gender, minorities, biodiversity, etc.). FPI provides the necessary tools (Partnership Instrument) to reinforce the EU on its global actor position in tackling challenges of global concern in complementarity with the DCI thematic programme "Global Public Goods and Challenges".

EU added-value: challenges of global concerns (world's public goods, climate change, etc.) are easier to resolve when a consensus already exists within the European Union which then allows push forward possible solutions of global challenges.

Risks and external factors: instability or change in political relations with partner countries or regions; inability for partner countries and regions to fulfil its commitments in the context of international agreements in areas of global concern (e.g. COP 21).

- ***Strengthen EU positive image abroad***
⇒ FPI specific objective No 1.8

FPI works in reducing cultural, social and political misunderstanding between the EU and third countries/regions, mainly through outreach and targeted communication. FPI has

financed a specific study to establish a base line in this area "*the perception of the EU and EU's policies*"³.

EU added-value: EU public diplomacy complements actions done at MS level.

Risks and external factors: negative perception of the EU during polls due to conjuncture.

- **Increase EU capacity in accessing new economic markets**
⇒ FPI specific objective No 1.9

In this area, FPI works at two levels through the Partnership Instrument:

- a macro level, supporting the negotiation and/or implementations of Free Trade Agreements (together with TRADE), or reducing standards and norms gaps between the EU and a third country or an economic region;
- a micro level enhancing the penetration of new economic markets by EU companies with dedicated support programmes.

Results indicators should show an increase in trade and investment flows between the EU and strategic partners during the Strategic Plan implementation period.

EU added-value: FTA negotiation is an exclusive EU competence. Supporting EU companies is often too costly for Member States especially in new emerging markets where a critical-mass in terms of number of companies interested is only reached at EU level.

Risks and external factors: economic crisis, growth slowdown.

As mentioned above, operations managed by FPI support the EU general objective 'A stronger global actor': nine FPI specific objectives contribute to the achievement of this general objective as detailed below. A set of indicators allows FPI to monitor the progress and verify if FPI is 'on track' to reach the expected results.

General objective 9: A stronger global actor		
Impact indicator: EU Collective Net Official Development Assistance (ODA) as a percentage of EU GNI: a) in total, b) to LDCs (Least Developed Countries)		
Source of the data: OECD Development Assistance Committee (DAC)		
Baseline (2014)	Interim Milestone) (2020)	Target (2030) Council Conclusions of 26 May 2015, in the framework of the 2030 Agenda for Sustainable Development
In total: 0.43% To LDCs: 0.11% Based on analysis of final 2014 ODA spending by EU Member States and non-imputed spending by the EU institutions as reported	In total: n/a To LDCs: 0.15%	In total: 0.70% To LDCs: 0.20%

³ Performed during the year 2014, the survey gives the perception of the EU and EU's policies in 10 partner countries (Brazil, Canada, China, India, Japan, Mexico, Russia, South Africa, South Korea and USA).

by the OECD DAC. Final data for two EU Member States was not available so earlier data was extrapolated.		
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ABB : 19.02 – Instrument contributing to Stability and Peace - Crisis response, conflict prevention, peace-building and crisis preparedness

Specific objective 1.1: In a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's external policies and actions		Related to spending programme Instrument contributing to Security and Peace (IcSP)
<p>Result indicator: 1.1.1. Percentage of projects adopted within 3 months of a crisis context (period from date of presentation to PSC). Measure swift mobilization of resources to implement projects for short-term crisis response and conflict prevention where other financial instruments are not available and/or where the IcSP needs to contribute to a comprehensive response. Source of data: FPI.2</p>		
Baseline 2011	Interim Milestone	Baseline 2020
	2017	
57%	65%	75%
<p>Planned evaluations: Final evaluation of the Instrument for Stability Crisis Response Component (2007-2013), mid-2016 Mid-term evaluation of Instrument contributing to Stability and Peace (IcSP), end-2016 Final evaluation of the IcSP (post-2020)</p>		

Specific objective 1.2: To contribute to the prevention of conflicts and to ensure capacity and preparedness to address pre- and post-crisis situations and build peace		Related to spending programme Instrument contributing to Security and Peace (IcSP)
<p>Result indicator: 1.2.1. Number of processes and entities with strengthened capacity of EU and beneficiaries attributable to IcSP funding to prevent conflicts, address pre and post conflict situations and to build peace. The indicator measures the strengthened capacity of EU and beneficiaries of EU assistance to prevent conflicts, address pre and post conflict situations and to build peace. Source of data: FPI.2</p>		
Baseline 2011	Interim Milestone	Baseline 2020
	2017	
952	1200	1500
<p>Planned evaluations: Final evaluation of the Instrument for Stability Crisis Response Component (2007-2013), mid-2016 Mid-term evaluation of Instrument contributing to Stability and Peace (IcSP), end-2016 Final evaluation of the IcSP (post-2020)</p>		

ABB: 19.03 - Common Foreign and Security Policy

Specific objective 1.3: Support to preservation of stability through substantial CSDP missions and EUSRs mandates Related to spending programme Common foreign and security policy (CFSP)

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

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

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

The indicator monitors the effectiveness of the ongoing civilian CSDP missions' deployment but also the level of cooperation between the HRVP's services (EEAS and FPI). The fulfilment of the objectives of the mission's mandate depends on the transfer of know-how which is linked to the rapid generation of civilian capabilities. Reaching the full operational capacity of CSDP missions depends on effective mobilization of human resources and logistics.

