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ANNEX 4

of the Commission Implementing Decision on the 2021 Annual Action Plan for the thematic programme on Global Challenges (Prosperity)

Action Document for Knowledge Hub Jobs & Growth (Part I) – Global Gateway Support Mechanism

ANNUAL MEASURE

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation, and action plans in the sense of Article 23 of NDICI-Global Europe Regulation.

1. SYNOPSIS

1.1. Action Summary Table

1. Title CRIS/OPSYS business reference Basic Act	Knowledge Hub Jobs & Growth (Part I) – Global Gateway Support Mechanism (GGSM) OPSYS/CRIS number: NDICI Global Challenges/2021/043-508 financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
2. Team Europe Initiative	No
3. Zone benefiting from the action	All countries
4. Programming document	Global Challenges Multi-Annual Indicative Programme (MIP) 2021-2027
5. Link with relevant MIP(s) objectives/expected results	Priority Area 3: Prosperity in Global Challenges MIP 2021-2027
PRIORITY AREAS AND SECTOR INFORMATION	
6. Priority Area(s), sectors	Transport Energy Digital Water and sanitation Other Social Infrastructure and Services Climate Gender Social inclusion and human development

7. Sustainable Development Goals (SDGs)	Main SDG SDG 9 – Industry, Infrastructure and Innovation Other significant SDG(s) SDG 5 –Gender Equality SDG 6 – Clean Water and Sanitation, SDG 7 – Affordable and Clean Energy, SDG 11 – Sustainable Cities and Communities SDG 13 – Climate Action SDG 17 – Partnerships for the Goals			
8 a) DAC code(s)	210 – Transport and storage 230 – Energy 140 – Water and sanitation 160 – Other Social Infrastructure and Services 33120 – Trade facilitation			
8 b) Main Delivery Channel @	European Commission budget – 42000			
9. Targets	<input type="checkbox"/> Migration <input checked="" type="checkbox"/> Climate <input checked="" type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input checked="" type="checkbox"/> Human Rights, Democracy and Governance			
10. Markers (from DAC form)	General policy objective @	Not targeted	Significant objective	Principal objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment @	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Gender equality and women’s and girl’s empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade development	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Reproductive, maternal, new-born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Disaster Risk Reduction @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Principal objective
	Biological diversity @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

11. Internal markers and Tags:	Policy objectives	Not targeted	Significant objective	Principal objective
	Digitalisation @ Tags: digital connectivity digital governance digital entrepreneurship job creation digital skills/literacy digital services	<input type="checkbox"/>	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Connectivity @ Tags: transport people2people energy digital connectivity	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
	Migration @ (methodology for tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities (methodology for marker and tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BUDGET INFORMATION				
12. Amounts concerned	Budget line(s) (article, item): BGUE-B2021-14.020242 Total estimated cost: EUR 11.5 million The contribution is for an amount of EUR 10 million from the general budget of the European Union for financial year 2021 and for EUR 1.5 million for financial year 2022, subject to the availability of the appropriations provided for in the draft general budget of the Union for 2022, following the adoption of that budget by the budgetary authority or as provided for in the system of provisional twelfths.			
MANAGEMENT AND IMPLEMENTATION				
13. Type of financing	Direct management through procurement			

1.2. Summary of the Action

The world still faces a massive gap in financing for investment in new and existing infrastructure, which could generate a serious bottleneck to economic growth and development or provision of secure and reliable public services. In this vein, the G20 has stressed the need to scale up sustainable infrastructure investment. Efforts have been made to find concrete ways to mobilise more private capital, such as the Roadmap to Infrastructure as an Asset Class (“Roadmap”) endorsed by Leaders in 2018. In this context, the aim of pursuing quality infrastructure investment is to maximise the positive economic, environmental, social, and development impact of infrastructure and create a virtuous circle of economic activities, while ensuring sound public finances.

