

ANNEXES

Annex I to AAP 2013

Action fiche 1

Non-State actors & Local Authorities in Development part NSA – objective 1a – in-country interventions

1. Identification

Title/Number	Non-state actors (NSA) – Actions in partner countries (in-country interventions) – call for proposals		
Total cost	EU contribution: EUR 148,310,000 (Budget Line 21 03 01) TOTAL EUR 148,310,000		
Method/ Management mode	Project approach - Calls for Proposals managed by European Union Delegations <i>Centralised (direct management)</i>		
DAC-code, if applicable	15150	Sector	Strengthening of civil society

2. Rationale

This Action Fiche refers to the objective 1 - in-country of the Non-State Actors (NSA¹) component of the programme: **to support operations aiming at promoting an inclusive and empowered society in partner countries in order to (i) benefit populations out of reach of mainstream services and resources and excluded from policy making processes; (ii) strengthen the capacity of civil society organisations in partner countries, with a view to facilitating their participation in defining and implementing poverty reduction and sustainable development strategies; and (iii) facilitate interaction between State and NSA in different contexts.**

The EU has significantly strengthened its engagement with Civil Society Organisations (CSO) over the last years. The communication on "Increasing the impact of EU Development Policy: an Agenda for Change"², issued in October 2011,

¹ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

² COM (2011) 637: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0637:FIN:EN:PDF>.

calls for a concentration of EU development cooperation in support of human rights, democracy and other key elements of good governance, as well as inclusive and sustainable growth for human development. It recognizes the key role of CSO and Local Authorities (LA) play in development and acknowledges the need for the EU to "*support the emergence of an organised civil society able to act as watchdog and partner in dialogue with national governments*". The communication on "The future approach to EU budget support to third countries"³ also underlines the key role CSO and LAs should play in participatory budget approaches, particularly in strengthening domestic accountability.

The communication on "The roots of democracy and sustainable development: Europe's engagement with Civil Society in external relations"⁴, issued in September 2012, further develops the provisions relating to CSO in the *Agenda for Change* and builds on the worldwide *Structured Dialogue on the involvement of CSO and Local Authorities in EU development cooperation*⁵ concluded in 2011. It identifies priorities areas for engagement with local CSO in partner countries relating to the promotion of a conducive environment for the participation of CSO in domestic policies, in the EU programming cycle and in international processes and the support to CSO' capacity to perform their roles more effectively.

The Communication calls for a more strategic approach at country level for the EU and Member States through the development of 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. They will be developed taking into account the views of CSO and where possible, in coordination with Member States and other donors. They will be regularly updated and publicly available.

In this perspective, solid knowledge of the CSO arena within the wider socio-economic context in which they operate should be a prerequisite.⁶

Therefore, and in addition to direct support to CSO, the NSA⁷-LA programme will support EU Delegations in the process of building roadmaps. A service contract will be launched and managed by Headquarters to provide EU Delegations with the relevant technical assistance in line with country priorities. Further details of this contract are developed under Action Fiche 16.

Also, and in line with the innovations introduced the last years to respond to the Structured Dialogue recommendations, the use of alternative aid modalities to complement the use of call for proposals will continue (see Action Fiches 2, 3 and 4).

Regarding the **in-country interventions**, EU Delegations will define the actions to be supported in accordance with local needs in terms of actors (type and origin), priorities, themes, sectors and geographical areas. In line with Paris Declaration for aid effectiveness and the Accra Agenda for Action, subsidiarity and complementarity with other geographic or thematic interventions will be ensured by Delegations.

³ COM(2011) 638: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0638:FIN:EN:PDF>

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

⁵ URL: http://ec.europa.eu/europeaid/who/partners/civil-society/structured-dialogue_en.htm

⁶ Regular and participatory mappings are recommended, covering the diversity of actors and including networks and platforms at national/sector levels.

⁷ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

This will allow EU Delegations to ensure complementarity and value added with other programmes under implementation in the country as well as to respond better to the needs of the local NSA.

3. Description of the call for proposal(s)

3.1. Basic act and Financing source

The Regulation N° 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI)⁸ and in particular Art. 14 thereof constitute the legal basis of this programme.

This Action will be financed by budget line 21 03 01 "Non-State Actors in Development".

3.2. Objectives of the programme, fields of intervention/priorities of the year and expected results

In-country interventions should be complementary to Country Strategy Papers (CSP) and complement interventions under other thematic programmes and the European Instrument for Democracy and Human Rights.

The **overarching objective** shall be the strengthening of civil society in partner countries as a pre-condition for a more equitable, open and democratic society.

Particular attention will be given to the participation of the NSA from the partner countries and this in order to better strengthening the capacity of the local actors of a given country. In this sense, and according with the country context, each Delegation will have the possibility to define specific criteria in order to respond to defined local needs.

In fact there is a clear need to strengthen the capacity of local actors in partner countries, to inform citizens about their rights, to increase their capacity to understand and assess government policies and their implications on the fight against poverty and inequality, the capacity to contribute to reinforced accountability systems at local and national levels. For this purpose, all actions under this component of the programme should include a component of **capacity development** of local actors.

Partnerships between different types of NSA and with LA are encouraged in order for the action to achieve stronger ownership and long term impact.

Apart from being potentially the targeted issue addressed in a given action, all actions must respect principles of human rights, good governance and gender equality as well as include cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

In transition/fragility situations, synergies/complementarities with ECHO interventions should be ensured.

The list of the **80 targeted countries** and respective country envelopes is presented below under point 3.3.

Expected results are:

⁸ Regulation (EU) No 1905/2006 of the European Parliament and the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ 378, 27.12.2006)

- i) improved capacity of NSA (particularly those representing the poorest sections of the population, including marginalized and vulnerable groups that do not have access to social services) to effectively participate in poverty reduction and sustainable development strategies and programmes;
- ii) increased involvement of NSA in various forms of policy dialogue and initiatives in the area of domestic accountability in order to influence the policy making processes and practices and reinforce their capacity to play an oversight role;
- iii) improved multi-stakeholders dialogues between NSA, with LA and other stakeholders in order to create quality partnerships and to promote the networking and alliances among large numbers of different actors including when relevant from the EU and partner countries (South-South and North-South);
- iv) empowered citizens are able to take actions, defend their rights and participate in the political dialogue on a local and national level.

3.3. Eligibility conditions

All actions should be based on an initiative of local actors and should ensure their involvement during all stages of their implementation. Actions proposed by NSA originating from the European Union must demonstrate that they are based on **an effective partnership** with NSA of the partner countries where the actions are taking place.

European Union support to the above-mentioned actions will, as a rule, take the form of grants.

The country-based programmes will be implemented at local level by EU Delegations. As stated above, and in line with the principles of subsidiarity and complementarity as defined in the DCI Regulation (Art. 11), each Delegation will define respective country priorities and eligible applicants.

Eligibility: As applicants, all types of NSA⁹, legally established, in the concerned targeted countries where the action is taking place or from a Member State of the European Union, can apply under this component of the programme.

As co-applicants or affiliated entities, NSA and LA from partner countries¹⁰ and from Member States of the European Union can apply. NSA must satisfy the same eligibility criteria as applicants. For the eligibility criteria of local authorities please refer to Action Fiche 7.

The **list of 80¹¹ targeted countries** and respective allocations for NSA foreseen for 2013 is provided hereafter. The allocations per region respect the repartition of resources established by the 2011-2013 Multiannual Strategy¹² and country allocations in the European Neighbourhood and Partnership Instrument (ENPI) region might be complemented by the Neighbourhood Civil Society Facility¹³ (ENPI).

⁹ Ibid 1.

¹⁰ Eligible partner countries are established in article 1(1) of the Regulation (EC) n°1905/2006

¹¹ Bangladesh has opted to use its entire allocation through direct award of grants (see Action Fiches 2 and 3). Nevertheless, for the purpose of giving a global sight of country coverage, the number of countries covered have been indicated here, independently of the aid modality chosen.

¹² URL: http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

¹³ COM(2011)303 – http://ec.europa.eu/world/enp/pdf/com_11_303_en.pdf

Countries that have no amount stated in the right column may have received an allocation in 2011 or in 2012. Where an EU Delegation opted for a direct award of grants in compliance with the provisions of the Financial Regulation, relevant information can be found in Action Fiches 2, 3 and 4.

African, Caribbean and Pacific countries

	Budget Line 21 03 01 (€)
Angola*	3,000,000
Benin*	0
Burundi*	400,000
Cameroun	3,000,000
Cape Vert	0
Chad*	1,500,000
Comores*	0
Congo Brazzaville	3,600,000
Djibouti*	1,200,000
Dominican Rep.	0
East Timor*	0
Equatorial Guinea*	0
Eritrea*	250,000
Gabon	1,600,000
Gambie*	200,000
Ghana	1,000,000
Guinea Bissau*	3,500,000
Guinea Conakry*	0
Guyana	300,000
Haiti*	3,650,000
Ivory Coast	0
Kenya	5,000,000
Lesotho*	300,000
Liberia*	2,000,000
Madagascar*	1,500,000
Mali*	0
Mauritania*	1,000,000
Mauritius	0
Mozambique*	5,000,000
Namibia	0
Niger*	0
PNG	2,000,000
RCA*	3,000,000
RDC*	5,000,000
Republic of South	2,500,000
Rwanda*	2,500,000
Sao Tomé and Príncipe*	1,100,000

Senegal*	1,000,000
Sierra Leone*	3,500,000
Solomon Islands*	0
Somalia*	2,500,000
Sudan*	2,500,000
Swaziland	1,500,000
Togo*	0
Tonga	250,000
Uganda*	2,300,000
Zambia*	3,000,000
Zimbabwe	2,200,000
TOTAL	72,850,000

Central and South American countries

	Budget Line 21 03 01 (€)
Argentina	1,000,000
Bolivia	3,000,000
Brazil	5,500,000
Chile	1,200,000
Colombia	2,000,000
Cuba	1,300,000
Ecuador	2,000,000
El Salvador	2,000,000
Guatemala	1,000,000
Honduras	2,000,000
Mexique	2,000,000
Nicaragua	1,660,000
Paraguay	1,000,000
Peru	2,800,000
Uruguay	750,000
Venezuela	2,400,000
TOTAL	31,610,000

Asian countries

	Budget Line 21 03 01 (€)
Afghanistan*	2,000,000
Bangladesh*	0
Burma / Myanmar*	3,850,000
Cambodia*	2,000,000
China	2,400,000
India	5,000,000
Indonesia	850,000
Laos*	2,000,000
Mongolia	850,000

Nepal*	2,000,000
North Korea	500,000
Pakistan	2,350,000
Philippines	2,350,000
Sri Lanka	1,200,000
Thailand	1,800,000
Vietnam	1,200,000
TOTAL	30,350,000

Central Asian countries

	Budget Line 21 03 01 (€)
Kazakhstan	0
Kyrgyzstan	450,000
Tajikistan	700,000
Uzbekistan	0
TOTAL	1,150,000

Middle East countries

	Budget Line 21 03 01 (€)
Iran	1,500,000
Yemen*	1,200,000
TOTAL	2,700,000

ENPI countries

	Budget Line 21 03 01 (€)
Algeria	400,000
Armenia	450,000
Azerbaijan	0
Belarus	1,150,000
Egypt	1,000,000
Georgia	400,000
Israel	0
Jordan	0
Lebanon	0
Lybie	2,000,000
Moldova	0
Morocco	0
Russia	1,000,000
Syria	250,000
Tunisia	0
Ukraine	600,000
West Bank and Gaza Strip	2,400,000
TOTAL	9,650,000

TOTAL	148,310,000
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(*) Least Developed Countries (OECD/DAC list)

(**) Further to Decision No 2/12 of the ACP-EU Council of Ministers of 15 June 2012 to approve the request of the Republic of South Sudan to accede to the ACP-EU Partnership Agreement and to grant observer status valid until 20 November¹⁴, country allocation will be subject to the completion of the accession procedure by the Republic of South Sudan.

As foreseen in the Strategy 2011-2013¹⁵, the following two criteria were used for establishing the above list:

(1) Country situations not conducive to ensuring NSA and LA's involvement in the development process, including difficult partnerships¹⁶, unstable situations, conflict, poor governance etc.

(2) Country where specific needs of parts of the population are not addressed in its development strategy and groups are out of reach of mainstream services and resources, excluded from the policy-making process.

Geographical focus

Actions must take place in the partner country where the grant has been awarded.

3.4. Essential selection and award criteria

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

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.

Where the standard procedure of calls for proposals is to be used, according to the Practical Guide, the system of restricted calls for proposals (concept note + full proposals) will be used.

As a general rule, the maximum possible rate of EU co-financing for actions to be funded and the maximum and minimum duration of actions are as follows:

- Grant size will, in principle, be of a minimum of EUR 300,000.

In order to ensure the access to funds of community-based and other types of grassroots organisations, the use of the sub-granting approach will be encouraged.

In exceptional and duly justified cases, grants of less than EUR 300,000 may be accepted¹⁷.

- The maximum possible rate of EU co-financing of the total eligible costs of the action are:

- European NSA maximum of 75% of the total eligible costs

¹⁴ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:175:0001:0002:EN:PDF>

¹⁵ http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

¹⁶ Situations of difficult partnership are defined as those where for one of the following reasons the usual cooperation instruments cannot be fully used to support initiatives undertaken by stakeholders other than central governments: (1) countries where cooperation has been suspended, (2) countries where the authorities are not committed to objectives of poverty reduction and to other basic principles of development policy, including good governance and participation of civil society and decentralized authorities, (3) countries where the dialogue on participatory approaches to development is very limited.

¹⁷ When country allocation is equal or less than EUR 300,000 lower size grants are directly accepted.

- Partner countries NSA maximum of 90% of the total eligible costs
- Full financing may only be applied in the cases provided for in the Financial Regulation, where financing in full is essential to carry out the action in question.
- Duration of the action: the initially foreseen duration of an action may not be lower than 24 months nor exceed 60 months. Under their respective calls for proposals each 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 12 months.

Microfinance activities (for in-country)

When microfinance activities will be envisaged, additional conditions will be applied in order to ensure more professional and sustainable delivery of microfinance interventions. Details of these conditions will be contained in the guidelines for calls for proposals, in line with the European Commission Guidelines for Support to Microfinance: they aim at achieving professionalization and sustainability through introduction of minimum requirements as regards the applicant's expertise (i.e. the capacity to provide financial services according to agreed international standards of good practice) and experience (track record in the microfinance field), application of selection criteria on the type and design of the actions, and inclusion of performance measuring and monitoring system concerning the actions.

3.5. Schedule of calls for proposals

Local calls for proposals are expected to be published as from the second quarter of 2013. In some cases, where pooling of 2012-2013 allocations were foreseen, calls for proposals may have been published before with suspensive clause.

All calls for proposals will be published on the EuropeAid central website. Call for proposals concerning in-country interventions are additionally to be published on the concerned Delegation website.

3.6. Indicative amount of call for proposals

The indicative financial envelope for 2013 for this component of the thematic programme amounts to EUR 148,310,000, under budget line 21 03 01 "Non-State Actors in Development"

4. Support measures

Monitoring and follow up missions by the staff or external consultants of the Commission will be conducted regularly. Close information links will be maintained between European Commission headquarters and European Union Delegations.

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 component of objective 1 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 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 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, 70 to 80 contracts 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.

ANNEX II TO AAP 2013

ACTION FICHE 2

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART NSA – OBJECTIVE 1A – TARGETED PROJECTS

1. IDENTIFICATION

Title/Number	Non-State actors (NSA) – Actions in partner countries (in-country interventions) - Targeted project to Campaign for popular Education – CAMPE (Bangladesh)		
Total cost	EU contribution - EUR 2,350,000 (Budget Line: 21.03.01) TOTAL: EUR 2,350,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grants</u> (direct centralised management)		
DAC-code	15150	Sector	Strengthening of civil society

2. RATIONALE

This Action Fiche concerns the direct award of 1 grant to Campaign for popular Education (CAMPE), a local representative platform of NSA¹⁸ active in development.

This direct award refers to objective 1 of the NSA¹⁹ component of the programme: **to support operations aiming at promoting an inclusive and empowered society in partner countries in order to (i) benefit populations out of reach of mainstream services and resources and excluded from policy making processes; (ii) strengthen the capacity of CSO in partner countries, with a view to facilitating their participation in defining and implementing poverty reduction and sustainable development strategies; and (iii) facilitate interaction between State and NSA in different contexts.**

2.1. Sector context

Bangladesh has one of the largest education systems in the world with over 20 million students enrolled from pre-school through higher education institutions.

¹⁸ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

¹⁹ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

Bangladesh's new National Education Policy (NEP) was issued in 2010. CAMPE played a significant role in advocating for this policy.

Bangladesh's steady growth has enabled improvement in poverty reduction in recent decades attributed to substantial public and non-state investment in education, health, and social empowerment programmes. Although much has been accomplished, Bangladesh remains one of the poorest countries in the world. Moreover, there are growing economic disparities between geographic regions and various socio-economic demographic groups.

Service providers include public, private and non-governmental organisations that use formal and non-formal channels to deliver education in schools, madrasahs and community-based learning centres. Over the past 20 years the number of institutions and proportion of enrolled students has grown at every level and Bangladesh's success in achieving gender parity in both primary and secondary education is acknowledged worldwide. Throughout this period of access expansion, interventions aimed at increasing the demand for education (stipends, school feeding, and subsidies for girls) was met by an expansion on the supply of education by the public and NGO sectors. However, the quality of education has not developed at the same pace as access and participation, particularly in institutions serving the poorest children. In general, completion rates and learning outcomes are low for both primary and secondary levels. Improving learning and reducing disparities between regions and groups remains a challenge at all levels of the system.

Hence in a scenario characterised by a large number of NGOs variously involved in education, a national platform organisation gathering most of them, certainly play a crucial and unique role in the sector.

2.2. Lessons learnt

CAMPE has been supported by Swiss Development Cooperation (SDC) in the recent years. A phase-end evaluation has been carried out by SDC in February 2012 to assess the overall achievement of CAMPE in terms of expected outcome for the period 2007 – 2012. As established in the evaluation report, over a period of 20 years, CAMPE has transformed itself from an NGO for literacy movement into a credible and well-respected national platform advocating for access, equity and quality of education in Bangladesh. As a result for its expertise, Government of Bangladesh now spontaneously invites CAMPE to the table and informally makes regular requests for advice and information. This has allowed CAMPE to have a significant impact on national policies and programmes such as the National Education Policy (2010), the Development of National Early Childhood Care and Development (ECCD) policy framework, the National Skills Development Policy (NSDP) for technical and vocational education or the Non Formal Education Act (2012). The present project intends to further support CAMPE in their work on the achievement of Education For All (EFA) goals.

2.3. Complementary actions

Complementarities will be sought with other actions implemented in the framework of the NSA-LA programme as described in Action Fiche 1.

Complementarity with other projects and/or programmes dealing with Civil Society financed by the EU and other donors will also be ensured.

The proposed action is complementary to other EU support activities in education in Bangladesh, such as: The Third Primary Education Development Programme (PEDP 3) DCI-ASIE/022-542 and Supporting the Hardest to Reach through Basic Education (SHARE) DCI-ASIE/2010/021-533.

