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C(2015) 4574 final

## **COMMISSION IMPLEMENTING DECISION**

**of 30.6.2015**

**on the Multi-Annual Action Programme for years 2015 part II, 2016 and 2017 “Civil Society Organisations and Local Authorities” to be financed from the general budget of the European Union**

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### on the Multi-Annual Action Programme for years 2015 part II, 2016 and 2017 “Civil Society Organisations and Local Authorities” to be financed from the general budget of the European Union

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action<sup>1</sup>, and in particular Article 6(3) and Article 3 thereof,

Having regard to Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002<sup>2</sup>, and in particular Article 84(2) thereof,

Whereas:

- (1) The Commission has adopted the Thematic Programme “Civil Society and Local Authorities”<sup>3</sup> for the period 2014-2017 establishing three objectives: 1) country level actions: enhancing Civil Society Organisations’ and Local Authorities’ contributions to governance and development processes”; 2) reinforcing regional and global Civil Society Organisations networks and associations of Local Authorities; and 3) develop and support education and awareness raising initiatives fostering citizens' awareness of and mobilization for development.
- (2) The objectives pursued by the Multi-Annual Action Programme to be financed under the Regulation (EU) No 233/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for development cooperation for the period 2014-2020<sup>4</sup> are (i) to support country-level actions; (ii) to reinforce regional and global Civil Society Organisations networks and associations of Local Authorities; and (iii) to support actions aimed at raising citizens' awareness of and mobilization for development issues and to promote education for development in the EU.
- (3) The Actions constituting the Multi-Annual Action Programme are:
  - (a) **Country operations:** Action Documents I and II frame the implementation of Priority 1 to support Civil Society Organisations’ and Local Authorities’ contributions to governance and accountability through inclusive policy-making - hence empowering citizens and populations through the voicing and structuring of their collective demands, to tackle injustice and inequality, to benefit from qualitative social services and to profit from wealth and job

<sup>1</sup> OJ L 77, 15.3.2014, p. 95.

<sup>2</sup> OJ L 298, 26.10.2012, p. 1.

<sup>3</sup> Commission Implementing Decision of 15.07.2014, C(2014) 4865 final

<sup>4</sup> OJ L 77/44, 15.3.2014

creation. This priority is managed by EU Delegations and Commission Headquarters where appropriate.

- (b) **Regional and global operations:** Action Documents III and IV frame the implementation of Priority 2 aimed at reinforcing regional and global networks of Civil Society Organisations and Associations of Local Authorities. This priority is managed by Commission Headquarters.
  - (c) Develop and support **Education and Awareness Raising Initiatives** fostering citizens' awareness of - and mobilisation for - development issues; Action Documents V and VI frame the implementation of priority 3. Activities will aim at developing citizens' awareness and critical understanding of the interdependent world, of their role and responsibility in relation to a globalised society; and to support their active engagement with global attempts to eradicate poverty and promote justice, human rights and democracy, social responsibility, gender equality, and a sustainable social-economic development in partner countries. This priority is managed by Commission Headquarters.
  - (d) **Support Measures:** Action Document VII frames the use of support measures, aimed at supporting the implementation of the programme and the achievement of its objectives and might be implemented in the framework of any of the three objectives of the programme.
- (4) It is necessary to adopt a financing decision the detailed rules on which are set out in Article 94 of Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union<sup>5</sup>.
  - (5) It is necessary to adopt a work programme for grants the detailed rules on which are set out in Article 128(1) of Regulation (EU, Euratom) No 966/2012 and in Article 188(1) of Delegated Regulation (EU) No 1268/2012. The work programme is constituted by the Annexes 1 to 7, sections 5.3.1.1, 5.3.1.2 and when relevant, 5.3.1.3.
  - (6) Grants may be awarded without a call for proposals by the responsible authorising officer who ensures that the conditions for an exception to a call for proposals in accordance with Article 190 of Delegated Regulation (EU) No 1268/2012 are fulfilled. The reasons for and, in circumstances of Article 190(1)(c), (d) or (f) Delegated Regulation (EU) No 1268/2012, potential beneficiaries of such award should be identified in this Decision for reasons of transparency. Direct grants can be awarded instead of a call for proposals foreseen in this decision at any time when the conditions of Article 190 Delegated Regulation (EU) No 1268/2012 are fulfilled even if the direct award was not announced in this decision, provided that the internal Directorate-General for International Cooperation and Development approval procedure is followed. The framework for the call established in this decision must be respected.
  - (7) The Commission should acknowledge and accept the contribution from other donors pursuant to Article 21(2)(b) of Regulation (EU, Euratom) No 966/2012, subject to the signature of the relevant agreement, and should decide on the use of such contribution. Where such contribution is not denominated in euro, a reasonable estimate of conversion should be made.

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<sup>5</sup> OJ L 362, 31.12.2012, p. 1.

- (8) It is necessary to allow the payment of interest due for late payment on the basis of Article 92 of Regulation (EU, Euratom) No 966/2012 and Article 111(4) of Delegated Regulation (EU) No 1268/2012.
- (9) Pursuant to Article 94(4) of Delegated Regulation (EU) No 1268/2012, the Commission should define changes to this Decision which are not substantial in order to ensure that any such changes can be adopted by the authorising officer responsible.
- (10) The measures provided for in this Decision are in accordance with the opinion of the Development Cooperation Instrument Committee set up under Article 19 of the Regulation (EU) No 233/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for development cooperation for the period 2014-2020<sup>6</sup>

HAS DECIDED AS FOLLOWS:

*Article 1*  
***Adoption of the measure***

The Multi-Annual Action Programme for 2015 part II, 2016 and 2017 “Civil Society Organisations and Local Authorities”, as set out in the Annexes, is approved.

The programme shall include the following actions:

- Annex 1: “Enhance Civil Society Organisations' contributions to governance and development processes at country level”
- Annex 2: “Enhance Local Authorities' contributions to governance and development processes”
- Annex 3: “Civil Society Organisations – Reinforcing regional, EU and global CSO umbrella organisations”
- Annex 4: “Strengthening Local Authorities' Associations at regional, EU and global level”
- Annex 5: “Develop and support Education and Awareness Raising initiatives fostering citizens' awareness of and mobilisation for development issues – Part Civil Society Organisations”
- Annex 6: “Development Education and Awareness Raising initiatives fostering citizens' awareness of and mobilisation for development issues – Part Local Authorities”
- Annex 7: “Support Measures”

*Article 2*  
***Financial contribution***

The maximum contribution of the European Union for the implementation of the programme referred to in Article 1 is set at EUR 723 814 924 and shall be financed from:

- budget line 21 02 08 01 of the general budget of the European Union for 2015, for the amount of EUR 181 643 207 and 2016 for the amount of EUR 182 375 198 and 2017 for an amount of EUR 192 932 988;

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<sup>6</sup> See reference in Recital 2, and footnote 4.

- budget line 21 02 08 02 of the general budget of the European Union for 2015 for the amount of EUR 42 260 802 and 2016 for the amount of EUR 60 291 733 and 2017 for an amount of EUR 64 310 996;

The amount referred to in the first paragraph includes contributions from other donors to the general budget of the European Union as assigned revenue as provided for in the Action “*Focus on country level: enhancing CSOs' and LAs' contributions to governance and development processes*”.

The financial contribution provided for in the first paragraph may also cover interest due for late payment.

The implementation of this Decision is subject to the availability of the appropriations following the adoption of the general budgets of the European Union for 2016 and for 2017 or as provided for in the system of provisional twelfths.

### *Article 3*

#### ***Implementation modalities***

The section “Implementation” of the Annexes referred to in the second paragraph of Article 1 sets out the elements required by Article 94(2) of Delegated Regulation (EU) No 1268/2012.

Grants may be awarded without a call for proposals by the responsible authorising officer in accordance with Article 190 of Delegated Regulation (EU) No 1268/2012. The reasons for this and, where known at the moment of the adoption of this Decision, the potential beneficiaries shall be set out in the Annexes.

### *Article 4*

#### ***Non-substantial changes***

Increases or decreases of up to EUR 10 million not exceeding 20 % of the contribution referred to in the first paragraph of Article 2, considering each financial year separately, or cumulated changes to the allocations of specific actions not exceeding 20 % of that contribution, as well as extensions of the implementation period shall not be considered substantial within the meaning of Article 94(4) of Delegated Regulation (EU) No 1268/2012, provided that they do not significantly affect the nature and objectives of the actions.

The responsible authorising officer may adopt the non-substantial changes referred to in the first paragraph in accordance with the principles of sound financial management and proportionality.

Done at Brussels, 30.6.2015

*For the Commission*

*Neven MIMICA*

*Member of the Commission*



This action is funded by the European Union

## **ANNEX 1**

### **OF THE COMMISSION IMPLEMENTING DECISION ON THE MULTIANNUAL ACTION PROGRAMME FOR YEARS 2015 PART II, 2016 AND 2017 FOR THE THEMATIC PROGRAMME “CIVIL SOCIETY ORGANISATIONS AND LOCAL AUTHORITIES”**

#### **CIVIL SOCIETY ORGANISATIONS – PRIORITY 1 “FOCUS ON COUNTRY LEVEL: ENHANCING CSOs' AND LAs' CONTRIBUTIONS TO GOVERNANCE AND DEVELOPMENT PROCESSES”**

#### **ACTION DOCUMENT FOR STRATEGIC OBJECTIVE 1.1 “ENHANCE CIVIL SOCIETY ORGANISATIONS' CONTRIBUTIONS TO GOVERNANCE AND DEVELOPMENT PROCESSES”**

##### **Information for Potential Grant Applicants**

##### **Work Programme for Grants**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning calls for proposals: 5.3.1.; in the following section concerning grants awarded directly without a call for proposals: 5.3.2; and in the following section concerning the EU Trust Fund Bekou in the section 5.3.3.

<b>1. Title/basic act/ CRIS number</b>	Enhance Civil Society Organisations' contributions to governance and development processes at the country level  CRIS number: 2015/038-045  financed under Development Cooperation Instrument
<b>2. Zone benefiting from the action/location</b>	In principle, actions must take place in the EU partner country where the grant has been awarded.
<b>3. Programming document</b>	Multiannual Indicative Programme for the Thematic Programme “Civil Society Organisations and Local Authorities” for the period 2014-2020

	– Commission Implementing Decision C(2014) 4865 final			
<b>4. Sector of concentration/ thematic area</b>	Democratic participation and civil society			
<b>5. Amounts concerned</b>	<p>Total amount of EU budget contribution EUR 426 075 000</p> <p>The contribution is for an amount of EUR 143 025 000 from the general budget of the European Union for 2015 and</p> <p>for an amount of EUR 152 555 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and</p> <p>for an amount of EUR 130 495 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.</p> <p>This action is co-financed by potential grant beneficiaries following the co-financing percentages established in section 5.3.1.1 and 5.3.1.2</p> <p>All actions supported by this programme should not give rise to a profit.</p>			
<b>6. Aid modalities and implementation modalities</b>	<p>Project Modality</p> <p>Direct management: grants – call for proposals; grants – direct award; procurement of services</p> <p>Direct management: EU trust funds</p>			
<b>7. DAC code</b>	15150 - Democratic participation and civil society			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>

	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagship</b>	N/A			

## Summary

EU support to the enhancement of Civil Society Organisations' contributions to governance and development processes at country level has been developed during the Multiannual Financial Framework 2007-2013. So far more than 100 European Union Delegations have launched call for proposals, supporting more than 2,000 projects. A similar action was already decided by the Commission implementing decision C(2014) 7987 final of 28.10.2014<sup>1</sup>. Considering the above this Action Document refers to recurrent actions in the sense of Art. 6.3 of the Regulation (EU) No 236/2014<sup>2</sup> of the European Parliament and of the Council (11<sup>th</sup> March 2014) laying down common rules and procedures for the implementation of the Union's instruments for financing external action.

Under the Priority 1 “Focus on country level: enhancing CSOs' and LAs' contributions to governance and development processes” as envisaged in the Strategy and Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”<sup>3</sup>, this Action Document frames the implementation of country-level initiatives aimed at supporting CSOs' contributions towards reinforced governance, accountability and inclusive policy-making.

Under this Action, CSOs will be supported as:

- a. actors in governance and accountability,
- b. partners in promoting social development
- c. stakeholders in promoting inclusive and sustainable growth.
- d. partners contributing to test pilot actions promoting local development through a territorial approach (Territorial Approach to Local Development – TALD)

Activities conceived and implemented by CSOs from EU partner countries will be given priority, in order to empower them, invest in capacity development and facilitate their access to funding.

<sup>1</sup> [http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014_en.pdf)

<sup>2</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0095:0108:EN:PDF>

<sup>3</sup> C(2014) 4865 final of 15 July 2014: [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO\\_LA\\_MIP\\_CSO\\_LA\\_2014\\_2020\\_EN.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO_LA_MIP_CSO_LA_2014_2020_EN.pdf)



The initiatives foreseen under this Action Document will be managed mainly by European Union Delegations, and European Commission Headquarters when appropriate.

The Action will be implemented in the 118 EU partner countries listed under section 5.4.

## 1. CONTEXT

### Thematic area

The Action Document 1 frames the implementation of country-level initiatives aimed at supporting CSOs' contributions towards reinforced governance, accountability and inclusive policy-making, as envisaged in the Strategy and Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”.

Under this Action, CSOs will be supported as:

- a. actors in governance and accountability,
- b. partners in promoting social development
- c. stakeholders in promoting inclusive and sustainable growth.
- d. partners contributing to test pilot actions promoting local development through territorial approach (Territorial Approach to Local Development – TALD)

Activities conceived and implemented by partner countries CSOs will be given priority, in order to empower them, invest in capacity development and facilitate their access to funding. Interventions should be complementary to Multi-Annual Indicative Programmes of the partner country and act in synergy with other thematic programmes and instruments.

Financial support to European CSOs may be provided, individually or in networks and associations, where their experience adds value, upon condition that their action respond to a local demand and to locally identified needs and include support to local partners (e.g. through mentoring, peer support, joint advocacy, technical assistance and not least through direct financial support).

The initiatives foreseen under this Action Document will be managed primarily by European Union Delegations, and European Commission Headquarters when appropriate.

The Action will be implemented in the 118 EU partner countries listed under 5.4.

### *1.1.1 Public Policy Assessment and EU Policy Framework*

A new policy frames EU commitments towards CSOs. In September 2012, the Commission adopted the Communication “The Roots of Democracy and sustainable development: Europe's Engagement with Civil Society in External Relations”<sup>4</sup>. The new policy orientations – endorsed by the Council of the European Union (October 2012 Council Conclusions<sup>5</sup>) and commended by the 2013 European Parliament Resolution on “Local Authorities and Civil Society: Europe's engagement in support of sustainable development” (2012/2288(INI)), – propose an enhanced and more strategic EU engagement with CSOs in Partner countries, with

<sup>4</sup> COM(2012) 492 <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:EN:PDF>

<sup>5</sup> Council Conclusions (2012), [http://www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/EN/foraff/132870.pdf](http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/132870.pdf)

a particular focus on local civil society organisations. It also outlines a new approach to support CSOs with regards to the promotion of inclusive and sustainable growth as well as in social service delivery. As for the latter, it emphasises the need to build quality systems, sustainable over time, with clear division of labour between public authorities and other stakeholders to avoid duplication, parallel structures and overlap. It also calls for a more strategic approach at country level for the EU and Member States through the development of EU country roadmaps for engagement with CSO. In order to improve the impact, predictability and coherence of EU support to CSO, these roadmaps should cover both policy dialogue and operational support.

The Thematic programme “Civil Society Organisations and Local Authorities 2014-2020” adopted in 2014 aims at contributing to the implementation of these policy provisions. Framed by the overarching goals of the Regulation (EU) No 233/2014 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI)<sup>6</sup> for the period 2014-2020, the objective of this Programme is to strengthen civil society organisations and local authorities in EU partner countries.

### **1.1.2 Stakeholder analysis**

This Action Document will be implemented at local level by EU Delegations. Priorities should be chosen through dialogue and in consultation with local actors (including the private sector), where deemed necessary also in consultation and coordination with central and local authorities.

In principle, all activities should be based upon an initiative of local Civil Society Organisations; their active involvement during all stages of implementation should be ensured.

Attention will be paid to the following aspects:

- Support *multi-stakeholder approaches* and testing of innovative partnerships that facilitate optimal synergies and utilisation of different stakeholders' experience and capacities;
- Promotion of innovative forms of interactions between CSOs and LAs in the local public policy-making, aiming at the *coproduction of good governance and development outcomes*;
- Support *genuine and equitable partnerships* between European and partner countries actors, where opportune.

### **1.1.3 Priority areas for support/problem analysis**

Despite the increasing recognition of CSOs as partners in development, they still face significant constraints, hampering their capacity to effectively contribute to governance, development, and ultimately poverty reduction.

First and foremost, CSOs' ability to contribute to development depends on the environment they operate in. They need a set of guarantees that ensure rights and opportunities to operate,

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<sup>6</sup> Regulation 233/2014 of 11<sup>th</sup> March 2014: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0044:0076:EN:PDF>

act and perform. It entails a conducive legal and policy environment and/or institutional and capacity development. The absence of enabling conditions often constrains CSOs ability to address and respond to development challenges.

Inclusive participatory policy-making processes are complex and often delicate exercises, new to many EU partner countries. They require political will and leadership, adequately structured mechanisms, spaces for interactions and operating rules, specific skills and analytical capacities and competences, both on the side of public authorities and citizens. In absence of the above, the impact of CSOs' participation to policy dialogue is very limited.

CSOs are often unable to significantly influence policies and budgets as well as to define their own development plans, in a way to respond to local communities' demands (planning, project management, financial management, service delivery). Difficult access to information is not always available and when it is, local actors may lack the capacity to analyse it, to provide evidence-based input and to negotiate. CSOs face challenges in relation to their own governance and accountability, which can substantially hamper their credibility and effectiveness.

Overall, capacity constraints can be considered a major transversal challenge faced by CSOs, affecting their efforts to operate effectively in their various areas of work. This is particularly true in the realm of governance and accountability processes (notably in policy dialogue) and responsiveness to citizen's needs (planning, project management, financial management, service delivery).

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Environment not conducive for CSOs to operate in autonomy under the EU funding	M	EU Delegations take measures to mitigate this risk and allow CSOs to participate in local Calls for Proposals and to benefit from EU related funding. Among others, measures could include policy dialogue with relevant public authorities.
Weak CSOs' capacity of dialogue with public authorities	M	EU Delegations to provide CSOs with specific training and assistance on this matter as well as create structured dialogue spaces to enhance trust and competencies.
Limited operational and financial capacities of CSOs staff to manage EU-funded projects	M	EU Delegations to organise demand-driven capacity development training in favour of CSOs in order to improve their PCM capacities.
CSOs could be confronted with fragile, crisis and risk-prone	M	EU Delegations to tailor assistance in a way that allows CSOs to contribute to the

situations		resolution of problem.
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>- Existence of enabling conditions to allow Civil Society Organisations (to register and perform).</li> <li>- Existence of transparent and accountable Civil Society Organisations in the partner country where the action shall take place.</li> </ul>		

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### Lessons learnt

This Action incorporates lessons and best practices learnt from the implementation of various support schemes, particularly from the Mid Term<sup>7</sup> and Final<sup>8</sup> evaluations of the 2007-2013 "Non-State Actors and Local Authorities in Development" (NSAs and LAs) Thematic Programme, and other assessments on CSOs involvement in EU development cooperation<sup>9</sup> as envisaged in the Strategy and Multi-Annual Indicative Programme of the Thematic Programme "Civil Society Organisations and Local Authorities 2014-2020".

In particular, initiatives financed under this Action Document will particularly:

- *Go beyond the traditional model of CSOs as pure service deliverers* to acknowledge CSOs work to empower populations, promote inclusion and enhance democratic governance and accountability – beyond project implementation and service delivery.
- *Frame support to service delivery* to build sustainable systems avoiding the creation of parallel structures, hampering or overlapping with public services, according to country contexts.
- Support *multi-stakeholder partnerships* and innovative schemes of collaboration between public authorities, including LAs, and non-state providers and *avoid fragmentation and duplication through coordination and dialogue*.
- Be more *focused and strategic* and improve impact of actions.
- Reach out to *local Civil Society Organisations* to pursue their empowerment – in continuation of the predecessor Programme "NSAs and LAs" which opened up

<sup>7</sup> [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/5/5e/NSA\\_LA\\_programme\\_mid\\_term\\_review\\_2007-2013.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/5/5e/NSA_LA_programme_mid_term_review_2007-2013.pdf)

<sup>8</sup> [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy\\_forum](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy_forum)

<sup>9</sup> - European Court of Auditors (2009), Special report 4 « The Commission's management of Non State Actors' Involvement in EC development cooperation», <http://eca.europa.eu/portal/pls/portal/docs/1/8038812.PDF>.

- « Evaluation of EC Aid Delivery through CSOs » (2008), [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/2008/1259\\_docs\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2008/1259_docs_en.htm). Floridi, M. and Sanz-Corella, B. - PARTICIP

- 'Capitalisation Study on Capacity Building Support Programmes for NSAs under the 9<sup>th</sup> EDF' (2009) [http://ec.europa.eu/europeaid/what/civil-society/documents/final\\_rep\\_capit\\_study\\_en.pdf](http://ec.europa.eu/europeaid/what/civil-society/documents/final_rep_capit_study_en.pdf)

- 'NSA&LA Thematic Programme Mid-Term Review'. (2009) <http://ec.europa.eu/development/how/consultation/index.cfm?action=viewcons&id=4886>, David McCormick, Yves Rambaud, Paola Minoia .

eligibility criteria to partner countries' organisations (since before 2007 only European organisations were eligible).

Other recommendations include a more widespread and strategic use of support measures, less funding-related and more focused on strategic capacity development of CSO and LA; reaching out to other types of actors (social partners in dialogue), more attention to the quality of partnerships, to the inclusion of disadvantaged and marginalised groups and to cross-cutting issues such as gender mainstreaming.

### **Complementarity, synergy and donor coordination**

The Action will act in complementarity with other Programmes and Instruments benefitting Civil Society and/or Local Authorities, namely the European Instruments for Democracy and Human Rights, the Thematic Programme on Global Public Goods and Challenges, the Instrument contributing to Stability and Peace, the Partnership Instrument, the European Neighbourhood Instrument, the Pan-African Programme, and projects supported by bilateral or regional cooperation, including the European Development Fund. In fragile, crisis and risk-prone situations, synergies will be explored with emergency and humanitarian aid favouring CSOs.

In countries benefitting from bilateral cooperation, actions may be supported both within and outside of the selected focal sectors. To ensure the efficiency and effectiveness of assistance, funds will not be used to top-up or duplicate activities funded under those Programmes.

At country level, EU Delegations will coordinate the implementation of the Action with Member States and other Development Partners active in this field, particularly in the framework of the EU Roadmaps for engagement with Civil Society Organisations, as envisaged in the Communication 'The roots of Democracy' above referred and in subsequent Council Conclusions and European Parliament Resolution (2012/2288(INI)). The EU and the Member States should develop country roadmaps to activate and ensure structured dialogue and strategic cooperation with Civil Society Organisations, improve the impact, predictability and visibility of EU actions, and ensuring consistency and synergy throughout the various sectors covered by EU external relations. These roadmaps are also meant to trigger coordination and sharing of best practices with the Member States and other international actors, including for simplification and harmonisation of funding requirements. EU Delegations should coordinate the process locally.

### **Cross-cutting issues**

Throughout the programme, cross-cutting issues as defined by the European Consensus shall be mainstreamed, as envisaged in the DCI Regulation Article 3.3. Actions must respect principles of non-discrimination (on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation) human rights, the rule of law, good governance, gender equality and women's empowerment as well as include cross cutting issues such as rights of minorities, of children and older people, rights of persons with disabilities and life-threatening diseases and rights of other vulnerable groups, core labour rights and social inclusion, environment and climate change and fight against HIV/AIDS and overall adopt a Right Based Approach according to the local situation. In addition, conflict prevention, promotion of dialogue, participation and reconciliation, as well as institution building shall be

mainstreamed, where relevant. These crosscutting issues may also be the main target of a given action.

#### **4 DESCRIPTION OF THE ACTION**

##### **Objectives/results**

The Action Document 1 frames the implementation of country-level initiatives aimed at supporting CSOs' contributions towards reinforced governance, accountability and inclusive policy-making, as envisaged in the Strategy and Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”.<sup>10</sup>

Activities conceived and implemented by partner countries CSOs will be given priority, in order to empower them, build capacity and facilitate access to funding.

The initiatives foreseen in this Action Document will be managed primarily by European Union Delegations and European Commission Headquarters, when appropriate.

The Action will be implemented in 118 countries.

Under this Action, CSOs will be supported:

- a) As actors in governance and accountability,
- b) As partners in promoting social development
- c) As stakeholders in promoting inclusive and sustainable growth.
- d) To test pilot actions promoting local development through a territorial approach (Territorial Approach to Local Development – TALD)

Considering the diversity of civil society actors, differentiation of support to non-governmental organisations (NGOs), social partners, cooperatives, chambers of commerce, foundations, community based or grassroots organisations, etc. is particularly encouraged, as well as supporting their structuring.

Financial support to European CSOs may be provided, individually or in networks and associations, where their experience adds value, upon condition that their action respond to a local demand and to locally identified needs and include support to local partners (e.g. through mentoring, peer support, joint advocacy, and not least through direct financial support).

Attention will be paid to the promotion of a conducive environment for CSOs to operate in their areas of engagement. Where conditions are appropriate, and in complementarity with other Instruments and Programmes, this Programme may contribute to addressing gaps, improve the understanding, capacity and skills, and monitoring of progress in the various components of an enabling environment for CSOs including the legal, regulatory and operational dimensions.

The Thematic Programme through its support to CSOs and LAs aims at contributing to the fight against injustice and inequality, including under a gender perspective. Therefore, due consideration should be given to promoting women empowerment and gender equality, to

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<sup>10</sup> *Ibid* 2

non-discrimination, and to the inclusion of disadvantaged and marginalised groups in each action financed under this objective.

#### ***4.1.1 Specific objective” CSOs in governance and accountability”***

As foreseen in the Multi-Annual Indicative Programme “CSOs and LAs”, reinforcing governance and domestic accountability is essential to improve development results. The voice and actions of CSOs as monitors, advocates, partners in national and local policy dialogue and providers of information and expertise (e.g. through think tanks and research institutes) can foster transparency, public knowledge and participation. CSOs can thus play a decisive role in improving the quality and effectiveness of public policies and promoting fair management of public resources. Together with institutional bodies such as parliaments and supreme audit institutions, CSOs can contribute to ensure that public resources are used effectively, efficiently and sustainably, and that budgets are reflective of people's needs and priorities.

The Programme will seek to support CSOs to hold public authorities to account at all administrative levels, with a view to ultimately empower citizens. Focus will be on building-up the necessary expertise and capacity of CSOs to engage with public authorities over the long term, including on highly technical themes such as budgetary issues

The Programme will support initiatives promoting improved democratic governance, accountability at country level and with public authorities, such as independent budget analysis, expenditure tracking, monitoring the implementation of policies and laws, anti-corruption initiatives, integrity pacts, participatory budgeting, participatory audits, procurement monitoring and public access to information legislation, and promoting judicial reform. Special attention will be paid to capacity building, research and knowledge dissemination, networking and structuring of networks, and mentoring opportunities for CSOs.

National CSO platforms can play an important role in this regard having more potential to impact on policy work, favouring a broader representation of interests and positions and potentially benefitting from a large variety of skills, expertise and capacities.

#### ***4.1.2 Specific objective “CSOs’ actions to enhance social development”***

The Programme will support CSOs’ actions to enhance social development by improving populations' access to (and benefit from) social services. In this respect, and in line with the resilience agenda, access of the most vulnerable to social services will be looked at. In the sphere of social sectors (health, education, sanitation, social protection or any other relevant sector) it is particularly important to build synergies and complementarity with actions led by public authorities as the organisation of welfare systems is primarily a state responsibility (at the central or sub-national level).