Furthermore, the concept of quality infrastructure is embedded in the European Consensus on Development, which establishes in its chapter ‘2.3. Prosperity - Inclusive and sustainable growth and jobs’ that “the EU and its Member States will support the design, construction and operation of quality infrastructures and buildings that are more resource- and energy-efficient. They will support the development of sustainable, low-emission, interconnected and secure mobility and transport networks and other resilient and climate-friendly infrastructure”.

Infrastructure investments and sustainable connectivity are key drivers for growth. The 2018 Joint Communication 'Connecting Europe and Asia: building blocks for an EU strategy'¹, laid out a pathway towards better connectivity and whilst its focus is on Asia, its principles are robust, operational and apply globally. Steps are now being taken to extend the scope of the strategy worldwide.

The Action will contribute to reduce the infrastructure gap by enhancing capacity and skills development of decision-makers, agencies and regulators, responsible for the policy and regulatory frameworks, related to the development of the connectivity agenda and the application of good practices on quality infrastructure throughout the infrastructure life cycle, in particular for the transport sector, with a focus on decarbonisation, resilience, operation and maintenance.

The action will apply gender equality and human rights-based approach and especially promote projects that benefit those furthest behind and living in vulnerable situations, including women, children and people with disabilities.

This intervention will primarily contribute to achieve SDG 9, as well as SDG 5, 6, 7, 11, 13 and 17.

2. RATIONALE

2.1. Context

Political and Financial outlook:

In 2019, the EU endorsed the G20 Principles for Quality Infrastructure Investment that aim at maximizing the positive impact of infrastructure to achieve sustainable growth and development. The G20 has highlighted the importance of the quality of infrastructure investment, including in the Leaders' Communiqué at the 2016 Hangzhou Summit, and in the Roadmap. In infrastructure, quantity and quality can be complementary. A renewed emphasis on quality infrastructure investment will build on the past G20 presidencies' efforts to mobilize financing from various sources, particularly the private sector and institutional sources including multilateral development banks, thereby contribute to closing the infrastructure gap, develop infrastructure as an asset class, and maximizing the positive impacts of infrastructure investment according to country conditions.

In addition, the EU's connectivity Strategy was adopted in 2018. Initially focusing on Asia, steps are now being taken to extend the scope of the strategy worldwide. A Connectivity Partnership with Japan was signed in September 2019 and another with India has been signed in May 2021. Connectivity is raising fast in the EU political agenda and has also been referenced in a number of EU joint communications and statements in the last years (Africa, ASEAN, Indo-Pacific, etc.), and, in July 2021, the Council approved conclusions on "A Globally Connected Europe", highlighting the need for the EU to pursue a geostrategic and global approach to connectivity.

Rationale and Assessment:

The expected output of the action will be to support the EU international agenda on quality infrastructure and connectivity (both "hard" and "soft") with third countries that delivers environmental, economic, social and financial sustainability. The EU's internal experience enables it to promote an approach to connectivity and quality infrastructure that is comprehensive, sustainable and rules-based. This intervention will primarily contribute to achieve SDG 9, as well as SDG 5, 6, 7, 11, 13 and 17. Through research, innovation and knowledge, the EU will assist to build a model of connectivity and quality infrastructure that can support the modernisation of investment in partner countries addressing EU principles and values towards more green and inclusive sustainable investment and a level playing field. The action will support developing a framework for the promotion of high social, environmental and governance standards, taking fully into account climate change impacts and the transition to low-carbon economies and including financial sustainability and transparency, applying a gender equality and human rights-based approach. The action will also contribute to the work on the EU's Global Recovery Initiative and to the implementation of the EU Gender Action Plan III, ensuring that quality infrastructures financed benefit women and men's needs equally. Infrastructure investments can directly and indirectly impact women's economic empowerment: directly through jobs creation within the formal and informal sector; indirectly through either increasing women's access to the job market or through facilitating women in (household) tasks which lowers the time they spend on unpaid work.