2.4. Donor coordination

Donor coordination in education in Bangladesh is ensured through the Education Local Consultative Group (ELCG). Coordination among the nine development partners contributing to PEDP 3 is ensured through PEDP 3 Consortium. The EU delegation is member of both ELCG and PEDP 3 Consortium.

3. DESCRIPTION

3.1. Objectives

The project aims at contributing to poverty reduction through the achievement of EFA goals by promoting an inclusive and empowered civil society in Bangladesh. The **specific objectives** are:

1. To enhance capacity of CSO for an effective dialogue, advocacy and lobbying with the Government and NGOs in the education sector.
2. To improve networking between CSO, the Government and other stakeholders involved in education, at national and international level.
3. To enhance capacity of NGOs and CSO for effective and efficient delivery of education services towards attainment of EFA goals, with focus on poor and vulnerable groups.
4. To have educated, democratic, secular, humanitarian, equitable and poverty free Bangladesh through education and learning for all.

3.2. Expected results and main activities

The **expected results** are:

1. Citizen's voice for Quality Basic & Skills Education raised and accountability of duty bearers at national and local level enhanced;
2. Independent research, evidence gathering and knowledge sharing used and valued;
3. Information, technical and advisory support for Network members valued, used and continued.

3.3. Risks and assumptions

Assumption: Favorable political condition is prevalent

Possible Risk	Level	Mitigation Strategies
Political instability	Medium	Flexibility of time will be maintained during final preparation of work plan and Project activities will be rescheduled, merged or implementation of various activities arranged simultaneously
Lack of national policy support	Low	CAMPE along with concerned stakeholders will engage in various capacities during implementation of the Project to overcome the risk.
Resistance from mid-	Medium	CAMPE will sensitize and involve the government

level/lower level government officials and teachers		officials and teachers during planning and implementation of the project activities.
Wrong selection of Community Education Watch Group working areas	Low	Before selecting the working areas, CAMPE needs to do assessment of potential areas with low literacy rate, high poverty rates and accessibility.
Difficulties of finding capable volunteers available for data collection	Low	CAMPE and all Partner NGOs need to ensure the proper selection/recruitment, training and deployment of local youth volunteers.
Changes in donors priority	Medium	CAMPE continues to lobby with hard evidence through global networking to keep education high on the donor agenda.

3.4. Cross-cutting Issues

The project takes into account principles of human rights, good governance and gender equality as well as cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

3.5. Stakeholders

CAMPE targets to influence 25,000 NGO and Government officials involved in grassroots to national level, entrepreneurs, technical training institutions situated at different districts and sub-districts, with special focus on disadvantaged areas/communities through advocacy and lobbying.

40 million people will be informed through electronic, print and folk media and other different infotainment materials to activate them to be involved in education and skill development.

300 NGOs and 15 Forum or Networking body will come forward collectively to raise voice on disparity issues under the wider umbrella of CAMPE.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

CAMPE is a national coalition of NGOs committed to advocate and lobby for sustainable and pro-poor policy frameworks and effective program interventions for ensuring qualitative improvement in the overall education system by forming networks with organizations having similar vision towards achieving the goal of

Education for All (EFA) both nationally and globally. CAMPE is an elected member of the Global Campaign for Education (GCE) and many other committees and Task Force Groups at the National level. It uses its network of over 1342 members and partner NGOs (the largest umbrella involved in Education in Bangladesh) well to run local level policy debates which result in demands being channelled to the national level.

In this framework, CAMPE has achieved significant and attributable impact; is nationally and internationally recognised and plays a unique role in bringing different actors (government, non-government, teachers, media, civil society, academics) together in pursuance of EFA goals. In fact, its unique advocacy position can accelerate the pace of change towards EFA targets. Its privileged position towards the government and development partners makes CAMPE the civil society counterpart of the government and developing partners, able to influence policy making process and mobilize communities to a positive direction.

Therefore, CAMPE is in a situation of *de facto* monopoly since it is the only network working towards the implementation of program interventions in the education sector in Bangladesh that (i) has a large constituency (is the largest network in the Education sector in Bangladesh), (ii) includes a wide diversity of views and (iii) has a privileged position towards the government and developing partners.

The direct award to the national platform organization CAMPE is also consistent with the current education portfolio of the Delegation. The support to the formal primary education sector through budget support and to the non-formal basic education service providers, would be well complemented by the support to a network organization which is the umbrella of 1342 NGOs (221 big NGOs) involved in education, and has a specific mandate in the field of advocacy, lobbying and networking among CSO, with the Government of Bangladesh, and with other stakeholders at national and international level (for example with the Global Partnership for education).

Therefore, the grant is directly awarded since it corresponds to a situation of *de facto* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution is of EUR 2,350,000 (maximum 90% of total project costs), to be financed under budget line 21 03 01.

Duration of the project is 48 months.

It is expected to be contracted the first semester of 2013.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

ANNEX III TO AAP 2013

ACTION FICHE 3

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART NSA – OBJECTIVE 1A – TARGETED PROJECTS

1. IDENTIFICATION

Title/Number	Non-State actors (NSA) – Actions in partner countries (in-country interventions) - Targeted project to Centre for Disability in Development - CDD (Bangladesh)		
Total cost	EU contribution - EUR 1,500,000 (Budget Line: 21.03.01) TOTAL: EUR 1,500,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grants</u> (direct centralised management)		
DAC-code	15150	Sector	Strengthening of civil society

2. RATIONALE

This Action Fiche concerns the direct award of 1 grant to Centre for Disability in Development (CDD), a local representative platform of NSA²⁰ active in development.

This direct award refers to objective 1 of the NSA²¹ component of the programme: **to support operations aiming at promoting an inclusive and empowered society in partner countries in order to (i) benefit populations out of reach of mainstream services and resources and excluded from policy making processes; (ii) strengthen the capacity of CSO in partner countries, with a view to facilitating their participation in defining and implementing poverty reduction and sustainable development strategies; and (iii) facilitate interaction between State and NSA in different contexts.**

²⁰ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

²¹ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

2.1. Sector context

Although estimates vary, a survey conducted in 2005 found a disability rate of 5.6% of the population of Bangladesh²². The World Bank estimates that 15-20% of those living in poverty in developing countries have disabilities, and UNDP estimates that 80% of persons with disabilities live in developing countries.

Persons with disabilities in general face multiple barriers to achieving equality in Bangladesh. Due to extreme poverty, social injustice and lack of knowledge and awareness, people with disabilities in Bangladesh face daily stigmatisation and denial of their basic needs and rights. Many persons with disabilities, particularly those in rural communities are unable to access mainstream and specialised services which could provide necessary support that would allow them to become active participants in their community's economic, educational and social life.

Bangladesh recognised the legal rights of persons with disabilities through the passage of the National Disability Policy (1995) and the Disability Welfare Act (2001). Bangladesh also signed the UN Convention on the Rights of Persons with Disabilities in 2007 and the additional protocol in 2008. The country has progressive policies on disability and a huge civil society. However, groups specifically focused on disability issues are few in number. Furthermore, Disabled People's Organisations (DPO) lack basic management skills in human resources, finance, project implementation, and proposal development, and they are also holding limited knowledge in disability, particularly related to rehabilitation. Moreover, disability is still isolated as an area of special advocacy, rather than a cross-cutting issue of development.

In this context, CDD's aim is to develop the service delivery capacity of existing direct service development organisations to expand and change the focus of their programs to be more inclusive of persons with disabilities. The rationale is that if the resources and capacity of these organisations could be tapped to address disability issues within their general work then a large number of persons with disabilities could be reached more efficiently and effectively than using a separate delivery mechanism. To this end it is operating a network of partnerships with over 350 development organisations, DPO, institutional bodies and government departments who have been extensively trained by CDD and are committed to implementing a broad multi-sectoral development strategy for the rehabilitation, equalisation of opportunity, poverty reduction and social inclusion of persons with disabilities.

2.2. Lessons learnt

Lessons learnt from past experiences have been fully taken into account in the design of this project which is largely based on foundation and knowledge acquired through previous projects and will strengthen a proven, innovative, replicable and decentralised rehabilitation and mainstreaming approach of CDD that is in implementation for the past 15 years in Bangladesh. It particularly draws on previous experience and infrastructure of two unique projects funded by the European Commission which have developed a national comprehensive and decentralised system for provision of assistive technology and accessibility to rehabilitation services through a National Resource Centre of Assistive Technology

²² "Disability in Bangladesh: A Study on Prevalence", Handicap International & National Forum of Organisations Working with the Disabled, 2005

(NRCAT), Decentralised Resource Centres on Disability (DRCD) in regional hubs as well as mobile units (boat, bus camps) to also reach persons in the most remote areas of the country. Both projects have been subject to results-oriented monitoring (ROM) missions and external evaluations in 2009 & 2010 that commended the crucial role CDD has played in bringing about significant social change in the country by mainstreaming disability into the development programmes of many NGOs and GOs and acknowledged the enormous value addition in delivering the 'Community Approaches to Handicap in Development (CAHD)' approach at the community level and building capacity of its target community, which has remained extremely effective in building human capital across a wide range of stakeholders. The proposed project has taken into account all essential recommendations for further improvement made by both ROM monitors and external evaluators.

The Government of Bangladesh has already taken up the concept of the DRCDs and is now replicating it in different districts of the country as 'One-Stop Service Centres' through the National Foundation for the Development of Disabled Persons (Ministry of Social Welfare). As of April 2012, there are 35 such centres established and operational in the country. CDD's twin-track-strategy called Community Approaches to Handicap in Development (CAHD) to simultaneously strengthen the capacities of communities to better serve the needs of their disabled members and educate them in how to be more inclusive whilst also enabling persons with disabilities to participate in society by providing them with essential supports has become the standard approach in Bangladesh and has been replicated in other countries.

2.3. Complementary actions

Complementarities will be sought with other actions implemented in the framework of the NSA-LA programme described in Action Fiche 1. There are a number of on-going projects under NSA-LA thematic programme 2008/2010 which, by focusing on capacity building and empowerment of Organisations of People with Disability are complementary to the proposed action. The action would also continue to employ the strategies of two recently closed projects, namely "Proximity services for a full participation of people with disabilities in all spheres of life - Bangladesh" and "Development of a comprehensive national network for Provision of Assistive Technology: PROVAT" implemented by Handicap International in partnership with CDD.

Complementarity with other projects and/or programmes dealing with civil society financed by the EU and other donors will also be ensured. The action will support capacity building of civil society in general and especially of those directly promoting the cause of disability. The action will link up with Rehabilitation services mainstreamed within the country's health structure, resulting in a sustained rehabilitation mechanisms within the national health system through documentation of lessons learned, development of evidence based guidelines and tools for replication and expansion, as well as advocacy campaigns by harmonising indicators and improving the capacity of existing structures and DPO.

2.4. Donor coordination

The proposed Action will be funded 90% by EU and 10% by the applicants' partner and Light for the World, The Netherlands. The project management will explore the possibility to coordinate with other donors involved in the sector of disability. Handicap International which together with CDD has established since the 1990s the

Community Approaches to Handicap and Development (see section 4.2) will continue to liaise with CDD and offer advice. Mechanisms of communication will be established also with the multi-donor Primary Education Development Programme III covering disability through its 'Gender and Inclusive Education Policy'.

3. DESCRIPTION

3.1. Objectives

The aim of the project is to contribute to improving health and human rights of persons with disabilities living in poverty especially in rural and hard-to-reach communities of Bangladesh.

The **specific objective** is to improve functional capacity and mobility of persons with disabilities and prevent the development of secondary disabilities as a result of a poor fit between the person and the environment through a systemic chain of quality rehabilitation and referral care at people's doorsteps, which will foster their inclusion and participation in social and development opportunities in their communities.

3.2. Expected results and main activities

Expected results are:

1. Increased capacity of CDD, its network of partner organisations, including mainstream development organizations and DPO to provide quality rehabilitation services and assistive devices for persons with disabilities at their doorsteps.
2. Enhanced networking and coordination among CDD's partner organisations, sound partnerships between private and public service providers for transfer of knowledge and referral linkages required by persons with disabilities for their rehabilitation and mainstreaming of persons with disabilities in development activities.
3. Increased awareness of persons with disabilities, their families, communities, NSAs and LAs through local campaigns by CDD partner organisations and DPO on rights of persons with disabilities, on accessing rehabilitation services and development opportunities, thus contributing to the achievement of MDGs and the implementation of the UN Convention on the Rights of Persons with Disabilities (UNCRPD).
4. Rehabilitation services mainstreamed within the country's health structure, resulting in a sustained rehabilitation mechanism within the national health system through documentation of lessons learned, development of evidence based guidelines and tools for replication and expansion, as well as advocacy campaigns.

3.3. Risks and assumptions

The project builds on 15-year-experience by the implementing organizations CDD and its implementing partners. Cooperation of CDD with its partner NGOs has over the years proven effective. Also, disability is a sector enjoying large support from the Government as confirmed by a number of decisive steps to favour more and better inclusion of people with disability (as mentioned in 2.1). Risks with the potential to hamper the implementation of the action therefore are considered minimal.

3.4. Cross-cutting Issues

The project takes into account principles of human rights, good governance and gender equality as well as cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS. The action focuses on disabled people's rights and on the need to change society to be more inclusive. It will be therefore based on the social model of disability and take a clear human rights approach. The project also covers significantly governance and gender issues. Public awareness and advocacy campaign will reach out to target groups and the general public at national and local level in line with the UNCRDP. Climate change issues will be covered as part of the inclusive policy of the project and in particular by strengthening the coping mechanisms of persons with disability to deal with the consequences of climate changes in areas more affected by possible disasters.

3.5. Stakeholders

The stakeholders and beneficiaries of the proposed action are the final beneficiaries of the action are the approximation 30.700 People with Disabilities and their families living in remote and service-deprived areas. The stakeholders are the grass root level NGOs including 20 DPO and 80 technical partners involving private and public institutions from within CDD's network, Ministry of Social Welfare, Ministry of Health and Family Welfare and People's elected representatives both at local and national level.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

CDD is a non-profit organisation established in 1996, which is the apex capacity building body of a platform of more than 350 NGOs in Bangladesh on disability issues. As such, CDD is the only resource organisation in Bangladesh that focuses on capacity building of both disabled people's organisations as well as mainstream development organisations to expand and change the focus of their programmes to be more inclusive of persons with disabilities.

CDD seeks to mainstream disability as an integral part of the development work of government and non-government organisations, so that disability issues will no longer be addressed in a piecemeal, small-scale and isolated way. With a national resource centre on assistive technology, seven service and training centres, mobile units including a water vessel and vans, as well as a dynamic countrywide network of actors for service delivery, CDD has reached out to fifty-two of the country's sixty-

four districts and is the only organisation in the field of disability to have such a wide coverage of working infrastructure able to deliver in hard-to-reach areas.

Over the years, CDD has established itself as a centre of excellence in the field of disability. CDD is member of both the Government of Bangladesh's supreme national committee on policy formulation on disability-related issues ('National Executive Council on Disability') and the Ministry of Social Welfare's National Foundation for the Development of Disabled Persons and can thus contribute to ownership and close involvement of government institutions. As a result, CDD is truly representative for NSAs involved in the field of disability – in Bangladesh and beyond.

Therefore, the grant is directly awarded since it corresponds to a situation of *de facto* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution is of EUR 1,500,000 (maximum 90% of total project costs), to be financed under budget line 21 03 01.

The duration of action will be 48 months and the expected period of contracting would be the first semester 2013.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

ANNEX IV TO AAP 2013

ACTION FICHE 4

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART NSA – OBJECTIVE 1A – TARGETED PROJECT

1. IDENTIFICATION

Title/Number	Non-State actors (NSA) – Actions in partner countries (in-country interventions) - Targeted project to Red Nicaragüense por la Democracia y el Desarrollo local (Nicaragua)		
Total cost	EU contribution - EUR 840,000 (Budget Line: 21.03.01) TOTAL: EUR 840,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grants</u> (direct centralised management)		
DAC-code	15150	Sector	Strengthening of civil society

2. RATIONALE

This Action Fiche concerns the direct award of 1 grant to Red Nicaragüense por la Democracia y el Desarrollo local, a local representative platform of NSA²³ active in development.

This direct award refers to objective 1 of the NSA²⁴ component of the programme: **to support operations aiming at promoting an inclusive and empowered society in partner countries in order to (i) benefit populations out of reach of mainstream services and resources and excluded from policy making processes; (ii) strengthen the capacity of CSO in partner countries, with a view to facilitating their participation in defining and implementing poverty reduction and sustainable development strategies; and (iii) facilitate interaction between State and NSA in different contexts.**

2.1. Sector context

CSO active in the development of Nicaragua are extensive and diverse. They include organizations with a variety of objectives, geographical coverage, degree of sectoral specialization, political and religious trends, etc. The right of citizens to organize

²³ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

²⁴ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

themselves and participate in the democratic, social, cultural and economic life is recognized in the Constitution, and governed in particular by the Citizenship Act 2003.

The actions of the Nicaraguan CSO in the last decade have not been without problems and have not always had the expected impact in terms of development due to the country's structural problems (corruption, lack of reliable institutions, among others), the internal weaknesses of CSO themselves (fragmentation, contradictions and conflicts), problems of sustainability of their interventions, misuse of tax benefits as well as the persistence of a model of decision-making by governments based on the influence of traditionally powerful actors, rather than meaningful consultation processes and broad citizens' participation.

The situation of CSOs has worsened since the Government of National Unity and Reconciliation (GRUN) came into power in 2007, especially after September 2008 (following accusations of fraud in local elections). The government emphasizes "citizens' participation", through the creation of specific institutions, the Councils of Citizen Power (CPC) and other structures but these are controlled by the state and mainly aimed at disseminating and implementing national policies and programmes at local level. Meanwhile, the government has restricted the freedom of action of traditional CSO and has excluded them from the planning, implementation and evaluation processes of public policies.

In addition, the current practices of the government with LA represent another setback for democracy: i) the decentralization of the State brought to a halt, ii) the loss of municipal autonomy, iii) the imposition of a national agenda over the local development processes, iv) the municipal transfers have been subject to the imposition by the central government of conducting populist social programmes, and v) the illegal dismissal of municipal government authorities.

2.2. Lessons learnt

Last ROM reports as well as evaluations from other donors active in Nicaragua (Finland, Swiss) highlight the need to improve the quality of community-based participatory processes in municipal affairs as well as the importance of building alliances and networks that can influence political processes. The need to guarantee adequate access to local public services for youth, women and marginalised groups and to involve them as stakeholders in the management and monitoring of these services has also been stressed. The present project fully embraces these aspects by designing local development strategies jointly with CSO and LA in selected municipalities and by putting special emphasis on the involvement of women, youth and marginalized groups.

2.3. Complementary actions

The following projects implemented by Red Local aim at results that could allow for interesting synergies with this project:

- Women and youth of Chinandega, catalysts of change for a more Just Society (NSAPVD/2011/275-862) is financed by the EU and OXFAM and aims to ensure an increased participation of women and youth in the definition and implementation of local public policy, in conjunction with various national civil society networking entities.