Source of data: CPCC quarterly update on staff

Baseline	Interim Milestone	Target
2012	(please introduce as many columns as the number of milestones)	2020
	2017	
84%	86%	90%

Planned evaluations: (title of the evaluation; year of completion; spending programme/policy covered).
Strategic reviews performed on regular basis by the Council.

Specific objective 1.4: Support the implementation and promotion of: Related to spending programme Common foreign and security policy (CFSP)

- 1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area (WMD);
- 2) strategy on combating illicit accumulation and trafficking of Small Arms and Light Weapons (SALW) as well as measures against illicit spread and trafficking of other conventional weapons;
- 3) EU's policies in the field of conventional arms exports, in particular on the basis of Common Position CFSP/944/2008.

Result indicator: 1.4.1. Number of countries having ratified the treaties mentioned in the baseline

Source of data: <http://www.ctbto.org/the-treaty/status-of-signature-and-ratification/>
UN Resolution 1540 website: <http://www.un.org/en/sc/1540/>

Baseline	Interim Milestone	Target
2012	2017	2020
1) Comprehensive Nuclear-Test-Ban Treaty Organization, CTBTO: number of countries having ratified 159	165	166
2) UN Resolution 1540: number of countries having submitted the National Implementation Plan	175	192
3) Nuclear security assistance provided to 100 countries by IAEA	120	120 (focusing on countries for EU interest)
4) Arms Trade Treaty adopted in April 2013 Signed: 110	Entry into force of the Treaty (ratified by 100 States Parties).	Ratified by 130 countries.

Planned evaluations: (title of the evaluation; year of completion; spending programme/policy covered).

ABB: 19.04 - Election Observation Missions (EU EOMs)

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

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

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

Source of data: FPI.5

Baseline	Interim Milestone	Target
Average 2010-2013	2017	2020
17	23	25

Planned evaluations:

Mid-Term evaluation under the heading of the EIDHR as part of the Mid-Term Review, 2017
Evaluation of the impact of EU EOMs, 2017

ABB: 19.05 - Cooperation with third countries under the Partnership Instrument (PI)

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

Related to spending programme Partnership Instrument (PI)

Result indicator: 1.6.1. Operating Emissions Trading Schemes for greenhouse gas mitigation (ETS) outside the EU/EEA (at city, regional, country or multi-country level)

Source of data <https://icapcarbonaction.com/component/attach/?task=download&id=152>

Baseline	Interim Milestone		Target
06/02/2015	2016	2018	2020
17	20	22	26

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

Source of data: <http://energyatlas.iea.org/?subject=-1076250891>

Baseline	Interim Milestone		Target
2012, extracted on 06/02/2015	2016	2018	2020
Brazil: 46% Canada: 11% China: 12% India: 36% Japan: 66% Republic of Korea: 5% Mexico: 8% Russian Federation: 1% USA: 7%	Increase in share %	Increase in share %	Increase in share by at least 10% in each strategic partner

Result indicator: 1.6.3. CO2 emissions from fuel combustion in the 9 strategic partners

Source of data: <http://energyatlas.iea.org/?subject=-1076250891>

Baseline	Interim Milestone		Target
(2012, extracted on 06/02/2015)	2016	2018	2020
20,113 Mt CO ₂	Reduction by 3%	Reduction by 4%	Reduction by 6%

Result indicator: 1.6.4. Number of local and regional authorities signing the Covenant of Mayors

Source of data: http://www.covenantofmayors.eu/index_en.html			
Baseline	Interim Milestone		Target
	06/02/2015	2016	
6,279	7,000	8,100	4,000 new cities in at least 30 countries have joined the cooperation in the field of sustainable energy (Global Covenant)
Planned evaluations: Mid-term evaluation of the Partnership Instrument (PI), 2017 Final evaluation of the Partnership Instrument (PI), post-2020			

Specific objective 1.7: Partner countries take up measures and actions towards the implementation of the international dimension of the EU 2020 strategy			Related to spending programme Partnership Instrument (PI)
Result indicator: 1.7.1. Number of cities that have signed new bilateral or multilateral agreements on sustainable urban development Source of data: PI monitoring reports			
Baseline	Interim Milestone		Target
	2014	2016	
0	6	47	At least 84 cities in at least 7 strategic partners
Result indicator: 1.7.2. Number of regions that have signed new bilateral or multilateral agreements on innovation Source of data: PI monitoring reports			
Baseline	Interim Milestone ⁴		Target
	2014	2016	
0	0	11	At least 18 regions/provinces worldwide
Result indicator: 1.7.3. Number of international agreements on Migration and Mobility signed with the strategic partners Source of data: https://myintracomm.ec.europa.eu/dg/home/policy/legal/Pages/International-agreements.aspx			
Baseline	Interim Milestone		Target
	06/02/2015	2016	
15	15	17	20
Result indicator: 1.7.4. Average worldwide level of implementation of international safety standards in civil aviation Source of data: http://www.icao.int/safety/Documents/ICAO_2014%20Safety%20Report_final_02042014_web.pdf			
Baseline	Interim Milestone		Target
	2014	2016	
61%	61%	63%	Increase by at least 5%
Planned evaluations: Mid-term evaluation of the Partnership Instrument (PI), 2017 Final evaluation of the Partnership Instrument (PI), post-2020			

Specific objective 1.8: Understanding and visibility of the Union and its role on the world scene is enhanced and widened			Related to spending programme Partnership Instrument (PI)
Result indicator: 1.8.1. EU visibility Source of data: opinion poll (in 10 Strategic Partner Countries (Brazil, Canada, China, India, Japan, Mexico, Russia, South Africa, Republic of Korea, and USA) launched by FPI.4			

⁴ The column should be deleted if only short-and medium term (less than 3 years) targets are set.