As a general rule, the implementation of this component of the Programme will require strong coordination between CSOs and public authorities to prevent duplication, overlap and parallel systems, as well as ineffective and unsustainable interventions. All initiatives carried forward by CSOs should take place in an “institution – building” logic, particularly when public institutions are weak and/or under-resourced. It is encouraged that supported initiatives include community mobilization and capacity development, in order to enable the targeted

population to acquire increased understanding and ability to influence the underlying causes of the challenges they face in accessing services. The aim is to favour and stimulate a demand for social services by population to which public authorities should, in the long run, be able to respond, reinforcing their ‘downward accountability’ towards their citizens.

The Programme will support CSOs’ actions aimed at improving population access to (and benefit from) quality social services, notably in:

- *testing innovations and improving responsiveness of social policies to populations’ needs*, through advocacy and participation to policy dialogue in social sectors. To this end, support will be provided to advocacy campaigns, capacity building, research and knowledge dissemination, networking and structuring of networks, and mentoring opportunities for CSOs, etc.
- *contributing to the improvement of service quality* by contributing to policy work, stimulating informed demand and social accountability initiatives, including using Information and Communication Technologies.
- *improving capacities to participate in multi-actor partnerships*, within sound organisational arrangements agreed with public authorities (including outsourcing schemes where public authorities share selected functions and tasks with CSOs and the private sector, etc.)
- *providing social services* where public authorities, including LAs, do not have the capacity or the resources to effectively deliver services to populations. This will be supported in least developed or low income countries, fragile states and in crisis situations. In middle income countries, in duly justified cases, direct service provision by CSOs could be supported to ensure that disenfranchised populations and out of mainstream segments of society can benefit from social services.

While supporting the above actions, particular attention should be devoted to ensuring that initiatives funded by this Programme do add value and complement support provided with bilateral, thematic and regional actions in the same sectors.

#### ***4.1.3 Specific objective:” CSOs contribution in promoting inclusive and sustainable growth”***

This Programme component will aim at improving the livelihoods of populations in need, particularly disadvantaged groups, through CSO initiatives. Different CSOs, notably cooperatives, farmers’ and small-scale fishermen’ associations, chambers of commerce, NGOs, social partners, environmental organisations etc., each have a role to play in the economic realm as they engage at various levels in social economy and affordable innovations initiatives, combining beneficiaries’ economic empowerment with ambitions of social development and/or long term sustainability and climate change.

CSOs can also provide essential insight, notably with regards to sustainable development provisions included in bilateral and multilateral trade agreements negotiated with the European Union.

The Programme will support CSO actions aimed at promoting inclusive and sustainable development and growth such as:



- *Stimulating policy innovation and improving responsiveness of economic policies to populations' needs*, through advocacy and participation to policy dialogue in relevant sectors. To this end, support will be provided to advocacy campaigns, capacity building, research and knowledge dissemination, networking and structuring of networks, and mentoring opportunities for CSOs, etc.
- *Improving capacities to participate in multi-actor partnerships* with the private sector and public authorities. To this end, support will be provided to capacity building, research and knowledge dissemination, advocacy, networking and structuring of networks, and mentoring opportunities for CSOs, etc.
- *Supporting social-economic initiatives* aimed at wealth and job creation, targeting populations with limited opportunities for economic empowerment, including affordable innovations.
- *Reinforcing service provision* for productive activities and access to productive resources (e.g. business support, market access, opportunities for integration of the informal economy, micro credit) as well as access to justice, to populations with limited access to such means to enhance their livelihoods.
- *Contributing to the improvement of business environment and practices and economic services' quality* highlighting governance and corporate social responsibility by stimulating informed demand and structuring feedback mechanisms, notably using Information and Communication Technologies.

#### **4.1.4 Specific objective “Contribute to test pilot actions promoting local development through a territorial approach (Territorial Approach to Local Development – TALD)”**

Triggering a change in the quality of citizens' life and wellbeing calls upon exploring alternative approaches to development that seek to (i) derive added value from locally under-used resources in relation to their potential, (ii) to stimulate and promote consultation and coordination of various social and economic stakeholders in a particular geographical area, including LAs, CSOs, the private sector, (iii) integrate national sector policies at the local level, (iv) create social and economic links between urban centres and rural areas, aggregating respective activities in the same territorial unit, (v) integrate citizens, particularly the most vulnerable, into the education, vocational trainings, employment and investment opportunities generated by local growth, (vi) foster social cohesion,<sup>11</sup> meant as fight against social exclusion, polarisation and poverty as well as solidarity, understanding, trust, tolerance and dialogue between and among different segments of the population.

Tailored to territorial characteristics and needs, the Territorial Approach to Local Development (TALD) is characterised as a dynamic bottom-up and long-term process based on a multi-actor and multi-sector approach, in which different local institutions and actors work together to define priorities, as well as to plan and implement specific strategies to generate incomes, well-being and to increase resilience of populations living in a given territory.

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<sup>11</sup> Definition from the "Strategy for social cohesion", Council of Europe (2004): [http://www.coe.int/t/dg3/socialpolicies/socialcohesiondev/source/RevisedStrategy\\_en.pdf](http://www.coe.int/t/dg3/socialpolicies/socialcohesiondev/source/RevisedStrategy_en.pdf).

Criteria to define the territory are both geographical and socio-economic ones. The territory is indeed defined functionally as a localised set of community, social, natural and private resources and capacities.

As foreseen in the Multi-Annual Indicative Programme “CSOs and LAs”, the Action will aim at piloting multi-actors processes for achieving inclusive, sustainable economic development in specific territories. It will support the mobilisation of different local actors for joint efforts for inclusive and sustainable growth. In particular, Civil Society Organisations will be encouraged in establishing local multi-actor partnerships (Local Authorities, enterprises, cooperatives, fair trade organisations).

In all cases it is encouraged that supported initiatives include capacity development and community mobilization, in order to enable the targeted population to acquire increased understanding and ability to address the challenges they face in improving their livelihoods.

All actions supported by this programme should not give rise to a profit.

The **expected results** are:

- Improved environment and space for CSOs to operate in governance and accountability, social sectors, social economy.
- Improved CSOs capacity, professionalism, competences, structuring and joint actions, including through networks.
- Enhanced CSOs actions in policy dialogues, governance, accountability and rule of law; in social and economic sectors (in policy dialogue and monitoring and in implementation as appropriate) from the local to the national level.
- Strengthened capacity of CSOs to participate in and contribute to policy dialogue and accountability processes at local and national level.
- Strengthened capacity of CSOs to effectively advocate for improved access of population and quality of services, including the judiciary, and participate in policy work.
- Access to and quality of social services improved in a systemic way, notably for disadvantaged groups and population out of mainstream services.
- Improved access to - and quality of - services for economic empowerment, notably for disadvantaged groups and population segments out of mainstream services.
- Increased documentation, sharing and dissemination of knowledge in related areas.
- Strategic and innovative development plans for the identified territory tested and scaled up through multi-actors partnerships;
- Established mechanisms for consultation, coordination and cooperation among public, private and civil society sectors (multi-actors partnerships) in the production of development outcomes within a given territory;
- Initiatives aimed at ensuring broad social participation and fostering social cohesion tested and scaled up;
- Improved quality, sustainability and resilience of populations’ living conditions and livelihoods in the selected territory, to ensure broad sharing of the benefits of territorial development.

Expected results will be monitored through a combination of indicators such as:

- The number of individual CSOs supported in Partner Countries;
- The number of CSOs networks and platforms supported;
- *CSOs Institutional Capacity*, such as:
  - Number of CSOs trained in management/human resources/leadership skills;
  - Number of CSOs improving their internal governance standards, transparency and accountability towards intended beneficiaries/constituencies/social bases<sup>12</sup>.
  - Number of CSOs trained in analytical/ advocacy/negotiation skills
  - Number of CSOs drafting policy recommendations, proposals or participating in negotiations.
  - Number of programmes delivered by CSOs.
- *CSOs legal, regulatory and operational frameworks (Enabling Environment) in Partner countries:*
- *The number of countries where sets of guarantees that ensure rights and opportunities for CSOs to operate and participate to policy processes exist.*
- *The number of innovative Territorial Development Plans developed and implemented.*

### **Main activities**

A detailed list of main activities is included within the specific objectives of the Action, under above-mentioned sections 4.1.1, 4.1.2 and 4.1.3.

Main activities will include capacity development of CSOs in undertaking their initiatives, including participative decision-making processes and provision of fundamental services; support to multi-stakeholder policy dialogues and actions; exchange of best practices and know-how.

## **5 IMPLEMENTATION**

### **Financing agreement**

In order to implement this action, it is not foreseen to conclude a financing agreement with a partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

### **Indicative implementation period**

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<sup>12</sup> Valid examples to illustrate CSOs work on improving their own effectiveness are efforts towards adherence to National Code of Conducts, to the International Aid Transparency Initiative (IATI), etc.

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out, is 114 months from the adoption of this Action Document, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

## **Implementation modalities**

### ***5.3.1. Grants: call for proposals (direct management)***

#### **(a) Objectives of the grants, fields of intervention, priorities and expected results**

The overarching objective shall be the enhancement of Civil Society Organisations' participation in partner countries' public policies and programmes as a pre-condition for a more equitable, open and democratic society.

#### **(b) Eligibility conditions**

The initiatives to be financed shall be initiated and directly implemented by Civil Society Organisations (as defined in Annex II.B of the DCI Regulation). In limited cases and where appropriate, in order to ensure their effectiveness, initiatives may be carried out by other actors for the benefit of the civil society organisations concerned.

Priority will be given to supporting **CSOs from partner countries** in order to strengthen their capacity, in line with the overall objectives of the action. Should it be considered more effective, EU Delegations could envisage broadening up the eligibility to applicants from other eligible countries (mentioned below). In those cases, projects proposals should be based on local initiatives and genuine involvement of partner countries CSOs should be ensured at all stages.

All actions should include an element of capacity development of partner countries CSOs. Partnerships among CSOs and other stakeholders are encouraged in order for the action to achieve stronger ownership and impact.

**As applicant:** the eligibility of applicants is restricted to all types of CSOs and their associations originating from:

- I. the EU partner country where the action takes place;

If considered relevant for the effectiveness of the action, eligibility can be extended to

- II. other EU partner countries, as follows:

- i) developing countries that are included in the list of recipients of ODA established by the OECD/DAC including countries and territories falling within the scope of Council Decision 2013/755/EU on the association of the overseas countries and

territories with the European Union ('Overseas Association Decision') and excluding:

- beneficiaries listed in Annex I to Regulation (EU) No 231/2014 establishing an Instrument for Pre-accession Assistance (IPA II)<sup>13</sup>,
- ii) countries that are signatories to the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States, of the other part, signed in Cotonou on 23 June 2000 (5), including South Africa;
- iii) countries eligible for the European Development Fund;
- iv) countries eligible for Union funding under the European Neighbourhood Instrument established by Regulation (EU) No 232/2014 of the European Parliament and of the Council (the 'European Neighbourhood Instrument') including the Russian Federation;

III. the EU Member States and contracting parties to the Agreement on the European Economic Area.

**Co-applicant and affiliated entities:** the eligibility of Co-applicant and affiliated entities is restricted to all types of CSOs and/or their associations and LAs and/or their associations originating from the countries described above under applicant.

EU Delegations may define specific eligibility criteria according to the country context and in order to respond to local needs in terms of actors (type and origin), priorities, themes, sectors, and geographical areas. This will allow EU Delegations to ensure complementarity and subsidiarity with other programmes implemented in the country, as well as to better respond to local circumstances.

Grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

The indicative maximum duration of grants (its implementation period) may not be lower than 24 months nor exceed 60 months. Under their respective calls for proposals each EU Delegation may determine the minimum and maximum durations, provided these stay within the above-mentioned limits. In duly justified cases, EU Delegations can finance actions of less than 24 months with a minimum of 12 months.

#### (c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

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<sup>13</sup> Albania, Bosnia and Herzegovina, Iceland, Kosovo\* (\*This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence), Montenegro, Serbia, Turkey, the Former Yugoslav Republic of Macedonia.

#### (d) Maximum rate of co-financing

Grants size will, in principle, be of a minimum of EUR 300 000. In exceptional and duly justified cases, grants of less than EUR 300 000 may be accepted. For efficiency purposes it is however recommended to increase the minimum size of grants. In order to ensure the access to funds of all types and levels of CSOs, the use of the sub-granting approach is encouraged.

As a general rule, the maximum possible rate of EU co-financing for each grant to be funded is as follows:

- Partner countries CSOs: maximum of 90% of the total eligible costs;
- European CSOs: maximum of 75% of the total eligible costs.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

#### (e) Indicative timing to launch the call

Local Calls for Proposals are expected to be published as from the adoption of this Commission Decision, foreseen in the second quarter of 2015.

In exceptional circumstances outside the Commission's control, and to ensure an efficient and effective implementation of the programme and achievement of its objectives, in duly justified cases linked to the national and local events, EU Delegations may launch calls for proposals before the adoption of the financing decision, with a suspension clause, upon prior approval by the responsible Authorising Officer.

Furthermore, in cases where local calls for proposals launched in 2014 have a high success and the quality of the proposals in the reserve list allows for it, 2015 contribution may be used to contract reserve lists of 2014 calls for proposals instead of launching new calls which would serve the same objective and target the same beneficiaries. The same logic can be applied to subsequent calls launched under 2015 and 2016 funds.

### 5.3.2 . *Grant: direct award (direct management)*

#### a) Objectives of the grants, fields of intervention, priorities and expected results

The **overarching objective** shall be the enhancement of Civil Society Organisations' participation in partner countries' public policies and programmes as a pre-condition for a more equitable, open and democratic society.

In some cases, where relevant, contributions from other donors can be added to the allocation foreseen in this Action Document for a given country.

#### b) Justification of a direct award

Under the responsibility of the authorising officer by delegation, the recourse to an award of a grant without a call for proposals may be justified because beneficiaries are in one of the circumstances listed in Article 190 of the Rules of Application (RAP)<sup>14</sup>.

EU Delegations may award direct grants if justified by the local context and in line with the achievement of the objective of this action.

In these cases, priority will be given to **representative national platforms of Civil Society Organisations originating from the EU partner country where the action takes place**, in order to strengthen their institutional and operational capacity, in line with the overall objectives of the Thematic Programme “CSO-LA”. Such grants could possibly be awarded through a Framework Partnership Agreement.

**Co-applicant and affiliated entities:** the eligibility of Co-applicant and affiliated entities is restricted to all types of CSOs and/or their associations and LAs and/or their associations originating from:

- I. the EU partner countries where the action takes place,
- II. other EU partner countries, as follows:
  - (i) developing countries that are included in the list of recipients of ODA established by the OECD/DAC, including countries and territories falling within the scope of Council Decision 2013/755/EU on the association of the overseas countries and territories with the European Union (‘Overseas Association Decision’), and excluding:
    - beneficiaries listed in Annex I to Regulation (EU) No 231/2014 establishing an Instrument for Pre-accession Assistance (IPA II)<sup>15</sup>,
  - (ii) countries that are signatories to the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States, of the other part, signed in Cotonou on 23 June 2000 (5), including South Africa;
  - (iii) countries eligible for the European Development Fund;
  - (iv) countries eligible for Union funding under the European Neighbourhood Instrument established by Regulation (EU) No 232/2014 of the European Parliament and of the Council (the ‘European Neighbourhood Instrument’) including the Russian Federation.
- III. the EU Member States and contracting parties to the Agreement on the European Economic Area.

The initiatives to be financed shall be initiated and directly implemented by representative and national platforms of Civil Society Organisations (as defined in Annex II.B of the DCI

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<sup>14</sup> Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:362:FULL:EN:PDF#page=3>

<sup>15</sup> Albania, Bosnia and Herzegovina, Iceland, Kosovo\* (\*This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence), Montenegro, Serbia, Turkey, the Former Yugoslav Republic of Macedonia.

Regulation<sup>16</sup>). In limited cases and where appropriate, in order to ensure their effectiveness, initiatives may be carried out by other actors for the benefit of the national CSO platform concerned.

All actions should include an element of capacity development of partner countries CSO platforms. Partnerships among CSOs and other stakeholders are encouraged in order for the action to achieve stronger ownership and impact.

Grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

The maximum duration of grants (its implementation period) may not be lower than 24 months nor exceed 60 months. In duly justified cases, EU Delegations can finance actions of less than 24 months with a minimum of 12 months.

#### c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

#### (d) Maximum rate of co-financing

As a general rule, the maximum possible rate of EU co-financing for each direct grant to be funded is as follows:

- Partner countries CSOs: maximum of 90% of the total eligible costs;

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

#### (e) Indicative trimester to contact the potential direct grant beneficiary

As from the adoption of this Commission Decision, foreseen in the second quarter of 2015.

### **5.3.3 *Direct management EU Bêkou Trust Fund in the Central African Republic***

An amount of EUR 6 000 000 is to be managed in direct management through a contribution to the EU Bêkou Trust Fund, the establishment of which was decided by the Commission in July 2014<sup>17</sup> for a duration of 60 months following the signature of the Constitutive Agreement.

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<sup>16</sup> Ibid 4

<sup>17</sup> C (2014)5019



The overall objective of the Fund is to support all aspects of the Central African Republic's exit from crisis and reconstruction and to support the neighbouring countries affected by the crisis, in coordination with national frameworks and the instruments of other development partners.

The EU Békou Trust Fund will pool funds from EU, France and Germany and the Netherlands<sup>18</sup>. Rules and procedures applying to the management and governance of the Trust Fund will be detailed in the Constitutive Agreement to be signed with the donors.

In accordance with Article 187 (4) of the Financial Regulation, the Board of the Trust Fund will decide upon the use of the Funds which shall nevertheless be used to the benefit of CSOs to the proportion of the size of the EU Contribution stemming from the CSO budget line.

#### **5.3.4 Procurement (direct management)**

For in-country interventions, EU Delegations will be able to spend up to 5% of the respective annual operational country allocation for support measures accompanying the implementation of this priority of the thematic programme. Those accompanying support measures must cover activities of direct benefit to the organisations/partners targeted by the country programme, such as consultation sessions, information sessions on Calls for Proposals, support to registering to the for "Potential Applicant Data Online Registration" (PADOR), local mapping studies, training seminars and workshops related to the programme, capitalisation studies, programme evaluations at country level and/or other activities focusing on the strengthening of actors.

Taking into consideration that support measures are initiated at country level by EU Delegations on the basis of local needs assessments, the number and type of contracts as well as the amounts allocated may vary significantly and is difficult to estimate. However, based on past years experiences, 60 to 70 contracts implemented in direct management are expected.

The type of tenders and contracts will be determined in each case by the European Union's standard procedures for the implementation of external actions.

Support measures do not cover activities or expenditure aimed at helping EU Delegations to manage the programme, such as technical assistance for the evaluation of proposals, projects' audits or follow-up of the programme.

### **Scope of geographical eligibility for procurement and grants**

In principle, actions must take place in the partner country where the grant has been awarded.

The **list of 118 targeted countries** and respective budget allocations for CSOs foreseen for years 2015, 2016, 2017 is provided here below.

#### **African, Caribbean and Pacific countries**

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<sup>18</sup> Tentatively France EUR 10 000 000 and Germany EUR 10 000 000 and the Netherlands EUR 3 0 00 000.

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Angola*	1 875 000	1 875 000	1 875 000	5 625 000
Barbados and Eastern Caribbean Islands <sup>19</sup>	900 000	900 000	900 000	2 700 000
Burkina Faso*		3 150 000		3 150 000
Cameroon	3 900 000		3 900 000	7 800 000
Cape Verde		1 000 000		1 000 000
Central African Republic (Trust Fund Bêkou)*		6 000 000		6 000 000
Chad*	1 000 000			1 000 000
Comoros (Union of) *	1 500 000			1 500 000
Congo (Republic of the)		5 000 000		5 000 000
Congo (Democratic Republic of)*		6 500 000		6 500 000
Côte d'Ivoire	2 000 000		3 200 000	5 200 000
Djibouti*		1 500 000		1 500 000
Dominican Republic		1 800 000		1 800 000
Eritrea*	1 000 000		800 000	1 800 000
Fiji		2 000 000		2 000 000
Gabon; Sao Tomé and Príncipe*	1 700 000		1 700 000	3 400 000
Ghana	4 000 000		4 000 000	8 000 000
Guinea*	3 000 000	1 000 000		4 000 000
Guinea-Bissau*		2 500 000		2 500 000
Guyana, Suriname, Trinidad and Tobago	1 250 000		1 200 000	2 450 000

<sup>19</sup> Antigua and Barbuda; Dominica; Grenada; St. Kitts - Nevis; St. Lucia; St. Vincent and the Grenadines

Haiti*	3 000 000		2 000 000	5 000 000
Jamaica	1 000 000			1 000 000
Kenya	3 000 000	7 000 000		10 000 000
Liberia*	1 800 000	1 200 000		3 000 000
Madagascar*	4 000 000		3 500 000	7 500 000
Malawi*	600 000			600 000
Mauritania*	2 100 000		2 100 000	4 200 000
Mauritius and Seychelles		600 000	1 400 000	2 000 000
Mozambique*	4 500 000		4 500 000	9 000 000
Namibia	900 000			900 000
Pacific Islands <sup>20*</sup>	2 300 000			2 300 000
Rwanda*		4 200 000		4 200 000
Senegal and the Gambia*		4 500 000		4 500 000
Sierra Leone*	3 500 000		4 500 000	8 000 000
Solomon Islands*		750 000	750 000	1 500 000
Somalia*		5 000 000		5 000 000
South Sudan*		7 000 000		7 000 000
Sudan* <sup>21</sup>	1 500 000	6 500 000		8 000 000
Swaziland	2 000 000		2 000 000	4 000 000
Tanzania*		1 200 000		1 200 000
Timor-Leste*		1 250 000	1 250 000	2 500 000
Togo*	1 650 000	1 650 000		3 300 000
Uganda*	3 000 000	2 000 000		5 000 000

<sup>20</sup> They include: Cook Islands, Kiribati\*, Federated States of Micronesia, Samoa, Tonga, Tuvalu\*, Marshall Islands.

<sup>21</sup> The final amount will result from a transfer agreement from the Swedish International Development Cooperation Agency (SIDA) as contributing donor (with 30 000 000 SEK), in addition to the funds available from the EU Budget, and subject to the applicable exchange rate.

Zambia*	5 000 000		5 000 000	10 000 000
Zimbabwe		3 700 000	2 900 000	6 600 000
South Africa	3 000 000		3 000 000	6 000 000
<b>TOTAL ACP</b>	<b>64 975 000</b>	<b>79 775 000</b>	<b>50 475 000</b>	<b>195 225 000</b>

### Latin American countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Argentina		5 000 000		5 000 000
Bolivia	5 000 000		4 000 000	9 000 000
Brazil	6 000 000		8 000 000	14 000 000
Chile		2 000 000	1 600 000	3 600 000
Colombia	6 800 000		2 000 000	8 800 000
Cuba	2 000 000		2 0 00 000	4 0 00 000
Ecuador	4 000 000		4 000 000	8 000 000
El Salvador	1 000 000		1 520 000	2 520 000
Guatemala		2 200 000	2 000 000	4 200 000
Honduras	3 200 000		3 200 000	6 400 000
Mexico	2 000 000		4 000 000	6 000 000
Nicaragua	3 000 000		3 500 000	6 500 000
Paraguay	1 000 000		2 000 000	3 000 000
Peru	4 000 000		4 000 000	8 000 000
Uruguay		800 000	850 000	1 650 000
Venezuela	2 750 000		1 850 000	4 600 000
<b>TOTAL LATIN AMERICA</b>	<b>40 750 000</b>	<b>10 000 000</b>	<b>44 520 000</b>	<b>95 270 000</b>

### Asian countries

	2015	2016	2017	TOTAL 2015-2017
Afghanistan*		2 000 000		2 000 000
Bangladesh*		7 500 000		7 500 000
Burma / Myanmar*	3 900 000	4 000 000	4 000 000	11 900 000
Cambodia*		5 000 000		5 000 000
China		5 120 000		5 120 000
Korea (DPRK – North)	1 000 000		1 000 000	2 000 000
India		4 250 000		4 250 000
Indonesia		4 500 000		4 500 000
Laos*	3 600 000		5 600 000	9 200 000
Mongolia	750 000	1 000 000	750 000	2 500 000
Nepal*			3 000 000	3 000 000
Pakistan	4 000 000		3 000 000	7 000 000
Philippines		2 600 000		2 600 000
Sri Lanka and Maldives			2 700 000	2 700 000
Thailand		4 000 000		4 000 000
Vietnam	1 350 000	2 000 000		3 350 000
<b>TOTAL ASIA</b>	<b>14 600 000</b>	<b>41 970 000</b>	<b>20 050 000</b>	<b>76 620 000</b>

### Central Asian countries

	2015	2016	2017	TOTAL 2015-2017
Kazakhstan	1 000 000	860 000		1 860 000
Kyrgyz Republic			2 500 000	2 500 000

Tajikistan		1 500 000	1 500 000	3 000 000
<b>TOTAL CENTRAL ASIA</b>	<b>1 000 000</b>	<b>2 360 000</b>	<b>4 000 000</b>	<b>7 360 000</b>

#### Middle Eastern countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Iraq	800 000	1 700 000		2 500 000
Iran	2 500 000		3 000 000	5 500 000
Yemen*		4 750 000		4 750 000
<b>TOTAL MIDDLE EAST</b>	<b>3 300 000</b>	<b>6 450 000</b>	<b>3 000 000</b>	<b>12 750 000</b>

#### Neighbourhood countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Algeria	2 500 000	800 000		3 300 000
Armenia		1 400 000		1 400 000
Azerbaijan		4 000 000		4 000 000
Belarus		2 000 000		2 000 000
Egypt	3 000 000		2 300 000	5 300 000
Georgia		1 800 000		1 800 000
Jordan		500 000	1 000 000	1 500 000
Lebanon	600 000			600 000
Libya	1 000 000			1 000 000
Moldova			1,150 000	1 150 000
Morocco	800 000			800 000
Syria		1 500 000		1 500 000

Tunisia			1 000 000	1 000 000
Ukraine	3 500 000		3 000 000	6 500 000
Palestine	7 000 000			7 000 000
<b>TOTAL NEIGHBOURHOOD</b>	<b>18 400 000</b>	<b>12 000 000</b>	<b>8 450 000</b>	<b>38 850 000</b>

**\* Least Developed Countries (OECD DAC list of ODA Recipients)<sup>22</sup>.**

Countries eligible in accordance with Art 1.1.b of the DCI Regulation, other than the above-listed, remain eligible under and could profit from future Actions under the Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”.

Countries and territories falling within the scope of Council Decision 2013/755/EU on the association of the overseas countries and territories with the European Union (‘Overseas Association Decision’) and countries beneficiaries of Regulation (EU) No 231/2014 establishing an Instrument for Pre-accession Assistance (IPA II) (listed in Annex I) are in principle not eligible locations of the action.

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

The Commission’s authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

### **Indicative budget**

The total amount of EU budget contribution is EUR 426 075 000 under budget line 21 02 08 01 "Civil Society Organisations",

The contribution is for an amount of EUR 143 025 000 from the general budget of the European Union for 2015, which include EUR 1 500 000 from the Swedish International Development Cooperation Agency (SIDA)<sup>23</sup> as contributing donor, and

for an amount of EUR 152 555 000 from the general budget of the European Union for 2016, which include EUR 1 500 000 from the Swedish International Development Cooperation

<sup>22</sup> List effective for reporting on 2012 and 2013 flows, available at: <http://www.oecd.org/dac/stats/documentupload/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf>

<sup>23</sup> Subject to the applicable exchange rate

Agency (SIDA)<sup>24</sup> as contributing donor, subject to the availability of appropriations following the adoption of the relevant budget and

for an amount of EUR 130 495 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.

