

**EVALUATION  
OF EC AID DELIVERY  
THROUGH CIVIL SOCIETY ORGANISATIONS**

Final Report

Volume 2

Contract Number: EVA/116-833

Service Contract for the Evaluation (sectoral and thematic) of European Commission Programmes and Policies in Third Countries, relating to Social and Human Development issues.

December 2008

*Evaluation for the European Commission*





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Countries, relating to Social and  
Human Development issues.

## Evaluation of EC aid delivery through Civil society organi- sations

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The opinions expressed in this document represent the authors' points of view, which are not necessarily shared by the European Commission or by the authorities of the countries concerned



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## **ANNEX I: ToR**



EUROPEAN COMMISSION  
EuropeAid Co-operation Office

**Evaluation**

**Evaluation of EC aid delivery  
through Civil society organisations**

**TERMS OF REFERENCE**

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## 1. MANDATE

The European Commission (EC) proceeds to a systematic and timely evaluation of its expenditure programmes, as a means of accounting for the management of the allocated funds and of promoting a lesson-learning culture throughout the institution. Particularly, through this external independent evaluation, the Commission wants to assess to what extent its aid delivery through Civil society organisations (CSOs) is in line with policy objectives and requests recommendations on how continuously improve performance and impact in the future.

The evaluation of the "EC aid delivery through Civil society organisations" was included in the 2006 work programme of the Evaluation Unit, as approved by the Commissioner for External Relations and European Neighbourhood Policy in agreement with the Commissioner for Development and Humanitarian Aid.

## 2. BACKGROUND

The EC has a long standing relationship with Civil society organisations (CSOs) in development<sup>1</sup>.

CSOs have been active in EC external co-operation through capacity development, public awareness and development education, north-south networking, political and social dialogue and service delivery.

CSOs activities have been supported by the EC through different financial instruments: specific budget lines such as NGOs<sup>2</sup> and Decentralised co-operation<sup>3</sup> (these two instruments have been merged in 2006<sup>4</sup>), thematic budget lines<sup>5</sup> (for which the Commission has formalised the participative approach in 2002<sup>6</sup>) and the various geographic funds allocated from EU budget and

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<sup>1</sup> EC relationships with civil society organisations is strong both for humanitarian and development aid. This Evaluation does not cover humanitarian aid interventions. Nevertheless, it will take into account aid which has been conveyed through CSOs on the basis of Commission's Communication COM (2001)153 "Linking Relief Rehabilitation and Development".

<sup>2</sup> Created in 1976. The latest NGOs co-financing Budget line evaluation was carried out in December 2000.

<sup>3</sup> Created in 1992, though the first relevant legal base for Decentralised co-operation budget line is Regulation 1659/98, subsequently extended by Regulation 995/2002 until December 2003 and replaced in April 2004 by Regulation 625/2004. Latest evaluation of "Decentralised co-operation budget line 21.02.13" was carried out in 2006.

<sup>4</sup> COM(2006)19.

<sup>5</sup> Food Security (B7-20), Human rights and Democracy (B7-70), Decentralised co-operation (B7-6002), Environment and Forests (B7-6200), Aid for Poverty related diseases (B7-6211), Contribution to the World Health fund (B7-6212), Gender (B7-622), Capacity building for ITC and sustainable energy (B7-623) Children rights in development co-operation (B7-624), Education and Health care for disabled (B7-625), Nord-South co-operation in campaign against drug abuse (B7-6310), Reproductive Health care (B7-6312), Basic Education (B7-6313), Community participation in anti personnel mines (B7-661) Rehabilitation and Refugees instrument (19.100.300), Rapid reaction mechanism, along with NGO co-financing (B7-6000).

<sup>6</sup> COM (2002) 598.

EDF, on the basis of provisions of the different Regulations and Agreement ALA<sup>7</sup>, MEDA<sup>8</sup>, TACIS<sup>9</sup>, Lomé IV and Cotonou.

The varied activities supported are linked to the different geographic contexts. Particularly, in **Latin America** CSOs have been involved in a parallel political dialogue at regional, sub-regional and in some cases national level; in the **Mediterranean area** CSOs are supported in consolidating poverty reduction and social development activities and governments are asked to dialogue with civil society and work together in some programmes' implementation. In the **ACP countries** CSOs participation is open and encouraged along all development process. CSOs, for historical reasons have traditionally been privileged partners of the EC in **South Africa**, moreover a specific Trade, Development and Co-operation Agreement encourages dialogue and partnership between the public authorities and civil society. As far as **Asia** is concerned several bilateral agreements foresee to consult civil society, while some specific *fora* have been set up for dialogue. CSOs in **Central Asia** have been supported for capacity building towards institutional, legal and administrative reforms<sup>10</sup>.

In 2001, in the white book on European governance<sup>11</sup> the Commission underscored its commitment for strengthening dialogue with non-governmental actors in third countries when developing policy proposals with an international dimension, recognising the important role of CSOs in supporting the hard reaching populations and their early warning capacity for the direction of political debate (...)."

With the "European Consensus"<sup>12</sup> the EU has reiterated its support to a broad participation of all stakeholders in countries' development and encourages all parts of society to take part to participate in the political, social and economic dialogue processes in all their dimensions and at different levels. Particularly, it has been auspicated a broader participation in preparation of the National Development Strategies and EC response strategies, policy dialogue once sector of intervention have been agreed upon, implementation and reviewing processes.

### ***Working definition functional to the purpose of this Evaluation***

Throughout different EC documents, the definition of "Civil society organisations" does not always coincide. It is drawn on different criteria, i.e. by opposition to state representatives or upon their structures and also by nature of their activities. It is therefore relevant to the purpose of this evaluation to have **a working definition**. This definition is intended to be as inclusive as possible<sup>13</sup> in order to suit different geographical contexts.

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<sup>7</sup> ALA Regulations: 443/92, 807/2003, 2112/2005. Specific regional and sub-regional evaluations have been carried out in 2002, 2004 and 2005.

<sup>8</sup> MEDA Regulations: 1488/96 and 2698/2000. A specific evaluation was carried out in 2003.

<sup>9</sup> TACIS Regulation: 99/2000 (new regulation under preparation). Specific evaluations have been carried out in 2000 and 2006.

<sup>10</sup> Western Balkans countries are not covered by this evaluation as under the responsibility of Directorate General for Enlargement.

<sup>11</sup> COM (2001)428.

<sup>12</sup> "European Consensus on development" Joint Statement by the Council and the representatives of the governments of Member States meeting with the Council, the European Parliament and the Commission" Official Journal C46 (2006).

<sup>13</sup> - Art. 6 of the Cotonou agreement;

To be more precise, the working definition is **comprehensive of** non-governmental organisations, civil society in all its forms according to national characteristics, local and traditional communities, institutes, cooperatives, community based organisations and their representative platforms in different sectors, social partners (trade unions, employers associations), the private sector associations and business organisations, associations of churches and confessional movements, universities, cultural associations, media.

### 3. PURPOSE AND SCOPE

The purpose of the evaluation is to have a comprehensive picture of aid delivery through CSOs, to define where lays the added value of aid delivery through CSOs, with relation to different geographical and political contexts in terms of relevance, effectiveness, efficiency, effects (outputs, outcomes and impact), sustainability, EU visibility and to identify evidence, best practices, lessons and recommendations.

The evaluation shall be *forward looking*, providing lessons and recommendations for the continued support of CSOs within the present context and relevant political commitments such as the European consensus<sup>14</sup> and the Paris Declaration<sup>15</sup>.

The evaluation shall cover aid implementation over the period 1996-2006. If proved difficult to retrieve data, the scope time frame will be reduced in agreement with the Evaluation Unit. The evaluation shall lead to conclusions based on objective, credible, reliable and valid findings and provide the EC with a set of operational recommendations. It should come to a general overall judgement on the EC co-operation through CSOs as implementing actors. This judgement should build upon well-founded conclusions regarding the fundamental aspects of the EC approach.

The Consultant shall assess the geographic, thematic and legal (regulations, agreements, etc.) aspects of co-operation.

#### *Geographical*

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- ALA Regulation 443/92 as modified by Regulation 807/2003 and 2112/2005: the ALA regulation does not provide a specific definition for CSOs, it nevertheless refers, in terms of eligibility, to "local and traditional communities, institutes and private sector including –cooperatives and non governmental organisations";

- COM (2002) 598 : provides with a definition of non-state actors inclusive of a range of organisations that bring together the principal, existing or emerging, structures of the society outside the government and public administration (...) created voluntarily by citizens, their aim being to promote an issue or an interest, either general or specific. They are independent of the state and can be profit or non-profit-making organisations. The following examples are provided: non-governmental organisations/community based organisations and their representative platforms in different sectors, social partners (trade unions, employers associations), private sector associations and business organisations, associations of churches and confessional movements, universities, cultural associations, media;

- European Consensus "Civil society including economic and social partners such as trade unions, employers' organisations and the private sector, non-governmental organisations and other non-state actors" (*ibidem* note 12);

- COM (2006) 19: CSOs are recalled non-state actors, namely non-governmental organisations, employers and workers' organisations independent political foundations, universities, North-South and South-South networking.

<sup>14</sup> *Ibidem* note 12

<sup>15</sup> OECD 2 March 2005.

All regions where EC co-operation is implemented, including difficult partnerships, are included in the scope of this evaluation with the exception of regions and countries under the mandate of DG Enlargement, the OECD countries and activities under the responsibility of DG ECHO.

The evaluation shall take into account two main operational contexts, beside the geographic contexts, differentiating between: **1)** where CSOs activities are carried out within the framework of a set of documents elaborated by the recipient country/region and the EC, such as Country or Regional strategy papers (CSP, RSP), Indicatives programmes (NIP, RIP) and Poverty reduction strategy papers (PRSP), **2)** where CSOs activities are carried out in absence of a streamline policy.

#### *Thematic focus of the evaluation*

Based on the purpose the evaluation shall come up with:

- **Mapping all EC financial flows** (commitments and disbursements) to CSOs for the period 1996-2006 and the typology of these contributions (source, activity/function/role, sector, geographic sub-area/country);
- **Overall effects** (outputs, outcomes and impact) of the EC aid delivery through CSOs according to geographic context specificity;
- **Efficiency** of EC aid delivery through CSOs;
- Identifying what is the **added value** of EC cooperation through CSOs;
- **Visibility** of the EU.

#### *Legal*

The complete framework of EC co-operation should be taken into account, encompassing geographical regional and bilateral agreements, thematic programmes' regulations and specific regulations towards CSOs actors. As part of the legal aspect shall also be considered European institutions statements and political commitments.

#### *Case studies*

Case studies shall be selected according to the different elements above specified and shall take into account relevant issues indicated under paragraph 5.

The Evaluators shall identify and formulate in depth questions and test hypotheses in several case studies to be carried out in 6 different countries, allowing addressing the relevance, effectiveness, efficiency, effects (outputs, outcomes and impact) and sustainability of aid delivered through civil society.

## **4. METHODOLOGY AND APPROACH**

It is to be noted that while the Evaluation Unit has been dealing with various types of evaluations, both regional and thematic, evaluation of "aid delivery methods" is a new subject, which may require careful adaptation of evaluation methods and tools and exploring other donors experience.

The overall methodology guidance is available on the web page of the evaluation unit under the following address:

<http://ec.europa.eu/comm/europeaid/evaluation/methodology2/index> .

The evaluation basic approach consists of **5 phases**, subdivided in **subsequent methodological stages** (phases for which consultant contribution is requested are marked in grey).

<i>Five Main Phases of Development:</i>	<i>Methodological Stages:</i>
1. Preparation Phase	<ul style="list-style-type: none"> <li>▪ Reference group constitution</li> <li>▪ ToR's drafting (Evaluation Unit)</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Launch Note (consultants)</li> </ul>
2. Desk Phase 3. Field Phase 4. Synthesis phase	<ul style="list-style-type: none"> <li>▪ Structuring of the evaluation</li> <li>▪ Data Collection, verification of hypotheses</li> <li>▪ Analysis</li> <li>▪ Judgements on findings</li> </ul>
5. Feedback and Dissemination	Dissemination Seminar in Brussels
	<ul style="list-style-type: none"> <li>▪ Quality Grid</li> <li>▪ Summaries</li> <li>▪ Evinfo (summary for OECD and Commission databases)</li> <li>▪ <i>Fiche contradictoire</i> (a statement of key recommendations followed by the Commission's response)</li> </ul>

#### **4.1. PREPARATION PHASE**

The evaluation manager, within the Evaluation Unit, identifies the Commission services to be invited to the Reference Group (RG), which will ensure that the Commission expertise is fully utilised and all the relevant information is provided.

The evaluation manager prepares the Terms of References (ToR) for the evaluation and sends them to the Contractor.

The RG will act as the main interface between the Evaluation Team and the Commission Services. The RG principal functions will be:

- to comment on the ToR;
- to validate the Evaluation Questions (EQ);
- to provide the Consultant with all relevant information and documentation;
- to advise on the quality of the work done by the consultants;
- to facilitate and assist in feedback of the findings and recommendations from the evaluation

Proposed RG meetings with the evaluation team are indicated below in a time schedule under item 8 of these ToR.

The contractor will then present a *Launch Note* that shall contain: (i) the contractor understanding of the ToR, (ii) the proposed composition of the core evaluation team with individuals' *Curriculum Vitae* and (iii) the proposed workplan and budget for the evaluation.

## 4.2. DESK PHASE

### 4.2.1 Inception report

Following the approval of the *Launch Note*, by the Evaluation Unit, work will proceed to the Structuring Stage, which shall lead to the production of an *Inception Report*.

The *Inception report* will be divided into two parts. The first part devoted exclusively to the results of the fact findings which contain the complete overview of the **mapping of EC financial contributions** (commitments and disbursement) and their typology.

This phase will be closed by a note on the inventory to be discussed and validated by the Evaluation Unit and the Reference Group. This phase could include a number of interviews with several implementing actors.

Taking into account the results of the mapping, the second part of the inception report will consist in the analysis of all relevant key documents, including the relevant policy, programming documents and agreements. On the basis of the information collected, the evaluators will:

- (1) **Reconstruct the intervention logic** of EC aid to partner countries, through the channel of CSOs, by producing policy impact diagrams relevant for the evaluated period and geographic sub-areas; it might be difficult to develop proper impact diagrams, but the result of this exercise should be presented in a structured way, in diagrams or similar with an accompanying explanatory text;
- (2) Reconstruct the **intervention logic for the case studies** selected;
- (3) Specify the **methodological tools** that will be used;
- (4) Present a **preliminary set of evaluation questions**;
- (5) Present the approach to ensure **quality assurance** throughout the different phases of the evaluation.
- (6) Present a detailed **workplan**, specifying the organisation and time schedule for the evaluation process.

The Contractor will present the *Inception Report*, which shall be formally approved by the Evaluation Unit.

### 4.2.2 Desk phase report

Upon approval of the *Inception Report*, the team of consultants will proceed to the Desk Phase of the evaluation, while partly of the filed phase may start in parallel.

The Desk phase shall be the moment when relevant information in Headquarters is gathered and analysed.

In this stage, consultants are asked to:

- (7) Present a final set of **identified evaluation questions** along with appropriate **judgement criteria** and the relevant quantitative and qualitative **indicators**;
- (8) Present a set of selected **case studies**, the selection criteria applied and the relevant identified questions, judgement criteria and indicators;
- (9) Present the methodology for **data and information collection and validation**, both for the Desk and the Field phases.
- (10) Present the **methods of analysis** of the information and data collected in order to draw findings that would enable to draw general conclusions; due to the difficulty of this exercise any limitation should be made explicit;
- (11) Present the way to come to **judgements** that directly related to the Judgement criteria, though adaptable should the field findings require doing so.
- (12) Present the **preliminary findings responding to the evaluation questions** and the first hypotheses to be tested in the field based on the specific methods identified in the *Inception Report*.

At the conclusion of this work, the evaluation team will present a *Desk phase Report* setting out the results of this first phase of the evaluation including all the above listed tasks (the core part of the *Inception Report* will annexed to the desk phase report). The Contractor presents the *Desk phase Report*, for formal approval by the Evaluation Unit.

#### **4.3. FIELD PHASE**

Following the formal approval of the *Inception Report*, the Evaluation Team may proceed to prepare field missions that may take place partially in parallel to the Desk Phase.

The field work, the duration of which should be agreed with the Evaluation Unit and the RG, shall be undertaken on the premises set out in the previous *Inception Report*. If, during the course of the field phase, any significant deviation from the agreed methodology or scheduled workplan is perceived as being necessary, these should be explained to, and agreed with the Evaluation Unit, in consultation with the RG.

The Evaluation team shall present to the EC Delegation concerned a debriefing of the field mission, seeking to validate the data and the information gathered.