- Active citizenship for more Just Public Policy, which is financed by INTERMON OXFAM and Generalitat de Catalunya, has as its main objective to ensure the active participation of women and youth from four different municipalities in order to generate, in partnership with government institutions at a national level, changes in practices and ideas in the formation of public policy.
- Municipal and National Stakeholders Combining Visions and Capacities to Aid in Democratic Governability is a project financed by TROCAIRE. The main goal of the project is to promote the conjoining of organizations from a particular sector of civil society to build democratic strategies for local development.

2.4. Donor coordination

Main donors currently active in cooperation with civil society are Finland, Germany, Spain, the United States and the EU. These donors form the Civil Society donor group. The group is coordinated by the EU since 2,5 years and meets 3/4 times a year to exchange information on activities related to financing civil society, in order to increase the efficiency and coherence, and avoid double funding.

The project has already been presented to the group and others donors like Ibis. A presentation with more in-depth information will be scheduled once the project has been approved by the EU, in order to ensure adequate coordination with other donors' interventions.

In addition it is important to note that actions envisaged in this proposal are set out in the Strategic Plan of the "Red Nicaragüense para la Democracia y el Desarrollo Local". It is a common practice of the organization to convene partners and donors on an annual basis to coordinate funding of the areas covered by the plan and thus bring greater coherence and avoid duplication.

3. DESCRIPTION

3.1. Objectives

The overall project objective is to contribute, through the actions of civil society, to improve governance in local development. The specific objective is to strengthen civil society organizations linked to the Nicaraguan Network for Democracy and Local Development to build active citizenship in local development.

These objectives are also consistent with constitutional principles and laws of the Republic of Nicaragua, which give legal background to the participation of citizens in local development and which at this time, are being weakened and put at risk.

3.2. Expected results and main activities

The expected results are:

1. Implementation of a fair and comprehensive Local Development Strategy which contributes to the joint management of local development by member organizations. To achieve this result, strategies will be identified, designed and implemented with active participation of civil society from selected municipalities under the close coordination of local governments. These strategies will be accompanied by awareness campaigns, exchanges of experience and dialogue processes that help to generate knowledge and lessons learnt about local development processes in order for these experiences to be shared with other municipalities and possibly replicated.

2. Development of a curriculum in Local Development Management with modalities adapted to the contexts of the different regions, aimed at CSO, authorities and municipal / regional and other links to the municipality. Special efforts will be made for this curriculum to be adopted by national academic institutions.

3. Functioning of a Centre which organizes, researches, and keeps a comprehensive database of updated and reliable information that reinforces the role of civil society and local authorities in Local Management. This center, already identified by Red Nicaragüense por la Democracia y el desarrollo local several years ago, will be under the coordination and management of its Technical Secretariat and information will be powered by its membership and strategic partners. Use of the information generated by the center will be available to public and private stakeholders, national and international.

4. Design and implementation of co-management templates (civil society, local governments) in the provision of municipal services. Special emphasis will be given to ensure that municipal services include affirmative action to facilitate the access of women and youth groups, as well as access to other marginalized groups such as indigenous peoples. Participation of these groups will also be encouraged in all stages of service management, from identification to evaluation.

3.3. Risks and assumptions

The main risks are:

- The results of the municipal elections held on 4 November 2012 generated a new panorama for the governance of the country, as the ruling party will manage more than the 85% of the municipalities in the country. This will bring unintended consequences for the decentralization of the State and municipal autonomy. However, the CSO's experience and track record in supporting local development, and building effective partnership with local governments, will be significant assets to face this new challenge.
- Given the fact that Nicaragua is counted among the 10 most vulnerable countries to natural disasters in the world, it is necessary to keep in mind the possibility of natural events (earthquake, hurricane, tidal waves, volcano eruptions, floods, droughts) that would weaken the participation of the stakeholders in the execution of the project. This is a hypothesis that cannot be predicted ahead of time, and if such events would occur, it would be necessary to reprogram activities in the affected territories.
- Another possibility is that the government could continue to trespass on the autonomy of the municipal government. If this happens, Red Local will keep its consistent stance for municipal independence.
- In some government institutions in the central government and municipalities and even in some of the CSO, youth are not valued as true stakeholders in development. The initiatives that the project intends to implement the development of new skills and even the very existence of the Youth Entrepreneurship Contest Fund could be influenced by this negative view.
- There is always the risk of access to public records being limited. If this happens, Red Local and its organizations will try to use recourses detailed in the Law of Access to Public Records and Information, without necessarily entering into direct conflict with the municipalities, in order to be able to gain the necessary information for the functioning of the Audit.

- Local governments could be reluctant to establish partnerships with CSO for the implementation of mutuality models in the lending of municipal services. We expect that the project's resources for these actions and the CSO's experience will be determining factors in achieving this degree of openness.

3.4. Cross-cutting Issues

The project takes into account the issues of human and civil rights, good governance and gender equality, as well as environmental protection, in all its activities.

3.5. Stakeholders

The project is based on the collaboration between two entities engaged in Local Development Advocacy. These are IDEUCA (Central American University's Institute of Education) and the Humboldt Center, a member of the Center for Training in Leadership and Planning for Local Development. Once the project has reached the execution stage, other Universities and Research Centers will be invited to participate as well.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

The Nicaraguan Network for Democracy and Local Development (Local Network), La Red Nicaragüense por la Democracia y el Desarrollo Local (Red Local) has been an independent, critical and proactive actor since its establishment in 1993. Its membership covers 111 of the 153 municipalities (72.54%), promoting dialogue between authorities and citizens. Studies are implemented that contribute to improved performance of public administration, skills are developed, experiences are systematized, alliances are fostered, knowledge is built and new schemes of local management are proposed, always with the aim of improving the living conditions of populations.

Red Local has been directly involved in the passing of several pieces of legislation: Municipal Budgetary Transfers (Bill 466), Civil Participation (Bill 475); Access to Public Records and Information (Bill 621), as well as the proposal of a National Fund for the Reconstruction of Municipalities after Hurricane Mitch (FONAC) as well as other collaborations to the National Policy and Strategy for Decentralization and Local Development. It has also participated and mentored municipal authorities and municipal associations in the struggle for municipal autonomy and development.

Due to its horizontal structure and internal democracy, the group has managed to gather organizations of different ideological trends and policies, allowing it to be the only space in Nicaraguan civil society that provides opportunities at municipal level for meeting, discussion and coordination between different organizations whose common denominator is to work together for democracy and local development.

Therefore, grant is directly awarded since it corresponds to a situation of *de facto* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution is of EUR 840,000 (maximum 90% of total project costs), to be financed under budget line 21 03 01.

The duration will be 28 months.

It is expected to be contracted the first semester of 2013.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

ANNEX V TO AAP 2013

ACTION FICHE 5

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART NSA – OBJECTIVE 1B – MULTI-COUNTRY INTERVENTIONS

1. Identification

Title/Number	Non-state actors (NSA) – Actions in partner countries (multi-country interventions) – call for proposals		
Total cost	EU contribution: EUR 16,000,000 (Budget Line 21 03 01) TOTAL EUR 16,000,000		
Method/ Management mode	Project approach - Call for Proposals managed by European Commission headquarters <i>Centralised (direct management)</i>		
DAC-code, if applicable	15150	Sector	Strengthening of civil society

2. Rationale

This Action Fiche refers to the objective 1b of the NSA²⁵ component of the programme: **multi-country interventions** – (support to NSA of five or more partner countries).

Multi-country interventions managed by Headquarters or EU Delegations will focus on i) actions aiming at strengthening regional, continental and global civil society representative networks (i.e. platforms, unions) active in development cooperation in partner countries and ii) multi-country actions led by these platforms, tackling issues of global concern.

Objective 1b has significantly evolved over the last years. Following the recommendations of the mid-term review and the outcomes of the Structured Dialogue²⁶, a more strategic approach was developed already to reach regional, continental and global networks of NSA²⁷. This approach was reflected in the Multi-Country call for proposals²⁸ launched in 2011 and targeting the empowerment and

²⁵ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

²⁶ URL: http://ec.europa.eu/europeaid/who/partners/civil-society/structured-dialogue_en.htm

²⁷ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

²⁸ EuropeAid/131140/C/ACT/Multi

capacity building of the above-mentioned networks as well as actions led by them on questions of global concern.

As a result, 18 projects have already been financed. In order to pursue this strategic support launched in 2011 it is proposed to use the 2013 allocation, the last of the current multi-annual strategy, to finance high quality projects in the reserve list of this call.

The communication on "The roots of democracy and sustainable development: Europe's engagement with Civil Society in external relations", issued in September 2012, highlights the increasing role played by organisations and networks active in the regional and international sphere in tackling transnational and global challenges and in linking local concerns and priorities with regional and global policy dialogues.

In line with the above, a service contract will be launched to assist the EU in consolidating dialogue with regional and global networks of CSO and LA. Further details of this contract can be found in Action Fiche 16.

3. Description of the call for proposal(s)

3.1. Basic act and Financing source

The Regulation N° 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI)²⁹ and in particular Art. 14 thereof constitute the legal basis of this programme.

This Action will be financed by budget line 21 03 01 "Non-State Actors in Development".

3.2. Objectives of the programme, fields of intervention/priorities of the year and expected results

It is recalled that the previous call for proposals was based on the priorities defined under the 2011-2013 Multiannual Strategy. These priorities were applied for 2011 and 2012 and will remain the same for 2013:

(1) Institutional capacity building of regional, continental or global NSA networks.

(2) Empowerment of regional, continental or global NSA networks to participate effectively in dialogues with international organizations (both with regional and global scope) and other relevant stakeholders (e.g. governmental authorities, private sector) in order for them to have a significant impact on policy-making processes. Actions should result in an enabling environment for NSA networks and in a more effective representation of the causes promoted by their members in dialogues with institutional interlocutors and other stakeholders.

(3) Actions led at regional, continental and global level by relevant NSA networks, tackling problems common to more than one region (e.g. desertification, migration, water management, HIV/AIDS).

There is a clear need to strengthen the capacity of representative regional³⁰, continental and global networks of NSA, to inform citizens about their rights, to increase their capacity to understand government policies and their implications on poverty and inequality. To this purpose, all actions to be supported under this

²⁹ Regulation (EU) No 1905/2006 of the European Parliament and the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ 378, 27.12.2006)

component of the programme should include an element of **capacity building** of representative regional, continental and global networks of NSA, in a way to guarantee principles of empowerment, participation, non-discrimination of vulnerable groups and accountability.

Actions must respect principles of human rights, good governance and gender equality as well as include cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

Under objective 1b, South-South cooperation is encouraged.

Expected results

As regards global/multi-country interventions, expected results are:

- (i) Increased institutional capacities of regional, continental and global NSA networks in terms of internal structures and operating modalities;
- (ii) Empowered regional, continental and global NSA networks for effective participation in dialogues with international organisations (with regional and global scope) and other relevant stakeholders (e.g. governmental authorities, private sector): increased number of transnational activities, exchanges, confidence building, networking and coordination activities between NSA networks and other stakeholders (North-South or South-South);
- (iii) Reinforced and best practices at global or regional level disseminated;
- (iv) Increased involvement of civil society in supporting actions led by regional, continental and global NSA networks on issues of global concern;

Actions supported under objective 1b must be complementary and bring an added value to the existing initiatives at national, regional, continental and global level.

3.3. Eligibility conditions

All actions should be based on an initiative of local partners and should ensure their involvement during all the stages of the action implementation. Actions proposed by NSA originating from the European Union must demonstrate that they are based on **an effective partnership** with NSA of the partner countries where the actions are taking place.

European Union support to the above-mentioned actions will, as a rule, take the form of grants.

The European Union will channel the financial support to regional, continental and global NSA networks through grants, to be awarded via the EU standard procedure for Calls for Proposals. Grants awarded following the global calls for proposals are selected by the Commission Headquarters, in cooperation with EU Delegations, and are managed either by headquarters or, whenever possible, by EU Delegations.

Besides the grants awarded through Call for proposals, in the present AAP, a direct grant has been awarded to Trade Union Development Cooperation Network (TUDCN), in compliance with the provisions of the Financial Regulation. The details of the Action can be found in Action Fiche 6.

Eligibility:

As applicants, all types of NSA³¹ and representative platforms of NSA, whose headquarters are in one of the partner countries³² or in a Member State of the European Union can apply under this component of the programme.

As co-applicants or affiliated entities, NSA, representative platforms of NSA, LA and associations of LA from partner countries³³ and from Member States of the European Union can apply. NSA must satisfy the same eligibility criteria as applicants. For the eligibility criteria of LA please refer to Action Fiche 7.

Geographical focus

Actions must take place in at least 5 partner countries eligible to this programme according to the DCI Regulation.

3.4. Essential selection and award criteria

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

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. As a general rule, the maximum possible rate of EU co-financing for actions to be funded and the maximum and minimum duration of actions are as follows:

- Grant size will, in principle, fall between the following indicative amounts: a minimum of EUR 1,000,000 and a maximum of EUR 4,000,000.
- The maximum possible rate of EU co-financing of the total eligible costs of the action are:
 - European NSA maximum of 75% of the total eligible costs
 - Partner countries NSA maximum of 90% of the total eligible costs
- Duration of the action: the initially foreseen duration of an action may not be lower than 24 months nor exceed 60 months.

3.5. Schedule of calls for proposals

Taking into consideration the strategic approach initiated in 2011 and the high quality of projects submitted in the last call for proposals, 2013 allocation will be used to fund the projects retained in the reserve list of the call EuropeAid/131140/C/ACT/Multi.

3.6. Indicative amount of call for proposals

The indicative financial envelope for 2013 for this component of the thematic programme amounts to EUR 16,000,000, under budget line 21 03 01 "Non-State Actors in Development".

³¹ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

³² Eligible partner countries are established in article 1(1) of the Regulation (EC) n°1905/2006

³³ Ibid.

4. Support measures

Monitoring and follow up missions by the staff or external consultants of the Commission will be conducted regularly. Close information links will be maintained between European Commission headquarters and European Union Delegations.

In addition, a kick-off meeting will be organised for the new grant beneficiaries. The meeting will represent an opportunity: (i) to discuss about project implementation with special focus on the impact of operations, financial management, communication and visibility; (ii) to exchange experiences and best practices; (iii) to network among NSA and other stakeholders.

All support measures must be implemented in accordance with the European Commission's standard procedures for the implementation of external actions.

ANNEX VI TO AAP 2013

ACTION FICHE 6

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART NSA – OBJECTIVE 1B – TARGETED PROJECTS

1. IDENTIFICATION

Title/Number	Non-State actors (NSA) – Actions in partner countries (in-country interventions) - Targeted project to Trade Union Development Cooperation Network - TUDCN		
Total cost	EU contribution - EUR 4,000,000 (Budget Line: 21.03.01) TOTAL: EUR 4,000,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grants</u> (direct centralised management)		
DAC-code	15150	Sector	Strengthening of civil society

2. RATIONALE

This Action Fiche concerns the direct award of 1 grant to the Trade Union Development Cooperation Network (TUDCN), a representative platform of NSA³⁴ active in development.

This direct award refers to the objective 1b of the NSA³⁵ component of the programme: **multi-country interventions**.

Multi-country interventions managed by Headquarters or EU Delegations focus on i) actions aiming at strengthening regional, continental and global civil society representative networks (i.e. platforms, unions) active in development cooperation in partner countries and ii) multi-country actions led by these platforms, tackling issues of global concern.

2.1. Sector context

The international trade union (TU) movement represents 175 million workers in 153 countries. Affiliated national TU centres, which are independent and democratically elected organisations, have for decades offered solidarity to and engaged with one

³⁴ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

³⁵ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

another, at bilateral level or through regional groupings. A key area of solidarity and engagement is development cooperation.

The TUDCN was established in 2008 by the International Trade Union Confederation (ITUC). The mandate of the TUDCN is (i) to improve TU development cooperation effectiveness (cooperation and coordination) through the sharing of information and practices and by stimulating improved impact and results of solidarity efforts within the trade union movement; and (ii) to ensure input of trade union views in the development related policy debates and especially concerning the inclusion of the Decent Work Agenda and democratic ownership in development as key issues for sustainable development strategies. TUDCN has so far achieved the recognition of the Trade Unions as development actors in their own right and the particular role they play as a social partner in development strategies based on inclusive growth.

Past support from the NSA programme has allowed TUDCN to become an inclusive and effective development cooperation network for all parties in the Trade Union community.

In the last few years TU have actively engaged in the international arena working on development effectiveness, as well as in international frameworks promoting representation and inclusion of partner countries representatives in international and European level debates (Financing for Development Doha 2009; LDC IV 2010; Busan HLF 4, 2011; UNCTAD XIII, 2012; G-8/20).

At the EU level, TU have been active in the Structured Dialogue process and contributed to the different consultations on the new policy framework, as well as to other work streams related to social protection and decent work.

At the international level, TU have taken a leading role in Civil Society platforms such as BetterAid and the Open Forum for CSO Effectiveness. This has contributed to an increased focus in development policies on social sustainability and rights based approaches to development. The following topics have been central in the TUDCN's advocacy: the "decent work agenda" (jobs, rights, social protection and social dialogue) and democratic ownership in development; the promotion of an inclusive strategy towards economic growth, private sector involvement in development cooperation, recognition of social dialogue and of social partners engagement as development actors in their own right, as well as the promotion of an enabling environment for CSO.

Principles and Guidelines for TU development effectiveness were developed in order to improve cooperation and coherence within the TU' development cooperation efforts with the TU in partner countries. The Trade Union Development Effectiveness Profile (TUDEP) was set up as a learning tool to support TU development actors in putting the Principles into practice and facilitating the monitoring and evaluation of their implementation. Being in its early stage, the TUDEP needs to be promoted at regional and national level.

Overall, a major achievement of the TUDCN has been to set up a space for TU partners working in development to build shared approaches and joint action. Empowering TU in partner countries in the global South is now the main challenge for TU cooperation in general and for the TUDCN in particular.

2.2. Lessons learnt

Two EU grants under Action 3 of the NSA-LA programme in 2009 (2009-2010) and 2010 (2011-2012), have allowed the TUDCN to develop and consolidate as an inclusive and relevant development cooperation network for all parties in the TU community.

The first programme centred on the “*trade unions as actors in development*” enabled the establishment of a shared common ground for trade union coordination in the development field including the Principles and Guidelines for trade union development effectiveness. It also initiated the participation of the Trade Union movement in the Structured Dialogue with the EU commission and member states and in the Aid Effectiveness debates.

The second programme permitted the consolidation of Trade Unions as actors in development through input into the EU Structured Dialogue and Policy Forum; participation and contribution to the Working Party on Aid Effectiveness, the Task Team on CSO Effectiveness and the Cluster A work on Democratic Ownership and the Busan HLF. Additionally, direct interaction with the OECD/DAC and with member states was established and the work on the UN +2015 Development Goals initiated. Research and policy dialogue has also taken place on donor support systems for trade union development cooperation work. Finally, coordination has been strengthened with new tools including the TUDEP and the Projects Directory and shared approaches to the monitoring and evaluation of Trade Union development programmes have also been initiated.

