

Thematic programme

Non-state actors and local authorities in development

2011-2013 Strategy Paper

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GLOSSARY

ACP – Africa Caribbean Pacific

LA – Local authority

NSA – Non-state actor

ODA – Official development assistance

DAC – Development Aid Committee

PCD – Policy coherence for development

DG – Directorate-General

CSP – Country strategy paper

IPA - Instrument of Pre-accession Assistance

DCI – Development Cooperation Instrument

INSC – Instrument for Nuclear Safety Cooperation

EIDHR – European Instrument for Democracy and Human Rights

ENPI – European Neighbourhood and Partnership Instrument

ICI – Industrialised Countries Instrument

IfS – Instrument for Stability

MEDA – Council Regulation (EC) No 1488/96 of 23 July 1996 on financial and technical measures to accompany (MEDA) the reform of economic and social structures in the framework of the Euro-Mediterranean Partnership

MDGs – Millennium Development Goals

NGO – Non-Government Organisation

AAP – Annual Action Programme

NIP – National Indicative Programme

PCM – Project Cycle Management

LDC – Least-developed country

MTR – Mid-term review

CSR – Corporate Social Responsibility

EU – European Union

EXECUTIVE SUMMARY

The thematic programme 'Non-State Actors and Local Authorities in Development' is a development policy instrument of the European Consensus on Development¹. It took the place of the NGO cofinancing and decentralised cooperation budget lines and has its legal basis in Article 14 of Regulation (EC) No 1905/2006 establishing a financing instrument for development cooperation (DCI)².

For the period 2007-2013 the DCI provides for a maximum indicative sum of EUR 1.639 million for the thematic programme 'Non-State Actors and Local Authorities in Development'. In view of the EU's budget, the programme has been allocated EUR 702 million for 2011-2013.

It is an 'actor-oriented' programme offering cofinancing for the own activities of NSAs and LAs and support for capacity-building. The aim is to facilitate their involvement in policy formulation and their capacity to deliver basic services to the poorest sections of the population in developing countries and so help reduce poverty in a context of sustainable development.

The programme furthers the EU's policy of encouraging and supporting long-standing partnerships between EU and partner country non-state actor organisations and local authorities. As an integral part of EU cooperation, support to civil society is, for the most part, mentioned in partnership and cooperation agreements with third countries and provided through the geographic programmes (CSPs and the like). The programme is thus inspired by the principles of subsidiarity and complementarity as laid down in Article 11 of the DCI.

Given that the programme is only partially implemented, and programme-funded activities did not start up until the second half of 2008, it is too early to draw any final conclusions about achievement of its objectives. This is why the current strategy is largely a continuation of the previous one with only small changes. Like the previous programme, the 2011-2013 strategy paper identifies three specific objectives that contribute to the overall objective:

- promotion of the principles of inclusivity and independence in partner countries so as to facilitate non-state actor and local authority participation in poverty reduction and sustainable development strategies;
- raising public awareness of development issues and promoting education for development in the EU and acceding countries³, anchoring development policy in European societies, and mobilising greater public support for action against poverty and fairer relations between developed and developing countries;

¹ COM(2006) 19: Non-state actors and local authorities in development.

² Regulation No 1905/2006 of the European Parliament and Council of 18 December 2006 establishing a financing instrument for development cooperation (DCI).

³ 'Acceding countries' refers to countries that have signed but not ratified the Treaty. But candidate countries/potential candidates may take part in Objective 2 and 3 projects if the costs of their participation are covered by the Instrument of Pre-Accession Assistance.

- support for activities to strengthen coordination and communication activities of NSA and local authority networks in the EU and acceding countries.

Objective 1 interventions will target:

- country situations not conducive to ensuring non-state actor and local authority involvement in the development process, including difficult partnerships, unstable situations, conflict and poor governance. This programme is an important tool which may help to get participatory approaches accepted and put into practice;
- people out of reach of basic services and resources and excluded from policy-making processes;
- multinational and/or multiregional interventions to tackle problems common to more than one region (desertification, migration, etc.) and initiatives to structure NSA and LA networks at regional or international levels.

For **Objective 2**, which covers awareness-raising and development education, the focus will be on:

- the Millennium Development Goals, especially in parts of the world lagging behind, above all subSaharan Africa;
- areas of public interest where common development-related goals are important, such as migration, trade, fair trade, and so on.

Under **Objective 3**, for cooperation activities in Europe, priority will be placed on:

- institutional coordination between platforms of NSAs and LAs and the European institutions;
- capacity-building for European platforms and their members and a stepping-up of multi-stakeholder dialogue.

All non-profit non-state actors and local authorities originating in the EU and partner countries are potentially eligible for funding under this thematic programme, which will take account of the comparative value-added of different stakeholders.

Another feature of the programme is devolved management to EU delegations where actions are taking place in one country; other programme activities are managed at Commission headquarters.

