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| date of receipt: | 13 August 2014   |
| To:              | Mr Uwe CORSEPIUS, Secretary-General of the Council of the European<br>Union                  |

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Delegations will find attached document SWD(2014) 258 final PART 2/3.

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EUROPEAN  
COMMISSION

Brussels, 13.8.2014  
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PART 2/3

**COMMISSION STAFF WORKING DOCUMENT**

*Accompanying the document*

**REPORT FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT AND  
THE COUNCIL**

**Annual Report 2014 on the European Union's development and external assistance  
policies  
and their implementation in 2013**

{ COM(2014) 501 final }

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### **3.2. Democracy and human rights**

The European Instrument for Democracy and Human Rights (EIDHR)<sup>1</sup> is the concrete expression of the EU commitment to support and promote democracy and human rights in third countries.

In force since 2007, the EIDHR currently supports more than 1 500 projects in more than 130 countries worldwide. These projects, mainly implemented by NGOs, support real change on the ground.

#### **Building on the EIDHR's added value**

With a budget for 2013 of EUR 128 million, this year EIDHR launched 500 new key operations.

These build on the EIDHR's added value, namely, its independence of action allowing interventions in the most difficult country situations worldwide without the consent of the host government, creating synergies and complementing ongoing actions where geographical instruments could not normally act.

The instrument allows for unique actions not covered by other instruments, for example in cases of serious human rights violations or an urgent need for protection, or in thematic advocacy such as the fight against torture, the death penalty or discrimination, election observation, support to the International Criminal Court (ICC), etc.

In those contexts, the EIDHR focuses on helping the survival of weakened or shattered civil society and media, thereby opening the door to dialogue and change.

While limited in financial scope, its flexible tools have worked very well and are essential; for example in providing direct support to human rights defenders, direct small grants, working with informal partners and re-granting.

They achieved significant results in supporting human rights and the defenders of human rights in the most difficult situations, in fighting for democracy, justice, children and women rights, in fighting against torture and ill treatment, the death penalty and all forms of discrimination, and in supporting civil society to enable environment and strategic dialogues. These projects addressed all civil, political, economic, social and cultural rights.

Endowed with specific fast reaction mechanisms and addressing individual cases, the EIDHR worked as a small and dedicated, but essential, component of the EU response to crisis in 2013 in countries such as Central African Republic, Mali, South Sudan, Syria or Ukraine.

#### **A Worldwide instrument**

The EIDHR is a worldwide instrument. It continued in 2013 to expand its reach to mainstream democracy and human rights operations in the field. While Delegations were implementing 44 Country-Based Support Schemes (CBSS) in 2007, the number of schemes reached 107 countries during 2013. One country dropped from the list, Croatia, as it joined the EU in 2013.

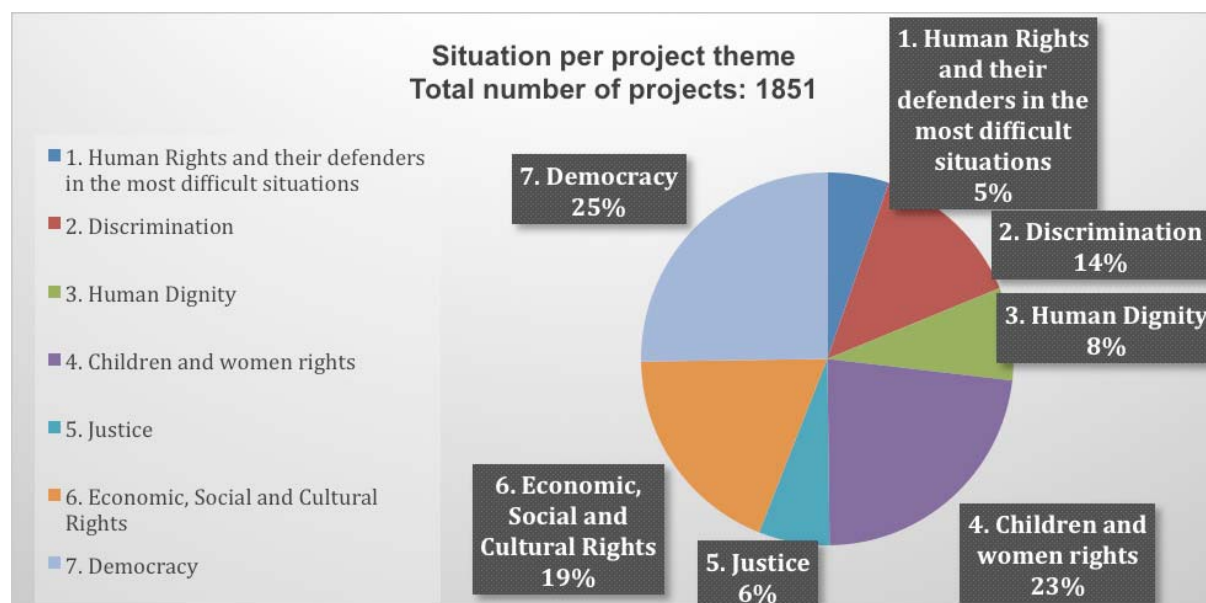
The instrument operated in 2013 through 107 local calls for proposals (worth EUR 71.9 million) supporting the development of thriving civil society organisations on the ground, empowering them in

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<sup>1</sup> [http://ec.europa.eu/europeaid/how/finance/eidhr\\_en.htm](http://ec.europa.eu/europeaid/how/finance/eidhr_en.htm)

their quest for and defence of democracy and human rights and in their specific role as actors for positive change.

In total EIDHR actions have supported a total of 1851 local projects since 2007.



### Specific focus 2013

The EIDHR reinforced the EU's capacity to address the most difficult situations, to react quickly to human rights emergencies, to provide urgent protection needs, and to support a comprehensive EU Human Rights Defender (HRD) mechanism, through a global call on human rights and their defenders in the most difficult situations (EUR 15 million) and through hundreds of cases of direct support to Human Rights Defenders.

A specific focus was also put also on anti-discrimination activities and another dedicated call for proposals was launched (EUR 20 million). This will allow actions to be launched against discrimination with a four-fold interlinked support to activities dedicated to fighting discrimination that targets Lesbian/Gay/Bisexual/Transsexual and Intersexual (LGBTI) people, freedom of religion and beliefs, indigenous peoples and girl-children.

Moreover, several targeted actions allowed provision of support to the UN Office of the High Commissioner for Human Rights (OHCHR), the implementation of UN Human Rights Treaties Section, the work of the International Criminal Court (ICC), the Inter-American Human Rights System, the Indigenous Peoples' Centre for Documentation, Research and Information (DoCIP), the supervisory bodies of the International Labour Office (ILO) monitoring ILO conventions on Indigenous and Tribal peoples' Rights, and UN Women in addressing targeted actions on violence against women.

Finally the EIDHR continued in 2013 to support the European Inter-Universities Center (EIUC) and its regional networks of universities covering most regions of the world to provide to hundreds of students with postgraduate educational opportunities in human rights and democracy.

### Moving towards a Rights Based Approach to Development

The 'Agenda for Change', the EU Strategic Framework on Human Rights and Democracy, the Communication Towards a Post-2015 Development Framework, all call for the EU to move to a Rights Based Approach to EU Development (RBA). This will require the inclusion in project design and

monitoring in all sectors of an analytical approach that assesses the negative and positive impact on Human Rights and targets in particular the project end-users. This will require a new approach from the traditional exclusive needs-based approach.

To assist in this process the Council Conclusions of June 2012 mandated that the Commission develop a 'toolbox for working towards a rights based approach encompassing all human rights'.

To achieve this mandate during 2013 the Commission held several consultations with all development stakeholders.

It also organised in November 2013 an important Brainstorming Seminar on 'How to work towards a Rights Based Approach, encompassing all Human Rights, for EU development cooperation', addressing some key issues, conceptual considerations and implementation strategies, for the establishment of the toolbox.

Having gathered these important inputs, the Commission is planning to adopt this toolbox during the first semester of 2014 as an important contribution strengthening the interactions between Human Rights and Development in the context of the post MDG agenda.

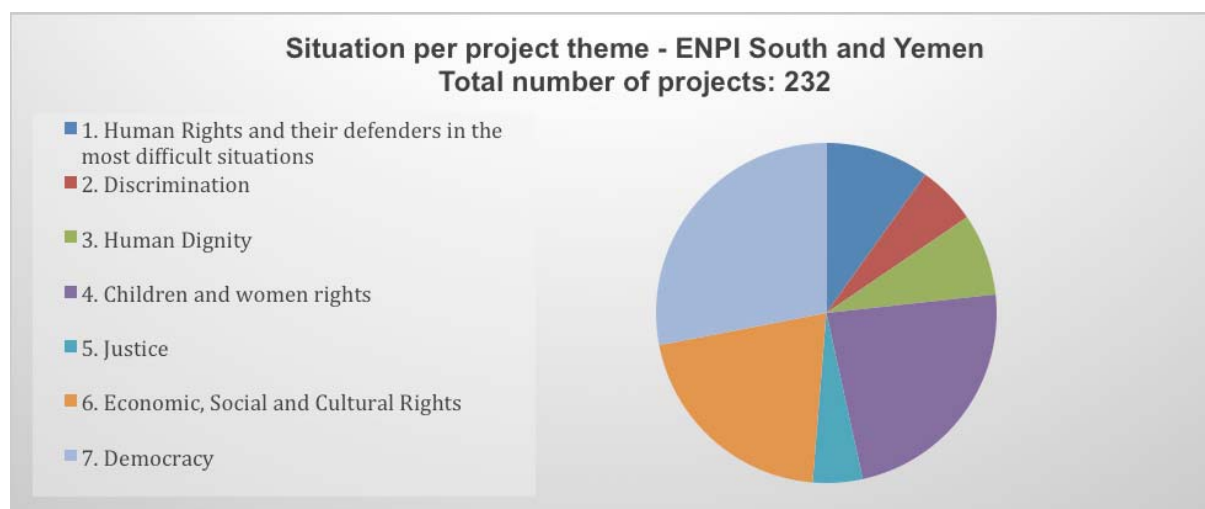
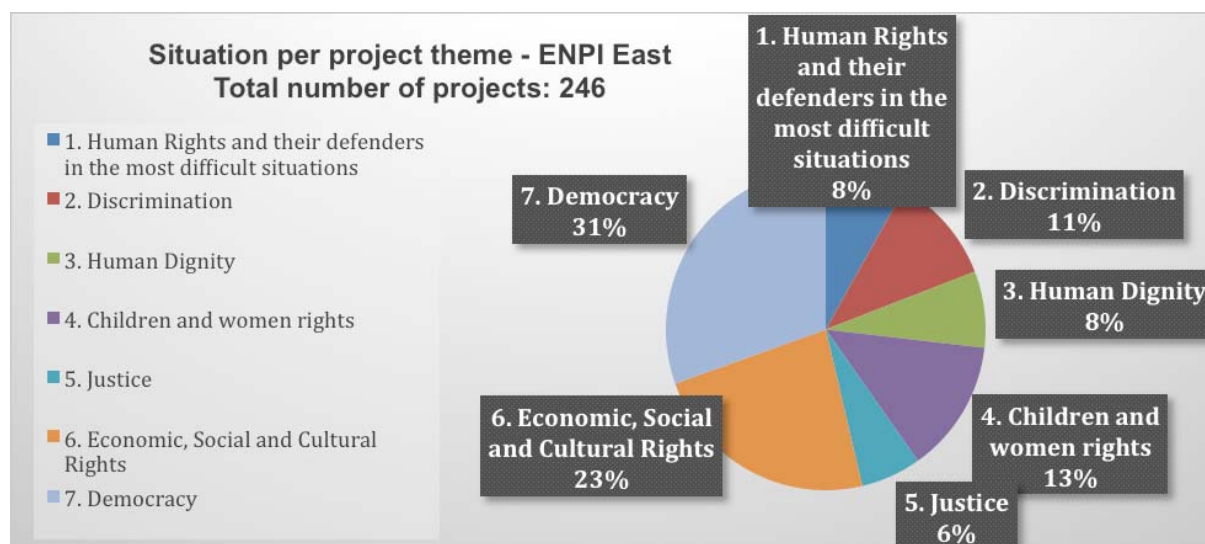
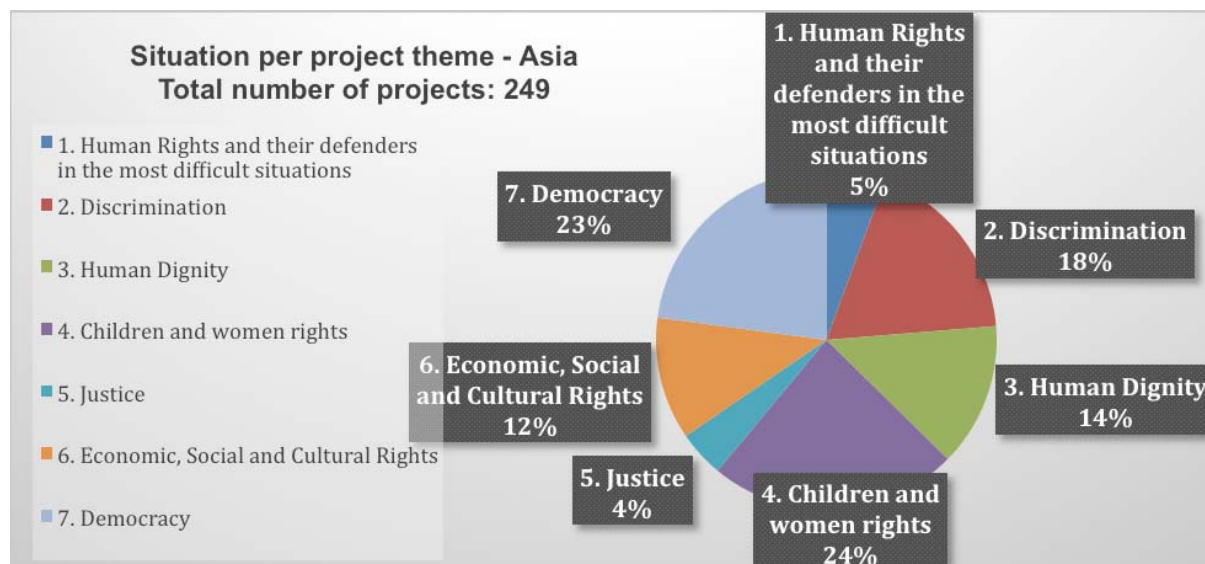
### **Case study**

#### **Protecting Human Rights Defenders**

The Guinea Bissau League of Human Rights (GBLHR) is a very active organisation in the field of human rights promotion in Guinea Bissau. It strongly opposed the coup d'état perpetrated by the military in April 2012 and since then has repeatedly denounced human rights violations all around the country. In a context characterised by continuous intimidation and aggressions by the military against its opponents, the President of the GBLHR reacted publicly to a declaration made by the spokesperson of the Armed Forces against the organisation. When he saw a group of military being deployed around his office, he left the building and came to the EU Delegation asking for support and protection. Thanks to the use of article 9.1 of the EIDHR Regulation, 48 hours later the EU had mobilised the necessary means to allow the President of the GBLHR to leave the country in safety.

Indeed, more than 400 HRDs and organisations in over 30 countries have received this type of direct support, totalling just over EUR one million. Examples of support include coverage of legal fees (Belarus, China, Uzbekistan); medical expenses including rehabilitation of torture victims (DRC, Russia, Syria); operational survival for local organizations (Ethiopia, Libya), or urgent relocation of HRDs at risk (Colombia, Yemen).