### **Organisational set-up and responsibilities**

Local calls for proposals will be launched and managed by EU Delegations. Exceptionally, some calls for proposals might be launched and managed by European Commission Headquarters.

### **Performance monitoring and reporting**

In line with the common rules and procedures applicable to all external aid instruments, performance will be monitored and progress towards delivering expected results will be reviewed against the objectives set in Priority 1 of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be managed by EU Delegations. They will be monitored in accordance with the recently strengthened monitoring and reporting systems including Annual Management Plans and External Action Management Reports.

A consolidated results-based framework will be developed by the Commission in order to monitor progress and results at the level of Priority 1.

In addition, the Action will benefit from a re-designed external review system (replacing the ROM) implemented by independent experts, which includes project reviews and support to reporting on results.

### **Evaluation**

Evaluation provisions will build on the recommendations of the final evaluation<sup>25</sup> of the predecessor Programme “Non State Actors and Local Authorities in Development” 2007–2013 and on the recently strengthened evaluation policy for external aid instruments.

In line with the key requirements of accountability and learning, a multi-annual evaluation plan will be formulated at Programme level covering at least half of the budget of the Multi-Annual Indicative Programme.

Grants awarded under this Action are managed by the EU Delegations. The evaluations implemented at project and/or country level by the EU Delegations and/or implementing partners will be consolidated and completed by an evaluation system managed centrally by the Commission and supported by external consultants.

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<sup>24</sup> Subject to the applicable exchange rate

<sup>25</sup> Ibid 7



This evaluation system for Priority 1 of the Programme will feed its Mid-Term Review and Final Evaluation in line with the common rules and procedures applicable to all external aid instruments.

### **Audit**

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

The financing of the audits shall be covered by another measure constituting a financing decision.

### **Communication and visibility**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.5 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.



This action is funded by the European Union

## **ANNEX 2**

### **OF THE COMMISSION IMPLEMENTING DECISION ON THE MULTIANNUAL ACTION PROGRAMME FOR YEARS 2015 PART II, 2016 AND 2017 FOR THE THEMATIC PROGRAMME “CIVIL SOCIETY ORGANISATIONS AND LOCAL AUTHORITIES”**

#### **LOCAL AUTHORITIES – PRIORITY 1 “FOCUS ON COUNTRY LEVEL: ENHANCING CSOS' AND LAS' CONTRIBUTIONS TO GOVERNANCE AND DEVELOPMENT PROCESSES”**

#### **ACTION DOCUMENT FOR STRATEGIC OBJECTIVE 1.2 “ENHANCE LOCAL AUTHORITIES' CONTRIBUTIONS TO GOVERNANCE AND DEVELOPMENT PROCESSES AT COUNTRY LEVEL”**

#### **Information for Potential Grant Applicants**

##### **Work Programme for Grants**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning calls for proposals: 5.3.1.; in the following section concerning grants awarded directly without a call for proposals: 5.3.2; and in the following section concerning the EU Trust Fund Bekou in the section 5.3.3.

<b>1. Title/basic act/ CRIS number</b>	“Enhance Local Authorities' contributions to governance and development processes”  CRIS number: 2015/038-046  financed under Development Cooperation Instrument
<b>2. Zone benefiting from the action/location</b>	In principle, actions must take place in the EU partner country where the grant has been awarded.
<b>3. Programming document</b>	Multiannual Indicative Programme for the Thematic Programme “Civil Society Organisations and Local Authorities” for the period 2014-2020 – Commission Implementing Decision C(2014) 4865 final
<b>4. Sector of concentration/</b>	Decentralisation and support to subnational government

<b>thematic area</b>				
<b>5. Amounts concerned</b>	<p>Total amount of EU budget contribution EUR 144 040 000</p> <p>The contribution is for an amount of EUR 41 790 000 from the general budget of the European Union for 2015 and</p> <p>for an amount of EUR 56 600 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and</p> <p>for an amount of EUR 45 650 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.</p> <p>This action is co-financed by potential grant beneficiaries following the co-financing percentages established in section 5.3.1.1 and 5.3.1.2</p> <p>All actions supported by this programme should not give rise to a profit.</p>			
<b>6. Aid modalities and implementation modalities</b>	<p>Project Modality</p> <p>Direct management: grants – call for proposals; grants – direct award; procurement of services</p> <p>Direct management: EU trust funds</p>			
<b>7. DAC code</b>	15112 - Decentralisation and support to subnational government			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagship</b>	N/A			

## Summary

EU support to the enhancement of Local Authorities' contributions to governance and development processes in partner countries was provided during the Multiannual Financial Framework 2007-2013. More than 60 European Union Delegations have launched local calls for proposals supporting almost 500 projects. A similar action was already decided by the Commission implementing decision C(2014) 7987 final of 28.10.2014. Considering the above this Action Document refers to recurrent actions in the sense of Art. 6.3 of the Regulation (EU) No 236/2014<sup>26</sup> of the European Parliament and of the Council (11<sup>th</sup> March 2014) laying down common rules and procedures for the implementation of the Union's instruments for financing external action.

Under the Priority 1 “Focus on country level: enhancing CSOs' and LAs' contributions to governance and development processes” as envisaged in the Strategy and Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”<sup>27</sup>, this Action Document frames the implementation of country-level initiatives aimed at supporting Local Authorities (LAs) and National Associations of Local Authorities (NALAs) contributions towards reinforced local governance, accountability of sub-national governments and inclusive policy-making at the local level, in their work to ensure people living in the territory overseen participate in local public affairs and receive adequate fundamental services.

Under this Action, LAs will be supported as actors in their own right in:

- a. Enhanced local governance;
- b. Provision and promotion of inclusive and sustainable growth at the local level;
- c. Testing pilot actions promoting local development through territorial approach (Territorial Approach to Local Development – TALD).

Activities conceived and implemented by LAs and NALAs from EU partner countries will be given priority, in order to empower them, invest in capacity development and facilitate their access to funding.

The initiatives foreseen under this Action Document will be managed mainly by European Union Delegations, and European Commission Headquarters when appropriate.

The Action will be implemented in the 84 EU partner countries listed under session 5.4.

<sup>26</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0095:0108:EN:PDF>

<sup>27</sup> [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO\\_LA\\_MIP\\_CSO\\_LA\\_2014\\_2020\\_EN.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO_LA_MIP_CSO_LA_2014_2020_EN.pdf)

# 1 CONTEXT

## 1.1 Thematic area

This Action Document frames the implementation of country-level initiatives aimed at supporting Local Authorities (LAs) and National Associations of Local Authorities (NALAs) contributions towards reinforced local governance, accountability of sub-national governments and inclusive policy-making at the local level, in accordance with the principle of subsidiarity,<sup>28</sup> in their work to ensure people living in the territory overseen by LAs participate in local public affairs and receive adequate fundamental services.

Under this Action, LAs will be supported as actors in their own right in:

- a. Enhanced local governance;
- b. Provision and promotion of inclusive and sustainable growth at the local level;
- c. Testing pilot actions promoting local development through territorial approach (Territorial Approach to Local Development – TALD).

In principle, the Action shall not aim at supporting Public Sector Reforms and Decentralisation Programmes; however, in order to enhance the roles and capacities of Local Authorities and to promote a conducive environment in which to operate and thrive, the Action will facilitate knowledge-generation, development and exchanges of good practices around decentralisation, including, where appropriate, through technical assistance.

Interventions should be complementary to Multi-Annual Indicative Programmes and act in synergy with other thematic programmes and instruments.

Activities conceived and implemented by LAs and National Associations of LAs from EU partner countries will be given priority, in order to empower them, invest in capacity development and facilitate their access to funding.

Financial support to European LAs may be provided, individually or in networks and associations, where their experience adds value, upon condition that their action respond to a local demand and to locally identified needs and include support to local partners (e.g. through mentoring, peer support, joint advocacy, technical assistance and not least through direct financial support).

The initiatives foreseen under this Action Document will be managed primarily by European Union Delegations, and European Commission Headquarters when appropriate.

The Action will be implemented in the 84 EU partner countries listed under 5.4.

### 1.1.1 Public Policy Assessment and EU Policy Framework

A new policy frames EU commitments towards Local Authorities. In May 2013, the Commission adopted the Communication “*Empowering Local Authorities in partner countries for enhanced governance and more effective development outcomes*”.<sup>29</sup> The new policy orientations endorsed by the Council of the European Union (12459 July 2013 Council

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<sup>28</sup> The principle of subsidiarity entails that public responsibilities, regulatory functions and spending are transferred to the lowest institutional or social level, which is able and entrusted to complete them.

<sup>29</sup> See COM(2013) 280 final [http://ec.europa.eu/europeaid/what/civil-society/documents/com\\_2013\\_280\\_local\\_authorities\\_in\\_partner\\_countries\\_en.pdf](http://ec.europa.eu/europeaid/what/civil-society/documents/com_2013_280_local_authorities_in_partner_countries_en.pdf); Council Conclusions (2013), [http://www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/EN/foraff/138243.pdf](http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/138243.pdf).

Conclusions) and commended by the European Parliament Resolution “Local Authorities and Civil Society: Europe’s engagement in support of sustainable development” (2012/2288(INI)),<sup>30</sup> define the EU strategic priorities to support LAs and their Associations in partner countries to unlock their development potential.

On the basis of the subsidiarity principle, the Opinion of the Committee of the Regions on the Communication on Local Authorities (CIVEX-V-041)<sup>31</sup> endorses the Commission approach, that recognises local public sector in its political role as policy-maker and decision-maker, requiring an adequate level of autonomy, capacity development and financial resources, to participate in a more effective and efficient way in the design and implementation of national development policies and plans.

In fact, as the public administration closest to citizens, LAs hold special institutional responsibilities in enhancing citizens’ participation in decision-making, with the objectives of good governance and sustainable development at local level. This becomes even more relevant in those countries that have already started public sector reform and proceeding toward the decentralisation of power, responsibilities and resources.<sup>32</sup> The Communication also recognises Associations of Local Authorities (ALAs) operating at national, regional and international levels, as instrumental in achieving good governance and development outcomes at local level, particularly in linking local concerns and priorities, often caused by global challenges, to national, regional and international debates.

The Thematic Programme “Civil Society Organisations and LAs 2014-2020” adopted in 2014 aims at contributing to the implementation of these policy provisions. Framed by the overarching goals within the Regulation on Development Cooperation Instrument<sup>33</sup>, the objective of this Programme is to strengthen civil society organisations and local authorities in EU partner countries.

### 1.1.2 Stakeholder analysis

Under this Action, the targeted stakeholders will be Local Authorities and National Associations of LAs from EU partner countries.

«Local Authorities» refers to public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policy-making body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. Local authorities encompass a large variety of sub-national levels and branches of government, i.e. municipalities, communities, districts, counties, provinces, regions etc.

<sup>30</sup> The Report can be found on: <http://www.europarl.europa.eu/sides/getDoc.do?pubRef=-//EP//TEXT+TA+P7-TA-2013-0432+0+DOC+XML+V0//EN>

<sup>31</sup> The Opinion is available at: <http://cor.europa.eu/Lists/Opinions/DispForm.aspx?ID=193>

<sup>32</sup> Decentralisation is the aspect of public sector reforms that occurs at local level; it has three dimensions: (i) Political decentralisation transfers policy and legislative powers from central government to autonomous, lower-level assemblies and local councils; (ii) Administrative decentralisation places planning and implementation under the responsibility of locally situated civil servants, which are under the jurisdiction of local representative bodies; (iii) Fiscal decentralisation accords substantial revenue and expenditure authority to LAs. This particular point is very relevant as LAs can only deliver services efficiently if they have sufficient resources. Reference: European Commission (2007), *Supporting Decentralisation and Local Governance in Third Countries*; [http://ec.europa.eu/europeaid/what/governance/documents/decentralisation\\_local\\_governance\\_refdoc\\_final\\_en.pdf](http://ec.europa.eu/europeaid/what/governance/documents/decentralisation_local_governance_refdoc_final_en.pdf).

<sup>33</sup> Regulation 233/2014 of 11<sup>th</sup> March 2014: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0044:0076:EN:PDF>

«Associations of Local Authorities» are to be considered as umbrella organisations based on membership and representativeness at national level. National ALAs should be organised as autonomous entities in accordance with the legislation in force in the country of registration. National Associations of Local Authorities may be composed of a representative body elected by its LA members and a permanent secretariat.

Adhering to the principle of subsidiarity, LAs may act as decision-makers, in favour of transparent and accountable policy-making and service delivery at the local level. Being closer to citizens than other public institutions, LAs hold responsibility in mobilising local societies' opinions and resources while acting as catalysts for change. This is particularly true in terms of more efficient public administration, more inclusive development processes, in cooperation with CSOs, and solutions to urgent challenges faced by local communities. Such challenges include social exclusion and lack of access to adequate education and trainings, migration, food security, limited infrastructures, rapid urbanisation, depletion of resources, public safety and violence, environmental and social impact of extractive activities, climate adaptation and mitigation, rule of law and access to justice. Therefore, LAs play a double role: (i) representing and ensuring welfare of local political community (agents of a local political constituency); (ii) representing and facilitating the action of the State in their jurisdiction (agent of the central State).

This Action Document will be implemented at local level by EU Delegations. Therefore, priorities should be chosen through dialogue and in consultation with local actors, and where relevant and feasible in coordination with central authorities responsible for public administration and decentralisation reforms among others.

In principle, all activities should be based upon an initiative of Local Authorities and/or National Associations of Local Authorities of the partner country where the action takes place; their active involvement during all stages of implementation should be ensured.

The final beneficiaries are the wider populations of EU partner countries that will be benefit from more efficient and empowered LAs and better informed about local policies and programmes managed by LAs, and will have a greater say in their definition and implementation.

### ***1.1.3 Priority areas for support/problem analysis***

Despite the increasing recognition of LAs as partners in development, they still face significant constraints, hampering their capacity to effectively contribute to governance, development, and ultimately poverty reduction.

First and foremost, LAs' ability to contribute to development depends on the environment they operate in. They need a set of guarantees that ensure rights and opportunities to operate, act and perform. It entails a conducive legal and policy environment for decentralisation and/or institutional and capacity development, in order to enjoy a certain degree of autonomy to fulfil their functions as mandated by law. The absence of enabling conditions often constrains LAs ability to address and respond to development challenges.

Inclusive participatory policy-making processes are complex and often delicate exercises, new to many EU partner countries. They require political will and leadership, adequately structured mechanisms, spaces for interactions and operating rules, specific skills and analytical capacities and competences, both on the side of public authorities and citizens. In

absence of the above, the impact of LAs' participation to policy dialogue would be very limited.

LAs/NALAs face challenges in relation to their own governance and accountability, which can substantially hamper their credibility and effectiveness. LAs are often unable to significantly influence policies and budgets as well as to define their own development policies and plans, in a way to respond to local communities' demands (planning, project management, financial management, service delivery). Difficult access to information is not always available and when it is, local actors may lack the capacity to analyse it, to provide evidence-based input and to negotiate.

Financing LAs remains a challenge. Intergovernmental transfers and local revenues are not always timely and consistent and predictable, as well as do not always correspond to the responsibilities and services LAs have been mandated with.

Another challenge faced by LAs is the rapid process of urbanisation happening in most developing countries, which imposes structural readjustments to LAs in rural and urban areas, particularly in relation to the patterns of growth and development and the adequacy of services and infrastructures.

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Environment not conducive for LAs/NALAs to operate in autonomy under the EU funding	M	EU Delegations take measures to mitigate this risk and allow LAs/NALAs to participate in local Calls for Proposals and to benefit from EU related funding. Among others, measures could include policy dialogue with relevant central authorities.
Weak LAs' capacity of dialogue with central authorities and local communities (including CSOs)	M	EU Delegations could provide LAs with specific training and assistance on this matter as well as create structure dialogue spaces where actors could meet and build trust among them.
Limited operational and financial capacities of LAs/NALs staff at political and administrative levels to manage EU-funded projects	M	EU Delegations could organise demand-driven capacity development training in favour of LAs/NALAs in order to improve their PCM capacities.
LAs/NALAs could be confronted with fragile, crisis and risk-prone situations	M	EU Delegations could tailor their assistance in a way that LAs/NALAs could contribute to the resolution of problem



## Assumptions

- Political will of central authorities to provide LAs with more autonomy and resources in the management of public affairs at the local level;
- LAs/NALAs in partner countries show political commitment to good governance and sustainable development at the local level, as well as ensure continuity in the implementation of their activities, reinforcing their effectiveness and impact.

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### 3.1 Lessons learnt

This Action will incorporate lessons and best practices learnt from the implementation of various support schemes, particularly from the Mid-Term and Final Evaluation of the Thematic Programme "Non-State Actors and Local Authorities in Development" (NSAs and LAs) 2007-2013, and other assessments on LAs involvement in EU development cooperation<sup>34</sup> as envisaged in the Strategy and Multi-Annual Indicative Programme of the Thematic Programme "Civil Society Organisations and Local Authorities" 2014-2020.

More specifically, initiatives financed under this Action Document will particularly:

- *Frame support to service delivery* to build sustainable systems avoiding the creation of parallel structures, hampering or overlapping with public services, according to country contexts. Along the same line, *avoid fragmentation and duplication through coordination and dialogue*.
- *Support multi-stakeholder partnerships* and innovative schemes of collaboration between public authorities, including LAs, and non-state providers can bring added value in terms of impact and sustainability as well as effectiveness.
- Be more *focused and strategic* and improve impact of actions.

Other recommendations include a more widespread and strategic use of support measures, less funding-related and more focused on strategic capacity development of CSOs and LAs; reaching out to other types of actors, more attention to the quality of partnerships, to the inclusion of disadvantaged and marginalised groups and to cross-cutting issues such as gender mainstreaming.

#### 3.2 Complementarity, synergy and donor coordination

The Action will act in complementarity with other Programmes and Instruments benefitting Civil Society and/or Local Authorities, namely the European Instruments for Democracy and

<sup>34</sup> - European Court of Auditors (2009), Special report 4 « The Commission's management of Non State Actors' Involvement in EC development cooperation», <http://eca.europa.eu/portal/pls/portal/docs/1/8038812.PDF>.  
- « Evaluation of EC Aid Delivery through CSOs » (2008);, [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/2008/1259\\_docs\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2008/1259_docs_en.htm). Floridi, M. and Sanz-Corella, B.  
- PARTICIP  
- 'Capitalisation Study on Capacity Building Support Programmes for NSAs under the 9<sup>th</sup> EDF' (2009) [http://ec.europa.eu/europeaid/what/civil-society/documents/final\\_rep\\_capit\\_study\\_en.pdf](http://ec.europa.eu/europeaid/what/civil-society/documents/final_rep_capit_study_en.pdf)  
- 'NSA&LA Thematic Programme Mid-Term Review'. (2009) <http://ec.europa.eu/development/how/consultation/index.cfm?action=viewcons&id=4886>, David McCormick, Yves Rambaud, Paola Minoia.

Human Rights, the Thematic Programme on Global Public Goods and Challenges, the Instrument contributing to Stability and Peace, the Partnership Instrument, the European Neighbourhood Instrument, the Pan African Programme, the European Development Fund and projects supported by the bilateral or regional cooperation, complementing on-going decentralisation processes and relevant for capacity development of LAs and ALAs in partner countries. In fragile, crisis and risk-prone situations, synergies will be explored with emergency and humanitarian aid favouring LAs.

In countries benefitting from bilateral cooperation, actions may be supported both within and outside of the selected focal sectors. To ensure the efficiency and effectiveness of assistance, funds will not be used to top-up or duplicate activities funded under those Programmes.

At country level, EU Delegations will coordinate the implementation of the Action with EU Member States and other Development Partners active in supporting the empowerment of Local Authorities and National Associations of LAs.

### **3.3 Cross-cutting issues**

Throughout the programme, cross-cutting issues as defined by the European Consensus shall be mainstreamed, as envisaged in the DCI Regulation Article 3.3. Actions must respect principles of non-discrimination (on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation), human rights, the rule of law, good governance, gender equality and women's empowerment, as well as include cross cutting issues such as rights of minorities, of children and older people, rights of persons with disabilities and life-threatening diseases and rights of other vulnerable groups, core labour rights and social inclusion, environment and climate change and fight against HIV/AIDS and overall adopt a Right Based Approach according to the local situation. In addition, conflict prevention, promotion of dialogue, participation and reconciliation, as well as institution building shall be mainstreamed, where relevant. These crosscutting issues may also be the main target of a given action.

In particular, the Action will promote a better representation of women within Local Authorities and their Associations, and in taking part in decision-making processes, to ensure that gender issues and women's rights are duly considered and integrated in policies and programmes. Capacity development initiatives in favour of LAs and ALAs will also aim at improving gender competences of local administrators (Mayors, Councillors) and of civil servants.

## **4 DESCRIPTION OF THE ACTION**

### **OBJECTIVES/RESULTS**

Under this Action, the focus will be on empowering Local Authorities and National Associations of LAs from EU partner countries, in order to enable them to contribute to the achievement of more effective development objectives while responding to citizens' demands and to promote inclusive and sustainable local development.

Activities conceived and implemented by partner countries LAs and NALAs will be given priority, in order to empower them, build capacity and facilitate access to funding.

The initiatives foreseen in this Action Document will be managed primarily by European Union Delegations and European Commission Headquarters, when appropriate.

The Action will be implemented in 84 countries.

Under this Action, LAs will be supported:

- As actors of enhanced local governance,
- As to strengthen their capacity as welfare providers and promoters of inclusive and sustainable growth at local level,

To test pilot actions promoting local development through territorial approach (Territorial Approach to Local Development – TALD)

The Thematic Programme through its support to CSOs and LAs aims at contributing to the fight against injustice and inequality, including under a gender perspective. Therefore, due consideration should be given to promoting women empowerment and gender equality, to non-discrimination and to the inclusion of disadvantaged and marginalised groups in each action financed under this objective.

Where relevant, the Action will promote decentralised cooperation<sup>35</sup> (DC), on the basis of a peer-to-peer approach. The Action may support capacity development, technical assistance, transfer of know-how, networking, mentoring and twinning among LAs and ALAs from partner countries and from Europe, beyond the financial assistance offered by EU LAs. These activities may have multiplier effects for LAs as actors of local governance. DC may support partner countries LAs and ALAs, upon their initiative, in developing capacities for delivering services and goods (e.g. sustainable economic development, health and social sectors, land and civil registries, sound environmental management, climate change adaptation, urbanisation management, etc.) and in promoting sustainable and inclusive growth at local level, notably by contributing to a territorial approach to development. The Action may also consider decentralised cooperation among EU partner countries, usually referred to as South-South cooperation.

Financial support to European LAs may be provided, individually or in networks and associations, where their experience adds value, upon condition that their action respond to a local demand and to locally identified needs and include support to local partners (e.g. through mentoring, peer support, joint advocacy, and not least through direct financial support).

#### ***4.1.1. Specific objective “LAs as actors of enhanced local governance”***

As foreseen in the Multi-Annual Indicative Programme “CSOs and LAs”<sup>36</sup>, the Action will aim at enhancing LAs leadership and institutional capacities to execute their mandate as defined by law, with emphasis on inclusive, transparent and participatory governance at the local level. In particular, support will aim at building local technical expertise and develop capacities of elected local administrators (Mayors, Councillors, etc.) and civil servants at local level, while encouraging participation of women in the local administration.

Secondly, the Action will support actions enhancing the accountability of LAs, including their self-governing capacity and their accountability as public institutions, towards their own

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<sup>35</sup> In the framework of this Programme, decentralised cooperation is intended as a process of cooperation between European Local Authorities and Local Authorities from partner countries.

<sup>36</sup> Ibid 1

citizens (downward accountability), towards central government and national independent audit bodies (upward accountability), as well as of local executives and administrations to local councils (horizontal accountability). Therefore, it is fundamental to encourage cooperation and partnerships between different levels of government: local, regional/provincial and national spheres.

Consequently, increased accountability could have a positive impact on policy and programming coherence as well as include the needs of local communities. In countries where decentralisation reforms are underway, the Action may accompany LAs in assuming their new mandate and responsibilities for decision-making, delivering public services or public financial management and mobilisation of revenues at the local level.

Finally, under this Action, support could also be tailored to National Associations of Local Authorities (NALAs), in order to enhance their institutional and operational capacities in performing their main functions, which include:

- i. representation of members' interests, towards central governments and other stakeholders, including donors;
- ii. lobby for decentralisation reforms leading to more autonomous and empowered Local Authorities;
- iii. coordination and platform for discussion among the members, including the facilitation of political and institutional dialogue with higher-level authorities and citizens;
- iv. knowledge sharing and capacity development, with emphasis on development cooperation (e.g. collection and exchange of information, training on project management);
- v. control on the quality of LAs performance, particularly in matter of local development (e.g. through peer reviews between members);
- vi. promotion and management of territorial development plans with social participation.

#### ***4.1.2. Specific objective “Strengthening the capacity of LAs as welfare providers and promoters of inclusive and sustainable growth at local level”***

Depending on a country's institutional framework and its level of decentralisation, LAs can be of pivotal importance to ensuring access to quality basic services towards the reduction of inequalities, particularly for marginalized groups and neglected rural areas. Provision of services should foster inclusive societies with a view to generating decent job and opportunities for youth, mitigating the impact of urbanisation, sustainably managing natural resources, adapting to climate change and preventing risks.

The Action will support LAs in improving local decision-making on what services to be delivered to citizens as well as their capacities of design and delivery of public services towards a more efficient use of resources. To this purpose, supported initiatives should seek to combine capacity development for the local administration with public awareness of LAs' activities, in order to enable local citizens to acquire increased understanding and ability to influence LAs' work to deliver equitable and adequate services as well as to promote local development.

Particular attention will be paid to the impact that urbanisation processes have on services provision at the local level, particularly in relation to the access to stable and affordable basic infrastructure and social facilities, in order to identify and support innovative urban practices that promote social inclusion, and reduces vulnerability from external shocks.

A better coordination between national and local levels of government will also be promoted, in order to enhance the contribution of LAs and their Associations (bottom-up approach) to the design of national/sector policies and plans by national governments and to the negotiation of priorities for cooperation with Development Partners, in a way that service provision aggregate and connect local contexts and needs.

The Action will support LAs in mobilising relevant stakeholders to ensure service provision, including the establishment of public-private and public-civil society partnerships for service delivery, even in consideration of the challenges imposed by rapid urbanisation phenomena.

The Action will also support actions to strengthen the capacity of National ALAs to provide their members with assistance, advice and sharing of knowledge in relation service provision to local communities.

#### ***4.1.3. Specific objective “Testing pilot actions promoting local development through territorial approach (Territorial Approach to Local Development – TALD)”***

Triggering a change in the quality of citizens’ life and wellbeing calls upon exploring alternative approaches to development that seek to (i) derive added value from locally under-used resources in relation to their potential, (ii) to stimulate and promote consultation and coordination of various social and economic stakeholders in a particular geographical area, including LAs, CSOs, the private sector, (iii) integrate national sector policies at the local level, (iv) create social and economic links between urban centres and rural areas, aggregating respective activities in the same territorial unit, (v) integrate citizens, particularly the most vulnerable, into the education, vocational trainings, employment and investment opportunities generated by local growth, (vi) foster social cohesion,<sup>37</sup> meant as fight against social exclusion, polarisation and poverty as well as solidarity, understanding, trust, tolerance and dialogue between and among different segments of the population.

Tailored to territorial characteristics and needs, the Territorial Approach to Local Development (TALD) is characterised as a dynamic bottom-up and long-term process based on a multi-actor and multi-sector approach, in which different local institutions and actors work together to define priorities, as well as to plan and implement specific strategies to generate incomes, well-being and to increase the resilience of populations living in a given territory.

Criteria to define the territory are both geographical and socio-economic ones. The territory is indeed defined functionally as a localised set of community, social, natural and private resources and capacities.

