



**Manual to help Member States programme for  
the  
Asylum, Migration and Integration Fund and  
Internal Security Fund  
of the 2014–20 Multiannual Financial  
Framework**

DIRECTORATE-GENERAL FOR HOME AFFAIRS

*Version 2, 10 October 2014*

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Change log

Version	Date published	Changes
1	31/03/2014	Initial version (v8)
2	10/10/2014	<p><b><u>General</u></b></p> <ul style="list-style-type: none"> <li>• adaptation to the templates for NPs, as adopted in the relevant implementing regulation.</li> <li>• adaptation to the stage of the formal submissions of NPs – removal of outdated references to the informal stage.</li> <li>• general language editing.</li> </ul> <p><b><u>2. Programming under the MFF 2014-2020</u></b></p> <ul style="list-style-type: none"> <li>• recently adopted regulations added (section 2.1).</li> <li>• section 2.3 has been further adapted to clarify when and how the eligibility of costs will be assessed by the Commission.</li> </ul> <p><b><u>3. Drafting guidance for the National Programmes</u></b></p> <ul style="list-style-type: none"> <li>• in section 3.2 the importance of the logic of intervention has been further emphasised and explained in more detail.</li> <li>• In the template guidance (section 3.3), the following revisions have been made: <ul style="list-style-type: none"> <li>○ NP section 1: more guidance has been provided on how to define the national strategies and it has been suggested that the distribution of the funds in the NP can be included in the summary.</li> <li>○ NP section 2: general guidance has been given on the breakdown of national resources. More specific guidance on the national resources per instrument can be found in sections 3.3.2, 3.3.3 and 3.3.4.</li> <li>○ NP section 3: further clarification has been given on how to approach the distinction between national objectives and funding priorities. Additional guidance has also been provided on formulating actions (funding priorities) and desired outcomes/results.</li> <li>○ NP section 5: the text on the indicators has been further clarified.</li> <li>○ NP section 7: the text has been clarified and more explanation has been given of the composition of the basic amount.</li> </ul> </li> </ul>

		<ul style="list-style-type: none"><li>○ The text related to the minimum percentages has been redrafted to reflect better the spirit of the basic regulations.</li><li>○ New section 3.3.1 provides information on how the Commission assesses funding priorities in the NPs.</li><li>○ In section 3.3.3 of the specific guidance on ISF-Borders, changes have been made to the guidance on SO1/NP1: National capacity – visa and on SO3: Operating Support.</li><li>○ A new sub-section within 3.3.4 explains the eligible costs under the NPs for the Smart Borders package.</li><li>○ A new section (3.3.5) detailing the cross-cutting issue of categorisation of actions related to ILOs and to EURODAC.</li></ul> <p><b><u>4. Check lists</u></b></p> <ul style="list-style-type: none"><li>• The check lists have been revised to reflect the wording of the templates for the NPs, as adopted in the relevant implementing act, and updated to serve the formal stage of submissions of the programmes.</li></ul>
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## 1. INTRODUCTION

For the years 2014–20 the number of financial instruments in the area of home affairs is reduced from the current six (EBF, ERF, RF, EIF, ISEC and CIPS)<sup>1</sup> to two with an overall budget of EUR 6.9 billion.<sup>2</sup>

- The **Asylum, Migration and Integration Fund (AMIF)** will focus on people flows and the integrated management of migration. It will support actions addressing all aspects of migration, including asylum, legal migration, integration and return.
- The **Internal Security Fund (ISF)** will support the implementation of the Internal Security Strategy and the EU approach to law enforcement cooperation (ISF Police), as well as the management of the EU's external borders and the common visa policy (ISF Borders). It will also cover the development of new IT systems, such as the future Entry-Exit System and the Registered Traveller Programme.

Home affairs funding under the 2014–20 Multiannual Financial Framework (MFF) will support relevant policy developments at EU level through the general objectives of the two Funds.

- **In the area of migration, integration and asylum:** *to contribute to the efficient management of migration flows and to the implementation, strengthening and development of the common policy on asylum, subsidiary protection and temporary protection and the common immigration policy, while fully respecting the rights and principles enshrined in the Charter of Fundamental Rights of the European Union.*
- **In the area of internal security and borders:** *to contribute to ensuring a high level of security in the Union while facilitating legitimate travel, through a uniform and high level of control of the external borders and the effective processing of Schengen visas, in compliance with the Union's commitment to fundamental freedoms and human rights.*

### 1.1. Why have a manual on programming?

The reduction in the number of Funds and the application of a set of common rules will streamline procedures and make it **easier for all stakeholders to**

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<sup>1</sup> These six financial instruments are: the External Borders Fund (EBF), the European Refugee Fund (ERF), the European Return Fund (RF), the European Fund for the Integration of non-EU immigrants (EIF), the Programme [Prevention of and Fight against Crime](#) (ISEC) and the Prevention, Preparedness and Consequence Management of Terrorism and other Security-related Risks (CIPS) programme.

<sup>2</sup> Further information about these Funds is available at [http://ec.europa.eu/dgs/home-affairs/financing/fundings/index\\_en.htm](http://ec.europa.eu/dgs/home-affairs/financing/fundings/index_en.htm).

**understand the rules.** Funding will mainly be implemented under **shared management**. This is unprecedented in police cooperation and crime prevention. EU actions (specific transnational or particularly innovative projects, including actions in and in relation to third countries), the flexible emergency response mechanism and the technical assistance the Commission provides will continue to be **centrally managed**. Moving from annual programmes to a system of **results-driven multiannual National Programmes (NPs)** covering the whole **seven-year MFF period** also alleviates the administrative burden. Annex I provides more details about the breakdown of the Funds' amounts for each implementation method.

Given these changes in the way home affairs funding is organised, there is a need for a manual on programming to help Member States (MS)<sup>3</sup> draft **clear, comprehensive and appropriate national programmes that are of comparable quality, follow the intervention logic and are in line with the regulatory framework**.

Bearing in mind how important it is to reach as wide an audience as possible, answer a maximum of MS questions and reduce the amount of time it takes to prepare the draft NPs and facilitate their approval, this manual aims to achieve the following:

- Re-state the programming process;
- Identify good practices and address the specific areas of concern or weakness identified by the Commission and/or the MS in question in the course of review during the programming phase;
- Bring the NPs into line with each other as much as possible by
  - presenting the key principles of programming that can help the MS achieve the Funds' objectives;
  - providing comprehensive guidance on content and the minimum requirements to be fulfilled in drafting and revising the NP before it is approved;
- Clarify the timeline and modalities of approval of the programmes.

## **1.2. Who is this document intended for and how should it be used?**

It is mainly intended for the services involved in national programming for the AMIF and the ISF in the competent authorities of each MS, but it also serves the needs of all partners and stakeholders. It should be disseminated to this entire audience so that everyone dealing with programming is familiar with its contents and has the same understanding of the programming process, the programming requirements and the wider context.

The AMIF and ISF follow the same programming process. This document is

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<sup>3</sup> For the implementation of the parts relevant to Schengen, the term Member States shall also cover the Schengen associated countries.

therefore intended to be valid for both Funds, with supplementary guidance on specific fund-related issues where appropriate.

The guidance in this document aims to provide **general** information to help all MS draft their support the preparation of NPs. However, the NP must also reflect any **specific** national situation discussed in the policy dialogue. This may require more detailed information than what is generally set out in this document.

## 2. PROGRAMMING UNDER THE 2014–20 MFF

### 2.1. Regulatory framework

The regulatory framework governing the two Funds forms the basis for the programming phase. It is important that those involved in this phase have a proper understanding of the relevant regulations, Implementing and Delegated Regulations and use them as a basis for preparing the NPs. Since the relevant regulatory framework entered into force, it has been possible to formally submit the NPs. The overall regulatory framework includes the following.

- Basic regulations (three specific regulations and one horizontal regulation)
  - Regulation (EU) No 516/2014 of the European Parliament and of the Council of 16 April 2014 establishing the Asylum, Migration and Integration Fund, amending Council Decision 2008/381/EC and repealing Decisions No 573/2007/EC and No 575/2007/EC of the European Parliament and of the Council and Council Decision 2007/435/EC (the AMIF Regulation)
  - Regulation (EU) No 515/2014 of the European Parliament and of the Council of 16 April 2014 establishing, as part of the Internal Security Fund, the instrument for financial support for external borders and visa and repealing Decision No 574/2007/EC (the ISF Borders Regulation)
  - Regulation (EU) No 513/2014 of the European Parliament and of the Council of 16 April 2014 establishing, as part of the Internal Security Fund, the instrument for financial support for police cooperation, preventing and combating crime, and crisis management and repealing Council Decision 2007/125/JHA (the ISF Police Regulation)
  - Regulation (EU) No 514/2014 of the European Parliament and of the Council of 16 April 2014 laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, preventing and combating crime, and crisis management (the Horizontal Regulation)
- Implementing Regulations
  - COMMISSION IMPLEMENTING REGULATION (EU) No 802/2014 of 24 July 2014 establishing models for the national programmes and establishing the terms and conditions of the electronic data exchange system between the Commission and Member States pursuant to Regulation (EU) No 514/2014 of the European Parliament and of the Council laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, prevention and combating crime and crisis management
  - COMMISSION IMPLEMENTING REGULATION (EU) No 799/2014 of 24 July 2014 establishing models for the annual and final implementation reports



pursuant to Regulation (EU) No 514/2014 of the European Parliament and of the Council laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, prevention and combating crime and crisis management

- COMMISSION IMPLEMENTING REGULATION (EU) No 800/2014 of 24 July 2014 establishing reporting procedures and other practical arrangements on the financing of operating support under the national programmes and in the framework of the Special Transit Scheme pursuant to Regulation (EU) No 515/2014 of the European Parliament and of the Council establishing, as part of the Internal Security Fund, the instrument for financial support for external borders and visa
- COMMISSION IMPLEMENTING REGULATION (EU) No 801/2014 of 24 July 2014 setting out the timetable and other implementing conditions related to the mechanism for the allocation of resources for Union Resettlement Programme under the Asylum, Migration and Integration Fund
- COMMISSION IMPLEMENTING REGULATION (EU) No 1049/2014 of 30 July 2014 on technical characteristics of information and publicity measures pursuant to Regulation (EU) No 514/2014 of the European Parliament and of the Council laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, prevention and combating crime and crisis management
- COMMISSION IMPLEMENTING REGULATION (EU) No .../... of XXX establishing templates for annual accounts, management declaration, annual summary of final audit reports and of controls carried out, and audit opinion
- COMMISSION IMPLEMENTING REGULATION (EU) No .../... of XXX establishing modalities and procedures for annual and conformity clearance of accounts
- COMMISSION IMPLEMENTING REGULATION (EU) No .../... of XXX on general principles on controls by Responsible Authorities
- Delegated Regulations:
  - COMMISSION DELEGATED REGULATION (EU) No 1042/2014 of 25 July 2014 supplementing Regulation (EU) No 514/2014 with regard to the designation and management and control responsibilities of Responsible Authorities and with regard to status and obligations of Audit Authorities
  - COMMISSION DELEGATED REGULATION (EU) No .../... of XXX supplementing Regulation (EU) XXX/2014 with regard to the common monitoring and evaluation framework

- COMMISSION DELEGATED REGULATION (EU) No 1048/2014 of 30 July 2014 laying down information and publicity measures for the public and information measures for beneficiaries pursuant to Regulation (EU) No 514/2014 of the European Parliament and of the Council laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, preventing and combating crime, and crisis management

## 2.2. National Programmes

When preparing draft NPs, each MS should consider the following:

- its baseline situation, namely:
  - analysis of the requirements (including key issues from the policy dialogue) and the factual information needed to assess them;
  - measures taken so far (including those taken under the former home affairs Funds);
  - an assessment of its national needs, including any gaps identified in relevant evaluations;
  - the national budget resources available for each NP-specific objective.
- its national priorities and where EU funding can generate the biggest added value in achieving common EU objectives;
- the qualitative and quantitative results it wants to achieve by the end of the programming period;
- its intentions for implementing Specific Actions under both Funds and for resettling/transferring beneficiaries of international protection under the Asylum, Migration and Integration Fund;
- any issues that could affect the preparation of the programmes, such as the financing plan, strategies which require interventions under more than one Fund, queries about the relevance of any particular actions envisaged against the list set out in the Regulation, etc.;
- whether the management and control systems and procedures in place for the current Solidarity and Management of Migration Flows (SOLID) Funds have worked well. In any case, they will have to be adapted to the new legal requirements arising out of the Horizontal Regulation (no certifying authority, clearance of accounts, etc.);
- complementarity of the NPs to the work of the EU home affairs agencies;
- complementarity to other EU funding programmes, in particular the structural and investment Funds, should also be ensured. In the context of the AMIF, in particular with regard to integration, it should set up the mechanisms for cooperation and coordination between the authorities responsible for managing

interventions under the AMIF and those responsible for managing interventions under the European Social Fund;

- ways of involving all the relevant partners and stakeholders (NGOs, local authorities etc.) in the programming process.

### **2.3. Submission and approval of the National Programmes**

The NPs should be formally submitted through SFC2014.

The informal draft NPs submitted before the entry into force of the relevant regulatory framework and the SFC2014 system form the basis for the formal submissions. This is because they have given the opportunity to MS and the Commission to move towards a shared understanding of the strategies and priorities proposed in the programmes, to help MS finalise their programmes more quickly and speed up approval by the Commission.

The Commission works closely with the competent authority in each MS throughout the programming phase. It does so through comments and observations and helps the MS draft the programmes taking the following aspects into consideration:

- **coherence:** ensuring coherence between the NP and the agreed minutes of the policy dialogue;
- **quality:** assessing the relevance of the strategy presented in the NP to the baseline situation in the MS, the analysis of gaps and any reported changes in the national situation, and assessing the relevance of the actions planned to implement the strategy and the quality of the expected results;
- **compliance:** NP compliance with the relevant regulation(s) under EU law and where applicable under a specific regulation, for the objectives of actions in or in relation to third countries, coherence with the principles and objectives of the EU external action and foreign policy related to the country or region concerned;
- **correctness:** accuracy of financial information and its compliance with the limits and minimum requirements (e.g. on minimum percentages for certain specific or national objectives) specified in the basic regulations. The SFC2014 system will automatically check this before the programme is submitted to the Commission.

MS are to submit 58 NPs (27 for the AMIF and 31 for the ISF) for Commission approval. Once they have been formally submitted review on the draft programmes starts, with the aim of getting formal Commission approval. The process will involve evaluating the programmes submitted and making comments for MS with requests for amended versions, until the programmes are considered

satisfactory and ready for approval, taking into account the legal requirements and the outcome of the policy dialogues.

