



EUROPEAN
COMMISSION

Strasbourg, 12.6.2018
COM(2018) 473 final

ANNEXES 1 to 8

ANNEXES

to the

REGULATION OF THE EUROPEAN PARLIAMENT AND THE COUNCIL

**establishing, as part of the Integrated Border Management Fund, the instrument for
financial support for border management and visa**

{SWD(2018) 347 final} - {SWD(2018) 348 final} - {SEC(2018) 315 final}

ANNEX I

Criteria for the allocation of funding to the programmes under shared management

1. The available resources referred to in Article 10 shall be broken down between the Member States as follows:
 - (a) each Member State shall receive a fixed amount of EUR 5 000 000 from the instrument at the start of the programming period only;
 - (b) an amount of EUR 157 200 000 for the Special Transit Scheme to be allocated to Lithuania at the start of the programming period only;
 - (c) and the remaining resources referred to in Article 10 shall be distributed based on the following criteria:
 - 30 % for external land borders;
 - 35 % for external sea borders;
 - 20 % for airports;
 - 15 % for consular offices.
2. The resources available under paragraph 1(c) for external land borders and external sea borders shall be broken down between Member States as follows:
 - (a) 70 % for the length of their external land borders and external sea borders, which will be calculated, on the basis of weighting factors for each specific section as defined in Regulation (EU) No 1052/2013¹, determined in accordance with paragraph 11; and
 - (b) 30 % for the workload at their external land and external sea borders, as determined in accordance with paragraph 7(a).
3. The weighting as referred to in paragraph 2(a) shall be determined by the European Border and Coast Guard Agency in accordance with paragraph 11.
4. The resources available under paragraph 1(c) for airports shall be broken down between Member States according to the workload at their airports, as determined in accordance with paragraph 7(b).
5. The resources available under paragraph 1(c) for consular offices shall be broken down between Member States as follows:
 - (a) 50 % for the number of consular offices (excluding honorary consulates) of the Member States in the countries listed in Annex I of Council Regulation (EC) No 539/2001², and

¹ Regulation (EU) No 1052/2013 of 22 October 2013 establishing the European Border Surveillance System (Eurosur), (OJ L 295, 6.11.2013, p.11.

² Council Regulation (EC) No 539/2001 of 15 March 2001 listing the third countries whose nationals must be in possession of visas when crossing the external borders and those whose nationals are exempt from that requirement.

- (b) 50 % for the workload as regards the management of visa policy at consular offices of Member States in the countries listed in Annex I to Regulation (EC) No 539/2001, as determined in accordance with paragraph 7(c) of this Annex.
6. For the purpose of the distribution of resources under paragraph 1(c), ‘external sea borders’ shall mean the outer limit of the territorial sea of the Member States as defined in accordance with Articles 4 to 16 of the United Nations Convention on the Law of the Sea. However, in cases where long range operations on a regular basis are required in order to prevent illegal immigration or illegal entry, this shall be the outer limit of high threat areas. The definition of ‘external maritime borders’ in this regard shall be determined by taking into account the operational data over the past two years as provided by the Member States concerned. This definition shall be used exclusively for the purpose of this Regulation.
7. For the purposes of the initial allocation of funding, the assessment of the workload shall be based on the latest average figures covering the preceding 36 months available on the date of the applicability of this Regulation. For the purposes of the mid-term review, the assessment of the workload shall be based on the latest average figures covering the preceding 36 months available at the time of the mid-term review in 2024. The assessment of the workload shall be based on the following factors:
- (a) at external land borders and external sea borders:
- (1) 70 % for the number of crossings of the external border at authorised border crossing points;
 - (2) 30% for the number of third-country nationals refused entry at the external border.
- (b) at airports:
- (1) 70 % for the number of crossings of the external border at authorised border crossing points;
 - (2) 30% for the number of third-country nationals refused entry at the external border.
- (c) at consular offices:
the number of visa applications for short stays or airport transit.
8. The reference figures for the number of consular offices as referred to in paragraph 5(a) shall be calculated according to the information contained in Annex 28 of Commission Decision C(2010) 1620 of 19 March 2010 establishing the Handbook for the processing of visa applications and the modifications of issued visas.
- Where Member States have not provided the statistics concerned, the latest available data for those Member States shall be used. Where there is no data available for a Member State, the reference figure shall be zero.
9. The reference figures for the workload referred to:
- (a) in paragraph 7(a)(1) and 7(b)(1) shall be the latest statistics provided by Member States in accordance with Union law;
 - (b) in paragraph 7(a)(2) and 7(b)(2) shall be the latest statistics produced by the Commission (Eurostat) on the basis of data provided by Member States in accordance with Union law;