¹ <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=JOIN:2018:031:FIN>

2.2. Problem Analysis

The world still faces a massive gap in financing for investment in new and existing infrastructure, and available resources could be used in a more effective way. In this context, quality infrastructure could result in a better allocation of resources, more efficiency, enhanced capacities, skills upgrade and improvement of productivity for local economies. This impetus would improve the potential for economic growth, leading to widening of the investor base, crowding-in more private investment, and resulting in further improvement in economic fundamentals. This could facilitate trade, investment, and economic development while also contributing to reduced inequalities, poverty and enhanced gender equality. All these expected outcomes of the investment should be considered in the project design and planning.

In addition, infrastructure investment should take into account economic, environmental and social, and governance aspects, and be guided by a sense of shared, long-term responsibility for the planet consistent with the 2030 Agenda for Sustainable Development, national and local development strategies, and relevant international commitments, and in the spirit of meaningful and inclusive consultation and decision making, joint efforts and shared benefits, especially for those furthest behind.

Given the increasing number and magnitude of natural disasters there is an urgent need to ensure long-term adaptability and build resilience of infrastructure against these risks. Moreover, infrastructure should be inclusive, enabling the economic participation and social inclusion of all. Economic, social, human rights and gender impacts, such as fair expropriations or resettlements, should be considered as important aspects when assessing the quality of infrastructure investment and should be managed systematically throughout the project life-cycle promoting inclusive consultation and decision making of affected communities. All these aspects are integrated in the G20 Principles for Quality Infrastructure Investment and need to be applied globally to achieve transformative impact.

On the other hand, the EU connectivity agenda (“hard” and “soft” connectivity) needs to be promoted at global level, based on the positive experience of the connectivity policies at EU level. Connectivity brings countries, people and societies closer together. It facilitates access and is a means to foster deeper economic and people-to-people ties. It encompasses the hard and soft aspects, including the physical and institutional social-cultural linkages that are the fundamental supportive means to enhance the economic, political-security, and socio-cultural ties between Europe and the rest of the world, which also contribute to the narrowing of the varying levels of development and capacities. Even if connectivity is usually perceived in terms of infrastructure links, connectivity has a crucial human dimension and people’s interests and human rights should be at the core of any policy.

EU’s connectivity policies aim at promoting efficiency and enhancing connectivity on a global scale, with emphasis on people’s benefits and rights. Today’s global interconnectivity is more than a source of opportunities. Being the backbone of today’s modern society and the key for its efficient functioning, interconnectedness also spreads major risks throughout the world, offering to global actors a foreign policy tool to shape and direct international and human relationships. These objectives are supported by policies on sustainable development, decarbonisation, digitalisation, investment, innovation and global leadership. The EU experience enables it to promote an approach to connectivity, which is sustainable, comprehensive and rules-based.

3. DESCRIPTION OF THE ACTION

3.1. Objectives and Expected Outputs

The overall objective is to facilitate that EU policy on quality infrastructure and connectivity is adequately embedded under a harmonised approach at the country and regional level, providing technical support to identify priority areas of investment with partner countries and other stakeholders. It will focus in particular the transport sector in core topics not covered elsewhere, with an emphasis on the cross-sectoral ones.

The specific objectives/outcomes relate to:

1. promote overarching quality infrastructure and sustainable connectivity policies and strategies (“hard” and “soft” connectivity);
2. support further developments of G20 Principles for quality infrastructure investment, aligned with the Green Deal and Team Europe initiatives and EU Gender Action Plan III; and
3. share and integrate quality infrastructure good practices into the EU cooperation;
4. operationalise the EU global strategy on connectivity.

The outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are:

- 1.1 contributing to Outcome 1 (or Specific Objective 1): quality infrastructure and connectivity concepts that also include inclusive, social and gender aspects (including analysis) are promoted in the partner countries.
- 2.1 contributing to Outcome 2 (or Specific Objective 2): G20 Principles for quality infrastructure investment are developed in the relevant sector policies and strategies of the partner countries (in a gender responsive way) and fully in line with the Green Deal.
- 3.1 contributing to Outcome 3 (or Specific Objective 3): G20 Principles for quality infrastructure investment are applied and integrated in the EU cooperation with third countries.
- 4.1 contributing to Outcome 4 (or Specific Objective 4): the identification and implementation of strategic interventions on connectivity are supported.