1. INTRODUCTION

While it is for the governments of partner countries to decide on their countries' cooperation strategies with the EU, the complementary role of non-state actors and local authorities has become a fundamental principle of EU development policy. Recognising the potential value-added of non-state actors and local authorities, the European Commission encourages the broadest possible participation by all parts of society to ensure ownership of development strategies by local people and to promote a dialogue on good governance within each country⁴. Through the policy dialogue it conducts with partner countries the Commission seeks to promote a legislative framework conducive to the expression of different stakeholders' views and the development of a society where freedom of expression prevails. Through the various financial instruments available to it the European Commission supports, for instance, the organisation and representation of

⁴ See also points 2.1, 2.2 and 2.3 of the 2007-2010 multiannual strategy.

various civil-society stakeholders and local authorities, and encourages the setting-up of consultation machinery, the establishment of strategic alliances between non-state actors, etc.

As reflected in the 'European Consensus on Development'⁵ and a number of conclusions, resolutions and opinions, civil society and its various actors play a key role as promoters of democracy, social justice and human rights. The EU recognises the vital contribution made by NSAs as strategic partners in political, social and economic dialogue and as key actors for the delivery of aid. The value added by LAs to European development policy has been recognised in the European Consensus on Development, the revised Cotonou Agreement⁶ and the 2008 communication 'Local authorities: actors for development'⁷.

It is an 'actor-oriented' programme offering cofinancing for the activities of NSAs and LAs and support for capacity-building. The aim is to facilitate their involvement in policy formulation and their capacity to deliver basic services to the poorest sections of the population in developing countries and so help reduce poverty in a context of sustainable development.

Support for NSAs and LAs under this programme is subordinate and complementary to support provided under geographical programmes, which remain the main framework for cooperation between the European Union and its partners.

The 'Non-State Actors and Local Authorities in Development' programme replaces the 'Cofinancing with NGOs' and 'Decentralised cooperation' budget lines and has its legal basis in Article 14 of Regulation (EC) No 1905/2006 establishing a financing instrument for development cooperation (DCI)⁸. The NSA/LA programme has been designed to take on board the lessons learnt from past experience, developments in policy regarding participatory approaches, and the process of 'devolution' from headquarters to the EU delegations. This led to major innovations over the initial programming period, which can be summed up as follows:

- all types of non-profit NSAs and local authorities from the EU and partner countries are potentially eligible for this programme;
- with the devolution of aid, EU delegations will assume greater management responsibility for in-country interventions under Objective 1 of the programme. This includes defining the scope of programme activities in line with their specific needs (consultations with local stakeholders, other donors, etc.), choice of procedures best suited for managing the programme and, where appropriate, the issuing of local calls for proposals and the selection, execution, signing and management of projects and their evaluation;
- the scope of the awareness-raising and development education activities (Objective 2) and stakeholder coordination and communication (Objective 3) was expanded to include not only EU Member States but also acceding countries.

⁵ http://ec.europa.eu/development/icenter/repository/european_consensus_2005_en.pdf

⁶ http://ec.europa.eu/development/geographical/cotonouintro_en.cfm

⁷ See the previous strategy (point 2) and the communication COM(2008) 626 'Local authorities: actors for development'.

⁸ Regulation No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation (DCI)

This approach was gradually implemented over the period 2007-2010 and will be maintained in the current strategy.

2. ANALYSIS OF THE INTERNATIONAL SITUATION AND THE EUROPEAN UNION POLICY FRAMEWORK

A world experiencing many crises which hit the poorest the hardest

The years 2007-2010 saw a number of crises affecting food prices, oil and finance, and ending with widespread economic crisis. These crises directly affected the developing countries and in a few short months thrust millions of people into extreme poverty.

The period 2011-2013 will therefore be crucial as regards reaching the MDGs by 2015; some regions are already struggling to achieve them⁹. More than ever before, the objective of the EU's development-cooperation programmes is to 'to eradicate poverty in a context of sustainable development'¹⁰. To speed up the progress of the countries lagging behind, the European Commission is seeking to maximise the take-up of its various programmes and increase the synergies between different instruments (Africa-EU strategic partnership¹¹, the European Development Fund, the European Neighbourhood Partnership Instrument, the Development Cooperation Instrument, thematic programmes, and so on).

The EU's commitment to the developing countries

Despite the difficult economic climate, the EU, which is the world's leading provider of official development assistance (ODA), expressed its willingness to continue to be a central player in development at the European Council of June 2010. The EU Member States reaffirmed their intention of maintaining the promised levels of ODA in order to achieve the objectives set at Monterrey in 2002¹².

But 50 years of development cooperation have shown that aid alone is not enough to bring a country out of poverty. This is why the EU is currently trying to measure the impact of its policies (trade and agriculture, but not forgetting policies such as the environment and consumer protection) on developing countries. Policy coherence for development (PCD) should ensure that development cooperation policy has a greater impact. PCD should then help create an global political climate more favourable to developing countries in international forums through a systematic questioning of the impact decisions will have on developing countries, an example being climate change issues¹³.