Baseline	Interim Milestone	Target
2014	2017	2020
Brazil – Visible 93%, Not 7% Canada – Visible 87%, Not 13% China – Visible 95%, Not 5% India – Visible 93%, Not 7% Japan – Visible 76%, Not 24% Mexico – Visible 97%, Not 3% Russia – Visible 93%, Not 7% South Africa – Visible 85%, Not 15% Republic of Korea – Visible 92%, Not 8% USA – Visible 88%, Not 12%	Maintain high visibility in SPC where EU highly visible and improve in PSC where less visible.	Maintain high visibility in SPC where EU highly visible and improve in PSC where less visible.
Planned evaluations: Mid-term evaluation of the Partnership Instrument (PI), 2017 Final evaluation of the Partnership Instrument (PI), post-2020		

Specific objective 1.9: Improved fulfilment of EU's economic interests (trade, investment and business)		Related to spending programme Partnership Instrument	
Result indicator: 1.9.1. EU share in foreign trade in goods and services of 9 strategic partners EU share in Brazil, Mexico, US, Canada, Russian Federation, India, China, Japan and Republic of Korea total foreign trade in goods and services (imports + exports) (N.B.: these figures don't measure these countries' share in EU foreign trade) Source of data: COMEXT/IMF (http://ec.europa.eu/eurostat/web/international-trade/data/database) for trade in goods - first data published approximately in July of year n+1. WTO/EUROSTAT for trade in services – first WTO data published in April of year n+1, preliminary EUROSTAT data published approximately in June of year n+1 and complete EUROSTAT data published approximately in December of year n+1.			
Baseline	Interim Milestone		Target
(2008-2013, data for baseline extracted on 26 March 2015)	2016	2018	2020
2008: 19,6% 2009: 19,1% 2010: 17,8% 2011: 17,4% 2012: 17,1% 2013: 17,0%	Maintain share	Possible increase in share	Overall increase in share
Result indicator: 2.1b EU investments flows from/to 9 strategic partners 9 strategic partners: Brazil, Mexico, US, Canada, Russian Federation, India, China, Japan and Republic of Korea Source of data: EUROSTAT (http://ec.europa.eu/eurostat/statistics-explained/index.php/Foreign_direct_investment_statistics), preliminary data for selected countries published in June of			

year n+1; data with complete geographical breakdown are foreseen in December of year n+1.			
Baseline 2013, Data for baseline extracted on 13 February 2015	Interim Milestone		Target 2020
	2016	2018	
- Inward flows: 468 billion EUR - Outward flows: 324 billion EUR	Maintain FDI flows	Possible increase in FDI flows	Increase FDI flows in parallel with global economic growth
Planned evaluations: Mid-term evaluation of the Partnership Instrument (PI), 2017 Final evaluation of the Partnership Instrument (PI), post-2020			

Strategy per instrument

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

Specific objective 1.1: In a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's external policies and actions

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

The Instrument contributing to Stability and Peace (IcSP) for the period 2014-2020 builds on the previous Instrument for Stability (IfS) 2007-2013. It aims to address security and political challenges, to respond immediately to crisis situations in third countries world-wide, to build capacity for conflict prevention, peace-building and crisis preparedness and to address global and trans-regional threats with a security or stability dimension. Like for the IfS before it, the EEAS and EU delegations will be closely involved upstream in the identification and formulation of crisis response measures to be financed by the Instrument, as will DEVCO, NEAR and other Commission services. The process results in regular information notes reflecting political orientations and a project pipeline agreed with the EEAS and presented in the Political and Security Committee (PSC) for the information of Member States.

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

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

The core challenge for FPI for the next four years with regard to the financial implementation of the Instrument's "crisis response" and "conflict prevention" components (respectively Articles 3 and 4 of the Regulation) is to be able to react to international crises at short notice, while ensuring a coherent perspective in relation to longer term approaches by integrating conflict prevention and peace-building activities within the scope of its funding decisions. By its very nature, the IcSP is called upon to operate in hostile and war-affected environments, thus it remains a major challenge to constantly adapt planning and implementation to this highly volatile operational context.

It will remain essential to strengthen partnerships with the EEAS and the Commission services with regard to the design of crisis response actions and the planning of conflict prevention, peace-building and crisis preparedness projects. This task will require an even closer coordination with the EEAS, DEVCO, NEAR, ECHO and the EU Delegations with regard to crisis preparedness, conflict prevention and peace-building as well as the identifying the relevant entry points in relation to measures to address global and trans-regional threats and emerging threats (Article 5 of IcSP Regulation, for which DEVCO leads). In accordance with the EEAS' leading role in the programming of these components, FPI will liaise closely with the EEAS in order to fully reflect relevant thematic priorities and policies and take forward the work on identifying appropriate measures.

Enhanced efforts will be needed to maintain a strong political relationship with the European Parliament. It is essential that FPI maintains its current close cooperation with the Foreign Affairs Committee, maintaining regular exchanges on issues of mutual concern with key AFET interlocutors in order to ensure the continuity of political support for the IcSP, in particular for conflict prevention and peace-building actions.