For each case studies and following completion of the field mission, the team will proceed to prepare **Case study notes** to submit to the Evaluation Unit within ten working days after returning from the field (see Annex 2 for an outline structure of the notes). These notes will be annexed to the *Final Report*. When all field missions have been conducted, and before the start of the Final report phase, the Evaluation team shall present a succinct *Synthesis note* summarising the data and information collected and taking into account information gathered during the Desk phase.

#### **4.4. FINAL REPORT-WRITING PHASE**

Following the formal approval of *Desk phase report* the evaluators will submit the *Draft Final Report*, using the structure set out in Annex 3, taking in due account comments received during debriefings in Delegation and meetings with the RG. The *Draft Final Report* shall include the

answers to the evaluation questions, a synthesis of main conclusions of the evaluation and shall line out the key elements CSOs self-evaluation of the implemented aid.

The evaluation manager will verify the quality of the submitted draft report, on the basis of the grid in Annex 4. A sufficient quality report will be circulated among RG for comments. It will then be discussed in the last RG meeting with the Evaluation Team.

On the basis of the comments expressed by the EC services (RG members and Delegations) the Evaluation Team shall make appropriate amendments and submit the *Final Report*. If Evaluators reject the comments they shall explain and substantiate the reasons in writing.

The *Final Report* quality will be judge upon the grid in Annex 4 and should be at least of "good quality". The Final Report should clearly account for the observations and evidences on which findings are made so as to support the reliability and validity of the evaluation. The report should reflect a rigorous, methodical and thoughtful approach. Conclusions and recommendations shall build up findings. The findings, analysis, conclusions and recommendations should be thorough and substantiated.

The recommendations should be operational and presented in a logic following their priority and level of details.

The final version of the *Final Report* shall be presented in a way that enables publication without any further editing. The Final Report shall be written in English and submitted to the Evaluation Unit in 200 copies.

#### **4.5. DISSEMINATION AND FOLLOW-UP**

- Following the approval of the final report, the evaluation manager will proceed to dissemination of the results (conclusions and recommendations) of the evaluation: (i) make a formal judgement on the evaluation using a standard quality assessment grid (see Annex 4); (ii) prepare an Evaluation Summary following the standard DAC format (EvInfo); (iii) prepare and circulate a three-column *Fiche Contradictoire* (FC). The FC is prepared by the Evaluation Unit in order to ensure feedback from the evaluation and an active response from the Commission services. All three documents will be published on the Web alongside with the *Final Report*. The Evaluators, in co-ordination with the Evaluation Unit, shall present the conclusions and recommendations: a seminar in Brussels shall be organised, along with a limited number of other restraint presentations that might be required.

#### **5. IDENTIFICATION OF THE EVALUATION QUESTIONS/ISSUES**

The evaluation will be based on a set of key questions. These questions are intended to give a more precise and accessible form to the evaluation criteria and to articulate the key issues, thus optimising the focus and utility of the evaluation.

Evaluators will identify the evaluation questions building upon the purpose and scope of the evaluation as specified under chapter 3. Moreover, Evaluators will address, among other, the following issues:

- how and to what extent the EC aid delivery through CSOs contributes to the principles of "ownership and partnership" and "in-depth political dialogue"<sup>16</sup>;
- explore support to capacity development in the context of Sector and budget support;
- in line with the multidimensional aspects of Poverty<sup>17</sup> the evaluation shall cluster the impact on a sample of relevant sectors of service delivery and assess the co-ordination and complementarity with other European sources of funding<sup>18</sup>;
- adequacy of programming and implementation modalities<sup>19</sup> to ensure compliance with the objectives foreseen in the agreements, the impact on beneficiaries and target groups.

The assessment will be based on five OECD-DAC key evaluation criteria: impact, relevance, effectiveness, efficiency and sustainability.

After initial discussions with the Evaluation Unit, the Evaluation Questions (EQs) will be discussed with the RG, which will be asked to validate them. These EQs will be annexed to the ToR.

## **6. MANAGEMENT AND SUPERVISION OF THE EVALUATION**

The Evaluation Unit bears the responsibility for the management and the monitoring of the evaluation, in consultation with the RG members, belonging to the different EC services concerned.

## **7. EVALUATION TEAM**

This evaluation is to be carried out by a multidisciplinary team with thorough understanding of EC Development policy, particularly:

- Deep knowledge of EC development policy relevant documents and commitments, along with current debates,
- Understanding of the specificity of different roles and sectors where CSOs are active;

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<sup>16</sup> European Consensus (*ibidem* note 12)

<sup>17</sup> "Poverty includes all areas in which people of either gender are deprived and perceived as incapacitated in different societies and local contexts. The core dimensions of poverty include economic, human, political, socio-cultural and protective capabilities. Poverty relates to human capabilities such as consumption and food security, health, education, rights, the ability to be heard, human security especially for the poor, dignity and decent work. Therefore combating poverty will only be successful if equal importance is given to investing in people (first and foremost in health, education and HIV/AIDS), the protection of natural resources (like forests, water, marine resources and soil) to secure rural livelihood and investing in wealth creation (with emphasis in issues such as entrepreneurship, job creation, access to credits, property rights and infrastructures). The empowerment of women is the key to all development and gender equality should be a core part of all strategies" (*ibidem* note 12).

<sup>18</sup> "Co-ordination and complementarity best ensured through response to partners' countries priorities and work towards joint donors' multiannual programming, common implementation mechanisms shared analysis, joint wide missions" (*ibidem* note 12)

<sup>19</sup> European Consensus underlined the need for progress in ensuring that interventions adjust, in terms of modalities and procedures, to varied contexts; moreover the complementarity between different financing instruments will be looked upon.

- Access to knowledge of the main geographic sub-areas covered by the European Commission's external co-operation;
- Sound understanding of EC evaluation methodology for external co-operation;
- Appropriate local language knowledge for field missions purposes and excellent English drafting skills;
- The Team leader shall have considerable experience of managing evaluations of a similar size and character. The team leader shall also be updated with the international debates on development issues and be aware of the different approaches.

The Team composition should be agreed as indicated but may be subsequently adjusted if necessary in the light of the final EQs once they have been validated by the RG.

It is recommended that the team should include national consultants where possible for the case studies with in-depth knowledge of key areas.

In accordance with the rules of the framework contract a declaration of absence of conflict of interest should be signed by each consultant and annexed to the launch note.

## 8. TIMING AND BUDGET

The evaluation will start beginning of January 2007 with completion of the *Final Report* scheduled for December 2007 and the *Dissemination seminar* taking place in January 2008. The following is the *indicative* schedule<sup>20</sup>:

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings</i>
Terms of Reference		Mid December 2006	
Starting Stage	Launch Note	Mid January 2006	
<b>Desk Phase</b>			
Structuring Stage	Inception Report	Early March 2007	RG Meeting
Desk Study	Desk Report	End May 2007	RG Meeting
<b>Field Phase</b>			
	Presentation (including Final case studies notes and Synthesis note)	End July 2007	RG Meeting
<b>Final Report-Writing Phase</b>			
	Draft Final Report	End October 2007	RG Meeting
	Final Report	Mid December 2007	
<b>Dissemination Seminar</b>		January 2008	

## 9. COST OF THE EVALUATION, AND PAYMENT MODALITIES.

The overall cost of the evaluation should not exceed €380.000

This amount includes a provision (reimbursable costs) for the organisation of an International feedback seminar in Brussels. This seminar is organised by the Evaluation Unit to present the results of the Evaluation; the presentation is followed by a debate that shall be open to a large audience including Member States, other donors, international organisations, foundations and representatives of Civil society organisations.

The budget for the seminar (fees, per diems and travel) will be presented separately in the launch note.

According to the service contract payments modalities shall be as follow: 30% at the acceptance of the *Inception Note*; 50% at acceptance of *Draft Desk phase Report*; 20% at acceptance of *Final Report*. The invoices shall be sent to the Commission only after the Evaluation Unit confirms in writing the acceptance of the reports.

<sup>20</sup> The dates mentioned in the above table may only be changed in view of optimising the evaluation performance, and with the agreement of all concerned.

## **ANNEX 1 – KEY DOCUMENTATION (PRESENTED IN CHRONOLOGICAL ORDER)**

### **EC Evaluations' catalogue :**

[http://ec.europa.eu/comm/europeaid/evaluation/intro\\_pages/european\\_inventory.htm](http://ec.europa.eu/comm/europeaid/evaluation/intro_pages/european_inventory.htm)

### **Communications and Declarations**

Communication (2006) 19 "Non-state actors and local authorities in Development"

Communication (Court of auditors - 2006) MEDA programme (OJ C 200/06)

"The European Consensus"- Joint statement by the Council and the representatives of Governments of the Member States meeting with the Council, the European parliament and the Commission" –Official Journal C 46(2006)

Paris Declaration on aid effectiveness OECD (2 March 2005)

Communication (2005) 489 "EU strategy for Africa: towards a Euro-African pact to accelerate Africa's development"

Council's conclusions of November 2004 on "advancing co-ordination, harmonisation and alignment: the contribution of the EU".

Communication (2005) 324 "External actions through thematic programmes under the future financial perspectives 2007-2013"

COM (2004) 629/2 "Proposal for a Regulation of the European parliament and the Council establishing a financing instrument for development co-operation and economic co-operation"

Communication (2004) 487 "Financial perspectives 2007-2013"

Communication (2004) 373 "European Neighbourhood policy"

Communication (2003) 615 "Governance and development"

Communication (2002) 598 "Participation of non-state actors in EC development policy"

Communication (2001) 428 - White paper "European Governance"

Communication (2001) 252 "the EU's role in promoting human rights and democratisation in third countries"

Communication (2001) 153 "Linking Relief Rehabilitation and Development"

Communication (2001) 11 "The Commission and non-governmental organisation: building a stronger partnership"

Communication (2000) 212 "The European Community Development policy"

OJ C 115 (2006) "Opinion of the Committee of the Regions on Decentralised cooperation in the reform of the EU's development policy"

Resolution Ecosoc 1996/31

EP Resolution of 14 May 1992 on the Role of NGOs in development co-operation (OJ C 150)

### **Legal references**

European Community Treaty –Title XX Co-operation to development (Art. 177-181)

Cotonou Agreement and Lomé IV Convention

Regulation 1638/2006 laying down general provisions establishing a European Neighbourhood and Partnership Instrument

Regulation 2005/2112 on access to Community external assistance

MEDA Regulations: 1488/96 and 2698/2000

Regulations 2259/96 and 1726/2000 on development cooperation with South Africa

Agreement on Trade, Development and Co-operation (TDCA) OJ L 311 of the 4.12.1999 and Council decision 2004/441/EC OJ L 127 of the 29.04.2004.

Regulations 975 and 976/1999 laying down the requirements for the implementation of development operations which contribute to the general objective of developing and consolidating democracy and the rule of law and to that of respecting human rights and fundamental freedoms.

TACIS Regulation 99/2000 concerning the provisions of assistance to the partner States in Eastern Europe and Central Asia

Regulation 1658/98 on co-financing operations with non governmental development organisations in fields of interest to the developing countries (modified by regulation 1882/2003).

Regulation 1659/98 on decentralised co-operation (extended by Regulation 995/2002) and replaced by Regulation 625/2004.

### **Other publications**

ODI "CSO capacity for policy engagement: lessons learned from the CSPP consultations in Africa, Asia and Latin America", August 2006

OED "the effectiveness of World bank support for community based and driven development", September 2005

OED conference on the "Effectiveness of assistance for human and social development", September 2005

EuropeAid "Institutional assessment and capacity building", September 2005

Lund R –INBAS "Evaluation of the role of NGOs as partners of the Austrian Development co-operation in Nicaragua and of their contribution to the eradication of poverty, July 2005.

EC-Concord and Member states, Paris seminar 9-10 December 2004 "Acts"

EC Guidelines to Delegations on implementation of the Cotonou agreement provisions relating to non-state actors

Floridi-Sanz Corella "Note sur quelques aspects concernant la mise en œuvre des accords de Cotonou en matière d'acteurs non étatiques", March 2006

ActionAid "Real aid" Vol 2, 2005.

DANIDA "Capacity development evaluation": Methodology for evaluation of Capacity development", October 2003

SIDA "Official direct support to Civil society organisations –a survey of extent and experiences", September 2003

NORAD "SWAPS and Civil society-the roles of Civil Society organisations in sector programmes", Oslo December 2002

## ANNEX 2. GUIDANCE ON THE COUNTRY NOTES FOR THE COUNTRY CASE STUDIES

*Length: The country note should be maximum 20 pages (excluding annexes).*

This evaluation is partly based on a number of country case studies. These case studies allow the evaluation team to gather information on the EC support (to the sector/theme of the evaluation) at the country level, which together with the desk phase findings should feed the global assessment reported in the synthesis report. This reporting is needed for transparency reasons, i.e. to clearly account for the basis of the evaluation, and also to be able to have a factual check with the concerned EC Delegations and other stakeholders.

This reporting should be seen as building blocks for the evaluation and as documents to be circulated with the Reference Group and the Delegations involved. In the end of the evaluation the country notes will be published as part of the overall evaluation exercise in annexes to the synthesis report (so editing is required). These notes should be prepared after the missions, they should respect the agreed structure and they should go further than the oral presentations conducted at the end of the missions. Furthermore, the evaluation questions are formulated to be answered on the global level using the sum of the information collected from the different case studies and the desk study, and should hence not be answered at the country case study level.

Indicative structure:

Introduction:

- The purpose of the evaluation;
- The purpose of the note;
- The reasons for selecting this country as a case study country.

Data collection methods used (its limits and possible constraints)

Short description of the sector in the country

Findings on the sector (focused on facts and not going into analysis)

Conclusions at two levels: (1) covering the main issues on this sector in the context of the country and (2) covering the elements confirming or not confirming the desk phase hypothesis.

Annexes:

- The list of people interviewed;
- The list of documents consulted;
- The list of the projects and programmes specifically considered;
- All project assessment fiches;

All questionnaires;

- Acronyms and abbreviation.

### **ANNEX 3. OUTLINE STRUCTURE OF THE FINAL EVALUATION REPORT**

The final report should not be longer than approximately 50/60 pages. Additional information on overall context, programme or aspects of methodology and analysis should be confined to annexes.

The detailed report structure will be agreed during the evaluation process, taking into account the lessons learnt and the specificity of the present evaluation.

1. Executive summary (5 pages maximum)
2. Evaluation framework: brief background to the evaluation, the purpose of the evaluation, evaluation questions and evaluation methodology.
3. Context (including Commission objectives, overall relations between EC and development banks, considering respective agreements etc.)
4. Findings: they should be presented through answers to the evaluation questions. The analysis leading to findings must be clearly visible in the report.
5. Conclusions: they will be organised by clusters (not necessarily following the order of the evaluation questions). Each conclusion should both include a synthesis of the related findings and express a judgement on the aspect of the EC support considered. This part will also include an overall assessment on the EC aid delivery through development banks and EIB.
6. Recommendations: they should be clearly linked to the conclusions and prioritised, options should be presented)

*All conclusions should be cross-referenced back to the appropriate findings, lessons or conclusions. Recommendations must be presented in a logical order with the overriding and fundamental recommendations first followed by the more detailed recommendations. The recommendations should also be ranked and presented in the order of importance.*

Annexes should include:

- logical diagrams of EC strategies;
- judgement criteria forms;
- list of the projects and programmes specifically considered;
- project assessment fiches;
- list of people met;
- list of documentation;
- ToRs;
- any other info (also in the form of tables) which contains factual basis used in the evaluation;
- etc.