Making aid more effective

The proliferation of international donors over the last twenty years, including NSAs and LAs, has increased the risk of fragmentation, lack of synergy or, worse still, duplication of donors' efforts. The effectiveness of the aid given to developing countries has become a major development issue in recent years. One of the EU's priorities now is therefore to put

⁹ http://ec.europa.eu/development/icenter/repository/2008.11.06%20MDG_long_paper_en.pdf

¹⁰ Section 1, point 5 of the European Consensus on Development.

¹¹ http://ec.europa.eu/development/geographical/regionscountries/euafrica_en.cfm

¹² European Council conclusions, June 2010, <http://ec.europa.eu/eu2020/pdf/115346.pdf>

¹³ http://ec.europa.eu/development/icenter/repository/COM_2009_458_part1_en.pdf

into practice the principles of the Paris Declaration¹⁴ (ownership, alignment, harmonisation, managing for results and accountability) and the Accra Agenda for Action¹⁵.

The European Commission has taken the initiative in recent years to take some very concrete steps towards taking more account of the risk of fragmentation. In 2007 the EU Member States adopted an EU Code of Conduct on Division of Labour in Development Policy, the aim of which is to ensure the operational complementarity of the EU Member States¹⁶.

This concern is also expressed in the Commission's relations with NSAs and LAs. In 2008, at the invitation of local authorities, civil society organisations and some Member States, the Commission took part in the drafting of a European Charter on Development Cooperation in support of local governance, designed to apply the principles of aid effectiveness at local level¹⁷. In 2010 the Commission initiated a structured dialogue with CSOs and LAs to explore how the operational complementarity of each party to the dialogue could be improved¹⁸.

3. OPERATIONS FINANCED IN THE PAST AND LESSONS LEARNED

In 2007-2010 support for participatory approaches under geographical programmes was supplemented by support to NSAs and LAs under the NSA/LA thematic programme.

3.1. Financing in the initial programming period (2007-2010)

3.1.1. Objective 1: promote an inclusive and empowered society in partner countries to facilitate non-state actor and local authority participation in poverty reduction and sustainable development strategies

In the first phase of programme implementation it was anticipated that the ACP countries would receive 49% of the funds, Asia 23%, Latin America 21%, Eastern Europe, the Middle East and Central Asia 3.5%, and the ENPI-South countries¹⁹ 3.5%.

Only for Objective 1a was this geographical breakdown achieved, given the multinational/multiregional nature of Objective 1b.

3.1.1.1. Financing by country (Objective 1a)

Over the period 2007-2010 the ACP region received 45.99% of the programme financing, Asia 25.21%, Latin America 19.20%, Eastern Europe, the Middle East and Central Asia 6.72%, and the ENPI-South countries 2.88%.

¹⁴ <http://www.oecd.org/dataoecd/11/41/34428351.pdf>

¹⁵ <http://siteresources.worldbank.org/ACCRAEXT/Resources/4700790-1217425866038/FINAL-AAA-in-French.pdf>

¹⁶ http://ec.europa.eu/development/icenter/repository/COMM_PDF_COM_2007_0072_F_EN_DIVISION_TRAVAIL.PDF

¹⁷ <http://sites.google.com/site/euchartercooplocal/>

¹⁸ https://webgate.ec.europa.eu/fpfs/mwikis/aidco/index.php/Structured_dialogue

¹⁹ Called 'MEDA countries' under the previous strategy.

The geographical weighting was therefore broadly respected, although the ACP countries and, to a lesser extent, the Latin America and the ENPI-South regions received less than expected (-3%, -1.8% and -0.62%), and Eastern Europe, the Middle East and Central Asia (+3.22%) and Asia (+2.20%) received more²⁰.

A growing number of countries ask to join the programme each year: 68 countries were identified as priorities for budget line 21 03 01 (NSA) in 2007 and this figure rose to 87 for the 2010 work programme. Similarly, the number of countries eligible for budget line 21 03 02 (LA) rose from 31 in 2007 to 41 in 2010. This increase reflects delegations' and beneficiary countries' growing interest in the programme.

In 2007 and 2008 764 projects were funded under Objective 1, amounting to interventions in these countries for a total of €262 210 258.

Between 2007 and 2010 44 least-developed countries (LDCs)²¹ received funding under the programme. Overall, 71% of the ACP countries' allocations and 44% of those for Asian countries were for LDCs.

Regarding the nationality of organisations in receipt of grants in 2007 and/or 2008, a slight increase in the number of beneficiaries from partner countries may be noted, these organisations receiving 36.5% of funds in 2008 against 33% in 2007.

Diversity reigns when it comes to the sectors covered by the programme, but the main areas covered by the projects funded in 2007 and 2008 were: human rights and the democratic participation of civil society 39%; health 9%, education 7%, water and sanitation 5.6%, agriculture/rural development/food aid 4%.

3.1.1.2. Multicountry initiatives (Objective 1b)

The multicountry component of Objective 1 received a total allocation of €149 807 797.53 in 2007-2010. A total of 62 projects were funded to the tune of €88 643 878 in the budget years 2007 and 2008, the majority in the following areas: support to decentralisation and the democratic participation of civil society 38%, healthcare and basic services 13.6%, education 6%, mother and infant health 6%, and water and sanitation 4.5%.