The NP approval by the Commission constitutes a general endorsement of the scope and nature of the actions set out in the programme the MS intends to implement. The actual eligibility of costs incurred will be assessed only at the time of the submission of the annual accounts and projects reports. The eligibility of the expenditure will be evaluated among other things against the relevant regulations and the objectives in the NP. The principles of eligibility of individual costs are defined in Article 17 of the Horizontal Regulation and can be audited by the Commission or European Court of Auditors. The amount of expenditure the Commission recognises as chargeable to the Fund concerned is only decided on the basis of the evaluation of the annual and final implementation reports of the programme concerned to determine the payment of the balance.

The chart below broadly depicts the NP approval process.



The Horizontal Regulation provides that the NPs may be revised and the Commission may provide guidance on when NPs must be formally revised.

### **3. DRAFTING GUIDANCE FOR THE NATIONAL PROGRAMMES**

To maximise the impact and effectiveness of the planned actions, successful programming under the new home affairs Funds requires careful preparation, consultation and prioritisation. Taking the guidance below into account is, in addition, likely to minimise the need for resubmissions of draft versions of the NPs, speeding up the approval process.

Sections 3.1, 3.2 and 3.3 provide general guidance on drafting the NPs. The three sub-sections of section 3.3 provide specific guidance on the AMIF, ISF Borders and ISF Police.

#### **3.1. General guidance**

Be short and concise. In most sections of the template, there are character limitations built into the SFC2014 system force you to do this, but keep in mind that very lengthy descriptions can hinder overall understanding of the subject-matter. Keep the wording simple, focused, well-structured and jargon-free.

Provide sufficient information. The Commission must have sufficient information to be able to assess whether a sound strategy and an effective delivery plan are in place. This means clearly setting out the funding priorities providing examples of actions.

Fulfil all the requirements. It is important to comply with the relevant regulations and the rules of SFC2014 by completing all sections, especially the financial allocation and indicators section (for actions for which EU funding will be allocated), respecting the limitations on the length of texts, respecting the minimum percentages introduced in the basic regulations for some specific or national objectives. In exceptional cases and only following a detailed explanation included in the NP as to why allocating resources below this level does not jeopardise the achievement of the objective in question MS could deviate from those percentages. If submitting programmes through SFC2014, the system will automatically check compliance with the rules, i.e. the validation criteria for the [AMIF](#) and [ISF](#))

Submission language. The NPs may be submitted in all official languages of the EU. For practical reasons however, MS are encouraged to submit the draft versions of their NPs in English too. This will speed up the approval process and maximise the time available for review on the draft versions.

#### **3.2. Key programming principles**

A number of lessons from the initial exchanges with MS can be summed up in the following programming principles.

Do a comprehensive needs analysis

As a basis for sound planning, a comprehensive needs analysis by each MS is

essential to achieve the Funds' overall objectives. It should be based on a thorough understanding of the baseline situation in the MS and should be supported with statistical data where possible. The key issues paper prepared ahead of the policy dialogues could provide some input. This should enable a clear and relevant connection to be made between the needs identified and the strategy outlined in the NP.

Develop a clear strategy for using EU funding

A simple, clear, needs-driven strategy is essential for providing a framework for the actions to be implemented. It is important to identify from the outset which results EU funding should help achieve and in which areas it can have the greatest added value. To do this, in choosing the actions to be supported by the Funds, MS should always ask themselves 'Does type of action X help address situation Y'?

Bear the main objectives of the Funds in mind

It is important to bear in mind that the objectives of the two Funds can only be achieved if MS's NPs are geared towards helping to develop the area of freedom, security and justice in the EU. To monitor and evaluate the MS' progress towards achieving the Funds' objectives, the Commission and the MS will assess the relevance, effectiveness, efficiency, added value and sustainability of the actions (Article 55 of the Horizontal Regulation). Make sure to prioritise the actions which are in line with these principles.

Keep in mind the outcome of the policy dialogues

The policy dialogues have been an important part of developing this strategy. The NPs should therefore be consistent with the outcome of the policy dialogues. This does not mean that it is acceptable to copy-paste the agreed minutes of the dialogue and MS must explain their choice of actions based on the factual description of the baseline situation and present them in more detail.

Prioritise

MS often choose to cover a wide range of different actions. This risks spreading resources too thinly and making it more difficult to measure the impact of actions. It is important to have a clear idea of how the Funds are to be used and to select a specific range of actions. For example, you may want to help broaden the scope of an action, or to strengthen it in some way, or you may want to develop specific innovations or to provide additional measures for specific target groups.

Follow the logic of intervention

Alongside the principles outlined above, it is essential to systematically ensure the respect of the intervention logic and the assumed cause-effect relationship linking objectives and expected results.

A simple programming method is to follow the logic of intervention in preparing the context of the NPs and subsequently translating this process into the NP:

- recall the relevant principles of the national strategies;
- identify the concrete needs, challenges or problems you want to address using EU funding, and the corresponding actions;

- for each of these needs, challenges or problems, identify the desired outcomes/results you wish to attain with EU funding, where appropriate by considering targets in your analysis;
- translate the result into a concrete indicator and set a target value;
- identify those actions that would contribute to reaching these results or targets in the most logical and effective way;
- finally, allocate the estimated amount of funds that would allow for achieving the envisaged target (desired outcomes/result) and addressing the identified challenge.

The table below gives a (fictive) example of programming using the logic of intervention. Figure 1 in Annex III gives a visualisation of intervention logic in practice.

<b>Stage 1: Identify national strategies</b>	<b>Stage 2: Identify needs, challenges and problems</b>	<b>Stage 3: Decide what the desired outcome(s)/result(s) are</b>	<b>Stage 4: Link the results to indicators and set targets</b>	<b>Stage 5: Identify the main actions</b>
Adequate provision of services for vulnerable persons which cater for their specific needs	Lack of knowledge about how to meet the needs of vulnerable people in the asylum system  (To be outlined in <b>section 2 – Baseline situation</b> )	Greater competence/expertise of officials dealing with asylum seekers so they can identify and meet the needs of vulnerable persons. 60% of staff are able to identify and meet the needs of vulnerable people in the asylum system  (To be put in the NP in <b>section 3</b> as an objective of the strategy described <b>for each specific objective</b> )	Number of staff trained on asylum-related topics with the help of the Fund  95 (target for seven years)	- Putting procedures in place to identify the needs of vulnerable people and providing training for asylum officials - Organising study trips for officials to other MS, to share best practices - Getting training modules translated into the language(s) of MS

Since there is a character limit on the description of the actions that will be supported by the NPs, the stages above will not be included in the programme as such; they are a basis for choosing the priorities of the NP and the related actions that will be implemented in accordance with the programme template. Later on, MS are encouraged to use the intervention logic tables to check how the actions identified relate to the objectives and targets set, and to ensure that the proposed actions address the needs and problems identified.

### 3.3. Template guidance – How to fill in the programme template

As explained under section 3.1, MS should follow the programme template and fulfil all relevant requirements. This section goes through the NP template, providing guidance on what information to give in the various template sections and how to present/format this information.

In addition to this section, the checklists the Commission will use to assess submitted draft NP are given in Annex II. With this information, MS should have a better understanding of the Commission's expectations regarding the information to be given in the programme template.

Note: when reference is made below to a number of characters, spaces count as characters in the maximum number of characters allowed.

#### IDENTIFICATION OF THE DESIGNATED AUTHORITIES

- The names of the authorities and bodies responsible for the management and control system should be provided, along with their contact details and the activities assigned to them. The SFC2014 system will block submission if this is not done.
- Upon designating the Responsible Authority Article 2 (4) of Regulation No 1042/2014 foresees that:  
" ... the Member State shall notify the Commission without delay through SFC 2014. With this notification, the Member State shall transmit documentation setting out:  
  
(a) the main division of responsibilities between the organisational units of the Responsible Authority;  
  
(b) where appropriate, its relationship with delegated authorities, the activities to be delegated, and the main procedures for supervising these delegated activities; and  
  
(c) a summary of the main procedures for processing financial claims from beneficiaries and for authorising and recording expenditure. a notification letter".
- A brief description of the management and control system should be given and it should be indicated whether it is different from the one used for managing the SOLID Funds. ***The length of the inputted text is limited to 900 characters.***

#### SECTION 1: EXECUTIVE SUMMARY

***The length of the inputted text is limited to 5000 characters.***

- This should **summarise the content of the NP** and not contain new information. General national (and if applicable, regional) strategies of the MS



on asylum, migration and integration or internal security should be outlined in this section. The principles of the national approach to issues such as the reception of asylum seekers, integration, legal migration, return and resettlement should be outlined for the AMIF. For the ISF the national approach to border management, visa issues and consular cooperation, crime prevention and combating crime, the management of civil protection risks and crises and the protection of vital infrastructure should be outlined. This is crucial for the Commission to be able to fully assess how the strategy for EU funding fits into the overall national strategies and policy framework. An example of how to summarise the national strategies is: 'The pillars of the integration strategy of MS X are: 1) a decentralised approach in which projects are implemented locally if possible, 2) intensive language and vocational training for vulnerable groups and 3) full access to medical care, education and the labour market for TCN.'

- The main goals and results to be achieved for the next seven years should be identified.
- The summary should avoid specific references to places or projects because if they change the summary would be invalid.
- The summary can also contain a concise explanation of the planned distribution of the allocation to the specific objectives.

## SECTION 2: BASELINE SITUATION IN THE MS

***The length of the inputted text is limited to 14000 characters.***

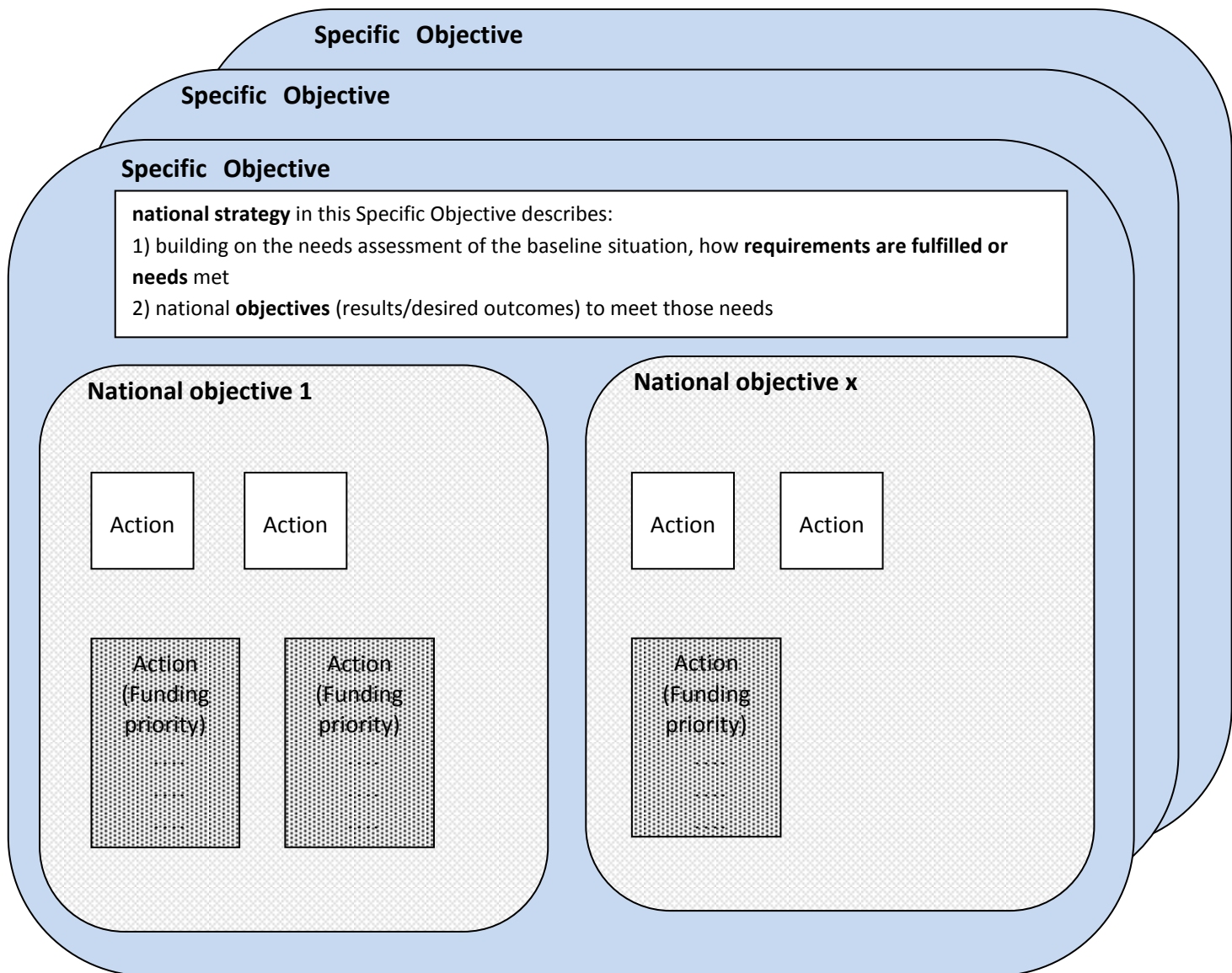
- Most of all, this section should clearly outline the MS's **current needs and challenges**, based on a **critical review** of the current situation and the resources available.
- The baseline situation should include an analysis of the requirements (current needs including challenges identified in relevant evaluations) and refer to the key issues from the policy dialogue where appropriate.
- It should contain the most recent **factual and verifiable information** on the state of play in the MS, corroborated by data. This information should be sufficient for a thorough assessment of the requirements.
- The baseline does not need to contain the historical situation. It may briefly refer to relevant examples of measures implemented and results obtained under former home affairs financial instruments (e.g. SOLID Funds, ISEC and CIPS).
- The national resources available (in addition to EU funds) for various policy areas should also be included in the baseline (ideally broken down by national objective). For more information on this, consult the specific guidance sections of this document.
- The following are not allowed (because SFC2014 and other rules for adopting Commission decisions do not support them):

- referring to information presented in attached documents (e.g. see page X is not acceptable);
  - online sources (i.e. no hyperlinks) (although relevant documents can be attached via SFC2014);
  - tables, charts or maps.
- Supplementary information can be included in an attached document (the attached documents will not form part of the approved programme), for example more information on the national resources available, measures implemented under the previous home affairs Funds, etc.

Specific guidance on describing the baseline situation in relation to the AMIF, ISF Borders and ISF Police can be found in sections 3.3.2, 3.3.3 and 3.3.4.