### **Regional breakdown of Human Rights projects and programmes**



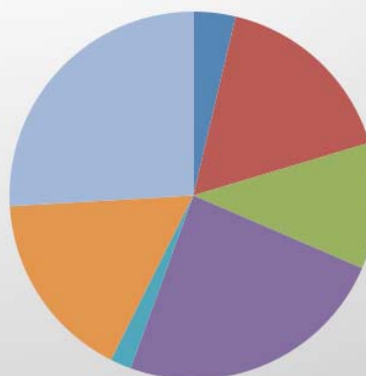
### Situation per project theme - Latin America Total number of projects: 303

- 1. Human Rights and their defenders in the most difficult situations
- 2. Discrimination
- 3. Human Dignity
- 4. Children and women rights
- 5. Justice
- 6. Economic, Social and Cultural Rights
- 7. Democracy



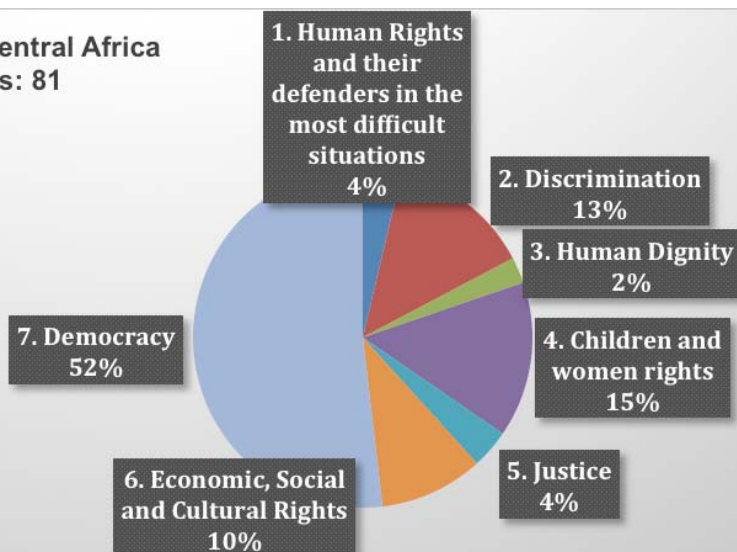
### Situation per project theme - Central Asia Total number of projects: 54

- 1. Human Rights and their defenders in the most difficult situations
- 2. Discrimination
- 3. Human Dignity
- 4. Children and women rights
- 5. Justice
- 6. Economic, Social and Cultural Rights
- 7. Democracy



### Situation per project theme - Central Africa Total number of projects: 81

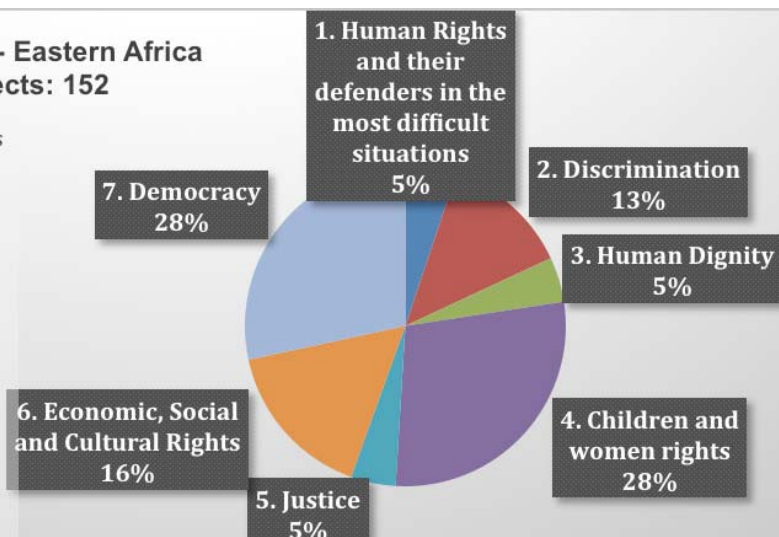
- 1. Human Rights and their defenders in the most difficult situations
- 2. Discrimination
- 3. Human Dignity
- 4. Children and women rights
- 5. Justice
- 6. Economic, Social and Cultural Rights
- 7. Democracy





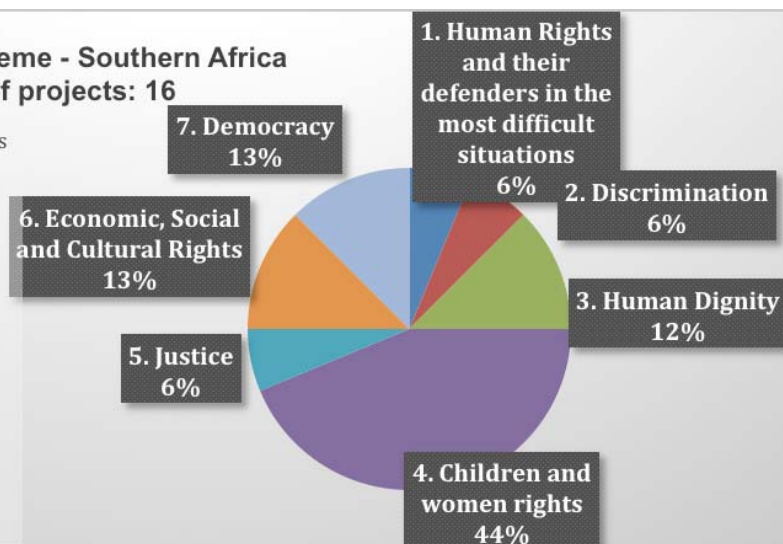
### Situation per project theme - Eastern Africa Total number of projects: 152

- 1. Human Rights and their defenders in the most difficult situations
- 2. Discrimination
- 3. Human Dignity
- 4. Children and women rights
- 5. Justice
- 6. Economic, Social and Cultural Rights
- 7. Democracy



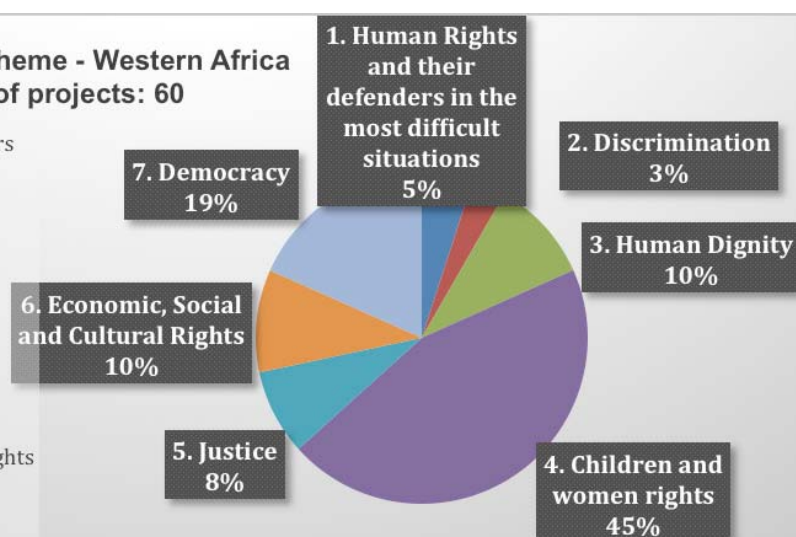
### Situation per project theme - Southern Africa Total number of projects: 16

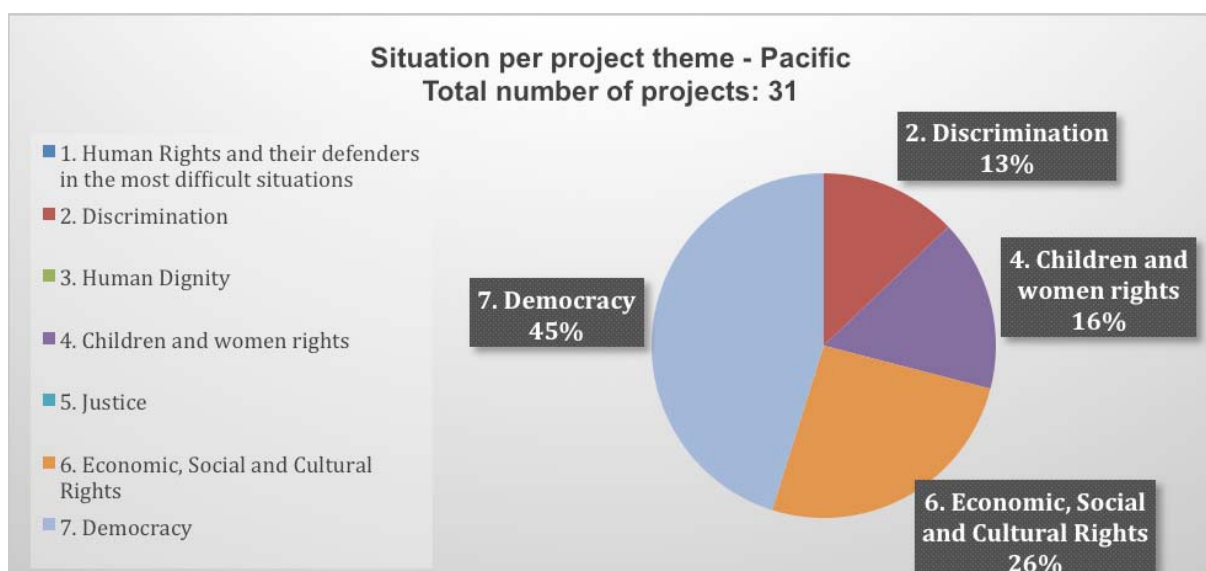
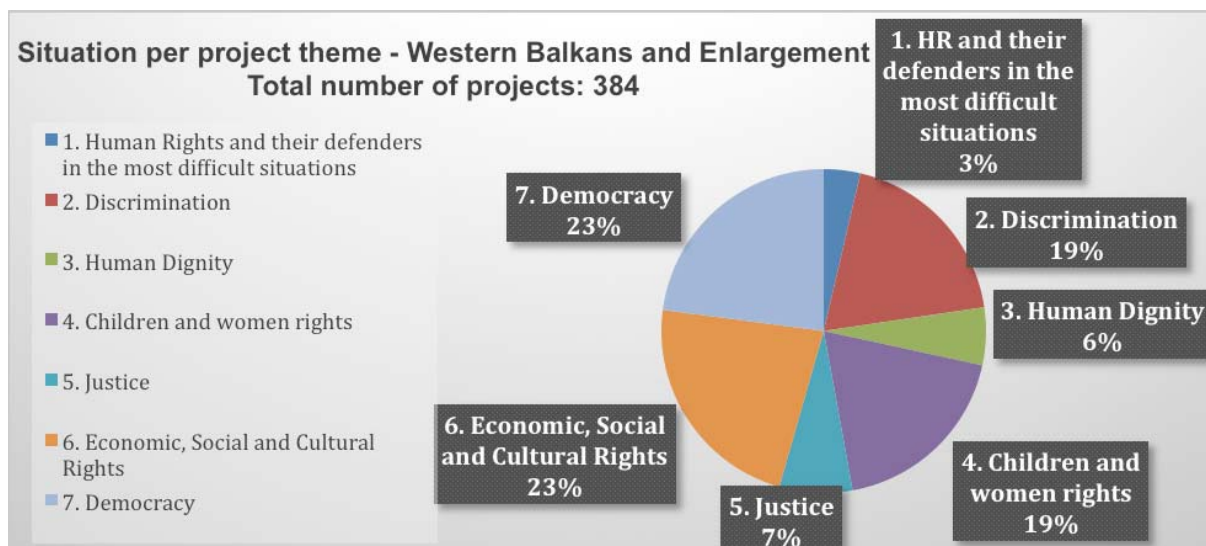
- 1. Human Rights and their defenders in the most difficult situations
- 2. Discrimination
- 3. Human Dignity
- 4. Children and women rights
- 5. Justice
- 6. Economic, Social and Cultural Rights
- 7. Democracy



### Situation per project theme - Western Africa Total number of projects: 60

- 1. Human Rights and their defenders in the most difficult situations
- 2. Discrimination
- 3. Human Dignity
- 4. Children and women rights
- 5. Justice
- 6. Economic, Social and Cultural Rights
- 7. Democracy





### 3.3. Stability

#### 3.3.1. Crisis response and preparedness

The EU can respond to crises by using the Instrument for Stability (IfS), whose implementation comes under the responsibility of the Commission's Service for Foreign Policy Instruments (FPI). Working in close cooperation with the EEAS, as well as EU Delegations and relevant Commission Services, the IfS is deployed to prevent, mitigate or respond to crises requiring rapid reaction. In doing so, it is used to complement geographic external assistance programmes wherever appropriate.

Reflecting world events, the EU addressed several major crises that prevailed and/ or escalated following the 'Arab Spring' upheavals across North Africa and the Middle East and which, in turn, directly impacted on stability in the Sahel region. These events are reflected in the predominant distribution of crisis response measures across the Middle East and North Africa (MENA) region in 2013. Alongside this, the EU also responded to crises in other parts of the world, all of which required

effective and timely interventions in situations of fragility and/or post-crisis. These actions sought to help stabilise countries and enhance resilience.

In 2013, the IfS committed EUR 214.6 million through some 45 short-term crisis response measures. The examples that follow illustrate the range of areas in which the IfS was used to intervene:

**Syria:** The protracted crisis in Syria has seen ongoing IfS support both inside Syria and in the neighbouring countries. In Turkey, Iraq, but mainly Jordan and Lebanon, the IfS was instrumental in supporting the authorities in their reception and hosting of the increasing number of Syrian refugees. Refugees are also directly assisted, for example through the provision of cash rental subsidies and the improvement of their living conditions, including in the governance structures of the camps, the provision of alternative education and in the sphere of psycho-social support. In Lebanon, the IfS is providing significant support to the local healthcare sector, which is under huge strain given the additional demands placed on it by the presence of large numbers of refugees.

Within Syria itself, access and other conditions for providing non-humanitarian support are clearly more challenging. Nevertheless, the IfS has still been able to provide some direct assistance in the form of primary healthcare, increased food security and basic education.

**Mali:** In early 2013, the IfS was one of the first instruments the EU was able to deploy as part of the wider EU response effort to the crisis in Mali. The EUR 20 million IfS package of assistance provided support mainly in the areas of security and justice, assistance for re-establishing the presence of the Malian State in the north of the country and towards the first stages of the electoral process. The response was also emblematic of IfS measures paving the way for a comprehensive approach to the crisis, with follow-on assistance secured through the longer-term EU instruments as well as actions of individual EU Member States.

**Niger:** During 2013, security threats in Niger increased due to the rebellion and military conflict in northern Mali. The return of an estimated 250 000 economic migrants from Libya to Niger alone, including ex-combatants and mercenaries, further exacerbated the situation. Building on existing IfS support towards security and stabilisation in the northern regions of Niger and Mali, follow-on support was agreed in 2013 to assist in the areas of municipal policing, income generating activities and support to peace and reconciliation initiatives launched by regional and national authorities. These measures contributed to attaining the objectives of the EU Sahel Strategy, complementing EU development assistance and humanitarian aid and will create synergies with the CSDP EUCAP Sahel mission in Niger.

**Central African Republic:** After the coup d'état of March 2013, the scope of existing IfS support for the demobilisation of ex-combatants and a consequent reinsertion programme was broadened to include a wider geographic coverage reflecting the new situation on the ground. This was followed with: support packages to civilian security forces, which could also pave the way towards comprehensive efforts on security sector reform later on; support to media to allow for objective and conflict sensitive information to be available in Bangui and the provinces; the deployment of human rights' observation missions; and the fostering of inter-community dialogue through civil society efforts. The EU institutions together with France are also preparing for the country-led New Deal implementation once the situation allows.

