EU Development Cooperation and its Funding programmes

2014-2020
1. EU Commitments for Dev Co
2. International framework
3. Funding programmes
4. Procedures
1. Lisbon Treaty

**Art 21** – External action **must be guided by principles inspiring EU creation**: "democracy, the rule of law, the universality and indivisibility of human rights and fundamental freedoms, respect for human dignity, the principles of equality and solidarity, and respect for the principles of the United Nations Charter and international law.

**Art 208**: Union development cooperation policy shall have as its primary objective the reduction and, in the long term, the eradication of poverty.

Implemented by specific regulations
2. International framework:

MDGs 2000-2015
Cotonou Agreement 2000
Paris declaration – Aid Modalities
Millennium Development Goals

In 2000 UN countries committed by 2015 to:

- To eradicate **extreme poverty and hunger**
- To achieve **universal primary education**
- To promote **gender equality** and empower women
- To reduce **child mortality**
- To improve **maternal health**
- To combat **HIV/AIDS, malaria**, and other diseases
- To ensure **environmental sustainability**
- To develop a **global partnership** for development
Cotonou (Benin) Agreement 2000
Ex –Lomé 1975

EU and 77 ACP Partnership Agreement
Aiming at the reduction and eventual eradication of poverty while contributing to sustainable development and to the gradual integration of ACP countries into the world economy.
2005 & 2010 Cotonou Agreement revisions included fight against impunity and promotion of criminal justice through the International Criminal Court.
77 ACP countries
Aid Effectiveness - Paris Declaration (2005)

- Ownership
- Alignment of aid with partner countries’ priorities
- Mutual accountability
- Harmonisation of donors' procedures
- Managing for results
1. International framework
2. EU Legal Commitments for Dev Co
3. Funding programmes
4. Procedures
ACP countries = European development Fund

Performance-based partnerships:
- more money can be channelled to "good performers" and that the share of "bad performers" can be reduced

Allocation:
- 11th EDF 2014-2020 €30.5 billion

EDF is directly financed by the EU countries (0.7% GDP), has its own financial regulation, managed outside the framework of the EU's general budget.
Other funding: MFF 2014-2020

- Smart and inclusive growth 47%
- Economic, social and territorial cohesion 33.9%
- Competitiveness for growth and jobs 13.1%
- Compensations 0.0%
- Administration 6.4%
- Global Europe 6.1%
- Security and citizenship 1.6%
- Sustainable growth: natural resources 38.9%
MFF 2014-20

Heading 4: Global Europe

- **26.3%** European Neighbourhood Instrument (ENI)
- **19.0%** Instrument for Pre-accession assistance (IPA)
- **4.3%** Other actions and programmes (including decentralised and executive agencies)
- **3.8%** Common Foreign and Security Policy (CFSP)
- **11.1%** Humanitarian aid
- **3.8%** Instrument for Stability (IfS)
- **2.2%** European Instrument for Democracy and Human Rights (EIDHR)
- **1.4%** Partnership Instrument (PI)
- **28.1%** Development Cooperation Instrument (DCI)
<table>
<thead>
<tr>
<th>Instrument</th>
<th>8325 EUR million</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>IPA - Instrument for Pre-accession Assistance</td>
<td>1578.4</td>
<td>19.0</td>
</tr>
<tr>
<td>ENI - European Neighbourhood Instrument</td>
<td>2192.2</td>
<td>26.3</td>
</tr>
<tr>
<td>DCI – Development Cooperation Instrument</td>
<td>2341.0</td>
<td>28.1</td>
</tr>
<tr>
<td>PI -Partnership Instrument</td>
<td>118.9</td>
<td>1.4</td>
</tr>
<tr>
<td>EIDHR – European Instrument for Democracy and Human Rights</td>
<td>184.2</td>
<td>2.2</td>
</tr>
<tr>
<td>Instrument for Stability</td>
<td>318.2</td>
<td>3.8</td>
</tr>
<tr>
<td>Humanitarian Aid</td>
<td>920.3</td>
<td>11.1</td>
</tr>
<tr>
<td>CFSP Common Foreign and Security Policy</td>
<td>314.5</td>
<td>3.8</td>
</tr>
<tr>
<td>Other actions( decentralised executives agencies)</td>
<td>357.3</td>
<td>4.3</td>
</tr>
</tbody>
</table>
Overview of the EU financial instruments