### SECTION 3: PROGRAMME OBJECTIVES

- This section should build on the overall description of the baseline situation and the challenges set out in it.
- To give a complete overview of MS policy and objectives in each area, for each specific objective, the relevant strategy identifying the national objectives should be presented (unless the MS does not plan to undertake any action on the issue in question), including a description of how the objectives of the specific regulations are covered. If the MS does not plan to use EU funds, the information on the national objectives should nevertheless be provided, but no funding priorities will be identified.
- Specific objectives should elaborate in more detail on the general needs/requirements from the baseline situation and explain the national strategy and national objectives for addressing these needs. This section should be drafted bearing in mind the question 'Where do you expect to be in seven years?' The specific objectives in the template correspond to the specific objectives of the Fund as stipulated in the specific regulation. ***The length of the inputted text is limited to 3000 characters.***
- Each national objective section should list the main actions the MS is undertaking or plans to undertake in the future to achieve this national objective. These actions should be in line with the specific objectives of the Fund. The complete picture of the situation related to all the national objectives should be given even if no EU funds are requested. The SFC2014 system also requires this. If the MS does not plan to use EU funds for the main actions under this national objective, no funding priorities will be identified and a description of the main nationally funded actions will suffice. Within this section MS should highlight and describe in more detail those actions (=funding priorities) out of the ones listed which will be funded through the EU home affairs Funds. This section should not contain indicators or financial information because all that will be included in sections 5 (Common indicators and programme-specific indicators) and 7 (Financing plan) of the template.



Visualisation of the template logic in section 3.

- As indicated in section 3.2, it is relevant to ensure the intervention logic in all its aspects. Therefore the description of the national objectives, especially in relation to the funding priorities should be accompanied by **desired outcomes/results**. It is expected that qualitative wording such as strengthening/improving/developing should be accompanied by measurable references. In figure 2 of Annex III you can find an example of how to prioritise actions which will lead to reaching the desired goal of 'strengthening the administrative capacity'.
- When drafting funding priorities, it is important to keep the following in mind.
  - One should be able to trace each proposed action back to an identified requirement (gap, challenge or need) in the baseline situation and/or in the

specific objective, and to the MS's national strategy (including the targets and desired outcomes/results) in the area in question.

- The proposed funding priorities must fall under the scope of supported actions/operational objectives of the Fund as stipulated in the specific regulation, should be relevant for the EU policy priorities and demonstrate potential for EU added value.
- Clear, precise and specific descriptions of the main actions should be provided to enable the Commission to assess what the MS intends to do and whether the proposed actions are feasible. Where possible, the proposed funding priorities should be illustrated with examples of projects that will be carried out in the funding period.
- Accompanying the actions chosen as funding priorities, desired outcomes / results should be described in a specific way, avoiding generic wording.
- Funding priorities should ideally be linked to a common or programme-specific indicator.
- Although according to the definition in Article 2 of the Horizontal Regulation, an action means a project or group of projects contributing to the general and specific objectives pursued by specific regulations, the description of an action in the NP should provide only the main outline of the action. Detailed description of individual projects is not required in the NP and should be avoided as it is not the purpose of multiannual programming.
- If actions or a series of actions cover more than one national objective, they should be placed under the objective that is most appropriate or has the greatest financial impact. The other related objectives can just be mentioned.

Examples of how the Commission will assess the funding priorities can be found in paragraph 3.3.1 of this manual. ***The length of the inputted text is limited to 2800 characters.***

- Regarding Specific Actions, a separate pledging exercise for Specific Actions took place in the second quarter of 2014 and the Commission has issued a guidance note on Specific Actions. This section of the approved NP will be filled in with the Specific Actions for which top-up funding will be allocated to the MS concerned once the award process has been completed. ***Your response is limited to 1900 characters.***
- In the indicative timetable list minimum one and maximum three main actions (choose an action name) for all funding priorities and all selected Specific Actions. The timetable is not required for objectives specific to technical assistance or for the Special Transit Scheme (Lithuania). The table is to be completed with the year when:
  - the planning of an action has started: the time to organise/run a call for proposals or tender procedure;
  - the implementation of an action has started: grants or contracts signed or projects running;
  - the action is being completed/closed: final payments and audits are being made.

Planning year must be <= implementation year must be <= completion year.  
An action may be completed in a single year or be spread over several years.

Specific guidance on filling in section 3 of the template for the AMIF, ISF Borders and ISF Police can be found in sections 3.3.1, 3.3.2, 3.3.3 and 3.3.4.

**SECTION 4: RESETTLEMENT/SPECIAL TRANSIT SCHEME FOR LITHUANIA:  
see specific guidance (sections 3.3.2. and 3.3.3)**

See specific guidance (sections 3.3.2. and 3.3.3).

**SECTION 5: COMMON INDICATORS AND PROGRAMME-SPECIFIC  
INDICATORS (TABLE 1)**

- The common indicators, which are part of the specific regulations, need to include: a title, unit of measure, data source, baseline value and target value. The common indicators are each linked to a specific objective, not to projects.
- MS may add a number of programme-specific indicators either for large, financially important actions or for sub-categories of subjects already covered by the existing common indicators. The number of programme-specific indicators should be kept reasonable and may not exceed the maximum (5) stipulated in the template. MS will have to report on these indicators every year and give reasons for not reaching the targets or not progressing as expected, if such is the case.
- The baseline value for the common indicators is set at zero (0) for a single reference value (at the start of the programme) against which progress will subsequently be measured. The baseline value for specific indicators may vary according to the indicator and situation. The data source may also vary but the will usually be gleaned from the projects.
- The target values should be realistic (they should make sense and be achievable) and cannot be changed once the NP is approved. MS should also be able to report on them through the Implementation Reports. Reporting is mandatory via the relevant indicator(s) for all those specific objectives for which EU funding is used (if no EU funding is used for specific objectives related to certain indicators, then the target value can be marked "0").
- To the extent possible, target values should be based on the past real experience. For example, if EU yearly funding during the 2014–20 period is approximately equal to the funding for 2013 for the same type of actions, one could define a broad target value by not exceeding the 2013 statistical data multiplied by seven (assuming that the effectiveness of the intervention will remain broadly the same over the seven year period).
- Setting targets and reporting on common (and specific) indicators is mandatory if EU funding is being used for the specific objective in question (if not, the target can be marked '0'). Progress will be reported on in the implementation report.

- Not reaching targets may be the result of many internal (linked to management/implementation) or external (beyond the control of the Responsible Authority) factors. It should be explained why this is the case in the annual Implementation Report.

**SECTION 6: FRAMEWORK FOR PREPARATION AND IMPLEMENTATION OF THE PROGRAMME BY THE MEMBER STATE**

***Your response is limited to no more than what the template indicates for each sub-section (between 1000 and 3000 characters).***

- A monitoring committee should be put in place. Its role and composition should be described.
- Description of the monitoring and evaluation framework for the programme should include
  - an outline of the distribution of responsibilities in the Responsible Authority for monitoring and evaluating the programme, including, if necessary, the role of external experts recruited or contracted by the responsible authority to help monitor and evaluate;
  - an outline of the process set up for collecting data for common and programme-specific indicators at project level and for aggregating programme data for annual reporting to the Commission.
- Regarding the involvement of partners in preparing and implementing the NP, a brief description of the following should be provided: the approach taken and the involvement of partners at key stages of broader consultation where relevant, as well as a list of the main partners (or types of partners) involved or consulted.
- The description of the mechanisms and methods to be used to publicise the NP should be provided.
- The mechanism to prevent double funding and ensure complementarity with other EU Funds (compulsory for integration measures under the AMIF and the ESF) should be clearly outlined.
- Use only the terms in the template for the types of beneficiaries. Do not add other types of beneficiaries. A maximum of five main types of beneficiaries may be listed.
- If it is planned to directly award contracts, i.e. to select beneficiaries without organising a call for proposals, this must be indicated in the NP, with sufficient explanation of the reasons for this decision. However, other details about the programme implementation (the type of calls etc.) are not part of the NP.

**SECTION 7: THE FINANCING PLAN OF THE PROGRAMME**

- The allocations to the funding priorities should correspond to the actions proposed for funding under each national objective.
- The minimum percentages for some specific or national objectives set out in the specific regulations should be respected. If the exceptional case of deviating from these, it should be explain why.
- In the financing plan, the total available resources (i.e the total allocation) equals the sum of the basic amount (Specific Regulation Annex I), the amount allocated for the implementation of the Specific Actions (lead MS only) and for AMIF the Resettlement/transfer of beneficiaries of international protection pledges amounts (e.g. lump sums for resettlement and relocation). The sum of the allocations for all specific objectives (including Specific Actions), of the allocation for special cases and of the amount earmarked for technical assistance, must match the total available resources.
- The SFC2014 tool will calculate the maximum amount of technical assistance based on the total allocation and on the percentages for technical assistance as outlined in the relevant articles of the specific regulations. This amount is a maximum and MS can request less technical assistance. If a MS does not implement any Specific Actions and no resettlement/transfer of beneficiaries of international protection, the basic amount as per Specific Regulation Annex I already includes the technical assistance.
- The regulations do not specify any limit for changes between specific objectives (Article 14(8) of the Horizontal Regulation). There is some flexibility, but the principles for approving NPs (in particular the 'comply or explain' rules) will always need to be respected. The Commission may issue further guidance this point on what constitutes a significant change in the NP that requires formal revision of the programme.
- The standard co-financing rate under the NPs is 75%. Anything over this will need to be justified for each project. Specific Actions may benefit from an increased co-financing rate of 90%. The incurred expenditure for operating support shall be fully reimbursed to accomplish the tasks and/or services defined in the NP.

### **3.3.1. Assessing funding priorities**

This section gives a few examples of how the Commission will the proposed funding priorities in the NPs, in line with the instructions given in the previous paragraph.

#### **Example 1:**

Proposed funding priority: *'Strengthening competent authorities involved in processing asylum applications'*

Assessment: This is an example of a funding priority which is too general and for which more information is needed to be able to properly evaluate it. 'Strengthening' is in this case a very ambiguous concept as it can refer to various things: training and capacity building or the purchase of equipment or other resources. It is unclear how the competent authorities will be 'strengthened', so clear examples should be provided. There should also be a clear link to the needs and challenges of the 'competent authorities involved in processing asylum applications' as described in the baseline situation and/or specific objective. Moreover, the proposed action should lead to a clearly described measurable and concrete desired outcome/result which has been set for this national objective.

#### **Example 2:**

Proposed funding priority: *'Pre-deployment training and on-site training for staff dealing with visa applicants in embassies and consulates'*

Assessment: This is a good example of a funding priority because it falls within the scope of the specific regulation and is understandable and specific (it is indicated who will receive the training, for what purpose and what kind of training will be given) and there is a link with the baseline situation in which the MS in question identified the need for further language training for consular staff. It could also be illustrated with examples of languages and regions in which the training will be provided for a full understanding of the desired outcome/result.



### **3.3.2. AMIF-specific guidance**

The purpose of this section is to help MS draft a comprehensive section on the baseline situation and identify actions to be financed under the AMIF national objectives. The examples provided for each national objective reflect the relevant provisions of the AMIF Regulation and are not exhaustive as it is impossible to foresee all types of actions.

#### **1. Baseline situation in the MS**

In describing the baseline situation provide as much information as possible on the areas set out below, focusing on the needs and challenges within these areas that require financial support and the gaps or shortages in national resources. The guidelines below could help you focus your input on the baseline situation in your country, but are not an exhaustive list of possible issues to be discussed. Where appropriate include in the baseline situation relevant examples of measures undertaken so far with the help of SOLID Funds in the various policy areas.

With regard to the national resources available, as far as possible the baseline situation should include the indicative amounts reserved in the national budget for 1) asylum, including reception capacities, asylum procedures and resettlement, 2) integration and legal migration, including admission procedures, integration measures and other services for TCN, 3) return, covering voluntary and forced return (detention capacities, removal operations), capacity building, reintegration assistance in third countries etc. The national resources should reflect the annual amounts earmarked in the national budget for the specific objectives in question. The most recent data should therefore be provided.

#### **Reception, asylum systems and procedures**

- The number of asylum seekers number, together with an analysis of changes/trends over the last few years, and if possible, a prognosis for the next few years.
- The number of reception centres and their capacity, the quality of the infrastructure and the facilities and services available, as well as specific facilities and services for vulnerable groups.
- The state of play of the implementation of the Common European Asylum System (CEAS).
- The speed and quality of asylum decision-making procedures.
- Administrative capacity and its robustness.
- MS' capacity to monitor and evaluate asylum policies and procedures, including contingency planning and the mechanisms in place.

### **Legal migration and integration**

- The most recent data on the number and distribution of residing TCN in the MS, together with an analysis of changes/trends over the last few years and a prognosis for legal migration in the next few years.
- Issues related to the integration of TCN in the MS (administrative, social, cultural, acceptance etc.), including with regard to beneficiaries of international protection.
- The general needs of the labour market, including a prognosis for the years to come.
- The framework (administrative or policy) for the legal migration and integration of TCN.
- The system and quality of pre-departure measures (if applicable).
- The administrative capacity to deal with the integration of TCN.
- Cooperation with other public authorities and partners on integration of TCN.
- The system of monitoring and evaluating integration policies.

### **Return**

- The most recent data on the number of people returned (split into voluntary and forced returns), together with an analysis of changes/trends over the last few years and a prognosis for the next few years.
- The state of play of the implementation of EU law (the Return Directive).
- The state of play and the quality of the system of voluntary return and of forced return (removals).
- The number of detention centres and their capacity, the quality of the infrastructure and the facilities and services available, and the state of play in developing alternatives to detention.
- The system of monitoring and evaluating return policy.

### **Resettlement**

- Experience with resettlement so far, including the state of play of the current system.
- Resettlement quota set by the United Nations High Commissioner for Refugees (UNHCR) or any other official framework for resettlement (national resettlement programme).
- Cooperation with international organisations and other.
- Needs related to the integration of resettled people.

## **2. Guidance on the specific objectives**

If you have developed national policy strategies on asylum, legal migration and integration, return and resettlement, this section should outline the main points related to these policy areas. If no such specific policy strategies exist, outline the main objectives for these policy areas for the next seven years, designed to meet the needs enumerated in the section on the baseline situation.

Each specific objective takes into account the mandatory objectives listed in Article 19 of the AMIF Regulation that must be achieved under each NP.

Under each of the national objectives in the part of the template titled '**National objective X**' explain how these objectives are to be achieved. In the '**Funding priorities**' part you are asked to outline the main actions which will be carried out with the help of EU funding.