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## ANNEX 4 - QUALITY ASSESSMENT GRID

<b>Concerning these criteria, the evaluation report is:</b>	Unacceptable	Poor	Good	Very good	Excellent
<b>1. Meeting needs:</b> Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
<b>2. Relevant scope:</b> Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
<b>3. Defensible design:</b> Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
<b>4. Reliable data:</b> To what extent are the primary and secondary data selected adequate. Are they sufficiently reliable for their intended use?					
<b>5. Sound analysis:</b> Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
<b>6. Credible findings:</b> Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
<b>7. Validity of the conclusions:</b> Does the report provide clear conclusions? Are conclusions based on credible results?					
<b>8. Usefulness of the recommendations:</b> Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
<b>9. Clearly reported:</b> Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?					
<b>Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.</b>					

(for details on how criteria are rated refer to:  
[http://ec.europa.eu/comm/europeaid/evaluation/methodology/guidelines/gui\\_qual\\_flr\\_trg\\_en.htm](http://ec.europa.eu/comm/europeaid/evaluation/methodology/guidelines/gui_qual_flr_trg_en.htm))

## **ANNEX II: Description of regional agreements**

## ANNEX II: Description of regional agreements

	ACP <sup>21</sup>	MEDA <sup>22</sup>	Asia/Latin America <sup>23</sup>	TACIS <sup>24</sup>
<b>CSOs as a diverse group of actors</b>				
<b>Financial provisions for CSOs</b>				
CSO as a beneficiary of the regulation	Art. 2 (fundamental principle): Apart from central government as the main partner, the partnership shall be open to different kinds of other actors in order to encourage the integration of all sections of society, including the private sector and civil society organizations, into the mainstream of political, economic and social life.	Art. 1.2 (1996) The beneficiaries of support measures may include not only States and regions but also local authorities, regional organisations, public agencies, local or traditional communities, organisations supporting business, private operators, cooperatives, mutual societies, associations, foundations and non-governmental organisations.	Art. 3 The recipients of aid and partners in cooperation may include not only State and regions but decentralized authorities, regional organizations public agencies, local or traditional communities, private institutes and operators, including cooperatives and non-governmental organizations. The needs and priorities of each country and each region shall be taken into account when granting the aid.  Com 2002 (340) Reg 2258/96 Art. 8 In addition to national and federal governments, partners eligible for financial support under this Regulation may include [...] non governmental organizations, national, provincial and local administrations and agencies, community-based organizations, and public or private institutes and operators.	
Capacity building support for CSOs	Art 4 The parties recognize the			

<sup>21</sup> Partnership agreement signed in Cotonou on 23 June 2000

<sup>22</sup> Council Regulation (EC) No 2698/2000 of 27 November 2000 amending Regulation (EC) No 1488/96 on financial and technical measures to accompany (MEDA) in the reform of economic and social structures in the framework of the Euro-Mediterranean partnership

<sup>23</sup> Council Regulation (EEC) No 443/92 of 25 February 1992 on financial and technical assistance to, and economic cooperation with, the developing countries in Asia and Latin America. Proposal for Regulation of the European Parliament and Council concerning Community cooperation with Asian and Latin American countries and amending Council Regulation (EC) No 2258/96 – Bruxelles 2002 COM (2002) 340 (Approved by European Parliament legislative resolution P5\_TA(2003) 0473. The new regulation is due to replace the EEC No 443/92

<sup>24</sup> Council regulation (EC, Euratom) No. 99/2000 of 29 December 1999 concerning the provision of assistance to the partner States in Eastern Europe and Central Asia

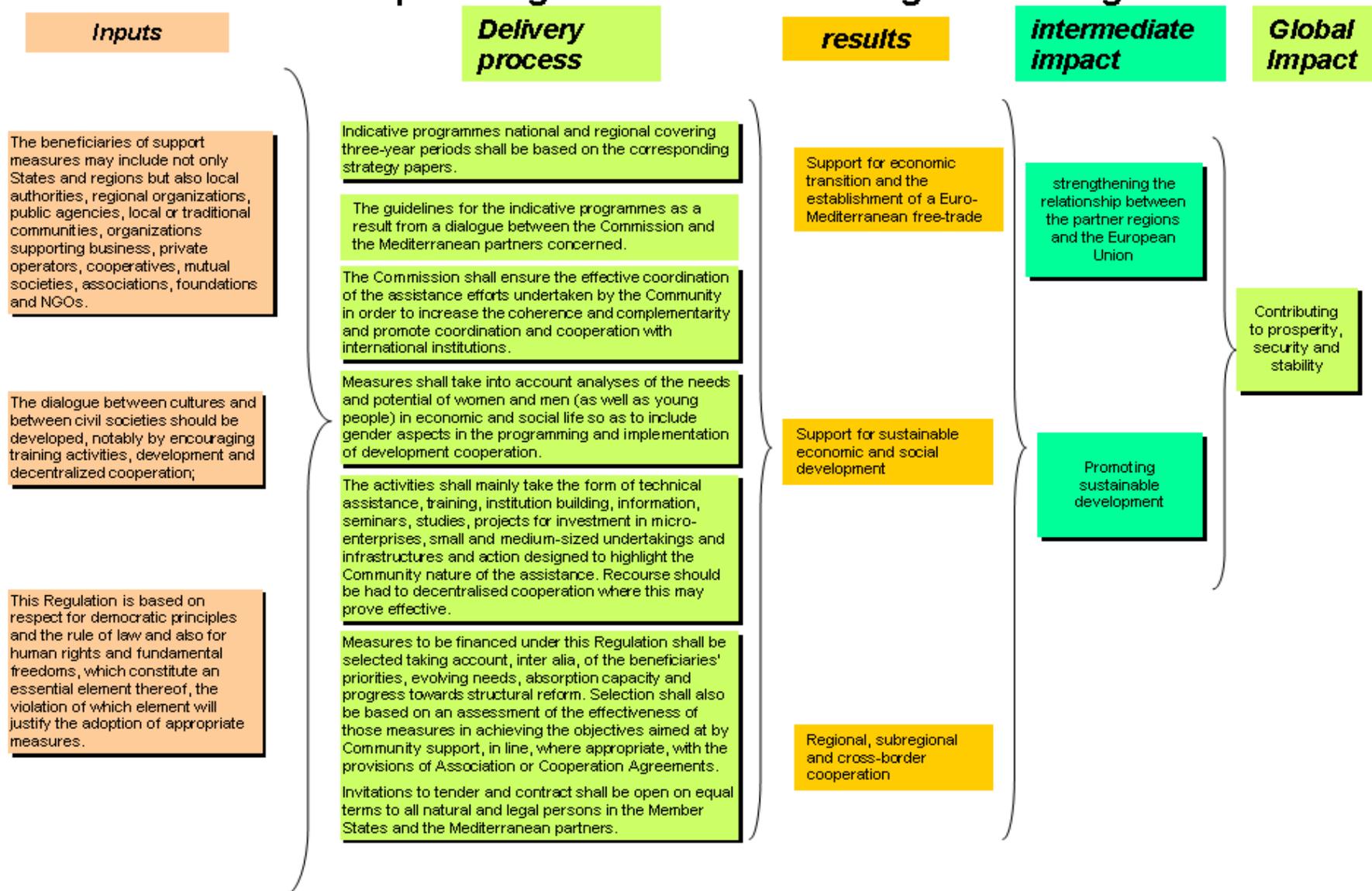
	<p>complementary role of and potential for contributions by non-state actors to the development process [...] non-state actors shall where appropriate:</p> <p>Be provided with capacity-building support in critical areas in order to reinforce the capabilities of these actors, particularly as regards organization and representation, and the establishment of consultation mechanisms including channels of communication and dialogue, and to promote strategic alliances.</p>			
Promotion of exchanges between EU-non EU CSOs		<p>Exchanges between civil society in the Union and the Mediterranean partners, decentralized cooperation will: have as its objective to identify the non-governmental beneficiaries of Community aid; will concentrate particularly on the networking of universities and researchers, local communities, associations, trade unions and NGOs, the media, private business and cultural institutions in the widest sense, and other bodies listed as IV (...)</p>		
<b>Legal provisions for CSOs</b>				
CSOs consulted on cooperation policies/strategies	<p>The parties recognize the complementary role of and potential for contributions by non-state actors to the development process [...] non-state actors shall where appropriate:</p> <p>Be informed and involved in consultation on cooperation policies and strategies [...] on areas that concern or directly affect them, and on the political dialogue;</p>			

CSOs involved in cooperation projects/programmes	<p>Art 4</p> <p>The parties recognize the complementary role of and potential for contributions by non-state actors to the development process [...] non-state actors shall where appropriate:</p> <p>Be involved in the implementation of cooperation project and programs [...]</p>	<p>Annex II (2000)</p> <p>Support for sustainable economic and social development shall include in particular: the participation of civil society and populations in the planning and implementation of development measures</p>		
CSOs as actors in governance processes	<p>Art 9</p> <p>The parties consider a greater involvement of an active and organized civil society and the private sector as contributing to the maintenance and consolidation of a stable and democratic political environment.</p>	<p>Support for sustainable economic and social development shall include in particular:</p> <p>strengthening democracy, respect for, and defence of, human rights, in particular through non-governmental organisations</p> <p>Annex IV (2000)</p> <p>Good governance shall be promoted by supporting key institutions and key protagonists in civil society such as local authorities, rural and village groups, mutual-aid associations, trade unions, the media and organizations supporting business, and by assisting in the improvement of the capacity of the public administration to develop policies and manage their implementation.</p>		
<b>Other provisions</b>			<p>EEC No 443/92 (Introduction)</p> <p>Cooperation policy should actively promote human rights and the participation, without discrimination, of all individuals or groups in the life of society, bearing in mind particularly the role of women</p>	<p>Introduction (16)</p> <p>The long-term sustainability of reform will require due emphasis on the social aspects of reform and the development of the civil society</p>

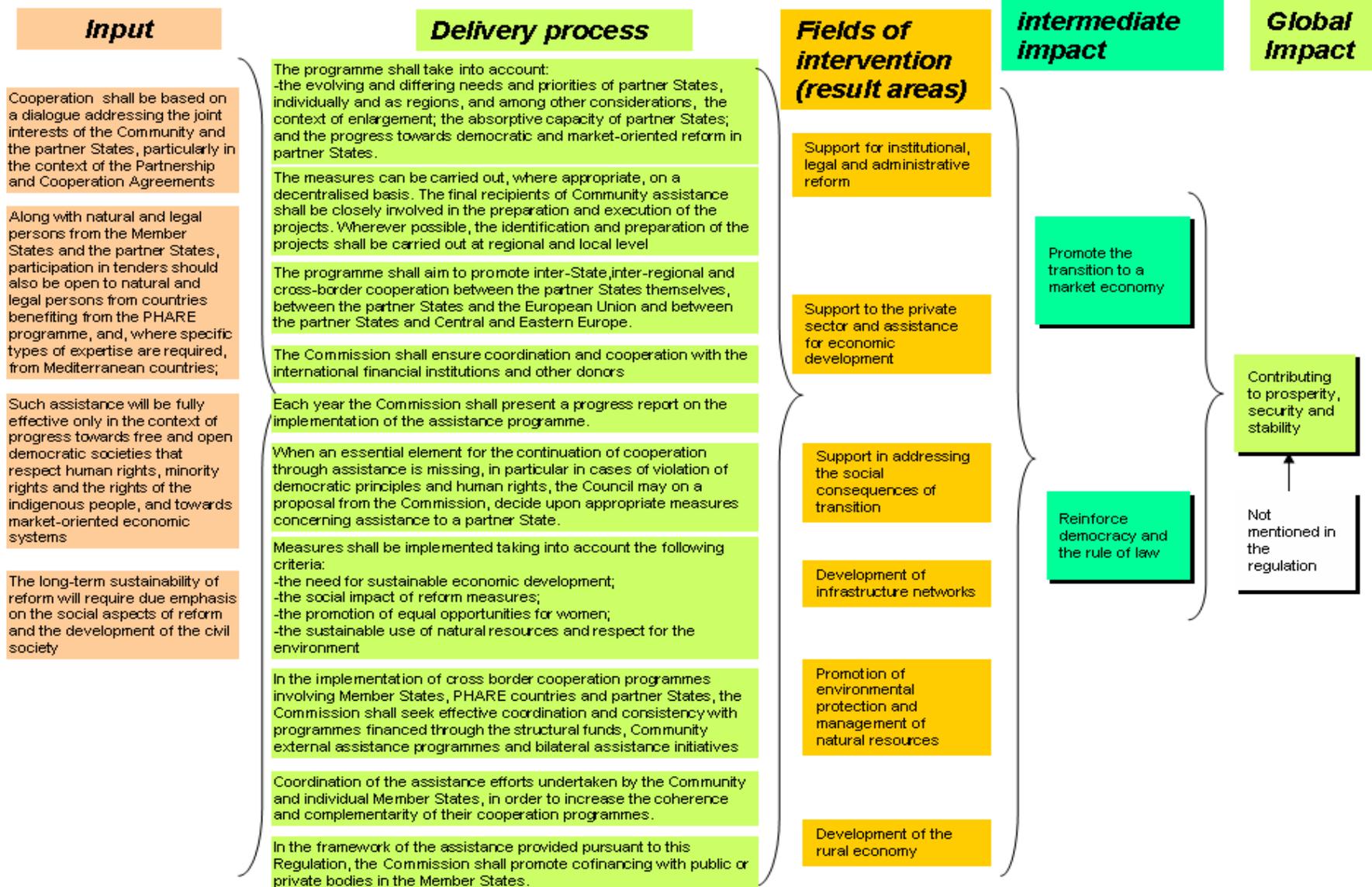
## **ANNEX III: Various regional impact diagrams**

## ANNEX III: Various regional impact diagrams

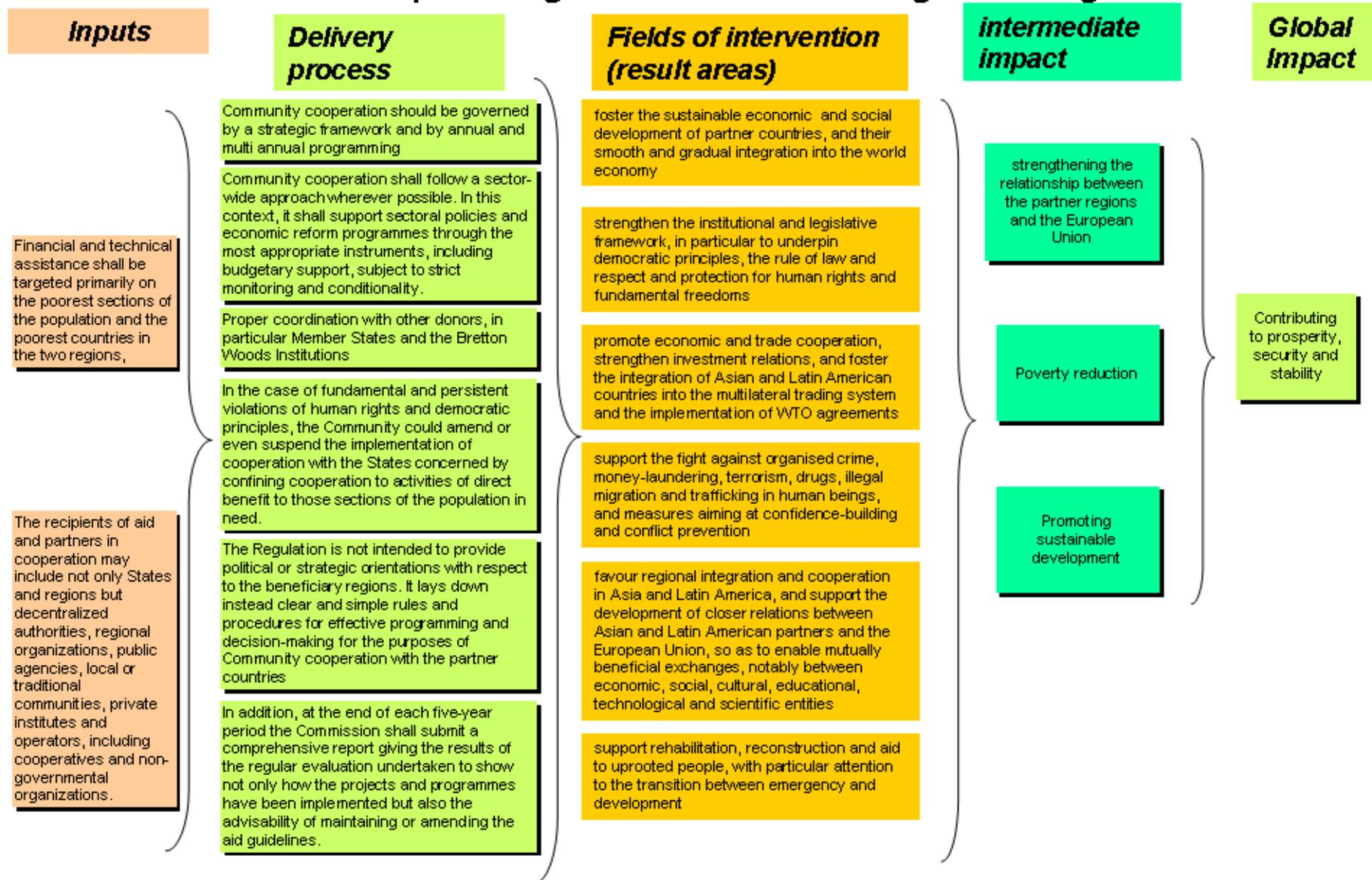
### Impact diagram- CSO Channelling- MEDA Region