- (c) in paragraph 7(c) shall be the latest visa statistics published by the Commission in accordance with Article 46 of the Visa Code³.
 - (d) Where Member States have not provided the statistics concerned, the latest available data for those Member States shall be used. Where there is no data available for a Member State, the reference figure shall be zero.
10. The European Border and Coast Guard Agency shall provide the Commission with a report on the breakdown of resources as regards external land borders, external sea borders and airports, as referred to in paragraph 1(c).
11. For the purposes of the initial allocation, the report referred to in paragraph 10 shall identify the average level of threat of each border section based on the latest average figures covering the preceding 36 months on the date of the applicability of this Regulation. For the purposes of the mid-term review, the report referred to in paragraph 10 shall identify the average level of threat of each border section based on the latest average figures covering the preceding 36 months available at the time of the mid-term review in 2024. It shall determine the following specific weighting factors per section applying the threat levels as defined in Regulation (EU) No 1052/2013:
- (a) factor 0.5 for low threat;
 - (b) factor 3 for medium threat;
 - (c) factor 5 for high threat;
 - (d) factor 8 for critical threat.

³ Regulation (EC) No 810/2009 of the European Parliament and of the Council of 13 July 2009 establishing a Community Code on Visas (Visa Code) (OJ L 243, 15.9.2009, p. 1).

ANNEX II

Implementation measures

1. The instrument shall contribute to the specific objective set out in Article 3(2)(a) by focusing on the following implementation measures:
 - (a) improving border control in line with Article 4(a) of Regulation (EU) 2016/1624 by:
 - i. reinforcing the capacities for carrying out checks and surveillance at the external borders, including measures to prevent and detect cross-border crime, such as migrant smuggling, trafficking in human beings and terrorism;
 - ii. supporting search and rescue in the context of carrying out border surveillance at sea;
 - iii. implementing technical and operational measures within the Schengen area which are related to border control;
 - iv. carrying out analyses of the risks for internal security and analyses of the threats that may affect the functioning or security of the external borders;
 - v. supporting, within the scope of this Regulation, Member States facing existing or potential disproportionate migratory pressure at the EU's external borders, including through technical and operational reinforcement, as well as by deploying migration management support teams in hotspot areas.
 - (b) further developing the European Border and Coast Guard, through common capacity-building, joint procurement, establishment of common standards and any other measures streamlining the cooperation and coordination between the Member States and the European Border and Coast Guard Agency;
 - (c) enhancing inter-agency cooperation at national level among the national authorities responsible for border control or for tasks carried out at the border, and at EU level between the Member States, or between the Member States, on the one hand, and the relevant Union bodies, offices and agencies or third countries, on the other;
 - (d) ensuring the uniform application of the Union *acquis* on external borders, including through the implementation of recommendations from quality control mechanisms such as the Schengen evaluation mechanism in line with Regulation (EU) No 1053/2013, vulnerability assessments in line with Regulation (EU) 2016/1624, and national quality control mechanisms;
 - (e) setting up, operating and maintaining large-scale IT systems in the area of border management, including the interoperability of these IT systems and their communication infrastructure.
2. The instrument shall contribute to the specific objective set out in Article 3(2)(b) by focusing on the following implementation measures:
 - (a) providing efficient and client-friendly services to visa applicants while maintaining the security and integrity of the visa procedure;

- (b) ensuring the uniform application of the Union *acquis* on visas, including the further development and modernisation of the common policy on visas;
- (c) developing different forms of cooperation between Member States in visa processing;
- (d) setting up, operating and maintaining large-scale IT systems in the area of the common policy on visas, including the interoperability between these IT systems and their communication infrastructure.