Regulatory Instruments

FPI is also the Commission's lead service for restrictive measures (sanctions) and other foreign policy regulatory instruments such as the Kimberley Process Certification Scheme (KPCS) on conflict diamonds and the so-called 'Anti-Torture' Regulation concerning trade in certain goods which could be used for torture or capital punishment (Regulation 1236/2005). All three regulatory instruments are foreign policy regulatory instruments imposing certain trade restrictions in order to achieve EU CFSP and human rights policy objectives. They have no "operational" budgets to them (no spending programmes). As regards EU sanctions policy, FPI's role is determined by the Treaties, in particular Article 215 TFEU which states that the Commission makes a "joint proposal" with the High Representative for a Regulation on restrictive measures. As for the 'Kimberley Process' and 'Anti-Torture' Regulations, both based on Article 207 TFEU (common commercial policy), FPI is responsible for representing the EU in Kimberley Process plenary and other meetings and monitoring of implementation by the Member States.

Over the past years EU sanctions policy has moved up considerably on the political agenda, notably the restrictive measures against Russia or Iran but also those that serve to combat financing of ISIL/Da'esh or Al Qaida and other terrorist organisations. FPI has increasingly been called upon to prepare novel sanctions' legislation and provide guidance to Member States and economic operators on implementation challenges with wider implications. The Kimberley Process remains an effective tool for conflict prevention in e.g. the Central African Republic and West-Africa, and FPI holds the Chairmanship of the scheme's most important working body, the Working Group on Monitoring, which implies preparing and chairing multilateral meetings of up to 300 delegates including Ministers from KPCS member countries. Moreover, the 'Anti-Torture Regulation' already has contributed directly to delays in death penalty executions in certain USA states and attracts the attention of many Members of European Parliament across the political spectrum.

FPI needs to continue addressing the challenge of preparing legislation and ensuring effective implementation in a rapidly changing environment where in particular sanctions but also the Kimberley Process and the 'Anti-Torture' Regulation play a significant role in achieving EU CFSP and human rights policy objectives or providing for a political response to certain crises.

2. ABB: 19.03 - Common Foreign and Security Policy

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

Specific objective 1.4: Support the implementation and promotion of:

- 1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area (WMD);
- 2) strategy on combating illicit accumulation and trafficking of Small Arms and Light Weapons (SALW) as well as measures against illicit spread and trafficking of other conventional weapons;
- 3) EU's policies in the field of conventional arms exports, in particular on the basis of Common Position CFSP/944/2008.

As the Commission's service responsible for managing the budget of the Common Foreign and Security Policy (CFSP), the main challenge is to ensure sound financial management in accordance with the Financial Regulation of a budget subject to specific provisions under the Treaty of European Union (chapter 2) where operations are decided by the Council through ad hoc Decisions with a short duration (between 12 and 24 months).

For that purpose, FPI works in close cooperation with the EEAS and represents the Commission in the Foreign Relations Counsellors Working Group (RELEX Counsellors) and in the Committee for the Civilian aspects of Crisis Management (CIVCOM) to ensure that the budgetary and financial aspects of CFSP operations are in line with the Treaties and the Financial Regulation. These operations cover CSDP Civilian Crisis Management Operations, EU Special Representatives (EUSRs), and projects in the area of non-proliferation and disarmament (NPD).

The general challenge for the next four years is to ensure that the EU continues to provide support for the preservation of stability in Kosovo, Afghanistan, the Middle East, South Caucasus and Africa through substantial civilian CSDP missions, while continuing the implementation of recently deployed operations in Ukraine and Africa and the management of preparatory measures in view of deploying new CSDP missions.

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

CSDP missions represent around 85% of CFSP budget. FPI supports the implementation of these operations also by means of framework contracts for the procurement of essential equipment and services. In addition, FPI also supports CSDP missions through a dedicated warehouse. A contract with a warehouse operator to maintain a stock of essential equipment, ready to be shipped at short notice to new CSDP missions is in place since 2013. Discussions are ongoing on the set up as of 2017 of a larger warehouse, essentially a logistical platform that shall serve all CSDP missions, both existing and new ones. Setting up the logistical platform will generate economies of scale in terms of procurement and logistical services (e.g. IT, fleet management, etc.) and improve the overall efficiency of the operational support system for CSDP missions. Discussions on the establishment of a mission support platform (MSP) with staff from FPI and CPCC have come to a conclusion in December

2015 and the envisaged approach will be proposed for endorsement to PSC early in 2016. The MSP will provide centralized administrative services to CSDP missions, leading to economies of scale, and reducing the replication of the same functions in all missions. The MSP will start operating in 2016. In all these cases, close cooperation with the civilian crisis management structures in the European External Action Service (notably CPCC) is always necessary.

Improvement of the financial management of missions/operations: there has been important EEAS-COMM joint work on the improvement of the legal and financial management aspects of civilian CSDP missions. While some progress has already been achieved (legal capacity of the missions, with some of them now subject to ex post rather than ex ante financial controls by the Commission; early access to the budget through the new crisis management procedures), various aspects on financial efficiency have been identified, where there are still issues to be tackled, resulting in specific and ongoing work strands. The inter-institutional discussion on the need to identify additional flexibility within the financial and procurement rules for CFSP has been ongoing in the past few years. In this regard, the adaptation of the crisis notion to the civilian missions has allowed in most cases significant simplification and acceleration of procurement procedures, but further work could still be done in this sense, for example by setting up additional framework contracts. The recent change in the Financial Regulation (enter into force 01/01/2016) is helpful in that sense that it allows the participation of the CFSP missions in the inter-institutional procurement procedures. When possible to be set-up, framework contracts allow for cost-effectiveness, flexibility, and speed.