The establishment of connections between TUs in the North has been one of the most tangible results of these projects through the enhancing of existing relationships and creation of new ones. Strong regional or sub-regional networks in the regions are needed today in order to enhance capacity development for engagement of the national trade union actors in the development policies.

2.3. Complementary actions

Complementary actions will be sought with other actions implemented in the framework of the NSA-LA programme described in Action Fiche 5.

Complementary actions with other projects and/or programmes involving other civil society actors and social partners dealing with core areas of concern to TU, financed by the EU and other donors will also be ensured.

2.4. Donor coordination

At this stage, the EU grant is the only global, structural and long-term source of external financing. However, depending on precise definition of the annual action plans, potential funding from other donors could be considered. Therefore Coordination will be ensured at country, regional and global level through the yearly action plans. Each year a Trade Union Solidarity Organisations (TUSO) meeting takes place in each of the continents to discuss continental level coordination and harmonisation of interventions. Globally the Trade Union Projects Directory³⁶ permits the cross-checking of all interventions.

³⁶

<http://projects.ituc-csi.org/>

3. DESCRIPTION

3.1. Objectives

The proposed project will enlarge and enhance the TUDCN's progress by **focussing on the in-country capacity development of partner countries TU as actors in the economic and social development field**. This will enable the TUDCN's existing coordination, advocacy and partnership programmes to become better anchored in national realities and more than before, bring TU from partner countries to the table at the national level. Additionally, unions from partner countries will be empowered to take part in the regional and international debates and frameworks based on their evidence-based national experiences and challenges.

The overall objective of the project is for TU to contribute to global social, inclusive and sustainable development (including the application of the decent work agenda, the promotion of social protection, democratic ownership and equality). The project will contribute to this Overall Objective by improving TU development cooperation effectiveness, through coordination and partnership, advocacy and capacity development.

Actions will be defined according to regional and national contexts and needs.

The specific objectives are:

1. Improved and effective participation of TU in partner countries in national, regional and international policy dialogues on development;
2. Relevant national, regional and international institutions include elements of social justice in their policy and strategy models for an alternative and more sustainable development model
3. Improved effectiveness of TU development cooperation partnerships.

3.2. Expected results and main activities

The results related to specific objective 1 are:

- Increased capacity of TU in partner countries to be more representative, autonomous and democratic;
- TU advocate for and use improved mechanisms of social dialogue and other activities to influence national, regional and international strategies.

The results related to specific objective 2 are:

- Relevant institutions at all levels work with TU as social and development partners in their own right;
- Decent work, social protection, democratic ownership and economic, social and environmental sustainability are effectively integrated into the discussions on the post 2015 development framework.

The results related to specific objective 3 are:

- TUDCN recognition is consolidated as the single, inclusive and appropriate instrument for TU development cooperation;
- Partner relationships between TU that receive and provide financial support more equal and balanced;
- Improved monitoring, learning and assessment of the results achieved;

- Increased awareness and openness of international and national donors to TU development practice and approach;
- Strengthened policy and organisational coherence and coordination amongst TU partners.

Activities will include: mapping and organisational capacity assessments of TU in partner countries; the development and implementation of TU in partner countries development capacity strategies and programmes; policy development and input into key national, regional and international development policy dialogues and debates; coordination activities aimed at improving shared planning, monitoring and evaluation processes of development initiatives.

3.3. Risks and assumptions

This programme focuses on organisational and capacity development, advocacy and networking and building partnerships. No major risks are foreseen in its implementation. The programme is built on the following assumptions:

- Participating TUDCN affiliates remain fully committed to the project plan;
- TUDCN members remain willing to revisit and improve their approach to development cooperation and their methods of coordination;
- TUDCN, its regional offices and affiliates' ability to act is not significantly hampered by national and international disasters, coups, wars, etc.;
- Democratic space is granted to TU and civil society at large by governments based on UN and ILO conventions on fundamental freedoms.

3.4. Cross-cutting Issues

The project takes into account principles of human rights, good governance, decent work and gender equality as well as cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and the fight against HIV/AIDS.

3.5. Stakeholders

The partners of the project include: ITUC's regional organisations (Africa, America, Asia Pacific,) the European Trade Union Confederation (ETUC) and affiliates (312 confederations); TU solidarity and support organisations (TU-SSO), Global Union Federation, and the Trade Union Advisory Committee to the OECD (TUAC).

Other stakeholders include actors of social dialogue (governments and employers' organisations) and the International Labour Organisation (ILO).

Through the TU action, a large part of the working population, their families and communities will benefit improved working and living conditions.

Structural measures on social protection e.g. proposals for a social protection floor, the promotion of inclusive growth and the fight against inequality will benefit large numbers of the population and in particular people living in poverty.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

The TUDCN has become the single inclusive TU platform for development cooperation, open to all parties in the global TU family: the affiliates of the ITUC, the regional organisations from Africa, America, Asia-Pacific and Europe, the ETUC, the TU-SSO, the Global Union Federations, the TUAC to the OECD and other interested TU based organisations.

Therefore, the grant qualifies to be ‘directly awarded’ since it corresponds to a situation of *de facto* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution is of EUR 4,000,000 (maximum 75% of total project costs), to be financed under budget line 21 03 01.

Duration of the action: 48 months

It is expected to be contracted in the first semester of 2013.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

Annex VII to AAP 2013

Action Fiche 7

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT

PART LA – OBJECTIVE 1A – IN-COUNTRY INTERVENTIONS

1. Identification

Title/Number	Local Authorities (LA) – Actions in partner countries (In-country interventions) – calls for proposals		
Total cost	EU contribution: EUR 25,575,000 (Budget Line 21 03 02) TOTAL EUR 25,575,000		
Method/ Management mode	Project approach - Calls for Proposals managed by European Commission headquarters and European Union Delegations <i>Centralised (direct management)</i>		
DAC-code, if applicable	15112	Sector	Decentralisation and support to subnational government

2. Rationale

The EU has significantly strengthened its engagement with LA over the last years. The Communication on "Increasing the impact of EU Development Policy: an Agenda for Change"³⁷, issued in October 2011, has further acknowledged the role of this type of actor. They are, as public authorities in partner countries, essential part of a more strategic approach to poverty reduction and sustainable development in support of good governance, as well as on inclusive and sustainable growth for human development. In particular, the Communication states that "*the EU should strengthen its links with [...] Local Authorities, through regular dialogue and use of best practices. [...] The EU should consider ways of mobilizing local authorities' expertise, e.g. through networks of excellence or twinning exercises*".

Besides, the Busan Partnership Document (2011)³⁸ recognised the shift from mutual accountability (international donors - central governments) to multi-actor and multi-level accountability, confirming that way the importance of LA, emphasising the critical role they play in "*linking citizens with government and in ensuring broad-based and democratic ownership of countries' development agendas*"³⁹.

³⁷ COM (2011) 637: http://ec.europa.eu/europeaid/what/development-policies/documents/agenda_for_change_en.pdf
³⁸ URL: www.aideffectiveness.org/busanhlf4/images/stories/hlf4/OUTCOME_DOCUMENT_-_FINAL_EN.pdf
³⁹ **Paragraph 21** of the Busan Partnership Document: "Parliaments and local governments play critical roles in linking citizens with government, and in ensuring broad-based and democratic ownership of countries' development agendas. To facilitate their contribution, we will: a) Accelerate and deepen the implementation of existing commitments to strengthen the role of parliaments in the oversight of development processes, including by supporting capacity development - backed by adequate resources and clear action plans. b) Further support local governments to enable them to assume more fully their roles above and beyond service delivery, enhancing participation and accountability at the sub-national levels" (page 6).

The Communication on "The future approach to EU budget support to third countries"⁴⁰ underlines as well the key role that CSO and LA should play in participatory budget approaches, particularly in strengthening domestic accountability.

Moreover, within the first semester 2013 a Communication on "Local authorities on development" will be issued to develop the role of local authorities and associations of LA within the European development policy. It will further develop the provisions relating to LA in the Agenda for Change and builds on the worldwide Structured Dialogue on the involvement of CSO and LA in EU development cooperation⁴¹ concluded in 2011. It identifies priorities areas in its engagement with local LA in partner countries relating to the promotion of good local governance, through a real policy dialogue for the participation of LA in domestic policies, in the EU programming cycle and in international processes and the support to their capacity to perform their roles more effectively.

This Action Fiche refers to the Objective 1 of the Local Authorities component of the programme. This Objective seeks to **(i) strengthen institutional and operational capacities of⁴² in partner countries**, to reinforce local governance, to improve citizens' access to public services and better living conditions within their communities,; **(ii) strengthen the structure and the capacities of Associations of Local Authorities (ALA)⁴³ in partner countries**, to reach a legitimate and effective coordination role and a concrete representation of the needs of local communities in institutional dialogues; **(iii) to complement on-going decentralisation process**, where this is deemed relevant for capacity development of LA in partner countries.

Regarding the **in-country interventions**, EU Delegations will define the actions to be supported in accordance with local needs in terms of actors (type and origin), priorities, themes, sectors, and geographical areas. In line with Paris Declaration for aid effectiveness and the Accra Agenda for Action, subsidiarity and complementarity with other geographic or thematic interventions will be monitored by EU Delegations. This will allow EU Delegations to ensure complementarity and value added with other programmes under implementation in the country, as well as to respond better to the needs of the LA.

3. Description of the call for proposal(s)

3.1. Basic act and Financing source

The Regulation N° 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI) and in particular Art. 14 thereof constitute the legal basis of this programme.

This Action will be financed by budget line 21 03 02 "Local Authorities in Development".

⁴⁰ COM (2011) 638: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0638:FIN:EN:PDF>

⁴¹ URL: http://ec.europa.eu/europeaid/who/partners/civil-society/structured-dialogue_en.htm

⁴² 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].

⁴³ 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.

3.2. Objectives of the programme, fields of intervention/priorities of the year and expected results

In-country interventions should be complementary to Country Strategy Papers (CSP) and complement other thematic programmes, including the European Instrument for Democracy and Human Rights.

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

Particular attention will be given to supporting the LA from the partner countries in order to strengthen their capacity. According with the country context and in order to respond to local needs, each Delegation will define specific selection criteria.

In all actions the execution of operations must remain under the responsibility and supervision of the LA or ALA in coherence with relevant sectoral policies. Mechanisms must be put in place to ensure sustainability of the actions at the end of the EU co-funding.

All actions to be supported under this component of the programme should include an element of **capacity development** of LA and their Associations in partner countries.

Partnerships among LA, ALA and other stakeholders are encouraged in order for the action to achieve stronger ownership and long term impact.

A part from being potentially the targeted issue addressed in a given action, all actions must respect principles of human rights, good governance and gender equality as well as include cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

In transition/fragility situations, synergies/complementarities with ECHO interventions should be envisaged.

The **list of the 40 targeted countries** and respective country envelopes is presented below under point 3.3.

Expected results are:

- i) Increased capacity of LA in the definition and implementation of public policies at local level, with the view of improving local governance and contributing to poverty reduction and sustainable development strategies and programmes;
- ii) Strengthened institutional capacities and internal structure of National ALA in order to reinforce local actors and reach a more effective representativeness role, and reinforce their participation in the country policy dialogue;
- iii) Increased participation of the citizens in the policy making processes, to promote better local governance;
- iv) Improved multi-stakeholder dialogues between LA, ALA and other stakeholders, as central governmental institutions or NSA.

3.3. Eligibility conditions

All actions should be based on an initiative of local partners and should ensure their involvement during all the stages of the action implementation. Actions proposed by

Local Authorities originating from the European Union must demonstrate to **have an established and effective partnership** with LA and ALA in the partner countries where the actions are taking place.

European Union support to the above-mentioned actions will, as a rule, take the form of grants.

The country-based programmes will be implemented at local level by EU Delegations. As stated above, and in line with the principles of subsidiarity and complementarity as defined in the DCI Regulation (Art. 11), each EU Delegation will define respective country priorities and eligible applicants.

Eligibility: As applicants, all types of LA and ALA, legally established, from the concerned targeted countries (indicated in the list below) where the action is taking place or from a Member State of the European Union, can apply. All LA must be officially recognized as such, according to the legislation in force in their respective country.

LA from a member State of the European Union can only be considered eligible when they present project proposals based on an initiative of LA' partners and ensure their involvement during all the stages of the action implementation. LA from the EU Member States that wish to propose an action must demonstrate an established and effective partnership with local authorities in the partner countries, where the actions are taking place.

As co-applicants or affiliated entities, NSA and LA or ALA from partner countries⁴⁴ and from Member States of the European Union can apply. A minimum of one LA or ALA from the targeted countries shall apply as partner. For the eligibility criteria of local authorities please refer to Action Fiche 1.

The **list of 40⁴⁵ targeted countries** and respective budget allocations for Local Authorities foreseen for 2013 is provided hereafter. The allocations per region respect the repartition of resources established by the 2011-2013 Multiannual Strategy⁴⁶.

Countries that have no amount stated in the right column may have received an allocation in 2011 or in 2012. Where an EU Delegation opted for a direct award of grants in compliance with the provisions of the Financial Regulation, relevant information has been introduced in Action Fiches 8, 9 and 10.

African, Caribbean and Pacific countries

	Budget Line 21 03 02 (€)
Angola*	0
Benin*	0
Burundi*	0
Cameroun	1,000,000
Cape Vert	0
Chad*	500,000

⁴⁴ Eligible partner countries are established in article 1(1) of the Regulation (EC) n°1905/2006

⁴⁵ Cuba and Vietnam have opted to use their entire allocation through direct award of grants (see Action Fiches 8, 9 and 10). Nevertheless, for the purpose of giving a global sight of country coverage, the number of countries covered have been indicated here, independently of the aid modality chosen.

⁴⁶ http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

Comores*	0
Congo Brazzaville	0
Djibouti*	0
Dominican Rep.	0
East Timor*	0
Equatorial Guinea*	0
Eritrea*	0
Gabon	800,000
Gambia*	0
Ghana	1,250,000
Guinea Bissau*	1,250,000
Guinea Conakry*	1,750,000
Guyana	225,000
Haiti*	1,200,000
Ivory Coast	0
Kenya	0
Lesotho*	0
Liberia*	0
Madagascar*	1,000,000
Mali*	0
Mauritania*	500,000
Mauritius	0
Mozambique*	200,000
Namibia	0
Niger*	0
PNG	0
RCA*	450,000
RDC*	0
Republic of South Sudan	0
Rwanda*	600,000
Sao Tomé and Príncipe*	600,000
Senegal*	750,000
Sierra Leone*	1,250,000
Solomon Islands*	0
Somalia*	0
Sudan*	0
Swaziland	0
Togo*	0
Tonga	0
Uganda*	0
Zambia*	800,000
Zimbabwe	1,800,000
TOTAL	15,925,000

Central and South American countries

	Budget Line 21 03 02 (€)
Argentina	0
Bolivia	650,000
Brazil	800,000
Chile	300,000
Colombia	500,000
Cuba	0
Ecuador	0
El Salvador	500,000
Guatemala	800,000
Honduras	0
Mexique	0
Nicaragua	500,000
Paraguay	0
Peru	400,000
Uruguay	0
Venezuela	400,000
TOTAL	4,850,000

Asian countries

	Budget Line 21 03 02 (€)
Afghanistan*	0
Bangladesh*	0
Burma / Myanmar*	1,000,000
Cambodia*	900,000
China	0
India	0
Indonesia	0
Laos*	300,000
Mongolia	0
Nepal*	1,000,000
North Korea	0
Pakistan	0
Philippines	0
Sri Lanka	0
Thailand	0
Vietnam	0
TOTAL	3,200,000

Central Asian countries

	Budget Line 21 03 02 (€)
Kazakhstan	0
Kyrgyzstan	0

Tajikistan	0
Uzbekistan	0
TOTAL	0

Middle East countries

	Budget Line 21 03 02 (€)
Iran	0
Yemen*	300,000
TOTAL	300,000

ENPI countries

	Budget Line 21 03 02 (€)
Algeria	0
Armenia	250,000
Azerbaijan	0
Belarus	250,000
Egypt	0
Georgia	150,000
Israel	0
Jordan	0
Lebanon	300,000
Lybie	0
Moldova	0
Morocco	0
Russia	0
Syria	0
Tunisia	0
Ukraine	350,000
West Bank and Gaza Strip	0
TOTAL	1,300,000

TOTAL	25,575,000
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(* Least Developed Countries (OECD/DAC list)

As foreseen in the Strategy 2011-2013, the following two criteria were used for establishing the above list:

- (1) Country situations not conducive to ensuring NSA and LA' involvement in the development process, including difficult partnerships⁴⁷, unstable situations, conflict, poor governance etc.

⁴⁷

Situations of difficult partnership are defined as those where for one of the following reasons the usual cooperation instruments cannot be fully used to support initiatives undertaken by stakeholders other than central governments: (1) countries where cooperation has been suspended, (2) countries where the authorities are not committed to objectives of poverty reduction and to other basic principles of development policy, including good governance and participation of civil society and decentralized authorities, (3) countries where the dialogue on participatory approaches to development is very limited.

(2) Country where specific needs of parts of the population are not addressed in its development strategy and groups are out of reach of mainstream services and resources, excluded from the policy-making process.

Geographical focus

Actions must take place in the partner country where the grant has been awarded.

3.4. Essential selection and award criteria

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

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. Where the standard procedure of calls for proposals is to be used, according to the Practical Guide, the system of restricted calls for proposals (concept note + full proposals) will be used.

As a general rule, the maximum possible rate of EU co-financing for actions to be funded and the maximum and minimum duration of actions are as follows:

- Grant size will, in principle, be of a minimum of EUR 300,000, except in those cases in which the country allocation is equal or less than EUR 300,000⁴⁸ or in other exceptional and duly justified cases.

In order to ensure the access to funds of all types and levels of local authorities, the use of the sub-granting approach is encouraged.

- The maximum possible rate of EU co-financing of the total eligible costs of the action are:
 - European LA maximum of 75% of the total eligible costs
 - Partner countries LA maximum of 90% of the total eligible costs

Full financing may only be applied in the cases provided for in the Financial Regulation, where financing in full is essential to carry out the action in question.

Duration of the action: the initially foreseen duration of an action may not be lower than 24 months nor exceed 60 months. Under their respective calls for proposals each Delegation may determine the minimum and maximum durations, provided these stay within the above-mentioned limits. In duly justified cases, Delegations can finance actions of 12 months.

Microfinance activities (for in-country)

When microfinance activities will be envisaged, additional conditions will be applied in order to ensure more professional and sustainable delivery of microfinance interventions. Details of these conditions will be contained in the guidelines for calls for proposals, in line with the European Commission Guidelines for Support to Microfinance: they aim at achieving professionalization and sustainability through introduction of minimum requirements as regards the applicant's expertise (i.e. the capacity to provide financial services according to agreed international standards of good practice) and experience (track record in the microfinance field), application of selection criteria on the type and design of the actions, and inclusion of performance measuring and monitoring system concerning the actions.

⁴⁸

When country allocation is equal or less than EUR 300,000 lower size grants are directly accepted.

3.5. Schedule of calls for proposals

Local calls for proposals are expected to be published as from the second quarter of 2013. In some cases, where pooling of 2012-2013 allocations were foreseen, calls for proposals may have been published before with suspensive clause.