**The list below presents examples of actions that could be proposed for funding under each of the national objectives. It is an indicative, non-exhaustive list. Refer to the AMIF Regulation for the full list of eligible actions.**

**An action proposed for EU funding under a national objective may cover several categories listed below for this national objective.**

**The description of the funding priorities may copy the wording of categories of actions listed below, or the wording used in the regulation. In describing the funding priorities, make sure that the level of detail about, and the explanation of, the main actions planned is sufficient for the Commission to assess their relevance using the list set out in the regulation.**

### **SPECIFIC OBJECTIVE 1: Asylum (AMIF Article 3(2)(a) and Article 19(1)(a))**

Under this specific objective, NPs also have to take into account the mandatory objective in Article 19(1)(a) requiring MS to work on '*strengthening the establishment of the CEAS by ensuring the efficient and uniform application of the Union acquis on asylum and the proper functioning of Regulation (EU) No 604/2013.*'

MS should describe how they intend to achieve this mandatory objective in terms of results and desired outcomes.

#### **Minimum percentages**

According to Article 15(1)(a) of the AMIF Regulation, MS shall allocate at least 20 % of their basic allocation under the AMIF to this specific objective. In exceptional cases MS may depart from this minimum percentage only if they explain in detail in their NP why allocating resources below this level does not jeopardise the achievement of the objective.

MS with structural deficiencies in accommodation, infrastructure and services are not allowed to depart from the minimum percentage under this specific objective.

**National objective 1: Reception/asylum (AMIF Article 5)**

This covers asylum procedures and reception conditions. Organise the actions according to their main focus (reception conditions or asylum procedures):

- providing material aid, including assistance at the border, education, training, support services, health and psychological care;
- providing translation and interpretation, education, training, including language training;
- setting up and improving administrative structures, provision of training for staff;
- providing social assistance and legal assistance and representation;
- providing specific assistance for vulnerable people;
- providing alternatives to detention;
- improving and maintaining existing accommodation infrastructure and services or establishment, running and developing new accommodation infrastructure and services as well as administrative structures and systems;
- strengthening and improving administrative structures and systems;
- further developing the EURODAC (national component) in the framework of access regarding asylum procedures;
- providing information for local communities.

**National objective 2: Evaluation (AMIF Article 6)**

- Actions improving the capacity of MS to collect, analyse and disseminate qualitative and quantitative data and statistics on asylum procedures, reception capacities and the resettlement and transfer of applicants for and/or beneficiaries of international protection from one MS to another.
- Actions improving the capacity of MS to collect, analyse and disseminate information on the country of origin of asylum seekers.
- Actions directly contributing to the evaluation of asylum policies, such as national impact assessments, surveys amongst target groups and other relevant stakeholders and the development of indicators and benchmarks.

**National objective 3: Resettlement (AMIF Article 5(3) and 7(1))**

This concerns actions to be supported under the basic amount. It covers two aspects of asylum.

- Resettlement (Article 7(1)):
  - setting up and developing national resettlement programmes and strategies;
  - setting up appropriate infrastructure and services to ensure the smooth, effective implementation of resettlement actions;
  - setting up structures and systems and training staff to conduct missions to third countries and/or other MS to conduct interviews and to carry out medical and security screening;
  - assessment of potential resettlement cases by the competent MS' authorities;
  - providing pre-departure health assessment and medical treatment, providing pre-departure information and integration measures and making travel arrangements, including providing medical escort services;
  - providing information and assistance on or shortly after arrival, including interpretation services;
  - family reunification actions for people being resettled in a MS;
  - strengthening migration- and asylum-related infrastructure and services in the countries designated for the implementation of regional protection programmes;
  - creating conditions conducive to the integration, autonomy and self-reliance of resettled refugees on a long-term basis.
- Other ad hoc humanitarian admissions
  - Similar types of actions to those listed above (AMIF Article 7(1)).
  - Actions related to people who are temporarily staying (AMIF Article 5(3))
    - in transit and processing centres for refugees, in particular to support resettlement operations in cooperation with the UNHCR;
    - on the territory of a MS under other humanitarian admission programmes.

### **SPECIFIC OBJECTIVE 2: Legal migration and integration**

Under this specific objective, NPs must also take into account the mandatory objective laid down in AMIF Article 19(1)(b) requiring MS to work on *'setting up and developing integration strategies, encompassing different aspects of the two-way dynamic process, to be implemented at national/local/regional level where appropriate, taking into account the integration needs of TCN at local/regional level, addressing specific needs of different categories of migrants and developing effective partnerships between relevant stakeholders.'*

MS should describe how they intend to achieve this mandatory objective in terms of results and desired outcomes.

### **Minimum percentages**

According to Article 15(1)(a) of the AMIF Regulation, MS shall allocate at least 20 % of their basic allocation for the AMIF to this specific objective. In exceptional cases MS may depart from this minimum percentage only if they explain in detail in their NP why allocating resources below this level does not jeopardise the achievement of the objective.

### **National objective 1: Legal migration (AMIF Article 8 and 10 (a) and (b))**

This covers two aspects of legal migration:

- pre-departure measures (Article 8): actions taking place in a third country, preparing the TCN for integration in the society of a MS:
  - information packages and campaigns to raise cultural awareness and promote intercultural dialogue;
  - assessment of skills and qualifications and enhancement of the transparency and compatibility of skills and qualifications acquired in a third country with those of the host MS;
  - training to improve employability in the host MS;
  - comprehensive civic orientation courses and language tuition;
  - help with applications for family reunification.
- capacity-building measures on legal migration (AMIF Article 10(a), (b), (c) and (g)):
  - developing strategies promoting legal migration to help develop and implement flexible admission procedures;
  - supporting cooperation between third countries' recruitment agencies and the employment and immigration services of MS;
  - reinforcing the capacity of MS to develop, implement, monitor and evaluate their immigration strategies, policies and measures across different administrative levels and departments;
  - actions to promote and reinforce practical cooperation between the relevant authorities of MS.

### **National objective 2: Integration (AMIF Article 9)**

- Setting up and developing integration strategies involving local or regional actors where appropriate, including a needs analysis, improving integration

indicators and evaluation, including participatory assessments, to identify best practices.

- Giving advice and assistance in areas such as housing, means of subsistence, administrative and legal guidance, health, psychological and social care, childcare and family reunification.
- Actions introducing TCN to the host society and enabling them to adapt to it.
- Measures focusing on education and training, including language training and preparatory actions to facilitate access to the labour market.
- Actions to enable TCN to provide for themselves.
- Actions to promote meaningful contact and constructive dialogue between TCN and the host society and actions to promote acceptance by the host society, including by involving the media.
- Actions promoting equality of access and equality of outcomes in relation to TCN' dealings with public and private services, including adapting them to enable them to deal with TCN.
- Building the capacity of beneficiaries, including by sharing experience and good practices and networking.

**National objective 3: Capacity (AMIF Article 10 (c), (d), (e), (f) and (g))**

- Training beneficiaries and staff providing public and private services.
- Building sustainable organisational structures for integration and diversity management.
- Contributing to a process of mutual interaction, bolstering local and regional integration strategies by developing platforms for consulting TCN.
- Actions to promote and reinforce practical cooperation between the relevant authorities of MS.

**SPECIFIC OBJECTIVE 3: Return**

Under this specific objective, NPs must also take into account the mandatory objective laid down in AMIF Article 19(1)(c) requiring MS work on *'developing a return programme, which includes a component on assisted voluntary return and, where appropriate, on reintegration.'*

MS should describe how they intend to achieve this mandatory objective in terms of results and desired outcomes.

**National objective 1: Accompanying measures (AMIF Article 11, 12(e))**

- Introduce, develop and improve alternative measures to detention.

- Provide social assistance, information or help with administrative and/or judicial formalities and information or counselling.
- Provide legal aid and language assistance.
- Provide specific assistance for vulnerable people.
- Introduce and improve independent, effective systems for monitoring forced return, as Article 8(6) of Directive 2008/115/EC stipulates.
- Set up, maintain and improve accommodation, reception or detention infrastructure, services and conditions.
- Set up administrative structures and systems, including IT systems.
- Train staff to ensure smooth, effective return procedures, including their management and implementation.

**National objective 2: Return measures (AMIF Article 12 (a)-(d))**

- Measures for preparing return operations, such as those leading to the identification of TCN, issuing of travel documents and family tracing.
- Cooperation with the consular authorities and immigration services of third countries to obtain travel documents, facilitate repatriation and ensure readmission.
- Assisted voluntary return measures, including medical examinations and assistance, travel arrangements, financial contributions, pre- and post-return counselling and assistance.
- Removal operations, including related measures, in accordance with the standards of EU law, except coercive equipment.
- Facilities and services in third countries ensuring appropriate temporary accommodation and reception on arrival.

**National objective 3: Cooperation (AMIF Article 13)**

- Actions to promote, develop and reinforce operational cooperation and information exchange between return services and other MS authorities involved in returning TCN.
- Actions to support cooperation between third countries and the return services of MS.
- Actions to improve the capacity to develop effective and sustainable return policies.
- Actions to improve the capacity to collect, analyse and disseminate detailed and systematic data and statistics on return procedures and measures, reception and detention capacities, forced and voluntary returns, monitoring and reintegration.



- Actions directly contributing to the evaluation of return policies.
- Information measures and campaigns in third countries to raise awareness of appropriate legal channels for immigration and the risks of illegal immigration.

#### **SPECIFIC OBJECTIVE 4: Solidarity (AMIF Article 3(2)(d))**

##### **National objective 1: Transfers (Relocation) (AMIF Article 7(2))**

This concerns actions to be supported under the basic amount. It covers transfers of applicants for and beneficiaries of international protection from one MS to another (relocation) (Article 7(2)).

- Similar types of actions to those listed for resettlement in Article 7(1).
- Actions focusing on cooperation with other MS to enhance solidarity and the sharing of responsibility between MS.

### **3. Special cases: resettlement and transfer (AMIF Article 17, AMIF Annex III and AMIF Article 18)**

This section concerns MS that place pledges for additional amounts for the resettlement and/or transfer (intra-EU transfers, not Dublin transfers) of beneficiaries of international protection (relocation). MS must provide the number of people they intend to resettle/transfer in 2014-2015 (the effective resettlement of the pledged number of persons according to Article 2(1) of the Commission Implementing Regulation No 801/2014 runs from 1 January 2014 to 30 June 2016). There will be separate pledging exercises for the periods 2016-2017 and 2018-2020. MS should justify their pledges making reference to the official MS decision undertaking to resettle/transfer the people in question.

With regard to pledging amounts for resettlement, MS should provide numbers for each category of people, including those who fall under common EU priorities (AMIF Annex III) that qualify for greater lump sums of EUR 10 000. The basic lump sum is EUR 6 000. To qualify for the lump sums, the resettlement operation has to be carried out in accordance with the definition laid down in Article 2(a) of the AMIF Regulation. Please note that operations such as ad-hoc humanitarian admission programmes in the meaning of definition in Article 2(b) of the AMIF Regulation do not qualify for the lump sum amount for resettlement.

Amounts allocated for resettlement/transfer of beneficiaries of international protection under the AMIF NP cannot be transferred to other actions under the NP neither be re-used in the next pledging period nor can it be used to fund other actions within the AMIF NP. Therefore, in case the pledged number of persons will not be effectively resettled/transferred in the respective period, the corresponding additional amount will be lost.

### **3.3.3. ISF Borders specific guidance**

The purpose of this section is to help MS draft a comprehensive description of the baseline situation and identify actions to be financed under the national objectives of the ISF Borders instrument. The examples given for each national objective are not exhaustive because it is impossible to foresee all types of actions. Any reference to visa issues concerns the processing of Schengen visas only (not national, D-visas or residence permits).

#### **1. Baseline situation in the MS**

In describing the baseline situation focus on the country's needs and challenges and the gaps in or shortages of national resources. The guidelines below are intended to help you focus on the baseline situation in your country, but they are not an exhaustive list of possible issues to be discussed. With regard to the national resources available, the description of the baseline situation should include the amounts reserved in the national budget for 1) the common visa policy (for example by providing the national financial allocations for measures such as consular services and infrastructure, the visa information system (VIS), training consular officers, etc.) and 2) border management (for example by providing the national financial allocations for measures such as border surveillance, border crossing points, border management training, the use of modern technologies, tackling cross-border crime, etc.). Give some details on past national spending too (the last two to three years), broken down by type of border.

#### **Baseline situation: Visas**

Provide information on the number of consulates processing Schengen visas. If you have any consulates with staff shortages, list them and give the number of visas issued and the number of staff. Outline any shortages of equipment for processing Schengen visas and shortages of security measures in the visa sections. Mention the consulates that need to be renovated or are not modern enough to be able to provide client-friendly services for example.

Describe the needs and challenges related to the further roll-out and development of the VIS and any other IT tools necessary for processing Schengen visas.

With regard to consular cooperation you should describe where you would like to ensure Schengen visa processing coverage by means of cooperating with other MS.

Identify any funding or capacity shortages with regard to training on issues related to the Schengen visa processing.

You may also wish to briefly describe the measures implemented so far with the support of the EBF and their results.

#### **Baseline situation: Borders**

Indicate clearly and explicitly what needs, challenges and gaps you are faced with in the area of border management.

In the description of the state of play, differentiate between:

- Border checks, in particular, the use of IT systems and modern technology at the border, including the installation of automated border control gates.
- Border surveillance, in particular the implementation of the European external border surveillance system (EUROSUR).
  - With regard to EUROSUR, describe your national coordination centre (NCC) (including to the extent possible its responsibilities, tasks, staff, location and equipment) and your national situation (for example to what extent the events, operational and analysis layers are set up). Which national authorities cooperate using the NCC? Is the NCC also responsible for border checks and the surveillance of air borders? To what extent information about the situation in neighbouring border sections is being shared with neighbouring MS?
  - Describe your national border surveillance system and to the extent possible address the following questions. Does the surveillance system consist of one or several systems? Do you have local and regional coordination centres? What are their responsibilities and tasks? What fixed and mobile sensors do you use and how are they distributed along the external land and sea borders? How do the different centres communicate with patrol units?
  - Provide an overview of the means of transport and other equipment used for patrolling the external border (vehicles, helicopters, maritime patrol planes and vessels, etc.).
  - Describe how you cooperate and exchange information with neighbouring third countries.

With regard to the recommendations following the Schengen evaluations, MS are asked to clarify in the description of the baseline situation if the relevant issues have already been addressed. If not, would they consider addressing them in their ISF Borders NP?