There was a rise in the number of grant recipients from partner countries - from 13% of all beneficiaries in 2007 to 21% in 2008.

3.1.2. Objective 2: promote awareness-raising and development education in the EU and acceding countries about development issues

The annual amount allocated to development education under the thematic programme remained stable at some €30 million, accounting for nearly 14% of the annual budget.

²⁰ The regional groupings used for the geographic weighting in the initial programming period do not correspond to the regional groups which the Commission works with now. One no longer talks about MEDA or Eastern European countries but of ENPI countries: Algeria, Armenia, the Palestinian Authority of the West Bank and the Gaza Strip, Azerbaijan, Belarus, Egypt, Russia, Georgia, Israel, Jordan, Lebanon, Libya, Morocco, Moldova, Syria, Tunisia and Ukraine. It was therefore decided to use the regional groups referred to in the DCI for the 2011-2013 programming exercise (see point 4.2.1.1).

²¹ Of a total of 49 LDCs after revision of the list in 2006.

However the number of proposals received far exceeds available resources and so many projects cannot be funded. In 2007 and 2008 92 projects in all were funded for a total of €8 256 185.

In terms of geographical coverage most projects give rise to activities in several EU Member States, giving these Objective 2 operations a European dimension.

The share of the Member States that joined after 2004 is increasing as the 6.65% of funds they received for this objective under the 2007 programme rose to 10.74% in 2008; according to the preliminary information currently available, they will account for 25.5 % of the NSA budget in 2009.

3.1.3. Objective 3: facilitate coordination and communication of NSA and LA networks in EU and acceding countries

€1 010 287 were allocated to Objective 3 in 2007-2010. In 2007 and 2008 24 projects in all were funded for a total of €10 157 777.

Funds were usually allocated through calls for proposals made by the Commission but there were also direct grants in specific circumstances authorised by the Financial Regulation. For example, direct grants were made to the national platforms of NGOs whose country held the rotating EU presidency. Similarly, an operating grant was awarded annually to CONCORD, the European NGO Confederation for Relief and Development.

Grants awarded following calls for proposals mainly went to existing networks (trade unions, political foundations, etc.) to enhance the development component of their work programme, but they also made it possible to set up new pan-European networks, an example being financing for the platform of local authorities involved in development.

3.2. Conclusions and recommendations drawn from evaluations

The multiannual strategy for 2007-2010 required an external evaluation of operations financed in the initial implementation phase. Although it is still too soon to judge the results of the programme, as the implementation of projects did not begin until late 2008, the evaluation was carried out with a focus on the management of the programme²². The conclusions/recommendations of a number of other studies/evaluations are also taken into account in this section: the special report of the Court of Auditors on the Commission's management of non-state actors' involvement in EC cooperation²³, the evaluation of Commission aid channelled through civil society organisations²⁴, and the evaluation of awareness-raising and development education initiatives²⁵.

²² See final report at:
http://ec.europa.eu/development/icenter/files/europa_only/consultation_non_state_actors_main_report.pdf

²³ Special Report No 4/2009 — The Commission's management of non-state actors' involvement in EC Development Cooperation.

²⁴ http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2008/1259_docs_en.htm.

²⁵ Evaluation of Actions to Raise Public Awareness of Development Issues in Europe/Development Education: http://ec.europa.eu/europeaid/what/civil-society/documents/de-ar_evaluation2008.pdf

Generally speaking, in view of the substantial changes to the programme introduced in 2007 following previous evaluations²⁶ and the fact that it is too soon to judge the programme's impact, the multiyear strategy does not need amending substantially but just improving in specific aspects, particularly programme management (greater differentiation between NSAs and LAs, methods of allocating funds, etc.).

More specifically, for Objective 1a (in-country):

- The EU's decision to decentralise the management of actions in a single country to the delegations is the right way to implement a 'tailor-made' approach taking into account the specific circumstances of the country (analyse whether the environment is favourable or not to CSOs and local authorities) and the Commission's response strategy in the framework of the geographic programmes. In response to the Court of Auditors' remarks on ill-defined calls for proposals²⁷, the external evaluation will stress the need for more targeted calls for proposals that take into account the local environment in which the various actors exercise their right of initiative. This targeting should emerge from a regular dialogue with the participants.
- Opening up the programme to a wider range of actors than NGOs is a step forward in stimulating the development of the beneficiary countries, but the methods used to implement it (mainly calls for proposals) are not necessarily the most suitable for promoting capacity-building, especially in grassroots organisations. This was one of the most important remarks concerning calls for proposals in the Court of Auditors' 2009 report²⁸. The Court advocated the use of methods other than the project approach to support NSAs: partnership agreements, multi-donor funding or use of subgrants.

For Objective 1b (multicountry) there is a need to better target the type of activity to be supported, particularly in the case of inter-regional projects. It has also often proved difficult to monitor these projects, given the geographical spread of the activities, and the external evaluation has therefore recommended reducing the proportion of the programme devoted to such activities in favour of those in a single country in 2011-2013.