All calls for proposals will be published on the EuropeAid central website. Call for proposals concerning in-country interventions are additionally to be published on the concerned Delegation website.

3.6. Indicative amount of call for proposals

The indicative financial envelope in 2013 for Objective 1 (in-country actions) for "Local Authorities in Development" amounts to EUR 25,575,000 under 21 03 02 "Local Authorities in Development".

4. Support measures

Monitoring and follow up missions by the Commission staff or external consultants of the Commission will be conducted regularly. Close information links will therefore be maintained between European Commission headquarters and European Union Delegations.

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 component of objective 1 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 for PADOR registration, local mapping studies, training seminars and workshops related to the programme, capitalisation studies, programme evaluations at country level and/or other activities focusing 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, 15 to 20 contracts 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 the delegation to manage the programme, such as technical assistance for the evaluation of proposals, projects' audits or follow-up of the programme.

All support measures must be implemented in accordance with the European Commission's standard procedures for the implementation of external actions.

ANNEX VIII TO AAP 2013

ACTION FICHE 8

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART LA – OBJECTIVE 1A – TARGETED PROJECTS

1. IDENTIFICATION

Title/Number	Local Authorities (LA) – Actions in partner countries (In-country interventions) – targeted project to Oficina del Historiador de la Ciudad de la Habana (Cuba)		
Total cost	EU contribution - EUR 1,100,000 (Budget Line: 21.03.02) TOTAL: EUR 1,100,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grant</u> (direct centralised management)		
DAC-code	15112	Sector	Decentralisation and support to subnational government

2. RATIONALE

This Action Fiche concerns the direct award of 1 grant to the Oficina del Historiador de la Ciudad de la Habana (OHCH), a LA promoting innovation, excellence and inclusive local development processes.

The following direct award refers to the Objective 1 of the LA component of the programme: **(i) strengthen institutional and operational capacities of LA⁴⁹ in partner countries**, to be able to enhance the quality of public policies at local level, to reinforce local governance, and citizens' access to improved public services and better living conditions within their communities; **(ii) strengthen the structure and the capacities of ALA⁵⁰ in partner countries**, to reach a legitimate and effective coordination role and a concrete representation of the needs of local communities in institutional dialogues; **(iii) to complement on-going decentralisation process**, where this is deemed relevant for capacity building of LA in partner countries.

2.1. Sector context

The Old Havana, the traditional Malecón, and the Port Avenue are the territories covered by the OHCH. 120.000 inhabitants live in this area which has the highest density of Cuba in term of population and presents a complex socio-economic

⁴⁹ 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].

⁵⁰ 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.

landscape. The area counts 3.400 buildings representative of nearly five centuries of building activity. The economy of the territory is fundamentally based on services, with an increasing concentration of this activity in touristic and commercial facilities. The decentralised management of the Historic Centre and its rehabilitating process carried out by OHCH) is based on 3 axes: 1) Heritage recovery, 2) Social rehabilitation, 3) Economic revitalization.

This territory and specifically the Havana Bay are part of an important reconversion process following decisions to move the traditional industrial and commercial port activities to the nearby port of Mariel (important infrastructure project financed by Brazil government), to reorient contaminating industrial activities and to recover the maritime border.

2.2. Lessons learnt

Over the last decade, local development initiatives funded by European donors (AECID, Italy, Belgium, UE) have proven the solid capacity of OHCH to coordinate numerous and different stakeholders, to involve them in policy building processes and to communicate very efficiently on local development processes and actions.

The project 2009/200-538 "Heritage Recovery and Cultural Development in Havana: Segundo Cabo Palace" with OHCH as the local partner has just been monitored (ROM) in January 2013. Preliminary results are very good. According to the mission, the quality of the Action and the results are very high. The very good level of coordination and articulation between stakeholders and local institutions promotes very valuable synergies. It was also emphasised the importance of a complementary Action (current proposal) to consolidate the very encouraging results (more capitalisation and systematisation) and to maximise the impact and the sustainability.

2.3. Complementary actions

Complementarities will be sought with other actions implemented at country level in the framework of the NSA-LA programme described in Action Fiche 7.

Complementarity with other projects and/or programmes dealing with Civil Society financed by the EU and other donors will also be ensured.

2.4. Donor coordination

Coordination with Member States is ensured through regular meetings, exchanges of information and visits of projects⁵¹.

Regarding this action and what refers to Result 2 (Palacio de II Cabo), Member States active involvement is encouraged, particularly regarding their support to future scientific and cultural cooperation between European institutions.

Coordination with non EU donors and more specifically with Canada, Japan and Switzerland is also ensured in a fluid manner as well as with UN specialised agency, UNESCO.

Coordination with local authorities and with the Ministry for International Trade, Investment and Cooperation (MINCEX) which is the main overall interlocutor on international cooperation programmes is fully ensured. OHCH and its International

⁵¹ A EU field visit to the Palacio de II Cabo has been organised by the Delegation (at Ambassadors level) on 14th of November 2012 to present the results of the rehabilitation process and the perspectives.

Cooperation Department demonstrate a responsible and efficient use of donors' funds based on complementary and integrated approaches (absence of risk of any overlap).

3. DESCRIPTION

3.1. Objectives

Overall Objective:

To contribute to participative and sustainable local development in Cuba

Specific objective:

To support the OHCH, a local authority promoting innovation, excellence and inclusive processes, in developing Havana Bay territory through two participatory local development initiatives involving actively national and international decentralised cooperation networks.

3.2. Expected results and main activities

1. Elaborated a participatory design of a land-use and urban management plan for the conversion of Havana Bay and its surroundings to a public area for the city and its citizens (local policy building).

The participative and interdisciplinary methodology will involve many stakeholders in the process (Old Havana and Regla local governments - specialised entities). It will also fully integrate the network of Historians Offices and Curators of Cuban heritage cities in order to let them learn from the participative methodology of this decentralised cooperation experience and to integrate them into decentralised cooperation networks (regional and European) in view of future actions in their territories. Exchanges with European cities offering similar experiences of reconversion of port and industrial areas into new public areas and services and of local development strategies articulating public and private initiatives will be promoted.

Activities would notably consist of transfer of knowledge/best practices, specific capacity buildings and training, diagnostic studies on land-use, urban management and socio-economic local development.

Environmental issues will receive specific attention.

2. Interpretation Centre of Cuba-Europe cultural relations established and fully operational in the Palacio de Segundo Cabo⁵², national protected landmark located at the entrance of Havana Bay.

The Centre will contribute to the reactivation of the territory for the benefit of its inhabitants, students, academics/researchers, tourists and to the strengthening of Cuba-Europe cultural dialogue by promoting and developing scientific and cultural cooperation. It will offer permanent and temporal exhibitions, and services such as multimedia library, areas for educational activities in liaison with primary and secondary schools, bookshop, cafeteria. Interactive cultural services will contribute to renew and deepen intercultural dialogues.

⁵² Palacio del Segundo Cabo has been rehabilitated with the project (2009/200-538 - Heritage Recovery and Cultural Development in Havana: Segundo Cabo Palace) co-financed by the EU. This result intends to build further the EU support by supporting directly the OHCH in implementing the technical proposal and the strategy of the cultural programming.

This action is based on the output of a thorough identification process which relies on diagnostic and studies carried out by a large network of Cuban, Caribbean and European expertise. Main activities will include the equipment of the Centre with a rational and sustainable use of new communication technologies and the elaboration and launch of the Cultural programming Strategy promoting scientific and cultural exchanges between Cuba and Europe.

Special emphasis will be put on transversal issues, especially Gender and Disability.

3.3. Risks and assumptions

The successful implementation of the action relies on the following assumptions:

1. OHCH legal, administrative and technical prerogatives are maintained and the political environment is favourable to OHCH to act as a local development actor of changes (specific objective level).

The risk is quite low. OHCH demonstrates over the past decades its high capacities and professionalism based on outstanding results and receives national and international recognition for its action in term of local development. Previous experience of cooperation has showed a very high level of ownership of OHCH.

2. No major meteorological phenomenon as hurricanes will affect implementation.

The risk is medium. National mechanisms of prevention and responses are effective and could mitigate this risk.

3. Purchasing activities and more specifically importations will not be affected and delayed by an adverse economic and administrative environment.

The risk is low. The initiating process of modernisation of the socio economic model of the country is a positive signal to mitigate this risk.

3.4. Cross-cutting Issues

The project takes into account principles of human rights, good governance and gender equality as well as cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

3.5. Stakeholders

The direct beneficiary of the Action is the local authority, OHCH. Indirect beneficiaries are the different partners: network of Historians Offices and Curators of Cuban heritage cities, Old Havana local government, primary and secondary schools, European municipalities, European cultural institutions. Final beneficiaries are Havana Bay and Old Havana inhabitants, visitors and new services users.

The Network of "Oficinas del Historiador y el Conservador de las Ciudades Patrimoniales" of Cuba was created in 2009 in order to promote exchanges of knowledge and good practices on heritage management and local development. La Habana, Cienfuegos, Trinidad, Camaguey and Santiago de Cuba are part of it. The active participation of the Network into this Action is an opportunity to concretely integrate Cuban provincial level into a local development process by opening dialogues and exchanging experiences and know-how with similar regional and European decentralised stakeholders. Its active integration into this Action will create

capacities to replicate experiences and will contribute to rebalance provincial level vis-à-vis Havana City.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

The OHCH is a local authority in charge of managing the rehabilitation Project of historic centre of La Habana Vieja, declared Nacional Monument in 1978 and included in the UNESCO World Heritage list since 1982. It is a local public entity which proposes and implements in coordination with the local government a participative local development policy. It has legal personality and has financial autonomy.

OHCH was founded in 1938, and is responsible for the rehabilitation of the Historic Centre since 1981. Since 1993, with the enactment of Decree-Law 143, it is invested with special powers to implement an integral development plan in the territory. It is self-financed and brought about a significant increase in investment volumes and the development of numerous actions beyond the heritage area, providing a stronger weight to the socioeconomic and environmental dimensions.

Its model of Heritage Recovery management goes beyond the traditional recovery of buildings and public spaces, tackling issues directly linked to local development (housing, education, health, small business – self-employed and cooperatives- and actions to protect the most vulnerable groups.

Therefore, the grant is directly awarded since it corresponds to a situation of *de jure* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution is of EUR 1,100,000 (maximum 90% of total project costs), to be financed under budget line 21 03 02.

This Action is to be implemented during a 36 months period.

It is expected to be contracted the second trimester of 2013.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

ANNEX IX TO AAP 2013

ACTION FICHE 9

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART LA – OBJECTIVE 1A – TARGETED PROJECTS

1. IDENTIFICATION

Title/Number	Local Authorities (LA) – Actions in partner countries (In-country interventions) – targeted project to Asociación Hondureña de Municipios – AHMON (Honduras)		
Total cost	EU contribution - EUR 250,000 (Budget Line: 21.03.02) TOTAL: EUR 250,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grant</u> (direct centralised management)		
DAC-code	15112	Sector	Decentralisation and support to subnational government

2. RATIONALE

This Action Fiche concerns the direct award of 1 grant to Asociación Hondureña de Municipios (AHMON), a local representative platform of LA active in development.

The following direct award refers to the Objective 1 of the LA component of the programme: **(i) strengthen institutional and operational capacities of LA⁵³ in partner countries**, to be able to enhance the quality of public policies at local level, to reinforce local governance, and citizens' access to improved public services and better living conditions within their communities; **(ii) strengthen the structure and the capacities of ALA⁵⁴ in partner countries**, to reach a legitimate and effective coordination role and a concrete representation of the needs of local communities in institutional dialogues; **(iii) to complement on-going decentralisation process**, where this is deemed relevant for capacity building of LA in partner countries.

2.1. Sector context

Honduras is divided in 18 departments and 298 municipalities. More than half of the population is concentrated in just 20 municipalities, the most populated being Distrito Central and San Pedro Sula. 19 out of these 20 are among the most developed municipalities in Honduras. Income and well-being disparities across

⁵³ 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].

⁵⁴ 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.

municipalities are significantly high both within and between departments. The Honduran Government has classified municipalities into four groups—A, B, C, D—, reflecting the large differences in development across municipalities. Group A municipalities are most developed and Group D the least. 243 municipalities are in Group C and D and are home to 43% of the population. Therefore there are great differences in the management capacities of local governments, especially in achieving tax recollection goals (this being the case even for A and B municipalities) and therefore affecting their performance in service delivery and public investment. This gives rise to a potential for exchange of experiences and good practices, to be organized at the level of the association of municipalities.

Subnational expenditures were about 13% of total government expenditures (or 3% of GDP, with a growing tendency) and local governments raised about 8% of total revenues (or about 1.21% of GDP) in 2010. This level of expenditure can thus be considered significant in terms of public investment for sustainable development.

2.2. Lessons learnt

Previous interventions have shown that isolated projects do not have great impact unless they are fully integrated in the Municipal Development Strategy. In this case, the project foresees a methodology that AHMON has put in practice in other regions, and that will also be implemented in close coordination with the Association of Garifuna Municipalities of Honduras - MAMUGAH (Afro descendant group in Honduras) to which 7 of the 9 beneficiary municipalities belong (see section 3.5 below). MAMUGAH has its own technical staff which will contribute to achieving the expected results in close coordination with each local government and its own staff.

Moreover, during the implementation of the "Program for Municipal Strengthening" implemented by the Spanish Cooperation with AHMON, the final evaluation pointed out that geographic dispersion affected the follow up of the action. In the case of the present project, most activities are expected to be implemented in the same department or at least close geographical locations that share similar characteristics.

2.3. Complementary actions

Complementarities will be sought with other actions implemented at country level in the framework of the NSA-LA programme described in Action Fiche 7.

Thematic Budget lines, such as NSA and LA in Development, allow institutional strengthening of local governments and promote local governance. Currently, the Delegation's portfolio includes five thematic projects with municipalities. These projects have ranged from actions aiming at capacity building to promotion of local development by means of productive projects.

However, none of the previous projects have financed activities in a specific geographical area in which local governments share similar socio-economical characteristics (such as the one currently proposed), which is an added value and can be shared and replicated as a good practice by AHMON as a technical assessor to all local governments in the country. This particular action aims at improving local governments' capacities in tax recollection in order to improve the financial autonomy of municipalities and the better provision of services for communities. This experience will certainly be taken into account when launching new calls for proposals under this thematic programme in the future.

Complementarity with other projects and/or programmes dealing with Civil Society financed by the EU and other donors will also be ensured.

As described in the heading 2.4, donor coordination allows ensuring complementarity with actions financed by other donor both with LA and civil society working in similar fields.

In the case of AHMON, one of its major donor is the Spanish Cooperation which is also an active member of the Sectoral table of decentralization (described below), which is the coordination mechanism to avoid duplication of actions.

2.4. Donor coordination

They are basically two mechanisms of coordination:

- the sectoral table of decentralization belonging to the G16 whose aim is to ensure the follow up of the Stockholm Declaration⁵⁵ and coordinate the actions of the donors with the institutions of the Government of Honduras and the Civil Society. The draft of this proposal has been shared with the members of the sectoral table who confirmed there is no duplication with other donors' programmes.
- the National Forum of Decentralization, featuring the same partners: Government Central and LA, donors and civil society, which has meeting at least twice a year and is consulted about specific issues such as approval of the policy of decentralization. AHMON is a permanent member of the forum, so does the EU.

3. DESCRIPTION

3.1. Objectives

The project aims at increasing the efficiency of local governments in tax recollection in order to increase their investment on the poorest sector of the municipality. The **specific objectives** are:

1. Participative design of local public policies in tax recollection, on the basis of the existing local potential
2. Improve the performance of the municipal management when increasing the investment levels in the poorest communities.

3.2. Expected results and main activities

Expected results are:

1. Tax recollection performance is improved in the beneficiary municipalities
2. Management of public investment is focused on the poorest communities of the selected municipalities.

3.3. Risks and assumptions

Risks

- Environmental risks, the proposed beneficiaries in this action are located in high risk zones for natural disasters. Hurricanes or floods might affect the project's implementation.

⁵⁵

http://www.iadb.org/regions/re2/consultative_group/declaration.htm

- Political risks.
 - The general elections in Honduras will take place in November, 2013. Changes in local authorities might affect the priorities and planning already in place at municipalities.
 - Usually changes in the staff take place, which might affect the project's continuity.
- Economical risks.
 - Inflation increases, which might affect the tax recollection rates at local levels.
 - Government transferences to municipalities decrease or are not continuous which affect the financial situation in the municipalities and operation costs are prioritized over the provision of services for the community.

Assumptions

- Local governments show good will to put into place all the required changes in their procedures to improve tax recollection.
- Continuity of the local public servants in each of the municipalities benefited by the action.
- The Mancomunidad (association of local governments in a particular geographic area) keeps functioning beyond the change of local authorities after General elections take place in 2013.

3.4. Cross-cutting Issues

The project takes into account principles of human rights, good governance and gender equality as well as cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

3.5. Stakeholders

Target beneficiaries are: municipalities of Tocoa, Sonaguera, and Trujillo, Limón, Santa Fé, Santa Rosa de Aguán, Balfate, Iriona (Colón) and Juan Francisco Bulnes, (Gracias a Dios). The last seven belong to MAMUGAH . Most of these municipalities are categorized within the C group, which means they show low development levels, weak institutional capacities including local staffing and management systems; and low capacity to generate its own resources, amongst others.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

AHMON is a membership based organization of the 298 municipalities. Membership is mandatory for each municipality according to their statutes. And the Ley de Municipios (Law of Municipalities - Decree 134-90 of 1990), grants AHMON a consultative role in any reform or revision of this law. The AHMON is responsible of providing technical assistance to local governments, support the implementation of the Law of Municipalities and other relevant laws to improve local governance and decentralization, advocating at Government level for the fulfilment of financial commitments towards municipalities, amongst others.

The direct award to AHMON is also consistent with the current portfolio of the Delegation on support to decentralisation processes (a budget support managed by the Ministry of Interior and Population, which is responsible for national policy for decentralization (about to be approved) and the projects currently supported through the NSA-LA Thematic programme on institutional strengthening of local governments and promotion of local governance).

Hence, the support to AHMON will add value in:

1. Its dialogue capacities between the national and the municipal level and advocacy role.
2. Its contribution to the design and implementation of Municipal development plans and strengthen the technical assistance they already provide to local government on this regard.
3. Its competence in providing technical assistance to improve Management capacities at local governments.
4. Its promotion of the municipal administrative career focused on guaranteeing continuity of municipal public servants.

Therefore, the grant is directly awarded since it corresponds to a situation of *de jure* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution is of EUR 250,000 (maximum 90% of total project costs), to be financed under budget line 21 03 02.

Duration: 24 months

It is expected to be contracted the first semester of 2013.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

ANNEX X TO AAP 2013

ACTION FICHE 10

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART LA – OBJECTIVE 1A – TARGETED PROJECTS

1. IDENTIFICATION

Title/Number	Local Authorities (LA) – Actions in partner countries (In-country interventions) – targeted project to Association of Cities of Vietnam (Vietnam)		
Total cost	EU contribution - EUR 275,000 (Budget Line: 21.03.02) TOTAL: EUR 275,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grant</u> (direct centralised management)		
DAC-code	15112	Sector	Decentralisation and support to subnational government

2. RATIONALE

This Action Fiche concerns the direct award of a grant to Association of Cities of Vietnam (ACVN), a local representative platform of LA active in Vietnam's development, in order to fund the GoGo SmEn project.