## **2. Guidance on the specific objectives**

Under each of the national objectives in the part of the template titled '**National objective X**', explain how these objectives are to be achieved. In the '**Funding priorities**' part provide the main actions to be carried out with the help of ISF Borders.

**The list below presents examples of actions that could be proposed for funding under each of the national objectives. It is an indicative, non-exhaustive list.**

**An action proposed for EU funding under a national objective may cover several categories listed below for this national objective.**

**The description of the funding priorities does not have to copy the wording of categories of action listed below, or the wording used in the regulation. In the description of the funding priorities, make sure that the level of detail and description of the main actions planned is sufficient for the Commission to assess their relevance using the list set out in the regulation.**

### **SPECIFIC OBJECTIVE 1: Support a common visa policy**

For MS that have developed a national migration strategy with a section on visas, or any other strategy covering the issuing of Schengen visas, this section outlines the main points related to Schengen visas. If no such specific strategy exists, outline the policy framework by listing the main objectives for issuing Schengen visas for the next seven years, to meet the needs listed in the description of the baseline situation.

#### **National objective 1: National capacity - visas (ISF Borders Article 9(2)(b))**

- Further developing the VIS (national components) and other IT tools used for issuing visas.
- Renovating/refurbishing visa sections, adapting premises to security requirements — provide information on the third countries in which the visa sections to be renovated or refurbished are located.
- Purchasing equipment (give examples), software and security features.
- Opening new visa sections — list the third countries in which the visa sections would be opened.

#### **National objective 2: Union acquis - visas (ISF Borders Article 9(2)(g))**

- VIS training, the Visa Code, other relevant parts of the *acquis*.
- Document security training.
- Follow-up of specific recommendations made under the Schengen evaluation mechanism.

#### **National objective 3: Consular cooperation (ISF Borders Article 9(2)(c)):**

- Setting up and developing common application centres and cooperation in the form of co-location.

- Making representation arrangements.
- Any other forms of cooperation, including mixed solutions aimed at moving towards a more harmonised common visa policy, increasing geographical consular coverage, reducing MS costs, increasing the visibility of the European Union and offering visa applicants a better service.
- Placing document security advisors in third countries to work for several MS.
- Renovating/refurbishing common visa sections and adapting premises to security requirements.
- Purchasing equipment, software and security features for common visa sections.

### **Specific Actions: Consular cooperation**

Consular cooperation has also been identified as a priority for **Specific Actions**. The advantage of the Specific Action over an action planned under Article 9 of the ISF Borders Regulation (NPs) is the additional, top-up funding. The cost of the Specific Action granted funding will be added to the basic amount (national envelope) of the MS.

If a MS has planned any activities under the Specific Actions, this section should contain the titles of the proposals submitted only once Specific Actions have been awarded.

### **SPECIFIC OBJECTIVE 2: Borders**

Outline the main points in your national border management strategy, including actions planned at EU level (such as smart borders proposal for example). How do the priorities in your national strategy address the gaps, needs and challenges identified in the description of the baseline situation?

Do you intend to use the Frontex toolbox when planning activities such as training to be financed with EU Funds?

### **National objective 1: EUROSUR and border surveillance (ISF Borders Article 9(2)(a))**

- Investments for putting in place and developing the **MS' components of EUROSUR**.
  - o National coordination centre (building, ICT, equipment, etc.).
  - o National situation (hardware/software for events, operational and analysis layers).

- Exchange of information about the situation in neighbouring border sections among neighbouring MS (hardware/software for exchanging information on incidents, tactical risk analysis reports and positions of patrols).

Investments necessary for border checks and the surveillance of air borders may be included.

- Investments for setting up and upgrading MS' **border surveillance systems**, including:
  - coordination and information management in local, regional and functional centres (building, ICT, equipment, etc.);
  - data acquisition by fixed (e.g. radar stations) and mobile sensors (e.g. cameras on vehicles or aircraft);
  - communications (audio, video, radio, satellite etc.).
- Actions improving the **reaction capability** of patrol units (vehicles, helicopters, maritime patrol planes and vessels, etc.).
- Investments in cooperation and information exchange between MS and **neighbouring third countries** (e.g. regional networks).

### **National objective 2: Information exchange (ISF Borders Article 9(2)(d))**

- Investments in communication systems to improve the communication of different agencies or entities in charge of border management.
- Training courses / expert meetings / seminars between different agencies / entities in charge of border management to enhance information exchange or improve cooperation.
- Setting up of database/statistical tools relating to border management to be used by different agencies/entities in charge of border management.

### **National objective 3: Develop projects in accordance with common Union standards (ISF Borders Article 9(2)(e) and (f))**

- Development of ABC gates according to Frontex guidelines.
- Investments in IT / communication systems, software and hardware to increase the interoperability of border management systems between MS.
- Investment related to acquiring access to the International Civil Aviation Organisation's Public Key Directory.

**National objective 4: Correct and uniform application of Union *acquis*-Borders (ISF Borders Article 9(2)(g))**

- Border-related training (Schengen Borders Code).
- Implementing the recommendations made in Schengen evaluations.

**National objective 5: Future challenges (ISF Borders Article 9(2)(h))**

- Actions implementing analysis of border management matters done by EU agencies.

**National objective 6: National capacity - Borders (ISF Borders Article 9(2)(b))**

- Investments related to building or upgrading infrastructure at border crossing points (refurbishment, building, renovation).
- Investments linked to Schengen Information System II national systems (N.SIS II) and the SIRENE<sup>4</sup> application.
- Purchase of equipment for checking people at external borders (scanners, devices, fingerprint scanners etc.).
- Purchase or installation of border surveillance equipment (mobile or fixed) and systems.
- Posting of immigration liaison officers in third countries and border guards in MS.
- Investments related to the development or maintenance of new IT systems such as those described in Article 15 of the ISF Borders Regulation.
- Investments in front-end applications or interfaces for border guards.

**Specific Actions: FRONTEX equipment**

If a MS has planned any activities under the Specific Actions on FRONTEX equipment, this section should contain the descriptions of the proposals submitted only once Specific Actions have been awarded.

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<sup>4</sup> Supplementary information request at the national entry.

### **SPECIFIC OBJECTIVE 3: Operating Support**

To be eligible for operating support, each MS must (as per ISF Borders Regulation Article 10(2) points (a) - (c)) be in compliance with:

- (a) the Union *acquis* on borders and visas;
- (b) the objectives of the national programme;
- (c) common Union standards in order to enhance coordination between Member States and avoid duplication, fragmentation and cost inefficiency in the border control domain.

Also consideration needs to be given to objectives defined in Annex III of the ISF Borders Regulation.

In the programme template, for both national objectives 'visas' and 'borders' of operating support, MS are asked to provide a general indication for the use of operating support, including objectives to be achieved and targets to be reached, and an indication of the services and tasks that will be financed using operating support.

They must also submit a **dedicated annex** (according to the form annex to the NP template) providing more details regarding their plans for using operating support for visa and borders matters. The information in the annex should be organised by beneficiary and by task (e.g. one task can be border guards/land border surveillance activities, another one border guards/control of external air borders (airports) etc.). This annex will not form part of the approved NP. However, even though the information is indicative, the Commission will use it in its assessment of the NP. It is particularly important to provide all the necessary information to enable the Commission to assess how the use of the operating support matches the objectives and the types of costs set out in Annex III of the ISF Borders regulation.

**The following list presents only examples of costs/actions that could be covered under ISF Borders operating support in relation to the categories identified in Annex III of the ISF Borders Regulation. However, when planning, MS should always take into account the objectives of operating support as set out in Article 10 and Annex III of the ISF Borders Regulation.**

#### **National objective: Operating support – visa (ISF Borders Article 10)**

- Staff costs, including training
  - Staff cost (salaries, daily allowance etc.) of consular staff processing Schengen visas in third countries.
  - Staff cost (salaries, daily allowance etc.) of MS' staff processing Schengen visas in central authorities.



- Regular training for staff in charge of processing Schengen visas.
- Service costs, such as maintenance and repair
  - Maintenance of phone/telecommunication systems (answering machines etc.) facilitating the processing of Schengen visas.
  - Maintenance of websites related to the processing of Schengen visas.
- Upgrading or replacing equipment
  - Upgrading or replacement of existing equipment for processing Schengen visas, including security related equipment.
- Real estate (depreciation, refurbishment)
  - Cost of refurbishing premises used for processing Schengen visas in third countries.
- IT systems (operational management of VIS and new IT systems, rental and refurbishment of premises, communication infrastructure and security)
  - Costs of maintaining, servicing and repairing VIS security, premises and equipment.
  - Costs of maintaining the national components of the VIS and other IT tools used for processing Schengen visas.
- Operations (costs not covered by the categories above)
  - Travel costs for consular staff sent to work in third countries at peak times.

**National objective: Operating support – borders (ISF Borders Article 10)**

- Staff costs, including training costs
  - Staff cost of border guards in charge of border control at the external borders.
  - Staff cost of staff in charge of managing national EUROSUR systems (in particular NCCs).
  - Regular training of border guards.
- Service costs, such as maintenance and repair

- Costs of maintaining fixed and mobile border control equipment and border control systems.
- Managing insurance contracts for border control equipment and systems.
- Repairing border control equipment and systems.
- Maintaining border crossing points infrastructure.
- Costs of maintaining EUROSUR equipment, premises and systems.
- Upgrading or replacing equipment
  - Upgrading or replacing existing border control equipment.
- Real estate (depreciation, refurbishment)
  - Refurbishing border crossing points infrastructure.
- IT systems (operational management of SIS II and new IT systems, rental and refurbishment of premises, communication infrastructure and security)
  - Costs of maintaining, servicing and repairing SIS II security, premises and equipment.
  - Costs of renting and refurbishing buildings hosting national SIS II systems.
- Operations (costs not covered by the categories above)
  - Fuel for surveillance operations.
  - Communication expenditure for border surveillance.

### **3. Minimum percentages**

Article 6(2) of the ISF Borders Regulation stipulates that MS shall allocate to each national objective or group of national objectives at least the minimum percentages of their ISF Borders basic allocation shown in the table below.

Objectives of Article 9	Borders/Visa	Minimum %
developing the European Border Surveillance System (EUROSUR)	Borders	10%
supporting and expanding the existing capacity at national level in visa policy and in the management of the external borders	Borders and Visa	25%
supporting the further development of the management of migration flows by consular and other services of the Member State in third countries	Visa	5%
reinforcing integrated border management by testing and introducing new tools, interoperable systems and working methods which aim to enhance information exchange within the Member State or to improve inter-agency co-operation	Borders	
developing projects with a view to ensuring a uniform and high level of control of the external border in accordance with common Union standards and aiming at increased interoperability of border management systems between Member States	Borders	
supporting actions, following, the consultation with the Frontex Agency, aimed at promoting further harmonisation of border management and in particular technological capabilities, in accordance with common Union standards	Borders	
ensuring the correct and uniform application of the Union acquis on border control and visa in response to weaknesses identified at European level, as evinced in results established in the framework of the Schengen evaluation mechanism	Borders + visa	
building the capacity to face upcoming challenges including present and future threats and pressures at the external borders of the Union, taking into account in particular the analysis carried out by relevant Union agencies.	Borders	

MS may not depart from these minimum percentages. In exceptional cases and only following a detailed explanation included in the NP as to why allocating resources below this level does not jeopardise the achievement of the objective in question, it might be allowed to depart from these minimum percentages.

#### **4. New IT systems (Article 15 of the ISF Borders Regulation): eligible costs**

Regarding investments related to the development or maintenance of new IT systems such as those described in Article 15 of the ISF Borders Regulation a few explanations are given below.

The following costs would be financed by the reserved funding in ISF Borders (791 M).

- Developing and maintaining a central system.
- Development and maintenance of the national systems — MS might have to finance a part of the maintenance costs, depending on when the system starts being operated.
- The costs of setting up, maintaining and operating a virtual private network between the national and central sites for the entire period are included.
- MS infrastructure (only office costs during development are included).

- Tokens (to identify a 'biometrically enabled record' in a centralised repository).

MS could finance the following costs under their NP.

- Maintenance of national systems, depending on when they enter into operation and if the reserved budget component of ISF Borders is not sufficient.
- Costs of customising existing border control systems and their interfacing with the newly developed national systems.
- The hosting (infrastructure, electricity/cooling) of the national systems.
- The human resources cost of operators and the cost of the monitoring of the national systems by operator support contractors.
- Any national communications network cost (connecting border control posts or consulates to the national systems for example, as well as the network costs of connecting the national uniform interface to the national systems).
- The automation of border control (ABC gates).
- Additional costs for issuing a token — if this solution is retained — and sending the token to the applicant by mail.

**The co-legislators will define the main features of these new IT system in the respective regulations.** Any NP including related expenditure might therefore need to be revised when the regulations are adopted.

### **3.3.4. ISF Police specific guidance**

The purpose of this section is to help MS draft a comprehensive description of the baseline situation and identify actions to be financed under the national objectives of the ISF Police instrument. The examples given for each national objective are not exhaustive because it is impossible to foresee all types of actions.

#### **1. Baseline situation in the MS**

In describing the baseline situation focus on the country's needs and challenges and the gaps in or shortages of national resources. The guidelines below are intended to help you focus on the baseline situation in your country, but they are not an exhaustive list of possible issues to be discussed. They suggest the baseline situation information to be provided for each area based on answers to related questions or points to consider. With regard to the national resources available, the description of the baseline situation should include the amounts reserved in the national budget for 1) law enforcement — national security and police forces (for example by providing the national financial allocations for measures such as preventing trafficking in drugs, human beings and firearms, combating corruption and organised crime, cyber security, relevant training, anti-terrorism and anti-radicalisation measures, information management etc.) and 2) national civil protection (for example by providing the national financial allocations for measures such as protecting critical infrastructure, capacity and resilience building, early warning systems, international cooperation, risk assessments etc.).

#### **Critical infrastructure (CI)**

- Which CI sector(s) do you consider most in need of additional measures to improve its (their) protection/resilience?
- Do you think another MS has CI that could significantly affect your MS that has not been designated as ECI?
- Is there CI in non-EU countries the failure of which could affect your MS?

#### **CBRN-E**

- How many CBRN-E<sup>5</sup> incidents have been recorded in the past three years? How many of them were intentional?
- What gaps have you identified in the detection of CBRN-E materials?
- How well are you equipped to react to a CBRN-E incident?

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<sup>5</sup> Chemical, biological, radiological and nuclear materials and explosives.

- Do you have regular training programmes and/or organise regular training exercises on how to react to CBRN-E incidents (with neighbouring countries also)?