ANNEX III

Scope of support

1. Within the specific objective referred to in Article 3(2)(a), the instrument shall in particular support the following:
 - (a) infrastructures, buildings, systems and services required at border crossing points, in hotspot areas and for border surveillance between border crossing points to prevent and tackle unauthorised border crossings, illegal immigration and cross-border crime at the external borders, as well as to guarantee the smooth flows of legitimate travellers;
 - (b) operating equipment, including means of transport, and communication systems required for effective and secure border control, in accordance with standards developed by the European Border and Coast Guard Agency, where such standards exist;
 - (c) training in the field of or contributing to the development of European integrated border management, taking into account operational needs and risk analysis and in full compliance with fundamental rights;
 - (d) secondment of joint liaison officers to third countries as defined in Regulation (EU) No .../ ... [new ILO Regulation]⁴ and secondment of border guards and other relevant experts to Member States or from a Member State to a third country, reinforcement of cooperation and operational capacity of networks of experts or liaison officers, as well as exchange of best practices and boosting the capacity of European networks to assess, promote, support and develop Union policies;
 - (e) studies, pilot projects and other relevant actions aiming to implement or develop European integrated border management, including measures aiming at the development of the European Border and Coast Guard, such as common capacity-building, joint procurement, establishment of common standards and other measures streamlining the cooperation and coordination between the European Border and Coast Guard Agency and Member States;
 - (f) actions developing innovative methods or deploying new technologies with a potential for transferability to other Member States, in particular deploying the results of security research projects where such deployment has been identified by the European Border and Coast Guard Agency, acting under Article 37 of Regulation (EU) 2016/1624, as contributing to the development of operational capabilities of the European Border and Coast Guard;
 - (g) preparatory, monitoring, administrative and technical activities, required to implement external border policies, including to strengthen the governance of the Schengen area by developing and implementing the evaluation mechanism as established by Regulation (EU) No 1053/2013 to verify the application of the Schengen *acquis* and the Schengen Borders Code, including mission expenditure for experts of the Commission and the Member States participating in on-site visits as well as measures to implement recommendations issued

⁴ OJ L [...], [...]. p.

following vulnerability assessments carried out by the European Border and Coast Guard Agency in line with Regulation (EU) 2016/1624;

- (h) identification, fingerprinting, registration, security checks, debriefing, provision of information, medical and vulnerability screening and, where necessary, medical care as well as referral of third country nationals to the appropriate procedure at the external borders, in particular in hotspot areas;
 - (i) actions aimed at enhancing awareness of external border policies among stakeholders and the general public, including corporate communication on the political priorities of the Union;
 - (j) development of statistical tools, methods and indicators;
 - (k) operating support for the implementation of European integrated border management.
2. Within the specific objective referred to in Article 3(2)(b), the instrument shall in particular support the following:
- (a) infrastructures and buildings required for the processing of visa applications and consular cooperation, including security measures, as well as other actions aimed at improving the quality of service for visa applicants;
 - (b) operating equipment and communication systems required for the processing of visa applications and consular cooperation;
 - (c) training of consular and other staff contributing to the common visa policy and consular cooperation;
 - (d) the exchange of best practices and experts, including the secondment of experts, as well as boosting the capacity of European networks to assess, promote, support and further develop Union policies and objectives;
 - (e) studies, pilot projects and other relevant actions, such as actions aimed at improving knowledge through analyses, monitoring and evaluation;
 - (f) actions developing innovative methods or deploying new technologies with a potential for transferability to other Member States, especially projects aiming at testing and validating the outcome of Union-funded research projects;
 - (g) preparatory, monitoring, administrative and technical activities, including to strengthen the governance of the Schengen area by developing and implementing the evaluation mechanism as established by Regulation (EU) No 1053/2013 to verify the application of the Schengen *acquis*, including mission expenditure for experts of the Commission and the Member States participating in on-site visits;
 - (h) awareness-raising activities on visa policies among stakeholders and the general public, including corporate communication on the political priorities of the Union;
 - (i) development of statistical tools, methods and indicators;
 - (j) operating support for the implementation of the common visa policy.
3. Within the policy objective referred to in Article 3(1), the instrument shall in particular support the following:

- (a) infrastructures and buildings required for the hosting of large-scale IT systems and associated communication infrastructure components;
- (b) equipment and communication systems necessary to ensure the proper functioning of large-scale IT systems;
- (c) training and communication activities in relation to large-scale IT systems;
- (d) development and upgrading of large-scale IT systems;
- (e) studies, proof of concepts, pilot projects and other relevant actions related to the implementation of large-scale IT systems including their interoperability;
- (f) actions developing innovative methods or deploying new technologies with a potential for transferability to other Member States, especially projects aiming at testing and validating the outcome of Union-funded research projects;
- (g) development of statistical tools, methods and indicators for large-scale IT systems in the field of visa and borders;
- (h) operating support for the implementation of large-scale IT systems.

ANNEX IV

Actions eligible for higher co-financing in line with Article 11(3) and Article 12(14)

- (1) Purchasing of operating equipment through joint procurement schemes with the European Border and Coast Guard Agency, to be put at the disposal of the European Border and Coast Guard Agency for its operational activities in line with Article 39(14) of Regulation (EU) No 2016/1624.
- (2) Measures supporting inter-agency cooperation between a Member State and a neighbouring third country with which the EU shares a common land or maritime border.
- (3) Further development of the European Border and Coast Guard, through common capacity building, joint procurement, establishment of common standards and any other measures streamlining the cooperation and coordination between the Member States and the European Border and Coast Guard Agency, as outlined in paragraph 1(b) of Annex II.
- (4) Joint deployment of immigration liaison officers as referred to in Annex III.
- (5) Measures enhancing the identification of victims of trafficking in human beings and enhancing cross-border cooperation for detecting traffickers in the framework of border control.
- (6) Measures deploying, transferring, testing and validating new methodology or technology, including pilot projects and follow-up measures to Union-funded security research projects, as referred to in Annex III.
- (7) Measures for setting up and running hotspot areas in Member States facing existing or potential exceptional and disproportionate migratory pressure.
- (8) Further developing forms of cooperation among Member States in visa processing, as outlined in paragraph 2(c) of Annex II.
- (9) Increasing the consular presence or representation of Member States in visa-required countries, in particular in countries where no Member State is currently present.

ANNEX V

Core performance indicators referred to in Article 25(1)

- (a) Specific objective 1: Supporting effective European integrated border management at the external borders implemented by the European Border and Coast Guard as a shared responsibility of the European Border and Coast Guard Agency and of the national authorities responsible for border management, to facilitate legitimate border crossings, to prevent and detect illegal immigration and cross-border crime and to effectively manage migratory flows:
- (1) Number of irregular border crossings detected at the EU external borders a) between the border crossing points; and b) at the border crossing points
Data source: European Border and Coast Guard Agency
 - (2) Number of persons using fraudulent travel documents detected at the border crossing points
Data source: European Border and Coast Guard Agency
- (b) Specific objective 2: Supporting the common visa policy to facilitate legitimate travel and prevent migratory and security risks:
- (1) Number of persons using fraudulent travel documents detected at consulates supported by the Fund
Data source: Member States⁵
 - (2) Average decision time (and trends) in the visa procedure
Data source: Member States⁶

⁵ Data for this indicator is collected by Member States through the Visa Information System (VIS) and may be accessed by the Commission in the future for the purposes of reporting and statistics, pending the negotiations on the proposal of the Commission for a Regulation of the European Parliament and of the Council amending Regulation (EC) No 767/2008, Regulation (EC) No 810/2009, Regulation (EU) 2017/2226, Regulation (EU) 2016/399, Regulation XX/2018 [Interoperability Regulation], and Decision 2004/512/EC and repealing Council Decision 2008/633/JHA (COM(2018) 302 final of 16.05.2018).

