Executive Summary

Determined to implement the 2030 Agenda, the EU’s external action objectives are reflected within the Global strategy on foreign and security policy for the European Union and the new European Consensus on Development (‘the Consensus’) to reaffirm the EU’s commitment to effective multilateralism and to deliver on the Juncker Commission’s 10 priorities, in particular the goal of ‘Europe as a Global Actor’.

The Consensus provides a new framework for a common approach to development policy to be applied by the EU institutions and the Member States. This pursues the EU’s external action objectives of promoting the sustainable economic, social and environmental development of all developing countries, Least Developed Countries (LDCs) and Middle Income Countries (MICs) alike. The EU is especially committed to assisting countries in situation of conflict and fragility, where it has an increased presence and has made efforts to address the fragility of these states and the vulnerability of their societies. With people as the main focus, the EU works to create fair policies that contribute towards its ultimate goal of eradicating poverty, as provided for by the Treaty on the European Union (TEU).

Recognising poverty as the main cause of the world’s instability and unsustainability, the EU especially emphasises the need to address its root causes, considering peace, stability and economic growth to be essential. This is done by working through a range of key cross-cutting elements where the potential for transformation is greatest. These include youth, gender equality, mobility and migration, sustainable energy and climate change, investment and trade, culture, good governance, democracy, the rule of law and human rights, innovative engagement with more advanced developing countries and mobilising and using domestic resources.

In so doing, the EU has prioritised a set of public goods and challenges on which it has demonstrated leadership and made best use of its comparative advantages. Over time it has put in place a number of flagship initiatives and innovative instruments (e.g. the European External Investment Plan) that respond to people’s needs, and which are capable of mobilising additional resources and innovative financing for development. These recognise the central role of the private sector in development outcomes and the importance of promoting domestic revenue mobilisation to provide stable sources for financing sustainable development.

The EU’s international engagement over the last 5 years has focused on efforts to ensure policy coherence across the various fields of EU external action and consistency between its internal and external priorities. Structured around the 5Ps of the United Nations 2030 Agenda for Sustainable Development (‘the 2030 Agenda’) — people, planet, prosperity, peace and partnership — the EU’s development policy underlines the links between development and other policies, particularly humanitarian aid, environment, trade, climate change, migration and security. In this context, major efforts have been made to strengthen staff capabilities, both at headquarters and in the field through more than 140 EU Delegations in non-EU countries and in international organisations so as to deliver on the EU’s priorities and core values.

The EU has worked to increase the impact and effectiveness of its development policy and aid through strengthening budget support, as this is the method that responds most to the principles of development effectiveness, and through introducing new principles and prioritising policies that: (a) differentiate between countries so the EU can target its resources towards where they are most needed; (b) concentrate aid in no more than three sectors per partner country to increase the impact and leverage of our assistance; and (c) better coordinate and reduce fragmentation of aid. EU aid is also accompanied by a rigorous decision-making system that ensures consistency and coherence in the political decisions taken by the European Commission in the field of cooperation and development. Rigorous internal control and performance frameworks are used to assess results and evaluate how resources and processes are managed.

Stronger partnerships, more carefully tailored to individual circumstances, and with a broader range of stakeholders, are at the heart of the EU’s approach to implementing the UN’s Sustainable Development Goals (SDGs), driving forward a more joined-up approach to development cooperation that is consistent among EU countries. This includes the use of joint programming, which helps to pool resources, reduce fragmentation and boost effectiveness. In this regard the Consensus brings, for the first time, all the EU institutions and the 28 Member States together into a new framework for a common approach to development policy. This comprehensive approach to implementation is fully in line with the Addis
Ababa Action Agenda, using aid as a catalyst to a greater extent and attracting other resources for sustainable development.

While the EU’s first commitment is always to be close to people so it can respond to their needs through a strongly decentralised structure, the EU has also proven to be very active at global level, demonstrating leadership in supporting, influencing and guiding global processes that promote sustainable development. The 2030 Agenda, for instance, is a key framework in which the EU has played an important role and provided leadership, from negotiations to implementation. This leadership is demonstrated also in financing development, for which the EU and its Member States are collectively the world’s leading donor. In 2016, EUR 75.5 billion was provided worldwide to more than 120 developing countries in Africa, the EU Neighbourhood, Latin America, the Caribbean, Asia and the Pacific.

The EU also plays an active role in international organisations and funds, reaffirming its concept of ‘effective multilateralism’ and political commitment to a more efficient response to global challenges. The EU is strengthening its relations and cooperation with international organisations and financial institutions to make them more comprehensive and more strategic, leveraging the expertise and comparative advantages it has to make the most of its partnership with these organisations. This ensures that outcomes can be delivered which would not be possible if the EU worked alone. The EU is committed to shaping partnerships that match its position as a major financial contributor to international organisations and global funds. The Spotlight Initiative with the UN on violence against women and girls worldwide is an exemplary case of how the EU contributes to effective multilateralism and builds global strategic partnerships.

The policy framework and strategic direction for the EU’s humanitarian aid is laid down in the 2007 European Consensus on Humanitarian Aid. On this basis, the EU’s humanitarian aid is provided solely based on the needs of the affected populations and in full respect of the humanitarian principles of humanity, impartiality, neutrality and independence. With an initial budget of around EUR 1 billion per year the EU provides (a) basic humanitarian assistance to victims of natural and man-made disasters around the world, and (b) support to prevention and preparedness initiatives to increase the resilience of people affected by crises. It has championed the development of thematic priorities such as i) education in emergencies, and ii) streamlining a gender-sensitive approach and encouraging the use of multi-purpose cash-schemes in humanitarian assistance. The EU is strongly committed to further operationalising the humanitarian-development nexus, and has also put a strong focus, across its humanitarian and development assistance policies, on addressing situations of protracted displacement.
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1. Global efforts on sustainable development

1.1 Efforts to support global sustainable development

EU development policy is anchored in the Lisbon Treaty: Article 21 of the Treaty on European Union (TEU) and Article 208 of the Treaty on the Functioning of the European Union (TFEU), which focus on eradicating poverty as well as on all aspects of sustainable development. The EU and its Member States work with developing countries because development is a global and common challenge and inequality is on the increase worldwide.

The EU plays a leading role in implementing the United Nations 2030 Agenda for Sustainable Development (‘the 2030 Agenda’). In 2016, it was once again the world’s largest provider of official development assistance (ODA), which amounted to EUR 75.5 billion. EU development assistance is not about charity — it is about investing specifically in people, shared prosperity and our mutual future; it aims to serve the interests of all people. The EU provides aid both through headquarters and through almost 140 delegations worldwide using a number of innovative instruments (budget support, blending, trust funds etc.) that it has developed over time to respond to people’s needs, making the best use of its comparative advantages. The EU through the European Commission provides EUR 31 billion in ODA to Africa for the period 2014-2020.

The EU played a leading role in both the negotiations on the 2030 Agenda on development and in its financing. In the UN, for example, the EU spoke with one single, united voice which was instrumental in shaping the 2030 Agenda.

Together with the Addis Ababa Action Agenda (AAAA) and the Paris Agreement on Climate Change, the 2030 Agenda contains most of the items the EU advocated for, such as:

- an integrated and balanced approach to the three dimensions of sustainable development in an ambitious set of Sustainable Development Goals (SDGs);
- the new paradigm on universality, the interconnectedness of policies and useful language on human rights, rule of law, good governance, democracy and peace as well as a specific goal (SDG 16 — Promote just, peaceful and inclusive societies);
- a strong focus on gender equality and climate change;
- a strong follow-up and review mechanism to monitor progress and ensure accountability; and
- clear affirmation that the AAAA is an integral part of the 2030 Agenda.

The EU’s leadership in supporting and influencing global processes that encourage sustainable development was very clear in the negotiations on the Paris Agreement, where the EU was at the forefront. This agreement has been a success and confirms the EU’s path towards a low carbon, climate-resilient economy. The EU’s negotiation strategy was decisive in reaching the Agreement, as witnessed by the pivotal role played by the High Ambition Coalition — the broad alliance among developed and developing countries set up thanks to the EU — in creating a positive dynamic during the negotiations and getting all of the largest emitters to sign up to the Paris Agreement.

The EU, along with its Member States, has also shown engagement and leadership on development effectiveness. It has adhered to the commitments of successive high-level fora on aid and development effectiveness expressed in various declarations:

- Rome Declaration on Harmonisation (2003);
- the Paris Declaration on Aid Effectiveness (2005);
- the Accra Agenda for Action (2008);
- the Busan Outcome Document drawn up at the Fourth High Level Forum on Aid Effectiveness in Busan (2011);
- the Communiqué of the First High-Level Meeting of the Global Partnership in Mexico City (2014); and
- the Nairobi Outcome Document from the Second High-Level Meeting of the Global Partnership in Nairobi (2016) which establishes a clear link with the 2030 Agenda (‘effective development cooperation as a means to achieve the universal and inter-related SDGs’).
The Commission, representing the EU in the Global Partnership for Effective Development Cooperation (GPEDC) Steering Committee, supports the Global Partnership’s goals and is committed to supporting the application of development effectiveness principles in all forms of development cooperation and aid modalities.

The Commission, together with the European External Action Service (EEAS), is also involved in a number of Global Partnership Initiatives (GPIs), which are voluntary initiatives stemming from the GPEDC: on transparency, joint programming, results & mutual accountability, local governments, the New Deal for Engagement in Fragile and Conflict Affected States, etc. The GPIs’ goals are to test new approaches, generate evidence and develop innovative ways to drive the implementation of development effectiveness principles and commitments.

The EU is committed to remaining a global leader in sustainable development. It does this through active participation in and partnership with multilateral organisations and funds, forging strategic alliances when needed and further strengthening existing partnerships with multilateral organisations. These include the United Nations System, the International Monetary Fund (IMF), the World Bank Group (WBG), regional development banks, the G7, the G20, the OECD and other regional and multilateral institutions, working with all those that want to find collective solutions to global problems.

The new Consensus on Development (‘the Consensus’), signed in June 2017, draws heavily on the AAAA’s framework for a comprehensive approach to implementation. Eradicating poverty, tackling discrimination and inequalities and leaving no one behind are at its heart. Structured around the 5Ps of the 2030 Agenda (people, planet, prosperity, peace and partnership), it underlines the links between development and other policies, particularly humanitarian aid, environment and climate change, trade, migration and security policies, while setting out a strengthened approach to ensure a coherent development policy in the context of the SDGs.

The Consensus addresses the root causes of poverty through a range of key cross-cutting elements where the transformative potential is greatest, including (i) youth; (ii) gender equality; (iii) mobility and migration; (iv) sustainable energy and climate change; (v) investment and trade; (vi) good governance; (vii) democracy; (viii) the rule of law and human rights; (ix) innovative engagement with more advanced developing countries; and (x) mobilising and using domestic resources. In compliance with SDG 17 (‘Strengthen the means of implementation and revitalise the global partnership for sustainable development’), the Consensus puts emphasis on better-tailored partnerships with a broader range of stakeholders, driving forward a more joined-up, European approach to development cooperation. This includes the use of joint programming, which helps to pool resources, reduce fragmentation and boost effectiveness.

The 2030 Agenda and the Consensus have informed the mid-term review of external financing instruments, which covers the period 2014-2020. These will also inform the Commission’s thinking on the next multiannual financial framework (MFF) and future EU instruments that will be applicable from 2021. They will also inform its thinking on collective relations with African, Caribbean and Pacific (ACP) partner countries following the expiry of the Cotonou Partnership Agreement, which was one of the most important multilateral partnerships of the last 30 years.

Since the adoption of the 2030 Agenda and the Consensus, several important initiatives have been driven forward to contribute to the SDGs, addressing the root causes of poverty through several building blocks of the EU policy framework, including the security-development nexus1, creating jobs, in particular supporting investments and a business-friendly environment, the sustainability of our model (for fighting climate change) and migration and mobility.

In doing so, the EU has prioritised a set of public goods and challenges that it is well placed to champion at regional and international level, putting in place a number of flagship initiatives capable of mobilising additional resources and innovative financing for development as part of our overall efforts to achieve the SDGs.

The External Investment Plan (EIP) is one, built on the successful experience of the EU blending facilities that have mobilised additional financial resources for development for some years. Since the creation of the first EU blending facilities in 2007, EUR 3.4 billion of EU grants have leveraged EUR 26.2 billion in loans, with a total investment volume in partner countries of EUR 57.3 billion. The EIP, with a total of EUR 4.1 billion up to 2020, will be able to leverage at least EUR 44 billion of private investments in Africa and the EU’s neighbouring countries, promoting private investments and the creation of decent jobs; it will therefore also tackle some of the root causes of irregular migration and forced displacement. The steering of green projects can further help in tackling these issues. The main source of financing for the EIP is the European Development Fund.

The EU considers budget support the most efficient aid delivery methods — this is the method that most responds to the principles of development effectiveness, using country systems and supporting country development plans. Budget support is used to strengthen partnerships, political dialogue, country ownership and mutual accountability with developing countries based on shared principles, objectives and interests and in response to partner countries’ political, economic and social contexts. It complements developing countries’ efforts to collect more and spend better to support sustainable development, and to promote inclusive growth and job creation, poverty eradication, inequality reduction and peaceful societies. The budget support guidelines were updated in 2017 in the context of the SDGs and the new European Consensus on Development; they lend greater importance to mobilising domestic resources and policy dialogue. The EU is a world leader in granting budget support operations (at the beginning of 2017, 263 budget support contracts were implemented in 90 countries or territories with a portfolio of EUR 12.7 billion, with EUR 1.7 billion allocated in 2016). Evaluations show that budget support is achieving positive results on public finance management and social service delivery in particular.

The Spotlight with the UN Initiative is the first of its kind. It is a major innovative measure to eliminate violence against women and girls worldwide backed by an initial fund of EUR 500 million. The initiative helps build a global strategic partnership that reaffirms the EU’s resolute and unwavering commitment to gender equality and empowering women and girls.

The EU, as a founding member of the Addis Tax Initiative, is strongly committed to fair tax systems that can harness domestic resources, address inequalities and ensure sustainable development. It is working actively with the ‘tax platform’ initiated by the G20, which brings together the IMF, WBG, UN and OECD under a common framework.

The EU also demonstrates leadership in promoting domestic revenue mobilisation and strengthened efficiency in public spending as part of its Collect More Spend Better (CMSB) approach in line with the AAAA and the Consensus to widen the fiscal space available, especially for social spending. This provides by far the largest and most stable source for financing sustainable development.

The EU has also promoted the integration of emerging economies in global markets, which can stimulate investment and economic growth. It uses innovative Aid for Trade programmes to help developing countries become competitive in the global markets.

The EU is actively engaged in tackling poverty, which is a global cause of the world’s instability and unsustainability. The EU Trust Funds have proven to be a swift and effective tool for responding to challenges in our partner countries. They offer a faster and more flexible way to engage in crisis situations by:

- providing immediate solutions to people fleeing conflict, natural disaster or poverty;
- providing protection to the most vulnerable; and
- working to restore stability through an integrated approach.

Through the Consensus, the EU is also engaging in and leading on development cooperation, policy dialogue and partnerships with countries in situation of conflict and fragility, tackling the fragility and the vulnerability of their societies. It is also engaging with Middle Income Countries (MICs) since many still have a high number of people living in poverty, with high levels of inequality and social exclusion. The EU is also working on innovative engagement with more advanced developing countries, including and beyond financial cooperation, as these countries are key for implementing the 2030 Agenda.
The EU’s ‘Strategic approach to Resilience in the EU’s External Action’ also marks a significant shift from a crisis management approach to a longer-term, upstream assessment of risks. It emphasises preparedness and prevention, coupled with the aim of better aligning the EU’s political and diplomatic resources to support its humanitarian and development capabilities.

1.2 Policy coherence for sustainable development

Ensuring a coherent policy on sustainable development as embedded in the 2030 Agenda means taking into account the impact of all policies on sustainable development at all levels — nationally, within the EU, in other countries and at global level.

The structure of the Juncker Commission, organised around ‘projects’ managed by the Vice-Presidents, aims to break down silos between sectoral policy fields and improve policy coherence. The Commission’s First Vice-President heads up the project team on a sustainable European future, and an Inter-service Steering Group (ISG) on the SDGs led by the Secretariat-General coordinates this work at Commission level, fully embracing the ‘whole-of-government’ approach that is central to the 2030 Agenda. A Commissioners Group on external action has been put in place under the chairmanship of the High Representative of the Union for Foreign Affairs and Security Policy and Vice-President of the Commission, which helps ensuring strengthened coherence in EU foreign policy.

To ensure visibility, a mapping at target level of EU policies and measures against the SDGs was released on the Commission website in July 2017 and is regularly updated.

The Commission has set up a multi-stakeholder platform on the EU’s implementation of the SDGs. The platform, with representatives from the civil society, non-governmental organisations (NGOs) and the private sector, and academia, covers the social, economic and environmental aspects of sustainable development and the internal and external policy dimensions. The platform, chaired by the First Vice-President, supports and advises the Commission and provides a forum for exchanging experience and best practice on implementing the SDGs across sectors at local, regional, national and EU level.

The Commission presented its first monitoring report on progress towards achieving the SDGs in November 2017 (Eurostat report ‘Sustainable Development in the European Union — 2017 monitoring report of the SDGs in an EU context’). The report builds on the EU SDG indicator set, developed in cooperation with a large number of stakeholders. The indicator set comprises 100 indicators and is structured along the 17 SDGs. For each SDG, it focuses on aspects which are relevant from an EU perspective. The monitoring report provides a statistical presentation of trends relating to the SDGs in the EU.

The Consensus reaffirms the EU’s and its Member States’ commitment to policy coherence for development (Article 208 TFEU) and recognises it as a crucial component in helping partner countries achieve the SDGs. This commitment makes an important contribution to the broader objective of Policy Coherence for Sustainable Development (PCSD).

The Consensus expects Policy Coherence for Development (PCD) to be applied by the EU and its Member States across all policies and all areas covered by the 2030 Agenda, with special attention paid to:

- trade, finance, environment, climate change, food security, migration and security;
- combating illicit financial flows and tax avoidance; and
- promoting trade and responsible investment.

The Consensus recognises that achieving the SDGs requires a ‘whole-of-government’ approach and coordination at all levels. The impact of EU policies on developing countries needs to be well monitored by means of prior impact assessments and subsequent evaluations. The Better Regulation guidelines and tools will be used for that purpose.

PCD work and reporting are being adapted to the new political framework to better integrate PCD into the EU approach on implementing the 2030 Agenda.

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2 https://ec.europa.eu/sustainable-development/about_en
Since 2012, the Commission has issued two EU reports on PCD (in 2013 and in 2015). These outlined the progress achieved on mechanisms and tools to promote PCD in the EU and in Member States, together with progress achieved on the main PCD challenges (trade & finance, food security, climate change, migration and security). These reports allowed for increased awareness of the EU and Member States’ continuous efforts to promote PCD.

**Impact Assessments** are a key tool for the Commission to promote PCD and ensure that new policy initiatives and proposals take better account of possible impacts on developing countries. Impact Assessment guidelines (Better Regulation package, May 2015) have been strengthened on a regular basis and now include a dedicated tool (#34) to assess possible impacts on developing countries. In a later revision, ‘impact on third countries’ was replaced by ‘impact on developing countries’ to better reflect the EU’s commitment to Article 208 TFEU (July 2017).

Strengthening the role of EU delegations is key when seeking evidence on the impact of EU policies in partner countries. To this end, reporting on PCD issues has been a standard feature in the External Annual Management Report since 2015 and is being steadily improved.

**Member States** have made continuous progress in their commitment to PCD. Where appropriate, the Council discusses policy coherence issues at ministerial level (Foreign Affairs Council – Development segment, FAC-DEV).

To help further improve awareness on PCD, an interactive e-learning training course was developed in December 2016, which includes a specific module for EU delegations. This module is also available for external stakeholders.

A strategic evaluation on PCD was launched in 2016. It is the first comprehensive evaluation on PCD and covers the period 2009-2016. It aims to assess to what extent the EU has accounted for the objectives of development cooperation in the policies that are likely to affect developing countries, and to what extent this has helped reduce poverty and sustain growth in line with Article 208 TFEU. The Commission intends to present a staff working document (SWD) on the PCD evaluation, which will address the main findings and recommendations and will be an important outcome for guiding future PCD work.

The EU and its Member States are committed to promoting policy coherence at international fora such as the UN, G7 and G20, including taking into account development objectives in order to raise awareness of and enable knowledge sharing and good practices.

### 1.3 Global awareness

The EU’s leading role in shaping, contributing to and implementing the global development policy is effectively communicated to its citizens, stakeholders, the private sector, local authorities (LAs), civil society organisations (CSOs) and NGOs through several tools that aim to raise awareness on how the EU provides results and makes the best use of taxpayers’ money by being efficient, accountable and transparent.

The websites of the Commission’s Directorate-General for International Cooperation and Development (DG DEVCO) and the Directorate-General for Neighbourhood Policy and Enlargement Negotiations (DG NEAR) provide the audience with reports from the field related to Commission-managed projects and programmes to strengthen the impact of the communication efforts. By engaging with social media and offering extensive online content, including audio-visual content, the Commission aims to demonstrate the EU’s positive contribution to reducing poverty worldwide and its support to partner countries in achieving the SDGs.

The **DEVCO Academy** is a flagship initiative. This online learning platform has brought together a broad set of online courses, learning videos, webinars and manuals developed by DG DEVCO and some of its partners (FAO, EIB, UNDP, ILO, WB and Enabel among others) in recent years. The Academy has already been launched internally and was tested by almost 400 learners with satisfactory results, making its external launch imminent (April 2018). The platform will promote standardised development cooperation approaches and measures, providing development partners with access to required knowledge. At the same time, the

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More than 80 lectures have gathered over 25 000 people, to investigate EU citizens' concerns and for the whole Union. The Commission launched a dedicated EIP Secretariat, which is responsible for coordinating the organisation and mainstreaming development policies and their implementation. The objectives of this survey are to investigate EU citizens’ level of information on development aid in general and assess the attitudes of Europeans towards the importance of helping people in developing countries, challenges to the future of these countries, and the effectiveness of measures in reducing poverty in developing countries.

Young Europeans are at the heart of DG DEVCO’s communication on social media, notably on Instagram. To promote pride in and increase understanding of EU development activities, development issues are linked with the everyday concerns of younger audiences. In addition, since 2009 the Commission has organised together with the UNDP the Kapuscinski lectures. More than 80 lectures have gathered over 25 000 students from EU Member States providing an unprecedented opportunity to learn about and discuss development issues such as climate change, human rights, aid effectiveness, Europe-Africa relations and the SDGs.

Other important events are the ‘European Development Days’, which take place each year with the strategic focus on communicating the results and the impact of the Commission services work. Awareness of development and cooperation issues among EU citizens is also raised thanks to the Info Point. This open door office is an information centre, which organises different activities such as conferences and organised group visits.

People in EU countries have access to publications on specific development and cooperation themes and to the Annual Report on the EU’s development policies and their implementation. The Commission regularly launches a Special Eurobarometer on EU citizens’ views on development, cooperation and aid. The objectives of this survey are to investigate EU citizens’ level of information on development aid in general and assess the attitudes of Europeans towards the importance of helping people in developing countries, challenges to the future of these countries, and the effectiveness of measures in reducing poverty in developing countries.

Press trips and press seminars are also organised and followed up on. The objective of press trips is to enable EU journalists to gain first-hand experience of the EU’s work on the ground by taking them to visit projects, meet stakeholders and representatives from partner country authorities and CSOs. Journalists gain a deeper understanding of the context and challenges involved and can see for themselves how the EU is making a difference to people’s lives.

The Commission is strongly committed to actively engaging the European public. This objective is met through, among others, the Development Education and Awareness Raising (DEAR) programme. It helps strengthen the public’s critical understanding of the interdependent world through initiatives designed and led by CSOs and LAs, and global attempts to eradicate poverty and promote justice, human rights and democracy, social responsibility, gender equality and sustainable development strategies in partner countries.

The EU has long-standing experience in supporting DEAR initiatives implemented by European CSOs and LAs: 2016 marked 40 years of the DEAR programme. DEAR has an annual budget of around EUR 30 million and in 2016 the Commission launched a call for proposals with a total budget of EUR 93 million. This programme is relevant for the whole 2030 Agenda and contributes in particular to the progressive achievement of SDG 4 (quality education).

To further ensure effective communication on EU development policy and its implementation, as well as monitor and strengthen the mainstreaming of EU visibility, a unit dedicated to communication has been set up. Mandatory communication and visibility requirements bind implementing partners — international organisations, UN agencies, International Financial Institutions (IFIs), NGOs etc. — contractually. In the course of 2018, they will be supplemented by operational guidelines and a broader and more detailed web-based tool providing guidance on the practical aspects of planning and implementing effective communication and visibility measures. In addition, each year, regional strategic communication seminars are organised aimed at offering hands-on training on a wide range of communication tools and providing a unique platform for exchanging best practices for colleagues both in delegations and at headquarters.

As part of the EIP, a dedicated EIP Secretariat was set up which is responsible for its overall management. Its tasks include managing a dedicated website, a one-stop portal for investors as well as coordinating the outreach and promotion campaign for the initiative in the EU Neighbourhood countries, in Africa as well as in Member States.
References — 1. Global efforts on sustainable development

1.1 Efforts to support global sustainable development

EU Global Strategy on Foreign and Security Policy — June 2016:
https://europa.eu/globalstrategy/en

Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission, The new European Consensus on Development ‘our world, our dignity, our future’, 30 June 2017, 2017/C 210/01.


External Investment Plan (EIP):

European Commission Budget Support Guidelines, September 2017

European Commission, Budget Support Trends and Results 2017

EU–UN Spotlight Initiative


EU Trust Funds
https://ec.europa.eu/europeaid/tags/trust-funds_en

Conclusions of the Council and of the Representatives of the Governments of the Member States meeting within the Council, EU Strategy on Aid for Trade: Enhancing EU support for trade-related needs in developing countries. The EU’s ‘Strategic approach to Resilience in the EU’s External Action’, 29 October 2007, Doc. No 13070/07.


1.2 Policy coherence for sustainable development

Eurostat’s website — Monitoring of EU progresses against SDGs:
http://ec.europa.eu/eurostat/web/sdi


European Commission decision on setting up the multi-stakeholder platform on the implementation of the Sustainable Development Goals in the EU, 22 May 2017, C(2017) 2941 final.

Multi-stakeholder platform on Sustainable Development Goals:

EU reports on Policy Coherence for Development:


1.3 Global awareness

European Commission's Directorate-General for International Cooperation and Development (DG DEVCO)
https://ec.europa.eu/europeaid/node/22_en

European Commission's Directorate-General for European Neighbourhood Policy and Enlargement Negotiations (DG NEAR)
https://ec.europa.eu/neighbourhood-enlargement/node_en

DEVCO Academy
https://webgate.ec.europa.eu/devco-academy/

Kapuscinski development lectures
http://kapuscinskilectures.eu/

European Development Days
https://eudevdays.eu/

Development Education and Awareness Raising — DEAR

Special Eurobarometer Report — EU Citizen’s views on development, cooperation and aid.

The External Cooperation Infopoint
https://ec.europa.eu/europeaid/infopoint_en

The European Investment Plan secretariat
https://ec.europa.eu/commission/external-investment-plan_en
2. Policy vision and framework

2.1 Framework

Implementing the 2030 Agenda and achieving the SDGs has become the key frame of reference for EU development policy. The EU has managed to bring together the 28 Member States and the European Parliament in a new framework for a common approach to development policy based on the 2030 Agenda, the new European Consensus on Development (‘the Consensus’), which was signed on 7 June 2017. This Consensus will be applied by the EU institutions and the Member States and reflects an ambitious common policy approach to tackling global challenges.