**Côte d'Ivoire:** Following the appoint of a national authority to implement the government's 2012 policy on disarmament, demobilisation and reintegration (DDR), the EU provided assistance through IfS measures that included; capacity-building and technical assistance, including the orientation and preparation of demobilised ex-combatants who were to be reintegrated; support to the economic and social reinsertion of approximately 5 000 previously de-militarised and de-mobilised ex-combatants and parallel assistance to host communities in order to create an environment favourable to such

reintegration; and the close, regular monitoring of the DDR programme to ensure that this participative approach caters for the needs of host communities as well as those of ex-combatants.

**Burma/Myanmar:** Following earlier interim support to the peace process, including the creation of the Myanmar Peace Centre (MPC) in 2012, the IfS agreed in 2013 on an 18-month support package that also complements a number of ongoing and planned actions under other EU instruments.

Following approaches from both the Office of the President and Daw Aung San Suu Kyi, and in line with the Foreign Affairs Council Conclusions of April 2013, the EU has, through an 18 month IfS intervention, been able to initiate assistance to the capacity building of the Myanmar Police Force in order to improve police respect for human rights as well as their accountability and professionalism in the areas of crowd management and community policing.

In addition to these crisis response actions, the EU committed a further EUR 26 million of IfS programmable funds for pre- and post-crisis preparedness and related capacity-building, in the framework of the 'IfS Peace-building Partnership'. Focus was put on civil society capacity building; early warning; natural resources and conflict; and peace-building and fragility. In doing this the EU worked with a wide range of stakeholders, including: the UN, and other international bodies; EU Member State agencies; NGOs and other civil society actors.

Investment in civil society at a grass-root level helped increase its capacity to engage in peace-building and conflict prevention actions across 14 conflict affected countries, notably in the areas of mediation and dialogue; media and conflict; fragility and conflict; human security; and women, peace and security.

Through the Civil Society Dialogue Network (CSDN), a viable forum for dialogue on peace-building issues has been established between the EU and civil society actors, providing the latter with an opportunity to input to the EU's policy making processes. As a result 40 dialogue meetings had been held by the end of 2013, which enhances the long-term capacity of civil society in third countries, as well as their European partners, to better prepare for crisis prevention.

Online training modules and analytical guidance materials for practitioners and policy makers on natural resources and conflict (NRC) were produced through the first two phases of the EU-UN partnerships on land, natural resources and conflict (NRC). These knowledge products support global dialogue and advocacy on NRC, particularly in regions of key EU political interest such as Africa's Great Lakes.

Under the ENTRi programme (Europe's New Training Initiative for Civilian Crisis Management), the capabilities of staff (including both EU and non-EU nationals) that are deployed in international civilian crisis management missions have been strengthened through customised training. Amongst others topics, training sessions included: training on conflict analysis and conflict sensitivity; training on rule of law; mediation and negotiation training; and gender-sensitisation. In addition, a total of 19 pre-deployment courses for 407 experts have been delivered and completed to date and interoperability and harmonised approaches to training have been fostered as a result.

Assistance was provided towards facilitating mediation dialogue, notably relating to high profile crisis situations in Syria, Egypt, Mali and South Sudan. The ERMES (European Resources for Mediation Support) facility, that was defined and put in place at the end of 2013, paves the way for further facilitating the provision of EU technical support to third parties engaged in inclusive peace, mediation and dialogue processes at international, regional and/or local levels. This will provide the EU with vital capacity to provide, at very short notice, a range of technical assistance and training inputs in support of peace processes, support for the organisation of relevant seminars and meetings and the facilitation

of third party events. Assistance has already been provided in this field with regard to mediation dialogues.

In order to enhance our partners' capacities in pre- and post-crisis preparedness, the League of Arab States (LAS) continued developing its Regional Crisis Centre with EU support. Based at LAS headquarters in Cairo, the Crisis Centre has already helped enhance the capacities of LAS on early warning as well as supporting the development of political dialogue between the EU and LAS. A final phase of training for LAS staff and senior officials is currently ongoing until April 2014 and aims to cover policy areas of interest to future LAS work such as humanitarian assistance, disaster risk reduction, post-crisis needs analysis (PCNA), mediation and gender and conflict.

Cooperation with ASEAN on emergency response commenced with a view to enhancing the latter's capacity to respond as a regional organisation to emergency situations as well as to improve inter-connectivity between the ASEAN Secretariat and the national crisis centres of ASEAN Member States. In this context, a first training for future staff of the Myanmar National Crisis Centre took place in November 2013 in the presence of High Representative Ashton.

With regard to early warning systems (EWS), support has been provided at a global level via a grant contract with Saferworld and Conciliation Resources to strengthen the capacity of in-country and regional actors outside the EU, principally civil society organisations to analyse conflict risks and dynamics and to alert national and EU policy makers to emerging tensions across 32 theatres of potential conflict. In addition, support is provided to the International Crisis Group (ICG) to provide high quality conflict analysis for some 27 countries to policy makers and civil society with recommendations for early response measures.

### **3.3.2. Global and regional trans-border challenges**

Actions to address global and regional trans-border challenges are funded under the long-term component of the IfS. These cover trans-regional security threats, as well as chemical, biological, radiological and nuclear (CBRN) risks. Projects focused on new needs in Syria, the Middle East, the Horn of Africa and North Africa and the Sahel, including Mali.

A total of EUR 58 million was committed in 2013 for all the priorities related to global threats in 2013. The partitioning of the funds per priority was as follows:

- Fight against organised crime: EUR 9.5 million
- Countering violent extremism: EUR 13 million
- Protection of critical infrastructure: EUR 5.5 million
- CBRN risk mitigation: EUR 36.8 million

The Commission's JRC provided technical support and undertook technical projects in several regions in the field of nuclear detection by providing equipment, technical assistance and training to front line officers. Support is also being provided to countries to help develop their capacities in biosafety and biosecurity and in export controls.

A landmark decision was to make an amount of EUR 12 million available for the destruction of chemical stockpiles in Syria. By doing so, the European Commission contributed to the implementation of UNSCR 2118 and the joint international efforts in this unprecedented and historical work to remove chemical weapons.

The CBRN Centres of Excellence initiative, which aims to build institutional capacities to mitigate the risk of CBRN and threats to third partner countries, was further implemented in 2013 and five secretariats were operational by the end of the year.

The JRC has been instrumental in supporting the CBRN Centres of Excellence initiative, providing technical support such as evaluation and quality controls, needs assessment and knowledge management. In 2013, secretariats were opened in Amman (for the Middle East), and in Tbilisi (for South East Europe, the Southern Caucasus, Moldova and Ukraine), in addition to the already operating secretariats in Manila (South East Asia) and Rabat (African Atlantic Façade). The secretariats facilitate information sharing, assess CBRN needs in the partner countries and implement and monitor projects in the regions. As of December 2013, there are 34 projects in 42 partner countries.

New actions on countering the financing of terrorism in the Horn of Africa and Yemen, cybercrime, improving aviation security and countering falsified medicine were also taken.

In the area of organised crime, work continued in ten countries on the Heroin Route (including Iran, Pakistan and Afghanistan), as well as a project on human trafficking. This also supports the new 2012-2016 EU Strategy for the Eradication of Trafficking in Human Beings.

Under the Cocaine Route Programme, three joint airport interdiction task forces are now operational in Cape Verde, Senegal and Togo, to support the fight against organised crime on the cocaine route (three countries are covered in West Africa, Latin America and the Caribbean). A project continued which is setting up a regional police information system in West Africa with Interpol and there was a commitment to prevent the diversion of drug precursors in Latin America.

In order to fight the illicit accumulation and trafficking of firearms, projects continued with the African Regional Centre for Small Arms, (RECSEA, EUR 2.7 million), the Security Commission of the Central American Integration System (SICA, EUR 20.3 million) and INTERPOL (EUR 1.5 million). These actions are complementary to ongoing work on illicit firearms in Sub-Saharan Africa and South America. Moreover, the EU promoted the full and effective implementation of the UN Programme of Action on the Illicit Trade in Small Arms and Light Weapons (SALW) at its 2012 Review Conference. This is to combat and eradicate the illicit manufacture, transfer and circulation of SALW, including firearms, and to reduce and prevent their negative humanitarian and development impact.

Maritime security is of paramount importance for the shipping community. This makes maritime security one of the priority areas under the IfS. The EU has set up Critical Maritime Routes programmes. The aim is to strengthen capacities to fight piracy and armed robbery. Much depends on the participating countries in terms of mutual trust in information sharing and having the necessary administrative and legal structures in place. In 2013, a new programme started in the Gulf of Guinea following increased piracy in this region. Simultaneously a programme was established to support national law enforcement agencies in Kenya, Seychelles, Mauritius, Djibouti and Somalia to efficiently respond to maritime piracy at the regional level.

Support to projects fighting terrorism at national and regional levels continued in 2013 in line with the EU Counter-Terrorism Strategy. In Mali, implementation of the project 'Contre Terrorisme Sahel' which benefits Niger, Mali and Mauritania began in earnest with training on terrorist attack responses, investigative techniques, intelligence gathering and use, as well as counter terrorism legal proceedings. A new project which will contribute to counter terrorist financing in the Horn of Africa and Yemen was prepared. In South-East Asia, the IfS were engaged in a joint EU-UNODC (United Nations Office on Drugs and Crime) anti-terrorism initiative. The IfS also provided support to the Malta-based Institute of Justice and the Rule of Law through a mapping assignment to inform their future counter terrorism related work. Finally, as an important element of the EU Counter-Terrorism Strategy, a number of actions under the PREVENT strand were prepared, including in the Horn of Africa and

Pakistan, as well as a global training activity on Countering Violent Extremism targeting EU staff in Delegations and EU embassies.

### **3.4. Nuclear safety**

The Instrument for Nuclear Safety Cooperation 2007-2013 has come to completion achieving its main objectives of promoting a high level of nuclear safety, radiation protection, sound waste management and the implementation of efficient and effective nuclear safeguards in non-EU countries. A review of the achievements and lessons learned is being executed by external experts that will feed into the new programming cycle.

A new Regulation was adopted at the end of 2013 for the period 2014-2020 covering the same objectives. Priority will be given to work in the Accession Countries and countries in the European Neighbourhood Area. The priority focus will be on support to Regulatory Authorities. These efforts started under the previous Instrument on waste management and remediation activities will continue and Nuclear Safeguard activities will also be supported.

The Strategy Paper 2014-2020 and the Multi-annual Action Programme 2014-2017 are being prepared and define the future work priorities. A first Annual Action Programme (2014) was also prepared in 2013.

A budget of EUR 52.44 million was committed in 2013, of which EUR 25.105 million was allocated to the Chernobyl Shelter Fund managed by the European Bank for Reconstruction and Development (EBRD). This contribution completes the EU support to the international efforts to address the consequences of the Chernobyl catastrophe. A total of EUR 361.6 million has been made available for this purpose under the Technical Assistance to the Commonwealth of Independent States (TACIS) and Instrument for Nuclear Safety Cooperation (INSC) programmes.

Support from the Commission to Nuclear Regulatory Authorities and TSOs of partner countries continues to expand. In 2013, the JRC has supported the development of new projects for Armenia, Thailand, Belarus, Jordan, Indonesia and Vietnam as well as supporting the implementation of previously programmed projects. Radioactive Waste Management activities continue to be strongly supported in Central Asia, particularly related to the remediation of contaminated former nuclear sites and mines, and in Ukraine, where JRC has supported DEVCO in particular in preparation for the contracting of several projects in the 2010 and 2011 programmes. In the field of nuclear safeguards, the JRC is providing safeguards equipment and training to the Argentinean-Brazilian Agency for Accounting and Control of Nuclear Materials (ABACC).

In Belarus, where the construction of their first Nuclear Power Plant is progressing on schedule, the support to Regulatory Authorities has been strengthened with a special support programme of EUR 4.5 million involving a consortium of European and Ukrainian Regulators and their Technical Support Organisations (TSOs). This project also demonstrates the maturity that has been reached by the Ukrainian organisations partially thanks to the past 15 years of EU support.

The Armenian National Regulatory Authority has received additional support to address the national strategy for nuclear and radioactive waste management being developed in the country under EU contract.

Support to Ukraine has been limited to the extension of the Joint Support Organisation that helps the Commission in the implementation of the INSC in the country and is the largest beneficiary of the programme.

Jordan is on its way to producing nuclear electricity and a Research Reactor is being built by South Korea. Negotiations are on-going with Russia to construct a new Nuclear Power Plant. Since the

inception of the peaceful programme, the EU is assisting the country in establishing an independent and competent Regulatory Authority. A further EUR two million has been committed under the Annual Action Programme 2013.

South East Asia is a region where many countries are seriously considering the nuclear option in their Energy mix. Support to the Regulatory Authorities in Indonesia, Thailand and Vietnam for a total of EUR five million has been planned. Following the Fukushima accident, the region also recognised the need to address Emergency Preparedness and Response to nuclear accidents on a regional basis. The EU is funding a feasibility study with the participating countries that will review the current procedures in place, assess the gaps and corresponding needs and propose an Action Plan. This project benefits from the creation of an ASEANTOM organisation that recognises the added value of the EURATOM (European Atomic Energy Community) model.

The completion of feasibility studies and environmental impact assessment for the remediation of the Uranium mining legacy in Central Asia has been funded under the 2013 programme. The corresponding proposal also includes a provision for urgent practical measures for contaminated water currently used by the local population. An overall budget of EUR three million has been committed.

A feasibility study will be funded to deal with the issue of sunken radioactive objects in the Arctic sea. The study will provide technical and financial options to retrieve the most dangerous objects, in particular the two Russian nuclear submarines that still have their nuclear power reactor on board.

Based on the success and visibility of previous projects, a new provision amounting EUR three million for training and tutoring activities targeting the Regulatory Authorities and their TSOs has been included in the 2013 programme.

### **3.5. Humanitarian assistance**

#### **3.5.1. Introduction**

The European Commission, principally through its Directorate General for Humanitarian Aid and Civil Protection (ECHO), takes the lead in formulating EU humanitarian aid policy and for managing humanitarian aid to the victims of conflicts or disasters, both natural and man-made, in non-EU countries. The European Union, with its Member States and the Commission, is the world leading humanitarian donor. The mandate of the European Commission in this area is to save and preserve life, to reduce or prevent suffering and to safeguard the integrity and dignity of people affected by humanitarian crises by providing relief and protection. The Commission also helps to facilitate coordination with and between EU Member States on humanitarian assistance. The overall priority is to ensure that the aid is managed in the most effective and efficient way possible so that the help Europe delivers to people in need has the maximum effect, whilst respecting the principles of international law and the principles of impartiality, neutrality, humanity, non-discrimination and independence.

Responses to natural and man-made disasters are also provided through the Civil Protection Mechanism, which is under the remit of the same Commission DG (DG ECHO) and is the responsibility of the European Commissioner for International Cooperation, Humanitarian Aid and Crisis Response. This instrument covers interventions in Member States, as well as in non-EU countries.

#### **3.5.2. Humanitarian aid**

Worldwide, natural disasters are increasing in frequency, complexity and severity, and are aggravated by challenges such as climate change, rapid urbanisation and under-development. Armed conflicts



and protracted crises also show worrying trends across the globe. As the world's leading humanitarian donors, the EU has throughout 2013 responded with determination to these challenges. The relief assistance provided by the European Commission alone in 2013 amounted to over EUR 1.3 billion that helped people in more than 90 countries around the world.

In November 2013, the tropical cyclone Haiyan<sup>2</sup> hit the Philippines<sup>3</sup>. The typhoon, which was among the strongest ever recorded, caused massive destruction, left thousands dead, around four million were displaced and the disaster affected over 14 million people. Teams of EU humanitarian and civil protection experts were deployed to the worst hit areas within hours of the disaster to support relief efforts and assess the most acute needs. To ensure coordination of the European relief efforts and facilitate logistics, the EU Civil Protection Mechanism<sup>4</sup> was activated. The EU and its Member States provided considerable humanitarian aid and in-kind assistance, which exceeding EUR 150 million in the immediate aftermath of the disaster. The Commission also committed support to assist the medium-term rehabilitation of the affected areas and help the local population to rebuild their lives.