As foreseen in the Multi-Annual Indicative Programme “CSOs and LAs”, the Action will aim at piloting multi-actors processes for achieving inclusive, sustainable economic development in specific territories. It will support the mobilisation of different local actors for joint efforts for inclusive and sustainable growth. In particular, Local Authorities will be encouraged in establishing local multi-actor partnerships (Civil Society Organisations and productive sectors - e.g. enterprises, cooperatives, fair trade organisations). Multi-actor partnerships will have

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<sup>37</sup> Definition from the "Strategy for social cohesion", Council of Europe (2004): [http://www.coe.int/t/dg3/socialpolicies/socialcohesiondev/source/RevisedStrategy\\_en.pdf](http://www.coe.int/t/dg3/socialpolicies/socialcohesiondev/source/RevisedStrategy_en.pdf).

the role to define strategies integrating sector policies and mobilising additional local resources to respond to territorial development challenges and citizens' concerns that require structural changes, in coordination with the central public sector and in line with national development objectives.

#### *4.2 . Expected results*

The expected results of the Action are:

- Improved institutional and operational capacities of LAs in executing their political, institutional and operational mandate (i.e. leadership, planning, budgeting, implementation, communication, etc.);
- Enhanced accountability and transparency of LAs towards local communities as well as other levels of government;
- Increased participation of LAs and ALAs in policy-making processes;
- Established mechanisms to engage LAs in dialogue with national authorities, citizens and other relevant stakeholders, with emphasis on transparent decision-making at the local level;
- Increased coordination and exchange between LAs and ALAs to promote the role of LAs as local governance actors;
- Enhanced capacity of LAs (in line with their mandate) to effectively deliver public services, notably social services, and to take measures to promote inclusive and sustainable growth;
- Quality services provided according to the local contexts and demands;
- Increased role of LAs as catalysts of action by local actors, including via multi-stakeholder partnerships for service delivery;
- Improved public awareness on the role of LAs in service provisions, therefore better mobilisation of local communities in what and how services are delivered;
- Better LAs' response to urbanisation phenomenon in relation to service provision;
- Enhanced role of ALAs to assist LAs in participating in the formulation of national/sector policies affecting the local level as well as in service provision;
- Strategic and innovative development plans for the identified territory tested and scaled up through multi-actors partnerships;
- Established mechanisms for consultation, coordination and cooperation among public, private and civil society sectors (multi-actors partnerships) in the production of development outcomes within a given territory;
- Initiatives aimed at ensuring broad social participation and fostering social cohesion tested and scaled up;
- Improved quality, sustainability and resilience of populations' living conditions and livelihoods in the selected territory, to ensure broad sharing of the benefits of territorial development.

Expected results will be monitored through a combination of indicators such as:

- The number of LAs supported in Partner Countries;
- The number of National Associations of Local Authorities supported;
- The number of innovative *Territorial Development Plans developed and implemented*.

As for *LAs Institutional Capacity*, indicators such as:

- Number of LAs trained in management/human resources/leadership skills;
- Number of LAs improving their internal governance standards, transparency and multiple accountability lines;
- Number of LAs trained in analytical/advocacy/negotiation skills;
- Number of LAs and ALAs drafting policy proposals, participating in negotiations with Central Governments;
- Number of programmes managed by LAs and related delivered services;
- As for *LAs legal, regulatory and operational frameworks* (conducive environment) in Partner countries;
- The number of countries where conducive legal and regulatory instruments exist<sup>38</sup> to allow Local Authorities to execute their role and responsibilities.

### **4.3 Main activities**

A detailed list of main activities is included within the specific objectives of the Action, under above-mentioned sections 4.1.1, 4.1.2 and 4.1.3.

Among other, main activities include capacity development of LAs/NALAs in undertaking their institutional mandate, including participative decision-making processes and provision of fundamental services at the local level; support to multi-stakeholder policy dialogues and actions; exchange of best practices and know-how in relation to local public affairs; fostering of gender equality within political and technical staff of LAs/NALAs.

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

### **5.2 Indicative implementation period**

The indicative operational implementation period of this Action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 114 months from the date of adoption by the Commission of this Action Document.

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<sup>38</sup> Ex. institutional arrangements, separation of powers, electoral and party systems, appropriate decentralisation policies, intergovernmental fiscal systems, respect of the rule of law, citizens' participation.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### 5.3 Implementation modalities

#### 5.3.1. Grants: call for proposals (direct management)

(a) Objectives of the grants, fields of intervention, priorities of the years and expected results

The **overarching objective** shall be the enhancement of the participation of LAs and ALAs in partner countries in public policies and programmes as a pre-condition for a more equitable, open and democratic society.

(b) Eligibility conditions

The initiatives to be financed shall be initiated and directly implemented by Local Authorities or Associations of Local Authorities (as defined in Annex II.B of the DCI Regulation). In limited cases and where appropriate, in order to ensure their effectiveness, initiatives may be carried out by other actors for the benefit of the Local Authorities concerned.

Priority should be given to supporting LAs from partner countries in order to strengthen their capacity, in line with the overall objectives of the Action. In all actions the execution of operations must remain under the responsibility and supervision of the LA or Associations of LA in coherence with relevant sector policies. Mechanisms must be put in place to ensure sustainability of the actions at the end of the EU co-funding.

Should it be considered more efficient, EU Delegations could envisage broadening up the eligibility to applicants from other eligible countries (as mentioned below). In those cases, projects proposals should be based on local initiatives and partner countries LAs involvement should be ensured at all stages.

All actions should include an element of capacity development of partner countries Local Authorities and their Associations. Partnerships among LAs and other stakeholders are encouraged in order for the Action to achieve stronger ownership and impact.

**As applicant:** the eligibility of applicants is restricted to all types of Local Authorities<sup>39</sup> and National Associations of LA,<sup>40</sup> legally established and originating from:

I. the EU partner country where the action takes place;

If considered relevant for the effectiveness of the action, eligibility can be extended to

II. other EU partner countries, as follows:

(v) developing countries that are included in the list of recipients of ODA established by the OECD/DAC, including countries and territories falling within the scope of Council Decision 2013/755/EU on the association of the overseas countries and territories with the European Union ('Overseas Association Decision'), and excluding:

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<sup>39</sup> See footnote 2.

<sup>40</sup> See footnote 3.



- beneficiaries listed in Annex I to Regulation (EU) No 231/2014 establishing an Instrument for Pre-accession Assistance (IPA II) <sup>41</sup>,
  - (vi) countries that are signatories to the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States, of the other part, signed in Cotonou on 23 June 2000 (5), including South Africa;
  - (vii) countries eligible for the European Development Fund;
  - (viii) countries eligible for Union funding under the European Neighbourhood Instrument established by Regulation (EU) No 232/2014 of the European Parliament and of the Council (the ‘European Neighbourhood Instrument’) including the Russian Federation;
- III. the EU Member States and contracting parties to the Agreement on the European Economic Area.

**Co-applicant and affiliated entities:** the eligibility of Co-applicant and affiliated entities is restricted to LAs and/or their associations and/or all types of CSOs and/or their associations originating from the countries described above under applicant.

EU Delegations may define specific eligibility criteria according to the country context and in order to respond to local needs in terms of actors (type and origin), priorities, themes, sectors, and geographical areas. This will allow EU Delegations to ensure complementarity and subsidiarity with other programmes implemented in the country, as well as to better respond to local circumstances.

Grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

The indicative maximum duration of the grant (its implementation period) may not be lower than 24 months nor exceed 60 months. Under their respective calls for proposals each EU Delegation may determine the minimum and maximum durations, provided these stay within the above-mentioned limits. In duly justified cases, EU Delegations can finance actions of less than 24 months with a minimum of 12 months.

#### (c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

#### (d) Maximum rate of co-financing

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<sup>41</sup> Albania, Bosnia and Herzegovina, Iceland, Kosovo\* (\*This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence), Montenegro, Serbia, Turkey, the Former Yugoslav Republic of Macedonia.

Grant size will, in principle, be of a minimum of EUR 300 000. In exceptional and duly justified cases, grants of less than EUR 300 000 may be accepted. For efficiency purposes it is however recommended to increase the minimum size of grants. In order to ensure the access to funds of all types and levels of LAs, the use of the sub-granting approach is encouraged.

The maximum possible rate of EU co-financing for grants under the calls to be launched under this Action is:

- Partner countries LAs/NALAs: maximum of 90% of the total eligible costs;
- European LAs/ALAs: maximum of 75% of the total eligible costs.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

#### (e) Indicative timing to launch the call

Local calls for proposals are expected to be published by EU Delegations as from the adoption of this Commission Implementing Decision, foreseen in the second quarter of 2015.

In exceptional circumstances outside the Commission's control, and to ensure an efficient and effective implementation of the programme and achievement of its objectives, in duly justified cases linked to the national and local events, EU Delegations may launch calls for proposals before the adoption of the financing decision, with a suspension clause, upon prior approval by the responsible Authorising Officer.

Furthermore, in cases where local calls for proposals launched in 2014 have a high success and the quality of the proposals in the reserve list allows for it, 2015 contribution may be used to contract reserve lists of 2014 calls for proposals instead of launching new calls which would serve the same objective and target the same beneficiaries. The same logic can be applied to subsequent calls launched under 2015 and 2016 funds.

### **5.3.2 Grant: direct award (direct management)**

#### (a) Objectives of the grant, fields of intervention, priorities of the year and expected results

The **overarching objective** shall be the enhancement of the participation of LAs and ALAs in partner countries in public policies and programmes as a pre-condition for a more equitable, open and democratic society.

In some cases, where relevant, contributions from other donors can be added to the allocation foreseen in this Action Document for a given country.

#### (b) Justification of a direct grant

Under the responsibility of the authorising officer by delegation, the recourse to an award of a grant without a call for proposals to national Associations of Local Authorities may be

justified because beneficiaries are in one of the circumstances listed in Article 190 of the Rules of Application (RAP)<sup>42</sup>.

If justified by the local context and in line with the achievement of the objective of this action, EU Delegations may award grants directly **to representative National Associations of Local Authorities (NALAs)(legal entities or groupings without legal personality) originating from the EU partner country where the action takes place** in order to strengthen their institutional and operational capacity. Such grants could possibly be awarded through a Framework Partnership Agreement.

**Co-applicants and affiliated entities:** the eligibility of Co-applicant and affiliated entities is restricted to all types of LAs and/or their associations and CSOs and/or their associations originating from:

- I. the EU partner country where the action takes place;
- II. other EU partner countries, as follows:
  - (i) developing countries that are included in the list of recipients of ODA established by the OECD/DAC, including countries and territories falling within the scope of Council Decision 2013/755/EU on the association of the overseas countries and territories with the European Union ('Overseas Association Decision'), and excluding:
    - beneficiaries listed in Annex I to Regulation (EU) No 231/2014 establishing an Instrument for Pre-accession Assistance (IPA II)<sup>43</sup>,
  - (ii) countries that are signatories to the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States, of the other part, signed in Cotonou on 23 June 2000 (5), including South Africa;
  - (iii) countries eligible for the European Development Fund;
  - (iv) countries eligible for Union funding under the European Neighbourhood Instrument established by Regulation (EU) No 232/2014 of the European Parliament and of the Council (the 'European Neighbourhood Instrument') including the Russian Federation.
- III. the EU Member States and contracting parties to the Agreement on the European Economic Area.

Additionally, in selecting potential beneficiaries, the representativeness of the NALA, their governance structures and their strategies should be taken into account.

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<sup>42</sup> Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:362:FULL:EN:PDF#page=3>

<sup>43</sup> Albania, Bosnia and Herzegovina, Iceland, Kosovo\* (\*This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence), Montenegro, Serbia, Turkey, the Former Yugoslav Republic of Macedonia.

The initiatives to be financed shall be initiated and directly implemented by NALAs (as defined in Annex II.B of the DCI Regulation).

All actions should include an element of capacity development of partner countries NALAs. Partnerships among NALAs and other stakeholders are encouraged in order for the action to achieve stronger ownership and impact.

Grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

The maximum duration of grants (its implementation period) may not be lower than 24 months nor exceed 60 months. In duly justified cases, EU Delegations can finance actions of less than 24 months with a minimum of 12 months.

(c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

As a general rule, the maximum possible rate of EU co-financing for each direct grant to be funded is as follows:

- Partner countries CSOs: maximum of 90% of the total eligible costs;

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

As from the adoption of this Commission Decision, foreseen in the second quarter of 2015.

### **5.3.3 *Direct management EU Bêkou Trust Fund in the Central African Republic***

An amount of EUR 500 000 is to be managed in direct management through a contribution to the EU Bêkou Trust Fund, the establishment of which was decided by the Commission in July 2014<sup>44</sup> for a duration of 60 months following the signature of the Constitutive Agreement. The overall objective of the Fund is to support all aspects of the Central African Republic's exit from crisis and reconstruction and to support the neighbouring countries affected by the crisis, in coordination with national frameworks and the instruments of other development partners.

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<sup>44</sup> C (2014)5019

The EU Bêkou Trust Fund will pool funds from EU, France and Germany and the Netherlands<sup>45</sup>. Rules and procedures applying to the management and governance of the Trust Fund will be detailed in the Constitutive Agreement to be signed with the donors.

In accordance with Article 187 (4) of the Financial Regulation, the Board of the Trust Fund will decide upon the use of the Funds which shall nevertheless be used to the benefit of Local Authorities to the proportion of the size of the EU Contribution stemming from the LAs budget line.

#### **5.3.4 Procurement (direct management)**

For in-country interventions, EU Delegations will be able to spend up to 5% of the respective annual operational country allocation for support measures accompanying the implementation of this priority of the thematic programme. Those accompanying support measures must cover activities of direct benefit to the organisations/partners targeted by the country programme, such as consultation sessions, information sessions on Calls for Proposals, support to registering to the for "Potential Applicant Data Online Registration" (PADOR), local mapping studies, training seminars and workshops related to the programme, capitalisation studies, programme evaluations at country level and/or other activities focusing on the strengthening of actors.

Taking into consideration that support measures are initiated at country level by EU Delegations on the basis of local needs assessments, the number and type of contracts as well as the amounts allocated may vary significantly and is difficult to estimate. However, based on past years experiences, 10 to 20 contracts implemented in direct management are expected.

The type of tenders and contracts will be determined in each case by the European Union's standard procedures for the implementation of external actions.

Support measures do not cover activities or expenditure aimed at helping EU Delegations to manage the programme, such as technical assistance for the evaluation of proposals, projects' audits or follow-up of the programme.

#### **Scope of geographical eligibility for procurement and grants**

In principle, actions must take place in the partner country where the grant has been awarded.

The **list of 84 targeted countries** and respective budget allocations for LAs foreseen for years 2015, 2016, 2017 is provided here below.

#### **African, Caribbean and Pacific countries**

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Benin*	1 000 000			1 000 000

<sup>45</sup> Tentatively France EUR 10 000 000 and Germany EUR 10 000 000 and the Netherlands EUR 3 0 00 000.

Burkina Faso*		1 250 000	750 000	2 000 000
Burundi*			2 000 000	2 000 000
Cameroon	800 000		1 400 000	2 200 000
Cape Verde	500 000		500 000	1 000 000
Central African Republic (Trust Fund Bêkou) *		500 000		500 000
Chad*	1 600 000			1 600 000
Comoros (Union of)*		1 500 000		1 500 000
Côte d'Ivoire*	1 000 000		1 000 000	2 000 000
Djibouti*		1 000 000		1 000 000
Dominican Republic		1 700 000		1 700 000
Eritrea*	300 000		300 000	600 000
Ethiopia*	2 500 000	2 500 000		5 000 000
Gabon; Sao Tomé and Principe*	1 300 000		1 300 000	2 600 000
Ghana	2 000 000		2 000 000	4 000 000
Guinea-Bissau*	1 000 000	1 000 000		2 000 000
Guyana, Suriname, Trinidad and Tobago	600 000		600 000	1 200 000
Haiti*	1 000 000			1 000 000
Jamaica		500 000		500 000
Madagascar*	2 000 000		1 500 000	3 500 000
Mali*		4 300 000	2 700 000	7 000 000
Mauritania*	1 000 000		1 100 000	2 100 000
Mozambique*	500 000		500 000	1 000 000
Namibia	400 000			400 000
Nigeria	800 000			800 000

Rwanda*		1 000 000		1 000 000
Senegal* and the Gambia*		1 000 000		1 000 000
Sierra Leone*	2 000 000		2 000 000	4 000 000
Sudan*		3 500 000		3 500 000
Swaziland			500 000	500 000
Tanzania*			600 000	600 000
Togo*	650 000	650 000		1 300 000
Uganda*		2 000 000		2 000 000
Zambia*			2 000 000	2 000 000
Zimbabwe		2 500 000	1 000 000	3 500 000
South Africa		2 500 000		2 500 000
<b>TOTAL ACP</b>	<b>20 950 000</b>	<b>27 400 000</b>	<b>21 750 000</b>	<b>70 100 000</b>

### Latin American countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Bolivia	1 000 000	1 000 000	1 000 000	3 000 000
Brazil	1 000 000			1 000 000
Chile	400 000			400 000
Colombia	1 500 000		1 500 000	3 000 000
Cuba			1 000 000	1 000 000
Ecuador	2 000 000			2 000 000
El Salvador	1 600 000			1 600 000
Guatemala		1 000 000		1 000 000
Honduras			600 000	600 000

Mexico	1 000 000		1 000 000	2 000 000
Nicaragua	1 500 000			1 500 000
Paraguay	1 000 000			1 000 000
Peru	500 000		500 000	1 000 000
Uruguay		800 000	850 000	1 650 000
<b>TOTAL LATIN AMERICA</b>	<b>11 500 000</b>	<b>2 800 000</b>	<b>6 450 000</b>	<b>20 750 000</b>

### Asian countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Afghanistan*		4 000 000		4 000 000
Burma / Myanmar*		3 400 000	1 600 000	5 000 000
Cambodia*		2 500 000	1 500 000	4 000 000
India		1 500 000		1 500 000
Indonesia		500 000		500 000
Laos*	600 000		700 000	1 300 000
Nepal*			2 000 000	2 000 000
Pakistan	1 500 000		2 350 000	3 850 000
Sri Lanka and Maldives	500 000		1 600 000	2 100 000
Vietnam	650 000			650 000
<b>TOTAL ASIA</b>	<b>3 250 000</b>	<b>11 900 000</b>	<b>9 750 000</b>	<b>24 900 000</b>

### Central Asian countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Kazakhstan	800 000	1 300 000		2 100 000



Kyrgyz Republic			500 000	500 000
<b>TOTAL CENTRAL ASIA</b>	<b>800 000</b>	<b>1 300 000</b>	<b>500 000</b>	<b>2 600 000</b>

#### Middle East countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Iraq	1 000 000			1 000 000
Yemen*		900 000		900 000
<b>TOTAL MIDDLE EAST</b>	<b>1 000 000</b>	<b>900 000</b>	<b>0</b>	<b>1 900 000</b>

#### Neighbourhood countries

	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>TOTAL 2015-2017</b>
Algeria	600 000	600 000		1 200 000
Armenia		1 500 000		1 500 000
Azerbaijan		1 000 000		1 000 000
Belarus		3 000 000		3 000 000
Egypt			700 000	700 000
Georgia		750 000	900 000	1 650 000
Israel		500 000	1 550 000	2 050 000
Lebanon	890 000			890 000
Libya	2 000 000			2 000 000
Moldova			800 000	800 000
Morocco	800 000			800 000
Syria		750 000	750 000	1 500 000
Tunisia		600 000	1 000 000	1 600 000
Ukraine			1 500 000	1 500 000

Palestine		3 600 000		3 600 000
<b>TOTAL NEIGHBOURHOOD</b>	<b>4 290 000</b>	<b>12 300 000</b>	<b>7 200 000</b>	<b>23 790 000</b>

**\* Least Developed Countries (OECD DAC list of ODA Recipients)<sup>46</sup>.**

Countries eligible in accordance with Art 1.1.b of the DCI Regulation, other than the above-listed, remain eligible under and could profit from future Actions under the Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”.

Countries and territories falling within the scope of Council Decision 2013/755/EU on the association of the overseas countries and territories with the European Union (‘Overseas Association Decision’) and countries beneficiaries of Regulation (EU) No 231/2014 establishing an Instrument for Pre-accession Assistance (IPA II) (listed in Annex I) are in principle not eligible locations of the action.

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

The Commission’s authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

## **6 INDICATIVE BUDGET**

The total amount of EU budget contribution is EUR 144 040 000, under Budget line 21 02 08 02 "Local Authorities",

The contribution is for an amount of EUR 41 790 000 from the general budget of the European Union for 2015 and

for an amount of EUR 56 600 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and

for an amount of EUR 45 650 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.

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<sup>46</sup>List effective for reporting on 2012 and 2013 flows, available at: <http://www.oecd.org/dac/stats/documentupload/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf>

## **7 ORGANISATIONAL SET-UP AND RESPONSIBILITIES**

Local calls for proposals will be launched and managed by EU Delegations. Exceptionally, some calls for proposals might be launched and managed by European Commission Headquarters.

## **8 PERFORMANCE MONITORING AND REPORTING**

In line with the common rules and procedures applicable to all external aid instruments, performance will be monitored and progress towards delivering expected results will be reviewed against the objectives set in Priority 1 of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be managed by Delegations. They will be monitored in accordance with the recently strengthened monitoring and reporting systems including Annual Management Plans and External Action Management Reports.

A consolidated results-based framework will be developed by the Commission in order to monitor progress and results at the level of Priority 1.

In addition, the Action will benefit from a re-designed external review system (replacing the ROM) implemented by independent experts, which includes project reviews and support to reporting on results.

## **9 EVALUATION**

Evaluation provisions will build on the recommendations of the final evaluation of the predecessor Programme “Non State Actors and Local Authorities in Development” 2007–2013 and on the recently strengthened evaluation policy for external aid instruments.

In line with the key requirements of accountability and learning, a multi-annual evaluation plan will be formulated at Programme level covering at least half of the budget of the Multi-Annual Indicative Programme.

Grants awarded under this Action are managed by the EU Delegations. The evaluations implemented at project and/or country level by the EU Delegations and/or implementing partners will be consolidated and completed by an evaluation system managed centrally by the Commission and supported by external consultants.

This evaluation system for Priority 1 of the Programme will feed its Mid-Term Review and Final Evaluation in line with the common rules and procedures applicable to all external aid instruments.

## **10 AUDIT**

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

The financing of the audits shall be covered by another measure constituting a financing decision.

## **11 COMMUNICATION AND VISIBILITY**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.5 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.



This action is funded by the European Union

### **ANNEX 3**

## **OF THE COMMISSION IMPLEMENTING DECISION ON THE MULTIANNUAL ACTION PROGRAMME FOR YEARS 2015 PART II, 2016 AND 2017 FOR THE THEMATIC PROGRAMME “CIVIL SOCIETY ORGANISATIONS AND LOCAL AUTHORITIES”**

### **CIVIL SOCIETY ORGANISATIONS – PRIORITY 2 “REINFORCING REGIONAL AND GLOBAL CSO NETWORKS”**

### **ACTION DOCUMENT FOR STRATEGIC OBJECTIVE 2 - REINFORCING REGIONAL, EU AND GLOBAL CSO UMBRELLA ORGANISATIONS**

#### **Information for Potential Grant Applicants**

#### **Work Programme for Grants**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning calls for proposals: 5.3.1.; and in the following section concerning grants awarded directly without a call for proposals: 5.3.2.

<b>1. Title/basic act/ CRIS number</b>	Civil Society Organisations – Reinforcing Regional, EU and Global CSO Umbrella Organisations  CRIS number: 2015/038-047  financed under Development Cooperation Instrument
<b>2. Zone benefiting from the action/location</b>	The action shall be carried out at the following location: EU partner countries <sup>47</sup> and EU Member States
<b>3. Programming document</b>	Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020” - Commission Implementing Decision of 15.07.2014 C(2014) 4865 final

<sup>47</sup> As established in article 1.1.b of the Regulation 233/2014 of 11<sup>th</sup> March 2014: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0044:0076:EN:PDF>

<b>4. Sector of concentration/the matic area</b>	Democratic Participation and Civil Society			
<b>5. Amounts concerned</b>	<p>Total amount of EU budget contribution EUR 36 800 000</p> <p>The contribution is for an amount of EUR 35 000 000 from the general budget of the European Union for 2015 and</p> <p>for an amount of EUR 900 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and</p> <p>for an amount of EUR 900 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.</p> <p>This action is co-financed by potential grant beneficiaries following the co-financing percentages established in section 5.3 d).</p> <p>All actions supported by this programme should not give rise to a profit.</p>			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	<p>Project Modality</p> <p>Direct management: grants – call for proposals; grants –direct award; Programme approach (through Framework Partnership Agreements)</p>			
<b>7. DAC code(s)</b>	15150 - Democratic participation and civil society			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Summary

EU support to global and regional networks and platforms of CSOs has been developed over the last Multiannual Financial Framework (MFF) 2007-2013 and has been the object of 4 calls for proposals. So far, more than 80 regional and global networks and platforms of CSOs have been supported, including at European level. A similar action was already decided by the Commission Implementing Decision C(2014) 7987 final of 28.10.2014<sup>48</sup>. A call of proposals with 2014 funds will be published early 2015. Subject to the success rate of the call, the quality of the proposals in the reserve list and to the adoption of this Commission implementing decision, 2015 funds may be used to contract projects of the reserve lists of the call for proposals of the 2014 instead of launching a new call which would serve the same objective and target the same beneficiaries.

The EU has also awarded in the past MFF yearly operating grants to the European NGO Confederation for Relief and Development CONCORD and intends to continue this support through this action.

Considering the above, this Action Document refers to recurrent actions in the sense of Art. 6.3 of the Regulation (EU) No 236/2014<sup>49</sup> of the European Parliament and of the Council (11<sup>th</sup> March 2014) laying down common rules and procedures for the implementation of the Union's instruments for financing external action.

Under priority 2, the EU aims at strengthening representative, membership-based and actor-based<sup>50</sup> regional, EU and global non-thematic<sup>51</sup> Civil Society umbrella organisations, in order to maximize the effectiveness of their work as development actors in their own right and contributors to policy-making, on development related topics at global and regional levels (including the EU).

This Action Document refers to the Civil Society Organisations (CSO) component of Priority 2 under the Strategy and Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”.<sup>52</sup>

<sup>48</sup> [http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014_en.pdf)

<sup>49</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0095:0108:EN:PDF>

<sup>50</sup> “Actor-based” umbrella organisations are understood as structures that gather civil society organisations belonging to the same family of actors, such as, inter alia, non-governmental organisations, cooperatives, trade unions, employers’ organisations, foundations, etc.

<sup>51</sup> Non-thematic umbrella organisations focus on general development issues such as, inter alia, development effectiveness, capacity building of development actors, creation of enabling environment for CSOs. Non thematic umbrella organisations can be understood as opposed to organisations that focus on thematic fields such as, inter alia, climate change, education, health, migration.

<sup>52</sup> Commission Implementing Decision of 15.07.2014 C(2014) 4865 final: [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO\\_LA\\_MIP\\_CSOLA\\_2014\\_2020\\_EN.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO_LA_MIP_CSOLA_2014_2020_EN.pdf)

This Action will focus primarily on:

- Strengthening the institutional and operational capacities of these CSOs umbrella organisations;
- Reinforcing the capacities of CSOs umbrella organisations to represent their constituencies and to promote the role and responsibilities of their members.

## 1 CONTEXT

### 1.1 Thematic area

The emergence of transnational governance structures, coupled with the rapid evolution, over the past years, of information and communication technologies, have led CSOs around the world to extend their contacts and to build alliances beyond national and continental borders.

Regional and global CSOs umbrella organisations are essential stakeholders playing a pivotal role in linking local concerns and priorities, often caused by global challenges, to regional and international debates.

These structures are progressively gaining prominence in the formulation and implementation of policies and agreements connected to the international development agenda.

The EU aims at strengthening representative, membership-based and actor-based regional, European and global Civil Society umbrella organisations, in order to maximize the effectiveness of their work as development actors and contributors to policy-making, on development related topics at global and regional levels.