### **Radicalisation**

- Do you have a national strategy and/or action plan for preventing radicalisation towards terrorism and/or violent extremism?
- Do you have systematic training programmes for frontline practitioners on how to recognise and respond to early signs of radicalisation?
- Do you have special referral mechanisms in place offering disengagement and de-radicalisation services run by state or public institutions or by NGOs?
- Do you have other prevention-supporting mechanisms such as national platforms for practitioners to share their knowledge and experience?

### **Drug trafficking**

Where appropriate provide information on the following activities:

- monitoring and tackling drug trafficking on the internet;
- waste water analysis protocols in line with the work of the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA);
- anticipating and detecting new threats (e.g. forensic analysis and profiling, setting up secondary extraction laboratories in the EU, streamlining data collection processes in line with the work of the EMCDDA, detecting indoor and outdoor cannabis production, monitoring interaction between the heroin market and the market for synthetic drugs and cocaine);
- cooperation with other MS (at regional level and with the Maritime Analysis And Operations Centre - Narcotics);
- effective linking with the fight against money laundering.

### **Corruption**

Provide information about legislative developments and practical measures taken, if any, to fight corruption and improve integrity in the public and/or the private sector. Where relevant, indicate changes to the framework applied and the resources used for fighting corruption and improving integrity.

### **Cybercrime**

- Share definitions of cybercrime and national objectives for fighting and preventing cybercrime.
- Share the numbers of victims of cybercrime and information about related prosecutions and convictions.
- If possible, share information about the implementation of the recently adopted Directive on Attacks against Information Systems.

### **Child sexual exploitation**

Share the numbers of victims of child pornography and child sexual exploitation and information about related prosecutions and convictions.

### **Financial Investigation**

- Financial investigation policy should be reflected in a long-term national strategy. Whenever possible, it should include financial intelligence-based policing, to enable the implementation of proactive enforcement measures on the basis of analysis products. It needs to be combined with a regular review, an evaluation methodology and a sound reporting mechanism for the entities involved. Some basic criteria, rules or guidelines should be used to clarify the distribution of tasks among different authorities with selective competencies. Key priorities should also be included, covering aspects arising out of serious international crime cases. Sound police management, adopting a proactive, intelligence-based approach, should underpin the strategy.
- Activities related to data processing capacities (IT tools, adequate training, etc.), based on the good practice of the Dutch Knowledge and Expertise Centre for Intelligent Data Analysis (KECIDA<sup>6</sup>).
- Provide any available information on actions in line with the Council's final report on financial investigation recommendations<sup>7</sup> to do the following.
  - o Carry out financial investigations in all serious and organised crime cases (including terrorism cases) that go beyond the sole economic and financial crime offences.
  - o Develop an overarching, financial crime/financial investigation policy, covering all relevant authorities (including prosecution authorities) to

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<sup>6</sup> KECIDA provides advanced data analysis services for clients in the public order and security sector who wish to extract essential information from large quantities of digital data (good practice presented in Council manual of best practices in the fight against financial crime: A collection of good examples of well-developed systems in the MS to fight financial crime, Council 9714/13, 4 June 2013).

<sup>7</sup> <http://register.consilium.europa.eu/pdf/en/12/st12/st12657-re02.en12.pdf>

speed up complex and lengthy financial crime investigations. It should reflect relevant priorities agreed at EU level and lay the foundations for proactive investigations. More attention should be paid to the potential added value of international cooperation, especially at EU level.

- Where appropriate provide information on:
  - o the implementation of legislation (Framework Decisions 2003/577/JHA on the mutual recognition of freezing orders, 2005/212/JHA on extended confiscation and 2006/783/JHA on the mutual recognition of confiscation orders);
  - o operational cooperation between authorities involved (LEAs, FIUs, AROs, tax authorities, prosecution offices);
  - o the introduction of new tools and databases, such as centralised bank account registers;
  - o the training available at national level for financial investigators.

### **Trafficking in Human Beings**

Provide information about the implementation of Directive 2011/36/EU (highlighting prosecution, prevention and protection of victims) and about the national action plans for fighting trafficking in human beings.

### **Law enforcement training scheme (strands 1 and 2)**

Say to what extent police officers are trained:

- in terms of basic knowledge of the EU policing context;
- in terms of in-depth knowledge of bilateral cooperation or instruments (particularly those working on cross-border matters or in border areas).

## **2. Guidance on the specific objectives**

It is important that MS read carefully the relevant paragraphs of Articles 3(2) and 3(3) of the ISF Police Regulation. In certain cases there are multiple possibilities for including certain actions (for example on CBRN, drugs trafficking or cybercrime) in sections of the NP template. The context of an action (crime or risk/crisis-related (Article 3(2)) and the operational objective (Article 3(3)) it relates to will determine where the action fits in the template.



**The list below presents examples of actions that could be proposed for funding under each of the national objectives. It is an indicative, non-exhaustive list.**

**An action proposed for EU funding under a national objective may cover several categories listed below for this national objective.**

**The description of the funding priorities does not have to copy the wording of categories of action listed below, or the wording used in the regulation. In the description of the funding priorities, make sure that the level of detail and description of the main actions planned is sufficient for the Commission to assess their relevance using the list set out in the regulation.**

### **SPECIFIC OBJECTIVE 5: Preventing and combating crime**

#### **National objective 1: Crime — prevention and combating (ISF Police Article 3.3(a))**

- Actions implementing the 2014–17 EU policy cycle on preventing and combating crime.
- Surveillance technology for preventing and combating crime.
- Actions related to forensic science.
- The CBRN Action Plan and the Action Plan for Making Explosives More Secure.
- Actions to combat radicalisation towards terrorism and violent extremism.
- Actions to prevent and combat drugs-related crime or terrorism.
- Information exchange to combat drug trafficking.
- Actions preventing and combating crime or terrorism linked to:
  - o financial investigations;
  - o small arms and light weapons;
  - o trafficking in human beings;
  - o corruption;
  - o cybercrime.
- Information exchange to prevent and combat crime or terrorism linked to (depending on the focus to be added under 'Crime — exchanging information'):
  - o financial investigations;

- small arms and light weapons;
  - trafficking in human beings;
  - corruption;
  - cybercrime.
- Upgrade of the EURODAC (national component) relating to law enforcement authorities access (within the limits provided for by the basic act for IT-systems-related expenditure).

**National objective 2: Crime – exchanging information (ISF Police Article 3.3(b))**

- Actions implementing the 2014–17 EU policy cycle on exchanging information about crime.
- Information exchange and communication systems.
- Forensic science actions, if related to exchanging information.
- Exchange of information on preventing and combating crime or terrorism linked to:
  - financial investigations;
  - small arms and light weapons;
  - trafficking in human beings;
  - corruption;
  - the fight against cybercrime;
  - the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - radicalisation towards terrorism and violent extremism;
  - drug trafficking.

**National objective 3: Crime – training (ISF Police Article 3.3(c))**

- Actions related to the implementation of the EU Law Enforcement Training Scheme.
- Training related to:
  - actions implementing the 2014–17 EU policy cycle on crime;
  - actions related to forensic science;
  - the CBRN Action Plan and the Action Plan for Making Explosives More Secure;

- actions aiming to combat radicalisation towards terrorism and violent extremism;
- combating drug trafficking;
- financial investigations;
- small arms and light weapons;
- trafficking in human beings;
- corruption;
- the fight against cybercrime.

**National objective 4: Crime – victim support (ISF Police Article 3.3(d))**

- Witness or victim protection or support related to preventing and combating crime or terrorism linked to:
  - the 2014–17 EU policy cycle on crime victim support;
  - the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - radicalisation towards terrorism and violent extremism;
  - drug trafficking;
  - financial investigations;
  - small arms and light weapons;
  - trafficking in human beings;
  - corruption;
  - the fight against cybercrime.

**National objective 5: Crime – threat and risk assessment (ISF Police Article 3.3(g))**

- Threat and risk assessment activities related to:
  - actions implementing the 2014–17 EU policy cycle and to other areas of crime;
  - the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - actions to combat radicalisation towards terrorism and violent extremism.

**SPECIFIC OBJECTIVE 6: Risk and crisis management**

**National objective 1: Risk – prevention and combating (ISF Police Article 3.3(a))**

- Actions implementing the 2014–17 EU policy cycle on preventing and combating risk.
- The CBRN Action Plan and the Action Plan for Making Explosives More Secure.
- Actions to combat radicalisation towards terrorism and violent extremism.

**National objective 2: Risk – exchange of information (ISF Police Article 3.3(b))**

- Exchange of information on actions related to risk and crisis management and the protection of critical infrastructure in relation to:
  - o the 2014–17 EU policy cycle on the exchange of information regarding risk;
  - o information exchange and communication systems;
  - o forensic science;
  - o the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - o combating radicalisation towards terrorism and violent extremism.

**National objective 3: Risk – training (ISF Police Article 3.3(c))**

- Actions related to the implementation of the EU Law Enforcement Training Scheme if linked to crisis management and/or the protection of critical infrastructure.
- Actions on risk and crisis management and the protection of critical infrastructure related to training on:
  - o the 2014–17 EU policy cycle on risk training;
  - o forensic science;
  - o the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - o combating radicalisation towards terrorism and violent extremism.

**National objective 4: Risk – victim support (ISF Police Article 3.3(d))**

- Witness or victim protection or support related to risk and crisis management and protection in relation to:
  - o the 2014–17 EU policy cycle on risk victim support;
  - o the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - o combating radicalisation towards terrorism and violent extremism.

**National objective 5: Risk – infrastructure (ISF Police Article 3.3(e))**

- Risk and crisis management, in particular the protection of critical infrastructure in relation to:
  - o actions implementing the 2014–17 EU policy cycle on threat and risk assessment;
  - o actions identified as funding priorities under policy dialogue key issue 'Critical infrastructure protection';
  - o surveillance technology to be used for protecting critical infrastructure;
  - o the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - o actions to combat radicalisation towards terrorism and violent extremism;
  - o actions linked to the fight against cybercrime.

**National objective 6: Risk – early warning and crisis management (ISF Police Article 3.3(f))**

- Activities on risk and crisis management and/or early warning related to:
  - o actions identified as funding priorities under policy dialogue key issue 'Crisis coordination';
  - o early warning and crisis management surveillance technology;
  - o the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - o actions to combat radicalisation towards terrorism and violent extremism.

**National objective 7: Risk – threat and risk assessment (ISF Police Article 3.3(g))**

- Threat and risk assessment in the area of crisis management and/or the protection of critical infrastructure related to:
  - o the CBRN Action Plan and the Action Plan for Making Explosives More Secure;
  - o actions to combat radicalisation towards terrorism and violent extremism.

**3. Minimum percentages**

According to Article 5(6) of the ISF Police Regulation, MS shall allocate at least 20% of their basic ISF allocation to the specific objective 'Preventing and combatting crime' and at least 10% of it to the specific objective 'Risk and crisis management'. In exceptional cases MS may depart from this minimum percentage only if they explain in detail in their NP why allocating resources below this level does not jeopardise the achievement of the relevant objective.

The ISF Police Regulation Article 7(2) specifies that no more than 8% of the total allocation under the NP will be used for the maintenance of Union IT systems and national IT systems and not more than 8% for actions in relation to or in third countries.

### 3.3.5. Cross-cutting issues

#### 3.3.5.1. Funding of activities involving Immigration Liaison Officers (ILOs)

This section provides further guidance regarding the classification of actions involving Immigration Liaison Officers (ILOs).

The definition of Immigration Liaison Officer can be found in article 1 (1)-(2) of Council Regulation (EC) No 377/2004 of 19 February 2004 on the creation of an immigration liaison officers network (hereinafter referred to as ILO Regulation) which states:

- "1. ... 'immigration liaison officer' means a representative of one of the Member States, posted abroad by the immigration service or other competent authorities in order to establish and maintain contacts with the authorities of the host country with a view to contributing to the prevention and combating of illegal immigration, the return of illegal immigrants and the management of legal migration.
2. For the purpose of this Regulation, as immigration liaison officers shall also be considered the liaison officers who are dealing with immigration issues as part of their duties."

**In the framework of the home affairs funds**, the EU legislator has made a clear choice identifying the "centre of gravity" of ILOs activities in the ISF Borders (as it was already the case for the External Borders Fund under the 2007-2013 MFF). There is an explicit reference in Article 4 (1) (f) of the ISF Borders Regulation to the "*secondment of immigration liaison officers in third countries*" which has no equivalent in the AMIF Regulation, nor in the ISF Police Regulation. In light of the above, **the actions relating to the posting of ILOs in third-countries to be supported by financial resources from the Home Affairs funds should be placed under ISF Borders**. As explained in the specific guidance (section 3.3.3) actions such as '*Posting of immigration liaison officers in third countries*' should be placed under Specific Objective 2 Borders / National objective 6: National capacity – Borders.

ILO actions must be in full compliance with Article 2 (2) of the ILO Regulation. Although ILOs are mentioned only in the ISF Borders Regulation, the tasks of ILOs do not have to be limited to border management and common visa policy issues but can also be related to return measures and other migration management activities. In this context, references to ILOs in AMIF NPs, including within AMIF specific actions 5 (joint return operations) and 6 (joint reintegration projects in third countries), should be removed and the actions related to ILO postings should be added to the SO2 / NO6 of the ISF NP.

In case MS would like to propose within their AMIF NPs actions involving the posting of liaison officers tasked with specific responsibilities in the field of migration or return, then these actions should not include a reference to ILOs, to avoid wrong classification of the actions in question and overlap of funding. By way of illustration, staff posted in a third-country to deal with AMIF-only related actions such as return could be included under the AMIF NP but with a specific wording distinct from ILO (e.g. Return Liaison Officer/RLO). Similar rule shall be applicable to the ISF Police part of the ISF NP.

### **3.3.5.2. Funding of activities related to EURODAC**

Funding for the development and upgrade of EURODAC could be financed under AMIF as EURODAC is an asylum-related system. Nevertheless, developments or upgrade relating to law-enforcement access could be financed under ISF Police (within the limits provided for by the basic act for IT-systems-related expenditure). Operational equipment (i.e. fingerprint scanners) for the use of border guards to register category 2 (apprehensions of those who have illegally crossed the external border of the Union) could be financed under ISF Borders (Specific Objective 2 Borders / National objective 6: National capacity – Borders).