A particular challenge concerns the staff rules applicable to the CSDP missions and EUSRs, a problem highlighted in the June 2012 Communication by the Commission. Completion of this task, which according to the Commission should result in the application of CEOS to international contracted staff, requires the agreement of the Council (agreement on the proposed solution has been reached with the EEAS).

Concerning EUSRs, a recent proposal by HR/VP to phase out the double-hatted EUSRs in Afghanistan, Bosnia and Kosovo as of early 2017 is being discussed with the Council.

Specific objective 1.4: Support the implementation and promotion of projects in the area of non-proliferation and disarmament (NPD)

As regards disarmament, non-proliferation and arms export control, activities in these areas also continue to be of fundamental importance to both European and global security, being linked with the foreign and security priorities of the EU in the neighbourhood, the Middle East, Africa and beyond.

Close co-operation with EEAS is central to FPI's strategy to support the implementation and promotion of strategies and policies in these areas.

FPI supports EEAS, both during project preparation and implementation, through the provision of expert advice on the technical and financial management of projects at the monthly meetings. FPI also supports the monitoring of projects through attendance at Steering Committee meetings and EU-International Atomic Energy Agency (IAEA) Senior Officials Meetings as well as providing financial oversight to promote application of the principle of sound financial management and the legality and regularity of expenditure.

Projects support key international organisations such as the IAEA, the Organisation for the Prohibition of Chemical Weapons and United Nations Office for Disarmament Affairs as well as the universalisation and effective implementation of international instruments (Comprehensive Nuclear-

Test-Ban Treaty, UN Resolution 1540, Arms Trade Treaty, Biological and Toxin Weapons Convention, Chemical Weapons Convention, etc.).

In order to support rapid intervention by the EU when necessary (for instance in the past in respect of the destruction of chemical weapons in Syria) FPI participates in the relevant processes from the outset so that policy and financial aspects of projects are prepared in parallel, thus promoting the consistency and coherence of interventions.

4. ABB: 19.04 - Election Observation Missions (EU EOMs)

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

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

The overall objective of EOMs is to strengthen democratic institutions, build public confidence in electoral processes and help deter fraud, intimidation and violence.

The main challenges they face are:

- (a) the security situation in the countries in which EOMs are deployed since the EC has the duty of care of all staff participating in them;
- (b) the inherent volatility of national electoral calendars which creates uncertainties in the logistical and financial management of these missions.

EOMs can take different formats:

- Fully-fledged EOMs
- Election Assistance Team (EATs)
- Election Expert Mission (EEMs)
- Election Follow-up Missions (EFMs)

EOMs constitute an example of inter-institutional cooperation between the European Commission, the European External Action Service (EEAS) and the European Parliament. The EEAS is responsible for all programming and political aspects, whereas FPI is in charge of the operational, logistical and security-related aspects of the election observation. EOMs are led by a Chief Observer, (Member of the European Parliament, MEP). Furthermore, a Delegation of the European Parliament composed of MEPs is deployed to the partner country to observe the Election Day and is fully embedded in the EOM. The European Parliament is consulted on the yearly list of priority countries for election observation. The Member States also play a crucial role as they are, via their respective Focal Points for election observation, responsible for the pre-selection of the EU Observers. Furthermore, the Member States are also consulted on the establishment of the yearly priority list for election observation.

The bulk of the expenditure under EOMs is related to the operational aspects of mission deployment, such as transportation, logistics and security, provision of office space and accommodation, communication, equipment and administrative support.

While sustaining the credibility of the instrument, FPI is systematically analysing all budget items (starting from a thorough analysis during the exploratory mission in which the forthcoming EOMs is shaped) in order to identify possible cost reductions. The continued effective and efficient management of FPI operations will therefore remain the overarching objective, with the emphasis on aiming for consistent high security and logistical standards even in the most difficult circumstances.

Election missions can take different formats: Fully-Fledged EOMs include the deployment of a full Core Team of experts, Long and Short Term observers to undertake a comprehensive long-term observation. Each particular EOMs operates in the entire area of the beneficiary country subject to limits imposed by security concerns or specific government regulations.

In a limited number of cases, primarily due to security reasons, the decision may be not to deploy a fully-fledged Election Observation Mission but to deploy a smaller Election Assessment Team (EAT) mission with no or reduced visibility. When other, smaller, types of electoral assessment are required it may be decided to send an Election Experts Mission (EEMs) composed of a small number of electoral experts (2 to 3) without observers.

The final decision to deploy an EU EOM, or alternatively an EAT or EEM, and the specifications of such a mission, are based on the information gathered and proposal made by an Exploratory Mission (ExM) sent by the EU to the country concerned. The deployment of any of these types of missions is, beyond security, also dependent on the political conditions prevailing on the ground.

One of the outcomes of EOMs, EATs and EEMs is a set of recommendations to the authorities of the country, on how to improve the conduct of future elections. In general two-three years after election date, Election Follow-up Missions (EfM) may be organized, to take stock of the way these recommendations have been dealt with, to facilitate the political dialogue with the country on democracy and human rights, and to help donors, in the context of the Paris Declaration, to better coordinate their assistance interventions in supporting these improvements. However, the implementation of the recommendations depends on the willingness of the authorities and electoral stakeholders. Election Follow-up Missions are headed by the Chief Observer of the preceding EOMs in country accompanied by experts and a staff member of the EEAS. They therefore increase the visibility given to the electoral reform process in country.