#### 1.1.1 *Public Policy Assessment and EU Policy Framework*

In line with the recommendations of the Structured Dialogue to the EU and with the key messages of the Communication on "The roots of democracy and sustainable development: Europe's engagement with Civil Society in external relations", the EU has significantly reinforced, in recent years, its political dialogue with and support to representative, actor-based regional, EU and global umbrella organisations of CSOs.

The Structured Dialogue recommended the EU to "promote and support regular, structured and inclusive multi-stakeholders dialogues" through funding to "empower civil society organisations and local authorities (particularly their platforms and representative organisations) to participate effectively in dialogues"<sup>53</sup>.

In line with this recommendation, the Communication on Civil Society, adopted in September 2012 and endorsed by the European Parliament and the Council, highlights the pivotal role played by regional and global CSOs networks in linking local concerns and priorities, often caused by global challenges, to regional and international debates. CSOs umbrella organisations progressively gain prominence, through advocacy actions, in the formulation and implementation of policies and agreements connected to the international development agenda.

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<sup>53</sup> Concluding paper of the Structured Dialogue, May 2011  
[https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/e/ea/FINAL\\_CONCLUDING\\_PAPER.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/e/ea/FINAL_CONCLUDING_PAPER.pdf)



The Communication also emphasises the need to create more long-term and strategic relations with organisations representing the various families of CSOs.

These recommendations are reflected in the Multiannual Indicative Programme 2014-2020 for the CSOs - LAs Thematic Programme, the basis of the current Multiannual Action Programme.

### ***1.1.2 Stakeholder analysis***

The main stakeholders of this action are regional and global representative, actor-based and membership-based umbrella organisations of CSOs.

The final beneficiaries are partner countries populations who will be better informed about policies, including on the post-2015 Development Agenda and on topics related to regional processes of integration, and will be better represented and have a greater say in their definition and implementation.

### ***1.1.3 Priority areas for support/problem analysis***

The emergence of transnational governance structures, coupled with the rapid evolution, over the past years, of information and communication technologies, have led CSOs around the world to extend their contacts and to build alliances beyond national and continental borders.

Regional and global CSOs networks are essential stakeholders playing a pivotal role in linking local concerns and priorities, often caused by global challenges, to regional and international debates.

These structures are progressively gaining prominence in the formulation and implementation of policies and agreements connected to the international development agenda.

The EU aims at strengthening representative, membership-based and actor-based regional and global Civil Society networks in order to maximize the effectiveness of their work as development actors and partners in policy-making, on development related topics at global and regional levels (including the EU), also in relation to the post-2015 Development Agenda and its implementation.

The design of this support will focus primarily at:

- Supporting initiatives of the CSOs networks to jointly act as strategic partners for key policy makers, through contributions to (1) the formulation of policies/policy-making processes; (2) the implementation of policies and agreements on topics particularly related to the post-2015 Development Agenda as well as to regional process of integration and (3) monitoring policies and agreements implementation.
- Strengthening capacities and representativeness of CSOs networks to effectively link local realities and communities to regional and global debates;
- Facilitating experience and knowledge sharing within and among CSOs networks particularly with the view to enhance their members' capacities

## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
<p>The diversity of the members of CSOs umbrella organisations may lead to differences in views and approaches, rendering more difficult the coordination of their inputs in view of presenting effective common contributions to policy making processes and in the follow-up of policies and agreements implementation.</p> <p>There might be an unequal participation of the various members of the regional and global umbrella organisations, according to their capacity or willingness to contribute to the programmes effectively.</p>	<p>L</p> <p>L</p>	<p>Both risks can be mitigated at the evaluation of the proposals phase and during the FPA analysis processes, when the EU will analyse the solidity of partnerships within future beneficiary CSOs umbrella organisations.</p>
<b>Assumptions</b>		
<p>The main assumption is that the future beneficiaries will perform the implementation of their actions to reinforce their effectiveness and impact, in order to achieve the general and specific objectives set up in section 3.1 above.</p>		

## 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

### 3.1 *Lessons learnt*

Two calls for proposals were launched in late 2011 under the former objectives 1b and 3 of the predecessor Thematic Programme “Non State Actors and Local Authorities in Development”. The calls focused on capacity building and networks structuration and supported their participation in dialogues with Institutions both in partner countries and with EU Institutions. The present Action incorporates lessons and best practices learnt from the implementation of the projects supported by the calls for proposals, as follows:

- In order to ensure continuity and predictability of funding for umbrella organisations, long term partnerships will be established, through the Framework Partnership Agreements. This funding mechanism, based on the programme approach, responds to the need of shifting EU financing from focusing on projects to supporting programmes and processes, in order to strengthen impact and sustainability.
- Exchanges of best practices within and among European and partner countries' CSOs umbrella organisations will be supported.

- Duplication will be avoided, through coordination with regional geographic programmes that may fund CSOs umbrella organisations and with the EU Delegations that support this type of CSOs organisations at the country level.

Furthermore, the final evaluation<sup>54</sup> of the previous programme Non State Actors and Local Authorities carried out in 2013, praises the fact that support to multi-country projects, implemented in the EU and partner countries, was progressively reoriented towards support to representative CSOs networks at regional and global levels. This new approach has successfully contributed to the structuring of these actors and enhanced their capacity to engage on international issues with the Commission and other development partners.

The evaluation recommends the consolidation of this new highly relevant approach, focused on the empowerment of CSOs umbrella organisations. Indeed, the programme approach will allow for: (i) leadership by the beneficiary actors; (ii) a single, comprehensive programme and budget framework; (iii) simplified procedures for reporting; (iv) use of beneficiary own planning and reporting documents (multi-annual strategy, annual work plan, accounting, involvement of executive boards, etc.).

### **3.2 Complementarity, synergy and donor coordination**

The Action will act in complementarity with other programmes and instruments benefitting regional and global umbrella organisations of civil society organisations, namely the Pan African Programme, the thematic programme on Global Public Goods and Challenges and other bilateral and regional programmes under the Development Cooperation Instrument, the Instrument contributing to Stability and Peace, the Neighbourhood Civil Society Facility under the European Neighbourhood Instrument, the European Instrument for Democracy and Human Rights, bilateral and regional programmes under the European Development Fund.

Moreover, actions under priority 2 of the CSO-LA thematic programme will be developed in coordination and complementarity with (i) the support that will be given to CSOs umbrella organisations at the national level, under priority 1 of the programme and with (ii) projects that may be developed by CSO umbrella organisations under priority 3 (Development Education and Awareness Raising).

The CSO/LA dialogue platform of the Policy Forum on Development will be used to facilitate donor coordination and exchange of information in general. As for the specific FPAs and related grants, particular attention will be paid to contributions from different donors and their complementarity.

### **3.3 Cross-cutting issues**

Throughout the programme, cross-cutting issues as defined by the European Consensus shall be mainstreamed, as envisaged in the DCI Regulation Article 3.3. Actions must respect principles of non-discrimination (on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation), human rights, the rule of law, good governance, gender equality and women's empowerment, as well as include cross cutting issues such as rights of minorities, of children and older people, rights of persons with disabilities and life-threatening

<sup>54</sup>

[https://webgate.ec.europa.eu/fpfs/mwikis/aidco/index.php/Policy\\_forum](https://webgate.ec.europa.eu/fpfs/mwikis/aidco/index.php/Policy_forum)

diseases and rights of other vulnerable groups, core labour rights and social inclusion, environment and climate change and fight against HIV/AIDS and overall adopt a Right Based Approach according to the local situation. In addition, conflict prevention, promotion of dialogue, participation and reconciliation, as well as institution building shall be mainstreamed, where relevant.

## 4 DESCRIPTION OF THE ACTION

### 4.1 Objectives/results

**The overall objective** is to contribute to the reinforcement of CSOs umbrella organisations in development and to maximize the effectiveness and impact of these organisations as development actors in their own rights.

**The specific objectives** of this action are:

1. To strengthen the institutional and operational capacities of CSOs umbrella organisations;
2. To reinforce the capacities of CSOs umbrella organisations to effectively represent their constituencies and to promote the role and responsibilities of their members.

The **results** related to specific objective 1 are:

- Enhanced institutional capacities of CSOs umbrella organisations (i.e. improved governance structures, improved planning and budgeting methods);
- Enhanced operational capacities of CSOs umbrella organisations (enhanced capacity of CSOs umbrella organisations to influence decisions of international organisations<sup>55</sup> (both with regional and global scope) and other relevant stakeholders (i.e. governmental authorities, private sector); improved capacity of CSOs umbrella organisations to contribute to the monitoring of policies and agreements implementation).

The **results** related to specific objective 2 are:

- Enhanced capacities of members of the regional and global CSOs umbrella organisations;
- Improved communication flows (capacities of CSOs umbrella organisations to represent their constituencies, by effectively gathering their views and expressing them in regional and global debates and by reporting the conclusions/outcomes of these debates back to their constituencies will be improved).

Expected results will be monitored through a combination of indicators, in Europe or in partner countries, such as:

- The number of CSOs networks/platforms supported, both at regional, EU and international levels;

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<sup>55</sup> International organisations, as defined by the Art. 43 of the Implementing Rules of the EU Financial Regulation ([http://ec.europa.eu/budget/library/biblio/documents/regulations/syn\\_pub\\_rf\\_modex\\_en.pdf](http://ec.europa.eu/budget/library/biblio/documents/regulations/syn_pub_rf_modex_en.pdf)), are international public sector organisations set up by intergovernmental agreements, and specialised agencies set up by such organisations. These organisations may have worldwide (e.g. the United Nations, the World Trade Organisation) or regional/sub-regional scope (e.g. the African Union, the European Union, MERCOSUR, the Association of Southeast Asian Nations ASEAN, the Southern African Development Community SADC, the West African Economic and Monetary Union UEMOA).

- Number of National CSOs indirectly benefitting from support programmes;
- Number of CSOs networks/platforms trained in specific-expertise development
- Number of CSOs networks/platforms drafting policy recommendations and also participating in negotiations;
- Number of CSOs networks/platforms delivering services and support to their members.

The Thematic Programme through its support to CSOs and LAs aims at contributing to the fight against injustice and inequality, including under a gender perspective. Therefore, due consideration should be given to promoting women empowerment and gender equality, to non-discrimination, and to the inclusion of disadvantaged and marginalised groups in each action financed under this objective.

#### **4.2 Main activities**

Activities will include, among others: organising capacity assessments of CSOs umbrella organisations; facilitation of experience and knowledge sharing among CSOs umbrella organisations at multiple levels (between umbrella organisations from the EU and partner countries; among organisations from partner countries: South - South cooperation) (development of information and communication tools and materials - including social media related tools, exchanges of experience and dissemination of good practices, mentoring and/or coaching, peer-learning seminars, twinning between CSOs umbrella organisations, development and delivery of trainings); research, policy advocacy and information work, capacity building and awareness raising (e.g. on the new Post 2015 framework and its potential impact for CSO umbrella organisations, and on regional integration processes), etc.

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

### **5.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out, is 84 months from the adoption of this Action Document, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

## 5.3 Implementation modalities

### 5.3.1. Action grants: call for proposals “Reinforcing Regional, EU and Global CSO Umbrella Organisations” (direct management)

(a) Objectives of the grants, fields of intervention, priorities and expected results

The overall objective of this Action is the reinforcement of representative, membership-based and actor-based regional, EU and global non-thematic Civil Society umbrella organisations, in order to maximize the effectiveness of their work as development actors in their own right and contributors to policy-making, on development related topics at global and regional levels (including the EU).

In the Action, strategic partnerships will be considered laying out medium term cooperation policy between the Commission and specific beneficiaries.

Strategic Partnerships will take into account the following aspects:

- Mutual interest and common general objectives shared by the Commission and its partners in pursuing the European Union policy on cooperation to development;
- Actions to be defined and agreed jointly between the Commission and its strategic partners, on the basis of the mutual interests and common general objectives;
- Possible impact of actions on global challenges and citizens by contributing to better policy-making, informing decisions, sharing best practices and engaging stakeholders.

Strategic Partnerships will be established and regulated through Framework Partnership Agreement (FPA), which are structured in two levels:

- i) Framework Partnership Agreements will define the respective roles and responsibilities of the Commission and its partner in implementing the partnership.
- ii) Specific Action Grant Agreements will define the operational terms of the strategic partnership, instrumental to achieve the common political priorities and objectives between the Commission and its strategic partners.

An appropriate balance among geographic regions and types of actors will be sought.

In accordance with Art 178 of the Rules of Application (RAP)<sup>56</sup> and Art. 121 of the Financial Regulation<sup>57</sup> the signature of FPAs will mark the set of common interests and objectives of the SP according to EU policies and strategic partners’ strategy, covering the full duration of the Multiannual Financial Framework 2014-2020.

A Specific Grant Agreement for the period 2015-2017 will then be awarded to successful applicants, as legally binding contract containing clear objectives, activities, results, indicators and time-bound targets to measure the performance of the action, and sustainability.

Therefore, the indicative maximum duration of the FPAs will be from their signatures until December 2020 since the objective of FPAs is to define longer term strategic cooperation with intended beneficiaries.

<sup>56</sup>

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:362:FULL:EN:PDF#page=3>

<sup>57</sup>

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:298:0001:0096:EN:PDF>

The indicative maximum duration of grants (its implementation period) may not exceed 54 months.

(b) Eligibility conditions

**As applicant:** the eligibility of applicants is restricted to (i) representative regional and global umbrella organisations of CSOs<sup>58</sup> and (ii) CSOs<sup>59</sup> originating from:

I. EU partner countries, as follows:

- (i) developing countries that are included in the list of recipients of ODA established by the OECD/DAC, including countries and territories falling within the scope of Council Decision 2013/755/EU on the association of the overseas countries and territories with the European Union ('Overseas Association Decision'), and excluding:
  - beneficiaries listed in Annex I to Regulation (EU) No 231/2014 establishing an Instrument for Pre-accession Assistance (IPA II)<sup>60</sup>,
- (ii) countries that are signatories to the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States, of the other part, signed in Cotonou on 23 June 2000 (5), including South Africa;
- (iii) countries eligible for the European Development Fund;
- (iv) countries eligible for Union funding under the European Neighbourhood Instrument established by Regulation (EU) No 232/2014 of the European Parliament and of the Council (the 'European Neighbourhood Instrument') including the Russian Federation;

II. the EU Member States and contracting parties to the Agreement on the European Economic Area.

**Co-applicant and affiliated entities:** the eligibility of Co-applicant and affiliated entities is restricted to representative umbrella organisations of CSOs, LAs<sup>61</sup> and Associations of LAs<sup>62</sup> originating from the countries described above under applicant.

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<sup>58</sup> The term «umbrella organisation» is to be understood as a structure grouping civil society organisations, which is based on membership and representativeness at regional and international levels. Regional or global umbrella organisations with legal personality can submit applications under their own names.

<sup>59</sup> In case where umbrella organisations are informal groupings without legal personality, individual CSOs can submit applications under their own names, with the members of the umbrella organisation acting as co-applicants.

<sup>60</sup> Albania, Bosnia and Herzegovina, Iceland, Kosovo\* (\*This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence), Montenegro, Serbia, Turkey, the Former Yugoslav Republic of Macedonia.

<sup>61</sup> The term «Local Authorities» refers to public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policy-making body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. Local authorities encompass a large variety of sub-national levels and branches of government, i.e. municipalities, communities, districts, counties, provinces, regions etc.

<sup>62</sup> The term «Association of Local Authorities» is to be understood as umbrella organisation based on membership and representativeness at regional and international levels. They may be organised as autonomous entities in accordance with the legislation in force in the country of registration. Associations of Local Authorities may be composed of a representative body elected by its LA members and a permanent secretariat.

Grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

Subject to information to be published in the call for proposals, the indicative amount of the EU contribution per grant under an FPA will, in principle, fall between the following indicative amounts: a minimum of EUR 2 000 000 and a maximum of EUR 8 000 000. Grants of up to EUR 8 000 000 may be awarded under FPAs to CSO global umbrella organisations having, as members, representative continental, regional and national CSO umbrella organisations (global umbrella organisations of continental, regional and national umbrella organisations) and developing their activities at these levels of the action.

As a general rule, the maximum possible rate of EU co-financing for each grant to be funded under an FPA is 80% of the total eligible costs.

The maximum possible rate of co-financing may be up to 100 % in accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012 if full funding is essential for the action to be carried out. The essentiality of full funding will be justified by the responsible authorising officer in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call

A call for proposals pooling 2014 and 2015 budgets will be launched in the second quarter of 2015. The call will be published with the use of a suspensive clause, after prior approval of the relevant authorising officer, in order to launch the call for proposal before the adoption of the financing decision engaging 2015 budget. The pooling of both budgets in a single call will allow reaching a larger number of Civil Society regional and global umbrella organisations representing the different families of CSOs, instead of launching a new call which would serve the same objective and target the same beneficiaries. A single call will also allow for more transparency in the total budget available for the call and will ensure a fair participation of all potential applicants.

The launch of the call before the adoption of the MAAP is therefore necessary considering the late adoption of the 2014 Annual Action Programme (October 2014) due to exceptional circumstances (late adoption of the legal basis), and thus the urgency of launching the call for proposals respecting the n+1 rule. Additionally, the complexity linked to the preparation and adoption of a MAAP covering 3 years did not allow for an earlier adoption of the MAAP. Finally, publishing two similar calls during the same year would be counterproductive while adding 2015 funds to a call already published would be against the legitimate expectation of the potential applicants given the 2015 budget available is higher than the 2014 budget.



### 5.3.2. Three operating grants to the European NGO Confederation for Relief and Development CONCORD through direct awards (direct management)

(a) Objectives of the grant, fields of intervention, priorities and expected results

CONCORD action plan for 2009-2015 has the following objectives:

1. To influence the EU's policies and practices so that the European Union and its Member States enhance social justice, equality, human rights and non-discrimination throughout the world.
2. To promote the rights and responsibilities of citizens, development NGOs and, where relevant to Concord's influencing agenda, civil society as a whole to act in solidarity with those living in poverty and to influence their representatives in governments and EU institutions.

The expected results are the following:

- CONCORD will continue to be an effective interlocutor of the European Union, with values and positions which are respected by the leading development and humanitarian aid decision-makers;
- CONCORD will contribute to the capacity building of its members to make them more effective in their advocacy and political role at national and European level;
- CONCORD will develop dynamic working methods to enable national networks and platforms to work in synergy, to increase their respective value added and to build their capacity so that they can influence European policies from national level.
- CONCORD will contribute to an increased public awareness of global interdependencies between the EU and developing countries and to an increased active engagement of European citizens in attempts to eradicate global poverty, promote justice, human rights and sustainable ways of living.

(b) Justification of direct grants

Under the responsibility of the Commission's authorising officer responsible, the recourse to award of grants without a call for proposals is justified because CONCORD, which comprises national NGO platforms from 28 EU Member States, 18 major NGO networks and 2 associate members, including 1800 NGOs from all sectors that represent millions of citizens across Europe, has a **de facto monopoly**, in compliance with Article 190(1)(c) of the Rules of Application<sup>63</sup> as the key interlocutor to the Commission and other EU institutions on development policy. This de facto monopoly is based on the very wide geographical and sectorial coverage of CONCORD: indeed, CONCORD is a multi-thematic umbrella organisation which, through its working structures and groups specialized in different sectors (such as, inter alia, climate change, migrations, aid effectiveness, gender, elections...) covers a wide range of areas of development. CONCORD has reinforced its institutional legitimacy vis-à-vis the EU institutions, and its role is recognised and valued by its peers, by other civil

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<sup>63</sup> Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:362:FULL:EN:PDF#page=3>

society sectors, and increasingly among sections of the general public and media. Through its actions, working methods and its participatory approach, CONCORD proves its usefulness and added value through its contributions to the debate on development in Europe.

(d) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the Action.

(e) Maximum rate of co-financing

The maximum EU contribution to CONCORD's operating grants are EUR 900 000 per year.

(f) Indicative trimester to conclude the grant agreements

Quarter 4 of 2015

Quarter 4 of 2016

Quarter 4 of 2017

Duration of the grant: Operating grants will be of 12 months duration.

*Scope of geographical eligibility for procurement and grants*

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply in accordance with Article 9(2)(a) of Regulation (EU) No 236/2014.

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

**Indicative budget**

The total amount of EU budget contribution is EUR 36 800 000 under Budget line 21 02 08 01 "Civil Society Organisations".

The contribution is for an amount of EUR 35 000 000 from the general budget of the European Union for 2015 and

for an amount of EUR 900 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and

for an amount of EUR 900 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.

### **Organisational set-up and responsibilities**

The Action will be managed directly at European Commission Headquarters, and will be implemented through a call for proposals to award Framework Partnership Agreements (FPA) and through direct awards of operating grants, possibly in the framework of an FPA.

### **Performance monitoring and reporting**

In line with the common rules and procedures applicable to all external aid instruments, performance will be monitored and progress towards delivering expected results will be reviewed against the objectives set in Priority 2 of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be monitored in accordance with the recently strengthened monitoring and reporting systems including Annual Management Plans and External Action Management Reports.

Framework Partnership Agreements awarded under this Action will be monitored through a dedicated Monitoring and Evaluation Mechanism (MEM), in view of the innovative nature of this modality, which is implemented for the first time under the Programme.

In addition, the Action will benefit from a re-designed external review system (replacing the ROM) implemented by independent experts, which includes project reviews and support to reporting on results.

### **Evaluation**

Evaluation provisions will build on the recommendations of the final evaluation of the predecessor Programme “Non State Actors and Local Authorities in development” and on the recently strengthened evaluation policy for external aid instruments.

In line with the key requirements of accountability and learning, a multi-annual evaluation plan will be formulated at Programme level covering at least half of the budget of the Multi-Annual Indicative Programme.

Framework Partnership Agreements awarded under this Action will be evaluated through a dedicated Monitoring and Evaluation Mechanism (MEM), in view of the innovative nature of this modality which is implemented for the first time under the Programme. Other grants will be subject to external evaluations carried out by the Commission and/or the implementing partners.

Evaluations under this Action will be consolidated at the level of Priority 2 of the Programme and will feed its Mid-Term Review and Final Evaluation in line with the common rules and procedures applicable to all external aid instruments.

## **Audit**

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

The financing of the audits shall be covered by another measure constituting a financing decision.

## **Communication and visibility**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.5 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.



This action is funded by the European Union

#### **ANNEX 4**

### **OF THE COMMISSION IMPLEMENTING DECISION ON THE MULTIANNUAL ACTION PROGRAMME FOR YEARS 2015 PART II, 2016 AND 2017 FOR THE THEMATIC PROGRAMME “CIVIL SOCIETY ORGANISATIONS AND LOCAL AUTHORITIES”**

#### **LOCAL AUTHORITIES – PRIORITY 2 “STRENGTHENING LOCAL AUTHORITIES’ NETWORKS AT REGIONAL, EU AND GLOBAL LEVELS”**

#### **ACTION DOCUMENT FOR “STRENGTHENING ASSOCIATIONS OF LOCAL AUTHORITIES AT REGIONAL, EU AND GLOBAL LEVELS”**

##### **Information for Potential Grant Applicants**

##### **Work Programme for Grants**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following section concerning grants awarded directly without a call for proposals: 5.3.1.

<b>1. Title/basic act/ CRIS number</b>	Local Authorities - Strengthening Local Authorities’ Associations at regional, EU and global level  CRIS number: 2016/***_***  financed under Development Cooperation Instrument
<b>2. Zone benefiting from the action/location</b>	The action shall be carried out at the following location: EU partner countries <sup>64</sup> and EU Member States
<b>3. Programming document</b>	Multiannual Indicative Programme for the Thematic Programme “Civil Society Organisations and Local Authorities” for the period 2014-2020 – Commission Implementing Decision C(2014) 4865 final
<b>4. Sector of concentration/</b>	Decentralisation and support to subnational government

<sup>64</sup> As established in article 1.1.b of the Regulation 233/2014 of 11<sup>th</sup> March 2014: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0044:0076:EN:PDF>

<b>thematic area</b>				
<b>5. Amounts concerned</b>	<p>Total amount of EU budget contribution EUR 2 775 000</p> <p>for an amount of EUR 2 775 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget.</p> <p>This action is co-financed by potential grant beneficiaries following the co-financing percentages established in section 5.3.1.1 and 5.3.1.2</p> <p>All actions supported by this programme should not give rise to a profit.</p>			
<b>6. Aid modalities and implementation modalities</b>	<p>Project Modality</p> <p>Direct management: direct award of operating grants to United Cities and Local Governments - International Secretariat (UCLG) and Association of Local Authorities United Cities and Local Governments - Africa (UCLG-A).</p>			
<b>7. DAC code</b>	15112 - Decentralisation and support to subnational government			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and</b>	N/A			

## Summary

EU support to regional and global umbrella organisations and networks of Local Authorities has been provided during the last Multiannual Financial Framework (MFF) 2007-2013 and was object of 2 calls for proposals launched by the European Commission Headquarters. So far five projects have been supported with the aim of supporting coordination and communication of LA networks in partner countries and in the EU. A similar action was already decided by the Commission Implementing Decision C(2014) 7987 final of 28.10.2014<sup>65</sup>. Grants included in this Action Document constitute a follow-up of the decision taken under the same action decided under the AAP 2014. Considering the above this Action Document refers to recurrent actions in the sense of Art. 6.3 of the Regulation (EU) No 236/2014<sup>66</sup> of the European Parliament and of the Council (11<sup>th</sup> March 2014) laying down common rules and procedures for the implementation of the Union's instruments for financing external action.

In accordance with the Local Authorities component of the Strategy and Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”<sup>67</sup> and its Priority 2 “Reinforcing regional, EU and global networks”, support to Associations of Local Authorities at regional (including the EU) and global levels will be at the core of this Action, as instrumental actors in development processes.

The Action will support activities conceived and implemented by membership-based ALAs and aiming at enhancing capacity development of ALAs, with an effort to consequently empower and enhance capacities of their members (Local Authorities)<sup>68</sup>, as well as actors of policy-making with particular emphasis on development related topics at global and regional levels (including the EU). Moreover, the Action will look at ways to improve the coordination among Associations of Local Authorities operating at different levels (national, regional and global), to promote policy dialogue among actors of development and to facilitate the access to funding for Local Authorities and Associations of Local Authorities.

<sup>65</sup> C(2014)7987 of 28 October 2014: [http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014_en.pdf)

<sup>66</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0095:0108:EN:PDF>  
Commission Implementing Decision of 15.07.2014 C(2014) 4865 final:  
[https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO\\_LA\\_MIP\\_CSOLA\\_2014\\_2020\\_EN.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/2/2b/CSO_LA_MIP_CSOLA_2014_2020_EN.pdf)

<sup>68</sup> The term «Local Authorities» refers to public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policy-making body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. Local authorities encompass a large variety of sub-national levels and branches of government, i.e. municipalities, communities, districts, counties, provinces, regions etc.

## 1 CONTEXT

### *Thematic area*

In accordance with the Communication on Local Authorities [COM(2013) 280 final]<sup>69</sup>, the overall objective of the Action is to contribute to the empowerment of Associations of Local Authorities (ALA) at regional (including the EU) and global levels, to enable them to play their role in favour of enhanced governance and more effective development outcomes at the local level.

The initiatives to be financed shall be initiated and directly implemented by regional and global Associations of Local Authorities.

### **1.1.1 Public Policy Assessment and EU Policy Framework**

The EU has significantly strengthened its policy and engagement with Local Authorities over the last decade. In May 2013, the Commission adopted the Communication “Empowering Local Authorities in partner countries for enhanced governance and more effective development outcomes”<sup>70</sup>.

On the basis of the subsidiarity principle,<sup>71</sup> as the public administration closest to citizens, LAs hold special institutional responsibilities in enhancing citizens’ participation in decision-making, with the objectives of good governance and sustainable development at local level.

The Communication recognises Associations of Local Authorities (ALAs) as instrumental in achieving good governance and development outcomes at local level, particularly in linking local concerns and priorities to regional and international debates.