## ANNEX I – BACKGROUND INFORMATION

### New structure of the home affairs Funds

A number of innovative features have been built into the new Funds to ensure that they are better equipped to support home affairs policies. Programming is simplified by moving towards exclusively multiannual programming covering the whole seven-year period. Annual shared management programmes no longer exist, so it is even more important now to adopt a strategic approach. The current procedure-based approach is abandoned in favour of a results-based approach. Focusing on key objectives, outputs and results at the programming stage will help ensure that the objectives of the Funds are achieved. To facilitate such strategic thinking and reach a consensus on the priorities for the seven years, before the programming stage a senior-level policy dialogue on home affairs funding takes place between the Commission and the individual MS before it submits its multiannual programme.

### Implementation modes

The table below gives an overview of the Funds budget breakdown.

Home affairs Funds 2014–20 (EUR million – current prices)						
	Shared Management		Centralised Management		Totals	
ISF	ISF Borders	National programmes: <b>1 551</b> • Basic allocations <b>1 276</b> • Specific Actions <b>147</b> • Mid-term review <b>128</b>  Special Transit Scheme (Lithuania): <b>154</b>	Union actions, emergency assistance, COM TA <b>264</b>	IT systems (Smart Borders Package) <b>791</b>	<b>2 760 (40%)</b>	<b>3 764 (55%)</b>
	ISF Police	National programmes: <b>662</b>	Union actions, emergency assistance, COM TA <b>342</b>		<b>1 004 (15%)</b>	
<b>Totals</b>	<b>5 119 (74%)</b>		<b>991 (14%)</b>	<b>791 (12%)</b>	<b>6 901 (100%)</b>	

**Shared management** will be the main way of managing all EU home affairs funding (approximately 88% for the AMIF and 59% for the ISF). This is a novelty in the area of internal security. Under the CIPS and ISEC programmes actions were centrally managed only. Under shared management, funding for MS NPs is complemented by centrally managed funding (**centralised management**) for emergency assistance, technical assistance and policy-driven 'Union Actions'. This includes support for transnational actions, particularly innovative actions and actions in and in relation to third countries (external aspect) at the Commission's initiative.

**a) Shared management**

The amount of resources to be allocated to NPs consists of a *basic amount* fixed and earmarked in the basic act for each MS for the whole multiannual period and a *variable amount* of additional funding allocated as a top-up for specifically defined purposes (only a basic amount is allocated to ISF Police).

The *variable amount* consists of different parts for each Fund.

- Under the **AMIF**, the available variable amount of EUR 360 million will be allocated to MS for them to implement, on a voluntary basis, an exhaustive list of eight Specific Actions<sup>8</sup> and for the resettlement in and transfer of beneficiaries of international protection from another MS. MS will have to submit an initial pledge for Specific Actions and pledge an amount every two years for resettlement operations (a lump sum for each person resettled). For information about Specific Actions refer to the guidance note on the subject. It was not planned to allocate any additional money in the mid-term review. However, if an amount remains available from the amounts allocated for resettlement or transfer and Specific Actions, it will be allocated in the 2017 mid-term review.
- Under **ISF Borders**, the variable amount earmarked for Specific Actions is EUR 147 million and for the mid-term review it is EUR 128 million. In the Specific Actions category, a top-up amount will be allocated to MS willing to purchase equipment for Frontex to use for joint operations or to implement actions to improve consular cooperation for processing Schengen visas. The amount for the mid-term review will be allocated in 2017 using a mechanism set out in the ISF Borders Regulation. It will be based on a risk-based assessment by Frontex and aim to increase the amounts allocated to the NPs of MS under higher pressure in terms of migration.

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<sup>8</sup> Specific Actions are designed to respond to specific EU home affairs priorities. They often require MS to work together (transnational cooperation), such as joint processing of asylum applications, joint return operations, setting up joint migration centres, setting up common visa application centres, etc.

### ***b) Centralised management***

The centrally managed part of the budget under both Funds will be implemented through Commission annual work programmes based on a comprehensive framework, with long-term priorities and objectives in the area of asylum, migration, internal security and borders. This funding will be used for

- Union actions (formerly Community actions), including those with an external aspect, i.e. actions in and in relation to third countries;
- the European Migration Network (under the AMIF);
- the emergency assistance mechanism for responding quickly to emergency situations such as migratory pressures in MS or third countries or emergency situations in relation to internal security and borders;
- Commission technical assistance.

### ***The external dimension***

Funding can also be used to support actions in third countries but serving primarily EU interests and priorities and having a direct impact on the EU and its citizens (not development-oriented). These actions extend internal policies outside the EU. By supporting actions starting in the EU and continuing in third countries or the other way round, it will also be possible to forge a closer link between the internal and external aspects of home affairs policies. For instance, in EU asylum and immigration policy, AMIF can help implement readmission agreements, mobility partnerships and regional protection programmes. The Commission will set out the operational and financial details of these in its annual work programmes.

### ***The EU home affairs agencies***

The Commission will also make better use of the expertise and know-how of the EU home affairs agencies, by:

- encouraging MS to use the tools and products the agencies have developed to implement their NPs and if necessary,
- entrusting the agencies with specific ad hoc tasks using the possibilities the Financial Regulation offers (indirect management).

MS are reminded that Article 9(4) of the ISF Borders Regulation legally obliges the Commission to consult Frontex on the sections on borders and visa of their ISF draft NPs, in particular the activities that have operating support, to ensure consistency and cost efficiency between the agency mission and MS obligations in the area of border management.

### **The policy dialogues**

Article 13 of the Horizontal Regulation explains the purpose of the policy dialogues:

*'In order to facilitate the preparation of the national programmes each Member State and the Commission shall hold a dialogue at the level of senior officials, taking into account the relevant indicative timeframes of Article 14. The dialogue shall focus on the overall results to be achieved by means of the national programmes in order to address the needs and priorities of the Member States in the areas of intervention covered by the Specific Regulation taking account of the baseline situation in the Member State concerned and the objectives of the Specific Regulations. The dialogue shall also serve as an opportunity for an exchange of views on Union Actions. The outcome of the dialogue will serve as a guide for the preparation and approval of the national programmes and will include an indication of the date expected for the Member State's submission of the national programmes to the Commission that will allow the timely adoption of the programme. This outcome shall be recorded in agreed minutes.'*

All 32 policy dialogues have been concluded. They provide a solid basis for strategic, politically oriented ('results-based' and 'added value') use of funding in the future to achieve the key EU home affairs objectives. MS were encouraged to identify the areas in their national policy frameworks that could be proposed for EU home affairs funding and to develop a strategic approach in preparing their NPs ensure that EU funding and policy objectives and priorities are closely related.

## ANNEX II — CHECKLISTS FOR ASSESSING NATIONAL PROGRAMMES

### Checklist for the AMIF

#### MANAGEMENT AND CONTROL SYSTEM

0.1 Are the different proposed authorities indicated, (RA, AA, and DA where applicable), including contact details for contact persons?	
0.2 Is the summary description clear and understandable?	
0.3 Has a document on the notification of designation been attached according to the requirements in the programme template?	
0.3a (If submitted, specific analysis to be done separately)	
0.4 What is the current DG SRD.01 assessment of the MCS for the SOLID Funds?	
0.5 Are the proposed authorities already involved in administering the SOLID Funds? (Can be YES and NO depending on the authorities, i.e. RA and AA.)	
0.6 If YES to 5), is the choice of the same authorities appropriate considering the change in scope of the AMIF/ISF compared to the SOLID Funds?	
0.7 If NO to 5), what are the main differences and potential risks (if possible to assess them at this stage)?	
0.8 Conclusion: Does the proposed management and control system correlate with the planned actions (from the DG SRD.01 point of view)?	
0.9 Conclusion: Other comments on the proposed management and control system that should be brought to the attention of the MS.	

**SECTION 1 – EXECUTIVE SUMMARY**

1.1 Has an overall summary of the entire draft programme been provided?	
1.2 Have the national asylum, migration and integration strategies been sufficiently described, as well as the main goals to be achieved and the main results to be obtained?	
1.3 Does the information in the executive summary have a multiannual, seven-year perspective?	
<b>1.4 General comments on this section</b>	

**SECTION 2 – BASELINE SITUATION**

2.1 Does the text in this section include: 1) a description of the baseline situation in the MS; 2) an analysis of the MS's needs, including the key issues that emerged from the policy dialogue; 3) the measures undertaken so far, including measures implemented with the current home affairs Funds (including the main results obtained, where appropriate); 4) a national needs assessment, including the challenges identified in relevant evaluations; 5) a breakdown of annual resources from the national budget for each specific objective in the NPs?	
2.2 Is the information in this section generally consistent with the agreed minutes of the policy dialogue (Horizontal Regulation, Article 14(5)(a))?	
2.3 Do the facts and figures in the description of the baseline situation refer to December 2013, or to a date close to it, and do they provide an adequate description of the <u>current state of play</u> ?	
2.4 Is the information in this section <u>factual and verifiable</u> (not subjective)?	
2.5 Is the information in this section sufficient to understand the needs and requirements of this MS?	
<b>2.6 General comments on this section</b>	

**SECTION 3 – PROGRAMME OBJECTIVES**

**3.1 PROGRAMME OBJECTIVES: GENERAL ASSESSMENT**

3.1.1 Do the programme objectives build on the overall description of the baseline situation and the needs or requirements of the MS set out in it?	
3.1.2 Is there a risk of fragmentation of funds due to a lack of prioritisation of actions?	
3.1.3. Does the programme aim to achieve the objectives set out in Article 19 of the AMIF Regulation (mandatory objectives)?	
<b>3.1.4 General comments on this section</b>	

**3.2 SPECIFIC OBJECTIVES: ASSESSMENT**

<b>SPECIFIC OBJECTIVE 1: Asylum</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the AMIF Regulation</u> are covered, including the mandatory objective set out in Article 19(1)(a)? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do the chosen actions address the MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope of</u> the relevant articles of the AMIF Regulation? Do the <u>target groups</u> correlate with the definitions in the AMIF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
<b>Other comments on the national objectives and Specific Actions below:</b>		

	National objective 1: Reception/asylum	
	National objective 2: Evaluation	
	National objective 3: Resettlement	
	Specific Action 1: Transit centres	
	Specific Action 2: Access to asylum	

<b>SPECIFIC OBJECTIVE 2: Integration and legal migration</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the AMIF Regulation</u> are covered, including the mandatory objective set out in Article 19(1)(b)? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do they address the MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope of</u> the relevant articles of the AMIF Regulation? Do the <u>target groups</u> correlate with the definitions in the AMIF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
	<b>Other comments on the national objectives and Specific Actions below:</b>	
	National objective 1: Legal migration	
	National objective 2: Integration	
	National objective 3: Capacity	
	Specific Action 3: Joint initiatives	
	Specific Action 4: Unaccompanied minors	Check against outcome pledging exercise
Specific Action 8: Legal migration	Check against outcome pledging exercise	



<b>SPECIFIC OBJECTIVE 3: Return</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the AMIF Regulation</u> are covered, including the mandatory objective set out in Article 19(1)(c)? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do they address the MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope of</u> the relevant articles of the AMIF Regulation? Do the <u>target groups</u> correlate with the definitions in the AMIF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
	<b>Other comments on the national objectives and Specific Actions below:</b>	
	National objective 1: Accompanying measures	
	National objective 2: Return measures	
	National objective 3: Cooperation	
Specific Action 5: Joint return		
Specific Action 6: Joint reintegration		
Specific Action 7: Joint family unity and unaccompanied minor reintegration		

<b>SPECIFIC OBJECTIVE 4: Solidarity</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the AMIF Regulation</u> are covered? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do they address the MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope of</u> the relevant articles of the AMIF Regulation? Do the <u>target groups</u> correlate with the definitions in the AMIF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
	<b>Other comments on the national objectives below:</b>	
National objective 1: Relocation		

### 3.3 INDICATIVE TIMETABLE

3.3.1 Have the names of actions been included (corresponding to the actions identified under the national objectives)?	
3.3.2 How realistic are the stages of the proposed actions shown in the timetable?	
3.3.3 Are the different actions well spread over the years (judging by their scale and complexity and the implementation method)?	
<b>3.3.4 Other comments on this section</b>	

**SECTION 4 – SPECIAL CASES – RESETTLEMENT AND TRANSFER OF BENEFICIARIES OF INTERNATIONAL PROTECTION (if applicable)**

4.1 Has the MS seriously considered resettling and/or transferring beneficiaries of international protection?	
4.2 If it has made a pledge for resettlement, has it given a plausible reason for the total number of people it pledged for?	
4.3 If it has made a pledge for resettlement or transfer, is it feasible to resettle or transfer the total number of people pledged for in two calendar years?	
<b>4.4 Other comments on this section</b>	

**SECTION 5 – COMMON INDICATORS AND PROGRAMME-SPECIFIC INDICATORS**

5.1 Are the programme-specific indicators (if any were added) appropriate (or can they also fall under the common indicators)?	
5.2 Are the targets for the common and programme-specific indicators under the following specific objectives <u>attainable</u> and <u>reasonable</u> ?	
Specific objective 1: Asylum	
Specific objective 2: Integration and legal migration	
Specific objective 3: Return	
Specific objective 4: Solidarity	
5.3 Do the targets for the common and programme-specific indicators correspond to the chosen <u>funding priorities</u> and are they realistic given the <u>allocations</u> for the various specific objectives?	
Specific objective 1: Asylum	
Specific objective 2: Integration and legal migration	
Specific objective 3: Return	
Specific objective 4: Solidarity	

**SECTION 6 – FRAMEWORK FOR PREPARATION AND IMPLEMENTATION OF THE PROGRAMME**

6.1. [Preparation of the programme:] Has a summary of the approach taken and the involvement of partners and a description of the key stages of broader consultation been provided? Has a list of the main partners (or type of partners) involved or consulted been included?	
6.2 [Monitoring committee] Has the monitoring committee been indicated?	

6.3 [Common monitoring and evaluation framework] Has an adequate description of the planned approach to and methods for implementing the common monitoring and evaluation framework been provided?	
6.4 [Implementation of the programme:] Has a summary of the approach taken and the involvement of partners and a description of the key stages of broader consultation been provided? Has a list of the main partners (or type of partners) involved or consulted been included?	
6.5 [Partners] Have the relevant partners been consulted? Is the MS's way of applying the partnership principle convincing?	
6.6 [Coordination of EU Funds] Has complementarity and coordination with other EU Funds (the ESIF, other EU Funds, programmes and external relations instruments) and national instruments been sufficiently described? Is the consultation mechanism to prevent double funding convincing?	
6.7 [Beneficiaries] Does the programme's choice of beneficiaries raise concerns of unequal treatment of potential beneficiaries in the light of the actions proposed?	
6.8 [Direct award] If it is planned to directly award funding, has the MS provided sufficient justification for this?	