The Consensus is therefore the cornerstone of the EU’s development policy, which is part of the overall EU response to the 2030 Agenda. The main objective of EU development policy is to reduce poverty and eradicate it in the long term by focusing on people, as stipulated in Art. 208 TFEU. To ensure that the EU supports partner countries in fulfilling the 2030 Agenda, the Consensus aims to foster sustainable development, tackle discrimination and inequalities, address vulnerabilities and leave no one behind. The EU and its Member States will promote equal opportunities for all, which includes supporting national development paths that maximise positive social outcomes and impacts.

The EU development policy also pursues the objectives of EU external action, in particular those set out in Article 21(2)(d) of the Treaty on European Union (TEU) on supporting the sustainable economic, social and environmental development of developing countries. In line with the objectives set out in Article 21(2) TEU, development policy also contributes among other things to:

- supporting democracy;
- the rule of law and human rights;
- preserving peace and preventing conflict;
- improving the quality of the environment and the sustainable management of global natural resources; and
- assisting populations, countries and regions confronted by natural or man-made disasters and promoting an international system based on stronger multilateral cooperation and good global governance.

The Consensus takes a comprehensive approach to implementation in line with the Addis Ababa Action Agenda, using aid more as a catalyst and mobilising other resources (e.g. private and domestic) for sustainable development. The EU works with its partner countries to strengthen the policy environment to ensure all resources for sustainable development are used effectively. The Consensus underlines the links between development and other policies, particularly humanitarian aid, environment and climate change, culture, trade, migration and security policies. It also sets out a strengthened approach to the EU’s commitment to account for the objectives of development cooperation in all the policies which it implements and which are likely to affect developing countries (Article 208 TFEU), referred to as policy coherence for development.

The SDGs will be a cross-cutting dimension of all the work implementing the Global strategy on foreign and Security policy (Policy for the global European Union (the Global strategy).

The EU, having legal personality under international law, is a member of the Development Assistance Committee (DAC), like 20 of its Member States, and an individual donor.

The Commission, manages funds for development purposes, receives funds from two main sources, each with its own rules and procedures:

- the European Development Fund (EDF), made up of contributions from Member States and outside of the EU budget; and

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5 It was signed by Presidents Tajani (European Parliament) and Juncker (European Commission), the Maltese Prime Minister Muscat for the Council and the High Representative and Vice-President of the Commission Mogherini.
6 Austria, Belgium, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Luxembourg, The Netherlands, Poland, Portugal, Slovak Republic, Slovenia, Spain, Sweden and United Kingdom.


- The EU budget, which represents a share of EU Member States’ gross national income, value added taxes and customs duties.

For the EDF, the Commission acts much like a multilateral agency, with replenishments negotiated by the members. For the EU budget, the European Parliament and the Council decide during a yearly budget procedure, as bilateral donors do, how much funding from the EU’s own resources will be provided for development.

The EU cooperates on development worldwide, with more than 120 developing countries in Africa, the EU Neighbourhood, Latin America, the Caribbean and Asia. The largest EU cooperation and partnership agreement is the 2000 Cotonou Agreement, which guides the long-standing partnerships with 78 African, Caribbean and Pacific (ACP) countries. The Cotonou Agreement is due to expire in 2020. As a result, the Commission adopted a Recommendation for a Council Decision authorising the opening of negotiations on a new partnership agreement in December 2017.

The EU plays the role of coordinator, convener and policy-maker, seeking better integrated EU development policies. The Member States have ‘parallel’ powers with the EU (Article 4 TEU), having their own bilateral aid programmes and policies, while ensuring that they complement and strengthen those of other Member States and the EU (Article 208 TFEU). The EU is mandated to take initiatives to promote this coordination (Article 210 TFEU). Altogether, EU institutions and Member States provided more than 60% of global Official Development Aid (ODA) in 2016.

The EU has developed a set of common frameworks and action plans in recent years that have been approved by the European Council and are binding for both the EU institutions and Member States. The Commission follows up on the implementation of these commitments and prepares progress reports on measures taken by the Commission and the Member States, which are presented to the Council of Ministers and the European Parliament.

2.2 Principle and guidance

The Commission has developed a solid framework for implementing development cooperation. The EU has significantly increased the impact and effectiveness of EU development policy through a series of key changes in the way assistance is provided. These have been introduced since the last DAC Peer Review in 2012 and enshrined in the applicable legislative instruments for the 2014-2020 multiannual financial period.

The key principles and policy priorities that have been introduced can be summarised as follows:

1. **Differentiation**: taking into account the increased differentiation between developing countries, the EU targets its resources where they are needed most to reduce poverty and where they can have the greatest impact. At the same time, for countries already on sustained growth paths and/or able to generate more domestic resources, the EU has pursued a different development partnership based on blending, technical cooperation or support for trilateral cooperation.

2. **Concentration**: to increase the impact and leverage of its assistance, the EU engages in no more than three sectors per partner country, except in justified cases. During the mid-term review of the 2014-2020 programming period, EU delegations received instructions to improve policy dialogue with partner countries in order to align the current programming documents on the 2030 Agenda/SDGs and to strengthen the focus on priority areas, namely sustainable growth and job creation, renewable energy/climate change and the nexuses between development and migration/mobility and security, paying particular attention to gender equality and resilience.

3. **Coordination**: to reduce the fragmentation of aid and further increase our collective impact, the EU and its Member States have strengthened joint programming as described in Chapter 5.

4. **Coherence**: As explained in the previous chapter, the EU has made considerable progress on policy coherence for development.

These general principles have been supported by a wide range of thematic strategies that have been adopted since the last DAC Peer Review and that form part of the EU policy framework. This includes 6 guidelines,
24 reference documents, 5 concept papers and a number of additional guides, staff working documents and guidance notes. To illustrate more concretely how the general strategic orientations are translated into specific policy guidance on priority issues, a more detailed description is given below.

**Human rights and democracy, rights-based approach (RBA), leaving no one behind**

The Consensus commits to implementing a rights-based approach (RBA) to development cooperation, encompassing all human rights. The RBA is a working methodology based on internationally recognised human rights and aims to promote and protect human rights in practice. The Commission has been implementing a dedicated support programme on RBA since early 2016, with trainings based mostly in EU delegations worldwide, but also in the Commission's headquarters.

The EU’s commitment to democracy as a principle underpinning its external action is reflected in numerous policies, including the 2015-2019 action plan for human rights and democracy, and the Consensus. The EU is committed to promoting and protecting human rights and to supporting accountable and inclusive democracy worldwide including through political dialogues, mainstreaming of human rights values and principles, and dedicated financial and technical assistance programmes (e.g. through the **European Instrument for Democracy and Human Rights**).

Over the years, human rights dialogues have been established with an increasing number of non-EU countries in order to ensure access to justice. These dialogues are key instruments for the EU to bilaterally engage on human rights, including on specific themes such as (i) non-discrimination, (ii) torture, (iii) the death penalty, (iv) freedom of religion or belief, (v) access to justice and fair trials, (vi) freedom of expression and (vii) economic, social and cultural rights etc. Furthermore, the EU is supporting programmes on improving prisons, police training and support to the judiciary and national human rights institutions. There is also a framework in place to support transitional justice. The EU also deploys Election Observation Missions that promote accountable and transparent electoral processes and active participation of citizens during the entire electoral cycle. Moreover, the EU recognises the role of civil society organisations (CSOs) and local administrations in this field which is translated into a series of policy and guidance documents.

**Private sector, investment and trade**

In May 2014, the Commission adopted a **Communication entitled ‘A stronger role of the private sector in achieving inclusive and sustainable growth in developing countries’**. It proposes pursuing the strategic goals through support in 12 key areas of action, also providing the policy framework on principles and criteria for the EU’s support for private sector development and engagement with the private sector in line with 2030Agenda. Its priorities and challenges were confirmed in two sets of European Council Conclusions (June and December 2014) and in the European Parliament’s Resolution adopted on 14 April 2016.

The **External Investment Plan**, presented in September 2016 as an innovative, flagship, three-pillar initiative (access to finance, technical assistance, structured dialogue for investment climate and business environment reforms):

- develops the long track record of blended finance operations;
- recognises the need for holistic support with private sector engagement in its centre;
- introduces the European Fund for Sustainable Development (EFSD) and its guarantee schemes; and
- complements the EU’s toolbox for external cooperation in Africa and in the EU Neighbourhood in key areas of inclusive economic growth, employment generation and sustainability.;

The EIP offers a great opportunity to leverage private and public funding for investment into low-emission and resource-efficient business projects and the sustainable use of natural resources (28% of future portfolio).

In this context, the particular role of EU delegations is significant as regards developing structured dialogue at local level, and optimising investment and technical assistance mobilisation processes. In the framework

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7 See list available at: https://europa.eu/capacity4dev/t-and-m-series/minisite/list-available-publications
of the EU-Africa Summit in November 2017, the importance of structured dialogue in the private sector, investment and trade continuum was further highlighted through a proposal to establish a **Sustainable Business for Africa platform** linked to the EIP.

In November 2017, the Commission adopted a Communication on achieving prosperity through trade and investment, updating the **Joint EU strategy on Aid for Trade (AfT)**. This sets out a renewed vision on how to help developing countries fight poverty and create more and better jobs through trade and investment. The updated ‘Aid for Trade’ strategy 2017 builds on 10 years of EU Aid for Trade assistance and aims to strengthen and modernise EU support to partner countries. The communication sets out ways the Commission can:

- improve and better target its aid for trade through reducing its aid fragmentation while increasing its development leverage;
- ensure there is more engagement with the private sector, local authorities & civil society to increase the impact of AfT programmes; and
- ensure that the benefits of greater trade are shared across society, for example, by aligning AfT to promoting women’s economic empowerment.

It puts a strong focus on Least Developed Countries, and countries in situations of conflict and fragility. As such, it complements the EU’s trade policy (**Trade for All strategy**). EU trade is an effective enabler of sustainable development in developing partner countries.

**Gender equality and women’s empowerment**

The Consensus emphasises the EU as a global leader in promoting gender equality and women’s and girls’ empowerment in its external relations, particularly through the comprehensive EU **Gender action plan II 2016-2020 (GAP II)**. In addition, the EU’s strategy on gender equality (‘**EU Strategic engagement for gender equality 2016-2019**’) includes the promotion of gender equality and women’s rights across the world as one of its thematic priority areas.

A **Joint staff working document (SWD)** of September 2015 provides the framework for results-oriented measures and for coordinated action for ‘**Gender Equality and Women’s Empowerment: Transforming the Lives of Girls and Women through EU External Relations 2016-2020**’. It was endorsed on by the Council which confirmed in its conclusions that gender equality is at the core of European values and enshrined within the EU legal and political framework. In particular, GAP II focuses on four pivotal areas (three thematic and one cross-cutting): (i) ensuring girls’ and women’s physical and psychological integrity; (ii) promoting the economic and social rights/empowerment of girls and women; (iii) strengthening girls’ and women’s voice and participation; and (iv) shifting the institutional culture to more effectively deliver on EU commitments. The GAP II also includes the mainstreaming of gender equality as one of the three specific approaches to be implemented in the programming of development initiatives, together with political and policy dialogue and the promoting of specific measures for gender equality and women’s and girls’ rights.

**Migration and forced displacement**

The SDGs recognise the positive contribution of migrants for inclusive growth, as well as the multi-dimensional reality of migration, which is unprecedented in the global development agenda. Migration forms part of several goals and targets, in particular target 10.7 on ‘facilitating orderly, safe, regular and responsible migration and mobility of people’ (within SDG 10 on reducing inequalities). The New York Declaration for Refugees and Migrants, adopted at the UN Summit in September 2016, expresses the political will of world leaders to save lives, protect rights and share responsibility for migrants and refugees on a global scale.

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10 GAP II covers the European Commission and the European External Action Service activities in partner countries, especially in developing, Enlargement and Neighbourhood countries, including in fragile, (post-) conflict and emergency situations as well as the action undertaken by the EUMember States.
In line with this, the Consensus reiterates that well-managed migration positively contributes to inclusive growth and sustainable development. It also warns of the challenges posed by irregular migration. The Consensus acknowledges that addressing migration cuts across many policy areas (including development, good governance, security, human rights, employment, health, education, agriculture, food security, social protection and environment, including climate change). It also stresses the need to comprehensively address the multiple aspects of migration and forced displacement, including (i) the smuggling of migrants and trafficking in human beings, (ii) border management, (iii) remittances, (iv) tackling the root causes, (v) international protection and return, and (vi) readmission and reintegration in full respect of humanitarian and human rights obligations.

The EU has been at the forefront of addressing the migration-development nexus long before it was recognised in the 2030 Agenda. The European Agenda on Migration\(^\text{11}\) is the EU’s overall response framework for the migration and refugee crisis that unfolded since 2014. The Agenda sets out a comprehensive approach, including both immediate and more long-term measures, in tackling the crisis in both its internal and external dimension. In line with the European Agenda on Migration, the EU has adopted jointly with its African partners the Declaration and Action Plan of the Valletta Summit on Migration,\(^\text{12}\) in November 2015. At the same time, the EU Emergency Trust Fund for Africa was launched to support the implementation of the Valletta commitments\(^\text{12}\). Also, in June 2016 the EU launched a new Partnership Framework on Migration with which the EU pursues a holistic approach on migration by fully embedding migration into the relations with main countries of origin, transit and destination.\(^\text{13}\) In addition, in 2016, the Commission adopted its Communication on forced displacement and development ‘Lives in Dignity: from Aid-dependence to Self-reliance’.\(^\text{14}\) This aims to put forward a policy framework preventing forced displacement from becoming protracted and to gradually end dependence on humanitarian assistance in existing displacement situations by encouraging self-reliance and enabling displaced people to live in dignity as contributors to their host societies, until voluntary return or resettlement.

In line with this comprehensive policy framework, the EU will continue to lead the global efforts to tackle the challenges of migration and forced displacement, while also supporting the opportunities linked to these phenomena.

**Climate change and energy**

Climate change has been recognised as the biggest threat to development. Europe is a leading force in global efforts in both tackling climate change and in the transition to a low carbon, climate-resilient economy. In this regard, the Framework strategy for a resilient energy union with a forward-looking climate change policy is about more than just energy and climate as it has a strong external dimension.\(^\text{15}\) It is about accelerating the fundamental modernisation of the EU’s entire economy. This transition offers important economic growth opportunities and great potential for job creation, leading to considerable success in reducing pollution, decoupling emissions from economic growth, encouraging global technological leadership and preserving the environment. On 28 November 2016, the Council adopted conclusions on energy and development, stressing the need for an EU strategic approach for cooperation and development in energy, closely linked to climate change.

The UN 2030 Agenda, the Addis Ababa Action Agenda and the Paris Agreement on Climate Change, along with the Sendai Framework on Disaster Risk Reduction, call for strengthened and coordinated action on development and climate change. The EU has embraced these international frameworks through both the Consensus and the EU Global strategy. As recalled in the Council conclusions of 6 March 2017, EU climate and energy diplomacy must continue to encourage initiatives in vulnerable countries that are affected by climate change as well as from the lack of, or uneven access to, safe and sustainable energy. Also relevant is the Commission’s strategic approach to resilience (June 2017, see below) which recognises the need to move away from crisis containment to a more structural, long-term, non-linear approach to vulnerabilities at all


\(^{12}\) [https://ec.europa.eu/trustfundforafrica/content/homepage_en](https://ec.europa.eu/trustfundforafrica/content/homepage_en)


levels, including climate change. Sustainable management of forest, land and oceans are also important elements in this equation.

The EU’s leadership on the implementation of the Paris Agreement has been confirmed by the Council conclusions on the Paris Agreement and in the preparations for the COP23. This was also expressed at the June 2017 European Council and the 19 June Foreign Affairs Council. The EU will continue to lead global efforts to combat climate change and to cooperate with all parties on implementing the Paris Agreement, especially through continued support to the poor and most vulnerable.

**Fragility and resilience**

The EU’s approach to managing *fragility and risk* is based on the idea that fragility and resilience are shifting points along a spectrum. In line with the 2030 Agenda for sustainable development, the Consensus and the Global strategy reflect the importance of resilience for the EU’s external action.

With the adoption of Council conclusions on ‘A Strategic Approach to Resilience in the EU’s External Action’ in November 2017, the EU is committed to systematically incorporating resilience into its external action to better adapt and respond to today’s changing global environment. This builds upon the 2012 communication ‘The EU Approach to Resilience: Learning from Food Security Crises’, and is a multi-dimensional and multi-level approach to resilience resting on four ‘building blocks’:

- improving risk analysis at country and regional level;
- more dynamic monitoring by the EU of external pressures to allow for early action;
- integrating the resilience approach into EU programming and the financing of external assistance; and
- EU cooperation with multilateral and bilateral institutional partners.

The EU strategy for resilience building aims to move from crisis containment to a more structural and long-term approach to global challenges. It puts a particular emphasis on anticipation, prevention and preparedness.

Through the **integrated approach to external conflicts and crises**, the successor to its comprehensive approach, the EU aims to further strengthen the way it brings together relevant EU institutions, expertise and instruments to contribute to conflict prevention and crisis response, and better help partners in building peaceful and resilient societies.

The EU is committed to the International Dialogue on Peacebuilding and Statebuilding (IDPS) to help implement the objectives set out in the Stockholm Declaration of 2016 and in the 2017-2021 IDPS strategy, aiming to the SDG goal of ‘leave no one behind’. The EU values the partnership on the New Deal for Engagement in Fragile and Conflict Affected States with the G7+ and Civil Society platform. In line with the Stockholm Declaration, the EU institutions recognise the New Deal principles as a means of supporting the implementation of the SDGs and global commitments on aid effectiveness in fragile and conflict-affected situations.

**Security and development**

The importance of the security/development nexus was recognised in SDG 16 (Just, peaceful and inclusive societies). The EU’s priority of being a stronger global player and the Consensus both provide a solid strategic set-up where security plays a crucial role in responding to the core development priorities. These priorities are encapsulated specifically in the pillars for ‘Peace’ and ‘People’.

The Joint Communication — ‘**Elements for an EU-wide Strategic Framework for supporting Security Sector Reform (SSR)**’, adopted on 5 July 2016 and subsequently endorsed by the Council on 14 November

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2016, contributed to developing an EU-wide strategic framework, shared by all EU players and guiding all EU instruments (diplomatic, development cooperation and common security and defence policy (CSDP))\(^{18}\).

In 2015 the EU committed over EUR 2.67 billion to the governance and civil society sectors alone and a significant part of these allocations was provided to improve the security and justice sectors in many beneficiary countries. There are ongoing or planned rule of law, security and justice programmes in more than 40 countries worldwide.

The strategic framework on Security Sector Reform (SSR) provides the EU with a coherent policy that encompasses short-term CSDP endeavours, mid-term activities (mainly under the Instrument contributing to Stability and peace — IcSP) and long-term EU engagement in the area of SSR. It also ensures that these activities complement and are consistent with the ongoing and planned programmes in the wider governance spectrum, including rule of law, justice and public administration reform. On 7 December 2017, the EU adopted an amendment to the IcSP capacity building in support of security and development, a new type of assistance, which will allow the EU to support partner countries more effectively in building their capacity to prevent and manage crises on their own.

2.3 Basis for decision-making

The basis for decision-making in the field of development cooperation has been established in the external financing instruments (see Chapter 3.1) and further developed through the long-term programming (see Chapters 4.2 and 5.1).

The strategies developed in this exercise have to be in line with EU development policy priorities. However, an essential component is the alignment with the developing countries’ and regions’ own development policies, plans and priorities as well as those of Member States.

The EU targets grants and the most concessional resources where the need is greatest and can have most impact, especially in Least Developed Countries and in situations of fragility and conflict. To do so in a transparent way, the EU has allocated resources from the EDF and Development Cooperation Instrument according to a publicly accessible allocation model\(^{19}\). It should be underlined that this EU way of differentiating developing countries through allocation goes beyond a simple gross national income (GNI) per capita approach thanks to the inclusion of other indicators including a vulnerability indicator in the formula, which reduces the weight of GNI per capita, and takes performance into account\(^{20}\).

The EU comprehensively engages with multiple partners. It contributes substantially to multilateral institutions, particularly to the World Bank Group Trust Funds and to the United Nations Development System as shown in more detail in chapter 5. The EU is a full member of 36 international organisations and an observer with 35 other ones. The cooperation with international organisations derives from the EU’s clear commitment to multilateralism for a more efficient response to collective challenges enshrined in a series of overarching documents. Chapter 5 provides detailed information on the selection of partners.

In terms of partnerships with different players, the EU has a unique set of specialised instruments and programmes for specific groups of players such as:

- NGOs (European Initiative for Human Rights, Non-Government Actors and local authorities);
- local governments and cities;
- the private sector (blending, AL-INVEST, Central Asia-INVEST, SWITCH-Asia);
- academic institutions (ERASMUS); and
- public authorities.

The Commission is committed to ensuring effective results by efficient means and also partners with civil society organisations and foundations working in developing countries.

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\(^{19}\) The model considers the following criteria: population, GNI per capita, Human Asset Index (HAI), Economic Vulnerability Index (EVI), world governance indicators (WGI) and a qualitative adjustment (‘reflecting criteria that cannot be fully captured through quantitative methods’). [https://ec.europa.eu/europeaid/sites/devco/files/allocation-methodology_en_3.pdf](https://ec.europa.eu/europeaid/sites/devco/files/allocation-methodology_en_3.pdf).

\(^{20}\) See Chapter 3 for the financial allocation.
2.1 Framework

Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission, The new European Consensus on Development ‘our world, our dignity, our future’, 30 June 2017, 2017/C 210/01.


European Development Fund (EDF):
https://ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments/european-development-fund_en


EU Global Strategy on Foreign and Security Policy — June 2016:
https://europa.eu/globalstrategy/en

Joint Communication “A renewed partnership with the countries of Africa, Caribbean and Pacific”, dated 22/11/2016

2.2 Principles and guidance


http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX%3A52011DC0637&qid=141292281378&from=EN

Council Conclusions on Democracy Support in the EU’s External Relations, 2974th External Relations Council meeting, 17 November 2009.


European Instrument for Democracy & Human Rights (EIDHR):
https://ec.europa.eu/europeaid/how/finance/eidhr_en.htm_en

Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries, 13 May 2014, COM(2014) 263 final.

External Investment Plan (EIP):


Council conclusion on ‘Achieving Inclusive and Sustainable Prosperity through Trade and Investment: Updating the joint EU Strategy on Aid for Trade’, 11 December 2017, doc. 15573/17

Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, Trade for All — Towards a more responsible trade and investment policy, 14 October 2015, COM(2015) 497 final.


https://ec.europa.eu/anti-trafficking/sites/antitrafficking/files/communication_on_the_european_agenda_on_migration_en.pdf

Valletta Summit on Migration, 11-12 November 2015:

EU Emergency Trust Fund for Africa (EUTF):
https://ec.europa.eu/trustfundforafrica/content/homepage_en


http://eur-lex.europa.eu/resource.html?uri=cellar:1bd46c90-bdd4-11e4-bbe1-01aa75ed71a1_0001.03/DOC_1&format=PDF

Council Conclusions on the strategic approach to resilience in the EU’s external action, adopted by the Council at its 3574th meeting, 13 November 2017, doc. 14191/17.

EU Integrated Approach to External Conflicts and Crises (in the framework of the EU Global Strategy):


2.3 Basis for decision-making

3. Financing for development

3.1 Overall ODA volume

Since 2005 the EU has enshrined in its policy documents the commitment to achieving the target of providing 0.7 % of gross national income (GNI) to official development assistance (ODA). This commitment has been restated in the new European Consensus on Development (‘the Consensus’) that commits the EU to reaching this target within the timeframe of the 2030 Agenda.

The EU, including its Member States, is the world’s leading ODA donor. EU collective ODA increased every year in the period 2012-2016. The percentage of GNI provided for ODA also increased steadily from 0.43 % in 2012 to 0.53 % in 2016. The performance is better than the non-EU DAC average, which was 0.21 % in 2016.

Table 1: EU Collective ODA 2012-2016

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<td>EUR Million</td>
<td>% GNI</td>
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<tr>
<td>EU collective ODA</td>
<td>55 257</td>
<td>0.43</td>
<td>56 877</td>
<td>0.43</td>
<td>59 313</td>
</tr>
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</table>

Source: European Commission’s own calculations on the basis of OECD data.
N.B. EU collective ODA= EU Member States + EU Institutions (including the EIB data).

Notwithstanding this progress, the EU is aware that more efforts are needed to achieve the 0.7 % commitment and to encourage the Member States to meet the target.

In the context of increasing differentiation of partner countries and the emergence of new financial instruments for development, the EU recognises that ODA should be targeted where the need is greatest, especially in Least Developed Countries (LDCs) and countries in situations of fragility and conflict. Since 2008 the EU is committed to collectively meet the target to provide 0.15 % - 0.20 % GNI to LDCs. In the Consensus, the EU restated the commitment to reach the target of 0.15 % ODA/GNI to LDCs by 2020 and the 0.20 % target within the timeframe of the 2030 Agenda.

In 2016 the EU’s collective ODA to LDCs amounted to EUR 16 624 million, which represented 0.11 % ODA to GNI. The amount of EU collective ODA to LDCs has slightly increased compared to the 2015 levels, and represents 23 % of the total EU collective ODA. There is still a gap of almost EUR 8 000 million as regards reaching the 2020 target and of EUR 13 000 million for the 2030 target. Understanding the centrality of ODA for partners in LDCs, which have often limited access to other types of finance, the Commission is exploring ways in which more aid — from the Commission and Member States — could be channelled to these countries.

In order to meet its ODA commitments, the EU regularly monitors its ODA performance. The Commission compiles yearly figures which are discussed by the Member States at the Council each year in May, after preliminary data by the OECD-DAC are published, and are the object of Council conclusions.

As provided in Article 312 TFEU, a multiannual financial framework (MFF) lays down the maximum amounts which the EU budget may spend in different political fields (headings). The EU’s external assistance — including its ODA — is contained in Heading 4 ‘Global Europe’ of the EU’s budget, and in the European Development Fund (EDF) that is outside the EU budget. The current MFF, which covers the period 2014-2020, envisages a total of EUR 58 778 million for Heading 4. The EDF follows the same time frame but sits outside the EU’s budget, being composed of direct Member States’ contributions and on the

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21 EU collective ODA is the sum of ODA from the EU Member States and the part of ODA provided by the EU institutions that is not imputed to Member States. Most of the EU institutions’ ODA spending is, for the purposes of ODA/GNI reporting, imputed to EU Member States, i.e. Member States data include part of the institutions’ spending. The ODA provided through European Investment Bank’s (EIB) own resources is not imputed to Member States and is additional to the Member States’ ODA.
legal basis of the Cotonou Agreement with the African, Caribbean and Pacific Group of States due to expire in February 2020. The 11th EDF has a budget of EUR 30 500 million made up of Member States’ contributions based on ‘contribution keys’ that differ from the general criteria for the EU budget. Both provide a framework for financial programming, ensuring that spending on EU external measures is predictable.

In pursuance of Article 310(3) TFEU, basic acts define the objectives, results, and programming and implementation methods. For EU external measures, within the MFF 2014-2020 and 11th EDF, nine basic acts were adopted according to the geographical and thematic scope of the external measures.