In the case of Objective 2, this programme is one of the few instruments available to the Commission to support this type of activity and it must be retained so that we can continue to educate citizens on development issues in order to mobilise public opinion to make European governments uphold their commitments on official development assistance. However, the 2008 evaluation noted a lack of overall strategy in this area, including a lack of coordination between the programmes undertaken by the Commission and those of the Member States²⁹.

Objective 3 is judged pertinent by the external evaluation, which notes, however, that special efforts should be made in the second phase to promote cooperation initiatives between the various networks to increase multi-stakeholder synergies.

²⁶ See previous multiannual strategy paper on this subject.

²⁷ Special Report No 4/2009 — The Commission's management of non-state actors' involvement in EC Development Cooperation.

²⁸ Ibid.

²⁹ Evaluation of Actions to Raise Public Awareness of Development Issues in Europe/Development Education: http://ec.europa.eu/europeaid/what/civil-society/documents/de-ar_evaluation2008.pdf

3.3. Lessons learned

After taking into account the trends that emerge from the projects funded during the first phase of programme implementation, the evaluations referred to in point 3.2 and the views expressed by stakeholders, either during the public consultation on the revision strategy which took place on DG Development's website from 22 January to 6 March 2010³⁰ or in the course of the structured dialogue now under way, the European Commission believes that:

- In a financial context marked by the ceilings set in the 2007-2013 financial perspectives, and in view of the programme's growing success, there is a greater need to adopt an even more strategic approach so as to maximise the programme's impact across all its objectives.
- The geographical breakdown of the funds for Objective 1a is broadly satisfactory in terms of the European Commission's political development cooperation priorities for the various regions of the world.
- New programme implementation methods that comply with the Financial Regulation need to be explored when adopting the annual work plans.
- Finally, there is a need to differentiate the approaches adopted for LAs and NSAs when it comes to programme management, as LAs have specific features that distinguish them from NSAs as a group. Such differentiation in programme management must, however, go hand in hand with renewed encouragement of stakeholders to work in partnership, given the many synergies between their initiatives (value-added from multi-stakeholder projects).

4. THE RESPONSE STRATEGY

Given the major innovations introduced with the 2007 programme and the lack of time to judge the results of the programme, as the initial projects are being completed only now, the 2011-2013 strategy largely follows on from that of the previous programme. However, under Objective 1a attention will be focused on the programme's positioning vis-à-vis similar activities financed under the geographic and other thematic headings in order to avoid duplication and to maximise the impact of projects financed under the NSA/LA programme³¹.

4.1. Objectives

The actor-oriented NSA/LA programme will cofinance the own initiatives of NSAs and LAs and build the capacity of CSOs and LAs with the aim of facilitating their participation in the process of policy formulation and enabling them to deliver basic services to the poorest groups in developing countries, so reducing poverty in a context of sustainable development. The 2011-2013 response strategy, like the previous one, identifies three objectives that contribute to the programme's overarching objective:

³⁰ Public consultation on the review of the programme from 22 January to 6 March 2010: http://ec.europa.eu/europeaid/how/public-consultations/index_en.htm

³¹ This will be one of the evaluation criteria of the analysis that delegations will have to provide in order to take part in the programme.

- (1) to promote an inclusive and empowered society in partner countries that will facilitate non-state actor and local authority participation in poverty reduction and sustainable development strategies;
- (2) to promote development education and awareness of development issues in the EU and the acceding countries;
- (3) to facilitate coordination and communication of non-state actor and local authority networks in the EU and the acceding countries.

Candidate countries/potential candidates may take part in Objectives 2 and 3 if the costs of their participation are covered by their Instrument of Pre-Accession Assistance.

4.2. Priorities for 2011-2013

On the basis of the above, the strategic priorities set out below will guide implementation of the three specific objectives of this thematic programme over the period 2011-2013.

4.2.1. Objective 1: promoting an inclusive and empowered society in partner countries that will facilitate non-state actor and local authority participation in poverty reduction and sustainable development strategies

4.2.1.1. Interventions in single countries (Objective 1a)

To reflect the European Commission's development priorities, in accordance with the geographical guidelines established in the previous programming exercise, and the actual take-up of funds over the period 2007-2010, the programme financing for this objective will be divided among the regions as follows:

ACP 51.5 %, Latin America 20.5%, Asia 19.5%, ENPI countries³² 6%, Middle East 1.75% and Central Asia 0.75 %.

Two lists of eligible countries (one for NSAs and one for LAs) will be drawn up within this overall geographical breakdown on the basis of the following criteria:

- country situations not conducive to ensuring NSA and LA involvement in the development process, including difficult partnerships³³, unstable situations, conflict, poor governance, etc. This programme is an important tool which may help to get participatory approaches accepted and put into practice;

and/or

³² Including the Russian Federation.