In Syria<sup>5</sup>, an estimated 9.3 million people, nearly half of them children, are affected by the on-going violence and require humanitarian assistance. Around 6.5 million people are internally displaced, whilst the number of refugees in neighbouring countries (more than 2.3 million and growing) underlines the complex, regional dimension of the disaster. European assistance reaches up to 80 % of the population affected by the crisis and brings tangible results with immediate impact for those affected by the Syria crisis. In 2013 the European Commission has mobilised an additional EUR 350 million for humanitarian aid, bringing the EU's total response to more than EUR two billion since the end of 2011. In addition, considerable material assistance has been provided to neighbouring countries hosting the Syrian refugees including ambulances, space heaters, blankets and hygiene parcels.

Across the Sahel<sup>6</sup>, vulnerable households are struggling to recover after the severe food and nutrition crisis that hit the region in 2012. Aggravated by the on-going armed conflict in Mali, almost 16 million people remain at risk from lack of food, among them eight million in need of emergency food assistance. Building resilience for the most vulnerable communities to withstand future crises has also been a priority in 2013. To this end, the European Commission was a driving force in establishing the AGIR-Sahel<sup>7</sup> initiative, which brings together all stakeholders around the pursuit of a 'Zero Hunger' goal for the Sahel over the next 20 years.

The EU is also committed to helping those caught up in the world's 'forgotten crises', dedicating around 15 % of its total humanitarian aid budget to meet the needs of people that largely escape the attention of media and donors. The Central African Republic (CAR)<sup>8</sup> is experiencing a catastrophic humanitarian situation, which has for too long been ignored by the wider international community. Inter-communal violence escalated dramatically towards the end of 2013, forcing hundreds of thousands in the capital Bangui and throughout the country to flee their homes. The Commission

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<sup>2</sup> [http://ec.europa.eu/echo/files/aid/countries/factsheets/philippines\\_haiyan\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/philippines_haiyan_en.pdf)

<sup>3</sup> [http://ec.europa.eu/echo/files/aid/countries/factsheets/philippines\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/philippines_en.pdf)

<sup>4</sup> [http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/civil\\_protection\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/civil_protection_en.pdf)

<sup>5</sup> [http://ec.europa.eu/echo/aid/north\\_africa\\_mid\\_east/syria\\_en.htm](http://ec.europa.eu/echo/aid/north_africa_mid_east/syria_en.htm)

<sup>6</sup> [http://ec.europa.eu/echo/files/aid/countries/factsheets/sahel\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/sahel_en.pdf)

<sup>7</sup> [http://ec.europa.eu/echo/files/aid/countries/factsheets/sahel\\_agir\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/sahel_agir_en.pdf)

<sup>8</sup> [http://ec.europa.eu/echo/files/aid/countries/factsheets/car\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/car_en.pdf)

allocated EUR 39 million of humanitarian aid to CAR; making it the country's main donor. In addition, the EU organised repeated airlifts into the country to support the transport of humanitarian relief and aid personnel in a very challenging security environment.

Three years after the devastating 2010 earthquake, the humanitarian needs in Haiti<sup>9</sup> remained high. The EU stays fully committed and in 2013 has scaled up humanitarian aid by EUR 30.5 million to help those Haitians still homeless as a result of the earthquake, cholera victims and those badly affected by hurricane Sandy and tropical storm Isaac. Backed by EU funding, humanitarian organisations carried out a wide range of emergency operations across the country.

Policy priorities in the field of humanitarian aid focussed, in 2013, on aid effectiveness, results-orientation and impact. The development of clear guidance on thematic and cross-cutting issues such as resilience, disaster risk reduction, WASH (water, sanitation and hygiene), gender, and nutrition amongst others, as well as targeted dissemination, training strategies and monitoring of implementation, are helping to the best value for money and ensure that the needs of the most vulnerable crisis-affected populations are addressed efficiently and effectively. Furthermore, substantive efforts are undertaken in the disaster preparedness programme and to guide and foster the implementation of the Commission's Resilience Communication and the link between humanitarian and development actions.

International cooperation is vital in the increasingly challenging humanitarian landscape. Throughout 2013, the EU continued provide a strong voice in multilateral forums. Taking a leading role in the Transformative Agenda, the EU is aiming to enhance the collective humanitarian response through improved global coordination, leadership and accountability. Embracing the motto 'Acting together for those in need', the EU through the Commission is chairing the OCHA Donor Support Group (ODSG) in the period July 2013 to July 2014. This is an important mechanism for humanitarian donor consultation on the activities of the United Nations' Office for Coordination of Humanitarian affairs (OCHA).

Finally, the regulation for the establishment of the EU Aid Volunteers programme has been adopted, the challenge now will be completing the preparatory steps necessary for implementing the programme. The objective of the EU Aid Volunteers initiative is to contribute to strengthening the EU's capacity to provide needs-based humanitarian aid aimed at preserving life, preventing and alleviating human suffering and maintaining human dignity and to strengthen the capacity and resilience of vulnerable or disaster-affected communities in third countries. In particular this will be achieved by means of disaster preparedness, disaster risk reduction and by enhancing the link between relief, rehabilitation and development.

### **3.5.3. Civil protection**

Natural and man-made disasters, acts of terrorism, technological, radiological and environmental accidents can strike anywhere, at any time. When they happen, the role of the EU Civil Protection Mechanism is to ensure a rapid and coordinated response to help people caught up in disasters by drawing on the expertise and capacity available across the EU.

In situations like tropical typhoon Haiyan, which hit the Philippines in November, the European Commission's Emergency Response Coordination Centre (ERCC) was the operational heart of the EU response. The Centre operates 24 hours a day, 7 days a week. Launched in May 2013, the ERCC further strengthens the EU's disaster response capacity both inside the EU and globally. The ERCC collects real-time information on disasters, monitors hazards and ensures that interventions are effectively coordinated. This is supported by the Copernicus Emergency Management Mapping

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<sup>9</sup> [http://ec.europa.eu/echo/aid/caribbean\\_pacific/haiti\\_en.htm](http://ec.europa.eu/echo/aid/caribbean_pacific/haiti_en.htm)

Service, which was activated by the ERCC in the Philippines to deliver damage assessment products that facilitate the interventions of humanitarian relief organisations. In the Philippines, the ERCC facilitated the delivery of over 20 Participating States' personnel and relief material supplies, as well as supported the transport of civil protection assets into the region.

Assistance to fight forest fires in Greece, Portugal, Montenegro, Bosnia Herzegovina and Albania in 2012 - 2013 and the help provided to refugees in Syria's neighbouring countries are other recent examples of emergency responses to help people in distress inside and outside the EU.

The EU Civil Protection Mechanism has reacted to over 180 disasters worldwide since its creation in 2001. All EU Member States as well as the former Yugoslav Republic of Macedonia, Iceland, Liechtenstein and Norway participate in the Mechanism. Action focuses on those areas where a common European approach is more effective than separate national interventions.

Revised Civil Protection legislation was agreed in 2013 and will further improve the planning of European disaster response operations. The new law will ensure more effective, efficient and coherent disaster management. Among other features, it enables the creation of a voluntary pool of Member States' assets (including response teams, equipment etc.) that are available for immediate deployment as part of a joint European intervention. Prevention and preparedness are also covered by the revised legislation.

#### **3.5.4. Budget**

Following its needs-based approach, humanitarian and civil protection assistance were provided to the following regions (in EUR millions):

| ECHO 2013 BUDGET IMPLEMENTATION               |                  |             |
|---|------------------|-------------|
| Region/country                                | Amount           | %           |
| <b>Africa</b>                                 | <b>544</b>       | <b>40%</b>  |
| Sudan & Chad                                  | 134              |             |
| Central Africa                                | 114              |             |
| Horn of Africa                                | 108              |             |
| Southern Africa, Indian Ocean                 | 6                |             |
| West Africa                                   | 182              |             |
| <b>Middle East, Mediterranean</b>             | <b>435</b>       | <b>32%</b>  |
| Middle East                                   | 425              |             |
| Mediterranean                                 | 10               |             |
| <b>Asia, Pacific</b>                          | <b>186</b>       | <b>14%</b>  |
| Central and South West Asia                   | 82               |             |
| Central South Asia                            | 34               |             |
| South East Asia and Pacific                   | 70               |             |
| <b>Central &amp; Latin America, Caribbean</b> | <b>56</b>        | <b>4%</b>   |
| Central & Latin America                       | 31               |             |
| Caribbean                                     | 25               |             |
| <b>Worldwide disasters</b>                    | <b>20</b>        | <b>1%</b>   |
| <b>Civil protection</b>                       | <b>27</b>        | <b>2%</b>   |
| Inside EU                                     | 20               |             |
| Outside EU                                    | 7                |             |
| <b>Complementary operations</b>               | <b>85</b>        | <b>6%</b>   |
| <b>TOTAL</b>                                  | <b>1.353</b>     | <b>100%</b> |
|   | ( in million € ) |             |

### 3.6. Macro-Financial Assistance

Macro-financial assistance (MFA) is an external financial instrument available to countries close to the EU that addresses exceptional external financing needs in the form of balance of payments support. MFA therefore contributes to strengthening macroeconomic and financial stability in countries neighbouring or geographically close to the EU, while encouraging the implementation of appropriate structural reforms. It complements and is conditional on the existence of an adjustment and reform programme with the IMF. MFA can take the form of loans, for which the Commission borrows the necessary funds in capital markets and lends the funds to the beneficiary country or, in some cases, grants, financed by the EU budget, or a combination of loans and grants.

In 2013 the co-legislators finally adopted the 2011 Commission's legislative proposal to extend MFA to **Georgia** for EUR 23 million in loans and EUR 23 million in grants. However, the Georgian authorities are not planning to borrow under the ongoing precautionary IMF programme, and since a disbursing IMF programme is a pre-condition for the implementation of MFA, no MFA disbursement is foreseen in the near future. The 2011 Commission proposal to extend MFA to the **Kyrgyz Republic** for EUR 15 million in loans and EUR 15 million in grants was also adopted and the Commission is now discussing with the Kyrgyz Republic's authorities the various MFA-related documents (Memorandum of Understanding, Loan Agreement, Grant Agreement etc). Disbursements of both the first and second tranches of this MFA are foreseen in 2014. Finally, the legislative decision was adopted to extend EUR 180 million in loans to **Jordan**. The Commission is now finalising with the Jordanian authorities the associated Memorandum of Understanding and Loan Facility Agreement. Disbursements of both the first and second tranches of this assistance are foreseen in 2014.

For **Bosnia and Herzegovina** (EUR 100 million in loans), the disbursement of both tranches of EUR 50 million was implemented in the first and third quarter of 2013.

On 5 December 2013, the Commission adopted a proposal for a MFA operation of up to EUR 250 million in loans for **Tunisia**. The proposal was increased to EUR 300 million and adopted by the Parliament and the Council in April-May 2014. The Commission is now finalising with the Tunisian authorities the associated Memorandum of Understanding and Loan Facility Agreement.

While decisions to extend MFA worth EUR 610 million to **Ukraine** were adopted in 2002 and 2010, implementation has been delayed by a protracted negotiation process. The Memorandum of Understanding and Loan Agreement were signed in February and March 2013 respectively, and the documents were submitted to the Ukrainian Parliament for ratification in October 2013.

#### **4. CHAPTER 4 - MANAGING AID FOR RESULTS**

##### **4.1. Monitoring project performance**

###### **4.1.1. Project results: results-oriented monitoring**

For more than 10 years, EuropeAid's Results Oriented Monitoring (ROM) system has been used to assess the performance of projects funded by the European Union. As such it forms a part of the overall quality assurance cycle, which starts during the design of projects and ends after their implementation.

The ROM system is based on onsite visits where monitoring personnel interview project and programme staff, review key project documents and, most importantly, interview relevant stakeholders including the beneficiaries. At the level of a project or programme it gives feedback to project managers on the performance of the operations under their responsibility and gives recommendations on how to improve them, if necessary. It can contribute lessons learned for the preparation of new projects.

More than 1500 ongoing projects and programmes have been assessed in 2013.

In 2013 the ROM system covered, in financial terms, roughly one-third of the total funding portfolio.

A reform of the monitoring system with respect to projects and programmes is under preparation, which includes the approaches and modalities which will be needed to implement the reporting on the basis of the future EU Development and Cooperation Results framework referred to in section 1.2.1.

The reform will also include the ROM system with a view to set up an appropriate articulation of the monitoring and reporting systems and levels needed over the coming years.

#### **4.1.2. Evaluation: review of the 2013 work programme**

##### **Overview**

The Evaluation Unit directly manages strategic evaluations covering geographic, thematic and sector programmes, and aid delivery mechanisms (project-level evaluations are dealt with in section 4.1.1). Evaluations are carried out by independent external consultants following a standardised methodology and in a transparent way. All evaluation reports and the responses to their recommendations are made public<sup>10</sup>.

##### **The 2013 work programme**

In 2013, the Evaluation Unit finalised and published six evaluations: a regional evaluation on EU support to European Neighbourhood Policy Regions; two Budget Support evaluations (for Tanzania and South Africa); and three thematic evaluations (on Private sector development; Trade-related assistance; and support to integrated border management and fight against organised crime).

Fifteen evaluations were launched during the year: nine geographic evaluations (Bolivia, Georgia, Jordan, Central America, Haiti, Palestine, Togo, Madagascar and Timor-Leste); two evaluations of Budget Support (Mozambique and Burundi); and four thematic evaluations (on Environment, Gender, Research and Innovation, and Transport).

Eight evaluations, launched in 2012, were on-going: Asia (regional), Burundi (joint geographic evaluation), Cameroon, Kenya, and Morocco (Budget Support), Pacific (regional), Democratic Republic of Congo and Yemen.

Seminars were organised in Brussels and in the respective countries to share the results of the evaluations. Following the evaluations of the provision of budget support to Tanzania and South Africa, seminars were held both in-country and in Brussels due to the interest generated.

##### **Transversal and methodological work**

##### **Evaluation Policy**

DEVCO and the EEAS are working on an Evaluation Policy for EU external development cooperation. This document makes explicit, at a strategic level, why, how and for what purpose evaluations are conducted. It sets the key principles which drive evaluation within the external co-operation services. It should be published in 2014 after a widespread consultation process.

##### **Evaluation Correspondents' Network**

An internal Network of Evaluation Correspondents within DEVCO and the EEAS has been launched. Its objective is to enhance the evaluation culture and available expertise by increasing awareness about evaluation, its use and usefulness, raising evaluation skills and allowing better communication

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<sup>10</sup> [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/index\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/index_en.htm)

about evaluation results between the Evaluation Unit and the Delegations and between the Delegations.

### **Joint evaluations**

DEVCO encourages joint evaluations in the framework of aid effectiveness. It is a logical consequence to the commitment to increased joint programming, but it is also justified in its own right as a means of coordinating donor approaches and reducing transaction costs. Joint evaluations allow both parties to align with aid effectiveness priorities and to deliver the EU commitment to increased joint programming and joint interventions.

### **Capacity Development**

The Evaluation Unit has developed and tested a results-oriented methodology to evaluate Capacity Development support. The methodology is currently being disseminated internally and externally through training and seminars.

### **Summary of evaluations**

**European Neighbourhood Policy Regions (East and South) (2004-2010):** In the period 2004-2010, EUR 1.4 billion was committed for regional cooperation out of the ENP total of EUR 9.6 billion. The evaluation concluded that EU support stimulated regional policy dialogue and contributed to stability, a critical achievement in a difficult context. The regional interventions have a strong added value but limited linkages with other EU interventions. At country level, the priorities differ sometimes from those of regional cooperation, leading to weak support from some countries. The key recommendations include paying more attention to sustainability, carefully assessing at the design stage the differences in the willingness and capacities of regional partners; considering cooperation only with countries with clear political priorities and ensuring that interventions allow flexibility in the choice of local partners.