**Table 2: Breakdown of EU external assistance (MFF 2014-2020)**

<table>
<thead>
<tr>
<th>Heading 4</th>
<th>Funds available (EUR million)</th>
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<tbody>
<tr>
<td>Instrument for Pre-accession Assistance (IPA)</td>
<td>11 699</td>
</tr>
<tr>
<td>European Neighbourhood Instrument (ENI)</td>
<td>15 433</td>
</tr>
<tr>
<td>Development Cooperation Instrument (DCI)</td>
<td>19 662</td>
</tr>
<tr>
<td>Partnership Instrument (PI)</td>
<td>955</td>
</tr>
<tr>
<td>Instrument contributing to Stability and Peace (IcSP)</td>
<td>2 339</td>
</tr>
<tr>
<td>European Instrument for Democracy &amp; Human Rights (EIDHR)</td>
<td>1 333</td>
</tr>
<tr>
<td>Instrument for Nuclear Safety Cooperation (INSC)</td>
<td>225</td>
</tr>
<tr>
<td>Instrument for Greenland</td>
<td>217</td>
</tr>
<tr>
<td>Humanitarian aid</td>
<td>6 622</td>
</tr>
<tr>
<td>European Voluntary Humanitarian Aid Corps</td>
<td>148</td>
</tr>
<tr>
<td>Civil Protection and European Emergency Response Coordination Centre (ERCC)</td>
<td>145</td>
</tr>
<tr>
<td>Outside the EU budget</td>
<td></td>
</tr>
<tr>
<td>11th European Development Fund (EDF)</td>
<td>30 500</td>
</tr>
</tbody>
</table>


The largest instruments contributing to ODA are the geographic ones (IPA, ENI, geographic programmes under the DCI and EDF). These programmes are implemented bilaterally and regionally and their programming is discussed with the partner countries and regions. EDF and DCI also include thematic programmes which complement the geographic ones and are meant to add value to them by tackling for example global public goods and challenges. Their long-term indicative programming for 2014-2020 is carried out at a global level, following discussions with civil society and other donors. The implementation of these programmes leads to the financing of global initiatives with a worldwide approach or targeted initiatives in specific countries, in consultation with the countries concerned.

**Heading 4** represents around 6% of the overall EU budget. Not all the instruments (budget lines) are targeted to provide ODA. However, the Council conclusions on the MFF commit the EU to ensuring that at least 90% of its overall external assistance is reported as ODA. The EU has a good track record as regards the ‘DAC-ability of its external assistance. For instance, in 2015, EUR 10 356 million disbursed by the Commission (including the EDF) was eligible for ODA, representing 96% of the total amount of EUR 11 270 million.

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22 The basic acts for the EU’s cooperation programmes with non-EU countries during the MFF 2014-2020 period are listed in the references at the end of this chapter.
Table 3: EU ODA commitments and disbursements 2012-2016

<table>
<thead>
<tr>
<th>Reporting Year</th>
<th>Commitments (EUR million)</th>
<th>Disbursements (EUR million)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>12 930</td>
<td>9 535</td>
</tr>
<tr>
<td>2013</td>
<td>13 725</td>
<td>9 263</td>
</tr>
<tr>
<td>2014</td>
<td>8 946</td>
<td>10 171</td>
</tr>
<tr>
<td>2015</td>
<td>13 941</td>
<td>10 356</td>
</tr>
<tr>
<td>2016</td>
<td>17 647</td>
<td>13 104</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>67 189</strong></td>
<td><strong>52 429</strong></td>
</tr>
</tbody>
</table>

*Source:* European Commission’s own data.

*N.B.* The table refers to European Commission commitments and disbursements only. The EIB forward looking data not available.

In its efforts to achieve sustainable development, the EU has steadily increased its ODA disbursements over time as shown in the table above. The drop in commitments in 2014 reflects the adjustments required at the end of one financial cycle — the EU’s budget (multiannual financial framework) that runs from 2007 to 2013 — and the beginning of a new one for 2014-2020.

The EU also committed to increasing the number of new programmes having gender as a ‘significant objective’ (DAC Gender Marker 1) or as their ‘principal objective’ (DAC Gender Marker 2), aiming to reach 85% of new programmes. The figures regarding the new decisions and contracts for 2016 show an **increase in the ODA gender-sensitive allocation.** EUR 9 300 million is marked with OECD Gender Marker 1 thus related to measures that are gender mainstreamed, while EUR 419 million has been allocated to specific measures for gender equality and women’s empowerment (marked OECD Gender Marker 2).

Progress can be seen compared to previous years. In 2016 an average of 57.75% of new initiatives and contracts in the sphere of development cooperation have been marked as mainly or significantly aimed at promoting gender equality and/or women empowerment (Gender marker 2 or 1). By comparison in 2015 the average was 47.3%. This trend can be explained in part by the institutional commitment to gender equality and women’s empowerment reflected in the Gender action plan II, for instance:

- the cumulative result of training on gender mainstreaming and use of the OECD gender marker;
- the assistance provided to the mainstreaming of gender into individual new contracts (i.e. action documents in the quality support group process); and
- the increased availability and use of gender analysis (mandatory under GAP II).

The EU complies with all DAC reporting requirements. Reports are delivered to the DAC Secretariat in a timely manner and changes in the DAC Reporting Directives are adapted without delay in the Commission’s systems (new codes, multiple codes, etc.). The quality of EU data has improved constantly over the last 5 years, and 2016 data submissions were ranked as ‘Excellent’ by the Secretariat, positioning the EU among the top 5 out of 30 DAC members. The EU actively takes part in the DAC’s statistical work, and chairs or co-chairs a number of sub-groups: (i) the Temporary Working Group on Refugees and Migration (in 2016 and 2017); (ii) the Working Party on Statistics (since 2017) and (iii) the Task force on Total Official Support for Sustainable Development — TOSSD (since 2017).

The EU submits its ‘Forward Spending Plan’ (in DAC format) to the Secretariat every year, providing a clear picture of its country programmable aid over the coming 5 years. EU institutions’ ODA is in fact largely predictable since it depends on a long-term budgetary plan, the MFF, which currently runs from 2014 to 2020. In addition, since 2013 the EU publishes ODA data in line with the International Aid Transparency Initiative (IATI) (see Chapter 5).

Predictability at the country level is ensured thanks to a multiannual programming cycle of the EU’s bilateral assistance. Multiannual indicative programmes are agreed with the partner countries and are usually revised at mid-term to ensure they have the appropriate flexibility and adaptability to respond to changes in the local context.
3.2 Bilateral ODA allocations

In relation to non-EU countries the EU programmes are categorised by how they are applied. Thematic instruments apply worldwide or regionally and reflect a topic of particular concern to the EU. Geographic instruments apply to certain countries or geographic areas. The allocation of EU development assistance needs to serve the policy objectives of the EU, which reflect the global objectives of eradicating poverty and achieving sustainable development. The EU’s development policy and cooperation have a global reach while focusing mostly on the countries and people most in need, to ensure no one is left behind. Under the EDF and the DCI, for the period 2014-2020, funds have been allocated to 105 countries and 10 regions. For the same period ENI provides assistance to 16 countries and 3 regions whereas the Instrument for Pre-accession Assistance — IPA II — provided assistance to 7 countries and 1 region.

A transparent, clear and equitable methodology was applied to both EDF and DCI countries to allocate the initial resources for bilateral cooperation. This methodology had to serve the policy objectives and comply with the criteria of the DCI Regulation, the Cotonou Agreement and the 2030 Agenda. These specify that the EU should allocate resources according to country needs, capacities, commitments, performance and the potential EU impact. The EU must also seek to target its resources where they are needed the most to help reduce poverty and where they can have the greatest impact, including in fragile and conflict countries. These criteria were translated into five indicators (population, GNI per capita, the human asset index, the economic vulnerability index and the world governance indicator) and justified qualitative adjustments.

The methodology is consistent with the aim of allocating more resources where they are most needed and has resulted in increased allocations for LDCs and Low Income Countries (LICs). Allocations can be reviewed to ensure a flexible approach.

The EU differentiated approach to aid allocation, based on the partner countries’ specific needs and situations, in order to maximise efficiency and impact was also applied to Upper Middle Income Countries (UMICs) and countries that have a gross domestic product greater than 1% of global gross domestic product. These countries are no longer eligible for bilateral assistance under the DCI while they remain eligible for assistance in DCI thematic and regional programmes. They may also be involved in specific cooperation activities under the Partnership Instrument.

For the European Neighbourhood Region the proposed financial allocations are based on indicators for all the criteria listed in Article 4 of the ENI Regulation and the results of the technical exercise are then adapted to reflect additional political aspects.

For the Enlargement Region, the IPA II Regulation contains four specific objectives, besides the general objective of accession, to target pre-accession assistance as well as five policy areas. The goal is to provide a closer link between the enlargement strategy and the priorities for assistance and to strengthen the coherent and strategic nature of the assistance.

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23 The four specific objectives are: 1) support for political reforms, 2) support for economic, social and territorial development, 3) strengthening of the ability of the beneficiaries to fulfil the obligations stemming from EU membership by supporting progressive alignment with and adoption, implementation and enforcement of the Union acquis, including preparation for management of Union structural, cohesion, agricultural and rural development funds, and 4) strengthening regional integration and territorial cooperation.

24 The five policy areas are 1) reforms in preparation for Union membership and related institution — and capacity building; 2) socioeconomic and regional development; 3) employment, social policies, education, promotion of gender equality, and human resources development; 4) agriculture and rural development; and 5) regional and territorial cooperation.
Table 4: EU ODA payments by ODA recipient group (EUR million)

<table>
<thead>
<tr>
<th>Reporting Year</th>
<th>LDCs &amp; OLICs</th>
<th>LMICs</th>
<th>UMICs</th>
<th>Regional/ Unallocated</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>3 225</td>
<td>2 176</td>
<td>1 823</td>
<td>2 311</td>
<td>9 535</td>
</tr>
<tr>
<td>2013</td>
<td>3 115</td>
<td>1 996</td>
<td>1 884</td>
<td>2 268</td>
<td>9 263</td>
</tr>
<tr>
<td>2014</td>
<td>3 527</td>
<td>2 307</td>
<td>2 066</td>
<td>2 272</td>
<td>10 171</td>
</tr>
<tr>
<td>2015</td>
<td>3 330</td>
<td>2 399</td>
<td>2 383</td>
<td>2 244</td>
<td>10 356</td>
</tr>
<tr>
<td>2016</td>
<td>3 938</td>
<td>2 924</td>
<td>3 376</td>
<td>2 865</td>
<td>13 104</td>
</tr>
<tr>
<td>Total</td>
<td>17 134</td>
<td>11 802</td>
<td>11 532</td>
<td>11 960</td>
<td>52 429</td>
</tr>
</tbody>
</table>

Source: European Commission’s own data.
N.B. The table refers to European Commission payments only. The EIB data breakdown not available under the same format.

LDCs are the top recipients of EU ODA in line with the commitments in the European Consensus on Development. The increase of aid to UMICs in 2016 is a consequence of the Syrian crises and the setting-up of the EU Facility for Refugees in Turkey. This reflects the evolutions in the international situation and the need for urgent crisis response rather than changes in the ODA strategy of the European Union.

Africa and Asia were the top recipients of EU ODA over the period 2012-2016. The predominance of these two continents reflects the EU focusing ODA on those most in need. African and Asian countries represent 42 out of 47 LDCs.

Table 5: EU ODA payments by region 2012-2016 (EUR million)

<table>
<thead>
<tr>
<th>Reporting Year</th>
<th>Africa (North of Sahara)</th>
<th>Africa (South of Sahara)</th>
<th>America</th>
<th>Asia &amp; Oceania</th>
<th>Europe</th>
<th>Unspecified</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>503</td>
<td>3 897</td>
<td>731</td>
<td>1 928</td>
<td>1 470</td>
<td>1 006</td>
<td>9 535</td>
</tr>
<tr>
<td>2013</td>
<td>331</td>
<td>3 569</td>
<td>719</td>
<td>2 157</td>
<td>1 538</td>
<td>949</td>
<td>9 263</td>
</tr>
<tr>
<td>2014</td>
<td>474</td>
<td>3 968</td>
<td>704</td>
<td>2 125</td>
<td>1 901</td>
<td>998</td>
<td>10 171</td>
</tr>
<tr>
<td>2015</td>
<td>509</td>
<td>3 790</td>
<td>656</td>
<td>2 449</td>
<td>1 850</td>
<td>1 103</td>
<td>10 356</td>
</tr>
<tr>
<td>2016</td>
<td>682</td>
<td>4 181</td>
<td>819</td>
<td>3 008</td>
<td>2 959</td>
<td>1 456</td>
<td>13 104</td>
</tr>
<tr>
<td>Total</td>
<td>2 499</td>
<td>19 405</td>
<td>3 627</td>
<td>11 667</td>
<td>9 717</td>
<td>5 511</td>
<td>52 429</td>
</tr>
</tbody>
</table>

Source: European Commission’s own data.
N.B. The table refers to European Commission payments only. The EIB data breakdown not available under the same format.

Country and regional funds are allocated to sectors taking account of the partner’s development priorities and in agreement with partners during programming. In this process of long-term programming the EU holds discussions with the partner countries or regional organisation concerned, as well as other stakeholders (civil society, the donor community, and regional and international organisations — see Chapter 5.1).

The EU’s policy frameworks (the 2012’s Agenda for Change and the Consensus) identify the thematic priorities of the EU’s development cooperation. The Consensus responds to the international agreements of 2015 (i.e. 2030 Agenda, Addis Ababa Action Agenda). It adopts the comprehensive framing of the 2030 Agenda — people, planet, prosperity, peace, partnership – and emphasises a number of cross-cutting components to achieve sustainable development and accelerate transformation, such as: (i) youth; (ii) gender equality; (iii) mobility and migration; (iv) sustainable energy and climate change; (v) investment and trade; (vi) good governance, democracy, the rule of law and human rights; (vii) innovative engagement with more advanced developing countries; and (viii) mobilising and using domestic resources.

Furthermore, the EU is committed to specific targets. Since the 2012 Agenda for Change the EU has committed to providing at least 20 % of EU aid to social inclusion and human development in 2014-2020. From 2014 to 2016 the EU allocated EUR 3 736 million to this objective, representing 16.8 % of the total amount.

In addition, the EU is committed to allocating 20 % of its 2014-2020 overall budget to climate change. In line with this overall commitment, the amount of EU Development ODA funds for climate adaptation and
mitigation have increased, reaching EUR 2 953 million in 2016 — corresponding to 22.5% of its ODA. The EU has also committed to stopping global biodiversity loss by 2020.

Table 6: EU ODA payments for climate (EUR million)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Climate adaptation</td>
<td>727</td>
<td>1 093</td>
<td>996</td>
<td>1 559</td>
<td>3 648</td>
</tr>
<tr>
<td>Main objective</td>
<td>168</td>
<td>155</td>
<td>202</td>
<td>304</td>
<td>660</td>
</tr>
<tr>
<td>Significant objective</td>
<td>559</td>
<td>938</td>
<td>794</td>
<td>1 256</td>
<td>2 988</td>
</tr>
<tr>
<td>Climate mitigation</td>
<td>714</td>
<td>885</td>
<td>1 012</td>
<td>1 394</td>
<td>3 291</td>
</tr>
<tr>
<td>Main objective</td>
<td>192</td>
<td>153</td>
<td>168</td>
<td>255</td>
<td>576</td>
</tr>
<tr>
<td>Significant objective</td>
<td>522</td>
<td>732</td>
<td>844</td>
<td>1 139</td>
<td>2 715</td>
</tr>
<tr>
<td>Climate adaptation &amp; mitigation</td>
<td>1 441</td>
<td>1 978</td>
<td>2 008</td>
<td>2 953</td>
<td>8 380</td>
</tr>
<tr>
<td>% on total ODA</td>
<td>15.56%</td>
<td>19.45%</td>
<td>19.39%</td>
<td>22.54%</td>
<td>19.54%</td>
</tr>
</tbody>
</table>

Source: European Commission’s own data.
N.B. The table refers to European Commission (DG DEVCO) payments only.

These overarching priorities and thematic commitments are reflected in the EU’s ODA allocation by sector. The main sector for EU’s ODA in 2012-2016 was social infrastructure (education, health, water, government and civil society). This priority was followed by humanitarian aid, economic infrastructure, and production (agriculture, industry, trade, tourism).

Table 7: EU ODA payments by sector 2012-2016 (EUR million)

<table>
<thead>
<tr>
<th>Report Year</th>
<th>Social infrastructures and services</th>
<th>Economic infrastructures and services</th>
<th>Production sectors</th>
<th>Multisector/Cross-cutting</th>
<th>Commodity aid and general programme assistance</th>
<th>Action related to debt</th>
<th>Humanitarian aid</th>
<th>Administrative costs/Unallocated</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>3 534</td>
<td>1 320</td>
<td>693</td>
<td>904</td>
<td>1 037</td>
<td>15</td>
<td>1 356</td>
<td>676</td>
<td>9 535</td>
</tr>
<tr>
<td>2013</td>
<td>3 521</td>
<td>1 010</td>
<td>856</td>
<td>865</td>
<td>871</td>
<td>2</td>
<td>1 394</td>
<td>744</td>
<td>9 263</td>
</tr>
<tr>
<td>2014</td>
<td>3 676</td>
<td>1 103</td>
<td>1 016</td>
<td>856</td>
<td>1 034</td>
<td>1</td>
<td>1 710</td>
<td>774</td>
<td>10 171</td>
</tr>
<tr>
<td>2015</td>
<td>4 214</td>
<td>1 032</td>
<td>1 039</td>
<td>857</td>
<td>1 005</td>
<td>0</td>
<td>1 512</td>
<td>697</td>
<td>10 356</td>
</tr>
<tr>
<td>2016</td>
<td>4 989</td>
<td>1 423</td>
<td>1 389</td>
<td>1 467</td>
<td>788</td>
<td>0</td>
<td>2 371</td>
<td>676</td>
<td>13 104</td>
</tr>
<tr>
<td>Total</td>
<td>19 934</td>
<td>5 888</td>
<td>4 992</td>
<td>4 950</td>
<td>4 735</td>
<td>18</td>
<td>8 344</td>
<td>3 567</td>
<td>52 429</td>
</tr>
</tbody>
</table>

Source: European Commission’s own data.
N.B. The table refers to European Commission payments only. The EIB data breakdown not available under the same format

Cross-cutting issues can be mainstreamed — in the 2014-2020 programming period these were: (i) democracy, good governance, human rights, children’s rights and the rights of indigenous peoples; (ii) gender equality; (iii) environmental sustainability including climate change; and (iv) HIV/AIDS. Other issues such as conflict prevention, decent work and climate change are also established across the board through the DCI where relevant.

The EU pays special attention to countries in situations of fragility or affected by conflict. The Consensus commits the EU and the Member States to proactively contribute to these countries’ stability and security as well as resilience. Conflict analysis is integrated in the programming of financial assistance, where relevant. The IcSP enables the EU to provide strategic assistance in the context of potential or ongoing crisis situations, combined with long-term support.

The EU has also specific thematic programmes such as the ‘Global Public Goods and Challenges’ programme under the DCI that addresses key issues like environment and climate change, sustainable energy, human development, food and nutrition security and sustainable agriculture, migration and asylum. Another thematic programme ‘Civil Society Organisations and Local Authorities’ (CSOs-LAs) seeks to strengthen CSOs and LAs as development organisations in their own right. The programme supports these organisations in improving governance and accountability, and inclusive policy-making, as well as empowering people.
Geographic and thematic multiannual indicative programmes are subject to mid-term reviews and, if the need arises, ad hoc reviews. The mid-term review of the 2014-2020 programming is currently under way and should be completed by mid-2018. This process allows, after discussing with the relevant partners and stakeholders, for the aligning of the long-term programming with the evolving situation of each partner country. It also allows the start of a process to align programming with the new international goals and priorities following the adoption of, among other things, the 2030 Agenda and the SDGs, the Paris Agreement, the as well as, at EU level, the Consensus.

Lastly, the 11th EDF has a reserve of non-programmable aid, which is an unallocated amount to fund bilateral and regional support that can be used for unexpected needs and to be used in emergency and post-emergency situations. For instance, it was used to establish the EU Trust Funds.

### 3.3 Multilateral ODA allocations

Over the period 2012-2016 the EU institutions provided around EUR 13 036 million of ODA to multilateral organisations. This represented 25% of EU ODA. The United Nations is the first partner — receiving around EUR 1 500 million per year in this period — followed by the World Bank Group. Out of this EUR 13 036 million in ODA EUR 821 million is a core contribution to multilateral organisations and EUR 12 215 million is mainly used for project-type assistance or contributions to specific-purpose programmes managed by multilateral organisations.

The Commission is the third largest contributor to the WBG’s Trust Funds (around EUR 2 200 million over 2012-2016) and is the largest contributor to its Governance Global Practice TF portfolio and the Global Facility for Disaster Risk Reduction.

Having considered all the available options, the EU may decide that the best way to respond to the needs of partner countries is by working through an international organisation. Considerations about the added value, expertise, experience, and presence of the international organisation in a sector or region might lead to this decision.

To this the EU has concluded framework agreements with its key international organisation partners, setting out common principles and rules on EU contributions to programmes and projects managed by these organisations.

### 3.4 Financing for development

The EU recognises the Addis Ababa Action Agenda as an integral part of the 2030 Agenda that sets a new paradigm for achieving the SDGs through effectively using financial and non-financial means. The financial means needed to deliver on the ambitious 2030 Agenda cannot be met by ODA alone, even though ODA continues to play an important role in complementing the efforts of countries to mobilise domestic resources. Therefore, the EU takes an integrated approach to mobilising and using the means of implementation for the 2030 Agenda, seeking to strengthen resources from public and private, domestic and international sources, while also promoting sound policy and institutional environments so these resources can be used effectively.

In connection with this, the EU has carried out work in a number of areas.

For instance, the EU promotes effective and efficient use and mobilisation of resources, including through initiatives such as the ‘Collect More, Spend Better’ approach. This initiative tackles tax evasion, tax avoidance and illicit financial flows as well as the efficiency, effectiveness and fairness of tax systems and of social protection financing. The EU also supports the OECD/G20 work to tackle base erosion and profit shifting, including country-by-country reporting and tax information exchange to ensure that companies pay the appropriate tax on their commercial activities and profits.

The EU is a founding member of the Addis Tax Initiative and is committed to doubling its assistance in the areas of domestic revenue mobilisation (DRM) and tax cooperation by 2020. Concretely, the EU supports developing countries’ efforts on DRM:

- at country level, through budget support as well as through dedicated programmes;
- at regional level by supporting technical assistance initiatives, for example the IMF Regional technical assistance centres, or regional networks such as African Tax Administration Forum; and
- at global level by providing support to members of the Platform for collaboration on tax members (OECD, World Bank, IMF and UN) and other initiatives.

Disbursements for DRM and public finance management (PFM) in 2012-2016 amounted to (EUR million):

<table>
<thead>
<tr>
<th></th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>PFM and DRM</td>
<td>104 m</td>
<td>82 m</td>
<td>105 m</td>
<td>93 m</td>
<td>106 m</td>
<td>490 m</td>
</tr>
</tbody>
</table>

Source: European Commission’s own data.

The EU’s policy frameworks acknowledge the need to leverage additional resources for sustainable development, beyond public financing. The EU has already leveraged more public and private finance, for instance through blending. In blending operations EU grants are combined with loans or equity from other public and private financiers, thereby helping to leverage additional public and private resources for sustainable development.

The EU Blending Framework, consisting of eight regional blending facilities (AfIF, NIF, LAIF, IFCA, AIF, CIF, IPF and WBIF)\(^{25}\), covers all regions involved in the EU’s external cooperation. From the creation of the first facilities in 2007, over EUR 3 400 million of EU grants have leveraged around EUR 30 000 million of loans from financial institutions and regional development banks. This led to almost 340 projects in EU partner countries with a total investment volume of more than EUR 57 000 million. In addition, new thematic initiatives (ElectriFi\(^{26}\) and AgriFI\(^{27}\)) have been set up to catalyse private resources via risk sharing between the public and the private sectors.

In the context of the blending facilities, the EU works with multilateral European finance institutions (like the EIB or EBRD), but also with bilateral development finance institutions from Member States\(^{28}\). The involvement of these institutions is essential in order to have a variety of proposals and to make the best use of EU funds. The role of regional development banks is central in the AfIF and the African Development Bank is a very active partner, while other African regional banks can participate in the AfIF as co-financiers. The EU encourages coordination between regional and European finance institutions with a view to exploiting synergies.

In 2017 the EU launched the External Investment Plan. For additional details see Chapters 1 and 5.

Financial options for developing countries are becoming increasingly complex and varied, reflecting the diversity of situations, needs and priorities. In this context, the EU is monitoring its progress in the different areas of financing for development which will be published in an upcoming report in April 2018. The Financing for Development report will emphasise the commitments agreed in the Addis Ababa Action Agenda and that were further developed in the EU’s own policy framework, the Consensus.

The EU is also keen to develop measures to track the totality of flows available for sustainable development. This knowledge can help the availability of financial resources to be better understood and better target public spending. For this reason, the EU supports the efforts of the OECD and the UN to develop the ‘Total Official Support for Sustainable Development’ measure. Since 2017 the EU has been co-chairing the TOSSD Task Force, whose objective is to develop a framework for TOSSD. The EU is also supporting the OECD in its analytical work of piloting and testing the TOSSD measure.

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25 Africa Investment Facility (AfIF), replacing ITF (Africa Infrastructure Trust Fund), NIF (Neighbourhood Investment Facility), LAIF (Latin America Investment Facility), IFCA (Investment Facility for Central Asia), AIF (Asia Investment Facility), CIF (Caribbean Investment Facility) and IPF (Investment Facility for the Pacific).

26 Electrification Financing Initiative (ElectriFI), developed in close cooperation with representatives of the private sector and development financiers, is a flexible tool that aims to support investments providing access to reliable, affordable and sustainable electricity and energy services for people living mainly in rural, underserved areas as well as areas affected by unreliable power supply.

27 AgriFI aims to increase investment in smallholder agriculture and micro, small and medium-sized enterprises in the agribusiness sector in order to achieve inclusive and sustainable agricultural growth. A central feature of AgriFI is that the provision of EU support will mobilise additional public and private investment, in particular through the provision of risk capital, guarantees or other risk-sharing mechanisms. EU support contributes to de-risking the investment or closing a financing gap.

28 Including AFD, KfW, AECID, OeEB, SIMEST, CDP, SOFID, Proparco.
References — 3. Financing for development

3.1 Overall ODA volume


Internal Agreement between the Representatives of the Governments of the Member States of the European Union, meeting within the Council, on the financing of European Union aid under the multiannual financial framework for the period 2014 to 2020, in accordance with the ACP-EU Partnership Agreement, and on the allocation of financial assistance for the Overseas Countries and Territories to which Part Four of the Treaty on the Functioning of the European Union applies (OJ L 210, 6.8.2013).


DAC Reporting Directives — DCD/DAC(2016)3FINAL


3.2 Bilateral ODA Allocation

http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX%3A52011DC0637&qid=1412922281378&from=EN


Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission, The new European consensus on development ‘our world, our dignity, our future’, 30 June 2017, 2017/C 210/01.


3.4 Financing for development


4. Structure and systems

4.1 Authority, mandate and coordination

Within the European Commission, the Directorate-General for International Cooperation and Development (DG DEVCO) is in charge of EU development policy and, in a wider framework of international cooperation, is adapting to the evolving needs of partner countries. The Directorate-General for European Neighbourhood Policy and Enlargement negotiations (DG NEAR) is responsible for the neighbourhood policy as well as for the negotiations with candidate and potential candidate countries and the Directorate-General for European Civil Protection and Humanitarian Aid Operations (DG ECHO) is responsible for humanitarian assistance.