³³ Difficult partnerships are defined as those in situations 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 the objectives of poverty reduction and other basic principles of development policy, including good governance and the participation of civil society and decentralised authorities; and (3) countries where the dialogue on participatory approaches to development is very limited.

- specific needs of parts of the population not addressed in the partner country development strategy and groups that are out of reach of mainstream services and resources, and excluded from the policy-making process.

4.2.1.2. International, multi-country/regional initiatives (Objective 1b)

Priority will be given to:

- initiatives that tackle problems common to more than one region (desertification, migration, water management, participatory development, etc.): South-South cooperation will be encouraged;
- initiatives to structure NSA and LA networks at regional, interregional or international levels.

4.2.2. *Objective 2: awareness-raising and development education in the EU and acceding countries about development issues*

In line with the priorities established for 2007-2010 and taking into account the lessons learned from the implementation of the programme, the findings of the evaluation of development education³⁴ and the EU's development priorities, priority will be given to the following themes with the aim of maximising the impact and effectiveness of development education:

- the Millennium Development Goals, especially in parts of the world lagging behind, above all subSaharan Africa;
- areas of public interest or common development-related goals such as migration and its impact and consequences for the countries of origin and arrival, trade and in particular fair trade, microcredits, security, human rights, social dimension of globalisation and decent work; consistency must be sought in policies linked to or having an impact on these areas in the interests of effectiveness.

Where the type of action lends itself, including those where the public is targeted by the awareness-raising and development education campaigns, the mass media should be used to highlight the principles of solidarity and North South interdependence.

Whenever possible, depending on the type of action proposed, thought should be given to integrating the topic of development into education systems. To maximise the impact and effectiveness of development education, the proposed activities should complement and underpin any existing such policies in the EU countries concerned.

Preference will usually be given to European-wide initiatives based on solid partnerships that will provide a true European dimension.

³⁴ Evaluation of Actions to Raise Public Awareness of Development Issues in Europe/Development Education: http://ec.europa.eu/europeaid/what/civil-society/documents/de-ar_evaluation2008.pdf

Special attention will be paid to awareness raising and development education in the Member States which have joined the EU since 2004.

4.2.3. Objective 3: Coordination and communication of non-state actor and local authority networks in EU and acceding countries

With a view to developing and consolidating dialogue between the participating organisations and between them and the EU institutions, priority will be given to:

- institutional coordination between NSA and LA platforms and the European institutions;
- capacity-building for European platforms and their members and stepping up multi-stakeholder dialogue.

4.3. Eligible actors

The programme is 'actor-oriented' and supports, within the framework of EU priorities, the right of initiative of a wide range of actors, by funding 'own initiatives', rather than specifying in detail the activities they should undertake as implementing partners. Eligible actors will receive financial support for initiatives reflecting their own specific added value, roles and comparative advantage.

In principle, all types of non-profit non-state actors and local authorities originating from the Community and partner countries are potentially eligible for funding under this thematic programme, as provided for in Article 24(2) of the DCI. NSAs and LAs in acceding countries are eligible under Objectives 2 and 3 of the programme. Candidate countries/potential candidates may take part in Objective 2 and 3 projects if the costs of their participation are covered by their Instrument of Pre-Accession Assistance.

For projects carried out by European or 'non-national' actors, the existence of a partnership with a local actor must be demonstrated and projects should be in response to initiatives of the local partners. The Annual Action Programme will set out the rules on eligibility and cofinancing tailored to the capacity of each actor and its financial resources.

Support for actors eligible for actions in one country will be subordinate to support provided for NSAs and LAs under geographic programmes.

The ability of local authorities to contribute will be taken into account in calculating the EU cofinancing.

5. THE MULTIANNUAL PROGRAMME

The multiannual indicative programme will cover the last three years of implementation (2011-2013). It will serve as the basis for formulating the Annual Action Programmes (AAPs) and will be evaluated in 2012. In accordance with the indicative allocations set out in the DCI, the total amount for the period 2011-2013 is €702 million.

In drawing up the AAPs, the various forms of aid available under the Financial Regulation will be explored to provide funds tailored to the real circumstances of the different programme objectives (combining more than one budget year, the Partnership Agreement, subgrants and so on).

5.1. Objective 1 – Promoting an inclusive and empowered society in partner countries that will facilitate non-state actor and local authority participation in poverty reduction and sustainable development strategies

An indicative percentage of 83 % of the financial allocation for this thematic programme will be available for interventions and activities in partner countries and regions. Objective 1 will be pursued by supporting two different types of intervention: in-country projects managed by EC delegations and international, multicountry initiatives managed by EC headquarters.

If there is a well-founded increase in the amount requested by a local EU delegation, some of the multicountry allocation will be shifted to the single country allocation. The amounts for each suballocation will be established in the Annual Action Programme: they will be indicative and sufficiently flexible to ensure a maximum absorption of funds.

5.1.1. In-country interventions managed by EC Delegations (Objective 1a)

Activities and expected results

Activities financed under this subobjective account for about 90% of Objective 1 funding.