European Instrument for Democracy and Human Rights

Instrument contributing to Stability and Peace

- Global Public Goods and Challenges
- Civil society Organization & Local Authorities
- Pan African Programme

Geographical instrument with a specific legal basis

Horizontal instrument with a specific legal basis

Thematic programme included in DCI legal basis
Thematic Programmes

**EIDHR:** Democracy and Human Rights

**IcS&P:** Fragility and conflict prevention

**CSO – LA:** Civil society and local authorities

**GPGC:**
- Environment and climate change
- Sustainable energy
- Human development, including decent work, social justice and culture
- Food and nutrition security and sustainable agriculture
- Migration and asylum

"Pan-African": capacity building for African institutions
1. International framework
2. EU Legal Commitments for Dev Co
3. Funding programmes
4. Modalities and Procedures
Modalities:

General budget support
Sector budget support
Trust funds
Financial instruments like loans, guarantees,
Risk sharing (via EIB…)
Grant
Geographic bilateral programmes:

"Good Governance and Development Contracts":
- general budget support
- values assessment

"Sector Reform Contracts".
- sector budget support
- "cash for value" – "more for more"

"State Building Contracts"

Fragile situations - ensure vital state functions, to support transition towards development, to promote governance, human rights democracy and deliver basic services to the populations.
Calendar:

Multiannual/National Indicative Programme: to be adopted: ASAP by the end of the year – depends on EP

Annual Action Programme: by the end of the year

Calls for proposals/Action Fiches
Information about calls

http://ec.europa.eu/europeaid/index_en.htm
"work with us"

AAP

call text
guidelines for proponents
Eligibility criteria

In order to be eligible for a grant, the applicant must

• be a natural person or an entity without legal personality or
• be a legal person and

• be non-profit-making and
• be specific types of organizations such as civil society organizations, including non-governmental organizations and independent political foundations, community based organizations, and private sector agencies/institutions/organizations, and their networks. and
• be directly responsible for the preparation and management of the action with the co-applicants and, if any, affiliated entity(ies), not acting as an intermediary.
Eligibility criteria 2

Can submit any natural or legal person from:

a) EU Member states;
b) European Economic Area
c) candidate countries or potential candidate countries
d) developing countries OCDE- DAC list
f) any other third countries (exceptions are specified in the Regulation)
Rules of nationality/origin

- Participant shall prove its nationality/origin with a certificate/statute

- Exceptions (decision taken case by case) in case of:
  - lack of basic services and products
  - force majeure
  - Eligibility rules obstacle the action's implementation
Action's Location

- Specified by Guidelines

- Normally in the developing countries
  - At national
  - Regional
  - Global level

- Exception CSO/LA and EIDHR
Restricted call for proposals

Submission of proposal in two phases:
1) Concept note
2) Full Application

Evaluation Committee
EC internal
Makes a selection of concept notes based on assessments
Makes a provisional selection of proposals based on assessments

External Assessors
Assessment of the relevance of the concept notes
Assessment of the preselected full applications
Concept Note Assessment:

Weight on relevance.

CN form:
- a full description of the relevance of the action vis-à-vis the objectives and the priorities of the CfP and
- a brief description of the proposed action.

CN evaluation grid:
- Total maximum CN score = 50 points,
- Maximum score for relevance = 30 points,
- Pre-selection of CNs: minimum 30 points for relevance and minimum total CN score 35/50 points.
## I. Procedural aspects
### Evaluation Guidelines for Assessors - CN GRIDS

<table>
<thead>
<tr>
<th>1. Relevance of the action</th>
<th>Scores</th>
</tr>
</thead>
<tbody>
<tr>
<td>**1.1 How relevant is the proposal to the <strong>objectives, themes <strong>and priorities</strong> of the Call for Proposals?</strong></td>
<td><strong>Sub-score 30</strong></td>
</tr>
<tr>
<td>Note: The maximum score will only be allocated if the proposal addresses all priorities.</td>
<td>5x2</td>
</tr>
<tr>
<td>Note: A score of 1 point only will be allocated if their proposal does not comply with the <strong>partnership composition</strong> requirement stipulated in section 1.2.1 of the guidelines.</td>
<td></td>
</tr>
<tr>
<td><strong>1.2 How relevant to the particular <strong>needs and constraints</strong> of the target country(ies) or region(s) is the proposal? (including synergy with other EC initiatives and avoidance of duplication)</strong></td>
<td>5x2</td>
</tr>
</tbody>
</table>
## I. Procedural aspects – CN GRIDS 2