3.2. Indicative Activities

The Action will ensure a flexible architecture developed around relevant topics, such as global corridors and logistics; the integration of environment, climate change and DRR; social considerations (including gender equality and human rights) and security in infrastructure projects; maintenance and asset management; EU connectivity strategy, etc.

It will enhance capacity and skill development of decision-makers, agencies and regulators, responsible for the policy and regulatory frameworks, as well as facilitate the application of good practices, including the carrying out environmental and social (including gender and human rights) analysis and meaningful consultations and inclusive decision-making with affected communities, throughout the infrastructure life cycle, with a focus on decarbonisation, resilience (including to the impacts of climate change), operation and maintenance.

Under the mechanism, technical assistance packages will be developed and implemented. The packages will vary across the countries, depending on the status of their current sector policies, and the specific gaps and barriers to overcome for scaling up, implementing reforms, attracting investments, and developing infrastructure projects. The technical assistance will be provided taking into account the willingness of the country to demonstrate the necessary political commitment to undertake appropriate reforms.

Key stakeholders will be partner countries, EU Delegations, International Financing Institutions (IFIs) and affected communities. Other international organisations could also be involved in specific cases with strategic value for the EU interests.

Below, a number of activity areas have been identified to illustrate the various aspects that may be covered by the **GGSM** in a specific country, with a specific focus on the transport sector:

Output 1: Initial mapping and establishing national and regional quality infrastructure and connectivity sector related policies including planning, regulations and reforms.

This output will aim at assisting beneficiary countries to establish quality infrastructure and connectivity strategies and policies. It will be based on stocktaking of the existing framework of policies, strategies and regulations guiding the sectors, on-going reform programmes and identification of gaps, on social and gender impact analysis, contributing to a gender equality and human rights based approach. It will define and support sector policy formulation as well as the development of subsequent regulatory instruments, including on efficiency, low-carbon and social issues.

It will also define quality infrastructure and connectivity sector reforms programmes clearly identifying actions and time frames, as well as legislative measures aiming at attracting public and private investments through several possible schemes, including where appropriate Private Public Partnerships (area concessions).

When a policy framework is in place in the beneficiary country, the mechanism will provide the necessary assistance and support for its implementation.

Output 2: Capacity building on G20 Principles for quality infrastructure investment

This output will target improving institutional capacity for actors relevant to the policy and regulatory framework, e.g. developing the capacity in programs and policy design, quality infrastructure and connectivity scenarios and perspectives, maintenance, economic and technical studies, financial schemes, institutional frameworks, private

sector participation, social, (including gender and human rights) and environmental and climate issues, disaster risk reduction, monitoring and evaluation etc.

Output 3: Technical support in programming and preparation of projects

This output will aim at assisting the beneficiary countries in developing their domestic technical, environmental and economic capacities for the elaboration and design of quality infrastructure and connectivity studies, programs and projects. It will in particular assist the countries in prioritizing their policy options and infrastructure projects, preparing their pre-feasibility studies and acquire the necessary knowledge to discuss and promote their possible financing with the IFIs as well as public and private domestic and international sector. Using this approach helps choose between repairing or upgrading an existing infrastructure or launching a new project.

G20 Principles for quality infrastructure investment will apply, including issues related to economic, environmental and social sustainability, life-cycle cost considerations, sustainable and transparent procurement and mitigation of corruption risks. Project preparation, as set out in the G20 Principles for the Infrastructure Project Preparation Phase is crucial in this regard. Feasibility studies could be launched in order to understand if the QI principles are adequately integrated in the projects preparation. Specific aspects related to decarbonisation, promotion of nature-based solutions and green infrastructures, digitalisation, gender equality and other social considerations or climate change impacts and disaster risk reduction should be developed in complement to infrastructure planning. Economic and operational efficiency and development of multi-modality can also be taken into consideration as possible interventions.

