

Annexes 2015 FPI Annual Activity Report

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ANNEX 1: Statement of the Internal Control Coordinator

EN "I declare that in accordance with the Commission's communication on clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission¹, I have reported my advice and recommendations to the Head of Service on the overall state of internal control in the Service.

I hereby certify that the information provided in Section 2 of the present AAR and in its annexes is, to the best of my knowledge, accurate and exhaustive."

Date 31/03/2016

(signed)

Christian MEUNIER
Head of Unit FPI.1 and internal
control coordinator FPI

¹ Communication to the Commission: Clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission; SEC(2003)59 of 21.01.2003.

ANNEX 2: Human and financial resources

Human Resources by ABB activity				
Code ABB Activity	ABB Activity	Establishment Plan posts	External Personnel	Total
19.02	Instrument for Stability (IfS) – Crisis response and crisis prevention - HQ	22	10	33
	Instrument for Stability (IfS) – Crisis response and crisis prevention - DELEGATIONS		27	27
19.03	Common Foreign and Security Policy	17	12	29
19.04	Election Observation Missions	5	7	12
19.05	Cooperation with third countries under the Partnership Instrument (PI) - HQ	14	10	24
	Cooperation with third countries under the Partnership Instrument (PI) - DELEGATIONS		19	19
19.06	Information outreach on the European Union external relations	5	0	5
19.81	Administrative support	17	6	23
Total		80	91	171

General remark: the above data rely on the snapshot of Commission personnel actually employed in each DG/ service as of 31 December of the reporting year. These data do not necessarily constitute full-time-equivalents throughout the year.

Administrative expenditure:

	Appropriations	Commitment	Payment ¹	% EXECUTION
19.010211.00.01.10 – Missions	424,796	424,796	382,649	
19.010211.00.01.30 Frais de représentation	1,232	1,232	1,232	
19.010211.00.02.20 External meetings	7,565	7,565	1,778	
19.010211.00.02.40 Conferences, internal meetings	6,600	6,600	6,220	
19.010211.00.03 Committees	16,500	16,500	13,113	
19.010211.00.04 Consulation	4,999	4,999	4,999	
19.010211.00.06 Training	6,778	6,778	6,778	
	468,469	468,469	416,769	89%

¹The execution should be close to 100% as there are invoices to pay during N+1

ANNEX 3: Draft annual accounts and financial reports

Annex 3 Financial Reports - DG FPI - Financial Year 2015

Table 1 : Commitments

Table 2 : Payments

Table 3 : Commitments to be settled

Table 4 : Balance Sheet

Table 5 : Statement of Financial Performance

Table 6 : Average Payment Times

Table 7 : Income

Table 8 : Recovery of undue Payments

Table 9 : Ageing Balance of Recovery Orders

Table 10 : Waivers of Recovery Orders

Table 11 : Negotiated Procedures (excluding Building Contracts)

Table 12 : Summary of Procedures (excluding Building Contracts)

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2015 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 19 Foreign policy instruments					
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	12,01	11,93	99,35 %
	19 02	Instrument contributing to Stability and Peace - Crisis response, conflict prevention, peace-building and crisis preparedness	262,43	257,68	98,19 %
	19 03	Common Foreign and Security Policy (CFSP)	326,34	266,49	81,66 %
	19 04	Election observation missions (EU EOMs)	32,9	31,27	95,05 %
	19 05	Cooperation with third countries under the Partnership Instrument (PI)	98,78	98,37	99,59 %
	19 06	Information outreach on the Union's external relations	12,52	12,04	96,15 %
Total Title 19			744,98	677,78	90,98%
Total DG FPI			744,98	677,78	90,98 %

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

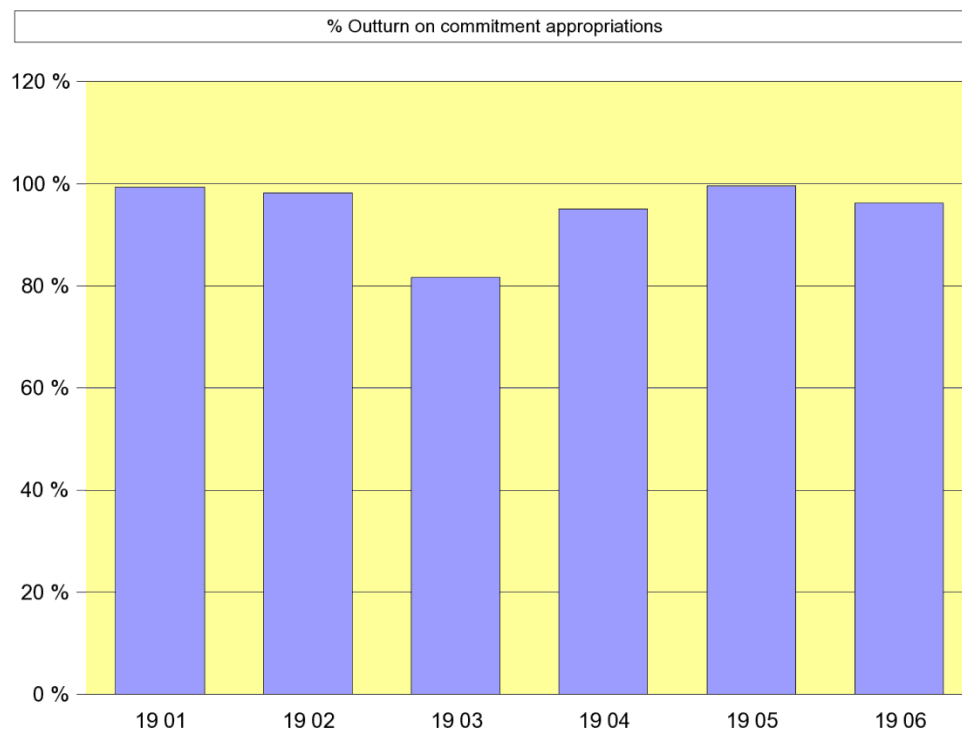


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2015 (in Mio €)

Chapter		Payment appropriations authorised *	Payments made	%	
		1	2	3=2/1	
Title 19 Foreign policy instruments					
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	15,23	11,61	76,24 %
	19 02	Instrument contributing to Stability and Peace - Crisis response, conflict prevention, peace-building and crisis preparedness	206,35	205,68	99,68 %
	19 03	Common Foreign and Security Policy (CFSP)	297,16	282,61	95,10 %
	19 04	Election observation missions (EU EOMs)	25,7	24,93	97,00 %
	19 05	Cooperation with third countries under the Partnership Instrument (PI)	26,91	25,6	95,15 %
	19 06	Information outreach on the Union's external relations	13,04	13,01	99,75 %
Total Title 19			584,38	563,43	96,42%
Total DG FPI			584,38	563,43	96,42 %