The following direct award refers to the Objective 1 of the LA component of the programme: **(i) strengthen institutional and operational capacities of LA⁵⁶ in partner countries**, to be able to enhance the quality of public policies at local level, to reinforce local governance, and citizens' access to improved public services and better living conditions within their communities; **(ii) strengthen the structure and the capacities of ALA⁵⁷ in partner countries**, to reach a legitimate and effective coordination role and a concrete representation of the needs of local communities in institutional dialogues; **(iii) to complement on-going decentralisation process**, where this is deemed relevant for capacity building of LA in partner countries.

2.1. Sector context

Vietnam, after the turning point in 1986 from centralized planning to market oriented system, has become over the years more and more committed in renovating its political, economic and social system. For the past decades, Vietnam has adopted effective policies and measures, considering continuous reforms in all sectors to

⁵⁶ 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].

⁵⁷ 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.

accelerate its economic growth and integrate in global economy. GDP has surged while productivity and international trade have increased. Small and medium sized enterprises, family business and cooperatives have been continuously developed, mostly in urban areas, in terms of quantity and capital registration. Efforts also have been made to improve relations between local authorities and the population through stronger involvement of the citizens in local socio-economic planning and decision-making. Especially the Ordinance on Grassroots Democracy, dated on April 21st 2007, has created a turning point in recognizing the role of communities in local socio-economic planning and practice. All these frameworks and policies aim to move towards modernizing the public sector by strengthening the sector's responsibilities in implementation of policies and ensuring a more active monitoring role for NSA in the evaluation of public administration performance. In spite of the above efforts, the decentralization process is still limited in terms of power and resources for local governments, particularly at district and commune levels. Citizens' participation, the quality of public services and communication between LA and citizens are not yet satisfying. As a consequence the framework for private economic and social activities is far from being optimal, and the commitment and participation of the population in public programmes on socio-economic development is still poor.

2.2. Lessons learnt

Since 2004, the Association of Cities of Vietnam (ACVN) has been involved in several cooperation projects funded by various donors (EU, CIDA, KfW) related to the promotion of citizenship and local governance. In these previous experiences, they have been acting as local partners of projects⁵⁸ implemented by international agencies, notably the Konrad Adenauer Stiftung. As one of the main priorities of this AAP is to support the development of local organisations and local ownership of participatory processes, it is relevant to provide further support to provide a direct award to ACVN to further support their work on local governance.

2.3. Complementary actions

As the ACVN is one of the main stakeholders in the network of partnership on local democratic governance of Southeast Asian Countries (DELGOSEA), the project will be internationally related with best practices from others countries in the network via participation of international experts and knowledge and information exchange/sharing with others stakeholders of the DELGOSEA network.

Complementarity will also be established with other projects financed by the EU and other donors such as: "*Building local economic development strategy*", funded by Canada, and "*Urban Development Strategy*" funded by Cities Alliance.

2.4. Donor coordination

There is little donor's coordination in Vietnam in the field of cooperation with Local Authorities. France is the major active donor in decentralised cooperation in Vietnam and the EU Delegation is in close contact with the most active French Local Authorities and with *Cités Unies France*, the federation of the French Local Authorities Active in cooperation and development.

⁵⁸ Project 2008/170-002: "Promotion of people's participation and governance in Vietnamese cities" and project 2009/201-064 : "Partnership for Democratic Local Governance in South-East Asia"

3. DESCRIPTION

3.1. Objectives

The overall objective of the project is to improve better economic and social conditions for the population of three cities in Vietnam.

The specific objectives of the project are:

1. ACVN contributes to better local governance and local economic growth and is able to influence the national agenda for local development;
2. To improve the enabling environment for local economic growth in three pilot cities through enhanced local governance.
3. Municipal staff and family businesses contributes to local development more efficiently;

During the last decades, Vietnamese cities have become engines of economic growth and development with rapid urbanisation as a consequence. In the 1990's, Vietnam successfully started an on-going process of administrative decentralisation. This process includes a comprehensive Public Administration Reform (PAR) package, which aims at improving the effectiveness, efficiency, transparency and accountability of the Vietnamese public administration. One of the main objectives of the reform is to improve the system of public administrative service delivery. Vietnamese Authorities have also promoted the involvement of people in local political affairs and decision-making and introduced new elements of direct democracy with the legislation on Grassroots Democracy in 1998. The upgrading of the Decree on Grassroots Democracy into an Ordinance in 2007 underlined the government's ambitions to strengthen different levels on people's involvement in decision making.

Despite these tangible results in improving the relations between local authorities and the population participation until today this relation is most of the time organised in a very top down manner and people's consultation and feedback are mostly not registered nor included in the local planning processes, although it is required by the law. Many cities do lack experience with participatory processes or try to avoid it because of their uncertainty with the rules and procedures to be followed.

Understanding the sector context and these above named challenges at local level, the ACVN is proposing to implement a project aiming at the "*Promotion of Good Local Governance and Local Small Enterprises - GoGoSmEn*".

3.2. Expected results and main activities

1. Expected results:

- Increased capacity of ACVN to promote local governance and conduct policy dialogue at national level and to provide services to its members;
- Increased capacity of municipal staff and family businesses to contribute to local development in three pilot cities;
- Best practices from the three pilot cities are endorsed for replication at national level. The ACVN will lead the exchange of best practices, draw conclusions and develop *national policy recommendations* to contribute to the improvement of the legislative framework related to small local and family businesses.

2. Main activities:

The first activity of the project will be the national inception workshop that will introduce the project to relevant state authorities, partners, the 3 pilot project cities as well as other relevant stakeholders who will be involved in the project implementation phase. Then the project will be launched at national level.

During the implementation phase of the project, activities will include:

- A Baseline Assessment of local governance and local small enterprises and families businesses development.
- The preparation of training modules for Training of Trainers –TOT courses for coaching experts.
- The organization of TOT training courses for experts and ACVN key staff.
- Drafting of training curriculum and guidelines for action plan on "promoting local governance and the development of small enterprises and family businesses".
- Capacity building activities for local stakeholders in three cities (access of small enterprises and family businesses to operating funds, skills, technology, information, legal rights and markets). The capacity building measures will be implemented with active participation of local governments, small and family businesses, academia, media and policy makers at central and local levels.
- The organisation of the "best-practice competition" between three cities. The criteria for the selection of cities are:
 - Medium sized cities of Vietnam with good number of local businesses and local economy;
 - Representative of three mains regions of Vietnam;
 - Strong and active local government leadership
- One midterm workshop on the first year result and the next year work plan.
- Research and publication of best practices on "local governance and the development of small enterprises and family businesses" (demonstrated measures, incentives and administrative best practices for creating jobs, income generating opportunities and improving the livelihoods of disadvantaged groups) and policy recommendations to central government level and relevant stakeholders.
- Media outreach of project and selected best practices from the competition. Creation of a dedicated section for the Good-Governance Competition in the ACVN website.
- A training course in policy advocacy and lobbying for ACVN staff.
- Drafting policy recommendations of each pilot city and the organization of policy dialogues. At the end of the action, reports on the competition experience, selected best practices and policy recommendations will be produced, setting a base for nation-wide adaptation of improved local governance and promotion of local small enterprises.
- The organisation of policy dialogues with relevant central government level and stakeholders.

- One final conference to present and evaluate the activities implemented by the project and to allow reporting recommendations related to the national policy to central government entities.

3.3. Risks and assumptions

Preconditions and assumptions during and after the implementation phase.

In the context of the global economic crisis, the Government is responding by supporting and developing small and household businesses, which represent 45% of the country's economy in order to ensure the people's living conditions. Through effective activities so far, ACVN is trusted by its members. It is expected that ACVN would support the municipal governments in capacity building for urban economic development and finance. Since its early establishment, ACVN has continuously increased its membership through actively communicating with small towns. It has become an association of urban local governments, representing the voice of Vietnam's cities/towns. In ACVN's Strategic Plan until 2020 approved by the 3rd Congress, it was stated that "*the ACVN's mission is to struggle to become a strong association in the community of non-governmental organizations; representing the common voice from its members; is a reliable, recognized contact at national and international levels*". With those missions, ACVN always works closely with its members to advocate for their common interests towards the Vietnamese Government and the National Assembly on socio-economic issues, to make its members become the national economic driving force.

However, in the project process, there are **possible risks** related to political disorders, economic/ technological/human resource regressions. Forecasting those risks and drafting the mitigation measures, the project can achieve its expected goals and objectives, deliverables.

Possible risks and their contingency plan

Political risks and contingency plan: as in some other countries, social disorder or political conflicts may happen that impose the risk to closing the project prematurely. However, in Vietnam, the political situation is stable and the project's proposed priorities, which are related to capacity building for local economic development, are always supported and pursued by the government, in any political circumstances.

- The main risk for the project implementation is the change in project-appointed personnel in the three cities. This could affect the project implementation results.

Mitigation measures:

The project will last for 2 years within a political term. Thus the change of personnel at cities normally should not happen. In case personnel changes occur during the implementation of the project or after its completion, the city will be able to appoint another leader (normally one from among the current deputies) who could understand content and requirement of the Action. This will happen because before starting with the implementation of the action, all key leaders of the involved cities will have the chance to get acquainted with the action plan, activities and the benefits for them.

Economic risks and contingency plan

- Risk in lacking of financial resources to organise the contest for all member-cities. The national competition with the title of "*City of good local economic development and liveability*" and the exchange of best practices among member-cities may not be implemented as planned, if the cities are not interested and will not contribute financially to this activity.

Mitigation measures:

ACVN will encourage more active member-cities to participate in ACVN activities and have more financial resources to organise a contest for each regional cluster (ACVN is having 8 regional cities clusters) first. Then from this contest, other cities will join. As almost all member-cities of ACVN had agreed to an increase of the membership fee by 25%, ACVN will be able to organise some activities of the future contest by using its membership fees contribution.

ACVN has secured its working space. The new office is able to accommodate participants of small workshops, and ACVN is able to arrange space for the project team to work in.

Technological risks and contingency plan

This is a new area for ACVN. The techniques to implement projects such as identifying issues to be surveyed in 3 cities, criteria for the competition amongst 3 cities, require experienced specialists.

Similarly, the organization of 6 training courses in 3 cities for 2 different target groups (municipal staff and small/family businesses) requires good TOT courses for a good source of trainers for the project.

Mitigation measures:

In order to overcome this risk, ACVN will select suitable trainers and trainees for TOT courses to meet the action goals and requirements, drawing on its long-standing cooperation with the National Academy of Public Administration, MoHA and many other government entities.

3.4. Cross-cutting Issues

Actions must take into account principles of human rights, good governance and gender equality as well as include cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

3.5. Beneficiaries and Stakeholders

The **main target beneficiaries** are:

Population of the participating cities

Governments in 3 cities that implement the project directly will raise their ability to improve public administrative services to support local enterprises to develop the local economy. People in these municipalities will profit from improved connections with local governments, will participate in economic actions in their territory, will have increased business opportunities, will enhance their employability and will raise their income.

Family enterprises in Vietnam

Best-Practice-Competition between three cities supported by print and broadcast media nationwide will have positive impacts on small enterprises and household enterprises while influencing policy makers. Other local governments can learn how to support the development of small local enterprises in their administrative area. Small businesses everywhere in Vietnam can take advantage of the proposed improvements and actively collaborate with their local governments to introduce the improvements.

Other cities' local governments

Local governments consider these best practices and foster improvements of administration towards a favourable business climate for SMEs in their cities. They become prepared to adopt necessary new regulations and interact with local and national stakeholders. ACVN will promote the improvements with the local governments of its member cities.

The **project stakeholders** are:

Local agencies

Local government authorities, including relevant local technical departments which deliver support services to the SMEs are the key stakeholders but also target groups of the action. They will be the ones who develop and implement the Action including transfer will have gained capacity by providing supportive measures for SMEs development.

Mass organisations

Women Union, Youth Unions, Famer Unions and NGOs will also be local partners of the Action who will play active roles as participants as well as promoting agencies to disseminate local authorities' measures/policies supporting SMEs development.

ACVN's members:

They will actively participate in the implementation of the main project activities and will directly benefit from the exchange, training courses and consultancy activities of the Action. ACVN's administrative and member-service capacities will be enhanced thanks to the project.

Central agencies

The Ministry of Home Affairs is a key stakeholder in support of the Action. Other Ministries, such as Ministry of Planning and Investment and Ministry of Culture and Communication are also involved in some of the project activities.

The Vietnam Chamber for Commerce and Industry that has a Support Center for Small and Medium sized enterprises that will cooperate with the project in seeking for expertise and ideas in the course of project implementation.

Ho Chi Minh National Administration and Politics Academy is the training unit that ACVN has been cooperating with during the implementation of EU funded ACVN/KAS project and the "Partnership for Democratic Local Governance in South East Asia (DELGOSEA)" and will be involved in project activities.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

The ACVN is a voluntary social organization of Vietnamese cities. The Association was founded in 1992 as an organization of provincial cities by the five cities of Viet Tri, Nam Dinh, Vinh, Hue and Da Nang. On 17th of July 2000, it was then officially named ACVN.

Operating both as a NGO and as a Social Professional Organization, the Association is the **only organization of local governments in Vietnam.**

Since its foundation, the ACVN has defined its role as a provider for continuous exchange of experiences among its members as well to strengthen its international cooperation in different fields of urban management and development. The ACVN is also considered by the Vietnamese Government as a key partner in the communication with local governments and for the implementation of government policies on local self-administration and people's participation and plays an important role in this process by supporting its members through training, consulting and exchange activities and by organizing systematically the dissemination of best practice.

The **ACVN is the only organisation in Vietnam that represents local authorities and voices their interests towards the Vietnamese Governments.** Furthermore, the ACVN is the **only** recognised organisation which unites and embodies local authorities.

Like all local government association, the ACVN represents and acts on behalf of local authorities and the majority of its members consider the Association as an instrument for supporting their mission, valuable enough to be ready to contribute to its financial sustainability. Since its establishment, the ACVN has continuously increased the number of its members. All members share the objective of becoming an Association of all urban areas and acting as a single voice of municipalities in Vietnam.

The economic and social developments taking place in Vietnam since the 1990s lead to complex challenges in all urban areas of Vietnam, including provincial and district towns. This makes the exchange of experiences, best practice and models for solutions in different fields of urban management more and more valuable and necessary for each of these municipalities.

The ACVN has begun to build a very suitable platform for such exchange and capacity building efforts of local authorities. Furthermore, the interests of the

municipal leaders in an increasingly decentralized state administration are not necessarily the interests and policies of the national level. Therefore, municipalities see the increased need to cooperate closely in order to lobby for their interests. These developments have already strengthened the role of the ACVN.

This grant is directly awarded to the ACVN as the Association is in a situation of *de facto* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution is of EUR 275,000 (maximum 90% of total project costs), to be financed under budget line 21 03 02.

The Project duration will be 24 months and the contract is expected to be signed as soon as the 2013 AAP is approved.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

Annex XI to AAP 2013

Action Fiche 11

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT

PART NSA – OBJECTIVE 2 - DEAR

1. Identification

Title/Number	Non-state actors (NSA) – Development Education and Awareness Raising (DEAR) – call for proposals		
Total cost	EU contribution: EUR 28,000,000 (Budget Line 21.03.01) TOTAL EUR 28,000,000		
Method/ Management mode	Project approach - Call for Proposals managed by European Commission headquarters <i>Centralised (direct management)</i>		
DAC-code, if applicable	99820	Sector	Promotion of development awareness

2. Rationale

This Action Fiche refers to the NSA⁵⁹ and ⁶⁰ component of the programme's objective 2, which is dedicated to **raising public awareness of development issues and promoting education for development in the EU and acceding countries⁶¹, in order to anchor awareness and understanding of global development in European societies, to mobilise greater public support for action against poverty and fairer relations between developed and developing countries, and to change attitudes towards the issues and difficulties facing developing countries.**

The Annual Action Plan (AAP) 2013 for the NSA-LA Programme is part of the Multiannual Strategy for the period 2011-2013⁶². In 2010 the Commission carried out a study and a stakeholder consultation process in the field of DEAR (hereafter

⁵⁹ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

⁶⁰ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

⁶¹ Eligibility of countries is established in the Regulation (EU) No 1905/2006 of the European Parliament and the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ 378, 27.12.2006)

⁶² http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

the DEAR Study)⁶³. This DEAR Study highlighted the following development needs for the DEAR approach of the EU:

Firstly, the study recognised the need for a European approach, which is a major added value of the European Commission in the field of DEAR.

Secondly, the study proposed a number of core recommendations to increase the coherence of this intervention with the actions of other DEAR actors, particularly those of Member States.

Thirdly, the study highlighted the need for the European Commission to develop its role and create added value to initiatives of Member States and other key actors. It recommended that the Commission plays a stronger role in facilitating dialogue among DEAR policy-makers and practitioners.

And finally, the Study underlined the need for the Commission to support capitalisation, capacity development of its DEAR partners and networking of the EU-funded DEAR projects. The AAP incorporates the practical applications of the findings and recommendations of the Study by i) introducing a clear European approach, ii) assuring the coherence of EU DEAR actions with Member States' funded DEAR actions and iii) foreseeing a DEAR Support team, which will support the Commission in assuring the capitalisation, of past and on-going EU-funded DEAR actions, capacity development of DEAR practitioners and networking with EU DEAR Stakeholders. Further details of the DEAR Support team are provided in Action Fiche 16.

3. Description of the call for proposal(s)

3.1. Basic act and Financing source

The Regulation N° 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI)⁶⁴ constitutes the legal basis of this programme.

This Action will be financed by budget line 21 03 01 "Non-State Actors in Development".

3.2. Objectives of the programme, fields of intervention/priorities of the year and expected results

The specific objective of this programme will be 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; as well as to support their active engagement in global attempts to eradicate poverty, and promote justice, human rights, and sustainable ways of living.

Thematic priorities under this component are:

- Public support for the MDG agenda, with a particular focus on Africa;

⁶³ Information available under: <https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR>. The "Study on the Experience and Actions of the Main European Actors Active in the Field of development education and awareness raising" (DEAR Study process) - launched by the European Commission and undertaken by a team of Development Education experts in 2010 – was part of the Structured Dialogue process and provided the basis for a stronger EU involvement in the field of Development Education and Awareness Raising, as well as options for new orientations in the NSA/LA programme.

⁶⁴ Regulation (EU) No 1905/2006 of the European Parliament and the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ 378, 27.12.2006)

- Policy coherence for development, with a particular focus on areas of public interest where common goals with development are important such as migration, trade (especially Fair Trade), microcredit, security, human rights, social dimension of globalisation and decent work.

Recognizing that the comparative advantage of European Commission interventions lies in its European dimension, all supported actions will be of a multi-country and multi-actor nature. While these actions are carried out in Europe, partnership with actors from developing countries will be encouraged.