Output 4: Operationalisation of the EU connectivity strategy

In close cooperation with JRC and relevant EU research and academic institutions, this output will entail studies to support the EU internal decision-making process establishing the most appropriate areas and regions of investment in relation to the EU connectivity agenda and in line with the Green Deal.

3.3. Mainstreaming

This Action will follow the integrated quality infrastructure investment G20 Principles that support through the infrastructure life cycle the analysis on climate change, environmental protection, disaster risk reduction, social considerations (in particular addressing gender and inequalities and protecting human rights) and good governance.

QI principles 3 Integrating Environmental Considerations in Infrastructure Investments, 4 Building Resilience against Natural Disasters and Other Risks, and 5: Integrating Social Considerations in Infrastructure Investment, well reflect the contribution to environment, climate, DRR and social targets.

The human rights based approach (HRBA)² and its working principles will be integrated throughout the Action and it will contribute towards the priorities of the Gender Action Plan (GAP) III³.

The focus on sustainable transport will contribute to efforts to combat climate change and environmental degradation, to improved transport efficiency and economic development of the respective countries and regions. Alternative modes of transport (i.e. rail, water, public transport, cycling as opposed to roads), as well as nature-based solutions and green infrastructures, will be explicitly promoted.

The initiative will also contribute to better governance in the transport sector, and will address the need for improved national regulation and incentives that will enable the development towards a more efficient, sustainable and reliable transport system.

² https://ec.europa.eu/international-partnerships/news/taking-forward-commitment-reducing-inequalities-human-rights-based-approach-toolbox-adopted_en

³ https://ec.europa.eu/international-partnerships/system/files/join-2020-17-final_en.pdf

3.4. Risks and Lessons Learnt

Risks	Risk level (H/M/L)	Mitigating measures
There is overlapping between the tasks assigned to the TA and activities carried out by other stakeholders on quality infrastructure and connectivity	L	Dialogue among stakeholders to share responsibilities
The policy dialogue could potentially not always translate into concrete decisions about priorities of reform or investment priorities	M	Steering, coordination mechanisms and follow up mechanisms will be put in place to facilitate and follow implementation of the dialogue
Despite an agreement on policy reforms and priorities for reform, there could be some reluctance or delays in the concrete implementation of the decisions	M	The level of inclusiveness of the dialogue should facilitate the appropriation of the reforms and their acceptance
Lack of will in pursuing the leading role in the implementation of identified priorities for policies and reforms	L	The action will embed the needs of the main actors within the TA. It will be complementary with NDICI programmes/projects at national/regional level to effectively engage in the dialogue and implement identified priorities
The choice of investment reinforce gender inequality and threatened human rights of local populations	M	The action will implement a human right based approach. For projects affecting indigenous peoples, the principle of Free, Prior and Informed Consent will be applied.
Lessons Learnt: <p>The action will take into account the recommendations of the EU-Africa Task Force on Transport and Connectivity. Its report builds recommendations along the key pillars of sector policy and sustainability, smart and multi-modal corridor development and investment promotion. This will fundamentally support the creation of enabling sector, incentivise the involvement of the private sector and scale-up the innovative funding needed. The report further highlights the need to move towards integrated, smart, multi-modal corridor approaches with the objective to reap the full potential of digitalisation as well as linking urban corridors to such concepts.</p>		

3.5. The Intervention Logic

The Action is designed to support actors managing or implementing EU cooperation programmes at global, regional and country level (in particular EU Delegations, EU Headquarters and partner countries) to assess, design, monitor and evaluate connectivity and quality infrastructure interventions.

3.6. Logical Framework Matrix

On the basis of this logframe matrix, a more detailed logframe may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.