In July 2013, in its Conclusions, the Council of the European Union (12459/13) welcomed the Commission’s proposal of working at sub-national, national, regional and international level with Associations of Local Authorities, which can act as important channels for the views and opinions of their members on local and national political and socio-economic issues.<sup>72</sup>

In October 2013, through its Opinion on the Communication on Local Authorities (CIVEX-V-041),<sup>73</sup> the Committee of the Regions (CoR) endorsed the Commission’s approach, concerning the support to ALAs. Furthermore, the CoR invited the Commission to provide ALAs with substantial long-term support through direct funding to fulfil their roles to their full potential.

On 22 October 2013, the European Parliament adopted the Resolution on “Local Authorities and Civil Society: Europe’s engagement in support of sustainable development” (2012/2288(INI)),<sup>74</sup> which conveys positive appreciation for the above-mentioned

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<sup>69</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2013:0280:FIN:EN:PDF>

<sup>70</sup> See COM(2013) 280 final [http://ec.europa.eu/europeaid/what/civil-society/documents/com\\_2013\\_280\\_local\\_authorities\\_in\\_partner\\_countries\\_en.pdf](http://ec.europa.eu/europeaid/what/civil-society/documents/com_2013_280_local_authorities_in_partner_countries_en.pdf); Council Conclusions (2013), [http://www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/EN/foraff/138243.pdf](http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/138243.pdf).

<sup>71</sup> The principle of subsidiarity entails that public responsibilities, regulatory functions and spending are transferred to the lowest institutional or social level, that is able and entrusted to complete them.

<sup>72</sup> The Council Conclusions are available at [www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/EN/foraff/138243.pdf](http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/138243.pdf)

<sup>73</sup> The Opinion is available at: <http://cor.europa.eu/Lists/Opinions/DispForm.aspx?ID=193>.

<sup>74</sup> The Resolution can be found on: <http://www.europarl.europa.eu/sides/getDoc.do?pubRef=-//EP//TEXT+TA+P7-TA-2013-0432+0+DOC+XML+V0//EN>



Communication on the EU partnerships with Local Authorities. The Resolution further calls the Commission to engage in more strategic partnerships with national, regional and international Associations of LAs.

Above-mentioned EU policy documents recognise that Associations of Local Authorities are in a unique position to link local concerns and priorities to national, regional and international debates, gaining prominence in the formulation and implementation of policies and agreements connected to the national and international development agenda. This policy priority has been integrated in the Local Authorities component of the MIP of the Thematic Programme “CSO-LA”<sup>75</sup>, under its Priority 2 seeking to enhance regional (including the EU) and global Associations of Local Authorities' contributions to governance and development processes.

### ***1.1.2 Stakeholder analysis***

Under this Action, the targeted stakeholders will be global and regional Associations of Local Authorities (ALAs) operating in partner countries and at the EU level.

«Associations of Local Authorities» is to be considered as umbrella organisations based on membership and representativeness at national level. ALAs should be organised as autonomous entities in accordance with the legislation in force in the country of registration. National Associations of Local Authorities may be composed of a representative body elected by its LA members and a permanent secretariat.

The final beneficiaries are EU partner countries populations that will benefit from more efficient and empowered LAs and will be better informed about policies and programmes, especially related to the implementation of the Post-2015 Development Agenda as well as to regional processes of integration, and will have a greater say in their definition and implementation.

This Action will be implemented by the Commission Headquarters in coordination with EU Delegations. Action priorities have been chosen through dialogue and in consultation with ALAs.

### ***1.1.3 Priority areas for support/problem analysis***

Despite the increasing recognition of Associations of LAs as actors of development, ALAs still face significant constraints to their effective contribution to good governance and inclusive development as well as to provide their members with adequate services. This is among other related to the lack of an adequate level of institutional and organisational capacities as well as human and financial resources.

The Action will focus on ALAs' main functions, which include: (i) advocacy of members' interests in national policy dialogues with central governments and other national stakeholders as well as in regional and international fora; (ii) lobby for decentralisation policies leading to more autonomous and empowered Local Authorities; (iii) coordination and platform for discussion among members; (iv) experience and knowledge sharing with the view to enhance Local Authorities' capacities; (v) quality supervision of Local Authorities performance in matters of local policy-making processes and service delivery; (vi) promotion and coordination of participative local development plans.

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<sup>75</sup>

Ibid 2

In order to do so, the Commission will go beyond project approach and move towards a programme approach. This will imply the establishment of strategic partnerships between the Commission and certain Associations of Local Authorities, on the basis of the mutual interest and common general objectives shared by the Commission and the Associations in pursuing an European Union policy as defined by Communication on Local Authorities [COM(2013) 280 final] and related Council Conclusions (12459/13)<sup>76</sup>.

From a political point of view, partnerships are designed to forge privileged relations with a limited number of potential beneficiaries, offering a more stable and regular arrangement in the interests of group work and higher technical standards.

## 2 RISKS AND ASSUMPTIONS

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Legal, administrative and technical prerogatives of regional and global ALAs are maintained, as well as the environment is enabling to work with LAs.	L	The Commission Headquarter will be able to tailor interventions on the basis of ALAs' assessed needs and capacities as well as in complementarity with the other components of the Thematic Programme "CSO-LA".
Objectives between the European Commission and the regional and global ALAs are commonly defined on the basis of the Communications "Empowering Local Authorities in partner countries for enhanced governance and more effective development outcomes" and respective ALAs' strategies.	L	EC Headquarter will be able to tailor interventions on the basis of ALAs' assessed needs and capacities as well as in complementarity with the other components of the Thematic Programme "CSO-LA".
<b>Assumptions</b>		
ALAs show political commitment to good governance and sustainable development at the local level, as well as ensure continuity in the implementation of their activities, reinforcing their effectiveness and impact.		

## 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

### 3.1 *Lessons learnt*

The predecessor of this Action was Objective 3 of the Local Authorities component of the Programme "Non-State Actors and Local Authorities in Development" (2007-2013), which

<sup>76</sup>

Ibid 5

aimed at: “achieving more efficient cooperation, foster synergies and facilitate a structured dialogue between LA' networks, within their organisations and with EU institutions”.

Under the above-mentioned Objective 3, since 2008, the Commission has supported, the European Platform of Local and Regional Authorities in Development (PLATFORMA), to build up its representativeness, structure in advocating for a bigger role of LAs in the EU's Development policy and programmes, as well as providing its members with services.

This Action will incorporate lessons and best practices learnt from the implementation of various support schemes, and evaluations and assessments on LAs involvement in the EU development cooperation (for instance the Structured Dialogue), as follows:

- × Frame support to service delivery to build sustainable systems avoiding the creation of parallel structures, hampering or overlapping with public services, according to country contexts.
- × Along the same line, avoid fragmentation and duplication through coordination and dialogue.
- × Better define the scope of support programmes in order to be more strategic and improve impact of actions.

In addition, a final evaluation of the previous Thematic Programme NSA-LA was carried out in 2013<sup>77</sup>. The evaluation praised the fact that support to multi-country projects and multi-actor partnerships was gradually re-oriented towards strategic strengthening of existing and representative NSAs and LAs networks at regional and global level. This approach has successfully contributed to the regional and continental structuring of these actors and to the enhancement of their capacities to engage on international issues with the European Commission and other development partners.

Nevertheless, in its recommendations, the final evaluation encourages the European Commission to move towards a programme approach, in order to contribute to a coherent set of development actions at thematic level as well as to further empower Associations of Local Authorities. Indeed, the programme approach will allow for: (i) leadership by the beneficiary actors; (ii) a single, comprehensive programme and budget framework; (iii) simplified procedures for reporting; (iv) use of beneficiary own planning and reporting documents (multi-annual strategy, annual work plan, accounting, involvement of executive boards, etc.).

### *3.2 Complementarity, synergy and donor coordination*

Under the Priority 2 of the MIP of the Thematic Programme “CSO-LA”, the Action will act in complementarity with the Priority 1 (In-country operations) and Priority 3 (DEAR) of the same programme, the other EU Programmes and Instruments benefitting Civil Society and/or Local Authorities, namely the European Instruments for Democracy and Human Rights, the Thematic Programme on Global Public Goods and Challenges, the Instrument contributing to Stability and Peace, the Partnership Instrument, the European Neighbourhood Instrument, the Pan African Programme, the European Development Fund and projects supported by the bilateral or regional cooperation, complementing on-going decentralisation processes and relevant for capacity development of LAs and ALAs in partner countries.

Support to and participation of LAs in pursuit of internationally agreed goals and development effectiveness is acknowledged as a core EU policy orientation. LAs are essential

<sup>77</sup>

[https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy\\_forum](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy_forum)

in building the foundations for broad-based democratic ownership of development policies and processes as well as for inclusive and sustainable growth. Their role as development actors in their own right has been progressively recognised by the international community and confirmed within the Busan Partnership for Effective Development Cooperation (2011).<sup>78</sup> The Busan Outcome Document recognised the shift from mutual accountability (international donors - central governments) to multi-actor and multi-level accountability, confirming in that way the importance of LAs, emphasising the critical role they play in "linking citizens with government and in ensuring broad-based and democratic ownership of countries' development agendas".

The Commission Headquarters will coordinate the implementation of the Action with EU Member States, other development partners, and with EU Delegations in partner countries where relevant.

Particular attention will be paid to the coordination with Global Taskforce (GTF) of Local and Regional Governments for Post-2015 Development Agenda towards HABITAT III. The GTF gathers Local Authorities leaders and their Associations, in order to build a joint strategy to contribute to the international policy-making debates and implementation within the framework of the Aid Effective Agenda, Post-2015 Development Agenda, Rio+20 follow-up and towards HABITAT III.

### **3.3 Cross-cutting issues**

Throughout the programme, cross-cutting issues as defined by the European Consensus shall be mainstreamed, as envisaged in the DCI Regulation Article 3.3. Actions must respect principles of non-discrimination (on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation), human rights, the rule of law, good governance and women's empowerment, as well as include cross cutting issues such as rights of minorities, of children and older people, rights of persons with disabilities and life-threatening diseases and rights of other vulnerable groups, core labour rights and social inclusion, environment and climate change and fight against HIV/AIDS and overall adopt a Right Based Approach according to the local situation. In addition, conflict prevention, promotion of dialogue, participation and reconciliation, as well as institution building shall be mainstreamed, where relevant. These crosscutting issues may also be the main target of a given action.

In particular, the Action will ensure that women are represented within Local Authorities and their Associations, as well as taking part in decision-making processes happening at local, national, continental and international levels, in order that gender issues and women's rights are duly considered and integrated in policies and programmes. Support to capacity development of LAs and ALAs will pay attention that politicians and civil servants' gender competences are enhanced.

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<sup>78</sup> See Art. 1, 8, 14, 16, 21, 22, 29; Busan Outcome Document, 4<sup>th</sup> High Level Forum on Aid Effectiveness, December 2011; [http://www.aideffectiveness.org/busanhlf4/images/stories/hlf4/OUTCOME\\_DOCUMENT\\_-\\_FINAL\\_EN.pdf](http://www.aideffectiveness.org/busanhlf4/images/stories/hlf4/OUTCOME_DOCUMENT_-_FINAL_EN.pdf)

## 4 DESCRIPTION OF THE ACTION

### 4.1 Objectives/results

Under this Action, the **specific objective** is to strengthen the structure and capacities of regional and global Associations of LAs, in order to reach a legitimate and effective coordination role, to provide their members with adequate services as well as to concretely represent the needs of local communities in institutional dialogues.

The **expected results** under this specific priority include:

- Strengthened structures of Associations of LAs at national, regional and global levels;
- Enhanced capacity of Associations of LAs to influence the interests and practices of regional and international mechanisms, contributing therefore to regional and global policy-making and policy implementation processes, including at the EU level;
- Enhanced capacity for LA members at the national level;
- Significant impact of ALAs on the regional and global policy-making processes.

Expected results will be monitored through a combination of indicators such as:

- The number of Associations of Local Authorities supported, both at regional and international levels;
- Number of LAs (members of the above networks/Associations of LAs) directly or indirectly benefitting from support programmes;
- Number of Associations of Local Authorities trained in specific-expertise development
- Number of Associations of Local Authorities drafting policy recommendations and also participating in negotiations;
- Number of Associations of Local Authorities delivering services and support to their members.

The Thematic Programme through its support to CSOs and LAs aims at contributing to the fight against injustice and inequality, including under a gender perspective. Therefore, due consideration should be given to promoting women empowerment and gender equality, to non-discrimination, and to the inclusion of disadvantaged and marginalised groups in each action financed under this objective.

### 4.2 Main activities

The Action will support activities that primarily focus on:

- Supporting initiatives of regional and/or global ALAs to jointly act as strategic partners for key policy makers, through contributions to (i) the formulation of policies/policy-making processes; (ii) the implementation of policies and agreements on topics particularly related to development as well as to regional process of integration and (iii) monitoring policies and agreements implementation.
- Strengthening capacities and representativeness of Associations of LAs to effectively link local realities and communities to regional and global debates;

- Improving the institutional and operational capacities of ALAs to ensure the execution of their functions vis-à-vis their members and facilitating the role that ALAs play in raising awareness about decentralisation reform, local and urban development as well as in shaping the international/regional development agenda with a focus on the interests of local communities;
- Facilitating experience and knowledge sharing within and among ALAs, particularly with the view to enhance their members' capacities.

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

### **5.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4.12 will be carried out is 43 months from the adoption of this Action Document, subject to modifications to be agreed by the responsible authorising officer in the relevant agreements.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### **5.3 Implementation modalities**

#### **5.3.1 Operating grants: direct award to two Associations of Local Authorities (direct management)**

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

In 2014, the European Commission and regional and global Associations of Local Authorities established long term strategic partnerships through the signature of five Framework Partnership Agreements. The FPAs were also accompanied by grants, three of which were action grants, and two operating grants.

The main objective of this Action then is the continuation of this engagement to contribute to the implementation of the EU policy on the empowerment of local actors.

The support contributes to the effectiveness of their work as development actors in their own rights and to the empowerment of ALAs to be able to exercise their main functions (refer to 3.1 above), and to voice the needs of local communities in regional and international

dialogues mainly related to regional integration processes and international development agenda/commitments.

The specific objective of the two operating grants will be strengthening of the structure of one (1) regional and one (1) global Associations of Local Authorities<sup>79</sup> and their institutional and organisational capacities.

One operating grants for the year 2017 will be awarded to the international Association of Local Authorities United Cities and Local Governments - International Secretariat (UCLG)<sup>80</sup>.

One operating grant for the year 2017 will be awarded to the regional Association of Local Authorities United Cities and Local Governments - Africa (UCLG-A),.

In 2014, the European Commission established Strategic Partnerships through Framework Partnership Agreement (FPA) with both Associations UCLG and UCLG-Africa to allow for long-term strategic relations . Both are are structured in two levels:

i) Framework Partnership Agreements, to define the respective roles and responsibilities of the Commission and its partner in implementing the partnership.

ii) pecific Grant Agreement, as part of an approved annual work programme (operating grant), to define the operational terms of the strategic partnership, instrumental to achieve the common political priorities and objectives between the Commission and its strategic partners.

Strategic Partnerships have taken into account the following aspects:

- Mutual interest and common general objectives shared by the Commission and its partners in pursuing the European Union policies on cooperation to development and the role of Local Authorities and Associations of Local Authorities;
- Actions to be defined and agreed jointly between the Commission and its strategic partners, on the basis of the mutual interest and common general objectives;
- Possible impact of actions on global challenges and citizens by contributing to better policy-making, informing decisions, sharing best practices and engaging stakeholders.

In accordance with Art. 121 of the EU Financial Regulation and Art. 178 of Rules of Application, FPA signed with each Association set the common interests and objectives of the strategic partnership covering the duration of the Multiannual Financial Framework 2014-2020 according to EU policies and strategic partners' strategy.

A Specific Grant Agreement for the period 2014-2017 will be directly awarded to each of the strategic partners with *de jure* and *de facto* monopoly, as legally binding contract containing clear objectives, activities, results, indicators and time-bound targets to measure the performance of the action, and sustainability.

FPA established that the indicative amounts of EU funding for each of the above-mentioned Associations are the following:

- UCLG: EUR 4 350 000 (2014-2017);
- UCLG-A: EUR 6 900 000 (2014-2017).

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<sup>79</sup> See note 2 above.

<sup>80</sup> Support will also target three regional Associations of Local Authorities, operating respectively in Middle East/West Asia, Eurasia and the Asia-Pacific

This corresponds to a **total amount of EUR 11 250 000 for the period 2014-2017**, equal to three annual operating grants, covering the Associations' annual operating budget during financial years 2015, 2016, 2017.

Operating grants for the two Associations' financial years for 2015 (EUR 5 700 00) and 2016 (EUR 2 775 000) were adopted through the financial decision under the AAP 2014.

Therefore, under this Action, contracts for the operating grants for the two Associations should be signed for a duration of one year each and a **total EU contribution of EUR 2 775 000**, contributing to Associations' annual operating budget for the financial year 2017.

(b) Justification of a direct grant

Under the responsibility of the authorising officer by delegation, the recourse to an award of a grant without a call for proposals is justified because beneficiaries are in a legal and factual monopoly situation, in compliance with Article 190(1)(c) of the Rules of Application (RAP)<sup>81</sup>

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the Associations. Additionally, in selecting Strategic Partners the representativeness of the Associations, the solidity of their governance structures and their multi-annual strategies are taken into account.

The essential award criteria are the relevance of ALAs' proposed initiatives to the priorities of European Union policy as defined by the Communication on Local Authorities [COM(2013) 280 final] and related Council Conclusions (12459/13) as well as to the objectives of the Programme "CSO-LA"; the design, effectiveness, feasibility, sustainability and cost-effectiveness of the proposed initiatives.

(d) Maximum rate of EU funding

Under the operating grants (one grant per Associations' financial year 2015, 2016, 2017) to be awarded to UCLG and UCLG-Africa, because of the decision to maintain digressivity of EU support, the rate of EU funding will respectively represent approximately a maximum in between 35% and 18% and a maximum in-between 65% and 33% of the yearly operating account of each Association.

(e) Indicative trimester to contact the potential direct grant beneficiary

As from the third quarter of 2016.

Duration of the grant: Operating grants will be of 12 months duration.

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<sup>81</sup> Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:362:FULL:EN:PDF#page=3>



#### **5.4 Scope of geographical eligibility for procurement and grants**

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

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

#### **5.5 Indicative budget**

The total amount of EU budget contribution is EUR 2 775 000 under Budget line 21 02 08 02 "Local Authorities" for an amount of EUR 2 775 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget.

#### **5.6 Organisational set-up and responsibilities**

Framework Partnership Agreements and the related grants will be managed by the Commission Headquarters.

#### **5.7 Performance monitoring and reporting**

In line with the common rules and procedures applicable to all external aid instruments, performance will be monitored and progress towards delivering expected results will be reviewed against the objectives set in Priority 2 of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be monitored in accordance with the recently strengthened monitoring and reporting systems including Annual Management Plans and External Action Management Reports.

Framework Partnership Agreements awarded under this Action will be monitored through a dedicated Monitoring and Evaluation Mechanism (MEM), in view of the innovative nature of this modality, which is implemented for the first time under the Programme.

In addition, the Action will benefit from a re-designed external review system (replacing the ROM) implemented by independent experts, which includes project reviews and support to reporting on results.

#### **5.8 Evaluation**

Evaluation provisions will build on the recommendations of the final evaluation of the predecessor Programme "Non State Actors and Local Authorities in development" and on the recently strengthened evaluation policy for external aid instruments.

In line with the key requirements of accountability and learning, a multi-annual evaluation plan will be formulated at Programme level covering at least half of the budget of the Multi-Annual Indicative Programme.

Framework Partnership Agreements awarded under this Action will be evaluated through a dedicated Monitoring and Evaluation Mechanism (MEM), in view of the innovative nature of this modality which is implemented for the first time under the Programme. Other grants will be subject to external evaluations carried out by the Commission and/or the implementing partners.

Evaluations under this Action will be consolidated at the level of Priority 2 of the Programme and will feed its Mid-Term Review and Final Evaluation in line with the common rules and procedures applicable to all external aid instruments.

## **5.9 Audit**

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

The financing of the audits shall be covered by another measure constituting a financing decision.

## **5.10 Communication and visibility**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.5 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.



This action is funded by the European Union

## **ANNEX 5**

### **OF THE COMMISSION IMPLEMENTING DECISION ON THE MULTIANNUAL ACTION PROGRAMME FOR YEARS 2015 PART II, 2016 AND 2017 FOR THE THEMATIC PROGRAMME “CIVIL SOCIETY ORGANISATIONS AND LOCAL AUTHORITIES”**

#### **ACTION DOCUMENT FOR PRIORITY 3: CIVIL SOCIETY ORGANISATIONS — DEVELOP AND SUPPORT EDUCATION AND AWARENESS RAISING INITIATIVES FOSTERING CITIZENS’ AWARENESS OF AND MOBILISATION FOR DEVELOPMENT ISSUES**

##### **Information for Potential Grant Applicants**

##### **Work Programme for Grants**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following sections concerning calls for proposals: 5.3.1 “Grants – call for proposals (direct management)”; and in the following sections concerning grants awarded directly without a call for proposals: 5.3.2, 5.3.3, and 5.3.4.

<b>1. Title/basic act/ CRIS number</b>	Development Education and Awareness Raising initiatives fostering citizens’ awareness of and mobilisation for development issues - Civil Society Organisations  CRIS number: 2015/038-049financed under Development Cooperation Instrument
<b>2. Zone benefiting from the action/location</b>	The action shall be carried out at the following location: In principle, actions must take place in EU Member States but a minor portion of the action may be carried out in candidate and potential candidate countries, as well as in EU partner countries.
<b>3. Programming document</b>	Multiannual Indicative Programme for the Thematic Programme “Civil Society Organisations and Local Authorities” for the period 2014-2020 – Commission Implementing Decision C(2014) 4865 final
<b>4. Sector of concentration/</b>	Promotion of development awareness

<b>thematic area</b>				
<b>5. Amounts concerned</b>	<p>Total amount of EU budget contribution EUR 80 300 000</p> <p>The contribution is for an amount of EUR 250 000 from the general budget of the European Union for 2015 and</p> <p>for an amount of EUR 26 600 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and</p> <p>for an amount of EUR 53 450 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.</p> <p>This action is co-financed by potential grant beneficiaries following the co-financing percentages established in sections 5.3.1.1 to 5.3.1.4</p> <p>All actions supported by this programme should not give rise to a profit.</p>			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	<p>Project Modality</p> <p>Direct management: grants – call for proposals; grants – direct award;</p>			
<b>7. DAC code(s)</b>	99820 - Promotion of development awareness			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagship</b>	N/A			

### Summary

EU support to Development Education and Awareness Raising (DEAR) activities promoted by EU Civil Society Organisations (CSOs) has been developed during the last Multiannual Financial Framework (MFF) 2007-2013 and has been the object of 5 calls for proposals during that period. Between 2007 and 2013 more than 200 projects were supported through grant agreements. A similar action was decided by the Commission Implementing Decision C(2014) 7987 final of 28.10.2014<sup>82</sup>. The next DEAR call for proposals is foreseen for 2016 and will pool funds from 2016 and 2017.

Furthermore, since 2005 the EU has regularly provided support to National NGO platforms in the EU Member State holding the Presidency of the Council of the European Union. During the last MFF 2007-2013, 14 such Presidency projects were awarded. Support to Presidency projects will continue during the period covered by this Action Document.

While respecting the competence of the Member States for the content of teaching (in conformity with Article 165 TFEU), EU has also been supporting the work of Global Education Network Europe (GENE) in strengthening cooperation and learning on DEAR at the level of Member States. A direct grant for this organisation was awarded by the Commission Implementing Decision C(2014) 7987 final of 28.10.2014. The current Action Document foresees a continuation of this support through another direct award.

Finally, the EU has been working closely on Global Education and intercultural dialogue with the European Center for Global Interdependence and Solidarity (North-South Center of the Council of Europe) since 2008 through two consecutive Contribution Agreement agreements. A third Action, with similar activities and objectives, will be supported under the present Action Document.

Considering the above, this Action Document refers to recurrent actions in the sense of Art. 6 of the Common implementing rules.

The Development Education and Awareness Raising (DEAR) Action aims to develop European citizens' awareness and critical understanding of the interdependent world, of roles and responsibilities in relation to development issues in a globalised society; and to support their active engagement with global attempts to eradicate poverty and promote justice, human rights and democracy, social responsibility, gender equality and sustainable development strategies in partner countries, based on initiatives designed and led by CSOs.

This Action forms one of the pillars of the Policy Coherence for Development (PCD) by educating and engaging the public on development issues, as well as raising awareness, on how EU Member State and EU policies can have an impact on development outcomes in partner countries.

<sup>82</sup>

[http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014_en.pdf)

## 1 CONTEXT

### 1.1 Thematic area

This Action Document refers to the Civil Society Organisations<sup>83</sup> component of Priority 3 under the Strategy and Multi-Annual Indicative Programme 2014-2017 for the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”.<sup>84</sup> Priority 3 is dedicated to developing and supporting Education and Awareness Raising initiatives fostering citizens’ awareness of and mobilisation for development issues.

The Development Education and Awareness Raising (DEAR) Action aims to anchor awareness and understanding of global development in our societies, highlighting the responsibilities of all individuals, civil society organisations, local authorities, governments and other development actors in the North and South, to contribute to development.

More than half of Official Development Aid (EUR 56.5 billion in 2013) is provided by the EU and its Member States. Even though in 2013 83% of Europeans still thought it was important to mobilise resources to assist population in developing countries, only 52% thought that as an individual they could play a role in tackling poverty in developing countries. In 2013, only 6% of respondents had heard of or read about the Millennium Development Goals (MDGs) and knew what they were.<sup>85</sup> Perceptions of development assistance are influenced by a multitude of factors, including the economic and financial crisis in Europe. In addition, the development cooperation landscape, particularly the emergence of new actors in the international arena, is contributing to an evolution in North-South relations, which should be understood by European citizens.

European CSOs are well placed to highlight development challenges as well as the impact of policies and behaviours in Europe on development elsewhere. CSOs often have a vast experience in fostering the European public’s understanding and recognition of the significance of development decisions and actions for people globally, and have usually established strong relations with relevant actors as well as citizens. Many also work directly on development issues in partner countries. These actors have historically been at the origin of DEAR activities in EU Member States, and remain important contributors to the evolution of DEAR policy and practice in Europe.

#### 1.1.1 Public Policy Assessment and EU Policy Framework

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<sup>83</sup> The term “**Civil Society Organisation**” (CSO) refers to all types of non-State, not-for profit structures, non-partisan and non-violent, through which people organised to pursue shared objectives and ideals, such as: non-governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders’ associations and citizens’ groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, organisations from developing countries (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women’s and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non-governmental associations and independent foundations, including independent political foundations. [Reference: COM(2012) 492 final, 12.09.2012].

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:EN:PDF>

<sup>84</sup> Commission Implementing Decision of 15.07.2014 C(2014) 4865 final.

<sup>85</sup> [http://ec.europa.eu/public\\_opinion/archives/ebs/ebs\\_405\\_en.pdf](http://ec.europa.eu/public_opinion/archives/ebs/ebs_405_en.pdf)

The EU has a long-standing experience in the support of DEAR implemented by European Civil Society Organisations (CSOs) and Local Authorities (LAs). DEAR calls for proposals can be considered a recurrent action.

Since 2005, the EU has launched a total of 7 Development Education and Awareness Raising calls open to CSOs.

On the basis of the 2012 DEAR Staff Working Document (SWD)<sup>86</sup>, a more strategic promotion of European partnerships and perspectives involving civil society and local authorities across the EU has been developed.

This approach was reflected in the DEAR Call for Proposals (EuropeAid/134863/C/ACT/Multi) launched in 2013, which supported ambitious large-scale projects seeking to achieve impact at European level, thematically linked to current global debates on development, including a specific focus on the European Year of Development 2015 (EYD2015). As a result of the 2013 Call for Proposals, approximately 16 large –scale Pan-European projects proposed by CSOs, for a total amount of EUR 54 500 000, have been selected for co-financing.