**Tanzania Budget Support (2005-2011):** This evaluation covered budget support provided by 14 donors, which amounts to almost USD five billion from 2005 to 2011. The evaluation provides evidence showing that the additional funds provided to the budget have had a positive effect on economic growth, on improved outcomes in the education sector and on improvements in non-income poverty. However, the evaluation also shows that the accompanying measures for budget support, namely policy dialogue and capacity building measures have not been as effective as they could have been. In particular the policy dialogue was characterised by a low level of government ownership, high transaction costs, technical weaknesses in the indicators of the Performance Assessment Framework, and the lack of a strategic, policy-solving orientation. As a result, in a number of important areas, weaknesses in policy design and in reform implementation have persisted.

**South Africa Budget Support (2000-2011):** The evaluation covered 16 Sector Budget Support operations for a total of EUR 984 million. EU Budget Support to South Africa represents a positive experience that should be continued and further integrated into the SA-EU Strategic Partnership. Budget Support has been adapted to the national context ensuring both Government ownership and strategic relevance of EU support. The evaluation shows that budget support has been effective and had an impact on Government policies which would not have been achieved through traditional projects. However evaluation shows that as well as the provision of funds, policy dialogue and capacity building need to be adapted and strengthened in order to foster better knowledge sharing on key development issues.

**Private sector development (2004-2010):** Over 2004-2010, the EU provided EUR 2.4 billion grant funding for PSD. This made the EU an important player in PSD, both financially and in terms of the scope covered. The EU positioned itself as a 'generalist' capable of funding a very wide range of activities. It has achieved results at macro- and meso-levels (institutional and regulatory frameworks, access to finance, and some elements of support to enterprise competitiveness) rather than at the micro-level. The main weaknesses are in its lack of strategy to maximise its impact, on its failure to fully exploit its expertise, and a lack of information from the monitoring and evaluation of its interventions. Recommendations are made on these issues as well as on the necessity to adapt its support to the specificities of middle income countries and to improve internal and external communication on the EU's PSD support.

**Evaluation of the European Union's Trade-related Assistance (TRA) in third countries:** The EU's TRA achieved significant results in most of the priority areas. TRA, and EU-supported trade reform processes, were often successful when implemented in partnership with committed governments and where robust capacities to implement broader policy processes were available. In the least developed countries (LDCs) and fragile state contexts TRA has often managed to stabilise or even expand trade volumes, and has therefore had some success in one part of the core TRA objective: to increase trade. However, it has had less success in the other part of the objective: diversifying trade for the poorest and most fragile countries. Here there is more work to do to better integrate these countries into the world economy.

**EU support to integrated border management and fight against organised crime (2002-2010):** Through 2002-2010, the EU committed EUR 900 million to support integrated border management and the fight against organised crime and achieved significant positive results. The EU's perceived impartiality and experience was a recognised added value. The impact was reduced by over-emphasis on large-scale 'difficult' projects and insufficient attention was given to comprehensive reforms. Furthermore, sustainability is weak. Recommendations include a better balance between security and trade and/or traffic facilitation, more management-related reforms, early planning for sustainability and increased assistance through regional interventions.

## **Outlook for 2014**

The following evaluations are scheduled to be launched before the end of 2014:

- Geographic evaluations : Chad, Lesotho, Côte d'Ivoire, Bangladesh, Pakistan, and Central Asia (regional)
- Budget Support evaluations: Ghana, Paraguay, Rwanda, Sierra Leone, Uganda, and Vietnam
- Thematic evaluations: Higher Education, Combat of Drought and Famine in Sahel and Horn of Africa, Democracy, and Access to Rural Energy,
- Instrument : Blending

### **4.1.3. Lessons learned**

The '*fiches contradictoires*', a key tool to ensure the follow-up of evaluation recommendations

The *fiche contradictoire* presents in tabular form: the main recommendations of an evaluation; the response of the services and actions to be taken; and the follow-up of these actions one year later. Every *fiche contradictoire* is available on the Evaluation Unit website<sup>11</sup>.

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<sup>11</sup> [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/index\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/index_en.htm)



## **Synthesis of key lessons learned**

The private Sector Development and Trade Related Assistance evaluations confirmed the clear connection between PSD and TRA and contributed to identifying the common lessons learnt and the synergies of these interventions

- Over the last decade, third countries have deepened their integration into the world economy, but the degree of progress varied according to their different contexts. Most progress has been made in countries where the private and public sector were strongly trade-oriented and where the link to trade agreements provided an incentive for reforms. The EU should better adapt its approach to the specific country context and especially to the level of development of the country.
- A more systematic mainstreaming of poverty reduction and employment creation in the EU TRA and PSD support would increase the overall impact of the EU's support. Poverty reduction and employment creation has not been sufficiently mainstreamed in the design and implementation of TRA and PSD interventions.
- There is still a need for stronger involvement of private sector and non-state actors (NSA) in the design, implementation and monitoring of EU support. Interactions with the private sector have often been weak and the involvement of NSA has been only marginal in TRA. This has limited the understanding of the most important actors, dynamics, needs and issues.

The recently finalized Budget Support (BS) evaluations in Tanzania and South-Africa (SA) provided key findings and lessons learned on BS. A more complete synthesis, including the results from Morocco and Mozambique BS evaluations, is planned to be undertaken in mid-2014.

- All evaluations of BS provide evidence that BS has made a contribution to the achievement of the agreed objectives with each respective government. Each of the evaluations revealed the strengths of the operations and identified some areas of weaknesses. In particular deficiencies on policy dialogue, as one of the core components of BS, needs to be addressed.
- The evaluation for Tanzania shows that budget support tends to be very effective in situations where there is a need to scale up resources to address basic needs and that neither project funding nor common basket funding could have achieved these same results with the same degree of efficiency, effectiveness and sustainability.
- The evaluation of budget support to South Africa shows that budget support can also be effective in situations where the funds represent a marginal proportion of the country's budget and where the scaling up of resources to address basic needs is less of a problem. The budget support funds have been used by the Government for specific innovative activities and pilot activities that had an impact on Government policies. It is unlikely that a similar impact would have been achieved if those pilot activities had been financed through traditional projects, which inherently tend to be less owned by the Governments.

## **4.2. Developments in Aid delivery modalities and channels**

### **4.2.1. Budget support**

2013 was the first year of full implementation of the new policy on Budget Support and experiences with the new approach have been very positive.

The differentiation into three contracts (Good Governance and Development Contracts (GGDC), State-Building Contracts (SBC) and Sector Reform Contracts (SRC)) has allowed the Commission to respond better to the specific context of the partner country and to reflect EU Policy objectives more clearly. In particular State-Building Contracts have supported progress in fragile situations like in Mali and Ivory Coast.

The respect of Fundamental values has been strengthened overall in all Budget Support operations and is a precondition for the Good Governance and Democracy contract. Furthermore, the Fundamental Values are systematically analysed in the context of the Risk Management Framework (RMF) for all on-going Budget Support operations.

The governance of Budget Support is improved through the establishment of a Budget Support Steering Committee (BSSC) and the introduction of Risk Management Frameworks (RMF). The BSSC provides strategic guidance early in the decision-making process on all new BS programmes and disbursements. In 2013, twenty BSSC meetings were organised covering:

- Three GGDC: Falkland Islands, Ghana and Morocco.
- Six SBC: Tunisia, Mali, Central African Republic (before the political crisis), South Sudan (before the unrest), Haiti and the Ivory Coast (rider).
- 45 SRC
- 141 payments
- Two assessments of fundamental values in view of GGDCs (Burkina-Faso and Tanzania)

In 2013, 73 Risk Management Frameworks (RMFs) have been completed and they are now an essential tool allowing for a comprehensive country-level and global analysis of risk profile. The RMFs have become a complementary tool in designing and implementing operations and to inform policy dialogue.

There is a stronger focus on accountability and transparency: the role of oversight bodies such as the Parliament, the Supreme Audit Institution and the general public being strengthened through systematic, public availability of budgetary documents as a new eligibility condition for (new) budget support operations.

### **Budget Support remains an important instrument in cooperation.**

At the end of 2013, 256 BS programmes were being implemented or under preparation in 84 countries, including Overseas Countries and Territories (OCTs) for a total amount of EUR 10.8 billion. Sub-Saharan Africa and the Neighbourhood region are by far the largest recipients of budget support funds. The average amount of budget support commitments per country varies from EUR 437 million in ENP-S to EUR 12 million in the Pacific and OCTs. 83 % of BS contracts are sector budget programmes (SBS/SRC), most often in the education sector. Good Governance and Development Contracts (GGDCs) represent 5 % and State-Building Contracts (SBCs) represent 4 %, most of which are being implemented in Sub-Saharan Africa. The remainder are general budget support programmes that pre-date the new policy.

In 2013, BS disbursements amounted to EUR 1.5 billion, representing 22 % of total disbursements (EUR 6.8 billion) of both the budget and the EDF. New commitments in 2013 amounted to EUR 2.4 billion.

### **Domestic Resource Mobilization, Transparency and Public Finance Management**

Domestic revenue mobilisation is of increasing importance in the international agenda as a vital factor for sustainable and accountable economic growth. In 2013 the Commission continued international efforts to craft a common analytical tool to assess a country's tax administration. In addition, the Commission carried out analytical work on the success factors for reforms in taxation and on the vulnerability of tax revenues.

The EU commitment towards increasing transparency and accountability in the extractive industries has crystallised in the strong support provided to the Extractive Industries Transparency Initiative (EITI)<sup>12</sup> which aims at improving transparency and accountable management of revenues from natural resources worldwide. Disclosure of taxes and other payments made by oil, gas and mining companies to governments helps to ensure that these resources can benefit all citizens. There are now 39 EITI implementing countries, with two-thirds of these countries now EITI Compliant. EITI was a priority topic in the recent G8 agenda and more OECD countries have announced their intent to implement EITI. In May 2013, a new EITI Standard was adopted setting clearer rules for reporting which will result in the provision of more relevant and reliable information.

The Commission has continued the Tripartite Initiative with the World Bank and the OECD to strengthen Transfer Pricing efforts. The reinforcement of partner countries' capacities is helping to reduce tax avoidance and evasion, improve business certainty, and reduce corruption and other malpractices. For example, the Commission supports a joint strategy to build Vietnam's capacities in Transfer Pricing through training focussed on specific industry sectors. The Commission also contributed to the UN Manual on Transfer Pricing for Developing Countries launched in May 2013.

As one of the PEFA (Public Expenditure and Financial Accountability) partners, the Commission participates in the revision of the PFM Performance Measurement Framework, leading the task team on indicators for control, audit and procurement. The revised framework should be ready for consultation and testing in 2014.

The Commission is the lead donor in about one-third of all PEFAs undertaken since 2005 (129) and participated in another 61 PEFAs. In 2013 alone, the Commission led seven assessments and participated in a further 18 assessments.

To assist partner countries, the Commission has co-sponsored a Good Practice Note on Sequencing PFM Reforms published in January 2013<sup>13</sup>.

The Commission supports capacity building in the area of PFM through many projects and specific assistance associated with all budget support operations.

#### **4.2.2. Using EU grants strategically via blending**

Blending, which combines EU grants with loans or with equity from other public and private financiers, can leverage additional resources for an increased impact of EU aid. Since the concept was first introduced at the beginning of the MFF 2007-2013 blending has gradually evolved into an important tool of EU external cooperation, complementing other implementation methods. EU regional blending facilities have been set up in all regions and other blending instruments such as the Global Energy Efficiency Renewable Energy Fund (GEEREF) have been established.

In the last seven years, EUR 1.6 billion grants from the EU budget, the EDF and Member States financed 200 blended projects. The EU grant contributions have leveraged approximately EUR 16 billion of loans by European finance institutions and regional development banks. By strategically combining EU grants with market financing, blending helps unlock investments with an estimated volume of EUR 40 billion in EU partner countries. Without the EU grant these projects would not have gone ahead, or only at a later stage, or at an unsustainable cost for the partner country. Another

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<sup>12</sup> <http://eiti.org/>

<sup>13</sup> <http://www.pefa.org/>

common benefit is that the project now reaches more beneficiaries that otherwise would have been excluded.

In 2013 a total of almost EUR 400 million in EU grants went to support blending projects with an expected investment volume of about EUR seven billion. The largest contributions went to projects in Sub-Saharan Africa (33%), the Eastern neighbourhood (23%) and Southern neighbourhood (19%). Smaller contributions went to the Caribbean (9%), Latin America (7%), Asia (5%) and Central Asia (4%). In terms of sectoral coverage the majority went to energy projects (55%). The main reason for this is the EU activity in the context of the Sustainable Energy for All (SE4ALL) initiative through the EU-Africa Infrastructure Trust Fund. In addition 21 % of EU grant contributions went to transport projects, 12 % to water and sanitation projects, 7 % to support private sector development and 4 % to environmental projects.

In December 2012, the EU Platform for Blending in External Cooperation<sup>14</sup> was launched to further increase the effectiveness of blending. The Platform is led by a Policy Group which makes recommendations based on work carried out in technical groups. The Policy Group is chaired by the Commission and involves representatives from Member States, the European Parliament and the EEAS. In the technical groups the Commission works together with experts from finance institutions and Member States. In 2013 the Platform's technical groups worked on a review of existing blending mechanisms, reviewed the ex-ante technical and financial analysis of projects, the indicators for measuring results, monitoring and reporting, and also looked at further development of financial instruments. The results of the technical groups were presented to the Policy Group in December. On this basis a report to the European Council and Parliament will be prepared.

The majority of investments supported via blending so far have been public, but the potential of blending as a catalyser for private financing is becoming ever more visible. Support to local businesses is already an area in which blending leverages private financing to help enterprises grow and create jobs. At the 2013 European Development Days the Commission organised a brainstorming event where donors and finance institutions discussed with civil society representatives how to further exploit the potential of blending as a catalyser for private financing, notably through innovative financial instruments and Public-Private-partnerships (PPPs).

### **4.3. Progress in aid management**

#### **4.3.1. Progress on qualitative issues in aid management**

##### **Thematic and methodological knowledge sharing**

Continuous learning and skills development for staff and partners involved in the development programmes is a key factor in ensuring quality standards and sustainable results. In 2013 the Commission continued to support this process promoting learning events, knowledge sharing and methodological guidance. In 2013 methodological support and training targeted areas such as programme monitoring, budget support, capacity development, policy dialogue, fragility and crisis management, decentralisation and local governance, support to civil society, and blending mechanisms amongst other topics.

Training courses, workshops and other learning events have been promoted to improve the quality of aid management, the dialogue between partners for better results and increased capacities in partner countries. In 2013, 1 849 individuals benefited from 92 methodological courses, of which 23 were organised in partner countries.

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<sup>14</sup> [http://ec.europa.eu/europeaid/news/2012-12-12-platform-blending-funds\\_en.htm](http://ec.europa.eu/europeaid/news/2012-12-12-platform-blending-funds_en.htm)

Otherwise, the exchange of knowledge can be implemented through the EU corporate knowledge sharing platform on development and cooperation: capacity4dev. In 2013 the platform continued to grow both in terms of contents and new members: over 1 000 new blog items were posted, 4 000 documents and 350 workshops were shared, and 62 new 'Voices and Views' featuring video interviews and articles by colleagues or other development stakeholders were published. Over 2013, an external usability study was also performed, which should lead to improvements in the platform to make it more interactive. Web rationalisation has been continuing, notably with the integration of a former community of practice (ROSA) on food security. In addition the platform now allows the creation of working spaces specifically designed to enhance knowledge sharing between EU Member States, the Commission and EEAS. Such working spaces will be instrumental to foster convergence.