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

(i) **Global Learning:** improvement of the knowledge and competences of groups of learners in engaging with development concerns, through the use of participatory and experiential education methodologies, **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 complementarity with existing development education efforts (for initiatives outside of the formal education system);

(ii) **Campaigning/Advocacy:** support to the informed citizen engagement and advocacy for more just and sustainable policies, political/economic structures and individual practices, in relation to development cooperation.

For this type of actions priority will be given to initiatives which seek to produce results at European level, involve coordinated action and a coherent approach in various Member States.

Expected results are:

- (i) increased public awareness on global interdependencies between the EU and developing countries;
- (ii) changing attitudes and improved public understanding of issues and difficulties facing developing countries and their peoples;
- (iii) increased active engagement of European citizens in attempts to eradicate global poverty, promote justice, human rights, and sustainable ways of living;
- (iv) better integration of development issues into formal and non-formal education systems in Member States and acceding countries;
- (v) level of engagement to promote coherence for development;
- (vi) support of European citizens for structural long term development assistance, and
- (vii) greater mobilisation in EU 12 Member States⁶⁵ and acceding countries and acceding countries, including through networking, campaign work, exchange of experience and best practices.

⁶⁵ Bulgaria, Czech Republic, Cyprus, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia and Slovenia.

3.3. Eligibility conditions

For this component of the programme all types of non-profit making non-state actors whose headquarters are in a Member State of the European Union or in an acceding country are eligible, while local authorities and associations of local authorities can participate as partners.

In addition, to have access to funding under this component of the thematic programme, all NSA must be officially registered as such, according to the legislation in force in their respective country.

Geographical focus:

Global Learning interventions within the formal education sector must include interventions in a minimum of two Member States of the European Union or acceding countries.

Global Learning interventions outside of the formal education system, as well as Campaigning/Advocacy interventions must include interventions in a minimum of three Member States of the European Union or acceding countries.

3.4. Essential selection and award criteria

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

– 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. Grant size will, in principle, fall between the following indicative amounts: a minimum of EUR 500,000 and a maximum of EUR 5,000,000.

An indicative 20% of the funds available Objective 2 of this programme will be allocated preferably to development education and awareness raising actions in the EU12 Member States and acceding countries, and proposed by NSA originating from these countries.

– The maximum possible rate of EU co-financing of the total eligible costs of the action are:

- EU15⁶⁶
NSA maximum of 75% of the total eligible costs
- EU12⁶⁷
NSA and acceding countries maximum of 90% of the total eligible costs

Full financing may only be applied in the cases provided for in the Financial Regulation, where financing in full is essential to carry out the action in question.

– The duration of an action may not be lower than 12 months nor exceed 36 months.

3.5. Schedule of calls for proposals

A call for proposals will be published in 2013.

The Call for proposals and the tender will be published on the EuropeAid central website.

⁶⁶ Austria, Belgium, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands (The), Portugal, Spain, Sweden, United Kingdom.

⁶⁷ Bulgaria, Czech Republic, Cyprus, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia and Slovenia.

3.6. Indicative amount of call for proposals

The indicative financial envelope for 2013 for this component of the thematic programme amounts to EUR 28,000,000 under budget line 21 03 01 "Non-State Actors in Development".

4. Support measures

Support measures will be used to promote both capacity building and capitalization of results and experiences of EU funded DEAR projects.

ANNEX XII TO AAP 2013

ACTION FICHE 12

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART NSA – OBJECTIVE 3 – COORDINATION AND NETWORKING

1. Identification

Title/Number	Non-state actors (NSA) – Coordination, cooperation and networking activities – call for proposals		
Total cost	EU contribution: EUR 2,050,000 (Budget Line 21.03.01) TOTAL EUR 2,050,000		
Method/ Management mode	Project approach – Centralised Call for Proposals managed by European Commission Headquarters <i>Centralised (direct management)</i>		
DAC-code, if applicable	15150	Sector	Strengthening of civil society

2. Rationale

This action fiche refers to the objective 3 of the NSA^{68 and69} component of the programme which aims at **“achieving more efficient cooperation, foster synergies and facilitate a structured dialogue between civil society networks, within their organisations and with EU institutions”**.

Objective 3 has been adjusted over the last years to better respond to the recommendations of the mid-term review; to the outcomes of the Structured Dialogue⁷⁰ and to the priorities of the 2011-2013 Multiannual Strategy. Consequently, a call for proposals⁷¹ was launched in late 2011 focusing on capacity-building/structuration of networks and institutional dialogue.

A total of 6 projects were financed from the above-mentioned call for proposals, generating new synergies among them and with the projects financed at regional or global level under objective 1b. In order to enlarge this support to other networks, it

⁶⁸ In order to be in line with the recent evolution of literature on Civil Society, the term Civil Society Organisations should be privileged against Non-State Actors. However, for the purpose of keeping harmony among the current Strategy (2011-2013) documents, the term Non-State Actors will continue being used.

⁶⁹ According to article 24.2 of Regulation (EC) n°1905/2006, the non-State, non-profit making actors eligible for financial support include "NGOs, 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, local organisations (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, likely to contribute to the implementation of the objectives of this Regulation".

⁷⁰ URL: http://ec.europa.eu/europeaid/who/partners/civil-society/structured-dialogue_en.htm

⁷¹ EuropeAid/131142/C/ACT/Multi

is proposed to use the 2013 allocation, the last of the current strategy, to finance high quality projects in the reserve list of this call.

3. Description of the call for proposal(s)

3.1. Basic act and Financing source

The Regulation N° 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI)⁷² and in particular Art. 14 thereof constitute the legal basis of this programme.

This Action will be financed by budget line 21 03 01 "Non-State Actors in Development".

3.2. Objectives of the programme, fields of intervention/priorities of the year and expected results

It is recalled that the previous call for proposals was based on the priorities defined under the 2011-2013 Multiannual Strategy. These priorities will remain the same for 2013:

- (1) Institutional coordination between NSA' representative platforms and European institutions through the reinforcement of multi-actor dialogue;
- (2) Capacity building of representative platforms organised at European level.

Support will be provided essentially to organisations and their representative's bodies active in development cooperation organised either (i) by type of actors or (ii) by sector of cooperation. In that sense, it is of a crucial importance that applicants (or/and their co-applicants, affiliated entities & members) demonstrate to have regularly carried out activities in partner countries. Applicants with extensive working relationships with partner countries' organisations will be privileged.

Expected results could be among others:

- i) increased capacity of NSA platforms in playing an active role in their countries and on the EU level, notably regarding EU development policies,
- (ii) more effective structured dialogue with European Institutions, in particular with the European Commission,
- (iii) enhanced advocacy-skills at the EU level,
- iv) strengthening of NSA's networks and platforms, including their capacity to build transnational alliances established in relation to European and/or global agenda and issues;
- v) increased number of partnerships comprising multiple actors established and consolidated exchanges between networks representing different types of actors.

3.3. Eligibility conditions

European Union support to the above-mentioned actions will, as a rule, take form of grants.

⁷² Regulation (EU) No 1905/2006 of the European Parliament and the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ 378, 27.12.2006)

Eligibility:

Actors: For this component of the programme all types of non-profit making non-state actors whose headquarters are in a Member State of the European Union or in an acceding country are eligible, while NSA from partner countries as well as LA and ALA can participate as co-applicants and/or affiliated entities. Besides, to have access to funding under this component of the thematic programme, all NSA must be officially registered as such, according to the legislation in force in their respective country. They must have been registered for at least three years at the time of the submission of an application.

However for the purpose of this objective, NSA already organised within a network, platform, confederation, coalition etc. will be more particularly taken into consideration. Similarly, representative bodies already organised at the European level will be privileged. In that sense, members and/or co-applicants or affiliated entities of representative bodies should come from a significant number of EU Member-States.

Actions: Actions financed should aim at (i) strengthening the capacity and the structuration of NSA (organisation of seminars, workshops, training sessions, support to information and communication tools, other capacity building and networking activities etc.) and (ii) increasing interactions between NSA platforms and EU institutions (launching of advocacy campaigns, regular meeting with EU institutions, participation in official European and global events, etc.).

Geographical focus: Actions should be designed and implemented taking into consideration the EU dimension. Activities must take place in several EU Member States or in acceding countries. When and if relevant, specific components of the project can be organised outside of EU, in partner countries.

3.4. Essential selection and award criteria

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

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.

- Grants awarded must fall between EUR 100 000 and EUR 600 000.
- The maximum possible rate of EU co-financing of the total eligible costs of the action are a maximum 75% of the total eligible costs.

Exceptionally, and exclusively for actions proposed by organisations from the 12 new Member States (EU 12), the rate of EU co-financing can correspond to 90% of the total eligible costs of the action.

Full financing may only be applied in the cases provided for in the Financial Regulation, where financing in full is essential to carry out the action in question.

- The foreseen duration of an action may not be lower than 12 months nor exceed 36 months.

3.5. Schedule of calls for proposals

Taking into consideration on one hand, that the priorities of the last call for proposals are perfectly in line with the priorities of the present Action Fiche and on the other

hand, the high quality of proposals submitted in the call for proposals, 2013 allocation will be used to fund the projects retained in the reserve list of the call EuropeAid/131142/C/ACT/Multi.

3.6. Indicative amount of call for proposals

The indicative financial envelope for 2013 for this component of the thematic programme amounts to EUR 2,050,000 under budget line 21 03 01 "Non-State Actors in Development".

4. Support measures

Applicants will be invited to foresee systematically evaluations under each project's budget. Training, monitoring and follow up missions by the staff or external consultants of the Commission will be conducted regularly.

To contribute to the programme's objective of increased dialogue and coordination with European institutions, applicants should include regular meetings with EU services within their project's proposal. Similarly, they should be in a capacity to actively participate in forthcoming EU consultations exercises related to development cooperation and when relevant participate to the meetings of the Policy Forum on development⁷³.

⁷³

URL: https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy_forum_on_development

ANNEX XIII TO AAP 2013

ACTION FICHE 13

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART NSA - OBJECTIVES 2 AND 3 - TARGETED PROJECTS

1. IDENTIFICATION

Title/Number	Non-State actors (NSA) - Targeted projects to CONCORD, LITDEA and Hellenic Platform (EU presidencies 2013 and 2014)		
Total cost	EU contribution - EUR 1,200,000 (Budget Line: 21.03.01) TOTAL: EUR 1,200,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 3 grants</u> (direct centralised management)		
DAC-code	15150	Sector	Strengthening of civil society

2. RATIONALE

This Action Fiche concerns the direct award of 3 grants to NGO platforms active in development, all of which aim at supporting actions within objectives 2 and 3.

2.1. Sector context

The European Union has for a long time supported actions aiming at reinforcing the cooperation and coordination among European NGO and between European NGO and EU Institutions.

This support has essentially taken the form of an annual operating grant to CONCORD, the European NGO Confederation for Relief and Development, which comprises national platforms of 26 Member States and 18 networks of humanitarian and development NGOs. The results of both the audit and the evaluation of the grant to CONCORD, finalised in 2011, have been encouraging and recommended the continuation of the support.

In addition, support has been provided to development NGO platforms in the context of the rotating presidencies of the Council of the EU. Grants have been awarded to national NGO platforms so as to (i) raise the public awareness of development issues in respective Member States, (ii) strengthen the cooperation among national and European development NGOs and (iii) strengthen the cooperation between development NGOs and Member-States/European authorities & institutions.

2.2. Lessons learnt

The 2013 Annual Action Programme has been developed in line with the 2011-2013 Strategy Paper⁷⁴, while integrating the outcomes of the "Structured Dialogue for an effective partnership in development"⁷⁵.

⁷⁴

http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

In the past, the combined actions of the 3 grants have allowed for coherent and coordinated actions between CONCORD and the National platforms of NGOs. Synergies have been created among their respective memberships and their dialogue with the European Institutions has been intensified. Development issues discussed and debated at the EU level find continuity within the NGO platforms in the countries of the EU Presidency, which at the same time also benefit from the technical expertise of CONCORD. In addition EU Presidency projects have provided an excellent opportunity to reaffirm the importance of international solidarity, through targeted and focused campaigns, in countries with a tradition of aid and to raise public awareness about development in the new Member States, by giving visibility to the NGO platforms and the national institutions in charge of development cooperation.

2.3. Complementary actions

Complementarities will be ensured with other actions implemented in the framework of EU Presidencies, as well as other types of support to national or European platforms financed under objective 3 of the NSA/LA thematic programme.

Furthermore, complementarities will also be ensured with development education actions (objective 2 of the thematic programme), which take also place in Europe and are very often closely associated with activities pursued in the 3 actions presented below.

2.4. Donor coordination

Donor coordination, particularly at the European level will be particularly sought, given the characteristics of the grants and of the beneficiaries.

3. DESCRIPTION

3.1. Objectives

According to the multi-annual Strategy Paper 2011-2013, priorities for objective 2 and 3 of the NSA&LA programme are the following:

Objective 2: (i) Public support for the MDG agenda, with a particular focus on sub-Saharan Africa; and (ii) Policy coherence for development, with a particular focus on areas of public interest where common goals such as migration, trade, microcredit, security, human rights, social dimension of globalisation and decent work, environment, and HIV/AIDS in relation with development are important.

Objective 3: (1) institutional coordination between NSA' representative platforms and European institutions and reinforcement of multi-actor dialogue; (2) capacity building of representative platforms organised at European level.

Action 1

Operating grant to CONCORD / Duration: 12 months / EU maximum contribution: EUR 700,000 (56% of the total 2013 budget of the organisation)

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

1. To influence the EU's policies and practices so that the Union and its member states enhance social justice, equality and human rights throughout the world.

⁷⁵ Further information on the Structured Dialogue can be found in the following link: https://webgate.ec.europa.eu/fpfs/mwikis/aidco/index.php/Structured_dialogue

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.

Actions 2 & 3: EU Presidency Projects

EU Presidency Projects are designed to take advantage of the momentum created by the EU Presidency in 2 Member-States per year. Implemented by national NGO platforms members of CONCORD, these projects aim at (i) increasing the coordination between national & European Development NGOs, (ii) enhancing the cooperation between national NGOs and national authorities in charge of development cooperation and (iii) increasing the awareness raising of general public and media on issues related to development cooperation.

Presidency projects last one year starting three or four months prior the official beginning of the Presidency. Successive projects are intertwined as the various platforms are cooperating through the so-called "Trio of Presidencies" and through their involvement in CONCORD.

Lithuanian EU Presidency Project 2013 / Direct Award to LITDEA (Lithuanian Development Education Awareness Raising Network) / Duration: 12 months / EU maximum contribution: EUR 250,000 (maximum 90% of total project's cost)

The project will be submitted by LITDEA, the Lithuanian Development Education and Awareness Raising Network on behalf of the Lithuanian Umbrella network (LU) established on the basis of the Memorandum of Understanding (MoU) for coordinating joint activities between two Lithuanian NGDO platforms – the national NGDO Platform and the LITDEA. The LU represents 29 Lithuanian development NGOs.

Greek EU Presidency Project 2014 / Direct award to Hellenic Platform for Development / Duration: 12 months / EU maximum contribution: EUR 250,000 (90%⁷⁶ of total project's cost).

This project will be submitted by the Hellenic Platform for development. The project will aim to contribute towards effective EU development cooperation, to engage civil society organisations in implementation of effective aid and to mobilize public and political support towards fulfilment of national and EU commitments for effective aid. The project's overall theme is that of putting people at the heart of the European project.

3.2. Expected results and main activities

As for the support to CONCORD, the action expected results are the following: (i) CONCORD will continue to be recognised interlocutor of the European Union, with values and positions which are respected by the leading development and humanitarian aid decision-makers; (ii) 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; (iii) will develop dynamic working methods to enable national networks and platforms to work in synergy, to increase their respective value added

⁷⁶ Taking into consideration the current situation in Greece, it is suggested to co-finance 90% of their presidency project.

and to build their capacity so that they can influence European policies from national level.

As for the Presidency Projects, the actions will aim at strengthening National CSO platforms capacities in order to: (a) Proactively contribute 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; (b) promote public support of EU MS citizens on global issues and ODA (development education, awareness raising and active global citizenship). The actions will focus on several mutually interrelated thematic aspects such as post-MDGs global development framework, effectiveness of EU Development cooperation, EU Eastern/Southern partnership, and other.

3.3. Risks and assumptions

For both CONCORD and the Presidency Projects, the main assumption is that the two EU Member State National NGOs platforms and the European Confederation will continue to perform in the implementation of their actions to ensure continuity and reinforce their effectiveness and impact, in order to achieve the general and specific objectives set up in section 3.1 above.

It is also assumed that both National platforms and the Confederation's members will continue their engagement to work together in order to advance on issues of common interest by exchanging their experience and actively participating in the activities of the project.

The main risks are:

- The diversity of the members may bring to differences in views and approaches, rendering more difficult the coordination of their inputs in view of presenting effective common contributions to the European development agenda.
- There might be an unequal participation of the various members according to their capacity or willingness to contribute to the project effectively.
- The current economic crisis in Europe might have repercussions in financial terms if for instance some members decide to reduce or withdraw their co-financing contribution as this may reduce the overall budget available and therefore have an impact on some project activities.

Since both National Platforms and the Confederation's members have a long tradition of common work, the first two risks are considered low. Mitigation actions may be taken in any case by reinforcing consensus-building on policy contributions.

The third risk is considered also low, given the composition of membership of the three listed platforms. The fact that some of them may in the course of the action reduce their contribution or withdraw from the project may not have a significant impact on project activities as each individual co-financing contribution represents a very small percentage of the total budget of the action.

3.4. Cross-cutting Issues

Actions must take into account principles of Human Rights, Good governance and Gender equality as well as include cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

3.5. Stakeholders

Target beneficiary are mainly NSA and the general public from the EU and acceding countries.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

For the present fiche, the 3 grants mentioned above are directly awarded since they correspond to a situation of *de facto* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The funds available to fund these actions amount to a total of EUR 1,200,000 under budget line 21 03 01.

They will be contracted in the first semester of 2013 (CONCORD and Lithuanian EU Presidency project) and in mid-2013 (Greek EU Presidency project).

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

ANNEX XIV TO AAP 2013

ACTION FICHE 14

NON-STATE ACTOR AND LOCAL AUTHORITIES IN DEVELOPMENT

PART LA – OBJECTIVE 2- DEAR

1. Identification

Title/Number	Local Authorities (LA) – Development Education and Awareness Raising (DEAR) – call for proposals		
Total cost	EU contribution: EUR 7,000,000 (Budget Line 21 03 02) TOTAL EUR 7,000,000		
Method/ Management mode	Project approach - Centralised Call for proposals managed by European Commission headquarters <i>Centralised (direct management)</i>		
DAC-code, if applicable	99820	Sector	Promotion of development awareness

2. Rationale

This Action Fiche refers to Objective 2 the NSA/LA programme for the LA⁷⁷ component, which is dedicated to **raising public awareness of development issues and promoting education for development in the EU and acceding countries⁷⁸, to anchor development policy in European societies, to mobilise greater public support for action against poverty and fairer relations between countries, and to change attitudes to the issues and difficulties facing developing countries.**

The AAP 2013 for the NSA-LA Programme is part of the Multiannual Strategy for the period 2011-2013⁷⁹. In 2010 the Commission carried out a study and a stakeholder consultation process in the field of DEAR (hereafter referred as to the DEAR Study).⁸⁰ The DEAR Study highlights the following development needs for the DEAR approach of the EU:

Firstly, the Study recognises the need for a European approach, which is a major added value of the European Commission in the field of DEAR.