⁶ Idem.

ANNEX VI

Types of intervention

TABLE 1: CODES FOR THE INTERVENTION FIELD DIMENSION

I. European integrated border management	
001	Border checks
002	Border surveillance - air assets
003	Border surveillance - land assets
004	Border surveillance - maritime assets
005	Border surveillance - automated border surveillance systems
006	Border surveillance - other measures
007	Technical and operational measures within the Schengen area which are related to border control
008	Situational awareness and exchange of information
009	Risk analysis
010	Processing of data and information
011	Hotspot areas
012	European Border and Coast Guard development
013	Inter-agency cooperation - national level
014	Inter-agency cooperation - European Union level
015	Inter-agency cooperation - with third countries
016	Deployment of joint immigration liaison officers
017	Large-scale IT systems - Eurodac for border management purposes
018	Large-scale IT systems - Entry-exit System (EES)
019	Large-scale IT systems - European Travel Information and Authorisation System (ETIAS)
020	Large-scale IT systems - Schengen Information System (SISII)
021	Large-scale IT systems - Interoperability
022	Operating support - Integrated border management
023	Operating support - Large-scale IT systems for border management purposes
024	Operating support - Special Transit Scheme
II. Common visa policy	
001	Improving visa application processing
002	Enhancing the efficiency, client-friendly environment and security at consulates
003	Document security / document advisors
004	Consular cooperation

005	Consular coverage
006	Large-scale IT systems - Visa Information System (VIS)
007	Other IT systems for visa application processing purposes
008	Operating support - Common visa policy
009	Operating support - Large-scale IT systems for visa application processing purposes
010	Operating support - Special Transit Scheme
	III. Technical assistance
001	Information and communication
002	Preparation, implementation, monitoring and control
003	Evaluation and studies, data collection
004	Capacity building

TABLE 2: CODES FOR THE TYPE OF ACTION DIMENSION

001	infrastructures and buildings
002	means of transport
003	other operating equipment
004	communication systems
005	IT systems
006	training
007	exchange of best practices - between Member States
008	exchange of best practices - with third countries
009	deployment of experts
010	studies, proofs of concept, pilot projects and similar actions
011	communication activities
012	development of statistical tools, methods and indicators
013	deployment or other follow-up of research projects

TABLE 3: CODES FOR THE IMPLEMENTATION MODALITIES DIMENSION

001	Specific action
002	Emergency assistance
003	Actions listed in Annex IV
004	Implementation of Schengen evaluation recommendations
005	Implementation of vulnerability assessment recommendations
006	Cooperation with third countries
007	Actions in third countries

ANNEX VII

Eligible actions for operating support

- (a) Within the specific objective set out in Article 3(2)(a), operating support shall cover the following costs on the condition that they are not being covered by the European Border and Coast Guard Agency in the context of its operational activities:
- (1) staff costs;
 - (2) maintenance or repair of equipment and infrastructure;
 - (3) service costs, including at hotspot areas within the scope of this Regulation;
 - (4) running costs on operations.
- A host Member State in the meaning of Article 2(5) of Regulation (EU) No 1624/2016⁷ may use operating support to cover its own running costs for its participation in the operational activities referred to in Article 2(5) of Regulation (EU) No 1624/2016 and falling within the scope of this Regulation or for the purposes of its national border control activities.
- (b) Within the specific objective specific objective set out in Article 3(2)(b), operating support shall cover:
- (1) staff costs, including for training;
 - (2) service costs;
 - (3) maintenance or repair of equipment and infrastructure;
 - (4) costs related to real estate, including rental and depreciation.
- (c) Within the policy objective set out in Article 3(1), operating support shall cover:
- (1) staff costs, including for training;
 - (2) operational management and maintenance of large-scale IT systems and their communication infrastructures, including the interoperability of these systems and rental of secure premises.
- (d) In addition to the above, operating support within the programme for Lithuania shall provide support in line with paragraph 1 of Article 16.