The scope of such activities is potentially very broad and a programme which upholds actors' "right of initiative" is not one whose **expected results** can easily be predicted. This said, the projects should contribute towards the following objectives and results:

- building the capacity of NSAs and LAs with a view to strengthening their role in poverty reduction and sustainable development strategies;
- changes in government policy and practice in respect of NSAs and local authorities aimed at involving them in the development process, including changes in legislation, removal of obstacles and/or an improved government commitment to involving NSAs and LAs;
- degree of participation of the poorest sections of the population in developing countries, particularly marginalised and vulnerable groups out of the reach of mainstream services and excluded from the policy-making processes;
- number of sound partnerships set up to promote networking and alliances between a wide range of different stakeholders from the EU and partner countries (South-South and North-South);
- greater interaction between state and non-state actors in various contexts, including NSA involvement in a policy dialogue with the government and their capacity to play an oversight role;
- capacity of worker's organisations and employers to engage in social dialogue and promote corporate social responsibility (CSR);
- citizens enjoy an enhanced capacity to take action, defend their rights and take part in the political debate at local, national and international levels;

- gradual transfer of capacity from NSAs to the relevant state actors at various levels (local regional, national).

In the case of in-country interventions there will be an emphasis on the participation of NSAs and LAs of the partner countries.

NSA/LA multi-actor partnerships will be encouraged.

Initiatives and projects may have a cross-border character and/or involve national communities living abroad (such as diaspora organisations).

Lists of eligible countries

Different lists of eligible countries will be established for NSAs and LAs with the countries and indicative financial allocations for each. These lists will be part of the 2011 Annual Action Programme and valid for the whole programming period. However, in exceptional, duly substantiated circumstances the inclusion or removal of a country may be considered on a case by case basis.

The EU delegations will be consulted on the composition of the lists of eligible countries. Those who believe that their country of posting fulfils the conditions laid down in Article 4.2.1.1 will be invited to submit a concept note to headquarters setting out the broad outlines of a NSA/LA programme for 2011-2013 in the countries concerned. The note will basically transpose the principles and guidelines of this thematic strategy paper to the domestic context. The strengthening of civil society and capacity building of actors will underpin this exercise³⁵.

Positioning of the programme: subsidiarity and complementarity in respect of actions carried out under geographical programmes and other thematic instruments.

In accordance with the DCI, support provided under this programme may complement and help achieve agreed objectives in the European Commission's focal points and/or add value to activities in other areas. This subsidiarity to EC country strategy papers (CSPs) should guide the drafting of the concept notes (possibility of targeting this or that actor, a specific theme or specific region of a country, etc.). Civil society mapping undertaken in the CSP process could provide a useful basis for the concept note. Complementarity with other EU instruments and thematic programmes, including the European Instrument for Democracy and Human Rights and the Stability Instrument, should also be sought and explained in the concept note. The NSA/LA programme should complement the activities of these two instruments, not duplicate them. Coordination with other actors and donors active in supporting NSAs and LAs should also be sought.

A similar approach to subsidiarity is needed for LAs, especially in the case of regional programmes on the same themes.

Consultations with civil society, local authorities, Member States and other relevant stakeholders present in the country will be organised and feed into the formulation of the broad outlines of the programmes. The results of these consultations will be taken up in the concept notes which, in turn, will be assessed and validated by the interservice group on the basis of criteria such as:

³⁵ European Consensus, point 3, p. 6.

- the strategic positioning of the programme in relation to all the other instruments and geographical or thematic programmes;
- the potential added value of the envisaged support to NSA and LAs through this programme, including the reasons for the proposed choice of (multi)actor(s);
- the clarity of the objectives and results;
- coherence of the concept note with the proposed resource allocation, including the programme budget and accompanying support measures (as set out in Article 26 of the DCI);
- quality of the country consultations and prospects for local ownership of the proposed programme;
- consistency of the objectives and priorities with local, regional and national development policies;
- the delegation's management capacity.

At the end of the exercise to select the eligible countries, the interservice group may adjust the allocation of resources among countries if need be.

Management of the programme by EU delegations

The EU delegations will usually be responsible for implementing the local allocations and managing the projects. Project selection will comply with the Financial Regulation.

However, in duly justified circumstances, following a decision by the inter-service group, an in-country programme may be managed by EC headquarters, for example where there is no accredited delegation is or where the planned activities are politically highly sensitive.

Sometimes, in accordance with the Paris Declaration on Aid Effectiveness and the Accra Action Programme, it may be envisaged, where relevant, to combine the EU's financial contributions with similar funds from other donors or, if compatible with the Financial Regulation, with civil society organisations. It will therefore be up to the delegations to decide on the implementation arrangements, which must comply with the Financial Regulation, on the basis of their analysis of the domestic situation.

In accordance with Article 26 of the DCI, EU delegations may use up to 5% of their allocation for activities to support implementation of the programme. They may fund consultations or information sessions concerning calls for proposals, training or advice on the structuring of representative organisations in the country (platforms) and/or support/capacity-building for actors.