Each Directorate-General receives its political guidance from its respective Commissioner.

The Commissioners are part of the Commissioners Group on External Action that brings together the Commissioners with responsibilities for EU external action led by the High Representative of the Union for Foreign Affairs and Security Policy and Vice-President of the European Commission (HRVP). In her capacity as High Representative (HR), she is responsible for conducting the EU’s common foreign and security policy (CFSP), leading political dialogue with third parties on the EU’s behalf and expressing the EU’s position in international organisations and at international conferences. As a Commission Vice-President, she ensures the EU’s external action is consistent and coordinated. As HR, she chairs the Foreign Affairs Council, including its development formation, and has authority over some 140 EU delegations in non-EU countries and to international organisations. The HRVP is assisted by the European External Action Service (EEAS) and the Commission services (including FPI).

The EEAS’s role is to ensure that development policy should be coherent and consistent with the principles, values and objectives of EU external action. This should ensure better synergies between EU development policies and other key EU priorities such as good governance, rule of law, democracy, human rights, security, conflict prevention, gender equality issues, migration and peace building, which are mutually reinforcing. Supporting democracy, human rights issues and civil society participation in developing countries are also essential policy preconditions for long-term growth and sustainable development. For example, the EU actively supports progress towards democratisation and reform in neighbouring countries and with partners across the world.

DG DEVCO and DG NEAR are in charge of implementing the EU’s external financing instruments which are financed by the EU budget and the European Development Fund (DG DEVCO only). DG DEVCO, in consultation with the EEAS and Member States, is responsible for formulating the EU’s development policy and sectoral policies in order to reduce poverty in the world, ensure sustainable economic, social and environmental development and to promote and support peace, democracy, the rule of law, good governance and respect for human rights, notably through external cooperation.

By implementing cooperation measures in Europe’s eastern and southern neighbourhood, DG NEAR supports reform and democratic consolidation, and strengthens the prosperity, stability and security around Europe. DG NEAR helps to promote EU values, policies and interests in this region, and to contribute to developing the special relationship of the EU with its neighbouring countries.

In the enlargement area, DG NEAR helps those countries looking to join the EU to meet the criteria defined by the Treaty of European Union and the European Council. DG NEAR closely monitors the progress of enlargement countries and supports accession negotiations as required by the Council. The DG manages the EU’s bilateral relations with candidate and potential candidate countries, frontloading reforms on rule of law, economic governance and public administration reform. Concerning the Western Balkans, the DG develops and implements the EU’s stabilisation and association policy as defined by the European Council.

DG DEVCO and DG NEAR ensure the high quality and impact of aid, the swift implementation of projects and programmes and the visibility of EU external development measures. This encompasses cooperation with partner countries at different stages of development, including with countries graduated from bilateral development cooperation to cover the specific needs of these countries during the transition period between Low Income Countries and Upper Middle Income Countries.
Within the Commission, DG DEVCO and DG NEAR promote consistency between the EU’s development policy, the neighbourhood and enlargement policies and other EU internal and external policies. DG DEVCO encourages coordination between the EU and its Member States in the area of development cooperation. DG DEVCO and DG NEAR work closely with the EEAS and other Commission DGs responsible for sectoral policies to enable and ensure a consistent approach. DG DEVCO is responsible, together with the EEAS, for the multiannual programming of the external development aid instruments. Increasingly, this task is done jointly with Member States’ programming of their national bilateral assistance.

In the same vein, DG DEVCO and DG NEAR conduct dialogues on development with non-EU bilateral donors, emerging economies and with international organisations in order, on the one hand, to present a united EU and, on the other hand, to ensure that the Commission, on the EU’s behalf, contributes to negotiations in international development fora. Similarly DG ECHO conducts relations with non-EU donors and international organisations on humanitarian assistance and disaster management. Moreover, DG DEVCO and DG NEAR enter into dialogue on development issues with non-state players with whom they define and implement cooperation measures. Dialogue with civil society has been institutionalised through the Policy Forum on Development. Its global meeting takes place annually, with two regional meetings a year also.

DG DEVCO and DG NEAR implement cooperation policy also through EU delegations. For this purpose, both DGs define, establish and run the management, supervision, support and control systems required to ensure that the implemented programmes have the highest levels of regularity, quality, impact and visibility.

At EU inter-institutional level, DG DEVCO, DG NEAR and DG ECHO organise and maintain relations with the Council and Representations of Member States. In this light, they coordinate input and presence in the Committee of the Permanent Representatives of the Governments of the Member States (COREPER), in the Political and Security Committee (PSC) and in ministerial meetings (informal Development Ministers, Foreign Affairs Council, Foreign Affairs Council — Development segment and European Council). They also liaise closely with the rotating Presidency of the Council and are involved in preparing future presidencies. They also represent, as appropriate, the Commission at the Council working groups. DG ECHO represents the EU at the Council working party on Humanitarian Aid and Food Aid (COHAFA).

The HRVP has overall political responsibility for EU external action and for ensuring the unity, consistency and effectiveness of the EU’s external policies and instruments. In this context, the Commission works closely with the EEAS to coordinate the EU’s external action.

DG DEVCO, DG NEAR and DG ECHO also organise and maintain relations with the European Parliament for all matters related to development cooperation (DCI) and cross-cutting issues. These DGs represent the Commission as appropriate at plenary and committee sessions, and they ensure the coordination of follow-up action to resolutions and all the procedures related to the Parliament and joint institutions, as well as the centralised coordination of replies to petitions, and oral and written parliamentary questions within their remits. DG DEVCO, DG NEAR and DG ECHO also coordinate the information requested by national parliaments under the Lisbon Treaty and ensure the coordination of follow-up action to the resolutions/opinions of the Economic and Social Committee and the Committee of the Regions.

4.2 System

The policy formulation process involves the European Parliament and the Council. The Parliament’s role is three-fold: legislative, budgetary and political. It is the co-legislator together with the Council; an example is the adoption of the financing instrument for DCI. The Parliament also jointly decides on the EU budget and exercises its political oversight over the use of funds within the annual discharge procedure. The political parliamentary work on development issues takes place mainly in the Parliament’s Development Committee. DG DEVCO leads the Commission’s relationship with the Parliament on development. All external action measures, including those concerning development aid, are also scrutinised by the European Court of Auditors whose reports form the basis for the discharge exercise led each year by the Parliament’s Budgetary Control Committee.

The Commission (or the Commission and the High Representative, if there are common foreign and security policy aspects) prepares policy proposals (‘communications’) and/or factual background documents (‘staff working papers’) on specific topics which are then debated by Member States in the Council.
The main objectives of the EU’s external action are defined in the EU Treaties. The EU’s objectives and areas of intervention are further defined in the external financing instruments such as DCI, the European Neighbourhood Instrument (ENI) and the European Development Fund (EDF), which constitute EU legislative acts and are published in the Official Journal of the EU. These instruments also establish clear rules and procedures for allocating funds, long-term programming processes and the subsequent implementation decisions.

In accordance with these instruments, the decision-making for EU assistance follows two distinct steps:

a) **Long-term programming**, resulting in the adoption of national or regional strategy papers/multiannual programmes (programming documents) per country, region and theme in the case of thematic programmes. These documents establish the EU’s priorities and focal sectors in a given country, region or theme, the corresponding indicative allocations, as well as the objectives, results and related indicators.

b) **Specific decisions for the implementation** of long-term programming documents, adopted in conformity with the objectives, focal areas, etc., defined usually in the form of annual action programmes (AAPs) grouping all action to be carried out in a country/region/theme in a given year. AAPs are adopted by Commission decision and composed of one or more action documents, i.e. documents which describe the objectives, justification, activities and implementation issues of a measure. Aid that is based on programming documents or that is programmable but cannot be adopted within an AAP is called an individual measure; aid that is not programmable (e.g. needs arising from unforeseen events) is adopted as a special measure. The legal framework now also allows multiannual action programmes for recurrent measures of up to 3 years. The above-mentioned external financing instruments, documents and decisions are published on the relevant Commission DGs’ website.

EU decision-making is relatively complex due to the variety of actors involved. In addition to the consultation and negotiations with the external stakeholders, mainly partner countries (mentioned in Chapter 5.1 below), the adoption of decisions related to long-term programming and implementation requires EU Member States and EU institutions (Parliament and the Council) to be involved. As a rule, long-term bilateral, regional and thematic programmes, as well as implementing decisions, require a strategic dialogue and/or the scrutiny of the Parliament and the Council. Furthermore, any proposals, both for long-term programmes or implementing decisions, require the positive opinion of experts from Member States (the so-called committees) before the Commission formally adopts them.

Before the formal procedures for adopting decisions concerning long-term programming and implementation are launched, the qualities of the proposals are checked within the Commission.

Regular weekly **management meetings** are held chaired by the Director-Generals, whose primary objective is to ensure the in-house clearing and approval for all strategic decisions related to development policies and programmes. In this framework, the management meetings notably prepare the ground and support for the Commissioners’ action including communication activities, and takes responsibility for implementing the Commission’s work programme. In this light, the Director-General must obtain the prior approval of relevant Commissioners and Vice-Presidents before launching any new policy initiative or discussing it outside the Commission. Decisions at the management level must comply with the distribution of powers laid down in the Staff Regulations, the Financial Regulation and the Commission’s Rules of Procedure.

DG DEVCO has also set up a **Strategic Steering Committee** to ensure the political decisions to be taken by the Commission in the area of cooperation and development are consistent and coherent.

In addition, the first step of the formal adoption procedure requires internal consultation with the relevant Commission services specialised on the subject-matter of each of the decisions — for instance, the Direction-General on climate change, health, education, etc., as well as the Secretariat-General and the Legal Service of the Commission.

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29 See DG DEVCO’s website: https://ec.europa.eu/europeaid/
While EU funded programmes are being identified and devised, quality assurance takes place through the Quality Support Groups (QSGs) process. The objective of the QSGs is to provide a prior quality assessment of the design of programmes under the responsibility of DG DEVCO’s operational Directorates.

DG NEAR has integrated a number of improvements into the quality assurance process in line with the previous exercises. The emphasis is on increasing efficiency and effectiveness by improving various aspects of the quality assurance cycle, and thereby strengthening the overall quality of programme documents. This includes, for example, improving the use of available in-house expertise such as the Centres of Thematic Expertise, as well as strengthening communication and collaboration between the different units of DG NEAR. The aim is to allow for more planned and continuous — rather than ad hoc — support to planning and programming both at Commission and delegation level.

The main change introduced as of the 2017 planning and programming exercise has been the establishment of a two-step quality support process: a first informal consultation is launched at the beginning of the formulation phase, which aims to highlight major issues of concern at an early stage, thus enabling the second more formal quality support and strengthening the overall quality of programme documents.

Since 2015, a revised template as well as instructions for action documents have been introduced with a mandatory section on cross-cutting issues, accompanied by a specific document for assessing cross-cutting issues (covering gender, rights-based approach, environment and climate change). In action documents, detailed logical frameworks are also mandatory. Dedicated technical assistance focusing on results, associated indicators and monitoring systems, has been introduced to support the formulation of EU funded activities. Further thematic guidance (e.g. tools and methods) and trainings aligned with guidance are also available to support formulation and implementation of EU funded actions.

During implementation, external monitoring (Results-Oriented Monitoring — ROM) supports EU delegations that have problems carrying out their projects as well as with other issues related to efficiency, effectiveness and sustainability. Cross-cutting issues such as gender, environment and EU visibility are also analysed.

The focus on results has been significantly strengthened. The annual results reporting exercise (on completed projects since 2015 and on selected ongoing projects since 2017) supports Commission departments in reporting on results as well as in facilitating quality control of results data.

Projects are also assessed annually by using key performance indicators on operational and financial aspects of the External Assistance Management Report (EAMR). The EAMR is the main reporting tool in EU Delegations which aims at tracking the data on the external aid projects implementation, from both an operational and a financial point of view. It represents an important element of the internal control framework and forms a key part of the accountability process leading to the Director-General’s signed statement of Assurance in the Annual Activity Report.

Accountability for results has been ensured since 2015 based on the EU’s new international cooperation and development results framework. It provides at corporate level three types of results data:

1. Wider progress on development made by partner countries;
2. Partner country results to which the EU contributed by funding projects and programmes;
3. The Commission’s own organisational performance in international cooperation and development. Aggregated results are published in the annual report on the implementation of the EU’s instruments for financing external action measures.

After it has been approved within DG and by the Commissioner, the draft decision (including the action documents) is subject to consultation with the different Commission departments and the EEAS, and formal Commission adoption before being submitted to Member States representatives. The Parliament must also be informed of AAPs to be adopted under the Budget (not applicable to the EDF).

Public Consultations also take place (e.g. through DORIS Dashboard tool), allowing citizens to express their views on EU policies and help with the impact assessment of policy proposals and the evaluation of existing policies.
The rules on implementing EU assistance were further simplified and harmonised through the adoption in 2014 of the Common Implementing Regulation, setting common rules for the external financing instruments financed by the EU Budget such as ENI, IPA, DCI, etc. In addition, most of the implementation rules of the EDF were aligned with those rules. A quite comprehensive exercise for simplification of internal processes and procedures was completed in 2014 and implemented in 2015. For instance, simplification measures were introduced in the management of calls for proposals/tenders, in the management of different contract types (grants, works, supplies, services, delegation agreements with international organisations and programme estimates) and in the system of derogations used under external action measures.

To help external contractors and contracting authorities (in non-EU countries in the context of indirect management with beneficiary countries), a unique public manual — Practical Guide for Procurement and Grants for European Union external actions (PRAG), has been developed. PRAG details the contract award procedures for services, supplies, works and grant contracts and contains in annexes various contractual templates.

The applicable standard procedures explained in this guide are divided between those for services (e.g. technical assistance and studies), supplies (i.e. equipment and materials), works (i.e. infrastructure and other engineering works) and grants. Once the Commission has approved the financing of a certain project or programme by means of a financing decision and, where appropriate, a financing agreement, the contracting authority can proceed with tendering and contracting following these standard procedures. The PRAG is widely known to contracting authorities and contractors and can be accessed on the Commission’s website. It is regularly updated for simplification, corrections and alignments with revisions of the Financial Regulation.

In case financial authority is delegated to non-EU countries (indirect management with beneficiary countries), the Commission, via its delegations in these countries, ensures prior checks on most contracting and financial procedures under the responsibility of the contracting authority in order to ensure processing is carried out in accordance with the applicable rules and to avoid errors. In addition, the majority of the projects are also subject to subsequent evaluations of the results achieved and subsequent audits on financial and contractual matters.

In addition, there are special provisions for flexibility in procurement in fragile situations of instability and emergency in a given country or region to ensure EU aid is implemented rapidly and efficiently. These are decided on an ad hoc basis, and duly communicated to the relevant contracting authorities concerned.

The aforementioned rules and procedures also provide for financial authority to be delegated to other EU partners (indirect management with international organisations or national agencies) through the signature of delegation agreements which establish, among others, the rules on accountability, reporting, control and the limitation of administration fees/indirect costs charged by the partner.

The Commission defines risk as any event or issue that could occur which hinders achieving the political, strategic and operational objectives. Lost opportunities are also considered as risks. Risk management is part of effective internal control. The Commission has designed an Internal Control Framework (ICF) that aims to provide reasonable assurance on achieving five objectives set in Article 32.2 of the Financial Regulation:

1. effectiveness, efficiency and economy of operations;
2. reliability of reporting;
3. safeguarding of assets and information;
4. prevention, detection, correction and follow-up of fraud and irregularities; and
5. appropriate management of the risks relating to the legality and regularity of the underlying transactions, taking into account the multiannual character of programmes as well as the nature of the payments concerned.

The ICF supplements the Financial Regulation and other applicable rules and regulations aiming to align Commission standards to the highest international standards set by the Committee of Sponsoring Organisations of the Treadway Commission (COSO) framework. It consists of 5 internal control components.
and 17 principles. One of the internal control components is risk assessment considered as a dynamic and iterative process for identifying and assessing risks which could affect the achievement of objectives, and for determining how such risks should be managed. In this light, the role of the Commission is to:

1) specify objectives with sufficient clarity to enable risks relating to objectives to be identified and assessed;
2) identify risks to the achievement of its objectives across the organisation and analyse risks as a basis for determining how they should be managed;
3) consider the potential for fraud in assessing risks to the achievement of objectives;
4) identify and assess changes that could significantly impact the internal control system.

Furthermore, the Commission takes preventive and/or detective measures in order to mitigate the risks related to achieving policy measures as well as operational and internal control objectives. All internal control components will have to be assessed on their presence and on how they function at least once a year. This is the first time this assessment is taking place in the context of the 2018 annual activity report.

The Commission is currently implementing the new ICF. So far, it has been conducting a risk management exercise once a year. The purpose of this exercise is to identify and assess risks related to the external environment, planning processes and systems, people and organisation, legality and regularity as well as communication and information.

All risks, their impact and likelihood should be rated and the rationale and justification should be given. The results of this risk identification and assessment exercise are part of DEVCO’s annual management plan exercise.

Regarding the implementation of OECD recommendations on managing risk of corruption, DG DEVCO has taken a number of important anti-fraud measures:

- **DG DEVCO’s anti-fraud strategy (AFS):** This specific strategy is part of the overall anti-fraud strategy for EU external relations. DG DEVCO’s AFS:
  - provides the definitions of the basic keywords such as fraud, passive and active corruption etc.;
  - classifies the fraud-related risks into three basic categories (systemic, structural, organisational) and analyses them;
  - defines roles and responsibilities of units and staff to implement the AFS; and
  - sets the AFS’s objectives.

- **DEVCO guidance on procedures related to fraud and relations with OLAF:** All staff members are obliged to inform without delay their immediate superior or the Director-General or the Secretary-General or OLAF of any suspicions of possible illegal activity.

- **‘Note for the attention of DG DEVCO Staff at Headquarters and Delegations’ on ‘Reporting irregularities, alleged fraud and corruption and disclosure of information by staff’:** The scope of this note is to inform the staff about cases which involved any ‘irregularity’, ‘passive corruption’, ‘active corruption’ and/or ‘fraud’, instruct them on how to proceed once aware of such a case and to familiarise them with reporting/whistleblowing mechanisms.

- **Following the provisions of the ‘DG DEVCO’s Anti-Fraud Strategy’,** a web page called ‘Anti-fraud’ has been created on the My DEVCO webpage, which includes updated information about DG DEVCO’s AFS.

- **In the ‘Fraud and prevention’ chapter of its Annual Activity Report,** DG DEVCO presents the progress on implementing its AFS as well as other measures on detecting and preventing fraud (e.g. the number of cases of suspected fraud transmitted to OLAF, anti-fraud training programmes etc.).

- **Training of DG DEVCO staff on fraud-related topics:** In 2016, DG DEVCO’s AFS was presented at the training ‘Award procedures, sanctions and fraud prevention in practice’ attended by Delegation staff.

The Commission has succeeded in adapting its policies, structures and cooperation to key changes in the international landscape. At policy level, the EU managed to translate the 2030 Agenda into the Consensus, a broad framework for development policy agreed by the Commission, the Parliament and the EU Member States in 2017. At the organisational level, DG DEVCO has reorganised its structure to bring it better in line with the 2030 Agenda, integrating the SDGs and the ‘5Ps’ people, peace, partnership, planet and
prosperity in the organigram\textsuperscript{30}. As outlined in Chapter 2, the EEAS has also taken on an important role in EU development policy.

At the level of development cooperation, the EU has advanced important innovations in order to adapt to the changed international environment. The Commission has greatly redesigned its cooperation with the private sector through several communications, scaled up its blending operations and launched the External Investment Plan (see previous Chapters).

In line with the Addis Ababa Action Agenda, the EU aims to diversify the means of implementing the 2030 Agenda by increasing domestic revenue mobilisation and boosting public expenditure and improving debt management. Moreover, EU development cooperation has adapted to recent challenges to global security through financial instruments such as the Instrument contributing to Stability and Peace and the EU Emergency Trust Fund for Africa. Recognising the potential of digitalisation to boost sustainable development, in 2016 the Commission adopted a \textit{staff working document ‘Digital4Development’}, aimed at helping partner countries address key challenges and allowing digitalisation to play a role in improving lives. Digitalisation will be one of the priority investment areas of the EIP. There are a number of similar initiatives in other sectors that demonstrate the EU’s ability to innovate and to adapt its policies to new challenges.

4.3 Capabilities throughout the system

DG DEVCO, DG NEAR and DG ECHO effectively deploy their resources to help the Commission deliver on its priorities and core business.

There are around 3 119 permanent and contract employees in DG DEVCO which represents 9.6 \% of the total number of Commission staff. DG NEAR has approximately 1 575 staff members (4.8 \%) and the number of people working in DG ECHO is 729 (2.2 \%). The main staff categories are: officials, contract agents, local agents and seconded national experts.

The Commission’s human resources strategy, which includes the Talent management strategy, defines priorities and aligns them with people to better meet staff requirements at headquarters and in the delegations. Great attention is paid to attracting and maintaining a suitable level of expertise to ensure effective delivery of the Commission’s mandate. Talent management has been designed with a view to guarantee the best possible match between staff competencies and service needs, focusing on 5 key pillars: managerial excellence, recruitment and performance, development of staff competencies, collaborative skills and corporate culture, careers. Mobility, diversity and inclusion support these pillars as a transversal effort.

Specific measures have been adopted for \textit{official staff} (AD) at headquarters and in delegations. In line with the Commission priorities, DG DEVCO, DG NEAR and DG ECHO strongly promote diversity and increasing female representation in management positions and other AD positions. The following measures are encouraged in this context: (i) promoting equal opportunities, (ii) giving priority to female candidates in recruitment in case of equal merit, (iii) supporting flexible working conditions, (iv) better work-life balance and (v) fair career progression.

DG DEVCO has special resource management and coordination responsibilities with regard to staff posted in Delegations. As centre of gravity, DG DEVCO has to facilitate discussions, contribute to finding consensual and consolidated positions and help the central services to arbitrate between differing views, where appropriate. All Commission services pass on relevant information relating to the management of Commission resources in Delegations to DG DEVCO which ensures that all Commission services concerned are kept informed.

For simplification purposes, staff re-grouped into a single cooperation section in the official organisation charts of the delegation. DG DEVCO has in this context formally appointed a Head of Cooperation in every delegation where it has fully-fledged operations teams.

\textsuperscript{30} See Annex II.
Depending on the level of responsibilities exercised (in terms of human resource management and financial management), the post of Head of Cooperation is at either at middle management, senior expert or administrator level. In order to enable officials to relocate and vacancies to be filled, an annual rotation exercise is organised at Commission level through the publishing of a list of available posts and profiles in a transparent manner.

DG DEVCO, DG NEAR and DG ECHO are also working closely among themselves, the services responsible for the central Commission DGs and the EEAS to establish a career path for officials in the EU diplomatic service.

Staff assigned to delegations benefit from a living conditions allowance, which is reviewed annually and based on several parameters (health, security, climate change, isolation and other local conditions) which also determine the duration of assignment per delegation.

Contract agents (CA) serving in delegations provide specific expertise and have the possibility to obtain an indefinite contract. The Commission launched its first mobility exercise in 2014 to stimulate professional development by maintaining the relevant expertise in delegations. The underlying Commission Decision was modified in August 2016 based on the lessons learned from the previous exercises, which are geared towards continuously improving career perspectives as well as sharing knowledge and expertise between delegations/regions. This mobility is compulsory and it also anticipates the possibility of a temporary assignment back to headquarters, allowing colleagues to improve their expertise from a different perspective.

Following the adoption of the new general implementation provisions (GIPs) in October 2017, team leader posts for CA in EU delegations are currently being identified. Delegations in areas with difficult living conditions (where staff are given an additional living allowance which is equivalent to over 30 % of their salary), that have difficulties in recruiting staff and that have a limited number of operational administrators (AD) will be eligible for these posts. Regionalised delegations will be prioritised as well.

Concerning contract agents at headquarters, the new Staff Regulation adopted in 2014 increased the maximum period of employment from three to six years. This change allows the Commission to retain expertise and thus increase efficiency. The new GIPs simplify the recruitment procedures, enable mobility within the Commission/Agencies and offer new opportunities (access to internal competitions, change of career path, etc.).

In addition, the organisation of specialised competitions for officials and CA has been considered as essential to maintain and develop staff expertise. A specialised competition for officials in the field of development cooperation and managing aid to non-EU countries was organised in 2015 which allowed some recruitment of former experienced contract agents, representing a high added value for the Commission. The objective of maintaining expertise in countries with difficult living conditions also improved.

The employment conditions for local staff in EU delegations are currently being modernised, including two draft decisions on medical cover and pension benefits. These decisions are intended as minimum standards to be applied to all delegations alongside local law. The main improvements include:

- clearer rules on rights, obligations and ethics and the inclusion of the duty of care, including in security and emergency situations;
- doubled value of promotions;
- legal bases for evaluation and flexible working time arrangements;
- the introduction of a minimum threshold of paid annual leave;
- the extension of paid maternity leave to a minimum of 14 weeks;
- financial protection when a contract is terminated due to medical incapacity, in the form of termination benefits with possible extension of rights for difficult social situations; and
- extended medical coverage.

A number of seconded national experts also work in the EU institutions, at headquarter and in the EU delegations. This increases the number of staff available to the institutions on a temporary basis and allows the Commission to team up closely with Member States on certain policies and projects of mutual interest. The number of national experts seconded in the various EU delegations has grown slightly in recent years.
DG DEVCO’s organisation chart (see Annex 2) was streamlined on 1 July 2017 to ensure a clearer readability of its structure and to strengthen the ways of working, including better synergies within the Directorate-General.

In view of the paradigm shift occurred with the adoption of the 2030 Agenda, the SDGs as well as the Consensus, it was crucial to reconsider the organisational structure to attain the EU policy objectives sufficiently and ensure it remains coherent. DG DEVCO’s structure needed to be more connected with the EU and the Commission, inspired by Commission President Juncker’s priorities, linking the highest political EU level to everyday work.

It was essential to focus on four interconnected strands:

(i) platforms for partnerships, dialogues, and policy and instrument coordination;
(ii) sectoral policy capacity;
(iii) countries where all measures will be implemented; and
(iv) resources and support.

This reorganisation mainly had an impact on staff at headquarters. Staff relocations were organised in a transparent way by consulting the different units involved. In this context, different exercises both at headquarters and in delegations were launched to assess the needs with a view to optimising staff allocation (for example, a workload assessment at headquarters or a workload assessment in delegations), thus bringing the service in line with compulsory staff reductions and to redeploy staff between delegations in line with this Commission’s political priorities.

This analysis also resulted in a decision to regionalise some functions (operational, financial and contractual) combining economies of scale with better business continuity while remaining as close as possible to operations and implementing partners. Within this framework, while developing HR strategy, particular attention has been focused on the outcome of the latest staff survey and in particular to policies regarding contract agents in delegations and career paths for DG DEVCO staff in general.

DG DEVCO organises on average 500 face-to-face and online learning events per year for its staff at HQ and in delegations. These are also open to staff from other DGs involved in development cooperation, the EEAS and (subject to the availability of places on face-to-face courses) implementing partners from Member States and international organisations.