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

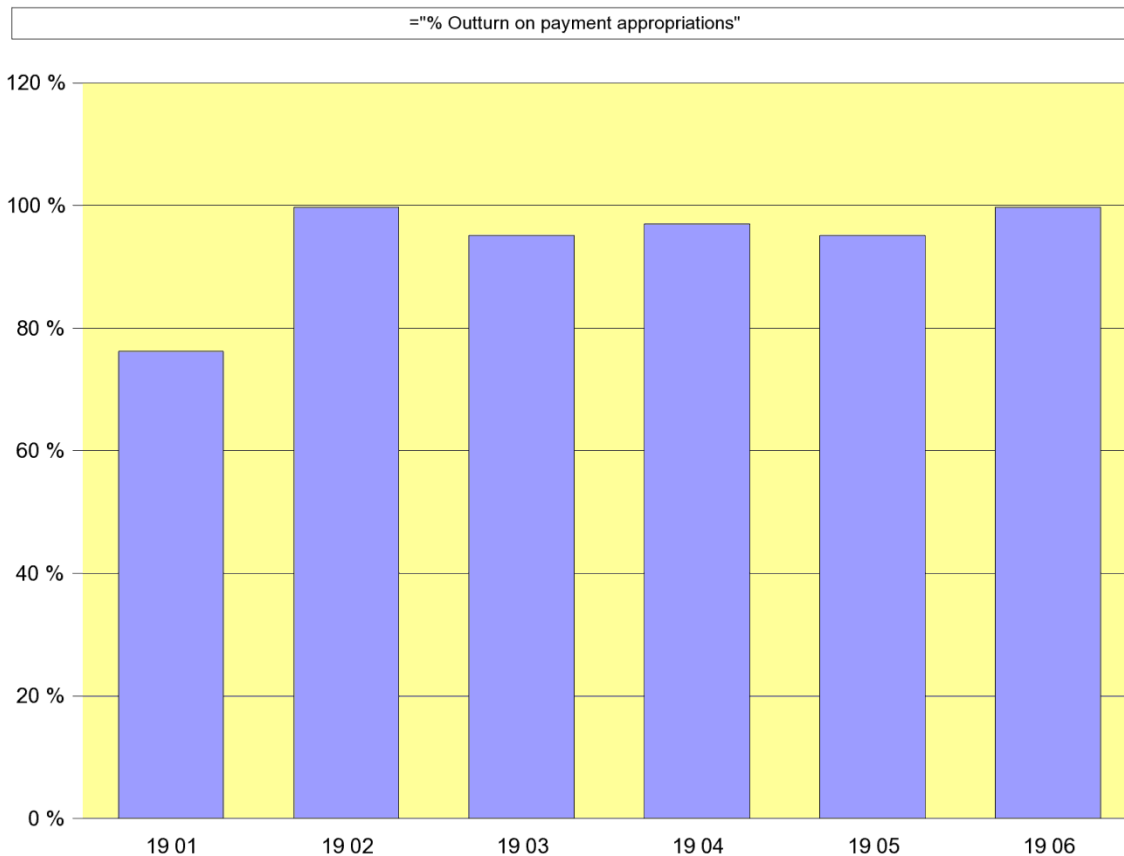


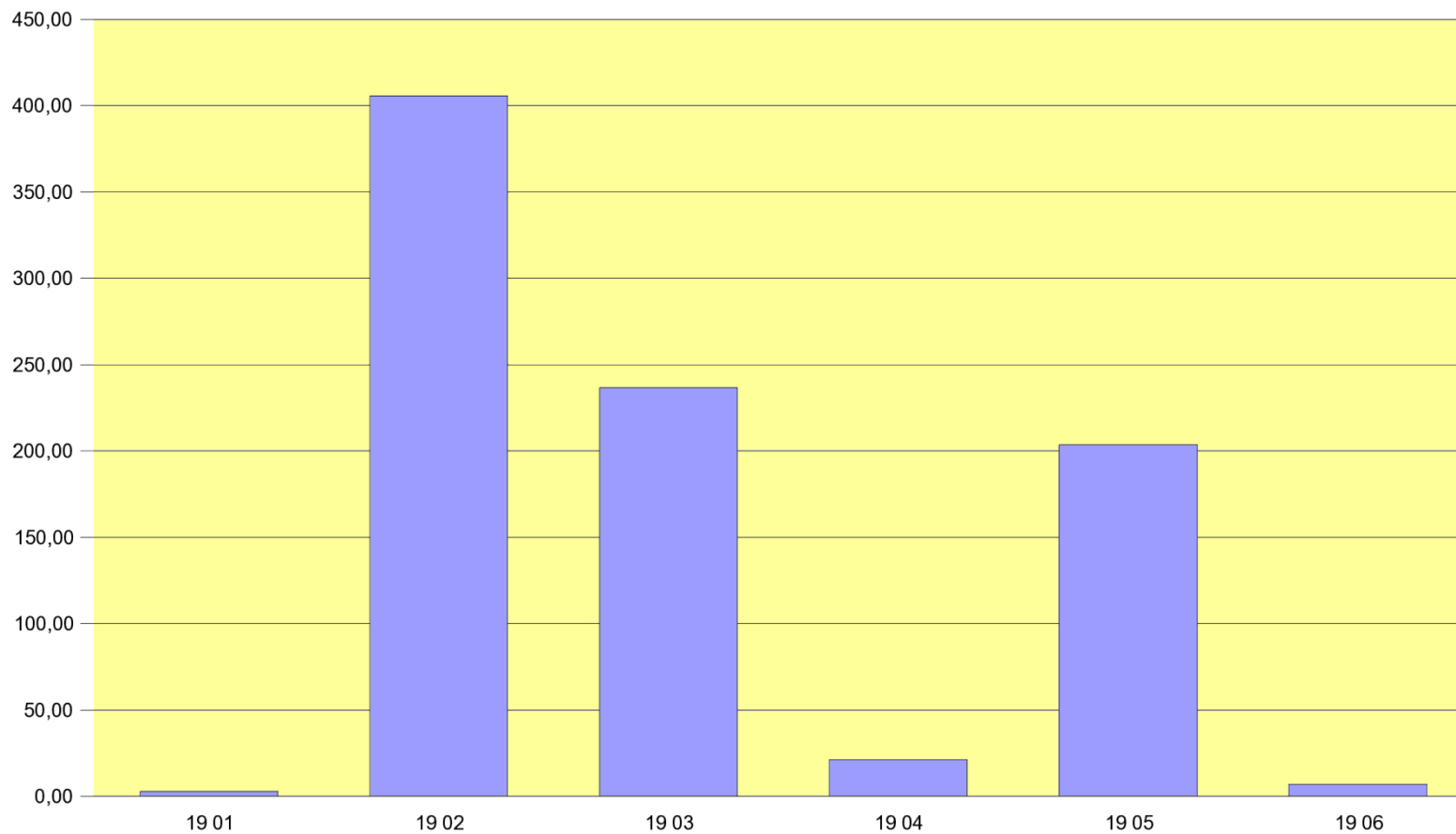
TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2015 (in Mio €)

Chapter			2015 Commitments to be settled				Commitments to be settled from financial years previous to 2015	Total of commitments to be settled at end of financial year 2015 (incl corrections)	Total of commitments to be settled at end of financial year 2014 (incl. corrections)
			Commitments 2015	Payments 2015	RAL 2015	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
Title 19 : Foreign policy instruments									
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	11,65	8,75	2,9	24,90 %	0,00	2,90	3,22
	19 02	Instrument contributing to Stability and Peace - Crisis response, conflict prevention, peace-building and crisis preparedness	257,68	61,02	196,66	76,32 %	208,92	405,58	356,44
	19 03	Common Foreign and Security Policy (CFSP)	266,49	146,07	120,42	45,19 %	116,14	236,56	284,51
	19 04	Election observation missions (EU EOMs)	31,27	17,52	13,75	43,96 %	7,41	21,16	46,64
	19 05	Cooperation with third countries under the Partnership Instrument (PI)	98,37	0,16	98,22	99,84 %	105,24	203,46	135,34
	19 06	Information outreach on the Union's external relations	12,04	7,56	4,48	37,19 %	2,63	7,11	8,51
Total Title 19			677,5	241,08	436,42	64,42%	440,34	876,77	834,66
Total DG FPI			677,5	241,08	436,42	64,42 %	440,34	876,77	834,66

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

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Report printed on 01/04/2016

= "Breakdown of Commitments remaining to be settled (in Mio EUR)"



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

TABLE 4 : BALANCE SHEET

BALANCE SHEET	2015	2014
A.II. CURRENT ASSETS	199.792.986,83	108.285.172,77
A.II.1. Inventories	817.208,32	573.995,61
A.II.2. Current Pre-Financing	203.414.719,36	112.373.817,14
A.II.4. Exchange Receivables	-5.511.149,21	-5.565.182,06
A.II.5. Non-Exchange Receivables	1.072.208,36	902.542,08
ASSETS	199.792.986,83	108.285.172,77
P.III. CURRENT LIABILITIES	-66.847.838,66	-70.359.875,59
P.III.4. Accounts Payable	-10.098.903,36	-3.563.524,18
P.III.5. Accrued charges and deferred incom	-56.748.935,30	-66.796.351,41
LIABILITIES	-66.847.838,66	-70.359.875,59
NET ASSETS (ASSETS less LIABILITIES)	132.945.148,17	37.925.297,18
P.I.2. Accumulated Surplus / Deficit	1.038.996.845,14	520.942.916,75
Non-allocated central (surplus)/deficit*	-1.171.941.993,31	-558.868.213,93
TOTAL	0,00	0,00

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

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

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE

STATEMENT OF FINANCIAL PERFORMANCE	2015	2014
II.1 REVENUES	928.256,77	-7.291.641,15
II.1.1. NON-EXCHANGE REVENUES	-816.934,85	-1.036.459,55
II.1.1.5. RECOVERY OF EXPENSES	-387.297,11	-162.898,55
II.1.1.6. OTHER NON-EXCHANGE REVE	-429.637,74	-873.561,00
II.1.2. EXCHANGE REVENUES	1.745.191,62	-6.255.181,6
II.1.2.1. FINANCIAL INCOME	-364.902,34	-1.466.057,86
II.1.2.2. OTHER EXCHANGE REVENUE	2.110.093,96	-4.789.123,74
II.2. EXPENSES	454.927.112,27	525.345.569,54
II.2. EXPENSES	454.927.112,27	525.345.569,54
II.2.10. OTHER EXPENSES	11.367.680,30	8.170.396,98
II.2.2. EXP IMPLM BY COMMISS&EX.AG	127.333.426,65	139.203.282,84
II.2.3. EXP IMPL BY OTH EU AGENC&BO	60.381,77	4.998,54
II.2.4. EXP IMPL BY 3RD CNTR & INT OR	72.579.380,95	110.863.187,37
II.2.5. EXP IMPLM BY OTHER ENTITIES	243.155.769,23	267.008.246,20
II.2.6. STAFF AND PENSION COSTS	0,00	
II.2.8. FINANCE COSTS	430.473,37	95.457,61
STATEMENT OF FINANCIAL PERFORMANCE	455.855.369,04	518.053.928,39