5.1.2. International interventions managed by Commission headquarters (Objective 1b)

Part of the Objective 1 financial allocation (some 10%) will support initiatives and projects with an international, multicountry or multiregional dimension in partner countries. This part of the programme will be directly initiated and managed by EC headquarters.

Initiatives and projects mainly designed to supply supranational services supported by the thematic programme must demonstrate that they offer real added value to the existing regional and national programmes. They must also show that they help to raise the support for, and the involvement of local people in, regional integration processes.

A programme which respects actors' 'right of initiative' is not one whose **expected results** can easily be predicted. However, each project proposal will include basic **performance indicators** such as its contribution to:

- increasing the number of transnational, exchange, confidence-building, networking and coordination activities between non-state actors and local authorities (North-South, South-South);
- increasing local civil societies' and local authorities' support for and involvement in international and regional development processes and dialogues;
- disseminating best practices at international or regional level and replication at national or local level.

The AAP will set out all the details on how to implement this objective.

5.2. Objective 2 - Promoting awareness-raising and development education in the EU and acceding countries about development issues

An indicative percentage of 14.5 % of the financial allocation of this thematic programme will support initiatives in the EU and acceding countries. Candidate countries/potential candidates may take part in Objective 2 projects if the costs of their participation are covered by their Instrument of Pre-Accession Assistance.

A programme which respects actors' 'right of initiative' is not one whose **expected results** can easily be predicted. This said, the projects should contribute towards the following objectives and results:

- increased public awareness of the global interdependencies between the EU and developing countries and support for action against poverty and more equitable North-South relations;
- changed attitudes and improved public understanding of the issues and difficulties facing developing countries and their peoples;
- some degree of integration of development issues into formal and non-formal education systems in the Member States and acceding countries, ensuring inclusion of the development dimension in global agendas such as democracy, active citizenship, inter-cultural understanding, etc.;
- the level of commitment to promoting policy coherence and the degree to which development cooperation objectives are integrated into all EU policies with a likely impact on developing countries;
- a transition from solidarity during humanitarian crises to support for long-term, structural development processes via, *inter alia*, a responsible media committed to providing information;

- the extent of mobilisation in the new Member States and acceding countries, including networking, campaign work, exchanges of experience and best practices.

Efforts must be made to ensure that these interventions are integrated with development education policies at both national and European levels. Preference will be given to crossborder/multi-stakeholder initiatives. Although these projects are carried out in Europe, partners in developing countries should play an active part.

NSA/LA multi-actor partnerships will be encouraged.

The AAP will set out all the relevant information on how to implement this objective.

5.3. Objective 3 – Facilitating the coordination and communication of NSA and LA networks in EU and acceding countries

An indicative percentage of 2.5% of the financial allocation of this thematic programme will go to NSA and LA initiatives in the Member States and acceding countries to strengthen coordination and communications within each group of actors (NSAs, LAs), between the different groups and between them and the European institutions. Candidate countries/potential candidates may take part in Objective 3 projects if the costs of their participation are covered by their Instrument of Pre-Accession Assistance.

A programme which respects actors' 'right of initiative' is not one whose **expected results** can easily be predicted. This said, the projects should contribute towards the following objectives and results:

- level and quality of stakeholder's potential leadership qualities, analytical and advocacy skills, and ability to carry out constituency building;
- strengthening of NSA and LA networks and platforms, including their capacity to build transnational alliances and disseminate best practices;
- number of multi-actor partnerships and consolidated exchanges between different types of NSA and LA networks, within their organisations and with EU institutions;
- capacity of NSA and LA platforms in the new Member States and acceding countries to play an active role in their respective countries and at the EU level, including helping to ensure the smooth integration of EU development policies.

The AAP will set out all the details on how to implement this objective.

5.4. Support measures and evaluation

Under Article 26 of the DCI there will be funding under line 21 01 04 01 for activities connected to the preparation, monitoring, controls and auditing, and evaluation directly necessary for the implementation of the programme, including studies, meetings and information campaigns. Administrative expenditure under line 21.01.04.01 will be limited to 2% of the operating funds.

In accordance with Article 33, the Commission will regularly monitor and scrutinize its programmes and evaluate the results of their implementation; this will be financed under line 21 08 01. An **external evaluation** of this programme, including an evaluation of the impact of the operations carried out, will take place in 2012.

LIST OF ANNEXES

ANNEX 1 – Indicative breakdown of available resources by objective (2011-2013)

Indicative breakdown of available resources by objective (2011-2013)

OBJECTIVE	INDICATIVE AMOUNTS 2011-2013 (€million, current prices)
Objective 1: in-country interventions	583 (83%) Objective 1a: 525 (90%) Objective 1b: 58 (10%)
Objective 2: awareness-raising and development education in the EU and acceding countries	102 (14.5%)
Objective 3: coordination of non-state actor and local authority networks in EU and acceding countries	17 (2.5%)
TOTAL	702

Indicative breakdown (2011-2013)

	2011	2012	2013	Total for the period
TOTAL DCI (€million, current prices)	230	234	238	702