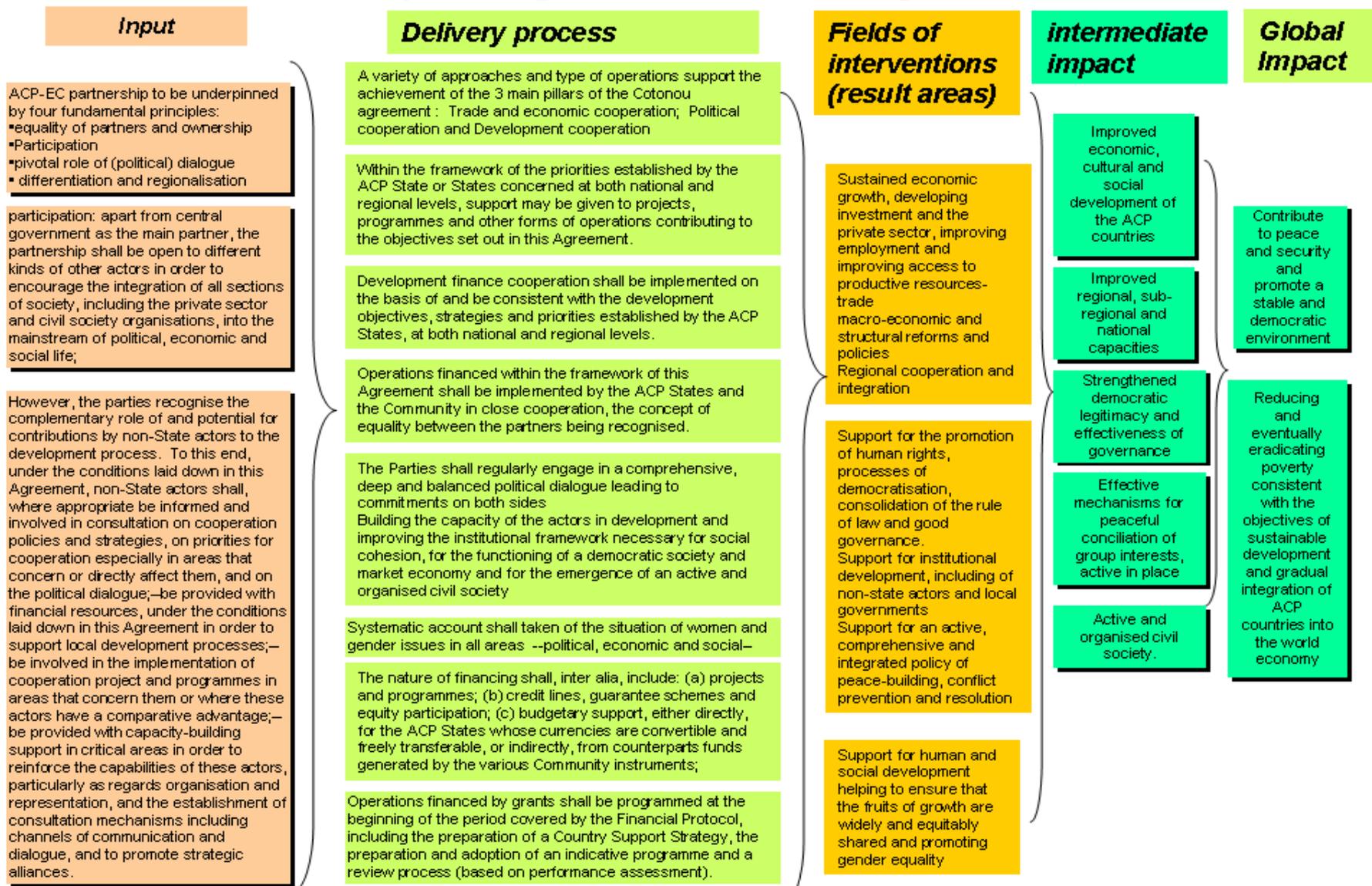
## Impact diagram- CSO channelling- TACIS Region



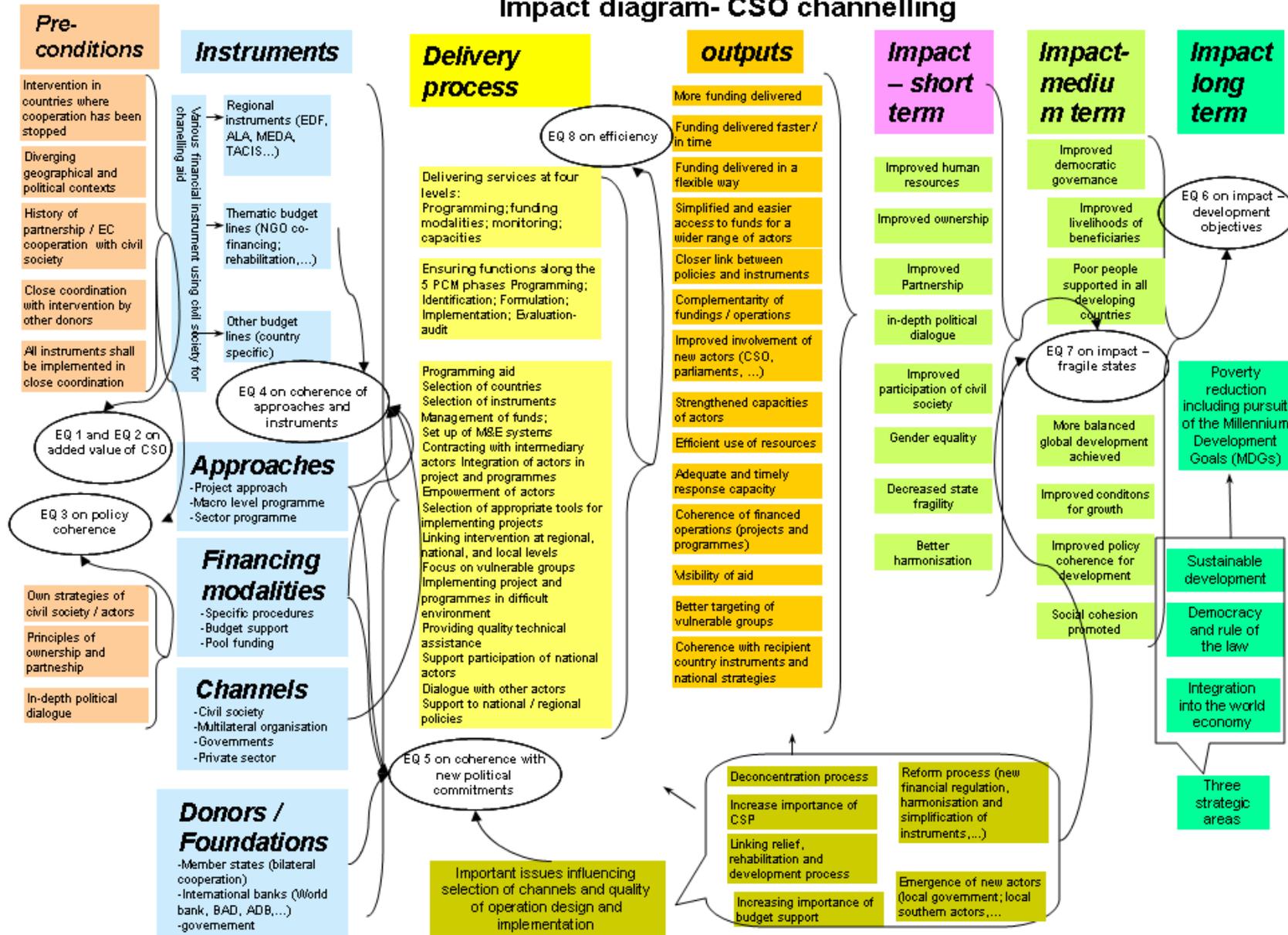
## Impact diagram- CSO Channelling- ALA Regions



# Impact diagram- CSO channelling-ACP countries



## Impact diagram- CSO channelling



## **ANNEX IV: Description of budget lines**

## ANNEX IV: Description of budget lines

INSTRUMENT	LEGAL BASIS	OBJECTIVE	ACTIVITIES	ELIGIBLE CSO (AND OTHER ACTORS)	Other sources of information
<p><b>THEMATIC</b></p> <p><b>Decentralised cooperation (CDC)</b></p> <p><b>B7-6340</b> <b>B7-6002</b> <b>21.02.13</b></p>	<p>Council Regulation (EC) No 1659/98 of 17 July 1998 on decentralised cooperation (OJ L 213, 30.7.1998, p. 6).</p> <p>Regulation (EC) No 955/2002 of the European Parliament and of the Council of 13 May 2002 extending and amending Council Regulation (EC) No 1659/98 on decentralised cooperation (OJ L 148, 6.6.2002, p. 1).</p> <p>Regulation (EC) No 625/2004 of the European Parliament and of the Council of 31 March 2004 extending and amending Regulation (EC) No 1659/98 on decentralised cooperation (OJ L 99, 3.4.2004, p. 1).</p>	<p>(As of 2004) Supporting operations and initiatives undertaken by decentralised cooperation agents centred on <b>poverty reduction</b> and <b>sustainable development</b>, particularly in situations involving <b>difficult partnerships</b> where other instruments cannot be used. Such operations and initiatives shall promote:</p> <ul style="list-style-type: none"> <li>- a more <b>participatory approach</b> to development, responsive to the needs and initiatives of the populations in the developing countries,</li> <li>- a contribution to the diversification and <b>reinforcement of civil society and grassroots democracy</b> in the countries concerned.</li> </ul> <p>The <b>priority fields for operations</b> shall be:</p> <ul style="list-style-type: none"> <li>- the development of human and technical resources and local rural or urban social and economic development in the developing countries,</li> <li>- information and the</li> </ul>	<p>Studies, technical assistance, training or other services, supplies and works, along with audits and evaluation and monitoring missions.</p> <p>Financial support in the form of <b>grants</b>.</p>	<p><b>Decentralised cooperation agents in the Community or the developing countries (which will be given the priority)</b>, such as: local (including municipal) authorities, non-governmental organisations, organisations of indigenous peoples, local traders' associations and local citizens' groups, cooperatives, trade unions, economic and social actors organisations, local organisations (including networks) which are active in the area of regional decentralised cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations or communities, media and any non-governmental associations and independent foundations likely to contribute to development</p>	<p><b>SEMINAR CAPITALISATION TECHNICAL UNIVERSITY BERLIN 2000:</b></p> <p>Bias in favour of NGOs.</p> <p>Difficult to maintain coherence in a multi-actor programme (responsibilities and added value of different actors).</p> <p>Need for better preparation (ex ante evaluation)</p> <p>Smaller projects are better for CSOs.</p> <p>Conflicting relation between CSOs and local authorities.</p> <p>Mainly implemented in Africa and Latin America.</p> <p>The instrument should align on/or even be incorporated in the NIPs/RIPs (need to adapt the standardized instrument to the diversity of contexts).</p> <p>CSO will not automatically cooperate: they need to be informed, trained and empowered.</p> <p>Lack of information on DC.</p>

		<p>mobilisation of decentralised cooperation agents and participation in international fora to enhance dialogue on policy formulation,</p> <ul style="list-style-type: none"> <li>- support for strengthening the institutional capacities of such agents and their capacity for action,</li> <li>- strengthening the networks of social organisations and movements campaigning for sustainable development, human rights, in particular social rights, and democratisation;</li> <li>- methodological back-up and follow-up for operations.</li> </ul>			<p>Lack of flexible procedures</p> <p><b>EC EVALUATION 2000:</b></p> <p>Helped promoting and refining the concept of DC.</p> <p>General coherence between projects financed (2000-2002) and CSP/RSP.</p> <p>Focus on selection and management steps (evaluation ex ante) rather than on results (evaluation ex post).</p> <p>More impact on strengthening institutions than on settling multi-actor dialogue.</p> <p>Results achieved regarding mobilisation of new groups of actors and enhanced participation to the formulation of development policies.</p> <p>Instrument triggered DC in the ACP region.</p> <p>Bias towards NGOs (from the North)</p> <p>Procedural and management bottlenecks, resulting from high rates of participations.</p> <p>Flexibility.</p> <p>Specificity insufficiently defined, especially compared to co-</p>
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					<p>financing instrument.</p> <p>Lack of 3Cs with the other EC instruments and programmes (except in ALA regarding information and communication).</p> <p><b>EC EVALUATION 2006<sup>25</sup>:</b></p> <p>20 “difficult partnerships” were invited to participate in the 2004-2006 programme. The selection however resulted in problems.</p> <p>More projects selected even if budget remaining approximately the same.</p> <p>More beneficiaries from the South.</p> <p>Management and procedural issues, even if improvements.</p> <p>Mostly small-scale and short-lived projects at the local level, in a variety of sectors (but especially targeting the strengthening of civil society).</p> <p>Most of the projects are found to be relevant with respect to the programme’s objectives (more participatory approach to development; social dialogue between NSA and State actors; enhanced networking; support to local initiatives). Weak relevance of projects regarding gender</p>
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<sup>25</sup> ATTENTION: not published by the EC!

					<p>equality and environment.</p> <p>EU NGOs remain grant beneficiaries with local NGOs as implementing partners.</p> <p>Impact on poverty reduction and on sustainable development was expected to be good by EC delegations (evaluation made at early stage of implementation of the instrument) but they were dubious about the impact on “difficult partnerships”.</p> <p>The specificity of the instrument is still vague, despite its focus on local NGOs, participation, social dialogue, capacity building, and multi-actors partnerships.</p>
<p><b>NGO Co-financing (PVD)</b></p> <p><b>(ED)</b></p> <p><b>B7-6000</b></p> <p><b>21.02.03</b></p>	<p>Council Regulation (EC) No 1658/98 of 17 July 1998 on co-financing operations with European non-governmental development organisations (NGOs) in fields of interest to the developing countries (OJ L 213, 30.7.1998, p. 1).</p> <p>On 7 January 2000 the Commission approved the new General Conditions for co-financing currently in force.</p>	<p>1) Co-financing operations in the field with NGOs, to <b>meet the basic needs of disadvantaged people in developing countries.</b> Such operations will aim at <b>poverty alleviation</b> as well as at <b>enhancing the target group's quality of life and own development capacity.</b></p> <p>2) Co-financing <b>public awareness and information operations in Europe about development problems in the developing countries and their relations with</b></p>	<p>1) The operations co-financed <u>in developing countries</u> under shall in particular concern <b>local social and economic development in rural and urban areas, the development of human resources,</b> particularly by means of <b>training, and institutional support</b> for local partners in the developing countries.</p>	<p>Operations shall be proposed by <b>European NGOs</b> and conducted in cooperation with their partners in the developing countries. Priority shall be assigned to proposals for operations based on an initiative by partners in developing countries.</p>	<p><b>EC EVALUATION 2000:</b></p> <p>Need to fundamentally rethink the instrument (should be a strategic tool and not merely open and unfocused).</p> <p>Demand-driven, supports CSO's “right of initiative”</p> <p>Lack of coherent strategy and diffuse, limited and difficultly assessable impact on stated objectives.</p> <p>Generally short duration of actions funded (low in sustainability and limited impact)</p>