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

TABLE 6: AVERAGE PAYMENT TIMES FOR 2015 - DG FPI

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
20	1	1	100,00 %	6			
30	497	400	80,48 %	16,83	97	19,52 %	45,77
45	130	86	66,15 %	23,19	44	33,85 %	90,27
60	263	223	84,79 %	25,35	40	15,21 %	83,2
90	64	62	96,88 %	36,76	2	3,13 %	157,5

Total Number of Payments	955	772	80,84 %		183	19,16 %	
Average Payment Time	30,07			21,59			65,87

Target Times							
Target Payment Time (Days)	Total Number of Payments	Nbr of Payments within Target Time	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
20	120	82	68,33 %	11,21	38	31,67 %	32,08
30	181	100	55,25 %	17,6	81	44,75 %	71,06
60	6	5	83,33 %	44,8	1	16,67 %	77
75	1	1	100,00 %	34			

Total Number of Payments	308	188	61,04 %		120	38,96 %	
Average Payment Time	32,43			15,62			58,77

Suspensions							
Average Report Approval Suspension Days	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
18	55	125	13,09 %	955	34.512.505,54	6,38 %	540.544.465,69

Late Interest paid in 2015			
DG	GL Account	Description	Amount (Eur)
FPI	65010000	Interest expense on late payment of charges	348 545,74
FPI	65010100	Interest on late payment of charges New FR	16 912,63
			365 458,37

TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2015

Chapter	Revenue and income recognized			Revenue and income cashed from			Outstanding balance
	Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
	1	2	3=1+2	4	5	6=4+5	
40 MISCELLANEOUS TAXES AND DEDUCTIONS	429.637,74	110.735,31	540.373,05	429.637,74	110.735,31	540.373,05	0
52 REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST	364.180,59	95.371,53	459.552,12	353.026,59	89.464,5	442.491,09	17.061,03
57 OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	37.309,38	272.745,94	310.055,32	37.309,38	0	37.309,38	272.745,94
66 OTHER CONTRIBUTIONS AND REFUNDS	18.915.253,93	1.077.646,27	19.992.900,2	16.928.771,81	723.041,79	17.651.813,6	2.341.086,6
Total DG FPI	19.746.381,64	1.556.499,05	21.302.880,69	17.748.745,52	923.241,6	18.671.987,12	2.630.893,57

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

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TABLE 8 : RECOVERY OF PAYMENTS
(Number of Recovery Contexts and corresponding Transaction Amount)

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2015 Year of Origin (commitment)	Error		Irregularity		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2008	1	19.502,84			1	19.502,84	2	49.963,31	50,00%	39,03%
2009	1	856,62	6	562.946,05	7	563.802,67	14	4.883.020,33	50,00%	11,55%
2010	1	2.266,43	1	80.521,11	2	82.787,54	9	2.051.070,45	22,22%	4,04%
2011							9	3.996.426,91		
2012			8	327.333,57	8	327.333,57	27	3.791.306,51	29,63%	8,63%
2013	2	284.628,61	1	37.309,38	3	321.937,99	23	3.638.856,19	13,04%	8,85%
2014							25	760.187,90		
2015							1	146.804,08		
No Link			3	90.655,48	3	90.655,48	10	160.933,44	30,00%	56,33%
Sub-Total	5	307.254,5	19	1.098.765,59	24	1.406.020,09	120	19.478.569,12	20,00%	7,22%

EXPENSES BUDGET	Error		Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES												
NON ELIGIBLE IN COST CLAIMS	14	183.657,66	19	333.711,54			33	517.369,2	46	1.008.132,78	71,74%	51,32%
CREDIT NOTES	5	142.319,83	2	2.098,46			7	144.418,29	19	7.166.027,68	36,84%	2,02%
Sub-Total	19	325.977,49	21	335.810			40	661.787,49	65	8.174.160,46	61,54%	8,10%

GRAND TOTAL	24	633.231,99	40	1.434.575,59			64	2.067.807,58	185	27.652.729,58	34,59%	2,39%
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Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors. The provisional closure will be based on the recovery context situation at 31/01/2016.

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2015 FOR FPI

	Number at 01/01/2015	Number at 31/12/2015	Evolution	Open Amount (Eur) at 01/01/2015	Open Amount (Eur) at 31/12/2015	Evolution
2005	1	1	0,00 %	695,39	695,39	0,00 %
2008	1	1	0,00 %	272.745,94	272.745,94	0,00 %
2010	2	1	-50,00 %	372.151,42	91.498,37	-75,41 %
2011	1	1	0,00 %	21.663,95	21.663,95	0,00 %
2012	1	1	0,00 %	235.053,60	235.053,60	0,00 %
2013	2		-100,00 %	-28.450,77		-100,00 %
2014	9	2	-77,78 %	704.998,86	33.959,54	-95,18 %
2015		13			1.997.636,12	
	17	20	17,65 %	1.578.858,39	2.653.252,91	68,05 %

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

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TABLE 10 : RECOVERY ORDER WAIVERS IN 2015 >= EUR 100.000

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments

Total DG	
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Number of RO waivers	
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TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG FPI - 2015**External Actions > EUR 20,000**

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Art. 242 1c)	1	39.956,00
Art. 266.1(a)	6	8.848.967,00
Art. 266.1(c)	2	2.695.915,03
Art. 266.1(f)	2	767.190,00
Art. 268.1(a)	2	4.990.500,00
Total	13	17.342.528,03

Procurement > EUR 60,000

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Art. 134.1(b)	3	343.319,00
Total	3	343.319,00

TABLE 12 : SUMMARY OF PROCEDURES OF DG FPI EXCLUDING BUILDING CONTRACTS

External Procedures > € 20,000		
Procedure Type	Count	Amount (€)
(Ext. act) Service - Exceptional Negotiated Procedure with a single offer (Art. 266 RAP)	11	12.435.389,03
(Ext. act) Service - International Restricted Procedure with prior publication (Art. 265.1(a)(i) & 2 RAP)	15	64.204.648,52
(Ext. act) Service - Negotiated Procedure with a single offer (Art. 242 IR)	1	39.956,00
(Ext. act) Supply - Exceptional Negotiated Procedure with a single offer (Art. 268 RAP)	2	4.990.500,00
TOTAL	29	81.670.493,55

Internal Procedures > € 60,000		
Procedure Type	Count	Amount (€)
Exceptional Negotiated Procedure without publication of a contract notice (Art. 134 RAP)	3	343.319,00
Open Procedure (Art. 104(1) (a) FR)	1	15.000.000,00
Restricted Procedure (Art. 127.2 RAP)	1	3.298.100,00
TOTAL	5	18.641.419,00

Additional comments

The higher level of negotiated procedures is due to the very nature of the Instrument contributing to Stability and Peace which intervenes in crisis situations.

TABLE 13 : BUILDING CONTRACTS

Total number of contracts :	
Total amount :	

Legal base	Contract Number	Contractor Name	Description	Amount (€)

No data to be reported

TABLE 14 : CONTRACTS DECLARED SECRET

Total Number of Contracts :	1
Total amount :	123.317,00

Legal base	Contract Number	Contractor Name	Type of contract	Description	Amount (€)
Art. 266.1(g)	0752310	ALTAIR ASESORES SL*	Services	EEM Venezuela	123.317,00



ANNEX 4: Materiality criteria

The principal criterion for defining significant weaknesses is the detection of significant deficiencies/errors during the controls, supervision and evaluation exercises. Different parameters are considered, such as the nature/typology of the deficiency (does the deficiency relate to a key control element?), the relative importance of the system component affected by the deficiencies, their frequency and duration, their cause, the financial impact, the possibility to undertake corrective actions. In addition, an examination is made as to whether the deficiencies give risk to special factors which put at risk the reputation of EU institutions (e.g. risk of widespread fraud).

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

- the problems identified concern key control elements/components linked to the underlying expenditure and, having regard to the relevant factors, it appears they are systematic and wide-ranging in their occurrence;
- the financial impact from the cases examined exceeds 2% of the total payments made on the appropriations for the year in question under the related ABB activity;
- there are distinctive factors in relation to the qualitative aspects of the deficiencies, which give rise to a high reputational risk for the EU institutions, which would lead to the conclusion that the deficiencies are significant notwithstanding the absence of one or both of the above elements.

Identification and correction of weaknesses/errors are based on a number of sources, comprising, inter alia, regular assessment of the implementation of the internal control framework; specific controls, audits or investigations and their results; management and monitoring reports; and recommendations of internal and external audit bodies.