- The final report should enclose the logframe with baseline and final values for each indicator.
- Indicators will be included that cover the targets for environment, climate mitigation and adaptation, and DRR

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

Logical Framework Matrix

Results	Results chain Main expected results (maximum 10)	Indicators (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
Impact	EU policy on quality infrastructure and connectivity is adequately embedded under a harmonized approach at the country and regional level, providing technical support to identify priority areas of investment with partner countries and other stakeholders	1. number of countries where quality infrastructure and connectivity activities are developed		tbd	TA reports and statistics	<i>Not applicable</i>
Outcome 1	Overarching quality infrastructure and connectivity policies and strategies are promoted	1.1 number of countries where quality infrastructure and connectivity concepts are promoted (encompassing inclusive, social and gender aspects)		tbd	TA reports and statistics	
Outcome 2	Further developments of G20 Principles for quality infrastructure investment, aligned with the Green Deal and Team Europe initiatives are supported	2.1 number of countries where G20 Principles for quality infrastructure are developed 2.2 number of quality infrastructure related interventions		tbd	TA reports and statistics	
Outcome 3	Quality infrastructure good practices and principles are shared and integrated into the EU cooperation	3.1 number of quality infrastructure interventions integrated in EU cooperation activities		tbd	TA reports	
Outcome 4	Operationalise the EU global strategy on connectivity					
Output 1 related to Outcome 1	Quality infrastructure and connectivity concepts are promoted in the partner countries	1.1.1 number of sector plans developed (and complying with a gender and human rights based approach) 1.1.2 number of regulations adopted (and complying with a gender and human rights based approach) number of reforms promoted (and complying with a gender and human rights based approach)		tbd	TA reports	
Output 1 related to Outcome 2	Capacity building on G20 Principles for quality infrastructure investment	2.1.1 number of interventions applying G20 principles on quality infrastructure (including separately the number applying Principle 5 on social considerations) 2.1.2 number of capacity building actions developed		tbd	TA reports	

Output 1 related to Outcome 3	G20 Principles for quality infrastructure investment are applied and integrated in the EU cooperation with third countries	3.1.1 number of projects supported 3.1.2 number of studies developed (including separately whether environmental, social, gender and human rights aspects are incorporated)		tbd	TA reports	
Output 1 related to Outcome 4	EU connectivity strategy becomes operational	4.1.1 number of actions supported 4.1.2 number of studies developed		tbd	TA reports	

4. IMPLEMENTATION ARRANGEMENTS

4.1 Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement.

4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is 48 months from the date of signature of the service contract.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending the relevant contracts and agreements.

4.3 Implementation modality

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures

4.3.1 Direct Management (Procurement)

The intended implementation modality is under direct management (procurement), through service contract(s) to be procured and managed by the Unit in charge of Sustainable Transport and Urban Development within the Directorate General for International Cooperation and Development, with most of the activities to be carried out on demand, upon request by the EU Delegations. This implementation modality will cover the overall objective to facilitate that EU policy on quality infrastructure and connectivity is adequately embedded at the country and regional level, providing technical support to identify priority areas of investment with partner countries and other stakeholders, and will cover all the activities mentioned in chapter 3.2. Indicative Activities.

4.3.2 Changes from direct to indirect management mode (and vice versa) due to exceptional circumstances

According to the provisions of the Financial Regulation on indirect management, in case of exceptional circumstances outside the control of the Commission, part of may be implemented in indirect management with an entity, which will be selected by the Commission's services using the following criteria: operational capacity, policy support capacity and value added in the fields of quality infrastructure and connectivity.

Alternatively, the conclusion of an administrative agreement with JRC under direct management could also be envisaged.

4.4 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

4.5 Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)
Implementation modalities – cf. section 4.3	
Objectives/Outputs 1 to 4 – Direct Management (Procurement) – cf. section 4.3.1	11,500,000
Evaluation – cf. section 5.2 Audit – cf. section 5.3	will be covered by another Decision
Communication and visibility – cf. section 6	N.A.
Totals	11,500,000

4.6 Organisational Set-up and Responsibilities

The action will enhance capacity and skills development of decision-makers, agencies and regulators, responsible for the policy and regulatory frameworks, as well as facilitate the development of the connectivity agenda and the application of good practices on quality infrastructure throughout the infrastructure life cycle, with a focus on decarbonisation, operation and maintenance.