## **Quality of Design**

The effectiveness of any development operation depends fundamentally on the quality of its design. To ensure that the operations' design meets the highest standards, an internal peer review process is in place through Quality Support Groups (QSG), which are composed of thematic and geographic experts from EuropeAid, EEAS and other relevant Commission DGs. The QSG assess and support each new action in two phases: at the beginning of the design phase to check the relevance and likely feasibility of the identified action (the identification phase); and at the end of the design phase to assess the overall quality of the proposed action providing recommendations for improvement (the formulation phase).

During 2013, 77 projects were screened for identification, and 443 projects were screened for formulation. The low number of identification processes is explained by the fact that 2013 was the very last year of the previous seven year MFF (2007-2013).

Capacity development is a key element of quality across aid modalities: the concept of capacity development continues to be prominent in the global development agenda and this was affirmed at the High Level Meeting on Aid Effectiveness in Busan<sup>15</sup> as a key factor to achieve sustainable results. Similarly, the Agenda for Change calls for increasing the impact of EU Development Policy and this is possible if the capacities of partner countries are also strengthened through effective support and dialogue. The Commission continues to mainstream Capacity Development through the different stages of the project and programme cycle.

## **Staff development: training and knowledge sharing**

Continuous development and updating of knowledge and expertise of its staff is a high priority for the Commission. A wide-ranging learning programme is provided on its core business and new approaches in development cooperation policies. In 2013 528 learning events were organised by EuropeAid, corresponding to 13 736 training days. Workshops are also organised to discuss lessons learned together with other knowledge sharing activities including discussion forums and communities of practice.

The Commission also offers a wide range of online courses that give its staff in Delegations the same access to relevant training opportunities.

The Commission seeks synergy effects and enhanced quality in learning through its cooperation with other donors in the 'learn4dev' donor competence development network, where the Commission acts as part of the network's steering committee. Major bilateral and multilateral donors work together, harmonising learning approaches with the final aim of speaking with one voice and thus enhancing the efficiency of development cooperation. The network also serves as a knowledge sharing platform,

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<sup>15</sup> <http://effectivecooperation.org/>

providing mutual access to learning possibilities, avoiding duplication of existing offers and thus ensuring efficiency gains.

#### **4.3.2. Simplification of procedures**

In 2013 significant measures to simplify procedures were put in place. Most of them have their origin in the new provisions of the Financial Regulation and its Implementing Rules<sup>16</sup>. They were all incorporated and supplemented in the 2013 version of the Practical Guide to contract procedures for European Union external actions (PRAG)<sup>17</sup>.

The main measures introduced to simplify procedures were:

- Raising of the procurement thresholds, which allows the use of lighter procedures in many cases
- Introduction of the possibility to conclude contracts under negotiated procedure after the D+3 following an early termination of an ongoing contract
- An increase in the threshold for requirement of pre-financing guarantees, and their total suppression for low-value procurement
- Shorter payment deadlines for pre-financing.

In the case of service contracts:

- Free choice between the framework contract and the competitive negotiated procedure for procurement between EUR 20 000 and EUR 300 000
- Maximum percentage for subcontracting is lifted
- Tacit approval of reports after 45 days
- Possibility to introduce lump-sum payments under the fee-based contracts
- Flexibility introduced to determine the number of days of work for each expert
- Introduction of a guide for the evaluator of service tenders
- Possibility to have several riders to the contract for additional services up to 100 % of initial value
- Possibility to replace a key expert prior to the signature of the contract but not with an expert from another offer in the same tender.

In the case of supply contracts:

- The maximum percentage for subcontracting is lifted
- The possibility to use the negotiated procedure after one failure of the competitive negotiated procedure
- Variant solutions reintroduced

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<sup>16</sup> Regulation (EU, Euratom) No 966/2012 of 25/10/2012 and Commission Delegated Regulation (EU) No 1268/2012 of 29/10/2012.

<sup>17</sup> [http://ec.europa.eu/europeaid/work/procedures/implementation/practical\\_guide/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm)

In the case of works contracts:

- The possibility to use the negotiated procedure after one failure of the competitive negotiated procedure
- Variant solutions reintroduced
- Commencement order linked to access to the site
- Suspension of the contract by the contractor allowed in the case of delays of payments

In the case of grant contracts:

- Introduction of the multi-beneficiary grant contract with co-beneficiaries and affiliated entities
- Possibility to have multi-annual work programmes
- Two additional exceptions to the no-profit rule
- Pro-rata recovery of potential profit in proportion to the Commission's contribution to eligible costs
- Possibility of electronic submission and management of call for proposals
- Increased flexibility in the requirement of documents to prove eligibility and selection criteria
- Lighter requirements on many aspects for low value grants (less than EUR 60 000)
- Additional possibilities for financial support to third parties
- Introduction of the simplified cost options (lump-sums, unit costs, flat-rates)
- Interest on pre-financing not due any more (for DG BUDGET only)
- Increased flexibility in rules for currency conversion
- Increased flexibility in unilateral modifications to the contract by grant beneficiaries
- Record keeping periods for supporting documents by beneficiaries shortened
- Introduction of breakdowns of expenditure to replace expenditure verification reports

#### **4.4. Communication and transparency**

##### **4.4.1. Communication and visibility**

As this full report shows, EU development cooperation makes a real difference to the lives of millions of people in our many partner countries around the world. Communicating the results and achievements of our programmes and projects is a critical part of this work: it strengthens our accountability towards citizens and contributes to maintaining a high level of support for the EU's policies and funding.

Eurobarometer surveys carried out in 2013 show that Europeans remain staunch supporters of development aid: 83 % of Europeans think it is important to help people in developing countries, two-thirds of Europeans think that tackling poverty in developing countries should be one of the main

priorities of the EU and more than six out of ten respondents think that aid to developing countries should be increased, despite Europe's economic problems.

However, faced with constricting national budgets across our Member States, it has never been more important to demonstrate that the EU is really making a difference. A results-focused brochure, "EU Contribution to the Millennium Development Goals"<sup>18</sup>, was published in September 2013 and launched at the UN General Assembly with an impressive uptake from the media. The brochure provides easy-to-read figures and concrete examples of EU action in the field gathered by staff in EU Delegations worldwide.

In addition to press releases on major policy initiatives, responses to global events and regular journalist seminars, in 2013, press trips were organised to accompany Commissioner Piebalgs' visits to Burundi, Guatemala, Malawi and Zambia, also generating considerable media coverage.

Several high-level political events took place in Brussels. In May, the Donor Conference for Development in Mali brought together 108 delegations and more than 400 high level representatives of governments, local authorities, civil society, the Malian diaspora, women and private sector. This major event gathered pledges of EUR 3.08 billion towards the country's recovery; with 174 newspapers, radio and TV stations and other media outlets covered the conference on site.

In November, the eighth edition of the European Development Days (EDD2013) looked into the theme: "A decent life for all by 2030 – Building a consensus for a new development agenda". EDD2013 was open to a wide range of stakeholders, practitioners, policy-makers, academics and experts, with a record-breaking 7 100 attendees (a 25 % increase over 2012). Thanks to the involvement of EU Delegations, local events were simultaneously organised in several partner countries to develop local angles to global issues and involving young people, journalists and development partners.

Together with the UNDP, eight high level academic lectures (the Kapuscinski Development lectures) were organised in EU Member States' universities and at Columbia University in New York during the UN General Assembly. The lectures, featuring eminent speakers such as Esther Duflo and Aung San Suu Kyi, offered students a unique opportunity to learn and discuss about development issues.

EuropeAid's web presence has been entirely rethought and its content redeveloped in view of the launch of a new website in spring 2014. We intensified our communication via social media (notably Facebook and Twitter) to organically grow our followers and built relations with partners inside and outside the Commission to further enhance our reach.

Finally, in 2013, the Commission presented a legislative proposal to mark 2015 as European Year for Development. A crucial year on the international development agenda, 2015 is both the deadline for achieving the Millennium Development Goals and the possible starting point for a revised international framework. This will be the first ever European Year dealing with external action policies of the EU. The European Year for Development 2015 will offer a unique opportunity to work with Member States to directly engage with citizens, showcase our shared commitment to eradicating poverty worldwide and to communicate on the impact and benefits of EU development cooperation for beneficiaries and also for EU citizens.

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<sup>18</sup> [http://ec.europa.eu/europeaid/documents/mdg-brochure-2013\\_en.pdf](http://ec.europa.eu/europeaid/documents/mdg-brochure-2013_en.pdf)



#### 4.4.2. Transparency

Improved transparency was one of the key EU deliverables at the 2011 Fourth High Level Conference on Aid and Development Effectiveness in Busan<sup>19</sup>. In 2013 the Commission made significant progress in improving the transparency of its external assistance services. The Commission successfully rolled-out the implementation of the International Aid Transparency Initiative (IATI) project, which is now concluding its third phase, across all its main aid-providing departments. The results achieved include substantial improvements in the performance of DG Enlargement and the Service for Foreign Policy Instruments. The Commission is progressively implementing the common transparency standard and is sharing its experience and cooperates with the EU Member States to improve aid transparency across Europe.

Developed by the JRC in close collaboration with DG DEVCO and DG ECHO, and launched during the European Development Days in November 2013 (EDD2013), EU Aid Explorer<sup>20</sup> is a unique web tool that provides easy access to clear, complete and accurate data on development and humanitarian aid around the world. Maps and infographics help visualisation of which donor is active where, which sectors and countries receive how much assistance and how funding changes over time. Completed with a project search tool, EU Aid Explorer facilitates donor coordination, ensures transparency and improves accountability to citizens.

## 5. CHAPTER 5 - FINANCIAL ANNEX

### 5.1. Introduction to financial tables

This Annual Report provides an overview of policies, objectives and achievements in 2013. The tables and graphs which follow present the main data on EU development assistance in 2013 by country, region, or sector and per source of funding, such as the different instruments of EU external assistance. Please note that for reference purposes some tables (notably Tables 5.18, 5.19, 5.20, 5.22 and 5.23) include data on financial allocations made under the IPA instrument.

The geographic cooperation with the ACP countries, is based on the Partnership Agreement with the ACP signatory states and is mainly financed, South Africa excepted, from the European Development Fund which is separate from the EU budget. External assistance for other geographic areas and the thematic programmes with worldwide coverage are financed from the general EU budget.

Data for 2013 again show improved overall Official Development Assistance (ODA) levels. **Figure 5.1** shows the importance of external assistance in the overall expenditure of the European Commission. Defined as the resources used to foster programmes and projects outside the EU, external assistance accounted for 10% of the total allocation in 2013 (general EU budget and EDF taken together).

A global overview of the share of resources is given in **Figure 5.2**. A detailed breakdown of the budget by policy areas can be found in **Table 5.3**. A similar breakdown for the EDF is presented in **Table 5.4**.

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<sup>19</sup> See the EU Common Position for the Fourth High Level Forum on Aid Effectiveness of 14 November 2011

<sup>20</sup> <https://tr-aid.jrc.ec.europa.eu/>

The concept of ODA used throughout the tables and figures is that defined by the OECD's Development Assistance Committee (DAC). Not all EU external assistance can be reported as ODA. Whether an action, programme or project is classified as ODA or not depends on the recipient country and the purpose and content of the aid. **Figure 5.5** shows the share of the EU's external assistance classified as ODA. In all, almost 93% of EU aid committed in 2013 is considered reportable as ODA, indicating a continuing focus on development in external financial allocations.

**Figures 5.6 and 5.7** show the evolution from 2005 to 2013 of external assistance and ODA. **Figure 5.6** shows the commitments evolution of the main sources of funding: external assistance from the EU Budget and EDF, indicating the share managed by EuropeAid. **Figure 5.7** shows the disbursements evolution of the sector breakdown of ODA.

**Figure 5.8 and Table 5.9** present the breakdown per region. For this breakdown, it is necessary to differentiate between bilateral and multilateral aid. Bilateral aid, as defined by the DAC, is direct cooperation by the Commission with a country (or region) where the Commission controls the activities and knows how, when and where the resources are being spent. Multilateral aid comprises direct contributions to the core funding of multilateral agencies, who report back to the Commission at a later stage on how the money was spent.

**Figure 5.8** provides a breakdown of EU ODA per region. Africa tops the list (39% of ODA) with, Sub-Saharan Africa receiving 34% of total ODA in 2013. A more detailed breakdown, per country and region, in line with the OECD/DAC recipient list, is presented in **Table 5.10** (Commitments) and **Table 5.11** (Disbursements).

**Figure 5.12** focuses on ODA recipients classified under the four UN/OECD categories based on GNI. The table monitors disbursements in 2013 by DAC recipient and by main OECD sectors. One indicator shows ODA disbursement per capita.

It is also important to identify the main sectors of activities that receive support. **Table 5.13** shows this breakdown of EU ODA per main sector as defined by the DAC.

A more detailed sector breakdown of ODA is provided in **Table 5.14** for commitments and in **Table 5.15** for payments.

**Tables 5.16 and 5.17** give an overview of the ODA managed by EuropeAid, with a breakdown per sector and region. In these tables, the definition of region reflects the country groupings used in the EU instruments and corresponding budget structure.

**Tables 5.18 and 5.19** show the sector breakdown of ODA per EU external assistance instrument and sub-component within the instruments, with the associated **Figure 5.20** providing a closer look.

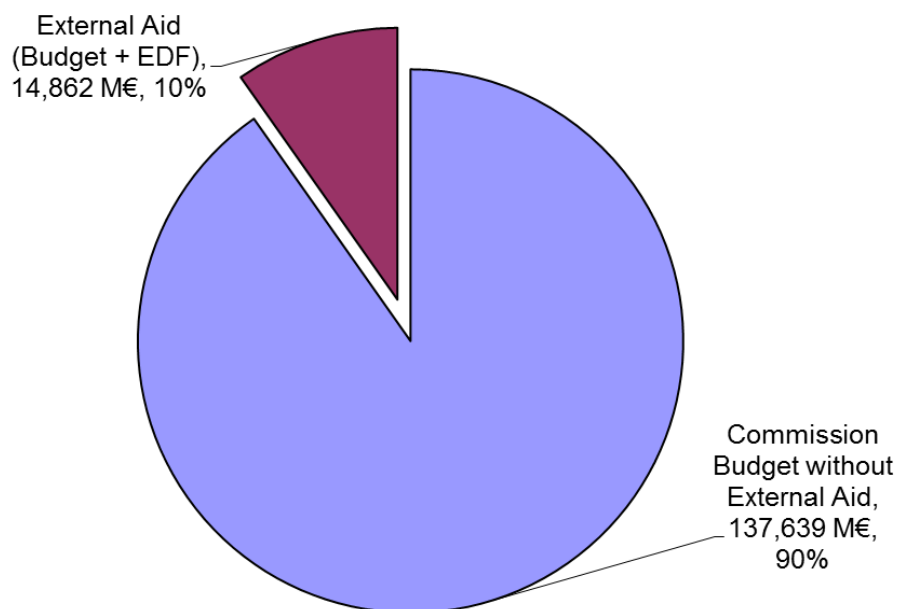
**Table 5.21** focuses on budget support commitments 2012 by EU instruments.

**Tables 5.22 and 5.23** provide an overview of the breakdown by country and instrument – payments and disbursements.

Please note that where references are made in the following tables to 'EU budget', this refers to the budget managed by the European Commission and does not cover EU Member States' national budgets for development assistance.