ANNEX 5: Internal Control Template(s) for budget implementation (ICTs)

Instrument contributing to Stability and Peace

Grants – direct management

Stage 4 - Ex-Post controls

A - Reviews, audits and monitoring

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The ex-ante controls (as such) fail to prevent, detect and correct erroneous payments or attempted fraud.</p>	<p>Ex-post control strategy: Carry out audits of a representative sample of operations to determine effectiveness of ex-ante controls.</p> <p>If error rate over tolerable threshold, control a risk-based sample to lower the residual error rate below the tolerable threshold.</p> <p>Validate audit results with beneficiary.</p> <p>If needed: referring the beneficiary or grant to OLAF</p>	<p>Representative sample: annual ex-post control plan sufficiently representative to draw valid management conclusions. Selection based on comprehensive risk assessment.</p> <p>Risk-based sample: special purpose audits aimed at projects where problems are anticipated or have already been identified.</p>	<p>Costs: cost of the external audit firms for the controls of IfS/IcSP beneficiaries. Average cost per audit.</p> <p>Benefits: budget value of the errors detected by the auditors.</p>	<p>Effectiveness: detected error rate. Residual error rate below tolerable threshold.</p> <p>Number of supervisory control failures. Amount of budget of errors concerned. Number of projects with errors; budget amount of the errors detected.</p> <p>Efficiency: total (average) annual cost of audits in EPC plan + special purpose audits compared with benefits (ratio).</p>

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

B - Implementing results from ex-post audits/controls

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The errors, irregularities and cases of fraud detected are not addressed or not addressed timely</p>	<p>Systematic registration of audit / control results to be implemented. Financial operational validation of recovery in</p>	<p>Coverage: 100% of final audit results <i>with a financial impact</i>. Depth: consider 'extending' the findings of systemic</p>	<p>Benefits: budget value of the errors, detected by ex-post controls, which have actually been corrected (offset or recovered).</p>	<p>Effectiveness: Success ratio: % of value of the ROs over detected errors by the auditors after</p>

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	accordance with financial circuits. Authorisation by AO	errors into corrections of non-audited projects by the same beneficiary	Loss: budget value of such ROs which are 'waived' or have to be cancelled.	1 year (not yet available). Number of suspected fraud cases transferred to OLAF. Analysis of financial control findings, internal control findings and other compliance findings per category of error. Number of occurrences per category of error detected. Efficiency Indicators: Time-to-recovery (not yet determined)

Indirect management (including 'similarly' managed budget 'entrusted' to other entities)

See Annex 6 of the AAR

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

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

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

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

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>Due to weak "modalities of cooperation, supervision & reporting", the Commission is not (timely) informed of relevant management issues encountered by the entrusted entity, and/or does not (timely) react upon notified issues by mitigating them or by making a reservation for them – which may reflect negatively on the Commission's governance reputation and quality of accountability reporting.</p>	<p>Delegation agreement/ Contribution agreement specifying the control, accounting, audit, publication, etc. related requirements.</p> <p>Carry out verification missions of international organisations under joint management.</p>	<p>Coverage: verification missions of international organisations included in annual ex-post control plan. Selection of verification missions based on comprehensive risk assessment identical to grants.</p>	<p>Costs: cost of the verification missions of international organisations included in the total cost of the annual ex post control plan.</p> <p>Benefits: budget value of the errors detected by the verification team.</p>	<p>Effectiveness: Number of verification missions; number of internal control and other compliance findings; budget amount of the errors concerned.</p> <p>Efficiency Indicators: Cost/benefit ratio.</p>

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

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

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	Carry out (mid-term) verification missions of international organisations under joint management. <u>If appropriate/needed:</u> suspension or interruption of payments	after 1 st year of operations or before signature of new contribution agreement).	the errors detected by the verification team. The total budget amount entrusted to the entity, possibly at 100% if significant (legal, management, accounting, fraud, reporting) errors would otherwise be detected.	Efficiency Indicators: Cost/benefit ratio.

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

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

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
				management) compared with benefits (ratio).

Procurement (centralised direct management)

Stage 2 – Financial transactions

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

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

Stage 3 – Supervisory measures

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

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

Common Foreign and Security Policy

Indirect management (incl. 'similarly' managed budget 'entrusted' to other entities)

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

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The establishment (or prolongation) of the mandate of the entrusted entity is affected by legal issues, which would undermine the legal basis for the management of the related EU funds (via that particular entity).</p> <p>The Council takes decisions on political grounds without taking into account the comments from the Commission on sound financial management.</p> <p>The Commission does not play a programming role nor does it have a final say in decisions. The Commission can, due to its expertise in project management and its budgetary role, try to influence the Council's decisions. Arguments on sound financial management risk being overruled and the Council often may make decisions on political grounds, with political objectives being considered to be of overriding importance.</p>	<p>Ensure participation in the decision making process from an early stage.</p> <p>Ex-ante verification (checklist based verification) of the proposed projects, beneficiaries and budgets before adoption by the Council.</p> <p>Explicit allocation of responsibility to individual officials (reflected in task assignment or function descriptions)</p> <p>Hierarchical validation within the authorising department</p> <p>Inter-service consultation, including all relevant DGs</p> <p>Adoption by the Commission</p>	<p>Coverage/Frequency: 100% of each proposed project.</p> <p>Depth: Checklist includes a list of the requirements of the regulatory provisions to be complied with.</p> <p><u>Factors</u> would be (i) whether it is an establishment or a prolongation, (ii) consistency with any other entities entrusted by the same DG or family.</p> <p>If risk materialises, all funds delegated during the year(s) to the entrusted entity would be irregular. Possible impact 100% of budget involved and significant reputational consequences.</p>	<p>Costs: estimation of cost of staff involved in the preparation, adoption and selection work.</p> <p>Benefits: non-financial qualitative benefits (clear contracts, less disputes, time saved during the implementation phase, reputational)</p> <p>Financial benefits: approved budget lower than initially proposed, improved implementation of the budget.</p>	<p>Effectiveness:</p> <p>Quality of the legal work – Council Decision</p> <p>Number of initially negative ISC opinions</p> <p>Number of contracts not signed</p>

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

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

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

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

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>Due to weak "modalities of cooperation, supervision & reporting", the Commission is not (timely) informed of relevant management issues encountered by the entrusted entity, and/or does not (timely) react to notified issues by mitigating them or by making a reservation for them – which may reflect negatively upon the Commission’s governance reputation and quality of accountability reporting.</p>	<p>Delegation Act/ Contribution agreement/etc specifying the control, accounting, audit, publication, and other related requirements and the reporting .</p> <p>Monitoring or supervision of the entrusted entity (e.g. ‘regular’ monitoring meetings at operational level; <u>review of reported control results and any underlying management/audit reports</u>; scrutiny of the interim and final reports, etc).</p> <p>Reporting template provided by FPI. Obligatory use of audit framework contracts for the final financial report audit.</p> <p>Management review of the supervision results.</p> <p><u>If appropriate/needed:</u></p> <ul style="list-style-type: none"> - reinforced monitoring of operational and/or financial aspects of the entity - intervention, e.g. via own on-the-spot controls, 	<p>Coverage: 100% of the entities are monitored/supervised.</p> <p>Frequency: monthly, quarterly interim reports are immediately carefully scrutinised. At least one monitoring mission per year/entity is carried out.</p> <p><u>In case of</u> operational and/or financial issues, measures are being reinforced.</p> <p>The depth: full control of the entity’s internal control and management systems and actions.</p>	<p>Costs: estimation of cost of staff involved in the actual (regular or reinforced) monitoring of the entrusted entities (which includes missions). The cost of specific external audits if required.</p> <p>Benefits: Avoiding the cost of significant (legal, management, accounting, fraud, reporting) errors if these controls would not be in place. Reputational benefit.</p>	<p>Effectiveness: number of reports scrutinised, problems detected , number of regular monitoring actions (missions), number of serious IAS and ECA findings</p> <p>Efficiency Indicators: Cost/benefit ratio. Cost of monitoring and support missions, provision of additional expert support.</p>

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	specific external audits - potential escalation of any major governance-related issues with entrusted entities - referral to OLAF			

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

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
The Commission pays out the (next) contribution to the entrusted entity, while not being aware of the management issues that may lead to financial and/or reputational damage.	Delegation Act/ Contribution agreement/etc specifying the control, accounting, audit, publication, etc related requirements and the reports to be submitted for the contribution. – <i>incl. reporting back</i> Management review of the supervision results. In-depth ex-ante OV and FV before making next contribution if need be. Hierarchical validation of contribution payment and suspending payment of	Coverage: 100% of the contribution payments. Frequency: with each pre-financing payment and in-depth if need be.	Costs: estimation of cost of staff involved in the OV and FV of the contribution payments to the entrusted entities. Costs of the additional mitigating controls (on-the spot missions, monitoring). Benefits: The total budget amount entrusted to the entity, possibly at 100% if significant (legal, management, accounting, fraud, reporting) errors would otherwise be detected. Benefits: reputational and	Effectiveness: (amount of any unused operating budget recovered) Number of additional mitigating controls taken as a result of financial management problems.

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	contribution (fully or partial) until entrusted entity has taken corrective additional measures.		preventive.	