EOMs are implemented in direct management through framework contracts with re-opening of competition for each specific contract: this allows responding to the specific operational challenges in terms of speed of deployment, flexibility in the size and scope, and cost-effectiveness. A new framework contract (FWC) is been processed in 2016 with two lots: one for the fully-fledged missions and one for the other smaller missions.

5. ABB: 19.05 - Cooperation with third countries under the Partnership Instrument (PI)

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

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

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

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

In order to succeed in the implementation of the Partnership Instrument, FPI faces both operational and policy challenges: on one hand, FPI will have to ensure that following the adoption of annual

action plans (AAPs) the actions are timely and soundly implemented; on the other hand, FPI needs to steer an extremely complex annual planning exercise involving both the EEAS (Headquarter and Delegations) and the concerned Commission DGs in view of the timely adoption of future AAPs.

Operational challenges:

- to ensure optimum use of scarce resources at headquarters and in Delegations;
- to consolidate the de-concentration process (including an appropriate financial circuit) to priority delegations: USA, Mexico, Brazil, Canada, Russia, China, India, Japan and Korea. A further de-concentration process will follow towards regional teams based in a number of Delegations;
- to phase out ICI funded programmes in an orderly fashion.

Policy challenges:

- to ensure that PI actions address core EU interests towards the EU's strategic partners and countries where development assistance is no longer available and demonstrate true added value at political level. The actions proposed under the AAPs should be consistent with the objectives and thematic priorities defined in the Regulation and mirror the indicative financial allocations laid down in the MIP for the period 2014-2020. At the same time, given the political dimension of this instrument, the planning exercise should adapt to the political orientations of the HR/VP.
- to deliver clear impact and deliver visible policy results, by ensuring focus and avoiding excessive fragmentation. This will require strict prioritisation of areas of intervention and seamless coordination with other policy areas of the EU external action contributing to enhance policy coherence across EU instruments and programmes.
- to maximise impact and avoid fragmentation striking a healthy balance between an appropriate level of flexibility to adapt to evolving policy needs and the predictability needed for sound management.
- to foster synergies and strict complementarity with other EU external action instruments (especially the DCI Global Public Goods and Challenges) and internal instruments with an external window (i.e.: COSME, Erasmus + and the Asylum and Migration Fund) would be essential to make optimal use of Partnership Instrument resources.

All in all, the challenge will remain to identify and prioritise those areas where support is most needed to influence the partner countries/regions' agenda positively, to make political dialogue progress, to align positions where divergence of views or interests prevails or to simply help produce tangible changes.

In order to address these challenges, close cooperation with the EEAS geographic and thematic departments, Commission DGs (i.e. CLIMA, ENV, HOME, ENER, GROW, TRADE) and EU Delegations is essential. To this end, FPI has devised internal coordination mechanisms under an informal implementation group bringing together all of these actors. In practical terms, FPI will steer the work of this Group that is tasked with translating programming priorities into successive action plans that are consistent with the instrument's programming principles, aims and targets by:

- providing expertise on the relevant subject area for the design and implementation of the projects;
- recommending operational options and/or approaches to tackle specific policy priorities identified in the MIP;
- Identifying appropriate links between PI projects and programmes with the "Europe 2020" strategy;
- identifying projects/programmes;

- ensuring regular flow of information on the implementation of the major projects/programmes including results attained and impact as well as ensuring appropriate and coordinated reporting at various levels.

6. ABB: 19.06 - Information outreach on the Union's external relations

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

- Press and Outreach activities in EU Delegations: The communication activities of EU Delegations focus mainly on building and maintaining contacts with the media, responding to public enquiries, organising events (often of cultural nature), publishing newsletters, producing information and communication materials and promoting cultural diplomacy activities.

- Information and Communication outreach activities in EEAS Headquarters: they serve to reach out to audiences, predominantly the media, in the EU and to support the work of the Delegations in implementing EU's External Action policies. These activities may comprise the following: design, modernisation and maintenance of websites and social media platforms (including EU delegations websites); production of Summit information kits; production of audio-visual material, such as videos, web-documentaries info-clips etc.; organisation of press visits and press events; organisation of conferences, exhibitions and public outreach events; production of publications and general communication material.

FPI remains responsible for the Annual Work Programme (financing decision) for this activity. Likewise it remains responsible for the overall control of the activity, in line with the implementation responsibilities delegated by the Commission to the Director of the Service.

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

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

D. Key performance indicators (KPIs)

As part of our firm commitment to pursue our mission, we have identified the following five key indicators:

1. CFSP: Planned vs. actual capacity deployment rate (international staff) of the main CSDP missions
2. IcSP: Percentage of IcSP crisis response measures adopted within 3 months of a crisis context (date of presentation to PSC)
3. EOMs: Number of electoral processes and democratic cycles supported, observed, and

followed

4. PI: Progress made by key partner countries in the fight against climate change or in promoting the environmental standards of the Union
5. Residual Error Rate

The first four indicators will measure the most critical aspects in terms of operational and financial implementation performance. In addition, the Residual Error Rate (RER) is a standard key performance indicator with the objective to remain below the 2% threshold for each ABB activity and globally.