Training is offered on areas such as development policies, thematic and methodological approaches and financial management. It includes traditional face-to-face courses, workshops and an increasing number of online learning possibilities, notably e-learning courses, learning videos and webinars, which ensure an efficient and sustainable way of training staff abroad. The expanding online learning offers have now been brought together in a new online learning platform, DEVCO Academy, which is accessible to the entire development community. Training to special target groups, in particular newcomers and managers, the latter including heads of section in EU delegations and new heads of delegation are also provided.

In addition to training, information and access to non-EU development publications are made available through a dedicated newsletter and through book reviews. The know-how and expertise of staff leaving DG DEVCO is shared through a dedicated programme called REFLECT (Reflecting on experience for learning, enhancing capacity and uptake). Other non-traditional learning events include development-related book presentations (‘one book in one snapshot’) organised with DG DEVCO’s trainees and lunchtime sessions at DG DEVCO’s Infopoint on a variety of topics ranging from thematic areas, new developments to presentations on DG DEVCO’s projects and programmes.

Under the Tools and Methods series, DG DEVCO regularly produces guidance and reference documents for staff and development practitioners in various thematic areas such as social protection, vocational education and training, employment and decent work.

In addition, DG DEVCO is aiming for more synergies and quality in learning through its cooperation with other donors in the ‘Learn4dev’ donor competence development network, which serves as a knowledge-sharing platform, provides mutual access to learning possibilities, and helps prevent existing learning offers from being duplicated, therefore ensuring gains in efficiency.
4.1 Authority, mandate and coordination

https://europa.eu/globalstrategy/en


EU Stabilisation and Association Process

Policy Forum on Development
https://europa.eu/capacity4dev/policy-forum-development

Council of the EU — Preparatory Bodies (COREPER, PSC, CODEV, etc.)

Council of the EU — Configurations (General Affairs Council, Foreign Affairs Council, etc.)

4.2 System

European Parliament Development Committee (DEVE)


Annual Action Programmes
https://ec.europa.eu/europeaid/funding/funding-instruments-programming/annual-action-programmes_en/

Procedures and practical guide (PRAG)
European Commission Control Systems


Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries, 13 May 2014, COM(2014) 263 final.
http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX%3A32014DC0263&qid=1400681732387&from=EN

‘Trade for All’ Strategy (October 2015)


4.3 Capability throughout the system

Decision of the European Commission of 02/03/2011 on the general provisions for implementing Article 79(2) of the Conditions of Employment of Other Servants of the European Union, governing the conditions of employment of contract staff employed by the Commission under the terms of Articles 3a and 3b of the said Conditions, 2 March 2011, C(2011) 1264 final.

http://ec.europa.eu/transparency/regdoc/?fuseaction=list&coteId=3&year=2014&number=3296&version=ALL&language=en

Decision of the European Commission of 16/10/2017 on the general provisions for implementing Article 79(2) of the Conditions of Employment of Other Servants of the European Union, governing the conditions of employment of contract staff employed by the Commission under the terms of Articles 3a and 3b thereof., 16 October 2017, C(2017) 6760 final.

5. Delivery modalities and partnership at a global, regional and country level

5.1 Partnering

The EU recognises the importance of working together with countries and stakeholders to further the 2030 Agenda. The EU, both at headquarters level and through more than 140 delegations in the field, implements development cooperation by:

- tailoring development partnerships to reflect capacities and needs;
- cultivating stronger, more inclusive multi-stakeholder partnerships; and
- working together with Member States to improve effectiveness and impact by means of joint programming and joint implementation.

Given the universality of the 2030 Agenda, the new European Consensus on Development (‘the Consensus’) stresses the commitment to tailoring development partnerships to reflect the capacities and needs of partner countries in order to achieve the Sustainable Development Goals (SDGs). EU development cooperation will be targeted where the need is greatest and where it can have most impact, especially in Least Developed Countries and countries in situations of fragility and conflict. To this end, the EU institutions will continue to engage with a wide range of bilateral and multilateral partners to better coordinate their efforts, in particular in fragile and conflict-affected countries, and to ensure that EU development measures have maximum impact.

In line with the outcome of the 2016 World Humanitarian Summit, the EU institutions have increased efforts to link relief, rehabilitation and development in a number of pilot countries such as Uganda and Nigeria in order to address the root causes of vulnerability, fragility and conflict while simultaneously meeting humanitarian needs and strengthening resilience (see Chapter 2.2 above). At the same time, the EU and its Member States engage in adapted cooperation, policy dialogue and partnerships with Middle Income Countries. The Consensus highlights the need to develop innovative engagement with more advanced developing countries, above and beyond financial cooperation, as these countries need fewer or no concessional forms of assistance.

As part of the EU institutions’ work on cultivating stronger, more inclusive multi-stakeholder partnerships, civil society organisations (CSOs) and local authorities (LAs) are recognised both as service providers and as independent development actors. They are actors of governance that contribute to policy-making, monitoring and accountability and receive financial support to build their capacity in order to fulfil both these roles.

As mentioned in Chapter 2, the Commission launched a specific call for proposals to establish Framework Partnership Agreements (FPAs) with global and regional networks of CSOs working in developing countries. 23 agreements were signed, 12 of which included a grant until 2020. Apart from that, three other CSO platforms received a grant for the same period. Calls for proposals to which civil society can respond are also launched by delegations at country level, allowing for implementation by local civil society. To structure and strengthen its dialogue with LAs and to strengthen their role as actors of governance, the Commission has also established five FPAs with global and regional associations of LAs and has signed five grant contracts with them.

To translate its political commitment into practical action at country level, the EU decided to develop ‘country roadmaps’ in order to engage with civil society. These roadmaps present a coordinated and shared EU analysis of the landscape of civil society, its enabling environment and the obstacles, constraints and opportunities faced by CSOs. By identifying EU priorities when engaging with and supporting CSOs in partner countries, the roadmaps improve the impact, predictability, visibility and consistency between EU dialogue, various policy sectors and operational support. 105 country roadmaps have so far been created with civil society and jointly adopted with Member States.

In addition to financial support, the Commission has set up strategic dialogues to further build partnerships with these stakeholders:
- **The Partnership Forum** is a space where partnerships can be strengthened, interaction between CSOs and LAs further promoted and debates can be held on strategic and operational matters.

- The **Policy Forum on Development** ensures a regular exchange between the Commission, CSOs and LAs on a wide range of topics related to development cooperation. It brings together 74 representatives from 61 networks of CSOs and LAs at global, European and regional level with representatives of EU institutions and bodies covering 136 countries.

The EU is also implementing a new **private sector engagement** approach to engage with the business community, encouraging it to work together on sustainable development. This is where EU business has a distinct advantage. Harnessing the potential of the European private sector to engage in developing businesses in developing countries requires space for private-public interaction and collaboration. As a result, the Commission is helping develop a framework for structured dialogue with the private sector mainly by strengthening existing initiatives, platforms or fora. The EU delegations have a particular role to play at local level. Against this background, the Commission is working on the **Sustainable Business for Africa** platform linked to the External Investment Plan (EIP) and beyond.

**Partnership with international organisations (IOs)** is of paramount importance for the EU. It is derived from the EU’s political commitment to multilateralism and a more efficient response to global challenges. This is enshrined among others in the Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008), the Lisbon Treaty (2009), the ‘Fourth High Level Forum on Aid Effectiveness’ (2011) and the Paris Climate Agreement (2015).

Following the start of the Juncker Commission on 1 November 2014, the Commissioner responsible for international cooperation and development issued guidance on implementation modalities in February 2015. He also called for more targeted and strategic cooperation with IOs.

Based on this guidance, DG DEVCO reviewed its relations with IOs and International Financial Institutions (IFIs). It worked on a number of measures to improve its relations with them in order to strengthen dialogue and cooperation and make them more comprehensive and strategic, extracting the most from the partnerships with them. As part of this, DG DEVCO adopted a **structured approach to International Financial Institutions** in November 2015 and set up new mechanisms for internal and external coordination.

The Consensus sets out the EU’s commitment to **working better with its Member States** on addressing global challenges and supporting the implementation of 2030 Agenda. This has lent further momentum to **joint programming**, with universal recognition of the fact that it is voluntary, flexible, inclusive and tailor-made to participating countries. Like-minded partners can participate in joint programming.

The Consensus advocates joint programming as a tool to help boost effectiveness by pooling resources, reducing fragmentation, and increasing coordination and consistency between the EU and Member States. Joint monitoring and results frameworks are identified as the main tools for maintaining this coordination momentum and strengthening mutual accountability. The 2016 Council conclusions on stepping up joint programming also highlighted the fact that joint programming has the potential to become the preferred approach of the EU and its Member States in providing external assistance.

Over 60 countries are now involved in implementing joint programming at different stages, adapting the process to suit local circumstances:

- 21 partner countries have a joint response/joint strategy (adopted or draft), of which:
  - 11 include a joint monitoring/results framework a key component of the joint response as set out in the Consensus (point 76);
  - Three (Laos, State of Palestine, Senegal) have replaced the bilateral programming document with a joint programming document;

- 18 partner countries are at the feasibility/scoping stage, and 12 partner countries have a joint programming roadmap; however, a number of countries have made limited progress beyond these initial stages.

The **Evaluation of EU Joint Programming Process of Development Cooperation (2011-2015)** concludes that joint programming is very valuable; while it should be continued, it could be improved notably in terms...
of clarifying the roles of all stakeholders and updating guidance. Both the evaluation and country-level reports from Heads of Mission (last cycle in 2016) highlight that joint programming actively contributes to aid and development effectiveness principles as it provides in particular a greater push for alignment with both government policies and national development plans and cycles. Joint programming also provides for a better division of labour based on the recognition of the comparative advantages of EU donors. Heads of Mission also acknowledge that EU donors are increasingly recognised as a unified ‘European family’ and that developing common approaches and delivering joint messages on strategic and sensitive policy issues has paid off.

- In addition, results frameworks have been increasingly used; where these are well aligned with national results management processes, the ‘European’ voice and visibility is considerably strengthened in national policy dialogue processes. Joint programming therefore provides an effective means for the EU and its Member States to speak with one voice and to provide coordinated and consistent support for implementing 2030 Agenda at country level. However, a number of challenges remain, and these will inform future work.

On joint implementation, the Consensus sets out the EU’s and Member States’ intention to ‘support partner countries through joint implementation whenever appropriate’. Joint implementation ranges from financial modalities such as co-financing and delegated cooperation to non-financial means of implementation, building on different partners’ comparative advantages and the sharing of best practice.

The Evaluation of the EU aid delivery mechanism of delegated cooperation (2007-2014) concluded that delegated cooperation has ‘mainly been designed and used as an operational tool contributing to strengthened relations between EU institutions and the Member States’. However, the immediate impact of delegated cooperation on improving aid effectiveness and efficiency has been so far limited. This requires further work on joint implementation to ensure that delegated cooperation can be a vehicle for developing effectiveness. The mobilisation of public sector expertise in Member States can also be further structured to broaden the range of tools used by the EU in joint implementation.

As mentioned in Chapters 2.3 and 4.2, the EU promotes the predictability and flexibility of its financing through the adoption and the long-term programming of its geographic and thematic financing instrument. The EU programming documents provide a long-term cooperation framework for the EU and its partners, namely the partner countries, EU Member States and other donors, civil society and international/regional organisations. These partners play a key role in the preparation of these documents — a complex process in which EU partners are consulted, in particular partner countries. This is especially relevant for the EDF as cooperation is based on a partnership established in the form of a multilateral international agreement, the Cotonou Agreement concluded between the EU, its Member States and the African, Caribbean and Pacific (ACP) Group of States. The ACP countries’ role is to take the initiative on the programming process, and programming documents should be endorsed by the partner country. The DCI also states that these documents ‘shall be based, to the extent possible, on a dialogue between the Union, the Member States and the partner country or region concerned, including national and regional parliaments, and shall involve civil society and local authorities so as to enhance ownership of the process’.

Under the EDF, the DCI, the European Neighbourhood Instrument (ENI) and the Instrument for Pre-accession Assistance (IPA II), more than 100 bilateral programming documents and 10 regional programming documents have been adopted to date.

Long-term programming is compatible with flexibility. Programming documents may be reviewed on an ad hoc basis to adapt them to changing circumstances. The ongoing 2018 mid-term review will allow EU programming to be better aligned with the changing situation of each partner country and new international goals and priorities following the adoption of 2030 Agenda, the Paris Agreement, the Addis Ababa Action Agenda as well as the Consensus, which was adopted in June 2017.

The geographic instruments adopted in 2014 (11th EDF, DCI or ENI) contain new, flexible provisions that mainly target countries in fragile and post-conflict situations. For instance, the EU legal framework allows

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for fast-track procedures to swiftly adapt programming documents in case of emergencies (e.g. subsequent consultation of Member States’ experts). If justified, the EU can also adopt implementing measures in a country or region outside the scope of the relevant programming document under what is known as ‘special measures’. These fast-track procedures are coupled with financial flexibility. For instance, the DCI and in particular the 11th EDF have non-programmed, unallocated funds, which can be used to finance bilateral and regional support for unexpected needs and can be used in emergency and post-emergency situations. This ‘reserve’ has been used to fund humanitarian aid and also to increase the allocation to individual countries or regions (for instance, to support Caribbean countries and territories after hurricanes Irma and Maria, as well as to support Iraq or Yemen). It has also funded new initiatives such as the EU Trust Fund for Africa or the Colombia Trust Fund and the EIP. Global instruments such as the EU’s instrument contributing to stability and peace — with an important ‘un-programmed’ component to respond to crises — humanitarian aid, the Common foreign and security policy or the European Instrument for Democracy and Human Rights have extremely flexible procedures that allow the EU to react quickly when needed.

5.2 Country-level engagement

Specific programmes and projects are identified and formulated in close consultation with the authorities and other relevant stakeholders in the partner country to ensure ownership of EU support and alignment with the development effectiveness principles. The EU should ‘use the most effective and efficient implementation methods. Where possible and appropriate in light of the nature of the action, the Commission shall also favour the use of the most simple procedure’ (see Article 1(4) of the Regulation (EU) No 236/2014)\(^\text{32}\). **Inclusiveness and responsiveness** are key components embedded in the design phase (identification and formulation) of EU funded measures, in particular the systematic analysis of the context, identification of risks and assumptions and mainstreaming of cross-cutting issues carried out in close consultation with stakeholders, both in terms of geographic and thematic measures.

The **identification** phase ensures that an appropriate and systematic context analysis is carried out to provide solid evidence upon which the measure will be based. Irrespective of the method used for financing aid programmes, the identification process involves:

- a thorough analysis of the context, including stakeholders;
- the identification of risks and assumptions;
- the uptake of lessons learned from similar previous programmes; and
- an assessment of cross-cutting issues such as gender equality, rights-based approach and environment and climate.

The identification phase includes a preliminary indication of the envisaged implementing partner and implementation modalities and is subject to an internal peer review.

During **formulation**, the context analysis is confirmed, updated and further developed in close consultation with the partner country and key stakeholders; cross-cutting issues and implementation modalities are further assessed. For example, if the measure is implemented in indirect management, which implies that most implementing decisions are taken by the implementing partners — i.e. government agency or international organisations — or via direct management, which means the Commission is still closely involved. This mix is carefully assessed in terms of the type of programme/project to ensure the most effective and efficient choice of implementation modality and implementing partner, including the best value for money for EU taxpayers (see Chapter 4.2). The complete intervention logic and results framework of the proposed measure, including a description of the chosen implementation arrangements, are also completed during the formulation phase.

At the heart of the rights-based approach (RBA) is the recognition that unequal power relations and social exclusion deny people their human rights and often keep them in poverty. The approach therefore places considerable emphasis on marginalised, disadvantaged and excluded groups. At operational level, RBA has been integrated as a cross-cutting issue into EU project and programme cycle management, starting with templates to identify and formulate new programmes and projects. A help desk was set up within DG DEVCO together with a human rights support package, which provides training and technical assistance on

the rights-based approach to development cooperation both at headquarters and in delegations. This support package — put in place in early January 2016 — has since provided training and support in headquarter and in 30 delegations, with some 600 development practitioners trained and RBA support missions conducted ‘in’ country.

The Commission adopts the identification and formulation of decisions that approve these measures after consulting with Member States’ experts. The EU has a large range of implementing methods at its disposal, such as budget support, blending grants with financial instruments, EU Trust Funds and delegated cooperation with other donors and international/regional organisations.

**Budget support** is divided into three contract types and is heavily focused on risk identification and mitigation. These characteristics allow it to respond better to the circumstances of the partner country and to reflect relevant objectives more clearly. Particular attention is given to fragile states by means of state building contracts and resilience building contracts. The EU is world leader of grant budget support operations (at the beginning of 2017, 263 budget support contracts were implemented in 90 countries or territories with a portfolio of EUR 12.7 billion, with EUR 1.7 billion allocated in 2016). Evaluations show that budget support is achieving positive results on public finance management and social service delivery in particular.

Budget support payments are subject to eligibility criteria and specific indicators being achieved. This conditionality is used strategically to:

- support national/sector policies and reforms;
- contribute to a stable macroeconomic framework;
- improve public financial management; and
- improve transparency and oversight of the budget.

Thanks to a careful combination of fixed and variable tranches of aid money, budget support focuses on results but preserves the predictability of financial flows. Each of the conditions are clearly outlined in the relevant financing agreements, signed with the partner country and called ‘contracts’.

The **External Investment Plan** presented in September 2016 provides an integrated package with three pillars:

1. European Fund for Sustainable Development (EFSD), composed of two regional facilities (Africa and EU Neighbourhood). The EFSD will combine existing investment facilities and a guarantee instrument that will reduce the risk for private investment and absorb potential losses incurred by financiers.
2. Technical assistance to help beneficiaries develop financially attractive and mature projects.
3. Structured dialogues to improve the investment climate and business environment in partner countries.

The EIP is based on the conviction that improved mobilisation of financing should be coupled with business and investment climate improvements so that investments can be productive, leading to jobs and growth. The EIP therefore goes beyond the simple provision of finance to also include technical support to beneficiaries and policy, and political dialogues with partner governments and private sectors to address key constraints. It aims to crowd in private investors, create decent jobs and tackle some of the root causes of irregular migration and forced displacement exploiting initial EU funding of EUR 4.1 billion up to 2020. Additional funds could come from Member States and other partners. The regulation establishing the EFSD\(^3\) clearly states that this fund should help implement the Paris Agreement by also targeting investments in sectors that advance climate change mitigation and adaptation. It further states that at least 28 % of the financing must go to investments that contribute to climate action, renewable energy and resource efficiency.

**EU Trust Funds** (EUTFs) are the most recent development in EU aid. Their legal basis was established in 2013 with the adoption of Regulation (EU, Euratom) No 966/2012 on the financial rules applicable to the general budget of the Union. They are designed to be used in specific circumstances, namely for emergency, post-emergency or thematic measures, leveraging the contributions of different donors on a voluntary basis.

EUTFs also allow for specific and swift decision-making bodies and procedures where contributors to the EUTF are involved. Compared to traditional aid delivery methods (under DCI, ENI and IPA), they provide the EU with an opportunity to provide more rapid, flexible and coordinated EU support in challenging environments; this avoids fragmentation both at the level of EU financing instruments and at the level of donors (mainly Member States).

To date, the Commission has established four EUTFs to operate in emergency and post-emergency situations:

- the EU Regional Trust Fund for the Central African Republic (‘Békou Trust Fund’) in July 2014;
- the EU Regional Trust Fund in response to the Syrian crisis (‘Madad Fund’) in December 2014;
- the EU Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa in November 2015; and
- the EU Trust Fund to support the implementation of the peace agreement in Colombia in December 2016.

EUTFs pool knowledge, experience and funding from diverse sources to maximise their financial scope. For example, the EUTF for Africa has succeeded in pooling resources from different financing sources as well as knowledge and experience from both the Member States and other national and international stakeholders. By the end of 2017, resources allocated to the EUTF for Africa amounted to EUR 3.3 billion: over EUR 2.9 billion from both the EDF and EU financial instruments including DCI, ENI, DG HOME and DG ECHO funding, and EUR 378.9 million from Member States and other donors (Switzerland and Norway). This funding has been used to address the four strategic objectives for the EUTF in Africa: (i) creating economic opportunities; (ii) supporting resilience; (iii) improving migration governance and management; and (iv) supporting improvements in governance.

The EU is strongly committed to the principles of development effectiveness. It features heavily in the new European Consensus on Development. The Consensus recognises that ‘development effectiveness is fundamental for achieving the SDGs and should underpin all forms of development cooperation’ and states that the EU and its Member States will apply the development effectiveness principles agreed at the Global Partnership for Effectiveness in Development Cooperation (GPEDC) in Busan and renewed in Nairobi:

- ownership of development priorities by developing countries;
- a focus on results;
- inclusive development partnerships;
- transparency; and
- mutual accountability.

The EU and its Member States recognise the need for all development resources and all partners to work together effectively to ensure sustainable outcomes and ensure that no one is left behind.

The EU was a key player at the Fourth High Level Forum on Aid Effectiveness in 2011, where the Global Partnership for Effective Development Cooperation (GPEDC) members agreed the development effectiveness principles. Its commitment was renewed at the Second High-Level Meeting in Nairobi in 2016. The Commission is a steering committee member of the GPEDC. It works closely with the GPEDC on implementing its 2017-2018 work programme. The Commission supports in particular pilots to assess and promote good practice in development effectiveness at country level and also supports work on improving the GPEDC’s monitoring framework in advance of the 2018 round. The GPEDC has made a significant contribution to the global discussion on effectiveness issues, in particular thanks to its country-led monitoring exercise that measures progress against 10 development effectiveness indicators.

The EU holds regular technical meetings with Member State representatives to actively promote development effectiveness principles. It has made significant progress in recent years, together with its Member States and partner countries, in ensuring that the aid is programmed and delivered in a way that leads to maximum impact and leverage.

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34 For more details on the EU’s performance in development cooperation, see the report ‘Effective development cooperation — has the EU delivered?’

https://ec.europa.eu/europeaid/effective-development-cooperation-has-european-union-delivered_en

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In 2016, a ‘Development Effectiveness Action Plan’ was adopted to further improve internal performance tracking and management. The EU Companion contains a dedicated section on the principles of aid and development effectiveness, and reporting on progress is part of the internal reporting mechanisms.\(^{35}\)

In the multiannual financial framework 2014-2020, the EU extended the programming period to 7 years, further improving its performance in medium-term predictability. This is reflected in a score of 85 % in the 2016 GPEDC monitoring report, the highest of all participating organisations. It also introduced the national/regional development strategies as the basis for EU programming, and promoted synchronisation with national cycles where possible. The requirement to consult partner country governments, parliaments, CSOs and the private sector was strengthened to increase ownership.

The EU believes that the use of country systems is key to strengthening national institutional capacity and increased its performance from 40 % in 2005 to 45 % in 2015. Budget support remains the main aid modality that makes full use of the partner country’s public financial management systems. Based on Regulation (EU) No 182/2011, current guidelines allow country systems to be used in work programmes and trust funds managed nationally, subject to a satisfactory assessment of financial systems. The EU is an important investor in the improvement of public financial systems in partner countries.

The adoption of the EU International Cooperation and Development Results Framework in 2015 and publication of the ‘First report on selected results’ in 2016 has improved EU performance in this area. The use of results in programming and project documents has also been strengthened in line with the new framework. The EU uses the country results frameworks to design its projects in 74 % of cases, and tracks project progress using government sources in 63 % of cases. 94 % of EU funded projects include a final evaluation with the government.

One important development is that the EU’s commitment to supporting statistical capacity building continues to grow. It remains one of the top five donors in this key area, which enables partner countries to collect more reliable statistics and integrate data and evaluation into their domestic activities and systems.\(^{36}\)

EU delegations are strong players in country-level mechanisms of mutual accountability and often take the lead in coordination and dialogue in certain sectors. In several countries, support is provided to help the partner government in its efforts to improve approaches and capacity in order to better manage development cooperation and strengthen mutual accountability.

The Commission is firmly committed to transparency and open aid data as a powerful tool to increase accountability. Apart from the reporting to the OECD Development Assistance Committee (DAC), DG DEVCO, DG ECHO, the Service for Foreign Policy Instruments (FPI), DG NEAR and the European Investment Bank are all members of the International Aid Transparency Initiative (IATI) and publish data in line with the IATI standard at least on a monthly basis. An inter-service working group consisting of the DGs involved in publishing meets regularly to discuss and coordinate the publication. Considerable efforts have been made in recent years to improve the comprehensiveness and quality of information. Forward-looking budgets at disaggregated level are published 3 years in advance. In the 2016 Aid Transparency Index, the Commission departments involved were included in the ‘good’\(^{37}\) category of publishers. Since then, data on EUTFs and results have also been included in the publications.

The datasets are available on the EU Open Data Portal and can be viewed on the EU Aid Explorer website. A current priority is to support the use of data. A new version of the website is therefore being developed; a user study has been carried out in collaboration with external stakeholders. IATI training courses for staff at headquarters and at EU delegations are organised regularly. An example of supporting data used by partner

\(^{35}\) The EU Companion provides guidance and instructions for people in DG DEVCO headquarters and in EU delegations involved in managing EU funds of the Development and Neighbourhood policies provided by the EU Budget and the 11th European Development Fund (EDF including its Bridging Facility).

\(^{36}\) The Partnership in Statistics for Development in the 21st Century (PARIS21).

\(^{37}\) The Aid Transparency Index’s overall ranking for the 46 donor organisations includes five categories: 1. very good, 2. good, 3. fair, 4. Poor and 5. very poor.
countries is Myanmar’s ‘Mohinga’ Aid Information Management System, which was launched in February 2015. It is the first such system to be locally built, IATI-compliant, mobile-ready and open source. Detailed information on EU aid programmes is available on the Commission’s website and those of the EU delegations. It includes institutional and country strategy papers, guidelines on the procurement procedure and evaluation reports, together with a large number of reports from countries and regions where the EU was active.

Since the last DAC peer review in 2012, the EU has made efforts to honour its commitments on tied aid agreed in Accra and Busan. EU official development aid is currently untied to a large extent, above and beyond the requirements of the Revised DAC Recommendation on Untying Official Development Assistance to the Least Developed Countries and Heavily Indebted Poor Countries. The residual restrictions that remain involve other industrialised countries and G20 members, and these are being gradually removed on a reciprocal basis. The latest official data from 2015 show that 62% of EU development assistance is now untied. The EU is making steady progress towards untangling aid in full — provisional estimates for 2016 show that around 72% is untied, an increase of around 10% from the previous year.

EU official development aid is available without limitations under the Instrument contributing to Stability and Peace and the European Instrument for Democracy & Human Rights. In addition, under all external financing instruments, there are no limitations when the amount of the supplies to be purchased is below the threshold for the competitive negotiated procedure (i.e. EUR 100 000).

In addition, while divergences used to exist between the pre-2014 external financing instruments, the Common Implementing Regulation adopted in 2014 unified the rules on nationality and origin for procurement and grants for all external financing instruments under the EU budget. The corresponding rules of the 11th EDF are standardised with those of the Common Implementing Regulation.

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5.1 Partnering


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5.2 Country-level engagement


https://ec.europa.eu/europaid/effective-development-cooperation-has-european-union-delivered_en

http://www.oecd-ilibrary.org/development/making-development-co-operation-more-effective_9789264266261-en;jsessionid=4qqhlsn37c5tf.x-oecd-live-03

EU Open Data Portal:
https://data.europa.eu/euodp/data/

EU Aid Explorer:
https://euaidexplorer.ec.europa.eu/
6. Results, evaluation and learning

6.1 Managing development results

The results agenda is a key priority for EU development cooperation. The EU International Cooperation and Development Results Framework (EURF), the IPA II performance framework as well as the EU Budget Focused on Results are key tools for a strengthened focus on performance measurement and impact reporting for EU external assistance.