Stage 5 – Audit and evaluation, Discharge

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The Commission has not sufficient information from independent sources on the entrusted entity’s management achievements, which prevents drawing conclusions on the assurance for the budget entrusted to the entity – which may reflect negatively on the Commission’s governance reputation and quality of accountability reporting.</p>	<p>Delegation Act/Contribution agreement/etc specifying the control, accounting, audit, publication, etc related requirements; reporting requirements; independent external audit of the accounts and financial statement.</p> <p>The entities are part of the population subjected to the ex-post control programme.</p> <p><u>If needed:</u></p> <ul style="list-style-type: none"> - supplementary ex-post audit(s) on-the-spot, by 	<p>Coverage: The final report/financial statement per mandate (annual for most CSDP missions and EUSRs) and the required external audit report to be in-depth scrutinised.</p> <p>Frequency: once a year (as a rule).</p> <p>Entities are selected for ex-post controls (external audits) on the basis of a risk analysis.</p> <p>The depth depends on the <u>mandate</u> of the (type of) entity, inter alia whether the Commission has full</p>	<p>Costs: estimation of cost of staff involved in the coordination and execution of the own ex-post controls and audits (which may include missions, if applicable). Cost of the appointment of audit firms for the outsourced audits .</p> <p>Benefits: The (average annual) total budget amount entrusted to the entity, possibly at 100% if significant (legal, management, accounting, fraud, reporting) errors would otherwise be detected.</p>	<p>Effectiveness: representative error rate, residual error rate below tolerable threshold.</p> <p>Number of transactions with errors; budget amount of the errors detected by the own supervisors.</p> <p>Efficiency: total (average) annual cost of own audits compared with benefits (ratio).</p>

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	FPI.3 <u>of the entity.</u> - potential escalation of any major governance-related issues with entrusted entities - referral to OLAF	access to the entity's internal control information.	Benefits: budget value of the errors with the entity's beneficiaries detected by the own auditors, and subsequently corrected.	

ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (if applicable)

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

In 2015, 32 delegation agreements under indirect management were signed for a total amount of EUR 108.9 million, covering 41% of all contracts signed in 2015.

3 delegation agreements were signed with MS agencies for an amount of EUR 9.3 million, while the majority was signed with UN agencies (21 delegation agreements for a total amount of EUR 63.2 million). 8 delegation agreements were signed with other international organisations (EUR 36.4 million).

The MS agency with the biggest IfS/IcSP portfolio is Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) which is implementing 13 IfS/IcSP projects for a total value of € 43.3 million, followed by France Expertise Internationale (FEI) which is implementing 5 IfS/IcSP projects for a total value of € 12.5 million.

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

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



ANNEX 9: Evaluations and other studies finalised or cancelled in 2015

Reference No of Annex 4 MP2015	Title	Reason ¹	Scope ²	Type of evaluation or other study			Associated DGs	Costs (EUR)	Comments	Reference	Cancelled
				Focus ³	Author ⁴	Type ⁵					
I. Evaluations finalised or cancelled in 2015											
a. Evaluations finalised in 2015	Independent high quality monitoring and evaluation inputs on projects and programmes through assistance in the initial stages and real-time evaluation for IfS/IcSP actions	O	IfS/IcSP	P/R	E	E	None	290,000	Independent high quality monitoring and evaluation inputs on projects and programmes through assistance in the initial stages and real-time evaluation for IfS/IcSP actions upon request by the EU DEL	ICSP/2014/344-102	
	Evaluation externe et finale du programme d'Appui à la réintégration des militaires démobilisés des forces armées nationales du Tchad	O	IfS	R	E	E	None	63,438	Project evaluation	ICSP/2015/369-141	
b. Evaluations cancelled in 2015	Impact evaluation of the IfS Ethiopia programme funded 6 NGO projects	L	IfS	R	E	E	None	n/a	Priorities changed due to workload		X
	Final Evaluation stabilisation support package in responses to the crisis in Mali	L	IfS	R	E	E	None	n/a	Will be replaced by an evaluation on "Mesure d'assistance exceptionnelle aux services de la justice et de la sécurité intérieure" to be conducted in 2016 with a broader scope.		X
II. Other studies finalised or cancelled in 2015											
a. other studies finalised in 2015	Study of the EUSR system	O	EUSR system (CSDP)	P/R	E	O	EEAS	149,682	Analysis of EUSR system from a management and performance point of view, identification of weaknesses, proposal for improvements.	CFSP/2015/23/EUSR STUDY	
	Study on the perception of the EU and its policies	FR	Partnership Instrument (PI)	P	E	E	EAC, COMM, EEAS	919,200		http://ec.europa.eu/dgs/fpi/showcases/eu_perceptions_study_en.htm	
	Media outreach of EU EOM (visibility study)	O	EIDHR (EOMs)	P/R	E	O	EEAS	86,356	Strategic guidance on how the EOMs can secure greater media coverage at EU level	Publication by OP in progress	
	Study on Voters' registration	O	EIDHR (EOMs)	P/R	E	O	EEAS	54,706	Assessment of political and campaign finances within the context of the election processes observed	Publication by OP in progress	
b. other studies cancelled in 2015											
¹ L - legal act, LMFF - legal base of MFF instrument, FR - financial regulation, REFIT, CWP - 'evaluate first', O - other (please specify in Comments) ² specify what programme/regulatory measure/initiative/policy area etc. has been covered ³ P - prospective, R - retrospective, P/R - prospective and retrospective ⁴ E - external, I - internal, M - mixed (internal with external support) ⁵ FC - fitness check, E - expenditure programme/measure, R - regulatory measure (not recognised as a FC), C - communication activity, I - internal Commission activity, O - other - please specify in the Comments											

ANNEX 12: Performance tables

General objective 1: Contribute to the implementation of the Lisbon Treaty (Article 21 (2) (c) which seeks to preserve peace, prevent conflicts and strengthen international security, in accordance with the purposes and principles of the United Nations Charter, with the principles of the Helsinki Final Act and with the aims of the Charter of Paris.			<input checked="" type="checkbox"/> Programme-based (CFSP and IcSP)
Impact indicator: Number and intensity of conflicts worldwide: wars (level 5); limited wars (level 4); violent crises (level 3); non-violent crises (level 2); disputes (level 1) Source: Conflict Barometer, http://hiik.de/en/index.htm ²			
Baseline 2012	Milestone 2017	Target 2020	
396 conflicts of which: 18 wars 25 limited wars 165 violent crisis 83 non-violent crises 105 disputes	Stabilisation or decrease in the intensity of the conflicts where the main CFSP and IcSP operations intervene.	Decrease in the number and/or intensity of conflicts worldwide.	

General objective 2: Advance and promote Union and mutual interests with third countries by supporting measures that respond in an effective and flexible manner to objectives arising from the Union's bilateral, regional or multilateral relationships with third countries, address challenges of global concern and ensure an adequate follow-up to decisions taken at a multilateral level.			<input checked="" type="checkbox"/> Programme-based (Partnership Instrument)
Impact indicator: Number of new relevant instruments and/or negotiation processes launched/ongoing with EU's strategic partners, regional organisations and at multilateral level			
Baseline 2015	Milestone 2017	Target 2020	
A mapping of existing agreements with key partner countries and of positions of key partner countries established in 2015 to create a baseline as regards: 1) Challenges of global concern. 2) Selected areas of cooperation within the	A mid-term review will be conducted to measure the evolution of agreements and positions compared to the baseline.	Positions, approaches and policies of key partner countries have evolved in closer consonance with EU's views and vision as reflected in negotiations and/or agreements.	

² The indicator has the merit of establishing a global picture of the situation on a year per year basis, thus making possible tracking conflicts over time on a factual basis. However, the use of this indicator does not mean that there is link of cause and effect between the operations and any particular outcome in the area/country/region in which they are implemented. Also, the EU does not intervene in all the conflicts and therefore no correlation can be established between EU interventions and the number of conflicts. The evolution of a specific conflict, as measured by the Conflict Barometer in terms of intensity, depends on factors which go beyond the results and the scope of a specific EU intervention. These interventions have to be seen as a contribution to the ultimate goal of either a de-escalation of a conflict or avoiding its escalation, in light of the EU's comprehensive approach and the efforts of the international community.

scope of the “EU 2020 strategy”. 3) The perception about the EU.		
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General Objective 3: 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.		
<input checked="" type="checkbox"/> Programme-based (EIDHR)		
Impact indicator: Number of electoral processes and democratic cycles supported, observed, and followed by means of Election Observation Missions, Election Assessment Teams and Election Follow-up Missions and Election Experts Missions proposing recommendations to the host country. Source of the data: FPI.5		
Baseline (average 2010-2013)	Milestone 2017	Target 2020
17	23	25*

*This number takes into account the budget available per year between 2015 and 2020 as well as the capacity of the EU to deploy election observation missions.

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

Relevant general objective(s): Contribute to the implementation of the Lisbon Treaty (Article 21 (2) (c) which seeks to preserve peace, prevent conflicts and strengthen international security, in accordance with the purposes and principles of the United Nations Charter, with the principles of the Helsinki Final Act and with the aims of the Charter of Paris.

Specific objective 1: In a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's external policies and actions in accordance with Article 21 TEU. Programme-based IcSP

Result indicator (definition):

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.

Baseline	Milestone 2017	Target 2020
2011-2013: 69% ³	70%	75%

Main outputs in 2015

description	indicator	target
Response actions in situations of crisis or emerging crisis (projects launched).	Number of response actions in situations of crisis post-crisis or emerging.	32 actions to be launched of which 70% of projects to be adopted within 3 months of a crisis context, within the budget of EUR 222.4 million. Whilst it is not possible to predict the number and the regions where the actions will be launched, the High Representative and the Commission will attempt to ensure a geographical balance between regions.