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 (mandatory – data to be provided by DG HR): Percentage of female representation in middle management

Source of data:

Baseline (2015)	Target (2019)
20%	40%

Indicator 2 (mandatory – data to be provided by DG HR): Percentage of staff who feel that the Commission cares about their well-being⁵

Source of data: Commission staff survey

Baseline (2014)	Target (2020)
64	Increase on baseline

Indicator 3 (mandatory – data to be provided by DG HR): Staff engagement index

Source of data: Commission staff survey

Baseline (2014)	Target (2020)
59	Increase on baseline

Human resources strategy

To date (Budget 2016), FPI has a total of 126 staff in Brussels Headquarters with an allocation of 79 officials (approximately split 50/50 between ADs and ASTs) and 47 external staff. The majority of FPI resources are allocated to crisis response, sanctions and financial controls which correspond to the key political priorities and biggest financial envelopes, in particular as regards the Common and Foreign Security Policy, the IcSP, and the regulatory instruments. Another important part of the resources are dedicated to the new Partnership Instrument and to EOMs under the human rights instrument (EIDHR). Both areas have a high political visibility for the EU and need to be correctly staffed in order to lead to positive results. In spite of that limited staffing, FPI is responsible for the implementation and the sound financial management of a budget of EUR 756 million in 2016, which is set to progressively increase to EUR 861 million in 2020. There is therefore no room for negative priorities.

In addition, FPI has also 66 agents in delegations allocated for the delegations in 2016 (FTE): 30 for crisis response (IcSP) and 36 for the Partnership Instrument (the PI is still in the building-up phase with 16 new contract agent posts to be recruited: 14 in 2015 and 2 in 2016) financed under the administrative support expenditure of the respective programmes (Ex-BA lines). Finally, 4 agents are in delegations financed under Heading 5 are under discussion following DG Budget request to cut that source of financing. FPI is currently opposing such reduction because the posts have been accounted for in its deployment plan in delegations. Even with this reinforcement, FPI will not be in a

⁵ This indicator may be replaced by a fit@work index on which DG HR is currently working.

position to be adequately represented in all EU delegations concerned. The fragility of the current financial circuits for the PI (where FPI has to rely on staff from other DGs) is a risk which needs to be properly solved. The implementation of IcSP projects mainly through DEVCO and NEAR staff in the Delegations is also not ideal as IcSP projects have a different dynamic in terms of political visibility and speed of implementation linked to the specificity of the instrument. We are therefore looking into the possibility of a more regionalised approach in the future with possible synergies in certain delegations of responsibilities for the IcSP and the PI (5 Delegations are envisaged which would cover Latin America, Africa and Asia). Setting-up a regional approach with proper autonomous FPI sections will allow having a geographical outreach while ensuring sound financial circuits. In this context, a limited reinforcement of human resources in terms of establishment posts will be necessary.

FPI has very little overheads as some horizontal and administrative tasks are taken care of by DG DEVCO in the framework of an SLA for which DEVCO had received adequate resources when the FPI was created in 2011 (DEVCO was allocated 12 posts at HQ to serve FPI on administrative support). However the bulk remains under FPI staff for which resources have not been foreseen: access to documents, inter-service consultations, Agenda Planning, European Ombudsman cases, OLAF cases, reporting, budget, preparation of SPP documents (MP, AAR, SP), EP questions (see annex 2).

Because of the specificities of its instruments mainly related to crisis response, FPI staff needs to build up a specialised expertise. In this context, FPI has invested both in terms of recruitment and in terms of internal training, to adapt its workforce to these requirements. One important objective is to make sure that the acquired experience remains at the disposal of the service by offering as much as possible internal mobility or promotions. FPI tries wherever possible to push that strategy forward.

Like other services, FPI has to face staff cuts and manage the constraints relating to staff movements (retirements, reinstatements, rotation, but also equal opportunities, mobility on sensitive posts, etc.) while ensuring career progression and opportunities for its staff. Again, the limited allocation of officials makes it very difficult to meet these objectives whilst ensuring that all the necessary profiles and skills remain available in sufficient numbers in order to keep the level of workload within the limits acceptable in terms of staff well-being. We are also trying to take advantage of the small size of the service by providing more individual responsibilities and a more direct access to management. This approach is appreciated by FPI staff and likely to continue during the next five years.

An overview of the main FPI activities and volumes linked to organisational management can be found in annex 2 (FPI scoreboard).

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: Annual Activity Report; covers all operational expenditure

Baseline (all ABBs)	Target (all ABBs)
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2014: 0.73%	Below 2%
Indicator 2 (mandatory): Estimated overall amount at risk for the year for the entire budget under the DGs responsibility.	
Source of data: Annual Activity Report	
Baseline	Target
2014: €7.2 million	None
Indicator 3 (mandatory): Estimated future corrections	
Source of data: Annual Activity Report	
Baseline	Target
2014: €1.3 million	None

Objective 2 (mandatory): Effective and reliable internal control system in line with <u>sound financial management</u>.	
Indicator 1 (mandatory): conclusion reached on cost effectiveness of controls	
Source of data: Annual Activity Report	
Baseline (2014)	Target
Yes	Yes

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 FPI, elaborated on the basis of the methodology provided by OLAF		
Source of data:		
Baseline	Interim Milestone	Target
2014	2016	Update every 2 years, as set out in the AFS

The aim of the **Internal Control function** is to guarantee compliance with the three assessment criteria for effectiveness; i.e. (a) staff having the required knowledge and skills, (b) systems and procedures designed and implemented to manage the key risks effectively, and (c) no instances of ineffective controls that have exposed the DG to its key risks.

The functioning of the internal control system in FPI is assessed each year via a benchmarking against the Commission's internal control standards (ICS). Information sources taken in account for this assessment are the recent audit reports, the follow-up of open recommendations, the risk management exercise, the reporting of exception and non-compliance reports and other specific actions carried out in the Service. The ICAT (Internal Control Assessment Tool) is also used and feedback is requested from a random selection of staff through a questionnaire.