## 5.2. Financial tables

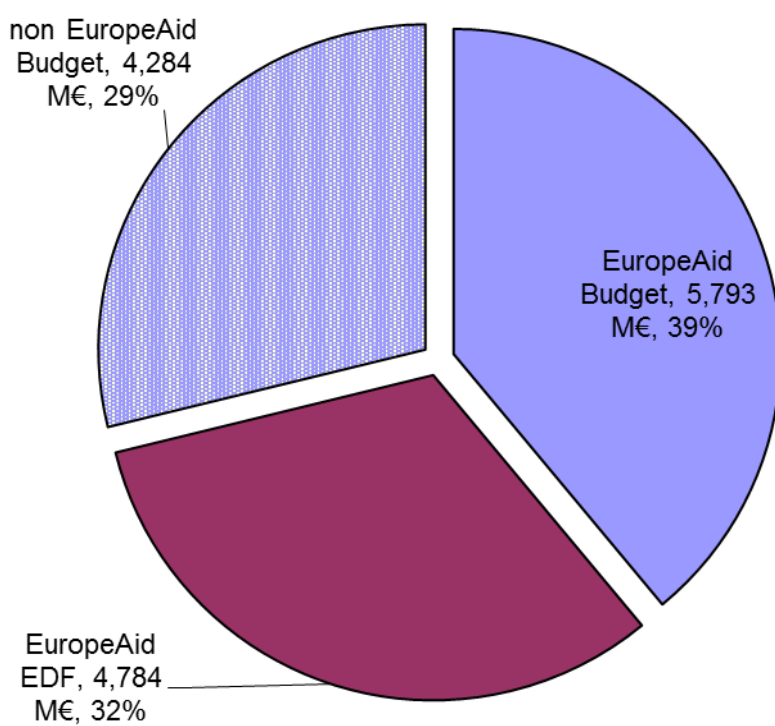
**Table 5.1 Percentage of EU budget committed to external assistance in 2013**



### **Commitments in €million**

|  |            |
|--|------------|
| Commission Budget without External Aid | 137,639 M€ |
| External Aid (Budget + EDF)            | 14,862 M€  |
| Commission Budget + EDF                | 152,501 M€ |

**Table 5.2 Sources of external assistance in 2013**



**Commitments ( € Million )**

|                             |           |
|-----------------------------|-----------|
| EuropeAid Budget            | 5,793 M€  |
| EuropeAid EDF               | 4,784 M€  |
| non EuropeAid Budget        | 4,284 M€  |
| External Aid (Budget + EDF) | 14,862 M€ |

Table 5.3 Table 5.3 General EU budget for external assistance in 2013

| Heading / Policy Area | Description  | Total            |                   | Managed by EuropeAid |                   | Managed by other DG's |                   | of which ODA    |                   |
|-----------------------|--|------------------|-------------------|----------------------|-------------------|-----------------------|-------------------|-----------------|-------------------|
|                       |  | Com mit.         | Disbursements (t) | Com mit.             | Disbursements (t) | Com mit.              | Disbursements (t) | Com mit.        | Disbursements (t) |
| 4 01 - ECFIN          | Macroeconomic assistance + EBRD  | 155.83           | 156.19            | 155.83               | 156.19            | 155.83                | 156.19            | 0.17            | 0.53              |
| 4 04 - EMPL           | Instrument for Pre-accession (IPA) — Human resources development   | 113.16           | 65.15             | 113.16               | 65.15             | 113.16                | 65.15             | 104.61          | 55.45             |
| 4 05 - AGR            | IPA - Component (2007 - 2013) Rural Development  | 257.11           | 50.70             | 257.11               | 50.70             | 257.11                | 50.70             | 206.34          | 32.84             |
| 4 07 - ENV            | LIFE (European Financial Instrument for the Environment)   | 2.68             | 3.24              | 2.68                 | 3.24              | 2.68                  | 3.24              | 1.42            | 1.68              |
| 4 13 - RECO           | Pre-accession IPA and former IPA   | 498.28           | 325.04            | 498.28               | 325.04            | 498.28                | 325.04            | 431.91          | 181.86            |
| 4 14 - TAXUD          | Customs cooperation and international assistance   | 1.18             | 1.17              | 1.18                 | 1.17              | 1.18                  | 1.17              | 0.11            | 0.11              |
| 4 15 - EAC            | Education, MEDIA programmes in third countries   | 135.66           | 130.74            | 135.66               | 130.74            | 135.66                | 130.74            | 63.03           | 58.87             |
| 4 17 - SANCO          | International agreements and membership of international organisations   | 0.41             | 0.33              | 0.41                 | 0.33              | 0.41                  | 0.33              |                 |                   |
| 4 19 - RELEX          | Multilateral relations, cooperation in the areas of migration and asylum, and general external relations matters | 60.85            | 39.11             | 60.85                | 39.11             | 60.85                 | 39.11             | 60.85           | 38.03             |
| 4                     | Common foreign and security policy   | 352.93           | 312.22            | 352.93               | 312.22            | 352.93                | 312.22            | 330.95          | 276.19            |
| 4                     | European initiative for democracy and human rights (EIDHR)   | 167.63           | 136.39            | 129.37               | 110.36            | 38.27                 | 26.04             | 167.62          | 130.91            |
| 4                     | Relations and cooperation with industrialised non-member countries   | 23.38            | 18.95             |                      |                   | 23.38                 | 18.95             |                 |                   |
| 4                     | Crisis response and global threats to security   | 367.68           | 263.78            | 127.08               | 96.57             | 240.60                | 167.22            | 264.56          | 233.35            |
| 4                     | European Neighbourhood Policy and relations with Russia  | 2,479.78         | 1,346.25          | 2,479.78             | 1,346.25          |                       |                   | 2,425.33        | 1,254.08          |
| 4                     | Relations with Latin America   | 397.56           | 298.37            | 397.56               | 298.37            |                       |                   | 381.56          | 298.12            |
| 4                     | Relations with Asia, Central Asia and East of Jordan countries (1)   | 905.02           | 621.99            | 905.02               | 621.99            |                       |                   | 871.17          | 608.57            |
| 4                     | Policy strategy and coordination for External relations policy area  | 28.51            | 24.11             | 16.33                | 12.43             | 12.18                 | 11.68             | 17.91           | 13.07             |
| 4 20 - TRADE          | External trade relations   | 13.71            | 10.20             |                      |                   | 13.71                 | 10.20             | 5.43            | 4.68              |
| 4 21 - DEV            | Food security  | 261.49           | 202.75            | 261.49               | 202.02            | 0.73                  | 0.73              | 261.49          | 201.34            |
| 4                     | Non-State actors in development  | 246.35           | 212.43            | 246.35               | 212.43            |                       |                   | 246.35          | 211.38            |
| 4                     | Environment and sustainable management of natural resources, including energy                                    | 217.85           | 133.80            | 217.35               | 133.55            | 0.50                  | 0.25              | 217.35          | 131.49            |
| 4                     | Human and social development   | 198.05           | 107.85            | 198.05               | 107.85            |                       |                   | 198.05          | 106.54            |
| 4                     | Geographical cooperation with ACP Countries  | 333.45           | 295.08            | 333.45               | 295.08            |                       |                   | 317.67          | 276.43            |
| 4                     | Other cooperation actions and ad-hoc programmes  | 32.89            | 30.23             | 32.89                | 30.23             |                       |                   | 4.17            | 3.88              |
| 4                     | Policy strategy and coordination for Development and relations with ACP States                                   | 20.33            | 13.85             | 20.33                | 13.85             |                       |                   | 20.33           | 12.29             |
| 4 22 - ELARG          | Management of the Instrument for Pre-Accession   | 1,027.47         | 832.62            |                      | 1,027.47          | 832.62                | 951.71            |                 | 717.08            |
| 4 23 - ECHO           | Humanitarian aid including aid to uprooted people, food aid and disaster preparedness                            | 1,277.93         | 1,197.57          |                      | 1,277.93          | 1,197.57              | 1,277.93          |                 | 1,197.57          |
| 4                     | Civil protection interventions in third countries  | 5.03             | 0.21              |                      | 5.03              | 0.21                  | 5.03              |                 | 0.21              |
| 4 32 - ENER           | Energy Community   | 3.16             | 3.16              |                      | 3.16              |                       | 3.16              |                 |                   |
| 4 4+5                 | Administrative expenditure of External assistance (2)  | 512.52           | 498.44            | 367.55               | 359.82            | 144.97                | 138.61            | 485.64          | 472.40            |
| <b>TOTAL</b>          |  | <b>10,077.87</b> | <b>7,331.90</b>   | <b>5,793.44</b>      | <b>3,879.90</b>   | <b>4,284.43</b>       | <b>3,452.00</b>   | <b>9,327.58</b> | <b>6,518.93</b>   |

(1) Before recoveries

(2) Includes administrative cost of EDF management charged to heading 5.

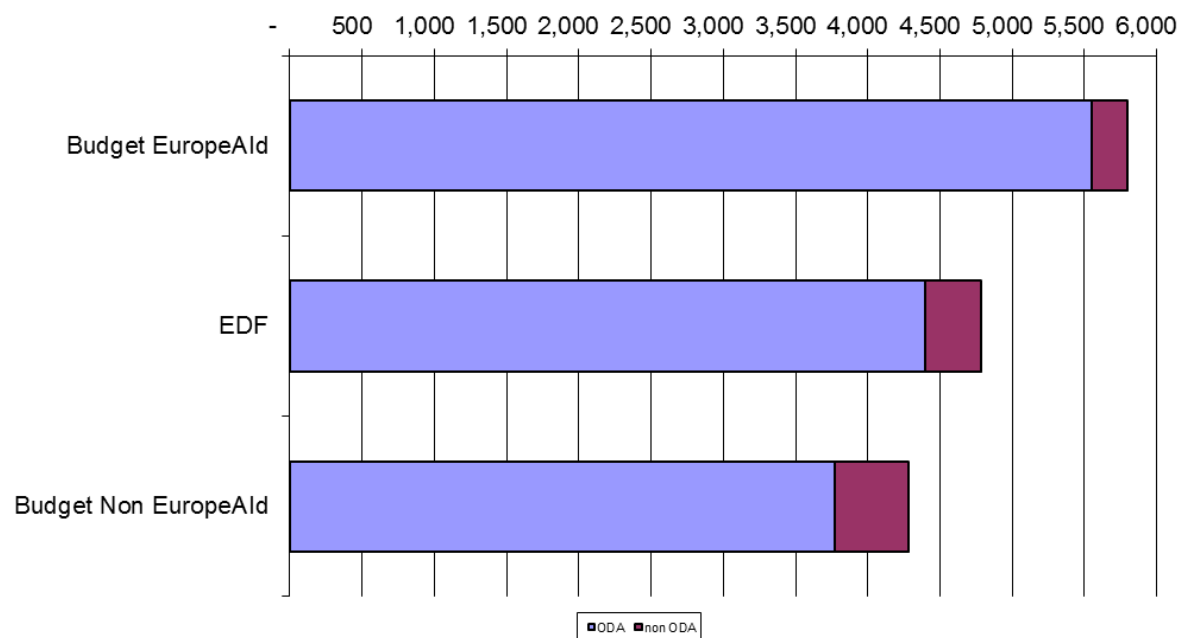
Total ODA (Budget + EDF) administrative cost (from headings 4 & 5 and EDF adm. envelope) shown in tables 5.14 & 5.15

(3) Breakdown by budget line of external aid financed on the general Commission budget in 2013. (Amount in € million)

**Table 5.4 European Development Fund (EDF) in 2013**

| Instruments (1)  | Commitments<br>(2) | Disbursements<br>(3) | Of Which ODA       |                      |
|--|--------------------|----------------------|--------------------|----------------------|
|  |                    |                      | Commitments<br>(2) | Disbursements<br>(3) |
| <b>Lomé</b>  |                    |                      |                    |                      |
| NIP / RIP Grants   | -                  | 6                    | -                  | 6                    |
| Aid for Refugees   | -                  | 0                    | -                  | 0                    |
| Stabex   | 0                  | 6                    | 0                  | 6                    |
| Risk Capital   | -                  | 0                    | -                  | 0                    |
| SYSMIN   | -                  | -                    | -                  | -                    |
| Heavily indebted poor countries  | -                  | -                    | -                  | -                    |
| Use of Interest (Lomé)   | -                  | -                    | -                  | -                    |
| Transfer 6th EDF   | -                  | -                    | -                  | -                    |
| Transfer 7th EDF   | -                  | 3                    | -                  | 1                    |
| <b>Total Lomé</b>  | <b>0</b>           | <b>15</b>            | <b>0</b>           | <b>13</b>            |
| <b>Cotonou</b>   |                    |                      |                    |                      |
| A Envelope - Programmable Aid  | 2,995              | 1,849                | 2,875              | 1,787                |
| Envelope B - unforeseen  | 342                | 255                  | 330                | 250                  |
| Regional projects  | 782                | 321                  | 663                | 208                  |
| Intra ACP  | 604                | 515                  | 469                | 391                  |
| Co financing A Envelope  | -                  | -                    | -                  | -                    |
| Other  | -                  | -                    | -                  | -                    |
| Implementation expenditure + Congo Rep. Dem.   | 62                 | 96                   | 60                 | 95                   |
| <b>Total Cotonou</b>   | <b>4,784</b>       | <b>3,036</b>         | <b>4,397</b>       | <b>2,731</b>         |
| <b>Grand total EDF</b>   | <b>4,784</b>       | <b>3,050</b>         | <b>4,397</b>       | <b>2,744</b>         |
| Breakdown by instrument of development assistance financed on the European Development Fund (EDF) in 2013 (amount in € million). |                    |                      |                    |                      |
| (1) Except The Investment Facility (10th EDF) managed by the EIB   |                    |                      |                    |                      |
| (2) Commitments 2012 have been calculated following DAC procedures :   |                    |                      |                    |                      |
| Total commitments made in 2012 reduced by decommitments made on projects committed in 2013                                       |                    |                      |                    |                      |