At the corporate level of EU development cooperation, the EU published an initial results report in 2015 based on a three-tier structure:

- **Level 1** of the EURF has 32 indicators that measure the development progress of EU partner countries (e.g. medium and long-term outcomes/impacts), to which the EU contributes along with other donors.

- **Level 2** has 32 indicators that focus on development outputs and direct outcomes that can be more closely linked to EU projects and programmes; these demonstrate how the EU contributes to development progress in partner countries.

- **Level 3** has 13 indicators that focus on how DG DEVCO is managing its operational processes and resources.

The EURF brings together indicators that are aligned with the draft SDG targets - discussions were still ongoing and not yet finalised when the EURF was developed. Recognising the importance of alignment with internationally agreed goals, the EU is currently revising the EURF. This process will also align the EURF with the policy priorities outlined in the Consensus.

The EURF is just one component of the results-based management strategy for EU development cooperation. It only focuses on the corporate level. There is also a strengthened focus on results at various levels of the project and programme cycle, from programming to implementation, with results reporting being conducted at project and programme level.

The 2014-2020 multiannual programming, an essential decision-making process in defining development cooperation strategies, priorities and funding allocations, pays systematic attention to the inclusion of expected development results expected to be achieved during implementation.

At project and programme level, clear objectives, including the results chain, are set out in the logical framework (or equivalent) within project and programme documentation (action document). In addition, there are now clear contractual requirements for results reporting from implementing partners in support of better monitoring and the results agenda.

Since the EURF was launched, four rounds of annual results reporting have been conducted, with results data collected for all completed projects and programmes above EUR 750 000. The aggregated EURF results are communicated in full as part of the ‘Annual report on the implementation of the European Union’s instruments for financing external action’.

The publication of the results is used as a means to increase accountability and transparency: it communicates the results of aid to both internal and external stakeholders, and clearly demonstrates how the EU contributes to development progress in partner countries and regions. Results disaggregated by sex and country are also published as part of the annual report.

At corporate level, the EU aims to gradually step up results reporting on ongoing operations rather than completed operations in order to make continual project management improvements and strategic decision-making. It would also widen the reporting base to provide a broader picture of EU development and cooperation assistance. This would increase transparency further and strengthen the learning and management aspects of the result agenda.
At project and programme level, the EU draws on the most relevant quantitative and qualitative indicators to assess progress against the expected objectives, aligned with partner countries’ priorities. For many of the EU’s projects and programmes on development cooperation, the partner country plays a key role in the monitoring process as the main implementing partner. When monitoring results chain indicators, the EU
gathers relevant data, including disaggregated data, from partner countries’ own data and systems where possible and where data quality allows.

To strengthen the EU’s ability to focus on results and effectively manage its development cooperation assistance, a number of tools and support systems are being developed, tested and implemented. This includes the ambitious new operational information system (Opsys), which will support project management, including results reporting, at both headquarters and EU delegations; it will also enable the smooth implementation of the EURF.

To help build capacity, increased technical support and training has been provided to staff in delegations and at headquarters involved in designing new forms of development cooperation assistance. In addition, external project management support is available thanks to the Results-Oriented Monitoring (ROM) system managed by Commission staff, which implements certain types of development cooperation projects and programmes. For example, ROM reviews progress in input provision, activities undertaken and results delivered (outputs, direct outcomes), in addition to regular project and programme monitoring.

6.2 Evaluation system

Drawing on the 2013 communication ‘Strengthening the foundations of Smart Regulation — improving evaluation’, the introduction of the ‘evaluate first’ principle paved the way for the evaluation function to be strategically positioned in the organisation by providing evidence for decision-making. This position was strengthened by the adoption of the ‘Better Regulation’ package in 2015, which includes Commission-wide guidelines on evaluation checks and fitness checks to make the ‘evaluate first’ principle fully operational.

The Evaluation unit within DG DEVCO is responsible for the steering, coordination, monitoring and reporting of the evaluation function in the development cooperation services. Its aim is to produce timely, high-quality evaluation results for decision-making and accountability. The unit is part of the task force made up of units dealing with knowledge, performance and results, and aims to create synergies and complementarities. It plays a key role in coordination among Member States, including the promotion of joint evaluations.

Evaluation at DG DEVCO takes place at different levels:

- Decentralised (DG DEVCO’s operational units and delegations)

Project and programme evaluations are managed by the relevant delegations and Commission departments. This model promotes autonomy and ensures that the evaluation findings are taken up. These evaluations cover a wide range of measures, from relatively small or innovative projects to large facilities that mobilise large amounts of funds.

The current criteria for evaluations establish that (i) all projects/programmes above EUR 5 million are to be evaluated; (ii) innovative projects can be evaluated irrespective of the threshold; and (iii) evaluations should cover at least 50% of the disbursements of a given multiannual indicative programme. From 2016, all programme and project evaluations must be encoded in the EVAL MODULE IT system, which allows among others the creation of a repository of the evaluation reports. This repository not only contributes to institutional memory, but also strengthens monitoring, dissemination of evaluations and use of the evaluation findings.

An Evaluation Support Service (ESS) was also set up in 2016. Its objective is to support delegations and headquarters by providing on-demand advice and support on any aspects related to evaluations. Examples of the services provided include; (i) a helpdesk; (ii) peer reviews of key documents; (iii) advice on the formulation of the Terms of Reference; and (iv) advice on methodology and on quality. The ESS also helps the unit develop evaluation tools and guidelines to boost the Community of Evaluation Practice by virtue of

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40 ROM reviews focus on projects and programmes signalled by operational managers as having implementation issues as well as on other projects for which an external opinion is, for various reasons, seen to be particularly useful.
its main channel, the Evaluation Network group in Capacity4dev. The ultimate goal is to help deliver high-quality evaluations, increase the focus on results and establish links between lessons learned and policy.

- **Centralised (Evaluation unit)**

The Evaluation unit manages strategic evaluations, which cover policies and strategies in countries and regions, and in sectors or on themes. It is based on a five-year rolling programme to ensure a close link between evaluation planning and the policy agenda. Special attention is given to fragile and conflict-affected countries and to the proportionate balance between the regions. The evaluation work programmes are published on DG DEVCO’s website.41

- **Working methods — business models**

Evaluations are carried out by external consultants contracted by DG DEVCO or EU delegations by way of public procurement procedures. Evaluation managers ensure quality standards are adhered to and manage the whole process so that the evaluation is sound and useful. Setting up reference groups (inter-service steering groups for major evaluations) to carry out evaluations also plays a key role in the quality and relevance of the evaluation. Quality assurance is applied both to the evaluation process and evaluation products. The Evaluation unit has recently updated templates on the Terms of Reference for project and programme evaluations and for budget support.

The independence of the evaluation function is guaranteed by maintaining high standards of professional integrity, technical inclusion and improving expertise and use of external evaluators. Training courses at headquarters and delegations, webinars and standardised guidelines are tools used for this. Trust and transparency are also strengthened by encouraging stakeholder involvement and publications on the website.

The Evaluation Correspondents’ Network was set up in 2013 to strengthen the evaluation culture in DG DEVCO and across delegations. The evaluation correspondents help prepare an evaluation plan and disseminate/use the evaluations. They also provide support and guidance on evaluations to operational managers and other colleagues involved in helping upgrade evaluation practices.

The Evaluation unit also aims to break down silos. It looks for synergies and cooperation within the Commission and is a member of the Evaluation Network group managed by the Secretariat-General of the Commission. It also chairs the Expert Group of the Heads of Evaluation Services from Member States and cooperates and establishes partnerships with international organisations such as the World Bank and the OECD’s DAC Evaluation Network (EVALNET).

### 6.3 Institutional learning

Knowledge management is underpinned by the **learning and knowledge development strategy 2014-2020 (LKDS)** and its **action plan**, which both run until 2020. Within this period, the Commission aims to become a learning organisation, promoting the capitalisation of knowledge and expertise. LKDS identifies challenges and good practices, and sets objectives and measures in two closely linked areas: knowledge management and learning. A mid-term review of the action plan has been planned to provide information on (i) the overall implementation of the strategy since its launch in 2014; and (ii) on the needs for adaptation to take into account recent institutional changes, updated business objectives and lessons learned. DG DEVCO’s Knowledge, Statistics and Data Hub unit led on the preparation of the strategy — which saw contributions from across all DG DEVCO units in a joint institutional effort — and it both supports and coordinates LKDS implementation.

The Commission is committed to maintaining, developing and using expertise and knowledge by employing a wide range of learning and knowledge management measures and tools such as:

- improving knowledge transfer processes among staff;
- developing a system to capture & share the knowledge of staff who are leaving by means of workshops and seminars;

• strengthening the learning culture and capacity for collaboration, knowledge sharing and reflective learning;
• facilitating access to external publications and research related to development and international cooperation;
• embedding knowledge management practices in internal guidelines, processes and policies;
• strengthening its already extensive training programme (by developing e-learning activities and its external learning platform); and
• making use of platforms such as Learn4dev, the European Expert Network (EEN), as well as, in particular, the DEVCO Academy or Capacity4dev.

DG DEVCO promotes collaborative working and knowledge sharing by using Capacity4dev — its online collaborative platform that supports more than 400 communities of practice and 22,000 members — and is developing its future operational information system (Opsys). This will increase DG DEVCO’s capacity in terms of operational management and capitalisation and reuse of knowledge from operations.

The Knowledge, Statistics and Data Hub Unit contributes to evidence-based policy-making and the design of measures as part of the EU’s international cooperation and development, acting as a dynamic focal point within DG DEVCO for a broad repository of development policy-related knowledge and background. The unit draws on knowledge, statistics and data in the relevant fields from internal and external sources and makes its products available across the DG DEVCO organisation (including EU delegations) and where appropriate to the wider community of development policy-makers and practitioners.

The unit monitors knowledge management practices and solutions in other development organisations and contributes to cooperation in knowledge management within networks — in particular the Learn4dev competence development network — where it leads the knowledge-management and knowledge-sharing expert group. It also helps develop and follow up on the Commission’s data, information and knowledge management strategy managed by the Secretariat-General of the Commission, and it represents DG DEVCO in its governance and coordination structures.

The EEN on international cooperation and development became operational in April 2016. Its main objective is to facilitate the uptake of high-quality academic research in DG DEVCO’s policy formulation and implementation practices. The Knowledge Management Correspondents’ Network was set up in 2015 to promote knowledge exchange and sharing as well as organisational learning within DG DEVCO. It helps implement DG DEVCO’s LKDS (2014-2020) and its follow-up measures.

DG DEVCO has been a member of the joint donor competence network Learn4dev since 2004. This network currently links more than 30 bilateral and multilateral organisations committed to more effective and harmonised development aid. The network’s main goal is to create an environment of mutual support for developing better skills by sharing learning resources and exchanging experience. Members provide their expertise by means of training and dialogue in key areas of international cooperation and development. The network also regularly reaches out to new and emerging donors.

Learn4dev is constantly adapting its areas of activity according to the political priorities. DG DEVCO plays an active part in this process as a member of the network’s ‘core group’ (i.e. steering committee) and coordinator of Learn4dev’s expert groups. These thematic and knowledge management-related expert groups tackle priority themes and areas identified and endorsed by Learn4dev’s annual meeting, which constitutes its decision-making body. In turn, many of the expert groups organise meetings and learning events and share knowledge, face-to-face and online, throughout the year. Since it was established 15 years ago, Learn4dev has developed not only formal joint learning opportunities, but also a strong network for interdisciplinary knowledge sharing and peer learning. These are essential in the context of Sustainable Development Goals and complex development challenges.
References — 6. Results, evaluation and learning

6.1 Management for development results


EU International Cooperation and Development Results Framework (EURF):
https://ec.europa.eu/europeaid/devcos-results-framework_en

IPA II monitoring, reporting and performance framework:

EU Budget Focused on Results:
http://ec.europa.eu/budget/budget4results/index_en.cfm

6.2 Evaluation system

Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, Strengthening the foundations of Smart Regulation — improving evaluation, 2.10.2013, COM(2013) 686 final.


DG DEVCO’s website evaluation section

6.3 Institutional learning

DG DEVCO’s Learning and Knowledge Development Strategy 2014-2020:
https://europa.eu/capacity4dev/km-ks/blog/learning-and-knowledge-development-strategy-europeaid

Learn4dev:
http://www.learn4dev.net/dashboard
7. Humanitarian assistance

7.1 Strategic framework

The EU’s role in providing humanitarian assistance to victims of natural or man-made disasters worldwide is based on Article 214 of the Treaty on the Functioning of the European Union. Humanitarian aid is a shared competence between the EU and its Member States; both manage their own humanitarian assistance programmes and policies, but with the aim of ensuring complementarity between them.

The normative framework for the EU’s humanitarian assistance is defined in greater detail by the European Consensus on Humanitarian Aid (2007), while the modalities are set out in the Humanitarian Aid Regulation. This Consensus is a joint statement by the Commission, the Council and the Parliament. It sets out a common vision, policy objectives and principles, reaffirms the EU’s commitment to humanitarian principles and to international humanitarian law (IHL), and bases the provision of humanitarian aid on the principles of Good Humanitarian Donorship. In addition, it reaffirms the EU’s support for a stronger and better coordinated international humanitarian system, and stresses the importance of strengthening disaster risk reduction (DRR) and effective linkages between emergency relief and long-term development aid. The EU as a donor has consistently paid particular attention to forgotten crises, to which it allocates at least 15% of its initial Humanitarian Aid budget every year.

As a donor, the EU is firmly committed to a strong and well-functioning international humanitarian aid system, with a central coordinating role for the United Nations. The EU is a strong supporter of the ‘Transformative Agenda’ to improve coordination among humanitarian actors in the field, and continues to advocate for its full implementation. The EU played an active role in the World Humanitarian Summit (WHS) in May 2016, where it made 100 commitments\(^{42}\). The EU attaches particular importance to strengthening the effectiveness and efficiency of its assistance, in line with the ‘Grand Bargain’ agreed at the WHS between donors and humanitarian aid organisations.

Thematically, the EU has in recent years been a particularly strong champion of ‘Education in emergencies’\(^{43}\). It has also consistently advocated the use of cash as a method for providing humanitarian aid whenever possible. The EU has streamlined a gender-sensitive approach in humanitarian assistance and is currently leading the ‘Call to Action on Protection from Gender-Based Violence in Emergencies’\(^{44}\). The EU has also mainstreamed DRR into most of its country-level or crisis-level humanitarian implementation plans (HIPs).

The European Commission has rolled out operational guidance on a number of key policy sectors, in particular food assistance, nutrition, cash and vouchers, children in conflict, civil-military coordination, water, sanitation and hygiene, DRR and health. Since the last peer review, guidance has been adopted on protection, shelter and settlements and gender, and has been updated on cash transfers.

Drawing on lessons learned from Joint Humanitarian Development Frameworks, the EU is committed to further operationalising the humanitarian-development nexus to support country-driven, risk-sensitive response planning in line with the UN 2030 Agenda. In May 2016, based on the Commission’s communication ‘Lives in Dignity’, Council conclusions were adopted on the EU approach to forced displacement and development. The aim is to prevent forced displacement from becoming protracted and to gradually end dependence on humanitarian assistance in existing displacement situations. On 19 May 2017, Council conclusions were also adopted on operationalising the humanitarian-development nexus, with the approach now being rolled out in a number of pilot countries.

Since 2012, the EU has also made a concerted effort to strengthen the resilience of communities likely to be affected by disasters. This agenda was reiterated and expanded on in the Joint Communication on ‘A

\(^{42}\) For the first annual report on the implementation of the EU commitments, see: https://www.agendaforhumanity.org/annual-report/5545

\(^{43}\) In 2018, the share of the overall DG ECHO budget dedicated to education in emergencies will have increased eight-fold since 2014.

\(^{44}\) https://www.calltoactiongby.com/

The EU has already made a strong push for resilience at regional level in the Horn of Africa (thanks to its ‘Supporting the Horn of Africa’s Resilience’ initiative) and in the Sahel (through the ‘Global Alliance for Resilience Initiative’). It is also spearheading operationalisation of a global network against food crises to combat food insecurity from the humanitarian, development and political perspectives, building the resilience of agri-food systems at individual, community, state and regional level.

In addition, the Pro-Resilience Action fund[^45] provides a flexible financial tool that favours more coordinated work between EU development and humanitarian services on crisis prevention and post-crisis responses. By bringing together the EU’s emergency, geographic and thematic instruments and rationalising resource allocation based on an annual crisis-by-crisis assessment of needs and the nature of crises, it aims to structurally improve the resilience of vulnerable communities[^46].

Fragile and conflict-affected countries can benefit from a specific form of budget support — designed to offer flexible and rapid support to countries in fragile situations, often post-crisis or post-disaster — called state and resilience building contracts (SRBCs). SRBCs provide rapid support to preserve essential state functions in a volatile environment where the risk of non-intervention can be considerable and where the speed of intervention can be a determining factor for the success of support.

The EU’s initial humanitarian budget as detailed in the multiannual financial framework for 2014-2020 amounts to around EUR 1 billion a year. Other funding streams can be called upon to boost the initial humanitarian aid budget:

- the EU’s Emergency Aid Reserve can be mobilised to respond to unexpected events and major crises (with the agreement of the European Parliament and the Council);
- the European Development Fund and the Development Cooperation Instrument include special measures and flexible procedures that allow for a quick response to crises.

In addition, EU Member States’ funding (external assigned revenues) can be made available for implementation by the Commission. Unused amounts from other EU funds can be transferred to humanitarian aid during the course of the year.

In 2017, the Commission’s Directorate General for European Civil Protection and Humanitarian Aid Operations (DG ECHO) committed around EUR 2.2 billion.

In addition to providing funding for some of the most visible crises, support for ‘forgotten crises’ remains a key commitment in EU humanitarian aid[^47]. It can be seen as an important area of EU added value with regard to the national funding policies of its Member States, in particular in terms of greater advocacy.

![Figure 1. Humanitarian budget implementation](image)

[^46]: The fund’s overall indicative allocation was EUR 525 million for 2014-2020, but the global needs exercise led to an additional allocation of EUR 414 million in 2016.
[^47]: At least 15% of DG ECHO’s initial annual budget is devoted to forgotten crises.
7.2 Effective programme design

The EU is committed to providing effective relief and protection to populations affected by natural or man-made disasters on the basis of needs. The methodology used to allocate funding draws on a number of tools for assessing risk and humanitarian needs, including:

- the Index for Risk Management (INFORM);
- the Crisis Assessment;
- the Forgotten Crisis Assessment; and
- the Integrated Analysis Framework.

Strategic funding decisions are set out in an annual ‘Worldwide Decision’\(^{48}\) and also serve as the foundation for humanitarian implementation plans (HIPs) which provide more detailed information on the operational priorities identified.

The implementation of humanitarian aid includes selection and quality control mechanisms for partners (using regular, ad hoc assessments of NGOs and a pillar-based review/regular assessment of international organisations).

The EU has always been a supporter of efforts to localise humanitarian responses as far as possible. Its Disaster Preparedness programmes, which aim to reduce the impact of natural disasters on the population and allow for early warning, contribute to local capacity development and to the participation of local communities. It also launched the EU Aid Volunteers Initiative in 2014, which has brought together volunteers and hosting organisations to provide practical support to humanitarian aid projects and help strengthen the local capacity and resilience of disaster-affected communities. It also makes use of the Enhanced Response Capacity (ERC) budget to support innovative ideas and solutions. The ERC has been used to take forward work on Grand Bargain commitments, in particular on needs assessments, cash and localisation. In 2016, the EU funded the START Network, whose aim is to anticipate any dangers or hazards and take early action involving local actors, as well as the NEAR Network to bring together local southern organisations. A number of HIPs, as in the case of Turkey, encourage DG ECHO’s partner organisations to work with local and national organisations.

The EU has also funded projects to set up a global framework to implement localisation. It will analyse the challenges linked to funding, capacity development, measurement, partnership and coordination issues and propose pathways for ‘Grand Bargain’ signatories to implement localisation.

7.3 Effective delivery, partnership and instruments

At the World Humanitarian Summit, the EU committed itself to increasing multi-year, collaborative and flexible planning and multi-year funding, and is working towards the target of 15-20 % of multiannual funding in 2018. In 2017, DG ECHO launched its first multi-year funding pilot in Niger.

The EU is also committed to promoting the use of cash transfers, which are one of the most appropriate responses in terms of speed, flexibility, choice and dignity of beneficiaries, and which increasingly use innovations such as biometrics and mobile money transfers. The EU is committed to using cash in a context-driven way; this commitment is grounded in the policy and operational work of DG ECHO, and is backed up by the political endorsement of the Council in its conclusions on cash assistance. The EU has identified 10 common principles for multi-purpose cash-based assistance to respond to humanitarian needs and to guide both donors and humanitarian partners on how best to work with cash transfers. They recognise the importance of context-specific solutions, the benefits of joined-up approaches that meet basic needs and the links with longer-term resilience building and national social protection systems.

\(^{48}\) Since 2012, the European Commission annually adopts a ‘Worldwide Decision’ which covers all humanitarian aid actions which the European Commission anticipates funding during a given period, as explained in ECHO’s annual strategy. In the context of this Decision, ECHO prepares and publishes ‘Humanitarian Implementation Plans (HIPs)’ which provide more detailed information on the operational priorities identified.
In 2017, the Commission issued a guidance note on the delivery of medium to large-scale cash transfers. Its overarching objective is to ensure that assistance gets to beneficiaries more effectively, efficiently and directly in a manner that is appropriate to the context and phase of a crisis.

The implementation of the Emergency Social Safety Net (ESSN) in Turkey is an example of what such an approach could look like: it is a single card social assistance scheme that allows the most pressing basic needs of more than EUR 1 million of the most vulnerable refugees in Turkey to be met. As part of the ESSN, the implementing partner, the World Food Programme, in collaboration with the Turkish Red Crescent and Turkish government institutions, distributes electronic debit cards to refugee families. Cash is also being delivered at scale in contexts as diverse as Somalia, Iraq, Lebanon and Greece. Overall, cash transfers now account for over a third of the Commission's humanitarian assistance, in line with Grand Bargain commitments.

The EU has also developed a number of different tools for rapid response to emergencies.

The Commission’s Emergency Response Coordination Centre (ERCC) was set up in DG ECHO in 2013 to support a coordinated and quicker response to disasters both inside and outside Europe by using resources from the countries participating in the EU Civil Protection Mechanism (EUCPM). It collects and analyses real-time information on disasters, monitors hazards, prepares plans for the deployment of experts and equipment and coordinates the response by matching offers of assistance to the needs of the disaster-stricken country.

To further strengthen EU disaster preparedness, the European Emergency Response Capacity (EERC) was created in 2014 as part of the EUCPM. The EERC brings together a range of relief teams, experts and equipment from a number of EU countries. These assets are kept on standby and made available as soon as needed for EU civil protection missions all over the world. DG ECHO has also recently rationalised its funding instruments for rapid humanitarian response to sudden-onset emergencies in the new ‘Alert’ tool, which is managed in close coordination with the ERCC.

Partnership with humanitarian aid organisations is a key component of the EU’s approach to humanitarian aid. DG ECHO has put in place a number of consultation processes to involve the EU’s humanitarian aid partners in the programming and planning of humanitarian aid and to discuss thematic issues of mutual interest (DG ECHO annual partners’ conference, the Framework Partnership Agreement Watch Group, ad hoc meetings, field level meetings on HIPs).

The EU is a strong supporter of an effective and efficient multilateral humanitarian aid system; in this context the strategic paper on the "EU’s priorities for the UN" endorsed by the Council in preparation for the last UN General Assembly of September 2017 explicitly calls for strong UN leadership to ensure inclusive, transparent and effective follow-up to the commitments made at the World Humanitarian Summit. The EU is committed to the full and comprehensive implementation of the Grand Bargain by all partners — ensuring action on both the donor side (including the UN and large international NGOs in their donor capacity) and the ‘doers’ side (UN, international NGOs, the Red Cross movement, and local responders).

To synchronise its efforts with other international donors, the EU supports joint assessments with both the World Bank (Recovery and Peacebuilding Assessments, Post-Disaster Needs Assessments) and the UN (Fragility Assessments).

The EU coordinates closely with other key donors, and has set up strategic dialogues and administrative arrangements with donors including the USA, Canada, Switzerland and Norway, to share policies and strategies and exchange knowledge and expertise.

DG ECHO is supported by an extensive and global field network of experts, who permanently assess needs and monitor the implementation of the EU’s humanitarian aid, and connect with local, national and regional administrations, communities and stakeholders. They represent a major asset for the Commission in ensuring that its humanitarian aid is grounded in operational realities in crisis countries.
7.4 Organisation fit for purpose

Within the Commission, DG ECHO is responsible for EU humanitarian aid. It works closely with DG DEVCO, DG NEAR, and the EEAS and EU delegations within the EU’s Integrated Approach.

In addition to close cooperation among the EU bodies responsible for external assistance, strong emphasis is placed on effective civil-military coordination and effective coordination with the EU’s foreign policy institutions on issues such as conflict early warning and advocacy for IHL.

Beyond operational humanitarian civil-military coordination, the EU has additional structured arrangements with its Member States in the European Union Military Committee (EUMC), i.e. the highest EU military body set up within the Council. This interaction becomes even more important from a humanitarian civil-military point of view for planned or ongoing military missions and operations as part of the common security and defence policy (CSDP).

One example of active EU humanitarian civil-military coordination is the dissemination of IHL as part of EU military missions, as is currently the case for EU military training missions in the Central African Republic, Mali and Somalia. This raised awareness among the armed forces involved. In addition, DG ECHO and the International Committee of the Red Cross together offer training to Brussels-based EEAS crisis management structures/CSDP staff (including EU military staff) to raise awareness on International Humanitarian Law and its relevance to CSDP.

Interaction between humanitarian actors and the military in an EU context is guided by the UN’s humanitarian civil-military guidelines (Oslo and MCDA). The EU, with DG ECHO as a member of the advisory group, also systematically contributes to the process of developing new humanitarian civil-military coordination standards, providing input from and regular updates to its Member States. EU representatives attend the annual Geneva civil-military meetings, where discussions on the standards take place; EU input on the standards has always been a joint effort, involving both DG ECHO and the EU Military Staff.

Coordination with the EU military depends on the crisis itself; in most cases, there is no need to request military assistance in order to implement humanitarian measures. However, in cases where contingency planning or another type of planning is needed, DG ECHO liaises and coordinates with the EUMC and with the EEAS (EU military staff), and can host liaison officers in the ERCC for the duration of a specific crisis response.

As a matter of example, the EU’s approach to the 2014-2015 Ebola epidemic in West Africa is paradigmatic of the EU coordinated, inclusive and multi-dimensional approach to crises. It required not only a rapid humanitarian response, but also called for decisive action in the areas of development assistance, public health and health research as well as diplomatic relations with the region and beyond.

The EU Ebola Coordinator, Humanitarian Aid Commissioner Christos Stylianides, was in charge of overall strategic coordination. An EU Ebola Task Force was set up with representatives from all relevant EU departments, both in the Commission and the EEAS, as well as its Member States to ensure cross-sectoral operational coordination, with the ERCC acting as the central coordinating hub.

While the EU rapidly mobilised humanitarian funding (a total of EUR 70.74 million from the onset of the epidemic), EU development assistance to the region (some EUR 660 million in total) was directed towards strengthening the capacity of governments to deliver healthcare, maintaining macro-economic stability, and improving food security and water and sanitation. DG ECHO set up a medical evacuation system for international relief workers in the countries affected (which organised medical evacuations for 16 people during the crisis). Thanks to the EUCPM, the EU helped mobilise medical personnel and supplies from the Member States.