⁷ Regulation (EU) 1624/2016 of the European Parliament and of the Council of 14 September 2016 on the European Border and Coast Guard (OJ L 251, 16.9.2016, p.1).

ANNEX VIII

Output and result indicators referred to in Article 25(3)

- (a) Specific objective 1: Supporting effective European integrated border management at the external borders implemented by the European Border and Coast Guard as a shared responsibility of the European Border and Coast Guard Agency and of the national authorities responsible for border management, to facilitate legitimate border crossings, to prevent and detect illegal immigration and cross-border crime and to effectively manage migratory flows;
- (1) Border control infrastructure, transport means and other equipment items financed with the support of the instrument:
 - number of newly built or upgraded border crossing points out of the total number of newly built or upgraded border crossing points in the Member State concerned;
 - number of Automated Border Control gates;
 - number of air transport means;
 - number of maritime transport means;
 - number of land transport means;
 - number of items of equipment put at the disposal of the European Border and Coast Guard Agency;
 - number of other items of equipment, out of which the number of items of equipment for setting up, upgrading or maintaining hotspot areas for the purposes of this Regulation;
 - number of multipurpose items of equipment supported by the instrument.
 - (2) Number of specialised posts in third countries supported by the instrument
 - joint liaison officers, as referred to in Annex III;
 - other specialised posts related to border management.
 - (3) Number of cooperation projects or cooperation streams set up in Member States with the support of the instrument between the national authorities and the European Border and Coast Guard Agency contributing towards the development of the European Border and Coast Guard.
 - (4) Number of items of equipment used during the operational activities of the European Border and Coast Guard Agency purchased with support of the instrument out of the total number of items of equipment registered in the Technical Equipment Pool of the European Border and Coast Guard Agency.
 - (5) Number of cooperation projects or cooperation streams of national agencies with the Eurosur National Coordination Centre (NCC) established with support of the instrument.
 - (6) Number of staff trained in aspects related to the integrated border management with the support of the instrument.

- (7) Number of IT functionalities developed, implemented, maintained or upgraded with the support of the instrument, including for interoperability purposes:
- SISII;
 - ETIAS;
 - EES;
 - VIS for border management purposes;
 - Eurodac for border management purposes;
 - Number of connections of IT systems to the European Search Portal financed with the support of the instrument;
 - Any other large-scale IT systems within the scope of this Regulation.
- (8) Number of Schengen Evaluation recommendations in the area of borders and vulnerability assessment recommendations addressed with the support of the instrument, out of the total number of recommendations having financial implication.
- (b) Specific objective 2: Supporting the common visa policy to facilitate legitimate travel and prevent migratory and security risks:
- (1) Number of consulates outside the Schengen area set up or upgraded with the support of the instrument out of the total number of consulates set up or upgraded of the Member State outside the Schengen area.
- (2) Number of staff trained and number of training courses in aspects related to the common visa policy with the support of the instrument.
- (3) Number of IT functionalities developed, implemented, maintained or upgraded with the support of the instrument, including for interoperability purposes:
- VIS;
 - EES;
 - Any other large-scale IT systems within the scope of this Regulation.
- (4) Number of forms of cooperation among Member States in visa processing set up and upgraded with the support of the instrument:
- co-locations;
 - common application centres;
 - representations;
 - others.
- (5) Number of Schengen Evaluation recommendations in the area of the common visa policy implemented with the support of the instrument, as a share of the total number of recommendations having financial implications.
- (6) Number of visa required countries where the number of Member States present or represented has increased with the support of the instrument.