³ The indicator measures swift mobilization of resources to implement projects for short-term crisis response and conflict prevention where other financial instruments are not available and/or where the IcSP needs to contribute to a comprehensive response. Total number of IfS actions adopted in 2011 was 47 of which 26 were adopted (COM Decision) within 3 months of a crisis context (presentation to PSC), which constitutes a percentage rate of 57%. Total number of IfS actions adopted in 2012 was 37 of which 29 were adopted (COM Decision) within 3 months of a crisis context (presentation to PSC), which constitutes a percentage rate of 78%. In 2013, the percentage rate was 72%. Therefore, the average percentage rate for the last three years amounts to 69 %. The objective is to reach a percentage rate of 75 % by 2020. Of the 39 projects adopted in 2013, 32 may be categorised as responding to situations of crisis or emerging crisis with the remaining 7 responding to post-crisis situations, as they were adopted via Comitology as Interim Response Programmes in line with Article 7 (6) of the IcSP Regulation

Specific objective 2: To contribute to the prevention of conflicts and to ensure capacity and preparedness to address pre- and post-crisis situations and build peace. <input checked="" type="checkbox"/> Programme-based <input type="checkbox"/> IcSP		
Result indicator (definition): 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.		
Baseline	Milestone 2017	Target 2020
2012: 1183 ⁴ (number of processes and entities)	1200	1500
Main outputs in 2015		
description	indicator	target
2015 Annual Action Plan (AAP)	Adoption in cooperation with the EEAS.	Adoption first quarter of 2015
Implementation of the AAP 2015	Number of actions launched under the AAP 2015 (which will result into a certain number of processes and entities with strengthened capacity attributable to IcSP funding).	5 actions. The budget foreseen for 2015 amounts to EUR 25 million. The objective is to mobilise and consolidate civilian expertise for peace-building, amongst civil society actors, international and regional organisations and relevant Member State agencies; to consolidate cooperation with LAS and PRADD on respectively crisis response and early warning and conflict minerals ; to support and sustain civil society engagement in conflict prevention and peace building through continued expansion of the number of EU Delegations which are launching calls for proposals on IcSP peace-building actions.

⁴ The indicator measures the strengthened capacity of EU and beneficiaries of EU assistance to prevent conflicts, address pre and post conflict situations and to build peace. It refers to the number of processes (mediation processes, internal political dialogues) and entities benefiting from strengthened capacity, attributable to IcSP funding in conflict prevention, crisis preparedness and peace-building through the so-called "Peace Building Partnership". In 2012, following a revised compilation methodology, the figure was 1183 processes and entities processes and entities with strengthened capacity attributable to IcSP funding with a budget of EUR 24 Million.

ABB: 19.03 - Common Foreign and Security Policy

General Objective 1: Contribute to the implementation of the Lisbon Treaty (Article 21 (2) (c) which seeks to preserve peace, prevent conflicts and strengthen international security, in accordance with the purposes and principles of the United Nations Charter, with the principles of the Helsinki Final Act and with the aims of the Charter of Paris.

Specific objective 1: Support to preservation of stability through substantial CSDP missions and EUSRs mandates. Programme-based CFSP

Key Performance Indicator: 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.

Indicator 1a: Degree of achievement of the objectives as defined in the respective Council Decision / Joint Action.

Baseline 2012	Milestone 2017	Target 2020
84%	86%	90%

Indicator 1b: Intensity of the conflicts assessed according to the Conflict Barometer (when relevant). (1- dispute; 2 – non-violent crises; 3 - violent crises; 4 - limited war; 5 - war.)⁵

Baseline 2012	Milestone 2017	Target 2020
43 highly violent conflicts	Contribution to the stabilization or	Stabilization or decrease in the

⁵ Notes:

The indicator has the merit of establishing a global picture of the situation on a year per year basis, thus making possible tracking conflicts over time on a factual basis. However, the use of this indicator does not mean that there is link of cause and effect between the CFSP operations and any particular outcome in the area/country/region in which they are implemented. Also, the EU does not intervene in all the conflicts and therefore no correlation can be established between CFSP operations and the number of conflicts. The evolution of a specific conflict, as measured by the Conflict Barometer in terms of intensity, depends on factors which go beyond the results and the scope of a specific EU intervention. These interventions have to be seen as a contribution to the ultimate goal of either a de-escalation of a conflict or avoiding its escalation, in light of the EU's comprehensive approach and the efforts of the international community.

CSDP missions and EUSRs usually have annual mandates: the milestones and targets have been identified on the assumption that these actions will be extended until 2020, while keeping the same objectives.

According to the Treaties, the evaluators of the CFSP achievements are the EEAS (CPC and CMPD) and the Council.

worldwide (18 wars and 25 limited wars)	decrease in the number of highly violent conflicts and/or their intensity in countries/regions where the most substantial CSDP missions and EUSRs are deployed.	number of highly violent conflicts and/or their intensity in countries/regions where the most substantial CSDP missions and EUSRs are deployed.
Main outputs in 2015		
Description (Baseline 2012)	Indicator (Milestone 2017)	Target ** 2020
1) CSDP Mission – EU Monitoring Mission in Georgia. Average conflict intensity: 2	Average conflict intensity: 1,75	Average conflict intensity: 1,5
Milestone (2017): 200 monitors are sent by EU Member States to monitor compliance with the August 2012 Six Point Agreement. Target (2020): Contribution to long term stability in Georgia and the surrounding region. Human rights are respected, including freedom of movement and rights of internally displaced people and refugees.		
2) CSDP Mission – EU Rule of Law Mission in Kosovo. Average conflict intensity: 3	Average conflict intensity: 2,5	Average conflict intensity: 2
Milestone (2017): War crimes, terrorism, organised crime, corruption, inter-ethnic crimes, financial and economic crimes and other serious crimes are properly investigated, prosecuted, adjudicated and enforced. Cooperation and coordination structures between police and prosecution authorities are created. Kosovo Anti-Corruption Strategy and Anti-Corruption Action Plan are developed and implemented. Possible set-up of a SITF specialized Court subject to a Council decision. Target (2020): Kosovo has an independent and multi-ethnic justice system and a multi-ethnic police and customs service. Rule of law in North Kosovo is restored. Relations between Pristina and Belgrade are normalised.		
3) CSDP mission: EUBAM Libya Conflict intensity: 4	Conflict intensity: 3,25	Conflict intensity: 3
Milestone (2017): The Mission is undergoing a major strategic review. The planning assumptions to enable to deliver in accordance with its mandate are not valid anymore and the Mission is being drastically downsized. The Mission might be put on hold or closed. As a result the below initial milestones will not be delivered: <ul style="list-style-type: none"> - The cross ministerial working group on border management is set up and continues working. - The Tripoli Action Plan on border security is implemented. - Training policies and curricula are adopted by border management agencies. - Full operational capacity foresees over 110 international staff Target (2020): Libyan authorities are able to control their borders in accordance with international standards. A national Integrated Border Management Strategy is developed and implemented by Libyan authorities. The roles and tasks of law enforcement agencies working in border management are defined.		
4) CSDP mission: EU Police Mission for the Palestinian Territories (EUPOL COPPS) Average conflict intensity: 3,5	Average conflict intensity: 3,4	Average conflict intensity: 3,3