		<p><b>the industrialised world.</b></p> <p>3) Co-financing operations designed to <b>reinforce cooperation and coordination between NGOs from the Member States, and between NGOs from the Member States and the Community Institutions.</b></p>	<p>Within those fields of activity, particular attention shall be given to operations connected with:</p> <ul style="list-style-type: none"> <li>- the <b>strengthening of civil society</b> and <b>participatory development</b>, and the promotion and defence of <b>human rights and democracy</b>,</li> <li>- the <b>role of women</b> in development,</li> <li>- <b>sustainable development</b>.</li> </ul> <p>Particular attention shall also be paid to:</p> <ul style="list-style-type: none"> <li>- the protection of <b>threatened cultures</b>, especially endangered indigenous cultures,</li> <li>- the protection and improvement of the circumstances and of the <b>rights of children</b> in the developing countries.</li> </ul> <p>2) <u>Public awareness and information activities</u> shall be targeted at clearly-defined groups, deal with clearly defined issues, be founded on a balanced analysis and a sound knowledge of the</p>		<p>Final beneficiaries are generally the most vulnerable communities.</p> <p>Southern partners generally use resources adequately.</p> <p>Most of the time of EC staff is dedicated to appraisal of proposals (time-consuming).</p> <p>The operational meaning of democratisation, sustainability and right of initiative should be reassessed.</p> <p><b>PALERMO SEMINAR 2003</b></p> <p>Need to rethink the instrument as CSO have evolved (towards more political role, new roles South/North...), EC has evolved (devolution, new aid modalities...).</p> <p>There must be a qualitative N/S partnership.</p> <p>Impact should be better monitored.</p> <p>Need for an integrated approach to development;</p> <p>Need to rethink strategy and management.</p> <p><b>PARIS SEMINAR, 2004:</b> Need for impact-driven approaches. Budgetary logic should not determine procedures. From project to process</p>
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			<p>issues and groups targeted, and involve a European dimension. Special attention shall be given to operations which:</p> <ul style="list-style-type: none"> <li>- highlight the <b>interdependence of the Member States and the developing countries</b>,</li> <li>- seek to mobilise <b>support for more equitable North-South relations</b>,</li> <li>- encourage <b>cooperation between NGOs</b>,</li> <li>- <b>enable partners in the developing countries to play an active part.</b></li> </ul> <p>3) Operations aiming at <u>reinforcing cooperation and coordination</u> shall, inter alia, concern the development of appropriate exchange and communication <b>networks</b>.</p>		<p>approach. Take more risks, experiment more. Need to redefine the role and added value of the European CS. Concern with empowering and providing capacity support to Southern civil society organizations and to poor communities in the South. <b>EC SEMINAR Egypt, April 2006</b> Mainstreaming capacity building was a priority during 2004-2006.</p> <p>Co-financed operations must be consistent with EU development policy.</p> <p>Need for more ex post assessment and more flexibility ex ante.</p> <p>Need to foster information exchange between stakeholders.</p> <p>Need for more clarity on selection procedure and on criteria applied (initiatives undertaken).</p> <p>EU NGOs have capacity advantage whereas Southern have proximity advantage: need to strengthen relations between them. Risk of unfair competition between N/S CSOs in CFPs. Need for capacity building and long term partnership (not only for getting access to funding).</p> <p>Need to rethink the added value Northern CSOs</p>
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					<p>Willingness of the EC to improve procedures and share info.</p> <p>Positive changes have been made at the level of the call for proposals system with the aim of reducing administrative work.</p> <p>The introduction of the PADOR could contribute to improving the quality of management and to allowing for greater visibility and transparency.</p> <p>Devolution is beneficial but still bottlenecks to overcome (human resources...).</p> <p>Selection criteria vary from one delegation to another.</p> <p>Changes in the delegation personnel affect follow-up/processing of the files of projects in progress.</p> <p>Need to pay attention to sustainability of actions (it is not only financial; other components like societal transformation...).</p> <p>Need to reinforce the channel. A few things on impact assessment + monitoring and evaluation (p.21)</p> <p>Need for more institutional memory</p> <p><b>EC SEMINAR Dominican Republic, June 2006</b></p>
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					<p>Positive impact of devolution.</p> <p>Need to reduce procedures and to enhance multi-actor dialogue.</p> <p>Need to build capacities of Southern CSOs.</p> <p>Great expectations from PADOR.</p>
<p><b>European Initiative for Democracy and Human Rights (EIDHR)</b></p> <p><b>19 04 03 (ex B7-701):</b> Development and consolidation of democracy and the rule of law - Respect for human rights and fundamental freedoms</p> <p><b>19 04 04 (ex B7-702):</b> Support for the activities of international criminal tribunals and the</p>	<p>Regulation (CE) N°1889/2006 of 20 December 2006</p> <p>Regulation (EC) No 2240/2004 of 15 December 2004 amending Human Rights Regulation (EC) No 975/1999</p> <p>Regulation (EC) No 2242/2004 of 22 December 2004 amending Human Rights Regulation (EC) No 976/1999</p> <p>Impact Assessment of Regulations 975/1999 and 976/1999 July 2003</p> <p>Human Rights Regulations 975/1999 and 976/1999 29 April 1999</p>	<p>Providing technical and financial aid to</p> <p><b>- promoting and defending the human rights and fundamental freedoms;</b></p> <p>- supporting the processes of <b>democratisation</b>,</p> <p>- support for measures to promote respect for human rights and democratisation by <b>preventing conflict and dealing with its consequences,</b></p> <p><b>(see regulation for details).</b></p> <p>The <b>programming document for 2002-2004</b> also states expected results for the four thematic priorities of the EIDHR:</p> <p>- democratisation, good governance and the rule of law;</p> <p>- abolition of the death penalty;</p>	<p>May include the financing of:</p> <p>- campaigns to increase awareness, measures needed for the identification and preparation of projects,</p> <p>- the implementation of projects:</p> <p>- measures to monitor, audit and evaluate Community operations;</p> <p>- activities to explain the objectives and results of these measures to the general public in the countries concerned and administrative and technical assistance for the mutual benefit of the Commission and the beneficiary.</p>	<p>Regional and international organisations, <b>nongovernmental organisations</b>, national, regional and local authorities and official agencies, <b>community-based organisations</b> and public or <b>private-sector institutes and operators based in the EU or in a beneficiary country.</b></p>	<p><b>EC EVALUATION 2000</b><sup>26</sup></p> <p>Commission objectives not translated into specific objectives. Difficulties in setting priorities.</p> <p>CSO are often fragmented and with limited capacity.</p> <p>Projects are sometimes selected because an implementing partner happens to be at the right place at the right time.</p> <p><b>EC EVALUATION 2001</b><sup>27</sup></p> <p>Difficulty of establishing priorities.</p> <p><b>PROGRAMMING DOCUMENT 2002-2004</b></p> <p><i>Strengthening of CSO:</i></p> <p>EIDHR has had significant positive impacts on developing the capacity of human rights NGOs and civil society organisations in third</p>

<sup>26</sup> The positive actions financed by the EC in the fields of Human Rights and Democracy in ACP States 1995-1999

<sup>27</sup> Synthesis and Reference Reports on EC Activities in the Fields of Human Rights, Democracy and Good Governance.

International Criminal Court		<p>- torture and impunity and the international tribunals and criminal courts;  - racism and xenophobia and discrimination against minorities and indigenous peoples.</p>	<p>Community financing shall take the form of <b>grants</b> or <b>contracts</b>.</p> <p>Three principal means are at the disposal of the European Commission to implement EU strategies in these fields:  a) Projects identified through a) <b>calls for proposals</b>,  b) <b>Micro-projects</b>  c) <b>Targeted projects</b></p>		<p>countries.</p> <p>Key impacts of the EIDHR in this respect have included affording a level of protection to NGOs from official interference.<sup>28</sup> This latter aspect is a key positive feature of the EIDHR, as compared to other Instruments.</p> <p>EC project portfolio criticised for “spreading too thinly over the different intervention areas, thus diluting their impact<sup>35</sup>.”<sup>29</sup></p> <p><i>Micro-projects</i></p> <p>Demand driven projects funded under the facility have demonstrated a high level of sustainability, partly due to an effective choice of partners and the growing institutional network of NGOs within the facility.  <i>International Criminal Justice (ad hoc tribunals and the International Criminal Court)</i></p> <p>Support of the EIDHR was a success for the rapid creation of the ICC in 2002-2003. Through the combined use of traditional instruments, such as long-term support to NGO networks and specific initiatives.</p>
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<sup>28</sup> Synthesis report on EC activities in the field of human rights, democracy and good governance, Reference Report, FN 28, para. 95

<sup>29</sup> Court of Auditors, Special Report No 12/2000, FN 28, para. 34

					<p><i>Indigenous Peoples and ethnic minorities</i></p> <p>EIDHR is the only instrument specifically addressing such beneficiaries.</p> <p><i>Asia</i></p> <p>No clear strategy until 2002.</p> <p><i>Latin America</i></p> <p>EIDHR support has become focused thematically and geographically. Achieved greater collaboration between NGOs and grassroots organizations, creating positive synergies (strengthened NGO networks have developed a regional strategy).</p> <p><i>NIS</i></p> <p>CSO capacity building has led to strengthening of CS as a whole.</p> <p><i>ACP</i></p> <p>CSO capacity building and training of journalists improving reporting.</p> <p><i>Gender</i> is mainstreamed across activities and procedures (criteria used for granting projects).</p>
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ACP-EU Energy Facility					
<p>Social infrastructure and services:</p> <p>21 02 07 02 — Aid for poverty-related diseases (HIV/AIDS, malaria and tuberculosis) in developing countries</p> <p>21 02 07 03 — Aid for population and reproductive healthcare</p>	<p>Regulation (EC) No 1568/2003 of the European Parliament and of the Council of 15 July 2003 on aid to fight poverty diseases (HIV/AIDS, tuberculosis and malaria) in developing countries (OJ L 224, 6.9.2003, p. 7).</p> <p>Council Regulation (EC) No 1484/97 of 22 July 1997 on aid for population policies and programmes in the developing countries (OJ L 202, 30.7.1997, p. 1).</p> <p>Regulation (EC) No 1567/2003 of the European Parliament and of the Council of 15 July 2003 on aid for policies and actions on reproductive and sexual health and rights in developing countries (OJ L 224, 6.9.2003, p. 1).</p>			<p>The partners eligible for financial assistance under this Regulation include:</p> <ul style="list-style-type: none"> <li>(a) administrative authorities and agencies at national, regional and local government level;</li> <li>(b) local authorities and other decentralised bodies;</li> <li>(c) local communities, NGOs, community-based organisations and other not-for-profit natural and legal persons from the private sector;</li> <li>(d) regional organisations;</li> <li>(e) international organisations, such as the United Nations and its agencies, funds and programmes, as well as development banks, financial institutions, global initiatives, international public-private partnerships;</li> <li>(f) research institutes and universities.</li> </ul> <p>2. Without prejudice to paragraph 1(e), Community financial assistance shall be available to partners whose head office is located in a Member State or in a third country that is a beneficiary or potential beneficiary of Community assistance under this Regulation, provided that this office is the actual centre directing business operations.</p>	

<p>21 02 07 04 — Preparatory action on aid for poverty-related diseases in developing countries, other than HIV/AIDS, malaria and tuberculosis, and closer cooperation and coordination between the EU and international public-private partnerships</p>				<p>In exceptional cases, this office may be located in another third country.</p> <p>(Regulation EC No 1568/2003)</p> <p>Community financing takes the form of grant (...) in certain cases the contribution may be made in kind if the partner is a non-governmental organisation or a community based organisation.</p>	
<p><b>ACP-EU Water Facility</b></p>		<p><b>Overall objective:</b> Contribute to poverty reduction and sustainable development through the achievement of the specific Millennium Development Goals (MDGs) and World Summit for Sustainable</p>		<p>The ACP-EU Water Facility call for proposals covers three components: (A) Improving the water management and governance; (B) Water and Sanitation Infrastructure, and</p>	<p><b>EUROPEAID WEBSITE:</b></p> <p>Mainly channelled through CSO from both ACP and EU.</p> <p>Civil society initiatives represent the largest number of proposals</p>

		<p>Development (WSSD) targets on water and sanitation in ACP countries.</p> <p><b>Specific objective:</b> Boost the sustainable delivery of water and sanitation infrastructure and improve water governance and Integrated Water Resources Management (IWRM) practices in ACP countries by helping to address the financing gap.</p>		<p>(C) Civil Society initiatives.</p> <p>Component A: 25% of the number of proposals; 11% of total amount for the projects, 13% of total requested grant</p> <p>Component B: 35% of the number of proposals; 78% of the total amount, 73% of the requested grant</p> <p>Component C: 38% of the number of proposals; 11% of the total amount, 14% of the requested grant</p> <p>Proposals not allocated to a component: 2% of the number of proposals;</p>	<p>Proposals regarding water and sanitation infrastructure represent the most important demand in terms of project amounts</p> <ul style="list-style-type: none"> <li>- Total number of applications from ACP state actors: 296</li> <li>- Total number of applications from non state actors (ACPs &amp; EU), State (EU) and International Organisations: 500</li> </ul>
<p>EDUCATION:</p> <p>21 02 08 — Aid for basic education in developing countries</p> <p>21 02 14 —</p>	<p><b>Communication from the Commission of 6 March 2002 to the Council and the European Parliament on education and training in the context of poverty reduction in developing countries [COM(2002) 116 final - Not published in the Official Journal].</b></p> <p>The appropriation entered in this article in 2002 concerned the financing of pilot projects within the meaning of the Interinstitutional Agreement of 6 May 1999 between the European Parliament, the Council and the Commission, on budgetary discipline and improvement of the budgetary procedure (OJ C 172, 18.6.1999, p. 1).</p>	<p>The Commission sets out three priorities for the Community, namely: basic education, in particular primary education, and teacher training; work-related training; higher education, in particular at regional level.</p>	<p>The Commission sets out strategic options for the implementation of the actions, in particular: political and strategic dialogue with the countries and integration of the policies in this field into the development strategies drawn up for each country and the poverty reduction strategies; a sectoral approach to provide a framework for the activities in this field; macroeconomic and budgetary support; consideration of the needs of the poor and their</p>		

Capacity-building for information and communication technologies and sustainable energy			participation; participation by education actors and civil society in the broad sense, including the private sector; support for institutional development and capacity-building; monitoring of activities via indicators.		
DRUGS B7-6310	Council Regulation (EC) No 2046/97 of 13 October 1997 on north-south cooperation in the campaign against drugs and drug addiction			The cooperation partners eligible for financial support under this Regulation shall be regional and international organizations, in particular UNDCP, local- and Member State-based nongovernmental organizations, national, provincial and local government departments and agencies, community-based organizations, institutes and public and private operators.	Evaluation de la cooperation nord-sud dans la lutte contre les drogues et la toxicomanie (1987-1999)  Les projets de reduction de la demande (soit la grande majorite) ont ete mis en oeuvre par des ONG et ont soutenu des initiatives novatrices beneficiant aux populations marginalisees. Cependant, la perennisation de l'impact est faible.
<b>integration of the environmental dimension in the development process</b>	Regulation (EC) No 2493/2000 of the European Parliament and of the Council of 7 November 2000 on measures to promote the full integration of the environmental dimension in the development process of developing countries  Regulation 2494/2000				<b>EVALUATION of the ENVIRONMENT and FORESTS REGULATIONS</b>  Drop the practice of excluding certain applicants.  Improve the role of Southern partners by defining criteria for more equitable partnerships between Northern and Southern

					partners.
<b>poverty diseases</b>	Regulation (EC) No 1568/2003 of the European Parliament and of the Council of 15 July 2003 on aid to fight poverty diseases (HIV/AIDS, tuberculosis and malaria) in developing countries				
<b>reproductive and sexual health and rights</b>	Regulation (EC) No 1567/2003 of the European Parliament and of the Council of 15 July 2003 on aid for policies and actions on reproductive and sexual health and rights in developing countries				<p><b>EC SECTORAL EVALUATION 2002<sup>30</sup></b></p> <p>La stratégie d'intervention de la CE dans le domaine de la santé n'est pas suffisamment explicite et il n'existe pas un système permettant une vision globale sectorielle.</p> <p>Le gros de l'aide de la CE se fait à travers des structures étatiques ou des ONG pour lesquelles il n'existe pratiquement pas de stratégie d'intervention, de mécanismes de coordination ou d'évaluation des actions.</p> <p>Les appuis budgétaires prennent une place de plus en plus importante dans le financement destiné au secteur social.</p> <p>Recommandation: Développer une <i>vision globale du rôle des ONG</i> en matière de santé.</p>

<sup>30</sup> Evaluation de la coopération de la CE avec les pays ACP/ALA/MED dans le domaine de la santé.