### *1.1.2 Stakeholder analysis*

The ultimate beneficiaries of the actions identified through this Action Document are the European citizens. Indeed the Action aims to develop ordinary citizens' **awareness and critical understanding** of global development challenges as well as support their active engagement to fight poverty and inequalities, promote human rights and democracy, in a context of sustainable development.

There is a diverse array of actors active in DEAR and working very closely with citizens as to increase their understanding and mobilise their active engagement. Civil society organisations are very often at the origin of DEAR activities. NGOs and academic institutions are most frequently involved in DEAR and traditionally, faith organisations and a number of trade unions have also given attention to global development issues. There are CSO national DEAR platforms at Member State and European levels and local authorities are increasingly important actors in DEAR. Hence, key stakeholders and direct beneficiaries in this intervention include CSOs and associations of CSOs, Local authorities and Associations of Local Authorities, from EU Member States, as well as from partner countries and beyond, Member States' Ministries and Agencies.

Dialogue with these different stakeholders takes place in various forms from continuous informal engagement to existing coordination arrangements at project level and more structured mechanisms of multi-stakeholder dialogue. Some of the projects funded under this Action Document will also contribute directly to this dialogue.

### *1.1.3 Priority areas for support/problem analysis*

The EU DEAR Action forms one of the pillars of the Policy Coherence for Development (PCD)<sup>87</sup> by educating and engaging the public on development issues, as well as raising awareness, on how EU Member State and EU policies can have an impact on development outcomes in partner countries.

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<sup>86</sup>

[http://ec.europa.eu/europeaid/how/finance/dci/documents/swd\\_2012\\_457\\_dear\\_en.pdf](http://ec.europa.eu/europeaid/how/finance/dci/documents/swd_2012_457_dear_en.pdf)

<sup>87</sup>

[https://ec.europa.eu/europeaid/policies/policy-coherence-development\\_en](https://ec.europa.eu/europeaid/policies/policy-coherence-development_en)

EU DEAR projects aim to contribute to greater policy coherence for development by addressing PCD issues and supporting citizens' active engagement with global efforts for sustainable development in partner countries, while also contributing to the enhancement of citizens' understanding of the interdependent world, and of their roles and responsibilities towards development issues in a globalised society. These objectives were highlighted in the Staff Working Document on DEAR in Europe published in 2012.

By supporting pan-European development education and awareness raising initiatives, as well as encouraging cooperation and the exchange of best practices across the EU, EU-funded DEAR programmes and projects provide added value to the work of EU Member States' national authorities that are responsible, at the national level, for funding, coordination and policy-making in the field of development and development education. The EU DEAR Action fully respects the competence of the Member States for the content of teaching (in conformity with Article 165 TFEU),

This action will support activities conceived to **develop European citizens' awareness and critical understanding** of the interdependent world and of their role, responsibility and lifestyles in relation to a globalised society. It will also aim at supporting their active engagement in global attempts to eradicate poverty, and promote justice, human rights, and sustainable ways of living, through actions led by the CSOs, associations of CSOs and other DEAR actors.

## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
The main risk for all components of this Action is the current economic crisis in Europe and its potential financial repercussions on the EU funded projects. If, for instance, some sources of co-financing reduced or withdrew their co-financing contribution, the overall available budget would in turn be reduced with potential impact on some project activities.	L	The main risk is considered low. The fact that some of the organisations or institutions co-financing projects may reduce their contribution or withdraw from the project during the course of the action should not have a significant impact on project activities as projects are now managed by bigger partnerships which can ensure financial adjustments.
DEAR projects implemented in the EU are sometimes perceived as disturbing as dissonant to the politically correct messages.	L	European Commission's support to civil society is not conditional upon beneficiaries' support for EU policies. This said, continued dialogue between DEVCO and DEAR project holders can help to deal with political sensitivities arising from specific projects.
Protracted discussion with internal and external stakeholders on the	L	Early on consultations as to ensure better understanding and buy in of working



cost/benefit of different working modalities.		modalities since the very inception of the programs.
EU geographical coverage not ensured	L	Support to actions covering different Member States. The actions seek a Pan European approach.
EU DEAR programme will duplicate activities implemented by EU Member States	L	Greater focus of EU DEAR programs on Pan-European actions in line with the principle of subsidiarity. Strengthened coordination with EU Member States through regular consultations and enhanced dialogue.
<b>Assumptions</b>		
For all components of this programme, the main assumption is that both, CSO partners and EU Member States continue to implement their actions to ensure continuity and reinforce their effectiveness and impact.		

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### 3.1 Lessons learnt

This Action incorporates lessons learnt and best practices from the mid-term review<sup>88</sup>, the final evaluation<sup>89</sup> of the previous Thematic Programme (2007-2013) carried out in 2013, as well as from the DEAR Study<sup>90</sup> finalized in 2010, and from the Staff Working Document on DEAR in Europe published in 2012<sup>91</sup>.

According to the final evaluation of the previous Thematic Programme (2007-2013), the EU DEAR Action, with more than 300 projects, has contributed to enhancing dialogue at EU Member State level, with increasing attention for development issues, particularly in newer Member States. Exchanges of best practices have contributed to innovation and quality improvements.

The Commission is also engaged in a process of capitalisation, capacity building and networking to ensure that lessons learnt are identified; capacity building supports project partners with content and process support; and networking contributes to the development of mutually beneficial partnerships across Europe.

This Action also builds on the practical applications of the findings of the final evaluation and the DEAR Staff Working Document by i) supporting the development of DEAR programmes and projects which have a pan-European dimension ii) supporting the exchange of policies,

<sup>88</sup> [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/5/5e/NSA\\_LA\\_programme\\_mid\\_term\\_review\\_2007-2013.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/5/5e/NSA_LA_programme_mid_term_review_2007-2013.pdf)

<sup>89</sup> [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy\\_forum](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy_forum)

<sup>90</sup> “Study on the experience and actions of the main European actors active in the field of development education and awareness raising” (2010) [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR\\_Final\\_report](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR_Final_report)

<sup>91</sup> “Commission Staff Working Document on Development Education and Awareness Raising (DEAR) in Europe (2012) [https://ec.europa.eu/europeaid/sites/devco/files/working-document-development-education-awareness-raising-programme-swd2012457-20121220\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/working-document-development-education-awareness-raising-programme-swd2012457-20121220_en.pdf)

experience and practices between all DEAR stakeholders, including between EU Member States and strengthening coordination between EU Member States' and European Commission DEAR actions.

### **3.2 Complementarity, synergy and donor coordination**

The 2012 Staff Working Document on DEAR in Europe drew the conclusion that *“the added value of EU support to DEAR initiatives is strongest where the Commission made greatest use of its European perspective, its link to all EU Member States, and where it can build upon its experience and competences in Development Cooperation.”*

There is a diverse array of stakeholders active in DEAR in Europe. The EU will ensure its DEAR interventions provide clear added value to the work already carried out by other actors by i) concentrating on interventions on a pan-European level seeking to produce results on a European scale, ii) through interventions involving coordination and coherence with relevant EU Member States, and, iii) where possible, by seeking synergies with country-level actions in EU Member States.

The efficiency of diverse DEAR stakeholders across Europe is often dependant on an enabling institutional environment which is within the EU Member States' national responsibility. The EU will continue to target its interventions across the broad spectrum of CSO DEAR actors at different levels, while also focus on supporting an enhanced working relationship with EU Member States' Ministries and Agencies dealing with DEAR to allow for better coordination, exchange of experiences and best practices, contributing to an increased effectiveness of the EU DEAR activities.

### **3.4 Cross-cutting issues**

Throughout the programme, cross-cutting issues as defined by the European Consensus shall be mainstreamed, as envisaged in the DCI Regulation Article 3.3. Actions must respect principles of non-discrimination (on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation), human rights, the rule of law, good governance and women's empowerment, as well as include cross cutting issues such as rights of minorities, of children and older people, rights of persons with disabilities and life-threatening diseases and rights of other vulnerable groups, core labour rights and social inclusion, environment and climate change and fight against HIV/AIDS and overall adopt a Right Based Approach according to the local situation. In addition, conflict prevention, promotion of dialogue, participation and reconciliation, as well as institution building shall be mainstreamed, where relevant. These crosscutting issues may also be the main target of a given action.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The specific objective of this action will be to **develop European citizens' awareness and critical understanding** of the interdependent world, of roles and responsibilities in relation to development issues in a globalised society; and to support their active engagement with global

attempts to eradicate poverty and discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation, and promote justice, human rights and democracy, social responsibility, gender equality and sustainable development strategies in partner countries, based on initiatives designed and led by CSOs.

This action will also aim to **reaffirm the importance of international solidarity in EU Member States that hold the Presidency of the Council of the EU**, through targeted and focused campaigns in the 6 EU Member States which will hold the Presidency between 2016 and 2018 (See section 5.3.1.2).

This action will also seek to **increase the quality and provision of Development Education in a growing number of EU Member States**, through multilateral networking for enhanced policy learning between an increasing number of relevant Ministries and Agencies across Europe (See section 5.3.1.3).

The expected results for this specific objective area are:

- increased public awareness of global interdependencies between the EU and developing countries;
- increased public awareness of the Global Agenda on Development, including the post-2015 SDGs, the Paris conference on Climate Change, and Habitat III, as well as increased commitment of the public to this revised aid architecture;
- increased public awareness of the role of EU development cooperation, which brings a wide range of benefits not only for recipients but also for EU citizens, in a changing and increasingly interdependent world;
- changing attitudes and improved public understanding of issues and difficulties facing developing countries and their peoples;
- increased active engagement of European citizens in attempts to eradicate global poverty, promote justice, human rights, and sustainable ways of living;
- better integration of development issues into formal and non-formal education systems in EU Member States;
- higher level of engagement to promote coherence for development;
- increased support of European citizens for structural long term development assistance;
- increased citizens' awareness of development issues and active engagement with major development debates, particularly in the framework of the European Year of Development 2015.
- EU DEAR activities have a clear added value to EU Member States' DEAR activities;
- increased coordination, cohesion and coherence of development education on the European level and at EU Member State level;
- the increased complementarity to EU Member States' activities as well as the complementarity between EU financed projects, coupled with the ambition to select pan-European projects, will greatly increase the visibility of the EU DEAR actions.

**Expected results** will be monitored through a combination of indicators such as:

- The number of exchanges of practices and policy evolutions regarding DEAR in the EU;

- The number of countries where DEAR projects have taken place;
- The number of DEAR activities in each EU Member State.
- Societal perceptions of global development issues

The Thematic Programme through its support to CSOs and LAs aims at contributing to the fight against injustice and inequality, including under a gender perspective. Therefore, due consideration should be given to promoting women empowerment and gender equality, to non-discrimination, and to the inclusion of disadvantaged and marginalised groups in each action financed under this objective.

## **4.2 Main activities**

Main activities include, among others, awareness raising and campaigning, global learning actions within and outside of the formal education system, support to networking, capitalisation, capacity-building, exchange of best practices, trainings, workshops, and conferences aimed at raising awareness and critical understanding among citizens regarding global development issues.

# **5 IMPLEMENTATION**

## **5.1 Financing agreement**

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

## **5.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 85 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

## **5.3 Implementation modalities**

**5.3.1 Grants: call for proposals “Civil Society Organisations and Local Authorities in Development: Raising public awareness of development issues and promoting development education in the European Union” (direct management)**

(a) Objectives of the grants, fields of intervention, priorities and expected results

The objective of this Action is to support Development Education and Awareness Raising initiatives fostering citizens' awareness of – and mobilisation for – development issues implemented by European Civil Society Organisations. Given the diverse array of stakeholders active in this sector in Europe, EU support will focus on providing clear added value to the work already carried out by other actors.

Interventions supported under this Action will follow one of these two main approaches:

(i) **Global Learning:** contributing to enhancing the competences of target groups, such as educators, youth and adults, through participatory, innovative and learner empowerment approaches to address issues in global development, **either within or outside the formal education system.**

For this approach, priority will be given to complementarity with Member States' efforts in development education (for initiatives within the formal education system) and to existing development education efforts (for initiatives outside of the formal education system), empowerment of representatives of target groups to become development education actors and multipliers, as well as to supporting partnerships with national/grassroots CSOs, including through sub-grants.

(ii) **Campaigning/Advocacy:** support to the informed citizen engagement and advocacy in relation to development issues in a globalised society and to active engagement with global attempts to eradicate poverty and discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation, and promote justice, human rights and democracy, social responsibility, gender equality and sustainable development policies in partner countries.

For this type of actions priority will be given to initiatives which seek to produce results at a European level, involve coordinated action and a coherent approach across the EU and support partnerships with national/grassroots CSOs, including through sub-grants.

Expected results are:

(i) empowerment of educators, youth and adults to critically examine global interdependencies between the EU and developing nations, of the role of EU development cooperation in an increasingly interdependent world;

(ii) - increased public awareness of the Global Agenda on Development, including the post-2015 SDGs, the Paris conference on Climate Change, and Habitat III, as well as increased commitment of the public to this revised aid architecture;

(iii) changing attitudes and improved public understanding of issues and difficulties facing developing countries and their peoples;

(iv) increased active engagement of European citizens in attempts to eradicate global poverty, promote justice, human rights and sustainable ways of living;

(v) better integration of development issues into formal and non-formal education systems in Member States;

(vi) higher engagement to promote policy coherence for development;

(vii) increased support of European citizens for structural long-term development assistance.

(b) Eligibility conditions

**As applicant:** the eligibility of applicants is restricted to all types of Civil Society Organisations (as defined in Annex II.B of the DCI Regulation) and their associations, originating from EU Member States.

**As co-applicant and affiliated entities:** the eligibility of co-applicant and affiliated entities is restricted to all types of CSOs and/or their associations and LAs and/or their associations originating from:

i) EU Member States

ii) partner countries that are included in the list of recipients of ODA established by the OECD/DAC

In addition, to have access to funding under this component of the thematic programme, all CSOs must be officially registered as such, according to the legislation in force in their respective country.

Grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

The indicative maximum implementation period of the grant is 36 months.

#### (c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

#### (d) Maximum rate of co-financing

Subject to information to be published in the call for proposals and further to an expert meeting to be held in the last quarter 2015, the indicative amount of the EU contribution per grant is EUR 1 000 000 to 5 000 000. Considering the difference in methodologies and actors in global learning and in campaigning/advocacy, the actual amount of the EU contribution will depend on the nature of the different lots.

The maximum possible rate of co-financing for grants under this call is:

- 75% of the eligible costs of the action for applicants from the EU25<sup>92</sup>

- 90% of the eligible costs from applicants from the EU3<sup>93</sup>.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

#### (e) Indicative timing to launch the call

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<sup>92</sup> Austria, Belgium, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands (The), Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

<sup>93</sup> Bulgaria, Romania and Croatia.

A call for proposals will be published in 2016, combining funds from budget years 2016 and 2017.

This call for proposals will be published on the EuropeAid website.

(f) Exception to the non-retroactivity of costs

The Commission does not authorise the eligibility of costs prior to the signature of the grants agreement or prior to the submission of the grant application where the call for proposals explicitly allows for.

### **5.3.2. Grant: direct award (direct management): EU Presidency Projects**

(a) Objectives of the grant, fields of intervention, priorities and expected results

EU Presidency Projects are designed to take advantage of the momentum created by the EU Presidency in two EU Member States each year. Endorsed by the Ministry of Foreign Affairs of the Member State holding the EU Presidency, and implemented by national NGO platform members of CONCORD, these projects aim at:

- i) proactively contributing to national and EU development policy design, implementation, monitoring and evaluation with a special focus on quality Official Development Assistance (ODA) delivery and effective EU development cooperation;
- ii) increasing the understanding of EU Member States' citizens regarding global issues and ODA, with focus on active global citizenship.

The actions will focus on relevant Global Development debates, such as the Sustainable Development Goals and Policy Coherence for Development.

Presidency projects last one year starting three to four months prior to the official beginning of the Presidency. Continuity and complementarity of successive projects is ensured through coordination and information sharing between the national platforms through their involvement in CONCORD.

The 6 National Platforms which will receive direct grants to implement Presidency projects in 2015-2017 are:

- Partos, Netherlands (1<sup>st</sup> semester 2016)
- MVRO (Platforma mimovládnych rozvojových organizácií), Slovakia (2<sup>nd</sup> semester 2016)
- SKOP (Solidarjeta' u koperazzjoni), Malta (1st semester 2017)
- Bond, United Kingdom (2nd semester 2017)
- AKU (Mtü Arengukoostöö Ümarlaud), Estonia (1st semester 2018)
- BPID (Bulgarian Platform for International Development), Bulgaria (2<sup>nd</sup> semester 2018)

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because there is only one national NGO platform affiliated with the European NGO confederation for relief and development (CONCORD) in each of the countries holding the EU Presidency, in compliance with Article 190(1)(c) of the Rules of Application<sup>94</sup>.

The national NGO platform, representing development NGOs in the EU Member State holding the presidency, creates a link between development issues and the citizens of that country. The drive created by the EU presidency provides greater opportunities for the representative platform of the concerned EU Member State to impact development policy, draw attention to global development issues of particular relevance to the Member State, and to strengthen the interest of citizens in the global development agenda.

Therefore, beneficiaries of Presidency projects will be the national NGO platforms in a position of de facto monopoly in the EU Member State holding the EU Presidency.

These platforms are associated with the European NGO confederation for relief and development (CONCORD).

#### (c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

#### (d) Maximum rate of co-financing

The maximum EU contribution to the Presidency projects will be EUR 250 000 per grant.

The maximum possible rate of co-financing is 75% of eligible costs for grants to platforms from the EU25 (Netherlands, Slovakia, Malta, the United Kingdom, and Estonia).

The maximum possible rate of co-financing is 90% of the eligible costs for grants to platforms from the EU3 (Bulgaria).

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

#### (e) Indicative trimester to conclude the grant agreement

Netherlands Presidency project: third quarter 2015

Slovakia Presidency project: first quarter 2016

Malta Presidency project: third quarter 2016

United Kingdom Presidency project: first quarter 2017

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<sup>94</sup> Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:362:FULL:EN:PDF#page=3>



Estonia Presidency project: third quarter 2017

Bulgaria Presidency project: first quarter 2018

### **5.3.3. Grant: direct award (direct management): Global Education Network Europe**

#### **(a) Objectives of the grant, fields of intervention, priorities and expected results**

The overall objective of the project is to increase the quality and provision of development education in a growing number of EU Member States, through multilateral networking for enhanced policy learning between an increasing number of relevant Ministries and Agencies. This will result in increased coordination, cohesion and coherence of development education on the European level and at national levels.

EU actions under the Global Education Network Europe project fully respect the responsibility of Member States for the content of teaching and the organisation of education systems. Support actions taking place within formal education systems will require approval of the action from relevant educational authorities.

This project will be a follow-up of an ongoing Action decided in 2014, and will be subject to a positive evaluation of the results of the previous Action.

#### **(b) Justification of a direct grant**

Under the responsibility of the authorising officer, the grant may be awarded without a call for proposals to Global Education Network Europe (GENE).

Under the responsibility of the authorising officer, the recourse to an award of a grant without a call for proposals is justified because GENE has a de facto monopoly as the only network in Europe regrouping Ministries and Agencies responsible for DEAR in Europe, and ensuring policy exchange, cooperation and development of DEAR policy at the national level, in compliance with Article 190(1)(c) of the Rules of Application<sup>95</sup>.

#### **(d) Essential selection and award criteria**

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

#### **(e) Maximum rate of co-financing**

The maximum EU contribution will be EUR 3 000 000.

The maximum possible rate of co-financing for this grant is 75%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

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<sup>95</sup>

Ibid 14

(f) Indicative trimester to conclude the grant agreement  
Third quarter of 2017.

#### **5.3.4. Grant: direct award (direct management): European Centre for Global Interdependence and Solidarity (North-South Center of the Council of Europe)**

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

The overall objective of the action is to strengthen global/development education in Member States, particularly where it is least established - including in EU13 Member States - by promoting dialogue, networking strategies, capacity building and exchange of good education practices in the field of global/development education, including through the use of sub-granting mechanisms.

The Action will also raise public awareness and understanding of global/development education issues and will disseminate best practices and expertise.

(b) Justification of a direct grant

Under the responsibility of the authorising officer, the grant may be awarded without a call for proposals to European Centre for Global Interdependence and Solidarity (North-South Center of the Council of Europe).

Under the responsibility of the authorising officer, the recourse to an award of a grant without a call for proposals is justified because the North-South Center of the Council of Europe has a de facto monopoly as the only organisation working directly with the Ministries of Education of all Council of Europe Member States, in compliance with Article 190(1)(c) of the Rules of Application<sup>96</sup>

(d) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(e) Maximum rate of co-financing

The maximum EU contribution will be EUR 1 000 000.

The maximum possible rate of co-financing for this grant is 75%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

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<sup>96</sup>

Ibid 14

(f) Indicative trimester to conclude the grant agreement  
First quarter of 2016.

## **6 SCOPE OF GEOGRAPHICAL ELIGIBILITY FOR PROCUREMENT AND GRANTS**

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

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

## **7 INDICATIVE BUDGET**

The total amount of EU budget contribution is EUR 80 300 000 under Budget line 21 02 08 01 "Civil Society Organisations".

The contribution is for an amount of EUR 250 000 from the general budget of the European Union for 2015 and

for an amount of EUR 26 600 000 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and

for an amount of EUR 53 450 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and budget.

## **8 ORGANISATIONAL SET-UP AND RESPONSIBILITIES**

The Action will be managed directly at the Commission Headquarters, and will be implemented primarily through grants, selected through a combination of modalities, including a call for proposals open to CSOs, direct grants awards and Framework Partnership Agreements (FPA).

## **9 PERFORMANCE MONITORING AND REPORTING**

In line with the common rules and procedures applicable to all external aid instruments, performance will be monitored and progress towards delivering expected results will be reviewed against the objectives set in Priority 3 of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be monitored in accordance with the recently strengthened monitoring and reporting systems including Annual Management Plans and External Action Management Reports.

A consolidated results-based framework will be developed by a dedicated team of consultants (DEAR Support Team) in order to monitor progress and results at the level of Priority 3.

In addition, the Action will benefit from a re-designed external review system (replacing the ROM) implemented by independent experts, which includes project reviews and support to reporting on results.

## **10 EVALUATION**

Evaluation provisions will build on the recommendations of the final evaluation<sup>97</sup> of the predecessor Programme “Non State Actors and Local Authorities in development” and on the recently strengthened evaluation policy for external aid instruments.

In line with the key requirements of accountability and learning, a multi-annual evaluation plan will be formulated covering at least half of the budget of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be subject to external evaluations carried out by the Commission and/or the implementing partners.

Evaluations under this Action will be consolidated at the level of Priority 3 of the Programme and will feed its Mid-Term Review and Final Evaluation in line with the common rules and procedures applicable to all external aid instruments.

## **11 AUDIT**

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

The financing of the audits shall be covered by another measure constituting a financing decision.

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<sup>97</sup>

Ibid 8

## **12 COMMUNICATION AND VISIBILITY**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.5 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.



This action is funded by the European Union

## **ANNEX 6**

**OF THE COMMISSION IMPLEMENTING DECISION ON THE MULTIANNUAL ACTION PROGRAMME FOR YEARS 2015 PART II, 2016 AND 2017 FOR THE THEMATIC PROGRAMME “CIVIL SOCIETY ORGANISATIONS AND LOCAL AUTHORITIES”**

**ACTION DOCUMENT FOR PRIORITY 3 - LOCAL AUTHORITIES - DEVELOP AND SUPPORT EDUCATION AND AWARENESS RAISING INITIATIVES FOSTERING CITIZENS’ AWARENESS OF AND MOBILISATION FOR DEVELOPMENT ISSUES**

### **Information for Potential Grant Applicants**

#### **Work Programme for Grants**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following sections concerning calls for proposals: 5.3. “Grants – call for proposals (direct management)”;

<b>1. Title/basic act/ CRIS number</b>	Development Education and Awareness Raising initiatives fostering citizens’ awareness of and mobilisation for development issues – Part Local Authorities  CRIS number: 2017/***_***  financed under Development Cooperation Instrument
<b>2. Zone benefiting from the action/location</b>	The action shall be carried out at the following location: in principle, actions must take place in EU Member States; a minor part of the action may be carried out in candidate and potential candidate countries, as well as in EU partner countries.
<b>3. Programming document</b>	Multiannual Indicative Programme for the Thematic Programme “Civil Society Organisations and Local Authorities” for the period 2014-2020 – Commission Implementing Decision C(2014) 4865 final
<b>4. Sector of concentration/ thematic area</b>	Promotion of development awareness
<b>5. Amounts concerned</b>	Total estimated cost: EUR 17 900 000  The contribution is for an amount of EUR 17 900 000 - from the general budget of the European Union for 2017, subject to the

	<p>availability of appropriations following the adoption of the draft budget and the budget.</p> <p>This action is co-financed by potential grant beneficiaries following the co-financing percentages established in sections 5.3.1.1 to 5.3.1.4</p> <p>All actions supported by this programme should not give rise to a profit.</p>			
<b>6. Aid modality(ies) and implementation modality(ies)</b>	<p>Project Modality</p> <p>Direct management: Grants – call for proposals</p>			
<b>7. DAC code(s)</b>	99820 –Promotion of development awareness			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagship</b>	N/A			

## Summary

**EU support to Development Education and Awareness Raising (DEAR) activities promoted by EU Local Authorities'** has been developed during the last Multiannual Financial Framework (MFF) 2007-2013 and has been object of 5 call for proposals. So far more than 50 projects have been supported. A similar action was already decided by the Commission Implementing Decision C(2014) 7987 final of 28.10.2014<sup>98</sup>. The next DEAR call for proposal is foreseen for 2016 and will pool funds from 2016 and 2017. A suspensive clause will be inserted concerning the budget availability of funds for 2017. Considering the above this action document refers to recurrent actions in the sense of Art. 6 of the Common Implementing Rules.

The DEAR Action aims to develop European citizens' awareness and critical understanding of the interdependent world, of roles and responsibilities in relation to development issues in a globalised society; and to support their active engagement with global attempts to eradicate poverty and promote justice, human rights and democracy, social responsibility, gender equality and sustainable development strategies in partner countries, based on initiatives designed and led by LAs and their Associations.

This Action forms one of the pillars of the Policy Coherence for Development (PCD) by educating and engaging the public on development issues, as well as raising awareness, on how EU Member State and EU policies can have an impact on development outcomes in partner countries.

## 1 CONTEXT

### 1.1 Thematic area

This Action Document refers to the Local Authorities<sup>99</sup> component of Priority 3 under the Strategy and Multi-Annual Indicative Programme 2014-2017 for the Thematic Programme "Civil Society Organisations and Local Authorities 2014-2020".<sup>100</sup> Priority 3 is dedicated to developing and supporting Education and Awareness Raising initiatives fostering citizens' awareness of and mobilisation for development issues.

The Development Education and Awareness Raising (DEAR) Action aims to anchor awareness and understanding of global development in our societies, highlighting the

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<sup>98</sup> C(2014)7987 of 28 October 2014: [http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/decision-aap-cso-la-2014_en.pdf)

<sup>99</sup> The term "**local authority**" (LA) refers to public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policymaking body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. The term encompasses different tiers of government, e.g. villages, municipalities, districts, counties, provinces, regions, etc. [Reference: COM(2013) 280 final, 15.05.2013].

[http://ec.europa.eu/europeaid/what/civil-society/documents/com\\_2013\\_280\\_local\\_authorities\\_in\\_partner\\_countries\\_en.pdf](http://ec.europa.eu/europeaid/what/civil-society/documents/com_2013_280_local_authorities_in_partner_countries_en.pdf)

<sup>100</sup> Commission Implementing Decision of 15.07.2014 C(2014) 4865 final.



responsibilities of all individuals, civil society organisations, local authorities, governments and other development actors in the North and South, to contribute to development.