<table>
<thead>
<tr>
<th>1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices and other additional elements indicated under 1.2 of these Guidelines?</td>
<td>5</td>
</tr>
</tbody>
</table>

### 2. Design of the action

<table>
<thead>
<tr>
<th>Sub-score</th>
<th>20</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?</td>
<td>5x2</td>
</tr>
<tr>
<td>2.2 Is the action feasible and consistent in relation to the objectives and expected results?</td>
<td>5x2</td>
</tr>
</tbody>
</table>
Full proposal Assessment

FA form:
- Reference to the CN for relevance of the action,
- FA includes information on:
  the applicant and partner’s capacity
  the action’s effectiveness & feasibility,
  the action’s sustainability,
  the action’s budget and cost-effectiveness.

FA evaluation grid:
Total maximum FA score = 100 points,
Relevance score (max 30) will be proportionally transferred from the CN evaluation (by the EC)
Threshold for capacity of the applicant & partner(s) = 12/20 points.
### I. Procedural aspects
**Evaluation Guidelines for Assessors**

<table>
<thead>
<tr>
<th>1. Financial and operational capacity</th>
<th>Maximum Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Do the applicant and, if applicable, partners have sufficient experience of project management?</td>
<td>5</td>
</tr>
<tr>
<td>1.2 Do the applicant and, if applicable partners have sufficient technical expertise? (notably knowledge of the issues to be addressed.) (including staff, equipment and ability to handle the budget for the action)?</td>
<td>5</td>
</tr>
<tr>
<td>1.3 Do the applicant and, if applicable, partners have sufficient management capacity?</td>
<td>5</td>
</tr>
<tr>
<td>1.4 Does the applicant have stable and sufficient sources of finance?</td>
<td>5</td>
</tr>
</tbody>
</table>

### 2. Relevance of the action

*Score transferred from the Concept Note evaluation*

### 3. Effectiveness and feasibility of the action

| 3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results? | 5 |
| 3.2 Is the action plan clear and feasible? | 5 |
| 3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is evaluation foreseen? | 5 |
| 3.4 Is the partners' and/or other stakeholders' level of involvement and participation in the action satisfactory? | 5 |
## I. Procedural aspects

**Evaluation Guidelines for Assessors 2**

<table>
<thead>
<tr>
<th>4. Sustainability of the action</th>
<th>Maximum Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1 Is the action likely to have a tangible impact on its target groups?</td>
<td>5</td>
</tr>
<tr>
<td>4.2 Is the proposal likely to have multiplier effects? (Including scope for replication and extension of the outcome of the action and dissemination of information.)</td>
<td>5</td>
</tr>
<tr>
<td>4.3 Are the expected results of the proposed action sustainable: - financially <em>(how will the activities be financed after the funding ends?)</em> - institutionally <em>(will structures allowing the activities to continue be in place at the end of the action? Will there be local “ownership” of the results of the action?)</em> - at policy level (where applicable) <em>(what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)</em> - environmentally (where applicable) <em>(will the action have a negative/positive environmental impact?)</em></td>
<td>5</td>
</tr>
</tbody>
</table>
## I. Procedural aspects

**Evaluation Guidelines for Assessors**

<table>
<thead>
<tr>
<th>Section</th>
<th>Maximum Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>5. Budget and cost-effectiveness of the action</strong></td>
<td></td>
</tr>
<tr>
<td>5.1 Are the activities appropriately reflected in the budget?</td>
<td>5x2</td>
</tr>
<tr>
<td>5.2 Is the ratio between the estimated costs and the expected results satisfactory?</td>
<td>5</td>
</tr>
<tr>
<td>Maximum total score</td>
<td>100</td>
</tr>
</tbody>
</table>
Calendar

Regulations 15/03/2014

MIPs/NIPs by September …
AAP &
Call for proposals by December 2014

For info:
http://ec.europa.eu/europeaid