<p><b>anti-personnel landmines</b></p>	<p>Regulation (EC) No 1724/2001 of the European Parliament and of the Council of 23 July 2001 concerning action against anti-personnel landmines in developing countries</p>	<p>assisting countries which suffer from the consequences of antipersonnel landmines, to create the conditions necessary for their economic and social development,</p>	<p>technical assistance, training, personnel or other services related to mine action; trials of equipment and techniques; logistical support, procurement, provision and storage of any equip-ment, supplies and works needed for the implementation of mine actions; studies and conferences and measures to strengthen international coordination of mine action; evaluation and monitoring missions; activities to raise public awareness; as well as the costs of highlighting the Community nature of the aid.</p>	<p>Partners eligible for financial support under this Regulation may include regional and international organisations and agencies, nongovernmental Organisations (NGOs), national, provincial and local governments, their departments and agencies, institutes and public and private operators with appropriate specialised expertise and experience.</p>	
<p><b>conservation and sustainable management of tropical forests and other forests</b></p>	<p>Regulation (EC) No 2494/2000 of the European Parliament and of the Council of 7 November 2000 on measures to promote the conservation and sustainable management of tropical forests and other forests in developing countries</p>	<p>Activities carried out pursuant to the Regulation will have five main objectives: raising the status of forests and integrating forest policies into development planning; promoting the production and use of forest products from sustainably managed resources;</p>	<p>Community financing may cover studies, technical assistance, education, training or other services, supplies and works, small grant funds as well as appraisals, audits and evaluation and monitoring missions. It may cover, within the limit</p>	<p>Cooperation partners which may receive assistance under this Regulation shall include international organisations, States, regions and regional bodies, decentralised departments, public agencies, private operators and industries, cooperatives, local communities, non-govern-mental organisations and associations</p>	

		<p>contributing to the adequate valuation of forest resources and services; ensuring the participation of indigenous forest-dependent communities in the development of forest policies and in development planning; Implementing coherent action in forests by coordinating Commission projects with those of the Member States.</p>	<p>established annually by the budgetary authority, technical and administrative assistance costs, to the benefit of the Commission and the beneficiary, related to operations other than the permanent tasks of the public administration, linked to the identification, preparation, management, monitoring, auditing and control of programmes or projects.</p>	<p>representing local people, in particular forest-dependent people.</p>	
<b>Gender</b>	<p>Council Regulation (EC) No 2836/98 of 22 December 1998 on integrating of gender issues in development co-operation</p> <p>Communication de la Commission au Conseil et au Parlement européen - Programme d'action pour l'intégration de l'égalité entre les femmes et les hommes dans la coopération au développement de la Communauté /* COM/2001/0295 final */</p>	<p>financial assistance and technical expertise to support the mainstreaming of the gender perspective into all its development cooperation policies and interventions</p>		<p>Beneficiaries of activities carried out under this Regulation may include public authorities and government agencies, decentralized departments, regional bodies, universities and research centres, traditional and local communities, trade unions, non-govern-mental organizations, public utility associations and associations representing local people, particularly women, as well as cooperatives and agricultural and craft-based credit institutions. Priority will be given to endogenous structures that can play a role in developing local capacities with respect</p>	

				to gender. A contribution from the beneficiaries defined in Article 3 shall be sought.  Grants.	
rehabilitation and reconstruction	Council Regulation (EC) No 2258/96 of 22 November 1996 on rehabilitation and reconstruction operations in developing countries				<b>EC EVALUATION 2002<sup>31</sup></b>  Instrument de moins en moins pertinent pour les actions d'intervention dans les contextes fragiles, dans la relance et la sortie de crise ou même dans le renforcement des capacités pour la prévention de crises futures.  Manque de participation des acteurs dans les phases d'identification et de mise en oeuvre
<b>RRM</b>		The RRM was designed to allow the EC to respond urgently to countries experiencing civil emergencies and natural disasters, and NSAs take part in operations aimed at maintaining or restoring the conditions that enable the countries to keep pursuing their development objectives			
<b>Food</b>	Council Regulation (EC) No 1292/96 of 27 June 1996 on food-aid policy and food-aid	Under this Regulation, funding is granted to civil society organisations which			<b>EC EVALUATION 2004<sup>32</sup></b>  The various instruments offered

<sup>31</sup> Evaluation des actions de réhabilitation et de reconstruction financées par la Communauté européenne dans les pays ACP/ALA/MED/TACIS

<sup>32</sup> Thematic Evaluation of Food Aid Policy and Food Aid Management and Special Operation in Support of Food Security

	management and special operations in support of food security	provide financial and technical assistance designed to implement food aid and (long-term) food security programmes, as well as rapid alert systems and storage programmes;			<p>by the Regulation 1292/96 are appropriate in principle to respond to the entire range of assistance needs of Food Security Budget Line (FSBL) recipient countries and to promote a continuous transition from emergency relief to development.</p> <p>The added value of the Food Security Regulation encompass its strong focus on poverty reduction, the high flexibility between its components, its acknowledged role in the Linking Relief, Rehabilitation and Development (LRRD) approach, the multi actors-partnership and its various levels of interventions (policy and project).</p> <p>Recommendation: Improve the operational efficiency of the operations by quicker project selection process within the NGO Call for Proposals.</p>
<b>GEOGRAPHIC</b>					
<b>ALA</b>	<p>Regulation (EC) No 2130/2001 of the European Parliament and of the Council of 29 October 2001 on operations to aid uprooted people in Asia and Latin American developing countries</p> <p>Regulation 443/92</p>	Programme of support and assistance to uprooted people in Asian and Latin American developing countries. In particular, this programme must provide for the basic needs of those persons from the time a humanitarian emergency subsides to the adoption of	<b>NGOs have acquired considerable experience of helping uprooted people from implementing operations of this kind in the past.</b>	Partners eligible for financial support under this Regulation shall be regional and international organisations, including United Nations agencies, NGOs, national, provincial and local administrations and agencies, community-based organisations, and public or	<b>SCADPLUS:</b>  Under the cooperation Regulation with the countries of Latin America and Asia, the regional, subregional and country strategy papers have a strong component on cooperation with civil society. NGOs may receive financial aid. Moreover, in Latin America,

		<p>a long-term solution to resolve their status.</p>	<p>Financing of action to provide technical assistance, training and other services, supplies, works, studies (which should, as far as possible, be entrusted to or involve collaboration with consultants either of the host country or stationed there, and involve universities and research institutes), audits and evaluation and monitoring missions.  2. Community financing may cover investment expenditure.</p> <p>Grants.</p>	<p>private institutes and operators.</p> <p>Community assistance is available to partners who have their main office in a Member State or a third country that is a recipient of Community assistance under this Regulation,</p>	<p>several political dialogues which include a parallel dialogue with civil society have been institutionalised (the dialogue between the EU and the Rio Group, for instance). The new generation of Agreements includes provisions on cooperation with civil society. As far as Asia is concerned, although the Agreements in force do not contain a legal obligation to consult civil society, formal structures such as the EU-India forum have been set up to ensure effective dialogue;</p> <p><b>INCEPTION REPORT:</b></p> <p>The regulations present a typology of recipients and partners<sup>33</sup> in cooperation, focusing on various types of NSAs (with particular emphasis on reaching the poorest sections of the population). There is <b>no information on the various roles that could be played by the CSOs</b><sup>34</sup>. The regulation mentions the need to select the most appropriate instrument (in this case it is referring to the various approaches – budget support, SWAP) but without linking it to the various actors.</p>
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<sup>33</sup> It is important to note that NSAs may not only be considered as beneficiaries but also as partners.

<sup>34</sup> EC policy documents ascribe an important role to CSOs in case aid is suspended as a result of human rights violations (as alternative channel of aid).

					<p><b>EC EVALUATION 2002<sup>35</sup></b></p> <p>The Regulation, which was the legal basis for a very broad range and volume of financial interventions in Asia and Latin America (“ALA”) over the last decade, had a relatively detailed strategic content. As a result, it has lost much of its relevance, and has become obsolete.</p> <p>The amount of financial resources devoted to both regions is perceived to be disproportionate (too small) in relation to the Commission’s ambitious stated goals.</p> <p>Budget support should be encouraged for its potential macro and sectoral impact.</p>
<b>South Africa</b>	Regulation (EC) No 1726/2000 of the European Parliament and of the Council of 29 June 2000 on development cooperation with South Africa	Contributing to South Africa's harmonious and sustainable economic and social development, through programmes and measures designed to reduce poverty and encourage economic growth which benefits the poor, and to its continued integration into the world economy, and to consolidate the foundations laid for a democratic society and a State	In particular studies, technical assistance, training or other services, supplies and works, and also evaluation and monitoring audits and missions.  Grants.	National, provincial and local authorities and public bodies, non-governmental organisations and community-based organisations, regional and international organisations, institutions and public or private operators. Any other body may be eligible if so designated by both parties.  A financial contribution from the partners shall in principle be required for each	<p><b>SCADPLUS WEBSITE:</b></p> <p>NSAs have traditionally been privileged partners of the EC in South Africa, for historical reasons and more specifically because of apartheid. The Trade, Development and Cooperation Agreement (TDCA) encourages dialogue and partnership between the public authorities and non-governmental organisations. South Africa is also a signatory to the Cotonou Agreement;</p>

<sup>35</sup> Evaluation of Regulation 443/92 (Asia, Latin America)

		<p>governed by the rule of law in which human rights and fundamental freedoms are fully respect-<i>ted</i>.</p> <p>Programmes shall focus on the fight against poverty, take into account the needs of the previously disadvantaged communities and integrate gender and environmental dimensions of development. In all these programmes special attention shall be paid to the strengthening of institutional capacities.</p> <p>Development cooperation to be carried out under this Regulation will focus mainly on:</p> <p>(a) support for policies, instruments and programmes aiming at the continued integration of the South African economy into the world economy and trade, for employment creation, development of the private sector, regional cooperation and integration.</p> <p>(b) improvement of living conditions and delivery of basic social services;</p> <p>(c) support to democratisation, the protection of human rights, sound public management,</p>		<p>cooperation operation. In specific cases where the partner is either a nongovernmental organisation or a community-based organisation, the contribution may not be required.</p>	<p><b>Southern Africa Trust, Aid effectiveness: trends and impacts of shifting financial flows to civil society organisations in Southern Africa, 2 March 2007</b></p> <p>Lack of harmonisation amongst donors can be detrimental to the channel: there is a need to think the harmonisation agenda at the level of CSO as well;</p> <p>Crucial role played by the channel in the supply chain especially because of their diversity and specialisation (speaking for the voiceless; monitoring transparency and accountability of aid received by government; helping the government in refining/focusing its policies to target beneficiaries; supporting the gov with evidence based policy formulation);</p> <p>Need for reinforcing the channel as such as well;</p> <p>Building CSO capacity is important for it to participate in the political dialogue (especially at the regional level);</p> <p>Aid to CSO in the SADC region is increasing, especially in service delivery and especially in sectors like health and education and especially through Northern NGOs acting as intermediaries;</p>
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		<p>the strengthening of local governments and the <b>involvement of civil society in the development process.</b></p>			<p>New donors appear (foundations...);</p> <p>Small but significant direct support to advocacy and policy engagement due to a perceived need to enable stakeholder reconciliation;</p> <p>The role of CSO in improving aid effectiveness is not guided by a coherent strategic approach;</p> <p>CSO are mostly seen as a last resort for aid disbursement when government failed;</p> <p>CSO often seen as weak absorption capacity;</p> <p>CSOs are not guided by a strategic approach as regards the donors/government perceptions of CSOs. This makes areas of engagement between the two adversarial and not collaborative. There is also a competitiveness mindset amongst CSOs working addressing aid issues and between CSOs and governments.</p> <p>There is a diversity of funding agencies and variety of support models. This is evident in professional CSOs that have proven effective in delivering projects that have an impact on the poor. It is based on donor agencies identifying their strengths and</p>
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					<p>weaknesses, thus allowing for specialisation.</p> <p>Some agencies are increasing direct support to CSOs especially in countries where donors perceive that governance is not good enough.</p> <p>There is more focus on capacity building of CSOs so as to increase their absorptive capacity and functionality in this dynamic environment.</p> <ul style="list-style-type: none"> <li>• International NGOs from donor countries are accessing more funds as donor governments outsource aid disbursements to their local NGO's that are increasingly taking space in the southern Africa region.</li> </ul> <p>The paradox of harmonisation and diversity is that too much harmonisation will negatively affect CSO diversity which emanate from the diverse purposes, organisational structures and constituencies of CSOs. The extent of harmonisation is also constrained due to the inherent diversity of interests and priority areas amongst donors. This being so, attempts at enabling effective CSO support through collaborative frameworks among donors can be accelerated by:</p>
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					<ul style="list-style-type: none"> <li>• Increased dialogue among donors on their CSOs support experience.</li> <li>• Increased collaboration by donor agencies that engage in similar policy and project areas.</li> <li>• Ensuring a higher probability of collaboration by starting dialogue at the outset of programmes.</li> <li>• Establishment of local funding facilities in close proximity to CSOs.</li> <li>• Regional CSO support facilities such as the Southern Africa Trust should collaborate with other equivalent initiatives in areas of mutual interest for greater impact through expertise and reduced transaction costs.</li> </ul> <p>Challenges and opportunities at the regional level should be identified and addressed.</p> <p>Investment in enabling and enforcing NGO coalitions could be an option as they are more effective and united to a common goal in influencing policy and engaging donors in various issues. They also serve as a more potent voice in articulating the issues affecting the citizens in the region from a non partisan perspective, an aspect conducive to growth and better welfare of the regions citizens.</p> <p>APRM</p>
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					<p>Bigger is better principle because this is administratively easier: whereas diversity of CSO!</p> <p>The increasing deconcentration of donor delivery mechanisms to regional and national levels, taken together with a reduction in administrative capacity by most donors, is resulting in an increased concentration of financial resources in fewer CSO recipients</p> <p>according to a kind of “bigger is better” principle, because this is administratively easier. CSOs that benefit are mostly well established, big, and highly professional service delivery or research-type institutes.</p> <p>This is changing the nature of civil society organisation in the region.</p> <p>g) Many donors face the same challenge of reduced capacity but increased budgets. This trend is evident in downsizing of donor staff while at the same time receiving more aid allocations for them to disburse. This impacts on their efficiency, hence the increased need for them to utilise a multi-donor approach so as to outsource the management function to reduce their own transaction costs.</p> <p>Key implications of these learning outcomes are that:</p> <ul style="list-style-type: none"> <li>• Access to aid flows is a challenge for most CSOs due to an increasing concentration of</li> </ul>
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					<p>resources in fewer recipients. Investment in CSO institutional development and linkages/networks provides avenues to reduce duplicity and provide greater access to aid as well as greater voice in policy dialogue.</p> <ul style="list-style-type: none"> <li>• Attempts to increase harmonized aid but not transform operating systems means that transaction costs are reduced for donors but at least the same level of capacity (if not more) is required amongst beneficiaries as when aid is not harmonised. This calls for CSOs to increase capacity building if the problem is not addressed. In addition, CSOs must address their current weakness in absorptive capacity. Hence more aid does not necessarily translate into more effective aid if operating systems and capacity constraints are not addressed.</li> <li>• The role of intermediary civil society support agencies therefore becomes more important as they become central to the aid effectiveness agenda because they can more effectively develop harmonised systems.</li> <li>• There is already evidence of some innovative aid delivery initiatives in the region that are centred on maximising CSO impact in policy work to overcome poverty. The formation of the</li> </ul>
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					Southern Africa Trust is a case in point that has seen more coherence in addressing the role of CSOs in the region, such as this forum. Other examples include initiatives in Mozambique and Lesotho.
<b>West Bank and the Gaza Strip</b>	Council Regulation (EC) No 1734/94 of 11 July 1994 on financial and technical cooperation with the West Bank and the Gaza Strip				No specific role for CSO
<b>MEDA</b>	MEDA Regulations: 1488/96 modified regulation n 780/98 and 2698/2000.	Contributing to initiatives of joint interest in the three sectors of the Euro-Mediterranean partnership: the <b>reinforcement of political stability and of democracy</b> , the <b>creation of a Euro-Mediterranean free-trade area</b> , and the <b>development of economic and social cooperation</b> , taking due account of the human and cultural dimension.  <i>See ANNEX II for detailed list:</i>  Support for sustainable economic and social development shall include in particular: - the participation of civil society and populations in the planning and imple-	The activities financed under this Regulation shall mainly take the form of technical assistance, training, institution-building, information, seminars, studies, projects for investment in micro-enterprises, small and medium-sized undertakings and infrastructures and action designed to highlight the Community nature of the assistance. Recourse should be had to decentralised cooperation where this may prove effective.	The beneficiaries of support measures may include not only States and regions but also local authorities, regional organizations, public agencies, local or traditional communities, organizations supporting business, private operators, cooperatives, mutual societies, associations, foundations and non-governmental organizations.  Invitations to tender and contract shall be open on equal terms to <b>all natural and legal persons in the Member States and the Mediterranean partners</b> .	<b>INCEPTION REPORT</b>  The two regulations list the various beneficiaries of support measures (also the various NSAs) but there is <b>no information on the various types of channels that could be used or on the role CSO could play</b> in development.  <b>Evaluation mi-parcours MEDA II finalised in 2005</b>  La qualité de conception de la logique d'intervention du programme MEDA peut être considérée comme satisfaisante. Il demeure cependant un problème au niveau de l'optimisation de l'équilibre entre l'aide budgétaire, le soutien de projet à grande échelle et le soutien de petits projets dont l'objectif est de mobiliser les