The internal control strategy aims at detecting and correcting errors in the implementation of the operational expenditure. FPI developed an anti-fraud strategy, as foreseen in the Commission's overall anti-fraud strategy, with two main objectives: raise awareness amongst the staff on the fight against fraud and ethics, and improve the internal procedures for fraud prevention and detection purpose. An overall update of the strategy is foreseen every two years.

C. 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 filed⁶ (ratio)		
Source of data: <i>Hermes-Ares-Nomcom (HAN)⁷ statistics</i>		
Baseline 2014		Target
15.02%		0%
Indicator 2 (mandatory - data to be provided by DG DIGIT): Number of HAN files readable/accessible by all units in the DG		
Source of data: <i>HAN statistics</i>		
Baseline 2014		Target
92.10%		95%
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 2014		Target
23.77%		40%

Overall, the measures are in place to ensure that documents are searchable, retrievable and as widely available as possible. All documents registered in FPI as well as incoming documents are filed in ARES. Procedures are in place to follow up on the correct and timely attribution and filing.

FPI information management promotes maximum transparency and information sharing. At the same time it aims to avoid duplication through storing information, documents and data in one place only according to purpose and destination.

Internal communication aims to enhance staff commitment to Commission's political priorities and to FPI mission. Staff involvement and motivation are preconditions for active, responsible, creative and effective approach to tasks. FPI managers at all levels play an important role especially in sharing information, listening to feedback and acting transparently. FPI internal communication also focuses on bottom-up approach. FPI staff is encouraged to make proposals, to use available internal communication tools and to take part in communication activities voluntarily as their workload allows.

FPI internal communication:

- promotes interactive communication between staff and management to enhance trust and mutual understanding;
- facilitates communication and cooperation among its units;
- keeps staff abreast of the challenges facing the Commission, in particular where these are relevant for their job;
- maintains staff up to date on FPI mission and tasks;
- ensures that staff receive adequate information thus linking internal and external communication.

Good communication with other Commission departments, EU institutions and bodies helps to ensure that they are familiar with FPI's role and services.

⁶ 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.

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

D. External communication activities

Objective (mandatory): Citizens perceive that the EU is working to improve their lives and engage with the EU. They feel that their concerns are taken into consideration in European decision making and they know about their rights in the EU.

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

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 2015

Target: 2020

Total "Positive": 37%

Neutral: 38 %

Total "Negative": 23%

Positive image
of the EU \geq 50%

FPI's external communication will focus on demonstrating the value added of its funds and the way FPI contributes to the achievement of President Juncker's political priority no. 9, the EU as a stronger global actor.

Annexes to the Strategic Plan

Annex 1: list of acronyms

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

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

Annex 2: FPI scoreboard

	2013	2014	2015	2016	2017	2018	2019	2020
Operational budget - Heading IV								
FPI Operational Budget (Commitments, million)	720	713	736	756	792	815	838	861
Execution rate of commitments	97%	97%	93%					≥ 97%
Execution rate of payments	97%	98%	99%					≥ 98%
RAL (cumulated) in EUR million	770	862	907					≤ 700
Management cost (%) (management and support expenditures/FPI operational budget < 2%)	1,20	1,77	1,55	1,72	1,69	1,70	1,68	< 2%
Human resources								
FPI total staff (ETP)*	149	184*	189	196				
of which number of statutory staff	74	82	81	79				
of which number (and %) of external staff (HQ and Delegations) in total staff number	75 (50%)	102 (55%)	108 (57%)	117 (60%)				≤ 50%
of which number of external staff in Delegations	33	55*	61*	70*				
Female middle management	25%	20%	20%					40%
Staff per EUR 10 million managed ≥ 2.8 and ≤ 3.0 Total staff/(Budget/10)	2,07	2,58	2,57	2.59				≥ 2.8 and ≤ 3.0
Financial management: internal control and risks								
Residual error rate (RER) ≤ 2%	0,61%	0,73%						≤ 2%
Number of reservations in the Annual Activity Report = 0	0	1	1					0
Number of transactions/files verified ex ante (HQ) (commitments, payments, recoveries)	707	889	979					≥ 900
Number of ex post controls carried out	33	24	26					≥ 25
Effectiveness of Internal Control Standards	86%	81,20%	84,9%					≥ 80%
Legislative tasks								
Number of legislative procedures adopted (delegation and written)	118	97	139					

Coordination and inter-institutional relations								
Number of FPI participation in ISC (CDF/associated)	220	351	249					
Number of ISC launched by FPI	131	115	142					
Number of answers to MEP questions	168	107	138					
Number of access demands to documents handled	3	56	53					
Number of Ombudsman cases	5	4	2					0
Number of Court cases (ongoing)	0	0	1					0
Number of OLAF open investigations (of which new ones)	4 (1)	5 (3)	5 (1)					0
Number of preliminary findings (SPFs) sent by the Court of Auditors (DAS)	2	1	1					0
Number of preliminary findings (SPFs) sent by the Court of Auditors (Special Reports)	0	0	0					0

* As from 2014: Management of the new Partnership Instrument resulted some Human Resources in accordance with the Legislative Financial Statement of the PI's legislative proposal

DAS: Statement of Assurance

ETP: Equivalent Temps Plein

FPI: Service for Foreign Policy Instruments

HQ: Head Quarter

ISC: Inter Service Consultation

OLAF: office européen de lutte antifraude

RAL: Reste A Liquider

RER: Residual Error Rate

SPF: Statement of Preliminary Findings

Annex 3: FPI stakeholders map