The overall implementation of the action will be managed by the Unit in charge of Sustainable Transport and Urban Development within the Directorate General for International Partnership and a quality control and good level of monitoring will be ensured during implementation.

Adequate structures for coordination and follow-up of the action will be established on a case by case basis with the partner countries in the context of the different interventions.

5. PERFORMANCE MEASUREMENT

5.1 Monitoring and Reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (Outputs and direct Outcomes) as measured by corresponding indicators, using as reference the logframe matrix. Indicators shall be disaggregated by sex, age and disability at a minimum. All monitoring and reporting shall assess how the action is taking into account the human rights based approach and gender equality

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.2 Evaluation

Having regard to the importance of the action, a mid-term evaluation will be carried out for this action or its components via independent consultants contracted by the Commission.

The evaluation reports shall be shared with the partner countries and other key stakeholders following the best practice of evaluation dissemination. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner countries, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project. All evaluations shall assess to what extent the action is taking into account the human rights-based approach

as well as how it contributes to gender equality and women's empowerment. Expertise on human rights and gender equality will be ensured in the evaluation teams.

Evaluation services may be contracted under a framework contract.

5.3 Audit and Verifications

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audit or verification assignments for one or several contracts or agreements.

6. STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt a new approach to pooling, programming and deploying strategic communication and public diplomacy resources.

It will remain a contractual obligation for all entities implementing EU-funded external actions to inform the relevant audiences of the Union's support for their work by displaying the EU emblem and a short funding statement as appropriate on all communication materials related to the actions concerned. This obligation will continue to apply equally, regardless of whether the actions concerned are implemented by the Commission, partner countries, service providers, grant beneficiaries or entrusted or delegated entities such as UN agencies, international financial institutions and agencies of EU member states.

However, action documents for specific sector programmes are no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

APPENDIX 1 REPORTING IN OPSYS

An Intervention (also generally called project/programme) is the operational entity associated to a coherent set of activities and results structured in a logical framework aiming at delivering development change or progress. Interventions are the most effective (hence optimal) entities for the operational follow-up by the Commission of its external development operations. As such, Interventions constitute the base unit for managing operational implementations, assessing performance, monitoring, evaluation, internal and external communication, reporting and aggregation.

Primary Interventions are those contracts or groups of contracts bearing reportable results and respecting the following business rule: 'a given contract can only contribute to one primary intervention and not more than one'. An individual contract that does not produce direct reportable results and cannot be logically grouped with other result reportable contracts is considered a 'support entities'. The addition of all primary interventions and support entities is equivalent to the full development portfolio of the Institution.

Primary Interventions are identified during the design of each action by the responsible service (Delegation or Headquarters operational Unit).

The level of the Primary Intervention is defined in the related Action Document and it is revisable; it can be a(n) (group of) action(s) or a (group of) contract(s).

Tick in the left side column one of the three possible options for the level of definition of the Primary Intervention(s) identified in this action.

In the case of 'Group of actions' level, add references to the present action and other action concerning the same Primary Intervention.

In the case of 'Contract level', add the reference to the corresponding budgetary items in point 4.6, Indicative Budget.

Option 1: Action level		
<input checked="" type="checkbox"/>	Single action	Present action: all contracts in the present action Objectives/Outputs 1 to 4 – Direct Management (Procurement) – cf. section 4.3.1
Option 2: Group of actions level		
<input type="checkbox"/>	Group of actions	Actions reference (CRIS#/OPSYS#): <Present action> <Other action>
Option 3: Contract level		
<input type="checkbox"/>	Single Contract 1	
<input type="checkbox"/>	Single Contract 2	<foreseen individual legal commitment (or contract)>
<input type="checkbox"/>	Single Contract 3	<foreseen individual legal commitment (or contract)>
	(...)	
<input type="checkbox"/>	Group of contracts 1	<foreseen individual legal commitment (or contract) 1> <foreseen individual legal commitment (or contract) 2> <foreseen individual legal commitment (or contract) #>