		<p>mentation of development measures, - strengthening democracy, respect for, and defence of, human rights, <b>in particular through non-governmental organisations</b> in the European Community and the Mediterranean partners,</p> <p>Regional, subregional and cross-border cooperation shall be supported in particular by: exchanges between civil society in the European Community and the Mediterranean partners</p> <p>The programmes must concentrate on promoting the participation and the emergence of civil society within the partner countries, in particular by encouraging information between networks and durable links between network partners.</p> <p>Good governance shall be promoted by supporting key institutions and key protagonists in civil society</p>	<p>Community financing shall notably be in the form of <b>grants</b> or <b>risk capital</b>. Concerning cooperation measures in the field of the environment it may also take the form of interest rate subsidies for loans granted by the Bank from its own resources.</p>		<p>initiatives de la société civile.</p> <p>Lors d'entrevues avec l'équipe d'évaluation, le personnel de la Commission reconnaît effectivement l'importance des dimensions politiques et humaines du partenariat, mais EuropeAid est, quant à elle, particulièrement réticente à accorder une plus haute priorité au financement de projets de la société civile. Cette réticence s'explique en partie par l'opinion qu'a EuropeAid des Programmes de coopération transfrontalière. Leur mise en oeuvre, dans le cadre des règlements Phare et Tacis, représente selon elle une activité demandant un travail considérable et dont l'impact est relativement négligeable si l'on compare les résultats à l'aide budgétaire apportée et aux projets de grande ampleur présentés par les grandes Institutions. En outre, les programmes de sollicitation de propositions, destinés à encourager les initiatives de la société civile, sont perçus comme nécessitant une somme de travail trop importante.</p> <p>le cadre financier mis en place pendant la période MEDA II ne facilite pas la promotion des</p>
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				<p>programmes d'échange de la société civile</p> <p><b>Analyse et recommandations:</b>  L'augmentation des niveaux de subvention des projets de la société civile représenterait la meilleure manière d'améliorer la pertinence. Dans le cadre de la coopération Nord – Sud, le programme transfrontalier envisagé actuellement par l'IEVP semble être en mesure d'accroître la pertinence. Dans le cadre de la coopération sociale et culturelle, les programmes fondés sur la sollicitation de propositions éligibles pour les organisations indépendantes de la société civile et autres sociétés privées pourraient stimuler l'émergence d'une nouvelle dynamique qui animerait la création et la professionnalisation des organisations de la société civile au sein des pays MEDA partenaires. Des instruments permettant la sollicitation de propositions sur une base annuelle ou biannuelle pourraient également contribuer à générer de nouvelles initiatives en termes de partenariats politiques et de prévention des conflits. Ces recommandations sont fondées sur le fait que les projets les plus modestes sont parfois plus</p>
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					<p>susceptibles d'engendrer les changements les plus importants</p> <p><b>Evaluation of Economic Co-operation between the European Commission and Mediterranean Countries 2003 (1995-2001):</b></p> <p>Sustainability would have been better secured if more had been done to develop local capacity to supply consultancy services.</p> <p><b>EC GOVERNANCE EVALUATION:</b></p> <p>The setting-up of an informal group on civil society for MEDA countries at the level of headquarters, has facilitated the exchange about policy developments in Brussels, experiences and lessons learnt in other MEDA countries, regional initiatives, etc.</p> <p><b>Court of Auditors, Special Report 5/2006 on MEDA</b></p> <p>Good example of participation of beneficiaries to the project in Morocco. Advocates for the use of budget support.</p> <p><b>SCADPLUS:</b></p> <p>The MEDA programme is the EC's main instrument in the region. NSAs are involved at</p>
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					regional level via the EuroMediterranean Civil Forum and several sectoral fora;
<p><b>TACIS</b></p> <p>(including the Institutions Building Partnership Programme - <b>IBPP</b>)</p>	TACIS Regulation: 99/2000	<p>Promoting the transition to a market economy and to reinforce democracy and the rule of law in the partner States</p> <p>Particular attention shall be paid:</p> <ul style="list-style-type: none"> <li>— to the need to reduce environmental risks and pollution, including transboundary pollution,</li> <li>— to the need to promote the sustainable use of natural resources, including energy resources, and</li> <li>— to the social aspects of transition.</li> </ul> <p><b>IBPP:</b></p> <p>The main objective of the IBPP is to stimulate citizens' initiative and to strengthen the capacity of NGOs, not-for-profit professional organisations and local &amp; regional authorities working in the social sector and in all areas relevant to civil society support as well as business partnership.</p>	<p>The programme shall aim to maximise impact through concentration on a limited number of significant initiatives, not precluding small-scale projects where such projects are appropriate.</p> <p>shall be supported:</p> <ul style="list-style-type: none"> <li>— transfer of expertise and know-how, including training,</li> <li>— industrial cooperation and partnerships for institution building based on cooperation between public and private organisations from the European Union and partner States,</li> <li>— on a case by case basis, the reasonable cost of supplies required in the implementation of the assistance. In particular cases, including nuclear safety, justice</li> </ul>	<p><b>IBPP:</b></p> <p>Applications should reflect partnerships between non profit organisations of the same type, within one of the three following categories:</p> <ul style="list-style-type: none"> <li>- Non governmental organisations such as associations in the health or social sector, consumers associations, community based organisations, environmental protection groups, etc.</li> <li>- Not-for-profit professional organisations such as associations of SMEs or entrepreneurs, Chambers of Commerce, trade associations, trade unions, etc...</li> <li>- Local and regional authorities</li> </ul>	<p><b>SCADPLUS:</b></p> <p>The Partnership and Cooperation Agreements concluded by the EC with the TACIS countries provide for financial support for NSAs under "Support for institutional, legal and administrative reform". Although there are no specific provisions concerning this, it is a priority area in many of the strategy papers</p> <p><b>INCEPTION REPORT:</b></p> <p>The Regulations focus on the dialogue with the partner state. <b>No specific information on the role of CSOs is provided.</b></p> <p><b>EC EVALUATION 2000<sup>36</sup>:</b></p> <p>Nothing relevant in it.</p> <p><b>EC EVALUATION 2006<sup>37</sup>:</b></p> <p>EC interventions have proved generally relevant. They have produced significant effects, particularly in the field of institutional, legal and administrative reform. As regards efficiency, TACIS has suffered from inadequate delivery mechanisms, focused on projects</p>

<sup>36</sup> Evaluation of Tacis Inter-State Energy and INOGATE Programmes and Related. Actions implemented in the Framework of National Programmes

<sup>37</sup> Evaluation of Council Regulation 99/2000 (TACIS) and its implementation

		<p>Sectors or themes that can be supported:</p> <ul style="list-style-type: none"> <li>- Social sector issues Assistance to disadvantaged women in order to improve their condition and status (i.e. women who are victims of disease, maltreatment, abuse or trafficking, etc.) Support to the social reintegration of marginalised groups of the population (i.e. unemployed, people with disabilities, members of minority groups, illiterate, etc.) Promotion of sustainable health and social care for disadvantaged sections for population at risk (i.e. elderly, homeless, street children, victims of cruelty and AIDS, etc)</li> <li>- Other civil society issues Consumer protection Environmental issues Adult education Training of unemployed</li> </ul>	<p>and home affairs and cross-border cooperation, a significant supply element may be included, — investment and investment-related activities. Assistance may include technical assistance to catalyse and support investments. Assistance may also include investment financing as described in Annex III, notably in the areas of cross-border cooperation, promotion of small and medium-sized enterprises, environmental infrastructure and networks.</p> <p>2. The assistance shall also cover costs related to the preparation, implementation, monitoring, audit and evaluation of the programme, as well as costs concerning information.</p> <p>3. The measures can be carried out, where appropriate, on a decentralised basis.</p>		<p>rather than programmes.</p> <p>TACIS has limited capacity to respond to a changing environment.</p> <p><b>Implementation should take place mainly through flexible instruments, such as: NGO funding by national participatory bodies or foundations.</b></p> <p>In the NGO case study, the objective of which was to contribute to increasing democracy in Russia, giving more room and stronger voice to NGOs, ended up in development of a <b>new model of co-operation between NGOs and local government in the provision of social services</b>, a need equally important for both parts. While the project has missed its original objective as designed in the AP, and as originally designed it was not relevant to the needs of the counterpart, it is possible that in the longer term, through the implementation and dissemination of this cooperation modality, NGOs could acquire a stronger voice in the policy making process, thus still contributing to the overall TACIS objective of democracy and rule of law.</p>
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			<p><b>IBPP:</b></p> <p>Projects should be focused and contain a mix of activities that together have a sustainable Institution Building effect. The following list is not exhaustive and innovative approaches are encouraged:</p> <ul style="list-style-type: none"> <li>- training of partner organisation staff, trainers, beneficiaries, representatives of the target group, etc;</li> <li>- management courses (including fundraising, public relations and lobbying)</li> <li>- transfer of know-how</li> <li>- study visits and work placements</li> <li>- thematic seminars, workshops, conferences (to present project results to a wider audience of concerned specialists) and other dissemination actions</li> </ul>		
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			<ul style="list-style-type: none"> <li>- publications of manuals on best practice, leaflets, best practices</li> <li>- establishment or development of new services</li> <li>- other human and institution capacity building measures</li> <li>- meetings to raise the awareness of the local population and/or the authorities</li> <li>- procurement of equipment essential for project implementation</li> </ul>		
<b>ACP</b>					<p><b>INCEPTION REPORT (see also impact diagram):</b></p> <p>The Cotonou Agreement<sup>38</sup> is underpinned by a set of principles, i.e. concerning the equality of partners, ownership, participation as well as the pivotal role of (political) dialogue, that are of high importance for the relationship with CSOs. The various types of CSOs are presented in detail. There are legal provisions geared at ensuring their participation in</p>

<sup>38</sup> Partnership agreement signed in Cotonou on 23 June 2000.

					<p>policy, implementation and review processes as well as access to EDF funding.. The underlying aim is to enlarge partnership and to promote greater coherence and complementarity of instruments and approaches (budget support, project approach).</p>
					<p><b>Evaluation thématique Développement rural et agricole Juillet 2007</b></p> <p>Appui à la consolidation de la société civile, principalement à travers les lignes budgétaires ONG, contribué au renforcement des capacités d'intégration politique et sociale des bénéficiaires.</p> <p>Au <b>Cambodge</b> : la sécurité alimentaire est financée par trois voies différentes :</p> <ul style="list-style-type: none"> <li>(i) via l'aide humanitaire ;</li> <li>(ii) par la ligne de sécurité alimentaire pour des projets "classiques" ;</li> <li>(iii) via les ONG pour des projets de crédit, vulgarisation agricole, banques de bétail, eau potable, assainissement, irrigation, etc.</li> </ul> <p>L'appui de la CE à la consolidation de la société civile intervient principalement à travers les lignes budgétaires ONG, dotées</p>

					<p>d'un montant global non négligeable. Cet appui contribue de manière significative au renforcement des capacités d'intégration politique et sociale des bénéficiaires.</p> <p>Les ONG prennent une place croissante dans les dynamiques de développement avec des tendances variables d'une zone à l'autre:</p> <ul style="list-style-type: none"> <li>☐ En Amérique latine, les ONG ont une tradition d'interventions dans les enjeux de développement ;</li> <li>☐ Dans les pays ACP et au Maroc, les ONG ont surtout oeuvré dans des missions de service public. Ainsi, leur implication dans les enjeux de développement est relativement récente ;</li> <li>☐ Au Cambodge, les ONG prennent une place déterminante dans les interventions de la Communauté internationale.</li> </ul> <p>Dans certains pays – comme la Bolivie – les lignes budgétaires réservées aux ONG (sécurité alimentaire, cofinancement des ONG, forêts tropicales et environnement, etc.) représentent plus de 20% des décaissements de la coopération de la CE et peuvent donc être considérées comme significatives.</p> <p>En général, dans la coopération</p>
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					<p>de la CE, les ONG sont passées progressivement d'un rôle d'exécutant à un rôle de partenaire. Dans la zone ACP, la participation des ONG au processus de préparation et de suivi des stratégies pays s'est renforcée dans le cadre de l'application des accords de Cotonou. Dans tous les pays de l'échantillon, la société civile, souvent réduite aux seules ONG, participe directement aux consultations qui accompagnent l'élaboration des DSP. Dans certains cas, comme en Ouganda (PMA), elle participe aussi aux instances de suivi des interventions.</p> <p>Outre l'exécution des interventions financées par les lignes qui leur sont réservées, les ONG appuient ou exécutent parfois des actions à la demande d'institutions décentralisées de l'Etat. C'est notamment le cas en Bolivie dans le programme PASA, au Mozambique (politique de l' "outsourcing") ou encore à Madagascar dans le programme ACORDS.</p> <p>La ligne ONG a permis le soutien à la dynamique d'émergence d'acteurs non étatiques dans le secteur agricole.</p>
					<p><b>Council of the EU, Recommendations for Enhancing co-operation with NGOs and CSOs in the</b></p>

					<p><b>framework of EU Civilian Crisis Management and Conflict Prevention, 20 November 2006</b></p> <p>CSOs have considerable expertise and knowledge in the field of civilian crisis management and conflict prevention. Further efforts to enhance cooperation with CSOs should build on:</p> <ul style="list-style-type: none"> <li>-Cooperation with CSOs within ESDP (e.g. the NGO Crisis Management Initiative) in the establishment of Aceh Monitoring Mission;</li> <li>- collaboration within Crisis Management and Conflict Prevention;</li> <li>- results of the conference “Enhancing Co-operation between Civil Society and EU Civilian Crisis Management held in Helsinki, 27-28 September 2006”.</li> </ul>
					<p><b>Article INTRAC</b></p> <ol style="list-style-type: none"> <li>1) Aid harmonisation marginalizes CSO except for specific role foreseen in fragile states;</li> <li>2) BS detrimental as more corruption;</li> <li>3) Focus on a single aid basket makes the poor vulnerable to political change by both recipients</li> </ol>

					<p>and donors;</p> <p>4) Need to keep the diversity of the CSO agenda (often more diverse than the one of the State). Should not only implement State policies but also take other initiatives;</p> <p>5) CSO often respond on the short term (good in case of crisis, but how sustainable is the channel?);</p>
					<p><b>Evaluation of European Community Support to Private Sector Development in Third Countries, December 2005 (period 1994-2003)</b></p>

## **ANNEX V: CSP analysis**

**EVALUATION  
OF EC AID DELIVERY  
THROUGH CIVIL SOCIETY ORGANISATIONS**

Country & Regional Strategy Paper Analysis

Contract Number: EVA/116-833

Service Contract for the Evaluation (sectoral and thematic) of European Commission Programmes and Policies in Third Countries, relating to Social and Human Development issues.

January 2008

*Evaluation for the European Commission*



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Service Contract for the  
Evaluation (sectoral and thematic)  
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Countries, relating to Social and  
Human Development issues.

**Evaluation of EC aid delivery  
through Civil society  
organisations**

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The opinions expressed in this document represent the authors' points of view, which are not necessarily shared by the European Commission or by the authorities of the countries concerned.

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## 1. COUNTRY SELECTION PROCESS

The Evaluation Team based the selection of countries and regions for the analysis on the following main criteria:

- focus on countries where a significant volume of EC aid has been channeled through CSOs (link with mapping);
- regional representation
- consideration of EC strategies and programmes;
- balance between different regions of the world (with ACP providing the largest share; other regions approximately with a similar number of countries);
- consideration of various policy and legal frameworks;
- consideration of diversity of political environments, including authoritarian states (where the “space” for CSOs is reduced), fragile states and post-crisis situations;
- exclusion of countries where field missions will take place and where many evaluations have already been carried out;
- priority of countries where the team has no specific expertise or regular presence;
- inclusion of regional perspective.

On the basis of the aforementioned criteria, a set of 22 countries and 3 regions has been selected as follows.

**Step 1:** countries were listed in descending order based on the size of the total amount of aid channeled through CSOs during the period 2000 and 2006 (see the list in table 1).

**Step 2:** countries in which field visits are to be carried out within this evaluation have been excluded (they are marked in bold). The remaining countries have been kept for the next steps.

Country	Total payment 2000-2006 in €	Group 1: Structural Aid	Group 2: post-crisis situations	Field visit within 2007 evaluation
Russian Federation	198.996.427	<b>X</b>		
Afghanistan	151.338.082		<b>X</b>	
Congo, Dem. Rep.	133.477.100		<b>X</b>	
India	130.042.871	<b>X</b>		
Ethiopia	106.652.182		<b>X</b>	
Sudan	88.394.598		<b>X</b>	
Angola	76.580.590		<b>X</b>	
Ukraine	76.342.315	<b>X</b>		
Nicaragua	72.160.574	<b>X</b>		
Bangladesh	71.888.979	<b>X</b>		
Pakistan	57.332.538	<b>X</b>		
China	55.258.821	<b>X</b>		
P.A.A.	54.177.291		<b>X</b>	
Somalia	50.775.531		<b>X</b>	
Colombia	49.487.203		<b>X</b>	
<b>Kenya<sup>1</sup></b>	<b>45.271.201</b>			<b>X</b>

<sup>1</sup> Due to the current political upheaval and sensitive security situation in Kenya, the planned field visit has been moved to Somalia. However, this does not affect the selection of countries for the CSP analysis as decided upon before this shift.