**Table 5.5 Proportion of external assistance used for Official Development Aid (ODA)**

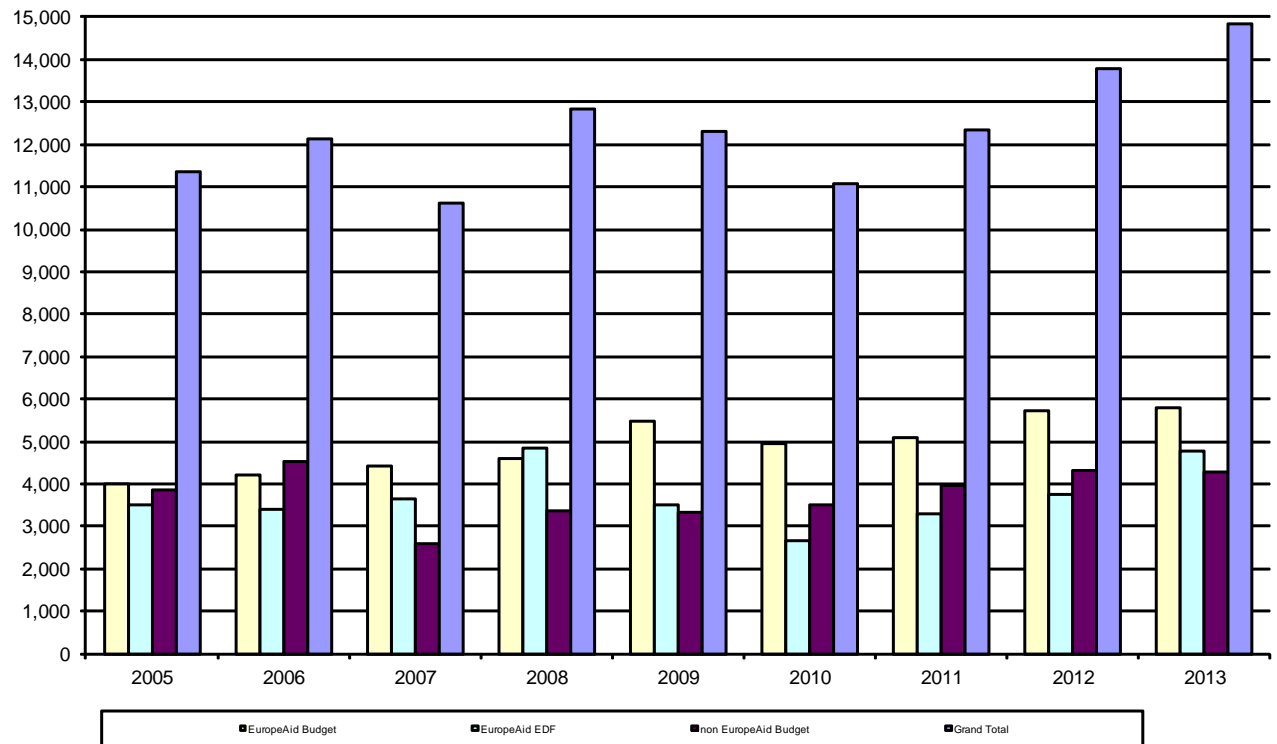


**Commitments in €million**

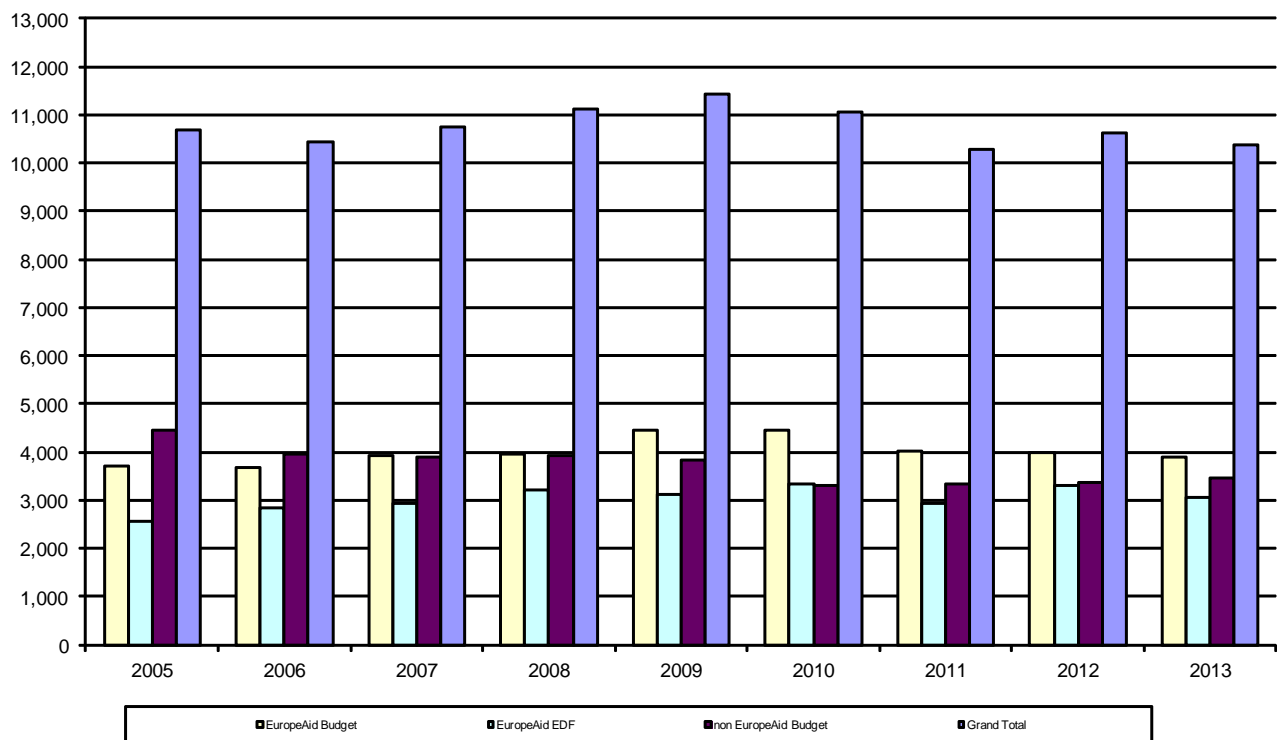
|                      | ODA    | non ODA | Total  |
|----------------------|--------|---------|--------|
| Budget EuropeAid     | 5,553  | 240     | 5,793  |
| EDF                  | 4,397  | 387     | 4,784  |
| Budget Non EuropeAid | 3,774  | 510     | 4,284  |
| Total                | 13,725 | 1,137   | 14,862 |

**Table 5.6 2005-2013 External assistance**

**Commitments in €million**



**Disbursements in €million**

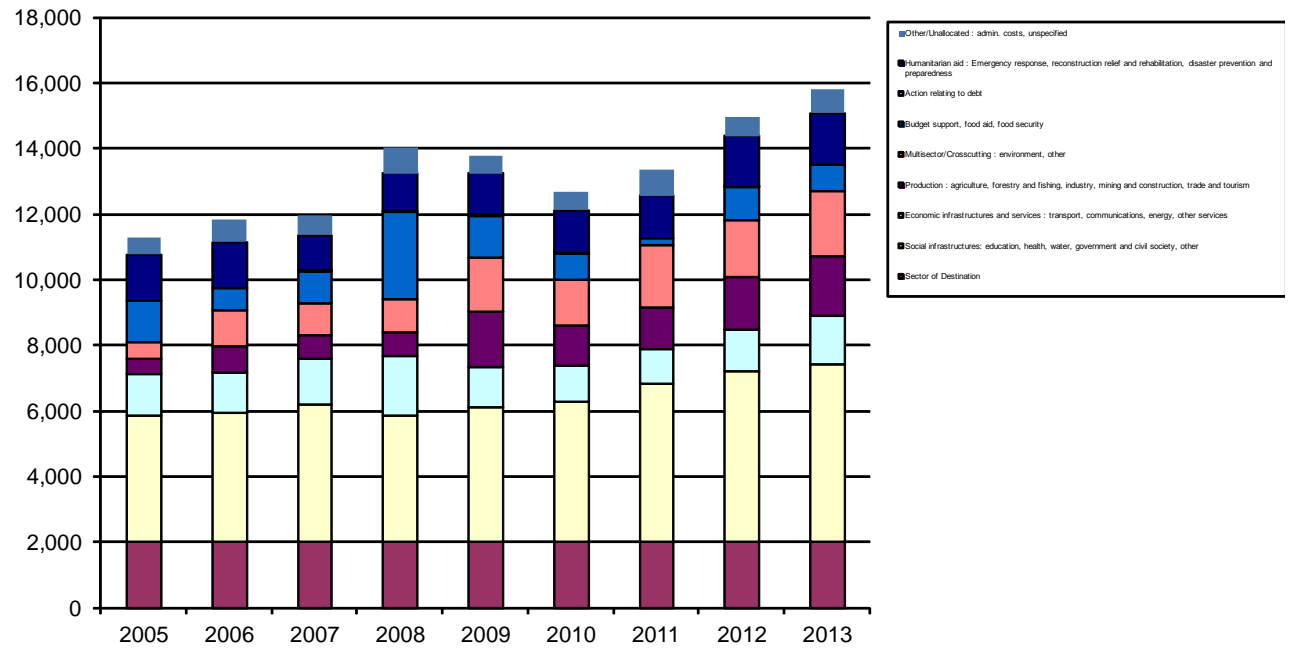


External aid financed on the general Commission budget and the European Development Fund (EDF) managed by EuropeAid.  
Bilateral and multilateral ODA / other flows.



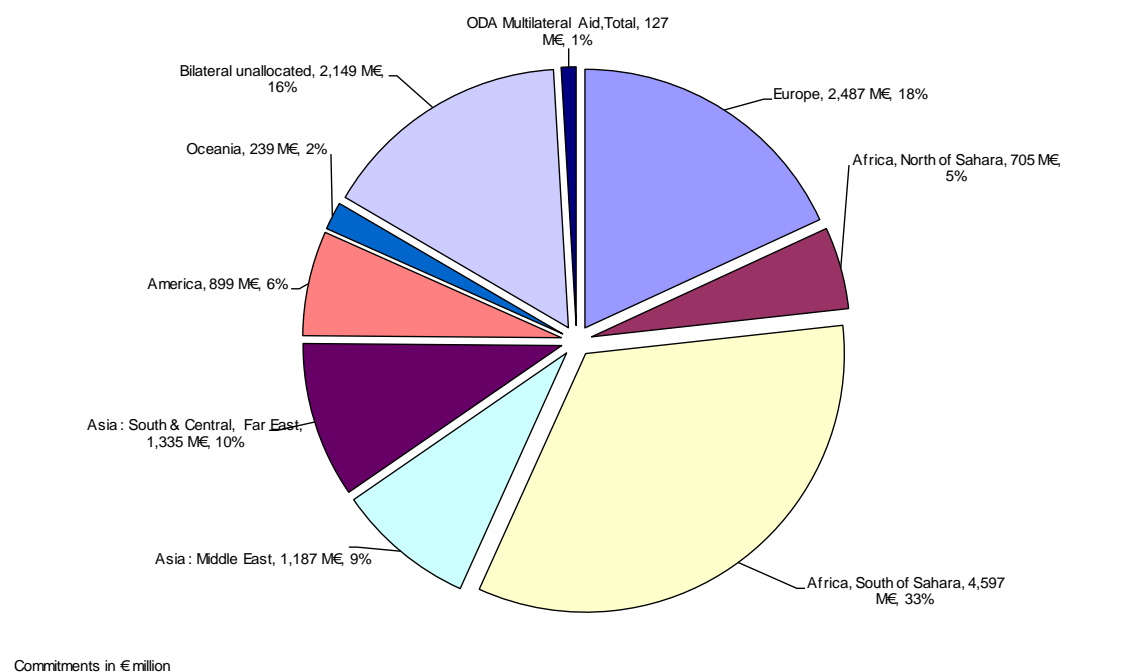
**Table 5.7 Sectoral breakdown of Official Development Assistance (ODA) 2005 - 2013**

Commitments in €million



Bilateral and multilateral ODA flow s.

**Table 5.8 Regional distribution of aid to developing countries (ODA) in 2013**



| Region (1)                      | Grand total   |               | Managed by EuropeAid |               | Managed by Other DG's |               |
|---------------------------------|---------------|---------------|----------------------|---------------|-----------------------|---------------|
|                                 | Commitment    | Disbursements | Commitment           | Disbursements | Commitment            | Disbursements |
|                                 | (s)           | (ts)          | (s)                  | (ts)          | (s)                   | (nts)         |
| Europe                          | 2,487         | 1,526         | 664                  | 426           | 1,823                 | 1,100         |
| Africa, North of Sahara         | 705           | 331           | 659                  | 280           | 46                    | 51            |
| Africa, South of Sahara         | 4,597         | 3,565         | 3,939                | 2,889         | 658                   | 676           |
| Asia: Middle East               | 1,187         | 895           | 662                  | 520           | 525                   | 375           |
| Asia: South & Central, Far East | 1,335         | 1,098         | 1,008                | 829           | 327                   | 269           |
| America                         | 899           | 719           | 850                  | 618           | 49                    | 101           |
| Oceania                         | 239           | 72            | 225                  | 66            | 13                    | 6             |
| Bilateral unallocated           | 2,149         | 878           | 1,822                | 619           | 328                   | 260           |
| ODA Multilateral Aid, Total     | 127           | 178           | 121                  | 172           | 6                     | 6             |
| <b>TOTAL ODA</b>                | <b>13,725</b> | <b>9,262</b>  | <b>9,950</b>         | <b>6,419</b>  | <b>3,774</b>          | <b>2,843</b>  |

(1) Following OECD region.

Cfr tables "Country breakdown of EC Development Aid in 2013".

**Table 5.9 Regional distribution of aid to developing countries (ODA) 2008-2013**

| Commitments in €million     |                 | 2008          | 2009          | 2010          | 2011          | 2012          | 2013          |
|-----------------------------|-----------------|---------------|---------------|---------------|---------------|---------------|---------------|
| Europe                      |                 | 2,093         | 2,030         | 2,230         | 2,269         | 2,354         | 2,487         |
| Africa                      |                 | 5,272         | 4,577         | 3,230         | 3,975         | 4,807         | 5,302         |
|                             | North Of Sahara | 546           | 618           | 673           | 678           | 793           | 705           |
|                             | South Of Sahara | 4,726         | 3,929         | 2,500         | 3,151         | 3,956         | 4,523         |
|                             | Regional        | -             | 30            | 57            | 146           | 58            | 74            |
| America                     |                 | 642           | 899           | 934           | 716           | 815           | 899           |
|                             | North & Central | 329           | 621           | 609           | 445           | 525           | 564           |
|                             | South           | 312           | 260           | 257           | 246           | 184           | 246           |
|                             | Regional        | 2             | 19            | 68            | 25            | 106           | 88            |
| Asia                        |                 | 1,946         | 2,043         | 2,063         | 2,000         | 2,202         | 2,522         |
|                             | Middle East     | 735           | 669           | 652           | 663           | 789           | 1,187         |
|                             | South & Central | 886           | 1,024         | 948           | 1,099         | 1,194         | 927           |
|                             | Far East        | 233           | 295           | 363           | 158           | 140           | 329           |
|                             | Regional        | 91            | 56            | 99            | 79            | 80            | 79            |
| Oceania                     |                 | 19            | 89            | 116           | 19            | 103           | 239           |
| Bilateral unallocated       |                 | 1,586         | 2,000         | 1,761         | 2,134         | 2,494         | 2,149         |
| ODA Multilateral Aid, Total |                 | 366           | 125           | 325           | 210           | 155           | 127           |
| <b>TOTAL ODA</b>            |                 | <b>11,923</b> | <b>11,764</b> | <b>10,658</b> | <b>11,323</b> | <b>12,930</b> | <b>13,725</b> |
| Disbursements in €Million   |                 | 2008          | 2009          | 2010          | 2011          | 2012          | 2013          |
| Europe                      |                 | 1,242         | 1,720         | 1,507         | 1,437         | 1,430         | 1,526         |
| Africa                      |                 | 4,003         | 4,111         | 4,161         | 3,939         | 4,401         | 3,896         |
|                             | North Of Sahara | 570           | 610           | 537           | 517           | 503           | 331           |
|                             | South Of Sahara | 3,433         | 3,478         | 3,563         | 3,170         | 3,727         | 3,371         |
|                             | Regional        | 1             | 23            | 61            | 252           | 171           | 194           |
| America                     |                 | 769           | 809           | 973           | 721           | 731           | 719           |
|                             | North & Central | 415           | 441           | 666           | 421           | 422           | 384           |
|                             | South           | 314           | 348           | 287           | 270           | 292           | 296           |
|                             | Regional        | 40            | 20            | 21            | 30            | 17            | 38            |
| Asia                        |                 | 1,850         | 1,854         | 1,845         | 1,868         | 1,776         | 1,993         |
|                             | Middle East     | 709           | 617           | 596           | 507           | 594           | 895           |
|                             | South & Central | 858           | 908           | 935           | 996           | 821           | 823           |
|                             | Far East        | 250           | 266           | 267           | 315           | 299           | 218           |
|                             | Regional        | 33            | 63            | 47            | 49            | 62            | 57            |
| Oceania                     |                 | 65            | 59            | 91            | 85            | 70            | 72            |
| Bilateral unallocated       |                 | 1,025         | 955           | 1,084         | 916           | 889           | 878           |
| ODA Multilateral Aid, Total |                 | 239           | 292           | 179           | 248           | 238           | 178           |
| <b>TOTAL ODA</b>            |                 | <b>9,194</b>  | <b>9,800</b>  | <b>9,841</b>  | <b>9,213</b>  | <b>9,535</b>  | <b>9,262</b>  |

Bilateral and multilateral ODA flows.

(1) Following OECD region.

Cfr table "Country breakdown of EC Development Aid in 2013".