In addition, thanks to the Ebola Task Force, the EU’s external Ebola response was linked to its internal (public health) response inside the EU as well as to substantial rapid support from the EU’s research budget for research into vaccines and treatment.
7.5 Results, learning and accountability

As in other external policy areas, to ensure that its policy and operational objectives are achieved, the Commission implements the Internal Control Framework principles based on international good practice. In its humanitarian assistance, DG ECHO also systematically examines the available control results and indicators aimed at supervising bodies to which it has entrusted budget implementation tasks as well as the observations and recommendations issued by the Internal Audit Service and the European Court of Auditors.

Humanitarian aid is delivered in challenging environments characterised by unpredictability, volatility, insecurity and difficulties in accessing affected people, which can make proper implementation challenging. The monitoring of measures is one of the pillars of the EU’s control architecture and is ensured by geographical desk officers at headquarters and by DG ECHO’s network of technical assistants in the field. As part of its partnership with humanitarian aid organisations, DG ECHO regularly assesses and audits its humanitarian aid operations to establish whether they have achieved their objectives and to produce guidelines for improving the effectiveness of subsequent operations.

The EU places considerable emphasis on the achievements of its policy objectives and the need for efficient financial/operational control of its activities. Therefore, it has developed a specific framework for operations managed remotely by DG ECHO’s partners and for which direct monitoring by DG ECHO staff is also limited. DG ECHO has also adopted specific provisions for maintaining sufficient transparency, accountability, legality and regularity and for minimising the risk to EU funds where humanitarian actors face life-threatening consequences if standard procedures are applied, while delivering life-saving support in some crisis zones and in besieged areas.

As part of its operational partnership with humanitarian aid organisations, the EU carries out regular assessments of partner NGOs. The process starts with the application to sign a Framework Partnership Agreement with DG ECHO, with periodic assessments to check that the conditions of the framework contract continue to be met. The applied methodology focuses on financial robustness, the compliance of procurement rules with the applicable general conditions and a follow-up on previous audit recommendations.

Awareness-raising activities and communication campaigns on EU humanitarian aid place a strong emphasis on highlighting the tangible results of EU action in humanitarian aid.

Annual Eurobarometer surveys show consistently strong support for EU humanitarian assistance. Awareness-raising communication in sudden-onset and large-scale emergencies (such as the cholera outbreak in Yemen, the ‘Four Famines’ (Yemen, Somalia, Nigeria and South Sudan), the recent hurricanes in the Caribbean, and the Rohingya refugee crisis in Myanmar/Bangladesh) is a priority for the Commission.

The EU also promotes thematic messages, reflecting its priorities in the area of humanitarian aid and crisis management: these may aim, for example, to maintain awareness of protracted crises that risk being ignored in the media, or to support thematic initiatives such as education in emergencies or fighting gender-based violence in emergencies.

49 http://dgecho-partners-helpdesk.eu/actions_implementation/monitoring_and_evaluation/start
50 http://ec.europa.eu/echo/funding-evaluations/evaluations_en
References — 7. Humanitarian assistance

7.1 Strategic framework

http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1431445468547&uri=CELEX%3A42008X0130%2801%29


Humanitarian Shelter and Settlements Guidelines, June 2017.


Council Conclusions on Common Principles for Multi-Purpose Cash-Based Assistance to Respond to Humanitarian Needs

Guidance to partners funded by the Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO) to deliver large-scale cash transfers, November 2017.


Council Conclusions on a strategic approach to resilience in the EU’s external action, adopted by the Council at its 3574th meeting, 13 November 2017, Doc. No 14191/17.

7.2 Effective programme design

DG ECHO annual priorities for humanitarian aid:
https://ec.europa.eu/echo/who/accountability/strategy_en

Disaster Preparedness ECHO programmes:

EU Aid Volunteers Initiative:

Enhanced Response Capacity funds:

7.3 Effective delivery, partnership and instruments

7.4 Organisation fit for purpose

The EU’s Integrated Approach to External Conflicts and Crises:


7.5 Results, learning and accountability


DG ECHO’s approach to Remote Management:
http://dgecho-partners-helpdesk.eu/actions_implementation/remote_management/start

Annual Eurobarometer surveys:
http://ec.europa.eu/commfrontoffice/publicopinion/index.cfm

Special Eurobarometer Survey on Humanitarian Aid, May 2017:
http://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/SPECIAL/surveyKy/2121
ANNEX 1: Progress against 2012 DAC Peer Review recommendations

<table>
<thead>
<tr>
<th>2012 Peer Review Recommendation</th>
<th>EU progress against recommendations</th>
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<tr>
<td><strong>Overall framework for development cooperation</strong></td>
<td>To strengthen cooperation and coordination with Member States, three policy initiatives were agreed in 2016: the ‘Global Strategy for the EU’s Foreign and Security Policy’ (June 2016), and two Commission proposals, the ‘post-Cotonou framework’ and the ‘new European Consensus on Development’ presented with the Commission communication ‘Next steps for a sustainable European future’ on 22 November 2016.</td>
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<td><strong>1.1.- Entrusting strong internal cohesion for greater development impact</strong></td>
<td>The EU institutions need to continue efforts to build a <strong>common EU strategic vision with Member States</strong>, using the proposed Agenda for Change to meet their commitment to reduce poverty.</td>
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<td>The Consensus signed in June 2017 aligns the EU’s development policy with the 2030 Agenda and its 17 Sustainable Development Goals. It sets out a common policy framework for action for the first time for all EU institutions and Member States to tackle global challenges. It signals a new era of closer EU collaboration, working together with partner countries to implement the 2030 Agenda. It approaches development cooperation from a broad perspective as part of the EU’s external action to address in a mutually beneficial way other challenges such as humanitarian action, security, migration, trade, environment and climate change.</td>
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<td>Against this background, the Consensus contributes to stronger partnerships not only with Member States, but also with the numerous actors involved in development (e.g. regional and local authorities, civil society, the private sector, parliaments etc.). The stepping up of joint programming and joint implementation, and the increase in blending operations are two examples of this more coordinated approach. Blending, together with a new guarantee fund, is a major component of the EU External Investment Plan (EIP), which has been operational since September 2017. The EIP will support more inclusive and sustainable development in Africa and the EU Neighbourhood region. It will also boost public and in particular private investment and therefore address some of the obstacles to growth in partner countries and the root causes of irregular migration. At international level, both the EU and its Member States have shown an increased capacity to coordinate and articulate their positions, as evidenced by the important role taken by the EU and Member States in shaping the negotiations for the Addis Ababa Action Agenda (AAAA) and the 2030 Agenda.</td>
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<td>One example of this close coordination is the common core script that was agreed between the EU and its Member States for the High-level Political Forum held in New York in July 2017 and that guided EU action during the conference. Another example is the Second High-level Meeting of the Global Partnership for Effectiveness in Development Cooperation (HLM2). The Nairobi Outcome Document released in December 2016 represents a step forward in general compared to previous documents</td>
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1.2.- Having the right strategies and building public support for the 2014-2020 framework

To influence the next financial framework so that it supports the EU’s strategic priorities, the Commission and EEAS should:

- Finish or update strategies, action plans or guidance, especially those addressing security and transition, private sector development and mainstreaming the environment.

- Strengthen efforts to communicate results to increase transparency and make the public more aware of what the development cooperation programme has achieved.

As recommended by the Peer Review, the following thematic strategies have been adopted as part of the 2014-2020 financial framework to consolidate EU support in achieving the Sustainable Development Goals, and its predecessor, the Millennium Development Goals:

a) On security and transition, relevant initiatives have been adopted at policy level since 2012; this led to the adoption, at operational level, of two guidance notes in 2013, and the 2015 and 2016-2017 action plans for implementing the EU’s comprehensive approach to external conflicts and crises. The Commission also adopted a communication on capacity building for security and development (CBSD) in April 2015. The 2016 Commission work programme included a package on capacity building in the security sector that covers security sector reform and a possible new instrument for CBSD. In July 2016, a Joint Communication to support security sector reform and a legislative proposal were adopted to extend the instrument contributing to stability and peace in support of CBSD. The legislative procedure was concluded in November 2017, and the amendment of the instrument was adopted by the Council on 7 December 2017. Implementation of the EU Global strategy included a Joint Communication on a Strategic Approach to Resilience, which was issued in June 2017 and welcomed by the Council in its conclusions of 13 November 2017.

b) On private sector development (PSD) and private sector engagement (PSE), the Commission adopted a communication in May 2014 that makes reference to 12 areas of action. These range from support for advisory services and state-of-the-art diagnostics through to support for vocational training, financial inclusion and its gender dimension, as well as access to finance through blending operations in renewable energy, agricultural value chains, infrastructure and the green economy. The implementation of this strategy is underway, and the recently adopted EIP is its visible application. The EIP aims to leverage private sector investments in Africa and the EU Neighbourhood and is aligned with the EU’s partner countries’ priorities. As a result, PSD or sectors directly linked to it (employment, economic governance, inclusive productive investment etc.) play an increasingly important role in partner countries. For the majority of ACP countries, PSD should be mainstreamed in specific sectors (e.g. agriculture, energy, infrastructure or the environment) and in the EU’s policy dialogue on economic governance. The EU is also actively working to establish wider strategic partnerships that can facilitate PSE within the SDG framework (like the Sustainable Business for Africa platform). In November 2017, the Commission also adopted a communication on helping developing countries to achieve prosperity through trade and investment in view of updating the Joint EU strategy on Aid for Trade. It sets out a renewed vision on how to help developing countries fight poverty and create more and better jobs through trade and investment. The updated ‘Aid for Trade’ strategy 2017 builds on 10 years of EU Aid for Trade assistance and establishes guidance on: (i)
reducing fragmentation while increasing the leverage of aid for trade, (ii) increasing relevance through more evidence-based and stakeholder-informed aid delivery, (iii) embracing environmental and social sustainability alongside economic development, (iv) differentiating approaches towards Least Developed Countries (LCDs) and countries in situation of fragility.

c) Significant progress has been made in **mainstreaming environment and climate change** in EU support to sectors such as infrastructure and agriculture/rural development, as shown in the evaluation of EU support to the environment and climate change in non-EU countries during 2007-2013. In February 2016, DG DEVCO published a set of guidelines on integrating the environment and climate change in EU international cooperation and development. However, **the EU still lacks a strategy in this area**. It also needs to improve synergies and strengthen mainstreaming in EU support across sectors by linking future thematic supported mainstreaming projects and non-environment/climate change interventions in country programmes.

d) Significant progress has been made in **communication**, stemming from Commission initiatives. The Commission adopted a new approach to communication in April 2016, which responds to the President’s priority of positioning the EU as a global player. This approach aims to strengthen consistency between internal and external communication efforts as well as align external communications with the political priorities. As part of **DG DEVCO’s new communication strategy** adopted in 2013, several initiatives have been launched on awareness raising and education: a) EU Aid Explorer; b) a revamped Europa website; c) a refocus of the Development Education and Awareness Raising programme; and d) the European Year for Development 2015.

More specifically, the Commission has improved how it **communicates results** with strategic evaluation reports (geographic, thematic, aid modalities and instruments) being published on its website and on the OECD/DAC website. In addition, two major improvements have been made since 2012: the first results report framework was issued (2015) and the Better Regulation (BR) guidelines were released and implemented. Since 2015, successive rounds of results reporting have been included in the EU’s Annual Report.

<table>
<thead>
<tr>
<th>Promoting development beyond aid</th>
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<tr>
<td><strong>2.1.- Strong political will must drive an EU-wide approach to policy coherence for development (PCD)</strong></td>
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<tr>
<td><strong>To give PCD sufficient weight</strong> in EU decision making, the Council of the EU should forge <strong>political will</strong> and</td>
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<tr>
<td>Several recent initiatives have helped strengthen policy coherence for development (PCD) of EU policies:</td>
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<tr>
<td>A coordination system made up of <strong>EU Commissioners (project teams)</strong> for external action has been put in place during the current Commission under the chairmanship of the High Representative of the Union for Foreign Affairs and Security Policy and Vice-President of the Commission. The First Vice-President coordinates a project team tasked with implementing the Sustainable Development Goals</td>
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reinforce existing mechanisms. (SDGs).

**Impact Assessments** of new legislation are a key tool for promoting PCD in new policy initiatives or proposals for policy revision. Specific guidance for ensuring that the impact on developing countries is taken into account was included in the latest review of the Commission Impact Assessment guidelines (May 2015) and further amended in July 2017.

At the request of the Council, to strengthen the role of EU delegations on PCD, an initial joint reporting exercise (Commission and EEAS) on PCD issues took place in 2014 and has been introduced as a standard feature in the annual External Annual Management Report since 2015.

The Council has recognised the need to discuss PCD-related issues regularly at ministerial level (Foreign Affairs Council — Development segment) and such discussions, when appropriate, have taken place (for example in relation to migration). Member States have made steady progress in their agenda on PCD. On 20 June 2017, in its Conclusions on ‘A sustainable European future: The EU response to the 2030 Agenda for Sustainable Development’, the Council underlined ‘the fundamental importance of Policy Coherence for Sustainable Development (PCSD) to achieve the integrated 2030 Agenda.’ It recognised that PCD is key to achieving the SDGs and makes an important contribution to the broader objective of PCSD. It reaffirmed the EU’s and Member States’ commitment to inter-linkages, coherence and consistency between the different policy sectors.

To better integrate PCD into the overall EU approach to 2030 Agenda implementation, work on PCD accompanies work on sustainable development coordinated by an inter-service group led by the Secretariat-General of the Commission.

An independent and comprehensive evaluation on PCD was launched in early 2016, and the results expected by mid-2018 will guide future work.

<table>
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<tr>
<th>2.2.- The Commission: a well-structured approach, with potential for influencing policies further</th>
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<tbody>
<tr>
<td>To get the most out of PCD mechanisms and strengthen the evidence needed to inform decision making, the Commission and EEAS should:</td>
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<tr>
<td><strong>Strengthen knowledge management</strong>, making more use of internal and external capacity.</td>
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<td><strong>Develop and implement a strategy on</strong></td>
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<tr>
<td><strong>In June 2015, DG DEVCO created the Task Force Knowledge, Performance and Results</strong> to help transform it into a learning, results-oriented, innovating organisation. The Task Force focuses on two key phases of the policy-to-implementation cycle:</td>
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<tr>
<td>• the first phase accompanies the translation of policies into measures by developing methodological tools, results reporting, IT support systems and training to ensure quality of operations.</td>
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<tr>
<td>• the second, focusing on feedback and input, develops a set of deliverables in order to constantly improve efficiency and the effectiveness of actions.</td>
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<tr>
<td>While internal capacity continues to be used, use of external capacity has been stepped up by means of</td>
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**development research** which would include producing evidence on policy coherence for development.

Together with Council and Parliament, **improve awareness and training for officials** to deal with PCD, at headquarters and in Delegations.

Regular seminars and workshops. However, there is still some scope to involve other Commission DGs in consultation processes on the internal capacity side as well as to provide feedback after consultation with independent research centres and to allow for policies to be subsequently revised.

DG DEVCO has carried out **independent evaluations** of past EU support to Research and Innovation for development at both thematic and (ACP) programme levels. Key recommendations are being implemented at programme level.

On **awareness of PCD by officials**, an e-learning module to train EU delegations on PCD-related issues was published in September 2016, which followed up on the findings from the EU delegations reporting exercise.

The 2016 strategic evaluation of EU support to Research and Innovation for development in partner countries concluded that while DG DEVCO has achieved a lot with its support to R&I at sectoral level, the lack of an overarching strategy or explicit policy-level commitment detracted from the potential overall development impact of its work.

An evaluation of the EU’s PCD is ongoing after the roadmap was published in April 2016 in line with the Better Regulation guidelines. An Open Public Consultation was scheduled for April 2017, with a staff working document to follow in early 2018.

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### Aid volume and allocation

3.1.- **The challenge of meeting the 0.7 % target in a time of crisis**

To confirm their strong role in development cooperation and help meet the EU collective 0.7 % ODA/GNI target, the EU institutions should:

- Review and update the **roadmap to meet the EU targets**.

- Analyse and share with Member States the **benefits to be expected from meeting the target** levels of ODA.

**New development and cooperation instruments** were adopted in 2014 and these have updated EU development policy to today’s environment, including the Agenda for Change vision. Despite the challenging environment in which the 2014-2020 financial framework was negotiated (financial crisis still ongoing, fiscal crunch), it ensures the significant role of EU development cooperation policy with **a funding provision that has slightly increased** compared to the previous financial framework.

In 2015, the EU and its Member States undertook **ambitious official development assistance (ODA) commitments** following the UN Conference on Financing for Development in Addis Ababa and the adoption of the 2030 Agenda framework. The EU and its Member States are committed to collectively providing 0.7 % of gross national income (GNI) as ODA by 2030, and individually to 0.7 % (for the Member States that joined before 2002) and 0.33 % (for those that joined after 2002). Collectively, Member States also agreed to provide 0.15 % of GNI as ODA to LDCs in the short term by 2020, rising to 0.20 % in the time frame of the 2030 Agenda. The commitments are enshrined in the EU’s framework for development policy and cooperation, the European Consensus on Development, which was signed by the Commission, the Council and the Parliament in 2017.
The EU and its Member States increased their ODA for the fourth year in a row in 2016. It grew rapidly from 2014-2015 to reach 0.53 % of ODA/GNI in 2016. This is significantly above the non-EU DAC country average of 0.21 % ODA/GNI.

Five Member States (DK, DE, LU, SE, and the UK) have already met the 0.7 % ODA/GNI individual target. The Commission will continue to encourage Member States to honour their individual ODA commitments. It will also continue to promote transparency and accountability, and is currently in the process of preparing the Financing for Development report in order to monitor progress on meeting the commitments of the AAAA.

3.2.- Making the best of an impressive outreach

To support their strategic orientations, the EU institutions should:

Develop sound exit strategies in countries where they plan to phase out, taking into account division of labour, and thinking further on how to engage on global public goods.

Be even more strategic in their engagement with multilateral organisations, building on synergies to have the greatest impact, and being transparent about their engagement and streamlined in their financial and administrative arrangements.

Following the differentiation principle in the Agenda for Change, 16 Upper Middle Income Countries (UMICs) graduated from bilateral cooperation aid in the Development Cooperation Instrument (DCI) in 2014-2020. In addition, some UMICs (Iraq, Turkmenistan, Ecuador, Peru and Colombia) have phasing-out periods of 3 years in bilateral aid; in some cases, this period may be extended following case-by-case analysis (e.g. support to help implement the peace deal in Colombia or to Peru after the recent natural disasters). The differentiation principle was further ensured by the application of a common methodology for allocation of country-level resources to both the DCI and the European Development Fund (EDF) in 2014-2020. It resulted in a substantial increase in allocations to Least Developed Countries and Low Income Countries (from 62.2 % to 75.2 %) and an associated reduction in allocations to UMICs (from 12.6 % to 3.3 %) and Lower Middle Income Countries (from 25 % to 21.5 %). At the same time, DG DEVCO has developed approaches, particularly in Latin America and Asia, on how to cooperate with UMICS as part of regional and thematic programmes. Given the universality of the 2030 Agenda, the Consensus stresses the commitment to cooperate with all developing countries, in an increasingly diversified and tailored manner, in order to achieve the SDGs. Against this background, it states that the EU and its Member States will engage in policy dialogue and partnerships with Middle Income Countries. It highlights the need to develop innovative engagement with more advanced developing countries, above and beyond financial cooperation, as these countries need fewer or no concessional forms of assistance. Based on the Consensus, the Council of EU Ministers for Development Cooperation is following up on this. The European External Action Service (EEAS) and DG DEVCO are working on a concept to further operationalise the Consensus in this respect.

On the concentration principle, EU bilateral cooperation aid has been concentrated in a maximum of three sectors in most developing countries in 2014-2020. Sectors have been selected in an inclusive way with Member States and other donors in order to strengthen the in-country sector division of labour. Joint programming has been used for the first time in this programming period.

On multilateral organisations, DG DEVCO started to reflect on ways to engage more strategically
with multilateral organisations in 2014 in order to improve partnerships and to ensure that allocations are carried out based on comparative advantages and value for money. To this end, it revised the rules of the Quality Support Group. Dialogues between DG DEVCO and international organisations were brought to a new level (e.g. ‘deep dive’ with the World Bank). In addition, coordination and the exchange of information between Commission DGs have been increased, with DG DEVCO setting up Commission contact groups on international organisations/international financial institutions.

### Organisation and management

| 4.1.- The importance of managing change and people well | Since the entry into force of the Lisbon Treaty, a number of working arrangements and instruction notes have been agreed between the EEAS and Commission departments to ensure synergies and division of work both at headquarters and in EU delegations. Constant flows of communication between the two are in place, including recurring meetings involving DG DEVCO’s Director-General and EEAS’s Secretary-General (or Deputy Secretary-General on economic and global issues) on key issues of common interest. The monthly meeting of the Commissioners’ Group on External Action, chaired by the High Representative/Vice-President, ensures coordination and coherence of external action.

DG DEVCO remains committed to becoming a learning, knowledge-based organisation (see Chapter 2.2), promoting the capitalisation of knowledge and expertise. It will maintain, develop and use expertise and knowledge by deploying a wide range of learning and knowledge management measures and tools, such as:

- adopting a learning and knowledge development strategy (LKDS) action plan for 2014-2020;
- developing a system to capture and share knowledge of key staff leaving or changing post through workshops and seminars;
- improving knowledge transfer processes among staff;
- strengthening DG DEVCO’s already extensive training programme (including the development of e-learning activities) and making use of platforms such as Learn4dev, the Practitioners’ Network for European Development Cooperation or Capacity4dev.

A mid-term review of the LKDS action plan has been planned to provide information on the overall implementation of the strategy since its launch in 2014 and on the needs for adaptation — taking into account recent institutional changes, updated business objectives and lessons learned in order to renew it for 2018-2020.

However, the current system, in particular how staff are rotated between headquarters and delegations, does not encourage staff specialisation. There is still no proper career path planning for officials. Some

| 4.1.- The importance of managing change and people well | Monitor how the division of responsibilities agreed between the Commission and the EEAS works in practice and improve it in ways that avoid overlaps and ensure synergies. This should accompany more streamlined processes.

Make knowledge management a corporate priority, invest further in staff expertise, offer career incentives for specialising, and make effective use of contract agents.
progress has been made recently in making the most effective use of contract agents both in delegations and at headquarters, but results have been mixed and the difficulty in retaining expertise within the organisation remains.

<table>
<thead>
<tr>
<th>4.2.- Modernising management of EU development cooperation by devolving and simplifying building on progress already made, the EU institutions can <strong>further simplify and modernise</strong> their development cooperation by:</th>
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<tr>
<td>The number of budget lines has been reduced; in particular, the DCI has reduced the number of thematic programmes to two: ‘Global Public Goods and Challenges’ and ‘Civil Society and Local Authorities’. The <strong>EDF and DCI have been almost completely harmonised</strong>, including their programming cycles. Procurement eligibility has also been extended slightly towards more untied aid. The mid-term review of the external financing instruments 2014-2020 and the performance review of the 11th EDF will contain an assessment of the effect that the above-mentioned measures have had.</td>
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<tr>
<td>Reducing the number of <strong>budget lines</strong> and continuing aligning rules for implementation of DCI and EDF.</td>
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<tr>
<td>Further <strong>streamlining approval procedures</strong>, particularly for small-scale activities or annual action plans, where multi-year plans have already been approved.</td>
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<tr>
<td>Involving Delegations more closely in designing regional and thematic programmes to make aid flows more predictable, and ensure they are able to build a coherent programme at country level.</td>
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<tr>
<td>A comprehensive <strong>exercise on simplification of internal processes and procedures</strong> was completed in 2014 and implemented in 2015. As a result, simplification measures were introduced in the management of calls for proposals/tenders, the management of different contract types (grants, works, supplies, services, delegation agreements with international organisations and programme estimates) and the system of derogations used under external actions.</td>
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<tr>
<td>The programming of HQ-managed thematic programmes/instruments and regional multi-country programmes has been taking place in parallel to that of geographic programmes; the EEAS and DG DEVCO have jointly been providing information to EU delegations on their purpose and scope. For country programming and part of regional/sub-regional programming, delegations have also taken the lead on the preparatory work. However, they still have limited capacity to decide on thematic and regional funding. Procedures for approval and contracting remain complex and heavy.</td>
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<tr>
<th>4.3.- Fine tuning monitoring and evaluating for stronger emphasis on results and learning</th>
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<tr>
<td>The European Commission should <strong>increase the focus on results</strong> and enhance wider learning.</td>
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<tr>
<td>The Commission adopted the <strong>EU International Cooperation and Development Results Framework</strong> in March 2015. An initial results report was published in July 2016. Since 2015, results of completed projects are published in the annual report on the EU’s development and external assistance policies.</td>
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<tr>
<td>Two evaluation improvements have been made, which will allow for more robust information on the results achieved at project level and for better interventions thanks to lessons learned:</td>
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<tr>
<td>1) <strong>Strategic evaluations</strong> are better linked with new initiatives (application of the ‘evaluate first’ principle and the BR guidelines). In 2014, the selection criteria for the evaluations were refined and are linked to the policies set out in the Agenda for Change and the Consensus. Special attention is given to the fragile and conflict-affected countries and to the proportionate balance between the regions.</td>
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<tr>
<td>2) On <strong>projects and programmes</strong>, the Commission has established a network of evaluation</td>
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correspondents in delegations and at headquarters to exchange and promote evaluations. This was set up in order to improve the programming, representativeness, monitoring and quality of projects and programmes; a monitoring and evaluation plan is now operational to provide a five-year rolling evaluation plan of programme and project evaluations. An IT evaluation module has been developed for programme and project evaluations to improve their quality and serve as an internal repository tool for lesson learning. In 2016, the Evaluation Support Service (ESS) was set up to support delegations and headquarters by providing on-demand advice and support on any aspects related to evaluations. ESS also supports the Community of Evaluation Practice by virtue of its main channel, the Evaluation Network group in Capacity4dev.

### Improving the impact of development cooperation

#### 5.1. Fulfilling a challenging role as ‘federator’ of EU development cooperation

To realise their ambition to play a strong EU-wide role in promoting more effective development cooperation, the EU institutions should:

- Focus on **implementing the EU code of conduct**: demonstrate to politicians and practitioners the benefits of moving towards **joint programming**; and work with Member States to **identify and address obstacles** at headquarters and at country level.

  Seek to bring harmony with and among Member States’ approaches in challenging areas such as conditionality in budget support; measuring development results; and further improve alignment with partner country development plans, including synchronising programming cycles with partner countries’ cycles.

The Commission supports **joint programming** at different levels:

- **At political level**, by setting joint programming as a core component of EU development cooperation policy in bilateral meetings and international fora and through regular reporting to EU Council working parties; Council Conclusions adopted in May 2016 revived Member States’ support for the policy and acknowledged the potential of joint programming to become the preferred approach for the EU and its Member States. The Commission and the EEAS also provide input to the Global Partnership for Effective Development Cooperation (GPEDC) and other high-level meetings and processes (including support to the Global Partnership Initiative). The EU plays a strong role as a member of the GPEDC steering committee.

- **At policy level**, the Consensus reaffirms the 2016 Council Conclusions. It identifies joint programming as the key to working better together to achieve the 2030 Agenda and expects joint programming to be promoted and strengthened in order to increase its collective impact. It also highlights the importance of joint results frameworks to inform policy dialogue and strengthen mutual accountability as well as the intention of the EU and Member States to seek joint implementation modalities as a way to promote a more effective, consistent and coordinated EU response to individual country contexts.