<p>Milestone (2017): Strategic Review in spring 2015 Contribution to the establishment of sustainable and effective policing arrangements and advice to Palestinian counterparts on criminal justice and rule of law aspects under Palestinian ownership, in accordance with the best international standards and in co-operation with the EU institution building programmes conducted by the European Commission and with other international efforts in the wider context of the security sector, incl. criminal justice reform. The strategic and regulatory framework of Palestinian Civilian Police (PCP) is reviewed in line with international standards. New legislation on criminal justice is drafted.</p> <p>Target (2020): Sustainable and effective policing arrangements are established under Palestinian ownership. A sustainable criminal justice sector compliant with international standards is set up under Palestinian ownership. Strengthening and defining the position of the Palestinian Civil Police (PCP) position within the security sector and its staff are defined; The capacity of the PCP administrative and internal support administrations is strengthened; The accountability and oversight of the Palestinian Civil Police is strengthened; The Criminal Justice Institutions (CJIs) are better organised and deliver better outputs; Access to justice, fair trial, and protection of victims and witnesses in the criminal justice is improved; The capacities of the Palestinian Anti-Corruption Commission (PACC) and of the Corruption Crimes Court (CCC) to fight corruption are strengthened.</p>		
<p>5) CSDP Mission: EU Police Mission Afghanistan</p> <p>Average conflict intensity: 4</p>	<p>Average conflict intensity: 3,8</p>	<p>Average conflict intensity: 3,6</p>
<p>Milestone (2017): Training management is handed over to Afghans following training provided to 10,700 police officers. An Afghan-led Police-Prosecutor Cooperation Manual is developed and in use following training provided to 1000 prosecutors and police officers. Police districts are reformed into a more community-based policy model. Around 260 police plans and policies are developed and implemented. Sustainable and effective policing arrangements are established under Afghan ownership, which will ensure appropriate interaction with the wider criminal justice system. The Ministry of interior's institutional capacity has advanced, including its ability to coordinate international support through improved long-term planning, management and leadership, policy implementation and accountability.</p> <p>Target (2020): The further professionalisation and efficiency of the ANP as a civilian police service has progressed, in particular with regards to professional standards, improved leadership, community policing, criminal investigation capacities, intelligence-led policing, sustainable recruitment and retention of female police officers, implementation of the code of conduct, management of training institutions and the fight against corruption. Cooperation between police and prosecutors has been enhanced, including strengthened Afghan capacities to train prosecutors and enhanced ability of authorities, including the Parliament and the Ministry of Justice, to draft, adopt, disseminate and implement legislation relevant to criminal justice, as well as advanced access to justice via an improved legal aid system.</p>		
<p>6) CSDP Mission: EUBAM (European Union Border Assistance Mission) Rafah</p> <p>Average conflict intensity: 3</p>	<p>Average conflict intensity: stabilisation or decrease</p>	<p>Average conflict intensity: decrease</p>
<p>Milestone (2017): Strategic Review in spring 2015 Provision of a Third Party presence at the Rafah Crossing Point in order to contribute, in cooperation with the Community's institution-building efforts, to the opening of the Rafah Crossing Point and to build up confidence between the Government of Israel and the Palestinian Authority Actively monitoring, verification and evaluation of the Palestinian Authority's performance with regard to the implementation of the Framework, Security and Customs Agreements concluded between the Parties on the operation of the Rafah terminal (currently on hold due to the situation in Gaza). Contribution, through mentoring, to building up the Palestinian capacity in all aspects of border management at Rafah Improved security situation in Palestine.(currently implemented in the framework of the PA Preparedness Project, aiming at better preparing the PA for a possible resumption of activities at the Rafah Crossing Point). Target (2020): Proper implementation of the Framework, Security and Customs Agreements concluded between parties on the operation of Rafah terminal.</p>		
<p>7) CSDP Mission: EUCAP SAHEL Niger</p>	<p>Regional Joint Operational Centres are operational. Members of the country's internal security forces are trained on Counter-terrorism and organised crime related issues. Police are able to carry out forensics investigations.</p>	<p>Nigerian security forces are able to interoperate. Criminal investigation capacities are developed in line with the criminal justice system. Sustainability of human resources and logistics of Nigerian security force is achieved.</p>

	Full operational capability of the mission (56 experts)	
8) CSDP Mission: EUCAP Nestor	<p>Strategic review in 2015.</p> <p>The policy and legal frameworks on the judiciary and coastal policing/maritime security with a focus on counter piracy both at federal and regional level as well as institutional capabilities are developed in Somalia.</p> <p>Policy and legal frameworks have been developed in other host countries (Djibouti, Seychelles, Tanzania) as well as institutional capabilities.</p> <p>Capacity building efforts by the international community are coordinated.</p>	<p>Maritime security capacities in the federal and regional maritime security agencies in Somalia are efficiently organised, coordinated, and have achieved self-sustainability capacity.</p> <p>National policy and legal frameworks are in place and the rule of law is strengthened.</p>
9) EUSEC RD Congo	Conflict intensity: stabilisation or decrease	Conflict intensity: decrease
<p>Milestone (2017): Mission closed in September 2014. Advancement of restructuring of Congolese security sector</p> <p>Target (2020): Mission closed in September 2014. A system of Human resources is implemented; A military training system is in place.</p>		
10) CSDP Mission in Mali: EUCAP Sahel Mali	Decrease in the intensity of the conflict.	Decrease in the intensity of the conflict.
<p>Milestone (2017): Approval of a new legal framework for the security forces, with a focus on Human Resources management.</p> <p>All staff of the security forces is registered in his/her relevant base and database updated daily by staff duly trained.</p> <p>One third of the internal security forces, focusing on the managerial layer, are trained in specialised fields of expertise.</p>		
11) CSDP Mission in Ukraine	The level is likely to be increased in the next barometer.	Decrease in the intensity of the conflict.
<p>Milestone (2017): Stabilisation of situation and increase of security in Ukraine.</p> <p>Target (2020): As the civilian security sector reform strategy is being developed, sufficient resources have been made available for the elaboration of concrete coordinated plans for its implementation.</p> <p>The SSR Vision and Strategy, plans and implementation are disseminated to the public and to relevant public employees. The Mission participates in relevant international fora in Ukraine.</p> <p>Ukrainian mechanisms for effective coordination and cooperation are included within Ukrainian SSR.</p>		

Specific objective 2: Support the implementation and promotion of:] Programme-based
1) strategy on non-proliferation of weapons of mass destruction in order to increase security in this area (WMD); CFSP
2) strategy on combating illicit accumulation and trafficking of Small Arms

and Light Weapons (SALW) as well as measures against illicit spread and trafficking of other conventional weapons;
3) EU's policies in the field of conventional arms exports, in particular on the basis of Common Position CFSP/944/2008. Support to preservation of stability through substantial CSDP missions and EUSRs mandates.

Indicator 1: Number of countries having ratified the treaties mentioned in the baseline.

Baseline 2012	Milestone 2017	Target 2020
1) Comprehensive Nuclear-Test-Ban Treaty Organization, CTBTO: number of countries having ratified 159	162	164
2) UN Resolution 1540: number of countries having signed 120	122	125
3) Nuclear security assistance provided to 100 countries by IAEA	Assistance provided to up to 120 countries.	Nuclear security in selected countries strengthened.
4) Arms Trade Treaty adopted in April 2013 Signed: 110	Entry into force of the Treaty (ratified by 50 States Parties).	Ratified by 150 countries.

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

Progress in other monitoring reports will be followed: Chemical Weapons Convention (CWC), Biological convention, Ottawa Convention, Global Threat Reduction Initiative (GTRI), Non-Proliferation Treaty, Biological and Toxin Weapons Convention (BTWC), Hague Code of Conduct, Out space activities, Wassemar arrangement, Comprehensive Nuclear-Test-Ban Treaty (CTBT) with the aim of having an increased number of signatories of those Treaties and better preparation of the countries to implement the clauses of the treaties.

Main outputs in 2014

	indicator	target
Comprehensive Nuclear-Test-Ban Treaty Organization	Number of countries having ratified the Treaties: 163 countries have ratified. The last one is Guinea Bissau the 24/09/2014 http://www.ctbto.org/the-treaty/status-of-signature-and-ratification	Actions supporting the signature of 164 states by 2020.
UNODA 1540 III	Number of countries having ratified the Treaties.	Actions supporting the signature of 125 states by 2020.
UN SEESAC	The final report of the organisation proves that illicit	Reduction of illicit trafficking of SALW and their ammunition and their surplus by

	traffic of SAWL in the region has been reduced.	improving security provisions and stockpile management for the storage of conventional weapons and ammunition stockpiles in BiH, Kosovo, Moldova, Montenegro, and FYROM. Marking and tracing capabilities are improved.
Manpads Libya	The final report of the organisation proves Libyan authorities exercise effective national control over their conventional weapons and ammunition.	A national strategy covering physical security and stockpile management (PSSM) is drafted; Standard operating procedures for physical security and stockpile management are drafted. A set number of ammunition storage facilities have been rehabilitated (number to be qualified at the end of phase 1).
IAEA VI	Number of Integrated Nuclear Security Support Plan developed	Through an evaluation phase, the needs of improved nuclear security in the IAEA Member States have been prioritized to select the States in which capacities will be implemented. States' capacities to prevent, detect, respond, and to protect people, property, environment and society from criminal or intentional unauthorised acts involving nuclear or other radioactive material is strengthened. States develop and implement computer security and information protection programs to enhance the overall nuclear security.
OPCW	Final report of the organisation shows that States parties have capacity to fulfil the obligations under the CWC	States are prepared to prevent and respond to attacks involving toxic chemicals, international cooperation in the field of chemical activities is enhanced; the ability of the OPCW to adapt to developments in the field of science and technology supported and universality by encouraging States not Parties to join the CWC is promoted.
Consortium Think tanks	The number, geographical origin and background of participants in the annual conference is increased (last conference was attended by 250 participants).	Creation and funding of the consortium of think tanks Increase of the political and security-related dialogue and long-term discussion of measures to combat the proliferation of weapons of mass destruction and their delivery systems.
HCoC III	Number of countries having subscribing to the Code. 137 Subscribing states in February 2014. http://www.hcoc.at	Actions supporting the signature of maximum of States (1 subscriber added per year).