More than half of Official Development Aid (EUR 56.5 billion in 2013) is provided by the EU and its Member States. Even though in 2013 83% of Europeans still thought it was important to mobilise resources to assist population in developing countries, only 52% think that as an individual they can play a role in tackling poverty in developing countries. In 2013, only 6% of respondents had heard of or read about the Millennium Development Goals (MDGs) and knew what they were.<sup>101</sup>

Perceptions of development assistance are influenced by a multitude of factors, including the economic and financial crisis in Europe. In addition, the development cooperation landscape, particularly the emergence of new actors in the international arena, is contributing to an evolution in North-South relations, which are well understood and supported by European citizens.

As the closest public institution to citizens, LAs can promote citizens' mobilisation and engagement in public life at local level. LAs' work for DEAR may result in policy changes at the local level and in a change in the attitude of citizens, which could in turn influence national policies. The explicit attention and the resources that LAs can allocate to DEAR depend not only on their political engagement, but also on their capability to mobilise local financial support to development cooperation or DEAR activities.

## ***1.2 Public Policy Assessment and EU Policy Framework***

The EU has a long standing experience in the support of DEAR implemented by Local Authorities (LAs) and European Civil Society Organisations (CSOs). DEAR calls for proposals can be considered a recurrent action.

Since 2007, the EU has launched a total of 5 Development Education and Awareness Raising calls open to LAs and their partners.

On the basis of the 2012 DEAR Staff Working Document<sup>102</sup>, a more strategic promotion of European partnerships and perspectives involving local authorities and civil society across the EU has been developed.

This approach was reflected in the DEAR Call for Proposals (EuropeAid/134863/C/ACT/Multi) launched in 2013, which supported ambitious large-scale projects seeking to achieve impact at European level, thematically linked to current global debates on development, including a specific focus on the European Year of Development 2015 (EYD2015). As a result of the 2013 Call for Proposals, approximately 5 large –scale Pan-European projects proposed by LAs, for a total amount of approximately EUR 13 000 000 has been selected for co-financing.

## ***1.3 Stakeholder analysis***

The ultimate beneficiaries of the actions identified through this Action Document are the European citizens. The Action aims to develop ordinary citizens' **awareness and critical understanding** of global development challenges as well as support their active engagement to fight poverty, inequalities and discrimination based on sex, racial or ethnic origin, religion

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<sup>101</sup> [http://ec.europa.eu/public\\_opinion/archives/ebs/ebs\\_405\\_en.pdf](http://ec.europa.eu/public_opinion/archives/ebs/ebs_405_en.pdf)

<sup>102</sup> [http://ec.europa.eu/europeaid/how/finance/dci/documents/swd\\_2012\\_457\\_dear\\_en.pdf](http://ec.europa.eu/europeaid/how/finance/dci/documents/swd_2012_457_dear_en.pdf)

or belief, disability, age or sexual orientation,, promote human rights and democracy, in a context of sustainable development, based on initiatives designed and carried out by European LAs and ALAs.

Key stakeholders and direct beneficiaries in this intervention include Local authorities and Associations of Local Authorities, CSOs and associations of CSOs, from EU Member States, as well as from partner countries and beyond, Member States' Ministries and Agencies.

Dialogue with these different stakeholders takes place in various forms from continuous informal engagement to existing coordination arrangements at project level and more structured mechanisms of multi-stakeholder dialogue.

#### ***1.4 Priority areas for support/problem analysis***

This action will support activities conceived to **develop European citizens' awareness and critical understanding** of the interdependent world and of their role, responsibility and lifestyles in relation to a globalised society from the institutional approach and within the field of competence of LA as public authorities. It will also aim at supporting through the actions led by EU Local Authorities and their Associations, their active engagement in global attempts to eradicate poverty and discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation,, and promote justice, human rights, and sustainable ways of living.

The EU DEAR Action forms one of the pillars of the Policy Coherence for Development (PCD) by educating and engaging the public on development issues, as well as raising awareness, on how EU Member State and EU policies can have an impact on development outcomes in partner countries.

EU DEAR projects aim to contribute to greater policy coherence for development by addressing PCD issues and supporting citizens' active engagement with global efforts for sustainable development in partner countries, while also contributing to the enhancement of citizens' understanding of the interdependent world, and of their roles and responsibilities towards development issues in a globalised society.

Priority under this component will be given to initiatives that:

- (a) Enhance the European LAs, ALAs **support to international development commitments** (i.e. Sustainable Development Goals, Policy Coherence for development);
- (b) Engage European LAs and ALAs through their institutional mandate in **fostering changes** in public policies where LA have institutional responsibility and competencies, which are connected to development issues, and may have an impact at local level;
- (c) Raise European citizens' awareness and critical understanding of the interdependent world and of their role, responsibility and lifestyles in relation to a globalised society.

## **2 RISKS AND ASSUMPTIONS**

<b>Risks</b>	<b>Risk level</b>	<b>Mitigating measures</b>
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	(H/M/L)	
The main risk for all components of this Action is the current economic crisis in Europe, which may have repercussions in financial terms if, for instance, some sources of co-financing reduce or withdraw their co-financing contribution, which may reduce the overall budget available and therefore have an impact on some project activities.	Low	The main risk is considered low. The fact that some of the organisations or institutions co-financing projects may, during the course of the action reduce their contribution or withdraw from the project may not have a significant impact on project activities as projects are now managed by big partnerships which can ensure financial adjustments.
DEAR projects implemented in the EU are sometimes perceived as disturbing as dissonant to the politically correct messages.	Low	European Commission's support to civil society is not conditional upon beneficiaries' support for EU policies. This said, continued dialogue between DEVCO and DEAR project holders can help to deal with political sensitivities arising from specific projects.
Protracted discussion with internal and external stakeholders on the cost/benefit of different working modalities.	Low	Early on consultations as to ensure better understanding and buy in of working modalities since the very inception of the programs.
EU geographical coverage not ensured	Low	Support to actions covering different Member States. The actions seek a Pan European approach.
EU DEAR programme will duplicate activities implemented by EU Member States	Low	Greater focus of EU DEAR programs on Pan-European actions in line with the principle of subsidiarity. Strengthened coordination with EU Member States through regular consultations and enhanced dialogue.
<b>Assumptions</b>		
For all components of this programme, the main assumption is that both, LAs partners and Member States continue to implement their actions to ensure continuity and reinforce their effectiveness and impact.		

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### 3.1 Lessons learnt

This Action incorporates lessons learnt and best practices from the mid-term review<sup>103</sup>, the final evaluation<sup>104</sup> of the previous Thematic Programme (2007-2013) carried out in 2013, as well as from the DEAR Study<sup>105</sup> finalized in 2010, and from the Staff Working Document (SWD) on DEAR in Europe published in 2012<sup>106</sup>.

According to the final evaluation of the previous Thematic Programme (2007-2013), the EU DEAR Action, with more than 300 projects, has contributed to enhancing dialogue at EU Member State level, with increasing attention for development issues, particularly in newer Member States. Exchanges of best practices have contributed to innovation and quality improvements.

The Commission is also engaged in a process of capitalisation, capacity building and networking to ensure that lessons learnt are identified; capacity building supports project partners with content and process support; and networking contributes to the development of mutually beneficial partnerships across Europe.

This Action also builds on the practical applications of the findings of the final evaluation and the DEAR SWD by i) supporting the development of DEAR programmes and projects which have a pan-European dimension, ii) supporting the exchange of policies, experience and practices between all DEAR stakeholders, including between EU Member States and strengthening European Commission coordination with EU Member States.

#### 3.2 Complementarity, synergy and donor coordination

The 2012 Staff Working Document on DEAR in Europe drew the conclusion that *“the added value of EU support to DEAR initiatives is strongest where the Commission made greatest use of its European perspective, its link to all EU Member States, and where it can build upon its experience and competences in Development Cooperation.”*

LAs are essential in building the foundations for broad-based democratic ownership of development policies and processes as well as for inclusive and sustainable growth. Their role as development actors in their own right has been progressively recognised by the international community and confirmed within the Busan Partnership for Effective Development Cooperation (2011).<sup>107</sup> The Busan Outcome Document confirms the importance of LAs, emphasising the critical role they play in “linking citizens with government and in ensuring broad-based and democratic ownership of countries ‘development agendas”.

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<sup>103</sup> [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/5/5e/NSA\\_LA\\_programme\\_mid\\_term\\_review\\_2007-2013.pdf](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/5/5e/NSA_LA_programme_mid_term_review_2007-2013.pdf)

<sup>104</sup> [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy\\_forum](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy_forum)

<sup>105</sup> “Study on the experience and actions of the main European actors active in the field of development education and awareness raising” (2010) [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR\\_Final\\_report](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR_Final_report)

<sup>106</sup> “Commission Staff Working Document on Development Education and Awareness Raising (DEAR) in Europe (2012) [https://ec.europa.eu/europeaid/sites/devco/files/working-document-development-education-awareness-raising-programme-swd2012457-20121220\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/working-document-development-education-awareness-raising-programme-swd2012457-20121220_en.pdf)

<sup>107</sup> See Art. 1, 8, 14, 16, 21, 22, 29; Busan Outcome Document, 4<sup>th</sup> High Level Forum on Aid Effectiveness, December 2011; [http://www.aideffectiveness.org/busanhlf4/images/stories/hlf4/OUTCOME\\_DOCUMENT\\_-\\_FINAL\\_EN.pdf](http://www.aideffectiveness.org/busanhlf4/images/stories/hlf4/OUTCOME_DOCUMENT_-_FINAL_EN.pdf)

The efficiency of diverse DEAR stakeholders across Europe is often dependant on an enabling environment which is within the EU Member States' national responsibility. The EU will continue to target its interventions across the broad spectrum of LA DEAR actors at different levels, while also focus on supporting an enhanced working relationship with EU Member States' Ministries and Agencies dealing with DEAR to allow for better coordination, exchange of experiences and best practices, contributing to an increased effectiveness of the EU DEAR programme.

During the implementation of the action, complementarities will be sought with other types of support to national or European LAs as well as support to platforms and associations of LA in partner countries in the framework of the proposed CSO and LA thematic programme 2014-2020. Complementarities will also be ensured where relevant with other actions implemented in the framework of EU Presidencies (for instance Presidency initiatives to strengthen the role of LA in development cooperation) or by other EU institutions (such as the Committee of the Regions).

### **3.3 Cross-cutting issues**

Throughout the programme, cross-cutting issues as defined by the European Consensus shall be mainstreamed, as envisaged in the DCI Regulation Article 3.3. Actions must respect principles of non-discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation,, human rights, the rule of law, good governance and women's empowerment, as well as include cross cutting issues such as rights of minorities, of children and older people, rights of persons with disabilities and life-threatening diseases and rights of other vulnerable groups, core labour rights and social inclusion, environment and climate change and fight against HIV/AIDS and overall adopt a Rights Based Approach according to the local situation. In addition, conflict prevention, promotion of dialogue, participation and reconciliation, as well as institution building shall be mainstreamed, where relevant. These crosscutting issues may also be the main target of a given action.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

The specific objective of this action is to **develop European citizens' awareness and critical understanding** of the interdependent world, of roles and responsibilities in relation to development issues in a globalised society; and to support their active engagement with global attempts to eradicate poverty and discrimination (based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation), and promote justice, human rights and democracy, social responsibility, gender equality and sustainable development strategies in partner countries, based on initiatives designed and led by LAs and their Associations.

The expected results for this specific objective area are:

- increased public awareness of global interdependencies between the EU and developing countries;

- increased public awareness of the Global Agenda on Development, including the post-2015 SDGs, the Paris conference on Climate Change, and Habitat III, as well as increased commitment of the public to this revised aid architecture;
- increased public awareness of the role of EU development cooperation, which brings a wide range of benefits not only for recipients but also for EU citizens, in a changing and increasingly interdependent world;
- changing attitudes and improved public understanding of issues and difficulties facing developing countries and their peoples;
- increased active engagement of European citizens in attempts to eradicate global poverty, and discrimination and promote justice, human rights, and sustainable ways of living;
- better integration of development issues into formal and non-formal education systems in EU Member States;
- higher level of engagement to promote coherence for development;
- increased support of European citizens for structural long term development assistance;
- increased citizens' awareness of development issues and active engagement with major development debates, particularly in the framework of the European Year of Development 2015.
- EU DEAR activities have a clear added value to EU Member States' DEAR activities;
- increased coordination, cohesion and coherence of development education on the European level and at EU Member State level;
- the increased complementarity to EU Member States' activities as well as the complementarity between EU financed projects, coupled with the ambition to select pan-European projects, will greatly increase the visibility of the EU DEAR actions.

Expected results will be monitored through a combination of indicators such as:

- The number of exchanges of practices and policy evolutions regarding DEAR in the EU;
- The number of countries where DEAR projects have taken place;
- The number of DEAR activities in each EU Member State.

The Thematic Programme through its support to CSOs and LAs aims at contributing to the fight against injustice and inequality, including under a gender perspective. Therefore, due consideration should be given to promoting women empowerment and gender equality, to non-discrimination, and to the inclusion of disadvantaged and marginalised groups in each action financed under this objective.

## **4.2 Main activities**

Main activities include, among others, awareness raising and campaigning, global learning actions within and outside of the formal education system, support to networking, capitalisation, capacity-building, exchange of best practices, trainings, workshops, and conferences aimed at raising awareness and critical understanding among citizens regarding global development issues.

## 5 IMPLEMENTATION

### 5.1 Financing agreement

In order to implement this action, it is not] foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

### 5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 85 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### 5.3 Implementation modalities

#### **5.3.1. Grants: call for proposals “Civil Society Organisations and Local Authorities in Development: Raising public awareness of development issues and promoting development education in the European Union” (direct management)**

(a) Objectives of the grants, fields of intervention, priorities of and expected results

The objective of this Action is to support Development Education and Awareness Raising initiatives fostering citizens' awareness of – and mobilisation for – development issues implemented by European Local Authorities and their Associations. Given the diverse array of stakeholders active in this sector in Europe, EU support will focus on providing clear added value to the work already carried out by other actors.

Interventions supported under this Action will follow one of these two main approaches:

(i) **Global Learning:** contributing to enhancing the competences of target groups, such as educators, youth and adults, through participatory and learner empowerment approaches to address issues in global development, **either within or outside the formal education system.**

For this approach, priority will be given to complementarity with Member States' efforts in development education (for initiatives within the formal education system) and to existing development education efforts (for initiatives outside of the formal education system), as well as to supporting partnerships with Local Authorities and their Associations, including through sub-grants.

(ii) **Campaigning/Advocacy:** support to the informed citizen engagement and advocacy in relation to development issues in a globalised society and to active engagement with global

attempts to eradicate poverty and promote justice, human rights and democracy, social responsibility, gender equality and sustainable development policies in partner countries.

For this type of actions priority will be given to initiatives which seek to produce results at a European level, involve coordinated action and a coherent approach across the EU and support partnerships with Local Authorities and their Associations, including through sub-grants.

**Expected results are:**

- (i) empowerment of educators, youth and adults to critically examine global interdependencies between the EU and developing nations, of the role of EU development cooperation in an increasingly interdependent world;
- (ii) increased public awareness of the Global Agenda on Development, including the post-2015 SDGs, the Paris conference on Climate Change, and Habitat III, as well as increased commitment of the public to this revised aid architecture;
- (iii) changing attitudes and improved public understanding of issues and difficulties facing developing countries and their peoples;
- (iv) increased active engagement of European citizens in attempts to eradicate global poverty, promote justice, human rights and sustainable ways of living;
- (v) better integration of development issues into formal and non-formal education systems in Member States;
- (vi) higher engagement to promote policy coherence for development;
- (vii) increased support of European citizens for structural long-term development assistance.

**(b) Eligibility conditions**

**As applicants:** the eligibility of applicants is restricted to all types of LA<sup>108</sup> or ALA<sup>109</sup> originating from EU Member States.

**As co-applicant and affiliated entities:** the eligibility of co-applicant and affiliated entities is restricted to all types of LAs and their associations and CSOs and their Associations originating from:

I. EU Member States,

II. partner countries that are included in the list of recipients of ODA established by the OECD/DAC.

Besides, to have access to funding under this component of the thematic programme, LAs and ALAs must be officially registered as such, according to the legislation in force in their country of origins.

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<sup>108</sup> The term "local authority" (LA) encompasses many different actors at different levels, including authorities at local level such as municipalities, intermediary level organisations such as districts, counties, and regional bodies, in principle elected [Reference: COM(2008) 626 final, 8.10.2008].

<sup>109</sup> Associations of Local Authorities (ALA) are to be understood as existing associations based on membership and representative at regional, continental and international level, with a permanent body established as an autonomous in accordance with the legislation in force in the country of registration. ALA must comply with all the eligibility criteria, and must be able to assume full contractual responsibility, on the basis of a mandate given by members.



Grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

The indicative maximum implementation period of the grant is 36 months.

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

Subject to information to be published in the call for proposals and further to an expert meeting to be held in the last quarter 2015, the indicative amount of the EU contribution per grant is EUR 1 000 000 to 5 000 000 and the grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries) The indicative duration of the grant (its implementation period) is 36 months.]

The maximum possible rate of co-financing for grants under this call is

- 75% of the eligible costs of the action for applicants from the EU25<sup>110</sup>

- 90% of the eligible costs from applicants from the EU3<sup>111</sup>.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call

A call for proposals will be published in 2016. The call for proposal will combine funds from 2016 and 2017.

This call for proposals will be published on the EuropeAid central website.

## **6 SCOPE OF GEOGRAPHICAL ELIGIBILITY FOR PROCUREMENT AND GRANTS**

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

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of

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<sup>110</sup> Austria, Belgium, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands (The), Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

<sup>111</sup> Bulgaria, Romania and Croatia.

unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

## **7 INDICATIVE BUDGET**

The total amount of EU budget contribution is EUR 17 900 000 under Budget line 21 02 08 02 "Local Authorities",

for an amount of EUR 17 900 000 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and budget.

## **8 ORGANISATIONAL SET-UP AND RESPONSIBILITIES**

The Action will be managed directly at Headquarters, and will be implemented primarily through grants, selected through call for proposals.

## **9 PERFORMANCE MONITORING AND REPORTING**

In line with the common rules and procedures applicable to all external aid instruments, performance will be monitored and progress towards delivering expected results will be reviewed against the objectives set in Priority 3 of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be monitored in accordance with the recently strengthened monitoring and reporting systems including Annual Management Plans and External Action Management Reports.

A consolidated results-based framework will be developed by a dedicated team of consultants (DEAR Support Team) in order to monitor progress and results at the level of Priority 3.

In addition, the Action will benefit from a re-designed external review system (replacing the ROM) implemented by independent experts, which includes project reviews and support to reporting on results.

## **10 EVALUATION**

Evaluation provisions will build on the recommendations of the final evaluation of the predecessor Programme "Non State Actors and Local Authorities in development" and on the recently strengthened evaluation policy for external aid instruments.

In line with the key requirements of accountability and learning, a multi-annual evaluation plan will be formulated covering at least half of the budget of the Multi-Annual Indicative Programme.

Grants awarded under this Action will be subject to external evaluations carried out by the Commission and/or the implementing partners.

Evaluations under this Action will be consolidated at the level of Priority 3 of the Programme and will feed its Mid-Term Review and Final Evaluation in line with the common rules and procedures applicable to all external aid instruments.

## **11 AUDIT**

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

The financing of the audits shall be covered by another measure constituting a financing decision.

## **12 COMMUNICATION AND VISIBILITY**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.5 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.



This action is funded by the European Union

## **ANNEX 7**

### **OF THE COMMISSION IMPLEMENTING DECISION ON THE MULTIANNUAL ACTION PROGRAMME FOR YEARS 2015 PART II, 2016 AND 2017 FOR THE THEMATIC PROGRAMME “CIVIL SOCIETY ORGANISATIONS AND LOCAL AUTHORITIES”**

#### **ACTION DOCUMENT FOR SUPPORT MEASURES**

<b>1. Title/basic act/ CRIS number</b>	Support Measures CRIS number: 2015/038-047 and 038-048 financed under Development Cooperation Instrument
<b>2. Zone benefiting from the action/location</b>	The action shall be carried out at the following location: EU partner countries <sup>112</sup> and EU Member States
<b>3. Programming document</b>	Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020” - Commission Implementing Decision of 15.07.2014 C(2014) 4865 final
<b>4. Sector of concentration/ thematic area</b>	Civil Society Organisations and Local Authorities
<b>5. Amounts concerned</b>	<p>Total estimated costs: EUR 15 924 924</p> <p>Total amount of EU budget contribution EUR 15 924 924</p> <p>The contribution is for an amount of EUR 3 839 009 from the general budget of the European Union for 2015 and</p> <p>for an amount of EUR 3 236 931 from the general budget of the European Union for 2016, subject to the availability of appropriations following the adoption of the relevant budget and</p> <p>for an amount of EUR 8 848 984 from the general budget of the European Union for 2017, subject to the availability of appropriations following the adoption of the draft budget and the budget.</p>

<sup>112</sup> As established in Article 1.1(b) of the Regulation 233/2014 of 11<sup>th</sup> March 2014: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0044:0076:EN:PDF>

<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality Direct management: procurement of services			
<b>7. DAC code(s)</b>	15150 - Strengthening of civil society 15112 - Decentralisation and support to subnational government 99820 - Promotion of development awareness			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	Not applicable		

## Summary

The Action Document VII frames the use of support measures, as envisaged in the Strategy and Multi-Annual Indicative Programme of the Thematic Programme “Civil Society Organisations and Local Authorities 2014-2020”<sup>113</sup>.

The Support Measures for the Civil Society Organisations and Local Authorities, as foreseen under Article 10 of the DCI Regulation and Article 3 of the Common Implementation Rules, are designed to cover expenditures associated with the preparation, follow up, monitoring, evaluation and audit activities related to the implementation of the programme and to the achievement of its objectives. Such measures (audits, evaluations, identifications, studies, meetings, information sessions, special events for awareness-raising, publications, training activities and any other administrative or technical assistance expenditure, including interests for late payments, etc.) contribute to the sound management of the programme, to the achievement of its expected results and objectives and to the measurement, analysis and reporting on the impact.

## 1 DESCRIPTION

### 1.1 Objectives

Support measures described in this Action are aimed at supporting the implementation of the programme and the achievement of its objectives and might be implemented in the framework of any of the three objectives of the programme.

The present Action Document foresees the following initiatives:

1. Objective 1 – in-country interventions:

An indicative amount of **EUR 1 000 000** will be used to finance a service contract to assist the European Union Delegations in the implementation of priority 1 of the CSO-LA thematic programme in partner countries.

2. Objective 2 – support to regional and global networks:

An indicative amount of **EUR 3 000 000** will be used to finance a service contract to assist the EU in consolidating the spaces for debate and policy dialogue with regional and global network of CSO and LA in the framework of the Policy Forum on Development<sup>114</sup> as well as the linkages between these policy debates and local needs and concerns. More specifically, this technical assistance will aim to ensure the active contribution of representative regional and global networks of CSO and LA in the Policy Forum on Development and, more broadly, assist the European Commission with the organisation of this multi-stakeholders consultation process.

3. Objective 3 – DEAR:

An indicative amount of **EUR 2 300 000** will be used to finance a service contract to further the work the DEAR Support Team initiated in 2015. The DEAR Support Team contributes to

<sup>113</sup> Commission Implementing Decision of 15.07.2014 C(2014) 4865 final.

<sup>114</sup> URL: [https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy\\_forum\\_on\\_development](https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy_forum_on_development)

ensuring the capitalisation and capacity building of DEAR projects as well as networking of DEAR stakeholders. The specific objective(s) are:

- Implement a policy of capacity development for EU DEAR stakeholders, e.g. through workshops organised for CSO & LA in cooperation with national platforms;
- Implement a process of capitalisation (lessons learned and good practices identified and applied) from past and on-going DEAR EU-funded projects;
- Animate a space for networking and exchange of the European Commission with EU DEAR projects, Member States representatives, National platform representatives, stakeholders and academia;
- Support the European Commission in strengthening its cooperation and networking with DEAR stakeholders;
- Organise (logistics & content) seminars and meeting, such as inception, capitalisation, and capacity-development workshops for EU DEAR projects, meetings between the European Commission and Member States' representatives responsible for DEAR, annual fairs, discussion and consultation fora (networking, presentation of results, methods, lessons learned).
- Further the development and use of DEAR impact indicators for the EU and facilitate the measuring of impact in relation to the overall programme.
- Support the European Commission on ensuring the visibility of results from the DEAR programme.

4. CSO-LA evaluation facility:

An indicative amount of **EUR 1 500 000** will be used to finance a service contract to consolidate and complete the evaluations carried out at project and/or country level and by the EUDs and/or the implementing partners. This Evaluation Facility will (i) contribute to a coherent approach for the evaluation of CSO and LA projects (ii) allow consolidating the evaluation function at the level of Priority 1 and (iii) guarantee an adequate coverage rate as required by the current policy.

5. Other CSO-LA support (studies, audits, TA, etc.):

An indicative amount of **EUR 550 000** will be used to finance the CSO-LA Thematic Programme Mid-Term review in order to contribute to the Mid-Term review of the DCI foreseen in Article 17 of the Common Implementing Rules<sup>115</sup>.

Besides the initiatives above-described, other contracts will be established to perform evaluations, studies and/or technical assistance programme-wide, including on visibility and communication, for an indicative amount of **EUR 5 324 924**.

Finally, there will be indicatively 180 external audit contracts for individual projects. An indicative amount of **EUR 2 250 000** will be used to finance these contracts.

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<sup>115</sup> Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11/03/2014: [http://ec.europa.eu/enlargement/pdf/financial\\_assistance/ipa/2014/236-2014\\_cir.pdf](http://ec.europa.eu/enlargement/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf)

Unspent funds will be added to the budget allocations for the calls for proposals covered by this Annual Action Programme.

## **2 IMPLEMENTATION**

### **2.1 Financing agreement**

In order to implement this action, it is not foreseen to conclude a financing agreement with a partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

### **2.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 114 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

### **2.3 Implementation modalities**

#### **2.3.1. Procurement (direct management)**

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
<u>Objective 1 – in-country interventions</u>	Service	1	2 <sup>nd</sup> semester 2017
<u>Objective 2 – support to regional and global networks</u>	Service	1	2 <sup>nd</sup> semester 2017
<u>Objective 3 – DEAR</u>	Service	1	2 <sup>nd</sup> semester 2017
<u>CSO-LA evaluation facility</u>	Service	1	1 <sup>st</sup> semester 2015
<u>CSO-LA mid-term evaluation</u>	Service	1	1 <sup>st</sup> semester 2016
<u>Other</u>	Services	10	2015-2016-2017 according to needs
<u>Audits</u>	Services	180	2015-2016-2017 according to the



			relevant audit plan
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### 3 SCOPE OF GEOGRAPHICAL ELIGIBILITY FOR PROCUREMENT AND GRANTS

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

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

### 4 INDICATIVE BUDGET

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
Procurement (direct management) – Budget line 21 02 08 01	13,776,393	N/A
Procurement (direct management) – Budget line 21 02 08 02	2,148,531	N/A
Totals	15,924,924	N/A

### 5 PERFORMANCE MONITORING AND REPORTING

The service contracts financed under this Action will be subject to the contractual provisions applicable in terms of reporting and performance assessments. Upon finalisation of each service, the performance assessments shall be carried out and communicated to the consultants as relevant. Since they do not constitute activities of the Programme “per se” they will not be subject to the monitoring and reporting mechanisms applicable to the Programme's operations.

## **6 EVALUATION**

Since they do not constitute activities of the Programme “per se”, the service contracts funded under this Action will not be subject to the evaluation mechanisms applicable to the Programme’s operations.

## **7 AUDIT**

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

The financing of the audit shall be covered by another measure constituting a financing decision.

## **8 COMMUNICATION AND VISIBILITY**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 2.5 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, procurement and grant contracts.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.