⁷⁷ 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].

⁷⁸ Eligibility of countries is established in the Regulation (EU) No 1905/2006 of the European Parliament and the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ 378, 27.12.2006)

⁷⁹ http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

⁸⁰ Information available under: <https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR>. The "Study on the Experience and Actions of the Main European Actors Active in the Field of development education and awareness raising" (DEAR Study process) - launched by the European Commission and undertaken by a team of Development Education experts in 2010 – is part of the Structured Dialogue process and has provided the basis for a stronger EU involvement in the field of Development Education and Awareness Raising, as well as options for new orientations in the NSA/LA programme.

Secondly, the study proposes a number of core recommendations to increase the coherence of this intervention with the actions of other DEAR actors, particularly those of Member States.

Thirdly, the study highlighted the need for the European Commission to develop its role and create added value to initiatives of Member States and other key actors. It recommends that the Commission plays a stronger role in facilitating dialogue among DEAR policy-makers and practitioners.

And finally, the Study underlines the need for the Commission to support capitalisation, capacity development of its DEAR partners and networking of the EU-funded DEAR projects. The AAP incorporates the practical applications of the findings and recommendations of the Study by i) introducing a clear European approach, ii) assuring the coherence of EU DEAR actions with Member States' funded DEAR actions and iii) foreseeing a DEAR Support team, which will support the Commission in assuring the capitalisation, of past and on-going EU-funded DEAR actions, capacity development of DEAR practitioners and networking with EU DEAR Stakeholders. Further details of the DEAR Support team are provided in Action Fiche 16.

3. Description of the call for proposal(s)

3.1. Basic act and Financing source

The Regulation N° 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI) constitutes the legal basis of this programme.

This Action will be financed by budget line 21 03 02 "Local Authorities in Development".

3.2. Objectives of the programme, fields of intervention/priorities of the year and expected results

The specific objective of this programme will be 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 the public institutions their active engagement in global attempts to eradicate poverty, and promote justice, human rights, and sustainable ways of living.

Priority under this component will be given to initiatives that:

(a) Enhance the European LA, ALA **support to international development commitments** (i.e. Millennium Development Goals, Policy Coherence for development);

(b) Engage European LA and ALA 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.

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

(i) **Global Learning:** improvement of the knowledge and competences of groups of learners in engaging with development concerns, through the use of participatory and experiential education methodologies, either within or outside the formal education system;

(ii) **Campaigning/Advocacy:** support to the informed citizen engagement and advocacy for more just and sustainable policies, political/economic structures and individual practices, in relation to development cooperation.

Expected results are:

(i) Increased public awareness on interdependency and solidarity between the EU and developing countries;

(ii) Increased active engagement of European citizens in attempts to eradicate global poverty, promote justice, human rights, and sustainable ways of living;

(iii) Enhanced role of LA in the definition of public educational policy in matter of development where LA have statutory responsibility and competence;

(iv) Improved integration of development issues into formal and non-formal education systems in the EU member States and acceding countries, particularly if falling under the competences of LAs;

(v) Induce concrete changes in behaviours at individual and collective levels, within political institutions and private sector, in relation to development;

(vi) Increased involvement in DEAR of the EU12 Member States⁸¹, including networking, campaigning, exchange of experiences and best practices.

3.3. Eligibility conditions

LA⁸² or ALA⁸³ from the EU member States or acceding countries are eligible, while NSA and Associations of NSA can participate as partners.

Besides, to have access to funding under this component of the thematic programme, LA must be officially registered as such, according to the legislation in force in their country of origins.

Geographical focus:

Global Learning interventions within the formal education sector must include interventions in a minimum of two Member States of the European Union or acceding countries.

Global Learning interventions outside of the formal education system, as well as Campaigning/Advocacy interventions must include interventions in a minimum of three Member States of the European Union or acceding countries.

⁸¹ Bulgaria, Czech Republic, Cyprus, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia and Slovenia.

⁸² 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].

⁸³ 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.

In both cases LA or ALA from the countries where the action will take place have to be partners in the project.

3.4. Essential selection and award criteria

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

– 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. Grant size will, in principle, fall between the following indicative amounts: a minimum of EUR 500,000 and a maximum of EUR 5,000,000.

An indicative 20% of the funds available Objective 2 of this programme will be allocated preferably to development education and awareness raising actions in the EU12 Member States, and proposed by LA or ALA originating from these countries.

All actions should be based on an initiative of LA or ALA from the country/countries where the action is taking place, and their involvement should be ensured during all stages of implementation.

- The maximum possible rate of EU co-financing of the total eligible costs of the action are:
 - EU15⁸⁴
LA maximum of 75% of the total eligible costs
 - EU12⁸⁵
LA and acceding countries maximum of 90% of the total eligible costs

Full financing may only be applied in the cases provided for in the Financial Regulation, where financing in full is essential to carry out the action in question.

- The duration of an action may not be lower than 12 months nor exceed 36 months.

3.5. Schedule of calls for proposals

A call for proposals will be published in 2013.

The Call for proposals and the tender will be published on the EuropeAid central website.

3.6. Indicative amount of call for proposals

The indicative financial envelope for 2013 for this component of the thematic programme is of EUR 7,000,000 under budget line 21 03 02 "Local Authorities in Development".

4. Support measures

Support measures will be used to promote both capacity building and capitalization of results and experiences of EU funded DEAR projects.

⁸⁴ Austria, Belgium, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands (The), Portugal, Spain, Sweden, United Kingdom.

⁸⁵ Bulgaria, Czech Republic, Cyprus, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia and Slovenia.

ANNEX XV TO AAP 2013

ACTION FICHE 15

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT PART LA – OBJECTIVE 3 – TARGETED PROJECT

1. IDENTIFICATION

Title/Number	Local Authorities (LA) - Targeted project to PLATFORMA		
Total cost	EU contribution - EUR 1,125,000 (Budget Line: 21.03.02) TOTAL: EUR 1,125,000		
Aid method / Method of implementation	Project approach - <u>Direct award of 1 grant</u> (direct centralised management)		
DAC-code	15112	Sector	Decentralisation and support to subnational government

2. RATIONALE

This Action Fiche concerns the direct award of 1 grant to PLATFORMA, the representative European platform of LA active in development.⁸⁶

The following direct award refers to the Objective 3 of the LA component of the programme, which aims at: **“achieving more efficient cooperation, foster synergies and facilitate a structured dialogue between LA' networks, within their organisations and with EU institutions”**.

2.1. Sector context

The European Union has for some time supported actions aiming at reinforcing the cooperation and coordination among European LA and between European LA and EU Institutions. In particular, this support has in part taken the form of support to PLATFORMA, the *"European Platform of Local and Regional Authorities in Development"*.

Launched in 2008 on the initiative of the Council of European Municipalities and Regions (CEMR), PLATFORMA has brought together ALAs active in development cooperation: at the European, national and international/global levels, including the world association of LA, United Cities and Local Governments (UCLG). European LA are represented in PLATFORMA via the ALA to which they belong and which are members of PLATFORMA. In addition, several European LA (cities, provincial

⁸⁶ The expression **"Local Authorities"** used in this and other action fiches of the AAP 2013 encompasses the large variety of subnational levels and branches of government i.e. municipalities, communities, districts, counties, provinces, regions etc. Therefore this expression includes as well regional authorities. It also refers to Associations of Local Authorities (ALAs). However, PLATFORMA's official denomination is *"European Platform of Local and Regional Authorities in Development"*, which will be used in this fiche when referring specifically to the network's title.

governments and regions), which are particularly involved in development cooperation are also members of PLATFORMA. This initiative of coordination was the first one in an associative landscape which had previously been relatively fragmented. The creation of PLATFORMA has permitted the development of a common reflection on the role of LA in development, whilst at the same time conducting structured work on the issues for multi-actor partnerships for an efficient development.

These activities, co-financed by the European Commission under the NSA-LA thematic programme, have resulted into a strengthened organisation which is today the only reference platform in Europe of LA active in development. Today PLATFORMA is regularly consulted by the EU institutions on the European development agenda. It is recognised by its partners, particularly in partner countries, as the European platform coordinating their strategic reflection in this domain. It also facilitates exchange of experience and mutual learning among European LA in order to improve their cooperation activities with LA in partner countries.

2.2. Lessons learnt

Since its creation, PLATFORMA has built up, with EC support, its representativeness, structure and *de facto* monopoly situation. In 2012, a ROM of the Commission's support under the NSA-LA was carried out which concluded that the networking and coordination activities of PLATFORMA members had been reinforced and that the impact of the Commission's support was already verifiable. Closer links between the members and a culture of joint cooperation had also been created. The services PLATFORMA provides to members and the overall advocating role of PLATFORMA would benefit, according to the ROM analysis, from a continued support to PLATFORMA at the European level. The Commission services' own assessments confirm that the continuation of this support via the proposed direct grant is an appropriate way to build on the lessons learnt from the past experience.

2.3. Complementary actions

During the implementation of the action, complementarities will 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).

Complementarities will also be sought with other types of support to national or European platforms mainly in the framework of the call for proposals launched under current objective 3 of the NSA/LA thematic programme as well as support to platforms and associations of LA in partner countries in the framework of the proposed CSO and LA in Development thematic programme 2014-2020.

Furthermore, complementarity will also be ensured where relevant with multi-country actions implemented in partner countries under the current objective 1b of the NSA-LA programme.

2.4. Donor coordination

PLATFORMA does not currently receive funding from other international donors. However, donor coordination and exchange of information will be ensured in the future and particularly during the duration of the proposed direct grant.

3. DESCRIPTION

3.1. Objectives

General objective:

To support PLATFORMA and its networks of European Local Authorities in order to increase the effectiveness and impact of their development cooperation.

Specific objectives:

- Reinforce PLATFORMA as a representative of European Local Authorities networks and their members;
- Reinforce the exchanges of experiences between the members of PLATFORMA on their development cooperation actions and capitalise on their achievements;
- The strategic role of PLATFORMA in the institutional dialogue at European level is reinforced in order to promote the added value of LA in development.

3.2. Expected results and main activities

- PLATFORMA's structure as a European network is reinforced with a more representative governance system in relation to its membership;
- PLATFORMA efficiently and systematically disseminates to its members, other stakeholders and the public in general information on the European agenda for development and on development activities of its members and is recognised, in particular by European LA, as a key source of information in this field.
- Adequate capitalisation of best practices is organised among PLATFORMA members and the outcomes are disseminated in a systematic manner.
- The positions of the members of PLATFORMA are coordinated for better impact on the European development agenda.

PLATFORMA will organise systematic exchange of experience and mutual learning activities. Studies and other stock-taking actions will be carried out, including more strategic surveys of the action by European LA in development cooperation.

In carrying out its activities, PLATFORMA will ensure that the expertise and experience of all its members are fully taken on board in order to maximise the impact of its actions.

3.3. Risks and assumptions

The main assumption is that PLATFORMA will continue, in the implementation of this action, to reinforce the effectiveness, continuity and stability of its action in order to achieve the general and specific objectives set up in section 3.1 above. It is also assumed that PLATFORMA members will continue their engagement to work together in order to advance on issues of common interest by exchanging their experience and actively participating in the activities of the project.

The main risks are:

- The diversity of the members may bring to differences in views and approaches, rendering more difficult the coordination of their inputs in view of presenting effective common contributions to the European development agenda;
- There might be an unequal participation of the various members according to their capacity or willingness to contribute to the project effectively;
- The current economic crisis in Europe might have repercussions in financial terms if for instance some members decide to reduce or withdraw their co-financing

contribution as this may reduce the overall budget available and therefore have an impact on some project activities.

Since PLATFORMA members have already been working together since 2008, with increasing effectiveness, the first two are considered as low risks. Mitigation actions may be taken in any case by reinforcing the common action of PLATFORMA and the consensus on policy contributions to the European development agenda.

The third risk is considered also low: since PLATFORMA has currently 24 individual members, the risk that some of them might in the course of the action reduce their contribution or withdraw from the project due to the economic crisis would not have a significant impact on project activities as each individual co-financing contribution represents a small percentage of the total budget of the action.

3.4. Cross-cutting Issues

The project takes into account the principles of human rights, good governance and gender equality as well as cross cutting issues such as rights of children and older people, rights of persons with disabilities, environment and climate change and fight against HIV/AIDS.

3.5. Stakeholders

The main stakeholders will be:

- The European LA which represent the 24 member organisations of PLATFORMA and which are engaged in decentralised cooperation activities with partner countries;
- An important network of LA of partner countries which cooperate with European Local Authorities members of PLATFORMA. These LA in partner countries in certain cases are also active members of international/world associations which belong themselves to PLATFORMA (United Cities and Local Governments United –UCLG-, Regions United-World Forum of Regions -ORU-FOGAR-, International Association of French-Speaking Mayors -AIMF-, Commonwealth Local Government Forum -CLGF);

CSO cooperating with PLATFORMA, particularly their European platforms will also be stakeholders of the project in order to ensure increased synergies and coordination between these two types of actors.

The final beneficiaries will be the populations in partner countries which participate or are involved in decentralised cooperation activities carried out by European LA members of PLATFORMA. They should profit from the impact of PLATFORMA actions in Europe and especially in the partner countries.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Direct centralised management.

4.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents which have been laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

The essential selection and award criteria for the award of grants are laid down in the Practical Guide to contract procedures for EU external actions. They are established in accordance with the principles set out in the Financial Regulation applicable to the General Budget.

The PLATFORMA network has reinforced, since its creation in late 2008, its representativeness, structure and working modalities. PLATFORMA is now in a position of *de facto* monopoly as the only encompassing Europe-wide network of local and regional authorities, and associations of LA, with a focus on development policy. PLATFORMA has also become in the last four years the Commission's main LA interlocutor for development policy, for instance in the case of the Structured Dialogue.

For the present action, a direct grant is awarded to PLATFORMA since it corresponds to a situation of *de facto* monopoly, according to the provisions of the Financial Regulation.

4.3. Budget and calendar

The EU maximum contribution will be EUR 1,125,000 (maximum of 75% of total project costs), to be financed under budget line 21 03 02.

The duration of the project is 36 months

The project is expected to be contracted the first semester of 2013.

4.4. Performance monitoring

The actions will be monitored according to standard procedures. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of project objectives.

4.5. Evaluation and audit

Evaluations and audits will respect standard procedures.

4.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.

ANNEX XVI TO AAP 2012

ACTION FICHE 16

NON-STATE ACTORS & LOCAL AUTHORITIES IN DEVELOPMENT ACCOMPANYING MEASURES

1. IDENTIFICATION

Title/Number	Accompanying measures		
Total cost	EU contribution - EUR 4,450,000 (Budget Line: 21.03.01) EUR 375,000 (Budget Line: 21.03.02) TOTAL: EUR 4,825,000		
Aid method / Method of implementation	Direct centralised management		
DAC-code	15150 15112	Sector	Strengthening of civil society Decentralisation and support to subnational government

2. DESCRIPTION

The Regulation N° 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (DCI) (OJ L 378 of 27 December 2006, pp. 41-71), in particular the Article 26, constitute the legal basis of this action.

Accompanying measures are foreseen to support actions directly necessary for the implementation of the programme and the achievement of its objectives and might be implemented in the framework of any of the objectives of the programme.

The present AAP foresees the following initiatives:

Objective 1a – in-country interventions:

An indicative amount of EUR 1,500,000 will be used to launch a service contract to support a number of EU Delegations to develop country roadmaps on a pilot basis in coordination with Member States. Support will be tailored to the country context, the respective roles of the different stakeholders (CSO, partner governments, EU Member States, etc.) and the context of the EU cooperation.

As indicated in Action Fiche 1, in order to improve the impact, predictability and coherence of EU support to CSO, these roadmaps should cover both policy dialogue and operational support. They will be regularly updated and publicly available.

The envisaged support will be organised around the following three axes:

1. Assist EU Delegations in developing studies and assessments of the CSO arena, including the analysis of CSO roles in the focal sectors of cooperation or in other strategic areas of EU external action.

2. Based on these analyses, assist EU Delegations in developing country roadmaps as coherent processes based on participation and ownership. Roadmaps should include objectives and expected results for the period 2014-2017.

3. Develop a capitalisation system in order to keep track of the processes and ensure dissemination of methodology and best practices among EU Delegations.

Objective 1b – multi-country interventions:

An indicative amount of EUR 1,000,000 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 Development⁸⁷ 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.

Objective 2 – DEAR:

An indicative amount of EUR 1,500,000 will be used to launch a service contract to finance the DEAR Support Team mentioned in Action Fiches 11 and 14. Globally, the DEAR Support Team shall contribute to ensuring the capitalisation and capacity building of DEAR projects as well as networking of DEAR stakeholders. The specific objective(s) are:

- Develop and implement a policy of capacity development for EU DEAR stakeholders, e.g. through workshops organised for CSO & LA in cooperation with national platforms;
- Develop and implement a process of capitalisation (lessons learned and good practices identified and applied) from past and on-going DEAR EU-funded projects; e.g. through workshops organised for CSO & LA in cooperation with national platforms;
- Conceive, create and 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 between i) the European Commission, ii) Member States representatives responsible for DEAR and iii) DEAR Stakeholders, iv) National Platforms dealing with DEAR;
- Assure (logistics & content) the organisation of the following workshops per year: 1. one annual workshop of on-going EU DEAR projects, 2. one annual workshop of newly contracted EU DEAR projects, 3. one annual meeting between the European Commission and Member States' representatives responsible for DEAR, 4. one annual fair and discussion forum of EU DEAR projects (networking, presentation of results, methods, lessons learned).
- Develop a set of DEAR impact indicators for the EU and facilitate the measuring of impact in relation to the overall programme.

Besides the initiatives described above focused on a particular objective of the programme there will be also contracts to support evaluations, studies and/or

⁸⁷

URL: https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Policy_forum_on_development

technical assistance programme wide. Finally, there will be indicatively 50 to 60 external audit contracts for individual projects. An indicative amount of EUR 825,000 will be used to finance these contracts.

Unspent funds will be added to the budget allocations for the calls for proposals covered by this AAP.

3. IMPLEMENTATION ISSUES

3.1. Method of implementation

Direct centralised management.

3.2. Procurement and grant award procedures

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents which have been laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

Participation in contracts will be in line with the provisions of the DCI Regulation.

3.3. Budget and calendar

A budget of EUR 4,825,000 is foreseen: EUR 4,450,000 to be financed under budget line 21 03 01 and EUR 375,000 to be financed under budget line 21 03 02.

Contracts will be concluded as of the adoption of the AAP until the end of 2014.

3.4. Performance monitoring

The actions will be monitored according to standard procedures.

3.5. Evaluation and audit

Audits will respect standard procedures.

3.6. Communication and visibility

Visibility of EU funded actions will be ensured according to the EU Visibility Guidelines.