ATT IV	<p>Number of countries having ratified the Treaties.</p> <p>At the date of September 2014, 54 States have ratified the Treaty and 122 have signed the Treaty.</p> <p>http://www.disarmament.un/org/treaties/t/att</p>	<p>Actions supporting the signature of maximum of States (up to a total 134)</p>
SALW Sahel-Libya	<p>The final report of the organisation shows a reduction of SAWL in Libya.</p>	<p>Adequate legislative and administrative norms on physical security and stockpile management of SALW (PSSM);</p> <ul style="list-style-type: none"> - Improved physical security and stockpile management of SALW through the enhancement of storage sites; - Reduced risk of diversion and accidental explosions of surplus, obsolete and illicit SALW and ammunition through destruction; - Improved marking, tracing and record-keeping of SALW; - possible use of new technologies in PSSM Identified; - contribution to reducing the risk of regional destabilisation, which may be caused by excessive accumulation of SALW and their ammunition or the diversion of SALW to non-State actors, including terrorist groups.
WHO II	<p>The final report of the organisations shows an improvement of the Biorisk management capacity and capability strengthened to minimise biological risks by states parties.</p>	<p>Capacity and capability of stakeholders strengthened to assess biorisk, to define and adopt mitigation strategies in order to reduce them to acceptable levels, to ensure their continuous improvement and to handle infectious agents responsibly, safely, securely and accountably; a pool of trainers developed to sustain national training programmes and disseminate training opportunities.</p>

ABB: 19.04 - Election Observation Missions (EU EOMs)

Relevant general objective(s): Supporting and consolidating 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.		
<input checked="" type="checkbox"/> Programme-based (EIDHR)		
Specific Objective: Improving the reliability of electoral processes, in particular by means of EU Election Observation Missions.		
Result indicator: 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.		
Baseline (average 2010-2013)	Milestone 2017	Target 2020
17	23	25
Main outputs in 2015		
description	indicator	target
1. EU Election Observation Missions and EU Election Assessment Team Missions deployed.	Indicator 1*: EU capacity to support and assess democratic and electoral processes expressed in number of missions deployed.	1. Target: 12 EOM and EAT deployed
2. EU Election Expert Missions, Pre-Election and Election Follow-up Missions.	Indicator 2: Number of Election Follow-up Missions deployed in countries after an Election Observation Mission to assess the implementation of recommendations.	2: Target: 10 EEM deployed
3. Follow-up Missions	Indicator 3: Number of electoral processes and democratic cycles supported, observed, and followed proposing recommendations to the host country.	3: Target: 3 Follow-up Missions deployed
4. Experts and observers trained	Indicator 4***: number of experts trained	4. Target: 140 experts trained

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

Relevant general objective(s): Advance and promote Union and mutual interests with third countries by supporting measures that respond in an effective and flexible manner to objectives arising from the Union's bilateral, regional or multilateral relationships with third countries, address challenges of global concern and ensure an adequate follow-up to decisions taken at a multilateral level.

Specific objective 1: Supporting the Union's bilateral, regional and inter-regional cooperation partnership strategies, by promoting policy dialogues and by developing collective approaches and responses to challenges of global concern. Programme based Partnership Instrument

Result indicator: Progress made by key partner countries in the fight against climate change or in promoting the environmental standards of the Union, as measured by the following sub-indicators:

Sub-indicator 1a - Operating Emissions Trading Schemes for greenhouse gas mitigation (ETS) outside the EU/EEA (at city, regional, country or multi-country level)

Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
17	18	20	21	22	24	26

* Data source: <https://icapcarbonaction.com/component/attach/?task=download&id=152> (data extracted on 6 February 2015)

Sub-indicator 1b - Share of renewables in total energy production in the 9 strategic partners

Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
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 %	Increase in share %	Increase in share %	Increase in share by at least 10% in each strategic partner

* Data source: <http://energyatlas.iea.org/?subject=-1076250891> (data extracted on 6 February 2015. Last data available 2012)

Sub-indicator 1c - CO2 emissions from fuel combustion in the 9 strategic partners

Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
20,113 Mt CO ₂	Reduction by 1%	Reduction by 3%	Reduction by 3%	Reduction by 4%	Reduction by 5%	Reduction by 6%

* Data source: <http://energyatlas.iea.org/?subject=1378539487> (data extracted on 6 February 2015. Last data available 2012)

<i>Sub-indicator 1d - Number of local and regional authorities signing the Covenant of Mayors</i>						
Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
6,279	-	7,000	7,600	8,100	9,000	4,000 new cities in at least 30 countries have joined the cooperation in the field of sustainable energy (Global Covenant)

* Data source: http://www.covenantofmayors.eu/index_en.html (data extracted on 6 February 2015)

The Covenant of Mayors is a mainstream European movement in the field of climate change with a focus on sustainable energy. It involves local and regional authorities voluntarily committing to increasing energy efficiency and use of renewable energy sources on their territories.

Main outputs in 2015		
Description	Indicator	Target
AAP 2015	Adoption and implementation of the actions enhancing political cooperation as well as actions in the area of energy security, climate change and environment retained for funding under AAP 2015.	2015

Specific objective 2: Implementing the international dimension of "Europe 2020 - A strategy for smart, sustainable and inclusive growth".	<input checked="" type="checkbox"/> Programme based Partnership Instrument
Result indicator: Uptake of the "Europe 2020" strategy by key partner countries, as measured by the following sub-indicators:	

<i>Sub-indicator 2a - Number of cities that have signed new bilateral or multilateral agreements on sustainable urban development</i>						
Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
0	0	6	25	47	64	At least 84 cities in at least 7 strategic partners

* Data source: PI monitoring reports

Sub-indicator 2b - Number of regions that have signed new bilateral or multilateral agreements on innovation						
Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
0	0	6	8	11	15	At least 18 regions/provinces worldwide

* Data source: PI monitoring reports

Sub-indicator 2c - Number of international agreements on Migration and Mobility signed with the strategic partners						
Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
15	15	15	17	17	19	20

* Data source: <https://myintracomm.ec.europa.eu/dg/home/policy/legal/Pages/International-agreements.aspx> (data extracted on 6 February 2015)

Sub-indicator 2d - Average worldwide level of implementation of international safety standards in civil aviation						
Baseline 2014*	Milestones					Target 2020
	2015	2016	2017	2018	2019	
61%	61%	61%	62%	63%	63%	Increase by at least 5%

* Data source: http://www.icao.int/safety/Documents/ICAO_2014%20Safety%20Report_final_02042014_web.pdf (data extracted on 6 February 2015. Last data available 2014)

Main outputs in 2015		
description	indicator	target
AAP 2015	Adoption and implementation of the actions in support of Europe 2020 Strategy.	2015

Specific objective 3: Improving access to third country markets and boosting trade, investment and business opportunities for European companies, while eliminating barriers to market access and investment, by means of economic partnerships, business and regulatory cooperation.						
						<input checked="" type="checkbox"/> Programme based Partnership Instrument
Indicator 1: EU share in foreign trade in goods and services of 9 strategic partners						
Baseline*	Milestones					Target 2020
	2014	2015	2016	2017	2018	

2008: 19,6%	Maintain share	Maintain share	Maintain share	Maintain share	Possible increase in share	Possible increase in share	Overall increase in share
2009: 19,1%							
2010: 17,8%							
2011: 17,4%							
2012: 17,1%							
2013: 17,0%							

*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). Data for baseline extracted on 26 March 2015.

For data on trade in goods, the reporter is EU-28.

For data on trade in services, the reporter before 2010 was EU-27 and from 2010 it is EU-28. From 2012, the data for trade in services is calculated according to BMP6 (Balance of Payments and International Investment Position Manual) methodology.

Data source: 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.

Indicator 2 : EU investments flows from/to 9 strategic partners							
Baseline 2013*	Milestones						Target 2020
	2014	2015	2016	2017	2018	2019	
EU Foreign Direct Investment - Inward flows: 468 billion EUR - Outward flows: 324 billion EUR	Maintain FDI flows	Maintain FDI flows	Maintain FDI flows	Maintain FDI flows	Possible increase in FDI flows	Possible increase in FDI flows	Increase FDI flows in parallel with global economic growth

*Until 2012 the reporter was the EU-27 and the data were calculated according to BMP5 (Balance of Payments and International Investment Position Manual) methodology. The figures as from 2013 use the reporter of EU-28 and are calculated according to BPM6. Data for baseline extracted on 13 February 2015.

Data source: 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.

Main outputs in 2015:		
description	indicator	target
AAP 2015	Adoption and implementation of the actions enhancing the EU position in the world in terms of trade and foreign investment.	2015

Specific objective 4: Enhancing widespread understanding and visibility of the Union and its role on the world scene by means of public diplomacy, people to people contacts, education/academic/think tank cooperation and outreach activities to promote the Union's values and interests.	<input checked="" type="checkbox"/> Programme based Partnership Instrument
Result indicator: Number of opinion surveys and/or evaluations	

Baseline 2015	Milestones				Target 2020
	2016	2017	2018	2019	
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%	tbd	Mid-term review: opinion surveys and/or evaluation results	tbd	tbd	tbd

Main outputs in 2015:		
description	indicator	target
1. Education / academic cooperation - See Programme Statement for "Erasmus Plus". 2. Implementation of AAP 2014 and 2015, annual planning 2016.	1. Nr of participating higher education institutions, of mobility participants and of staff exchanges funded under the PI share of "Erasmus Plus". 2. Number of actions in the area of public diplomacy, people to people contacts and outreach activities retained for funding under AAP 2015.	1. EUR 11.7 million: contribution 2015 to "Erasmus Plus" programme. 2. Adoption of AAP 2015 and launching of its implementation.