- **At country level**, EU delegations are at the forefront of putting joint programming into practice. The independent evaluation of joint programming (2011-2015) concluded that joint programming has considerable potential to improve harmonisation, complementarity, coherence and synergies in EU and Member State aid, as well to support the development of common approaches and deliver joint messages at country level. The evaluation characterised joint programming as a process and a product that builds on country relationships (and national development strategies) and that needs to be kept strategic, flexible and pragmatic to respond to country contexts. The evaluation also recommended a clearer definition of the scope of joint
programming and the role of different stakeholders at country level.

In response, new consolidated joint programming guidance will be issued in 2018 that will share country experiences of implementing joint programming processes and how other strategic policy priorities have been addressed through joint programming processes. The guidance will also clarify legal aspects of joint programming documents. Alongside work on the updated guidance, regional seminars have been used to provide support to country-based staff (EU and Member States) on aspects of joint programming processes, supporting a knowledge-sharing approach that draws on global experiences.

Eight Member States have also issued guidelines on joint programming. In addition, the EU and some Member States intend to increase the use of joint programming documents instead of bilateral strategy documents where possible.

In countries with limited joint programming experience to date — notably many fragile and conflict-affected countries — the EU and Member States support measures to engage in joint programming processes tailored to the specific country context. Alignment with national development strategies as a basic principle of joint programming is expressed throughout the Heads of Mission reports.

The Commission has adhered to its commitment to improved donor coordination, a more effective ‘division of labour’ across sectors and increased aid effectiveness (in line with the EU code of conduct) also by means of joint operations with Member States (in particular delegated cooperation). In 2015, 21 delegated cooperation agreements were signed for a total amount of EUR 185.7 million (2.5 % of the total number of contracts signed by DG DEVCO in 2015). The results of an evaluation of delegated cooperation were published in June 2017.

In the context of the adoption of new guidelines on budget support in September 2012, large similarities were noted between the guidelines and policies of the Member States that provide budget support. The Commission also holds biannual meetings of EU technical experts on budget support with Member States and the EEAS to seek a coordinated approach to budget support.

The programming guidelines of May 2012 introduced the use, as a rule and to the extent possible, of the partner countries’/regions’ own development plans or equivalent as the basis for EU bilateral programming, including the development of joint programming documents.

The EU is at the forefront of promoting and implementing joint evaluations. Most of them focus on budget support (since 2012, seven joint evaluations of budget support have been released: Tanzania, Mozambique, Morocco, Burundi, Uganda, Burkina Faso, Sierra Leone) while one evaluation deals with EU/Member State cooperation in Burundi. Regular exchanges and coordination take place as part of
### 5.2. Next steps in making the aid programme managed by the EU institutions more effective

To consolidate progress in making development cooperation more effective, the EU institutions should now:

- Examine ways to make the EU project approaches **more effective**, timely and flexible, and increase use of programme-based approaches; both approaches will continue to be needed given the range of contexts in which the EU operates.

- Implement the strategy for **reforming technical cooperation** and review how EDF cells, which support National Authorising Officers, could be **better integrated into national administrations** and contribute more to broad state capacity development.

### Towards better humanitarian donorship

#### 6.1. Humanitarian coherence across the Commission, with Member States, and in the field

To implement the EU Consensus on Humanitarian Aid, ECHO should help Member States **to share policy guidance and learning**, and to plan complementary responses and advocacy messages.

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The working party on Humanitarian Aid and Food Aid (COHAF) is still the main forum for sharing policy guidance and learning and for planning complementary responses and advocacy messages. Major, sudden-onset and protracted or forgotten crises are systematically discussed with Member States so that a **coordinated EU donor response** is developed. For example, COHAF common humanitarian messages on the Syria crisis were agreed and subsequently transformed into EU common messages. Common advocacy messages have been endorsed on a wide range of crises; efforts are made to ensure widespread use of these messages by both the Commission and the Member States.

To strengthen EU coordination and coherence, DG ECHO takes practical steps each year to share its operational and contextual knowledge with Member States, most notably by sharing its crisis and flash reports and presenting its operational strategy. Member States present reviews or newly developed national humanitarian strategies to COHAF and actively seek exchanges of best practice on this. Equally, COHAF discusses the performance of EU donors in OECD-DAC peer reviews.
informal COHAFA meetings are held; these allow for more in-depth discussions on cross-cutting issues like disaster risk reduction (DRR), resilience, cooperation with development actors, civil-military relations or common challenges to the delivery of humanitarian aid. Joint meetings are organised between COHAFA and the Working Party on Development Cooperation (on resilience, protracted displacement, cooperation between humanitarian and development actors) and with the Working Party on Civil Protection (on cooperation with civil protection authorities). Meetings are also organised with the Maghreb-Mashreq Working Party.

DG ECHO uses its Emergency Response Coordination Centre as an additional platform for convening coordination meetings on humanitarian crises with Member States. In 2016, there were key meetings on Syria regarding the Aleppo initiative, and on Iraq and Yemen. Non-EU key donors can participate when appropriate. These coordination meetings can also help make better use of synergies with regard to the civil protection community.

6.2.- From political will to effective programming: the challenges of post-crisis countries

To translate political will for building resilience and for improving support to recovery and transition environments into effective programming, ECHO, EuropeAid and EEAS should:

- Develop joint planning and analytical frameworks for fragile contexts and disaster risk reduction, and provide operational guidance for working across the Commission on these issues — the JHDFs have been used in a number of cases for joint planning in recent years.

- Increase the flexibility and timeliness of relevant financial instruments, and commit to providing appropriately skilled human resources to Delegations and field offices in high disaster risk and recovery/transition environments.

The 2014-2020 geographic financing instruments (DCI, EDF and the European Neighbourhood and Partnership Instrument) have increased flexibility in tackling crisis and post-crisis situations as well as improved the integration of links between relief, rehabilitation and development and resilience considerations in such contexts.

Policy initiatives have been launched to further strengthen the humanitarian-development nexus and are being implemented in several partner countries, in some cases through Joint Humanitarian Development Frameworks. A Joint Communication between the Commission and the EEAS seeks to better draw on humanitarian development as well as foreign policy and diplomatic capacities to support more coherent integration of the resilience approach into EU external action. In addition, DG DEVCO co-finance a number of initiatives on DRR, which complements the work funded by DG ECHO.

Four EU trust funds were established (Bêkou Trust Fund, Madad Fund, EU Emergency Trust Fund for Africa and Colombia Trust Fund) to prepare the transition from emergency response towards longer-term development assistance. The use of budget support modalities has increased in fragile and conflict-affected countries to help maintain essential state functions and basic services. The state building contract implemented in 2012 — renamed the state and resilience building contract since the Budget Support Guidelines were updated — has gained in importance and is recognised as an appropriate instrument for deploying the rapid support mechanism in difficult contexts. State building contracts exist in 22 countries, mostly in West and Central Africa.

Internal capacity (DG DEVCO, DG ECHO & the EEAS) is being developed regularly thanks to training at headquarters on topics such as:

- delivering EU assistance in fragile and crisis contexts;
- conflict sensitivity and conflict analysis (as part of the Context for Development course, as e-learning or as part of conflict analysis or conflict prevention missions, e.g. Sri Lanka, Yemen);
- joint programming with Member States;
- in-country workshops on integrating resilience into the programming process;
- DRR training.

To build on lessons learned, DG DEVCO evaluated the EU’s approach to building resilience to withstand food crises in African drylands (Sahel and Horn of Africa) during 2007-2015. The results were made available and disseminated in a seminar held on 15 November 2017 and will be mainstreamed through the EU activities in support of food security resilience.

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<tr>
<th>6.3.- Reducing cumbersome procedures</th>
<th>Speeding up project approval:</th>
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<tr>
<td>To reduce the compliance burden on partners and staff, DG ECHO should:</td>
<td>- DG ECHO’s single form for humanitarian aid projects has been simplified to the extent possible;</td>
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<tr>
<td>Reduce the barriers to strategic partnerships with the humanitarian community by speeding up partner project approvals, aligning audit and liquidation procedures, and only requiring NGO consortia in areas where they add clear value.</td>
<td>- use of standard indicators to help assess proposals;</td>
</tr>
<tr>
<td>Consider a differentiated approach to monitoring compliance, matching monitoring to the risk profile of each grant.</td>
<td>- clear deadlines have been set for the assessment of proposals; compliance with these deadlines is being monitored internally on a regular basis.</td>
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<td>Establish a rapid response mechanism for key partners.</td>
<td>Aligning audit and liquidation procedures:</td>
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<td>- liquidation and audit procedures have been reviewed to maximise efficiency and avoid duplication;</td>
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<td>- entries in the single form related to compliance issues by partners have been removed; they will now be checked at the audit stage.</td>
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<td>Requiring NGO consortia where they add clear value:</td>
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<td>- DG ECHO has defined a position of principle on this: it may signal that it will favour consortia (see point below) when the volume of funding to be devoted to a specific crisis would make it difficult to manage a potentially high number of small grants or when coordination among partners intervening in the field would help respond efficiently to the crisis;</td>
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<td></td>
<td>- The Humanitarian Implementation Plan template has been modified so that partners are informed in advance of DG ECHO’s plans on consortia.</td>
</tr>
<tr>
<td>Monitoring compliance:</td>
<td>Monitoring compliance:</td>
</tr>
<tr>
<td>Risk assessment mechanisms have been introduced at the contracting and liquidation stage; they are based on the financial management and internal control capacity of partners as well as their historical</td>
<td></td>
</tr>
</tbody>
</table>
records on operational and financial performance, errors and/or irregularities.

**Rapid response mechanism for key partners:**

While DG ECHO’s existing mechanism for rapid funding of its humanitarian partners in sudden-onset emergencies already allows for rapid decision and disbursement of funding, its new ‘Alert’ tool has further rationalised its funding streams for sudden-onset response.

On all of the above, the recent agreement on a ‘Grand Bargain’ between donors and implementing agencies will provide a framework for further progress.
ANNEX 2: DG DEVCO, DG NEAR, DG ECHO and EEAS organisational structures

Directorate-General for International Cooperation and Development (DG DEVCO)

DG DEVCO is in charge of EU development policy. It operates under the authority of the European Commissioner for International Cooperation and Development and is managed by the Director-General of the European Commission's Directorate-General for International Cooperation and Development. DG DEVCO’s staff numbers 3,600, of which 1,250 work at headquarters in Brussels and around 2,350 in delegations to non-EU countries. It is divided into a directorate for International Development Cooperation and Policy, two thematic directorates, four geographical directorates and a directorate dedicated to resource management.

![Organisational Chart of DG DEVCO]

DG DEVCO is in charge of EU development policy. It operates under the authority of the European Commissioner for International Cooperation and Development and is managed by the Director-General of the European Commission's Directorate-General for International Cooperation and Development. DG DEVCO’s staff numbers 3,600, of which 1,250 work at headquarters in Brussels and around 2,350 in delegations to non-EU countries. It is divided into a directorate for International Development Cooperation and Policy, two thematic directorates, four geographical directorates and a directorate dedicated to resource management.

DG DEVCO's staff in EU Delegations
DG NEAR manages the bulk of the EU’s financial and technical assistance to the neighbourhood and enlargement countries. It is based in Brussels and has 1,650 staff members in Brussels and in the EU delegations in the partner countries working under the authority of the European Commissioner for Neighbourhood and Enlargement Negotiations and managed by Director-General of the European Commission’s Directorate-General for Neighbourhood and Enlargement Negotiations.

**EU DELEGATIONS**

<table>
<thead>
<tr>
<th>Neighbourhood East</th>
<th>Neighbourhood South</th>
<th>Enlargement</th>
</tr>
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<tbody>
<tr>
<td>NEAR website</td>
<td>DELEGATION website</td>
<td>NEAR website</td>
</tr>
<tr>
<td>Armenia</td>
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<td>Algeria</td>
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<tr>
<td>Azerbaijan</td>
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<td>Russia</td>
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<td>Libya</td>
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<td>Ukraine</td>
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<td>Morocco</td>
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<td></td>
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<td></td>
<td></td>
<td>Tunisia</td>
</tr>
<tr>
<td></td>
<td></td>
<td>West Bank and Gaza Strip</td>
</tr>
</tbody>
</table>

**Notes:**
- Units NEAR A1, NEAR A2, and NEAR A5 have a reporting line through Deputy Director-General Popowski.
- The Advisor, Unit NEAR A3 and Unit NEAR A4 have a reporting line through Deputy Director-General Matharinos.

* Includes the HR Business Correspondent
Directorate-General for European Civil Protection and Humanitarian Aid Operations (DG ECHO)

DG ECHO is in charge of EU humanitarian aid and civil protection under the political authority of European Commissioner for European Civil Protection and Humanitarian Aid Operations and managed by Director-General of the European Commission's Directorate-General for European Civil Protection and Humanitarian Aid Operations. DG ECHO has a staff of approximately 900 people, 450 of which are based at headquarters in Brussels, along with a field network of around 450 people in 45 offices in partner countries. DG ECHO is organised into a directorate for emergency management, two geographic directorates, and a general affairs directorate.
European External Action Service (EEAS)

The EEAS is the EU’s diplomatic service and supports the High Representative/Vice-President to conduct and develop the EU’s foreign and security policy. The EEAS is managed by Secretary-General and is divided into geographical and thematic directorates. The EEAS also has common security and defence policy (CSDP) planning and crisis response departments and is responsible for the running of EU delegations and offices around the world. There are approximately 2000 staff at EEAS headquarters in Brussels and 2300 staff in EU delegations globally.
### ANNEX 3: Glossary and abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2030 Agenda</td>
<td>United Nations 2030 Agenda for Sustainable Development</td>
</tr>
<tr>
<td>5Ps</td>
<td>‘People, Planet, Prosperity, Peace and Partnership’ of the United Nations 2030 Agenda for Sustainable Development</td>
</tr>
<tr>
<td>AAAA</td>
<td>Addis Ababa Action Agenda</td>
</tr>
<tr>
<td>AAPs</td>
<td>Annual action programmes</td>
</tr>
<tr>
<td>ACP</td>
<td>African, Caribbean and Pacific</td>
</tr>
<tr>
<td>AD</td>
<td>Administrators (EU permanent officials)</td>
</tr>
<tr>
<td>AECID</td>
<td>Agencia Española de Cooperación Internacional para el Desarrollo</td>
</tr>
<tr>
<td>AFD</td>
<td>Agence Française de Développement</td>
</tr>
<tr>
<td>AfIF</td>
<td>Africa Investment Facility</td>
</tr>
<tr>
<td>AFS</td>
<td>DG DEVCO’s anti-fraud strategy</td>
</tr>
<tr>
<td>AfT</td>
<td>Aid for Trade</td>
</tr>
<tr>
<td>AGIR</td>
<td>Alliance globale pour la résilience — Sahel et Afrique de l’Ouest</td>
</tr>
<tr>
<td>AgriFI</td>
<td>Agriculture Financing Initiative</td>
</tr>
<tr>
<td>AIDS</td>
<td>Acquired Immunodeficiency Syndrome</td>
</tr>
<tr>
<td>AIF</td>
<td>Asia Investment Facility</td>
</tr>
<tr>
<td>AP</td>
<td>Action plan</td>
</tr>
<tr>
<td>CA</td>
<td>Contract Agent (EU fixed-term staff)</td>
</tr>
<tr>
<td>CBSD</td>
<td>Capacity building for security and development</td>
</tr>
<tr>
<td>CDP</td>
<td>Cassa Depositi e Prestiti SpA</td>
</tr>
<tr>
<td>CFSP</td>
<td>Common foreign and security policy</td>
</tr>
<tr>
<td>CIF</td>
<td>Caribbean Investment Facility</td>
</tr>
<tr>
<td>CMSB</td>
<td>Collect More Spend Better</td>
</tr>
<tr>
<td>CODEV</td>
<td>Council working group on Development Cooperation</td>
</tr>
<tr>
<td>Acronym</td>
<td>Full Form</td>
</tr>
<tr>
<td>---------</td>
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<tr>
<td>COP23</td>
<td>UN Climate Change Conference — Bonn 2017</td>
</tr>
<tr>
<td>CoR</td>
<td>Committee of the Regions</td>
</tr>
<tr>
<td>COREPER</td>
<td>Committee of the Permanent Representatives of the Governments of the Member States</td>
</tr>
<tr>
<td>COSO</td>
<td>Committee of Sponsoring Organisations of the Treadway Commission</td>
</tr>
<tr>
<td>CSDP</td>
<td>Common security and defence policy</td>
</tr>
<tr>
<td>CSOs</td>
<td>Civil society organisations</td>
</tr>
<tr>
<td>DAC</td>
<td>Development Assistance Committee, OECD</td>
</tr>
<tr>
<td>DCI</td>
<td>Development Cooperation Instrument</td>
</tr>
<tr>
<td>DDR</td>
<td>Disaster Risk Reduction</td>
</tr>
<tr>
<td>DEAR</td>
<td>Development Education and Awareness Raising programme</td>
</tr>
<tr>
<td>DEVE</td>
<td>European Parliament’s Committee on Development</td>
</tr>
<tr>
<td>DG</td>
<td>Directorate-General, European Commission</td>
</tr>
<tr>
<td>DG AGRI</td>
<td>European Commission Directorate-General for Agriculture and Rural Development</td>
</tr>
<tr>
<td>DG DEVCO</td>
<td>European Commission Directorate-General for International Cooperation and Development</td>
</tr>
<tr>
<td>DG ECFIN</td>
<td>European Commission Directorate-General for Economic and Financial Affairs</td>
</tr>
<tr>
<td>DG ECHO</td>
<td>European Commission Directorate-General for European Civil Protection and Humanitarian Aid Operations</td>
</tr>
<tr>
<td>DG EMPL</td>
<td>European Commission Directorate-General for Employment, Social Affairs and Inclusion</td>
</tr>
<tr>
<td>DG HOME</td>
<td>European Commission Directorate-General for Migration and Home Affairs</td>
</tr>
<tr>
<td>DG NEAR</td>
<td>European Commission Directorate-General for Neighbourhood Policy and Enlargement Negotiations</td>
</tr>
<tr>
<td>DG REGIO</td>
<td>European Commission Directorate-General for Regional and Urban Policy</td>
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<tr>
<td>DRM</td>
<td>Domestic resource mobilisation</td>
</tr>
<tr>
<td>EAMR</td>
<td>External Assistance Management Report</td>
</tr>
<tr>
<td>EAR</td>
<td>EU’s Emergency Aid Reserve</td>
</tr>
</tbody>
</table>
EDF  European Development Fund
EEAS  European External Action Service
EEN  European Expert Network
EERC  European Emergency Response Capacity
EESC  Economic and Social Committee
EFSD  European Fund for Sustainable Development
EIB  European Investment Bank
EIDHR  European Instrument for Democracy and Human Rights
EIP  External Investment Plan
ElectriFI  Electrification Financing Initiative
Enabel  Belgian development agency; former BTC — Belgian technical cooperation
ENI  European Neighbourhood Instrument
EP  European Parliament
ERCC  Emergency Response Coordination Centre
ESSN  Emergency Social Safety Net
EU  European Union
EUCPM  EU Civil Protection Mechanism
EUMC  EU Military Committee
EUR  Euro (currency)
EURF  EU Results Framework
EUTFs  European Union Trust Funds
EVALNET  OECD/DAC Network on Evaluation
EVI  Economic Vulnerability Index
FAC-DEV  Foreign Affairs Council — Development segment
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>FAO</td>
<td>Food and Agriculture Organisation of the United Nations</td>
</tr>
<tr>
<td>FAST</td>
<td>Financial Assistance Steering Committee (DG NEAR)</td>
</tr>
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<td>FPA</td>
<td>Framework Partnership Agreement</td>
</tr>
<tr>
<td>FPI</td>
<td>Foreign Policy Instruments</td>
</tr>
<tr>
<td>G20</td>
<td>Argentina, Australia, Brazil, Canada, China, France, Germany, India, Indonesia, Italy, Japan, Republic of Korea, Mexico, Russia, Saudi Arabia, South Africa, Turkey, the United Kingdom, the United States and the European Union</td>
</tr>
<tr>
<td>G7</td>
<td>Canada, France, Germany, Italy, Japan, the United Kingdom and the United States</td>
</tr>
<tr>
<td>GAP II</td>
<td>Gender action plan II</td>
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<tr>
<td>GIPs</td>
<td>General Implementation Provisions</td>
</tr>
<tr>
<td>Global strategy</td>
<td>Global strategy for the European Union’s foreign and security policy</td>
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<tr>
<td>GNI</td>
<td>Gross National Income</td>
</tr>
<tr>
<td>GPEDC</td>
<td>Global Partnership for Effective Development Cooperation</td>
</tr>
<tr>
<td>GPIs</td>
<td>Global Partnership Initiatives</td>
</tr>
<tr>
<td>HAI</td>
<td>Human Asset Index</td>
</tr>
<tr>
<td>HIPs</td>
<td>Humanitarian implementation plans</td>
</tr>
<tr>
<td>HIV</td>
<td>Human Immunodeficiency Virus</td>
</tr>
<tr>
<td>HoMs</td>
<td>Heads of Mission</td>
</tr>
<tr>
<td>HRVP</td>
<td>High Representative of the Union for Foreign Affairs and Security Policy and Vice-President of the Commission</td>
</tr>
<tr>
<td>IAF</td>
<td>Integrated Analysis Framework</td>
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<tr>
<td>IATI</td>
<td>International Aid Transparency Initiative</td>
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<td>ICF</td>
<td>Internal Control Framework</td>
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<tr>
<td>ICRC</td>
<td>International Committee of the Red Cross</td>
</tr>
<tr>
<td>IcSP</td>
<td>Instrument contributing to Stability and Peace</td>
</tr>
<tr>
<td>IDPS</td>
<td>International Dialogue on Peacebuilding and Statebuilding</td>
</tr>
<tr>
<td>Acronym</td>
<td>Full Form</td>
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<tr>
<td>IFCA</td>
<td>Investment Facility for Central Asia</td>
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<tr>
<td>IFIs</td>
<td>International Financial Institutions</td>
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<td>IFP</td>
<td>Investment Facility for the Pacific</td>
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<td>IHL</td>
<td>International Humanitarian Law</td>
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<td>ILO</td>
<td>International Labour Organisation</td>
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<td>IMF</td>
<td>International Monetary Fund</td>
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<tr>
<td>INSC</td>
<td>Instrument for Nuclear Safety Cooperation</td>
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<td>IOs</td>
<td>International organisations</td>
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<td>IPA</td>
<td>Instrument for Pre-accession Assistance</td>
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<td>ISC</td>
<td>Inter-service consultations</td>
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<td>ITF</td>
<td>Africa Infrastructure Trust Fund</td>
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<td>KfW</td>
<td>Kreditanstalt für Wiederaufbau</td>
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<td>LAIF</td>
<td>Latin America Investment Facility</td>
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<td>LAs</td>
<td>Local authorities</td>
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<td>LDCs</td>
<td>Least Developed Countries</td>
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<td>LICs</td>
<td>Low Income Countries</td>
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<td>LKDS</td>
<td>Learning and knowledge development strategy 2014-2020</td>
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<td>LMICs</td>
<td>Lower Middle Income Countries</td>
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<tr>
<td>MCDA</td>
<td>Guidelines on the Use of Military and Civil Defence Assets to Support UN Humanitarian Activities in Complex Emergencies</td>
</tr>
<tr>
<td>MFF</td>
<td>Multiannual financial framework</td>
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<td>MICs</td>
<td>Middle Income Countries</td>
</tr>
<tr>
<td>MM</td>
<td>Management Meetings</td>
</tr>
<tr>
<td>MS</td>
<td>European Union Member State/s</td>
</tr>
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<td>MSMEs</td>
<td>Micro, small &amp; medium-sized enterprises</td>
</tr>
<tr>
<td>Acronym</td>
<td>Description</td>
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<tr>
<td>NGOs</td>
<td>Non-governmental organisations</td>
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<td>NIF</td>
<td>Neighbourhood Investment Facility</td>
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<td>OCTs</td>
<td>Overseas Countries and Territories</td>
</tr>
<tr>
<td>ODA</td>
<td>Official Development Assistance</td>
</tr>
<tr>
<td>OECD</td>
<td>Organisation for Economic Cooperation and Development</td>
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<td>OeEB</td>
<td>Oesterreichische Entwicklungsbank</td>
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<td>OJ</td>
<td>Official Journal of the European Union</td>
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<tr>
<td>OLAF</td>
<td>European Anti-Fraud Office</td>
</tr>
<tr>
<td>OLICs</td>
<td>Other Low Income Countries</td>
</tr>
<tr>
<td>Paris Agreement</td>
<td>Paris Agreement on Climate Change</td>
</tr>
<tr>
<td>PCD</td>
<td>Policy coherence for development</td>
</tr>
<tr>
<td>PCSD</td>
<td>Policy coherence for sustainable development</td>
</tr>
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<td>PCT</td>
<td>Platform for Collaboration on Tax</td>
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<td>PFM</td>
<td>Public finance management</td>
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<td>PRAG</td>
<td>Practical Guide for Procurement and Grants for European Union External Actions</td>
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<td>PRO-ACT</td>
<td>Pro-Resilience Action fund</td>
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<td>Proparco</td>
<td>Promotion et Participation pour la Coopération économique</td>
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<td>PSC</td>
<td>Political and Security Committee</td>
</tr>
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<td>PSE</td>
<td>Private sector engagement</td>
</tr>
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<td>QSGs</td>
<td>Quality Support Groups</td>
</tr>
<tr>
<td>RBA</td>
<td>Rights-based approach</td>
</tr>
<tr>
<td>REFLECT</td>
<td>Reflecting on Experience for Learning, Enhancing Capacity and Uptake programme</td>
</tr>
<tr>
<td>ROM</td>
<td>Results-Oriented Monitoring</td>
</tr>
<tr>
<td>SDGs</td>
<td>Sustainable Development Goals</td>
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<td>Acronym</td>
<td>Description</td>
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<tr>
<td>SHARE</td>
<td>‘Supporting the Horn of Africa’s Resilience’ initiative</td>
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<td>SIMEST</td>
<td>Società italiana per le imprese all’estero SpA</td>
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<td>SNEs</td>
<td>Seconded National Experts</td>
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<td>SOFID</td>
<td>Sociedade para o Financiamento do Desenvolvimento Instituição Financeira de Crédito, S.A</td>
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<td>SRBCs</td>
<td>State and Resilience Building Contracts</td>
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<td>SSR</td>
<td>Security Sector Reform</td>
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<td>SWD</td>
<td>Staff working document</td>
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<td>Treaty on the European Union</td>
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<td>TF</td>
<td>Trust Funds</td>
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<tr>
<td>TFEU</td>
<td>Treaty on the Functioning of the European Union</td>
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<tr>
<td>the Consensus</td>
<td>The new European Consensus on Development, ‘our world, our dignity, our future’</td>
</tr>
<tr>
<td>TOSSD</td>
<td>Total Official Support for Sustainable Development</td>
</tr>
<tr>
<td>UMICs</td>
<td>Upper Middle Income Countries</td>
</tr>
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<td>UN</td>
<td>United Nations</td>
</tr>
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<td>UNDP</td>
<td>United Nations Development Programme</td>
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<td>United States of America</td>
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<td>World Bank Group</td>
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<td>Western Balkans Investment Framework</td>
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<td>World governance indicators</td>
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<td>World Humanitarian Summit</td>
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