**SECTION 7 – THE FINANCING PLAN OF THE PROGRAMME**

7.1 If the MS departs from the minimum percentage(s), does it have good reasons for doing so?	
7.2 Do the amounts allocated to Specific Actions correspond to the outcome of the pledging exercise?	
7.3 Are the allocations for the national objectives <u>reasonable</u> , do they correspond to the actions under the funding priorities and are the targets set for them realistic?	
Specific objective 1: Asylum	
Specific objective 2: Integration	
Specific objective 3: Return	
Specific objective 4: Solidarity	

## Checklist for the ISF

### MANAGEMENT AND CONTROL SYSTEM

0.1 Are the different proposed authorities indicated, (RA, AA, and DA where applicable), including contact details for contact persons?	
0.2 Is the summary description clear and understandable?	
0.3 Has a document on the notification of designation been attached according to the requirements in the programme template?	
0.3a (If submitted, specific analysis to be done separately)	
0.4 What is the current SRD.01 assessment of the MCS for the SOLID Funds?	
0.5 Are the proposed authorities already involved in administering the SOLID Funds? (Can be YES and NO depending on the authorities, i.e. RA and AA.)	
0.6 If YES to 5), is the choice of the same authorities appropriate considering the change in scope of the AMIF/ISF compared to the SOLID Funds?	
0.7 If NO to 5), what are the main differences and potential risks (if possible to assess them at this stage)?	
0.8 Conclusion: Does the proposed management and control system correlate with the planned actions (from the SRD.01 point of view)?	
0.9 Conclusion: Other comments related to the proposed management and control system that should be brought to the attention of the MS.	

<b>SECTION 1 – EXECUTIVE SUMMARY</b>	
1.1 Has an overall summary of the entire draft programme been provided?	
1.2 Have the national borders, visa and police strategies been sufficiently described, as well as the main goals to be achieved and the main results to be obtained?	
1.3 Does the information in the executive summary have a multiannual, seven-year perspective?	
<b>1.4 General comments on this section</b>	

<b>SECTION 2 – BASELINE SITUATION</b>	
2.1 Does the text in this section include: 1) a description of the baseline situation in the MS; 2) an analysis of the MS's needs, including the key issues that emerged from the policy dialogue; 3) the measures undertaken so far, including measures implemented with the current home affairs Funds (including the main results obtained, where appropriate); 4) a national needs assessment, including the challenges identified in relevant evaluations; 5) a breakdown of annual resources from the national budget for each specific objective in the NP?	
2.2 Is the information in this section generally consistent with the agreed minutes of the policy dialogue (Horizontal Regulation, Article 14(5)(a))?	
2.3 Do the facts and figures in the description of the baseline situation refer to December 2013, or to a date close to it, and do they provide an adequate description of the <u>current state of play</u> ?	
2.4 Is the information in this section <u>factual and verifiable</u> (not subjective)?	
2.5 Is the information in this section sufficient to understand the needs and requirements of this MS?	
<b>2.6 General comments on this section</b>	

**SECTION 3 – PROGRAMME OBJECTIVES**

**3.1 PROGRAMME OBJECTIVES: GENERAL ASSESSMENT**

3.1.1 Do the programme objectives build on the overall description of the baseline situation and the needs or requirements of the MS set out in it?	
3.1.2 Is there a risk of fragmentation of funds due to a lack of prioritisation of actions?	
<b>3.1.3 General comments on this section</b>	

**3.2 SPECIFIC OBJECTIVES: ASSESSMENT**

<b>SPECIFIC OBJECTIVE 1: Support a common visa policy</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the ISF Regulation</u> are covered? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do they address the MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope of</u> the relevant articles of the ISF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
	<b>Other comments on the national objectives and Specific Actions below:</b>	
	National objective 1: National capacity	
	National objective 2: EU law	
	National objective 3: Consular cooperation	
Specific Action 1: Consular cooperation	Check against outcome pledging exercise	

<b>SPECIFIC OBJECTIVE 2: Borders</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the ISF Regulation</u> are covered? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do the chosen actions address the MS MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope of</u> the relevant articles of the ISF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
	<b>Other comments on the national objectives and Specific Actions below:</b>	
	National objective 1: EUROSUR	
	National objective 2: Information exchange	
	National objective 3: Common EU Standards	
National objective 4: EU law		
National objective 5: Future challenges		
National objective 6: National capacity – borders		
Specific Action 2: Frontex equipment		

<b>SPECIFIC OBJECTIVE 3: Operating support</b>	[Objectives, targets, services and tasks] Has a <u>general indication</u> for the use of operating support been provided, including <u>objectives</u> to be achieved and <u>targets</u> to be reached, as well as one for <u>services and tasks</u> which will be financed under the operating support mechanism for visa matters and borders?	
	[Annex] Has the <u>annex</u> on operating support been completed and attached?	
	[Eligibility] On the basis of the information available to the Commission, do the MS concerned fulfil the conditions set out in Article 10(2)?	
	[Annex] Do the <u>objectives, services and tasks</u> indicated in the programme to be financed	



	under the operating support mechanism correspond to the objectives and types of costs set out in Annex III of the ISF Borders Regulation?	
	<b>Other comments on the national objectives below:</b>	
	National objective 1: Visa operating support	
	National objective 2: Borders operating support	

<b>SPECIFIC OBJECTIVE 5: Preventing and combating crime</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the ISF Regulation</u> are covered? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do the chosen actions address the MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope</u> of the relevant articles of the ISF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
	<b>Other comments on the national objectives below:</b>	
	National objective 1: Preventing and combating crime	
	National objective 2: Exchanging information on crime	
	National objective 3: Training on crime-related matters	
	National objective 4: Crime victim support	
National objective 5: Threat and risk assessment		

<b>SPECIFIC OBJECTIVE 6: Risk and crisis management</b>	[SPECIFIC OBJECTIVE] To what extent has the <u>appropriate strategy</u> for this specific objective been presented, including a description of how the <u>objectives of the ISF Regulation</u> are covered? Is it clear how the <u>requirements</u> identified in the description of the baseline situation will be fulfilled?	
	[NATIONAL OBJECTIVES] Under each national objective, have the <u>main actions/funding priorities</u> to achieve the national objective been provided, including the <u>targets</u> (desired outcomes and results)? Is it clear what the funding priorities are?	
	[TARGETS] Are the targets (desired outcomes and results) sufficiently clear?	
	[FUNDING PRIORITIES] Do the main actions/funding priorities give sufficient information about what the MS actually intends to fund with EU Funds? Do the chosen actions address the MS's identified requirements in this area? Are they in line with the targets?	
	[ELIGIBILITY] Does the description of the main actions in the funding priorities <u>fall within the scope of</u> the relevant articles of the ISF Regulation?	
	[EU ADDED VALUE] Do the funding priorities chosen correspond to the EU priorities in the relevant policy area?	
	<b>Other comments on the national objectives below:</b>	
	National objective 1: Preventing and combating risk	
	National objective 2: Exchanging information on risk and crisis management	
	National objective 3: Training on risk and crisis management	
	National objective 4: Victim support	
	National objective 5: Risk and crisis management infrastructure	
	National objective 6: Early warning and crisis management	
National objective 7: Threat and risk assessment		

### 3.3 INDICATIVE TIMETABLE

3.3.1 Have the names of actions been included (corresponding to the actions identified under the national objectives)?	
3.3.2 How realistic are the stages of the proposed actions shown in the timetable?	
3.3.3 Are the different actions well spread over the years (judging by their scale and complexity and the implementation method)?	

3.3.4 Other comments on this section

**SECTION 4 – SPECIAL TRANSIT SCHEME (STS) OPERATING SUPPORT (LITHUANIA)**

4.1 To what extent has the <u>national strategy</u> for implementing the Special Transit Scheme been presented, including the <u>requirements</u> of the strategy and the <u>national objectives</u> designed to fulfil those requirements, as well as the <u>desired results and outcomes</u> ?	
4.2 Has an indication of the <u>types of additional costs</u> to be supported in relation to the implementation of the STS been provided?	
4.3 Are the <u>objectives</u> clear?	
4.4 Do the <u>types of additional costs</u> to be supported in relation to the implementation of the STS match the categories of costs set out in Article 11(3) of the ISF Borders Regulation?	

**SECTION 5 – COMMON INDICATORS AND PROGRAMME SPECIFIC-INDICATORS**

5.1 Are the programme-specific indicators (if any were added) appropriate (or can they also fall under the common indicators)?	
5.2 Are the targets for the common and programme-specific indicators under the following specific objectives <u>attainable and reasonable</u> ?	
Specific objective 1: Visa	
Specific objective 2: Borders	
Specific objective 5: Crime	
Specific objective 6: Risk and crisis management	
5.3 Do the targets under the common and programme-specific indicators correspond to the chosen <u>funding priorities</u> and are they realistic given the <u>allocations</u> for the various specific objectives?	
Specific objective 1: Visa	
Specific objective 2: Borders	
Specific objective 5: Crime	
Specific objective 6: Risk and crisis management	

**SECTION 6 – FRAMEWORK FOR PREPARING AND IMPLEMENTING THE PROGRAMME**

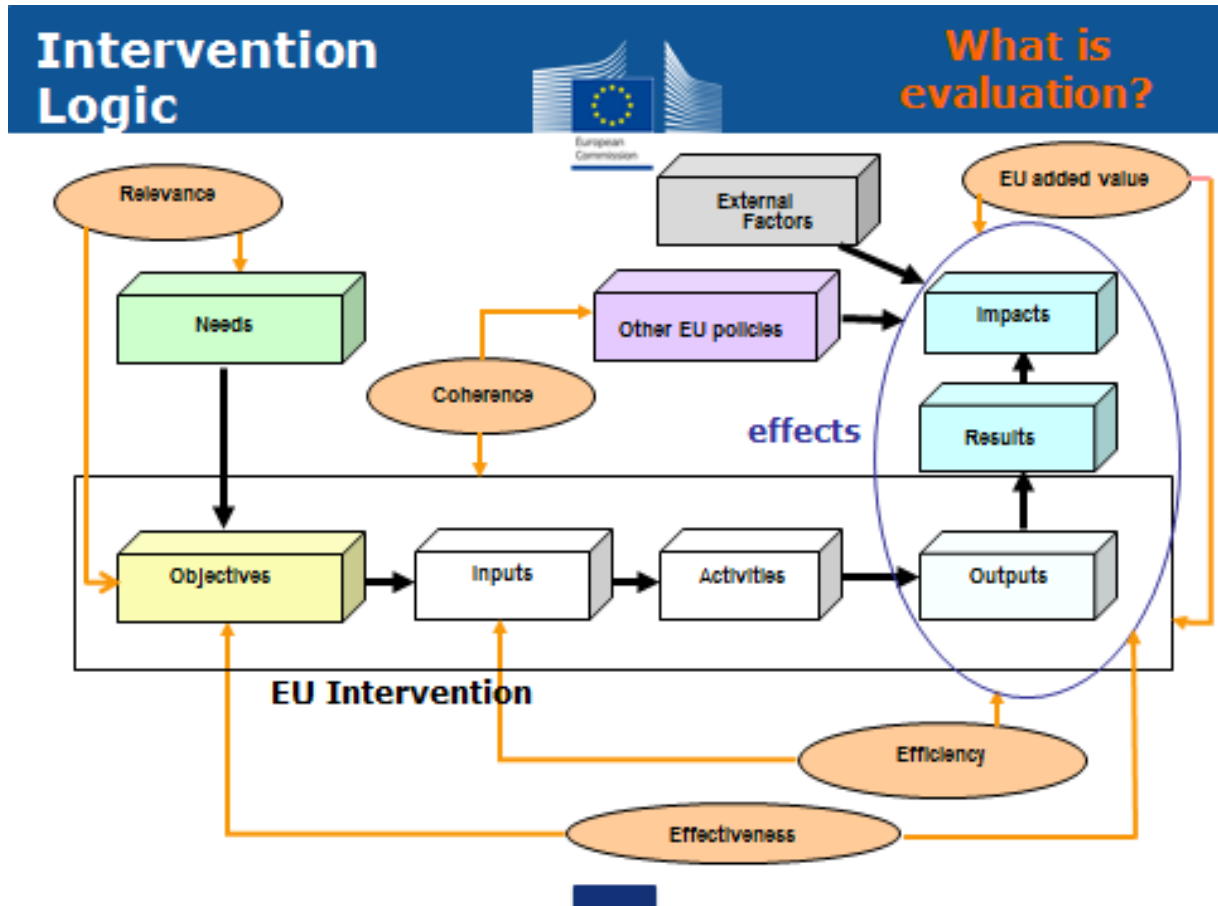
6.1. [Preparation of the programme:] Has a summary of the approach taken and the involvement of partners and a description of the key stages of broader consultation been provided? Has a list of the main partners (or type of partners) involved or consulted been included?	
6.2 [Monitoring committee] Has the monitoring committee been indicated?	
6.3 [Common monitoring and evaluation framework] Has an adequate description of the planned approach to and methods for implementing the common monitoring and evaluation framework been provided?	
6.4 [Implementation of the programme:] Has a summary of the approach taken and the involvement of partners and a description of the key stages of broader consultation been provided? Has a list of the main partners (or type of partners) involved or consulted been included?	
6.5 [Partners] Have the relevant partners been consulted? Is the MS's way of applying the partnership principle convincing?	
6.6 [Coordination of EU Funds] Has complementarity and coordination with other EU Funds (the ESIF, other EU Funds, programmes and external relations instruments) and national instruments been sufficiently described? Is the consultation mechanism to prevent double funding convincing?	
6.7 [Beneficiaries] Does the programme's choice of beneficiaries raise concerns of unequal treatment of potential beneficiaries?	
6.8 [Direct award] If it is planned to directly award funding, has the MS provided sufficient justification for this?	

**SECTION 7 – THE FINANCING PLAN OF THE PROGRAMME**

7.1 If the MS departs from the minimum percentage(s), does it have good reasons for doing so?	
7.2 Do the amounts allocated to Specific Actions correspond to the outcome of the pledging exercise?	
7.3 Are the allocations for the national objectives reasonable, do they correspond to the actions under the funding priorities and are the targets set for them realistic?	
Specific objective 1: Visa	
Specific objective 2: Borders	
Specific objective 3: Operating support	
Specific objective 5: Crime	
Specific objective 6: Risk and crisis management	

## ANNEX III — TEMPLATE GUIDANCE FIGURES

Figure 1: Visualisation of the logic of intervention



**Figure 2: Illustrative chart on the interventions to strengthen institutional and administrative capacity**