Egypt	41.664.436	X		
Thailand	38.219.647	X		
Mozambique	38.053.416	X		
South Africa	38.006.000	X		
Brazil	34.178.895	X		
Madagascar	33.794.255	X		
Tanzania	31.964.817	X		
Guatemala	31.768.224	X		
Haiti	31.259.400		X	
Indonesia	29.276.398	X		
Morocco	28.052.004	X		
Vietnam	26.712.362	X		
Rwanda	26.638.062		X	
Uganda	26.610.142	X		
Malawi	26.020.009	X		
Bolivia	26.008.160	X		
Tunisia	25.430.833	X		
Ivory Coast	25.176.238		X	
Mali	25.073.848	X		
Philippines	24.506.478	X		
<b>Peru</b>	<b>23.554.688</b>			<b>X</b>
Zimbabwe	21.610.046	X		
<b>Lebanon</b>	<b>21.235.922</b>			<b>X</b>
Sierra Leone	20.951.454		X	
Dominican Rep.	20.385.511	X		
Burundi	20.069.674		X	
Algeria	19.706.259	X		
Niger	18.656.798	X		
Chad	17.527.322		X	
Burkina Faso	17.519.750	X		
El Salvador	16.840.319	X		
Liberia	16.008.341		X	
<b>Georgia</b>	<b>15.446.768</b>			<b>X</b>
Senegal	15.369.001	X		

**Table 1: List of the 50 most important countries, including countries which will be evaluated in the field**

**Step 3:** the remaining 46 countries have been distributed between the various geographical zones:

ACP	ALA	MEDA	TACIS
Congo, Dem. Rep.	India	P.A.A.	Russian Federation
Ethiopia	Nicaragua	Egypt	Ukraine
Sudan	Bangladesh	Morocco	
Angola	Pakistan	Tunisia	
Somalia	China	Algeria	
Mozambique	Colombia		
South Africa	Thailand		
Madagascar	Brazil		
Tanzania	Guatemala		
Haiti	Indonesia		
Rwanda	Vietnam		
Uganda	Bolivia		

Malawi	Philippines		
Ivory Coast	El Salvador		
Mali	Afghanistan		
Zimbabwe			
Sierra Leone			
Dominican Rep.			
Burundi			
Niger			
Chad			
Burkina Faso			
Liberia			
Senegal			

**Table 2: Geographical Distribution of Selected Countries**

**Step 4:** 22 countries have been selected based on their financial importance, the financial weight of their region and the balance between post conflict countries and other countries:

ACP	ALA	MEDA	TACIS
Congo, Dem. Rep.	India	P.A.A.	Russian Federation
Ethiopia	Nicaragua	Egypt	Ukraine
Sudan	Bangladesh	Morocco	
Mozambique	Pakistan		
South Africa	China		
Madagascar	Colombia		
Mali	Thailand		
Dominican Rep.	Afghanistan		
Burkina Faso			

**Table 3: Geographical Distribution of Final Selected Countries**

**Step 5:** An alternative list of 8 countries that may replace one or more of the proposed 22 countries has been identified based on the same criteria as those used for step 4 as well as two other considerations : (i) inclusion of “difficult partnerships” (i.e. countries where the “space” for using the CSO channel is reduced) and (ii) inclusion of Pacific country in ACP

ACP	ALA	MEDA	TACIS
Eritrea	Brazil	Tunisia	Uzbekistan
Cuba	Guatemala	Syria	
Fiji			

**Table 4: Geographical Distribution of Alternative Countries**

**Step 6:** Identification of 3 regions based on their financial importance

ACP	ALA	MEDA	TACIS
Eastern Africa	South-east Asia		
West Africa			

**Table 5: Geographical Distribution of Selected Regions**

## Final Choice of Countries and Regions

**22 countries & 3 regions:**

ACP	ALA	MEDA	TACIS	Regions
Burkina Faso	Afghanistan	Egypt	Russian Federation	East Africa
DRC	Bangladesh	Syria	Ukraine	West Africa
Dominican Rep	China	Tunisia	Uzbekistan	South-East Asia
Ethiopia	Colombia			
Fiji	India			
Madagascar	Nicaragua			
Mozambique	Thailand			
South Africa				
Sudan				

**Table 6: Final List of Selected Countries and Regions**

## 2. LIMITATIONS

There are a number of limitations which apply to this Country and Regional Strategy Paper Analysis:

- Since the first round of CSPs and RSPs were only formalised between 2000 and 2002, the available documents do not necessarily cover the whole period of the Evaluation. For many countries the CSPs begin in 2002 or 2003, for example.
- Most of the references to CSOs do not name CSOs directly as civil society organisations, but rather refer to ‘civil society’ in general, or to Non-state actors (NSAs) or Non-governmental Organisations (NGOs). While the working definition of CSOs for this Evaluation is comprehensive of organisations under all of these headings, the choice of different categories in various CSPs in contrast to one single term (CSOs) for the present analysis might lead to a loss of potentially significant conceptual nuances.
- Most CSPs and RSPs do not clearly elaborate on the role of CSOs as an aid delivery channel, but such a function of CSOs is implied in the language employed. This lack of overt references to CSO channelling necessitates a certain degree of interpretation and inference, which limit the reliability of the findings presented in this analysis. This is particularly true for the ‘instruments used to channel aid through CSOs.’

## 3. METHODOLOGY

To facilitate and structure both the analysis as well as the presentation of findings, an analytical grid was created. The creation of this grid took into account:

- The Evaluation Questions and Judgment Criteria on which an analysis of the CSPs/RSPs could potentially shed light
- The limited amount as well as nature of information on CSO channelling actually available in CSPs/RSPs<sup>2</sup>

After its creation, the grid was tested, based on a structured reading of a small sample of CSPs. And after revision, based on experienced usefulness, it was finalised.

<sup>2</sup> A more extensive grid was originally created, but after a preliminary overview of findings, was simplified to focus on those categories of questions, for which useful information was available.

## 4. SUMMARY OF FINDINGS

### General trends

Most of the CSPs and RSPs include references to CSOs as past and future partners in implementation of development activities. However, very few of them employ the term 'channelling' or 'channel' in recognition of this particular function which CSOs can have. It often remains somewhat unclear whether support and funding to CSOs is meant to go 'to', or 'through' them – towards project or programme implementation directly related to achieving EC policy objectives.

Nevertheless, CSOs are effectively involved in the implementation of EC projects and programmes in the majority of the countries analysed. And support to, and capacity building for civil society is a component of EC country strategies and related programming in all regions.

In terms of instruments through which CSO channelling is funded, all regional instruments and a number of thematic budget lines seem to be involved at time, but particularly the NGO co-financing budget line, and at times the European Initiative for Democracy and Human Rights (EIHDR) are mentioned repeatedly.

There frequent links between (post-)conflict situations and the use of CSOs as an aid delivery channel, but the relationship is not of a direct causal nature. In fact, (post-)conflict situations either result in a larger involvement of CSOs in aid delivery, or inhibit CSOs from functioning as such. A potential hypothesis might be that: a) CSOs (particularly international NGOs) are frequently the only functioning aid delivery mechanisms in conflict situations, but b) the EC desires to strengthen official state institutions in the provision of basic services after a conflict is over, so c) the use of CSOs as an aid delivery channel is increased during conflict situations, and then consciously reduced through policy decisions in post-conflict situations.

### Trends per region & for RSPs

#### ACP

Most of the country strategies concerning ACP countries foresee a role of CSOs as an aid delivery channel. In terms of the major sectors in which CSO channelling is mentioned, rural development, food security and education are mentioned most frequently. And in nearly all countries, support to civil society and CSOs is part of programming, although it is not always clear if such support is intended to strengthen the potential of CSOs as a partner in implementation, or aid delivery channel as such.

#### ALA

Most of the country strategies concerning ALA countries foresee a role of CSOs as an aid delivery channel. In terms of the major sectors in which CSO channelling is mentioned, humanitarian relief, human rights and to a lesser extent health are mentioned most frequently. There is quite some divergence in the size and degree of active involvement of CSOs across ALA countries. In both Afghanistan and Bangladesh, the degree of aid channelling through CSOs is so high, that the EC is planning to reduce it somewhat in favour of strengthening the role of official public institutions.

#### MEDA

In the MEDA country strategy papers analysed, very little attention is given to the role and potential of CSOs as an aid delivery channel. In a number of countries, the situation of CSOs is quite difficult due to the political situation. In terms of key sectors mentioned in relation to CSOs (albeit not always in the capacity as an aid channel), human rights and democracy appears most prominent.

#### TACIS

The TACIS country strategies under consideration offer very limited information on the role and potential of CSOs as an aid delivery channel. In all three post-Soviet states, civil society is only gradually becoming a major actor, and in the case of Russia and Uzbekistan faces challenges in terms of official recognition. Due to this situation, most EC funding in relation to CSOs focuses on capacity building and support, particularly in the area of human rights and democracy, and often as part of the EIDHR. However, CSOs are at times employed as channels for humanitarian assistance.

Regional Strategy Papers:

The three regional strategies investigated all include reference to the use or potential of CSOs as partners in implementation (and policy dialogue). However, few specific commitments are made in terms of the involvement of CSOs as an aid delivery channel in priority sectors, etc.

## **5. DETAILED FINDINGS**

Below, please find the findings for each selected country and region, presented in the structure of the analytical grid in alphabetical order, with regions following countries.

**ACP countries:**

<b>Burkina Faso</b>	
<b>The EC country strategy for Burkina Faso clearly involves the active role of CSOs as an aid delivery channel in some of the major areas of intervention, such as rural development and food security. One component of the CSP foresees an institutional support component for CSOs, which will surely enhance the capacity of CSOs as implementing agents.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The CSP 2001-2007, related indicative programme and the Mid-Term Review 2004 for Burkina Faso all mention the role of CSOs as an aid delivery channel, even if it is not central to the country strategy.
The situation, specificity and potential added value of CSOs	The CSP notes how there is a large number of active CSOs in Burkina Faso who work towards poverty reduction, most notably through rural development. A particularly large number of both international as well as local NGOs exist, and the EC already cooperates with them on a broad scale, covering several areas of intervention.
Clear choices at the programming level with regard to delivering aid through CSOs	According to a summary of a EC country strategy evaluation in Burkina Faso, annexed in the CSP, the potential of participation by civil society in political dialogue as well as the implementation of projects is not fully realized and should be further developed. EC procedures for cooperation with civil society appear too complex in comparison to those of other donors and constitute an possible obstacle to the successful implementation of interventions. The report stresses the necessity to analyse which option could be better in reinforcing CSOs: the creation of new institutions / mechanisms such as FAED to become an intermediary in the cooperation with CSOs or to support CSO umbrella organizations.
Conceptual differentiation of various kinds of CSOs	The CSP details a number of different CSOs, including local and international NGOs, associations, and organized communities.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The CSP makes a clear commitment to the direct support of CSOs, particularly those with a specific focus on local development. One of the non-focal sectors includes an institutional support component for CSOs. This component is to include the introduction of a selection mechanism, project management and monitoring, which shall assure complementarity with already established priorities in the framework of poverty reduction.
Sectors and thematic areas in which aid is channelled through CSOs	At the time of the CSP, the EC already employed CSOs as an aid delivery channel in the area of food security. And although other sectors are not specifically mentioned, the existence of cooperation funded through a number of different thematic budget lines, suggests that other CSOs are also partnering with the EC in other areas of intervention.

Instruments used to channel aid through CSOs	Various thematic budget lines are being employed in the cooperation with CSOs, including the food security budget line.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link in the CSP between any such situations and the role of CSOs in Burkina Faso.
Documents consulted	Country Strategy Paper 2001-2007 and included indicative programme; Mid-Term Review 2004.

<b>Democratic Republic of the Congo</b>	
<b>In part due to the post-conflict situation, official state institutions do not provide adequate basic services to the regions of the DRC. A very heterogeneous CSO sector has stepped into this gap, and thus plays a significant role in a number of fields such as health, food security and rehabilitation. The EC has and will continue to partner with CSOs in the DRC, and the CSP foresees a number of potential opportunities to employ the channel of aid delivery through CSOs.</b>	
Relative importance of CSOs and CSO channeling in the CSP	There is ample mention of CSOs and CSO channeling in the CSP 2003-2007, related NIP and the Mid-Term Review 2004.
The situation, specificity and potential added value of CSOs	The CSOs of the DRC are very developed and diversified. This is due primarily to the lack of a response by the State to the needs of the population and the privatization of essential services such as health and education. This diversification is further increased through the political landscape of the country. The coverage of CSOs fields areas such as health stretches to all regions in the DRC. While the potential of CSOs as an aid delivery channel is great, they lack adequate resources as well as a clear legal status defining their role. However, it is certain that CSOs can play a major role in the democratization and development of the country.
Clear choices at the programming level with regard	On-going EC cooperation with CSOs already entails a large programme in support to the justice system, which includes a component directly implemented through CSOs, namely the sensibilisation of the population and the training of para-judiciary personnel by specialized NGOs. At the time the CSP was drafted, there were also 16 on-going projects channelled

to delivering aid through CSOs	through CSOs and funded through the NGO co-financing budget line. Furthermore, both national and international NGOs are actively involved in EC programmes concerning food security. The CSP foresees that also in the future a number of programmes are implemented via the channel of CSOs in a context of decentralized cooperation.
Conceptual differentiation of various kinds of CSOs	The CSP describes Congolese civil society and CSOs as very heterogeneous. Among other kinds of organizations, there are three very different kinds of churches, NGOs active in development and human rights, trade unions, professional associations, farmer cooperatives, cultural associations, the independent media, women's organizations, philanthropist associations, and scientific organizations.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	In the area of human rights and justice, the CSP foresees funding for capacity building of CSOs. However, it is not clear if these CSOs are to later function as channels of EC aid delivery or not.
Sectors and thematic areas in which aid is channelled through CSOs	On-going projects implemented through NGOs pertain to health, capacity building, food security, and rehabilitation.
Instruments used to channel aid through CSOs	The NGO co-financing budget line is being successfully employed in the DRC and will be employed throughout the programming cycle of the CSP. Other thematic budget lines, such as food security, are also involved. And some funding will come from the general envelope, in support of the justice programme.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	Yes, in Congo there is a link between the lack of coverage by official government institutions and a post-conflict situation. This has led to the increased importance of CSOs as basic service providers in a number of fields throughout the country, making them important partners and giving them great potential as an aid delivery channel for the EC.
Documents consulted	CSP 2003-2007 and included indicative programme; Mid-Term Review 2004.

## Dominican Republic

**In the Dominican Republic, EC policy foresees a complementary role of CSO activities in relation to the two main focal sectors of education and water. A clear commitment is made to support CSOs in related aid delivery, and some funds are allocated to build the capacity of CSOs to function effectively in this role. However, the role of CSOs as an aid delivery channel is not elaborated in any detail.**

Relative importance of CSOs and CSO channeling in the CSP	CSOs as a channel for aid delivery and project/programme implementation is mentioned and briefly elaborated in the CSP.
The situation, specificity and potential added value of CSOs	The country sports a number of important CSOs who are well structured and very active, having an important influence on political life.
Clear choices at the programming level with regard to delivering aid through CSOs	The funds not directly allocated to the focal sectors (education and water) will go to support CSOs in a predefined range of activities, complementing the programmes in the focal sectors. This means that the EC will use the channel of CSOs to deliver services in line with the main policy objectives of the country strategy. The Mid-Term Review 2004 underlines the possible role of CSOs in the implementation of projects and programmes.
Conceptual differentiation of various kinds of CSOs	No conceptual differentiation is made between various kinds of CSOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The CSP promises support to CSOs, particularly those with a specific focus on local development. Such support is to include the introduction of a selection mechanism, project management and monitoring, which shall assure complementarity with already established priorities of the country strategy.
Sectors and thematic areas in which aid is channelled through CSOs	Aid will be channeled through CSOs in the focal sectors of the CSP, namely education and water.

Instruments used to channel aid through CSOs	Apart from a portion of the general EDF budget allocation, various budget lines, including NGO co-financing shall be employed in relation to support to and aid delivery through CSOs.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link in the CSP between any such situations and the role of CSOs in the Dominican Republic.
Documents consulted	Country Strategy Paper 2001-2007 and included indicative programme; Mid-Term Review 2004.

<b>Ethiopia</b>	
<b>The CSP 2002-2006 and related NIPs for Ethiopia consistently mention CSOs but only at times in a capacity of an aid delivery channel. While a substantial number of projects in various sectors are implemented by CSOs and funded through the NGO co-financing budget line, the main thrust of the CSP with regard to CSOs is on their capacity building as actors within Ethiopian society.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The CSP 2002-2006 for Ethiopia mentions CSOs throughout the document. However, most of the time, such references refer to support of civil society in general, rather than EC aid delivery through CSOs.
The situation, specificity and potential added value of CSOs	Civil society in Ethiopia is fragmented and because of ethnic and linguistic diversity mainly confined to operating at local or regional levels. Amongst others the churches (mainly Ethiopian Orthodox) and the mosques are important traditional institutions. Nation-wide institutions of professionals (economists, lawyers), private sector organisations, human rights organisations and NGO's have only recently increased their prominence in society. Structural dialogue with government institutions is weak and representation underdeveloped.
Clear choices at the programming level with regard to delivering aid	A clear decision is reflected in the CSP to continue NGO co-financing at a relatively high level (see below). However, the bulk of funding related to CSOs goes to the capacity building thereof, rather than their use as aid delivery actors.

through CSOs	
Conceptual differentiation of various kinds of CSOs	Civil society is characterized in the CSP as consisting of a variety of actors, including NGOs, women associations, trade unions, and media. International NGOs find no mention.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	Strengthening Ethiopian CSOs is certainly a priority of the CSP. The three focal sectors of the CSP are each to be complemented by other activities, all of which have a common thematic approach, namely capacity building for Governance and Civil Society. On top of the inclusion of CSOs in a number of priority sectors, “civil society” also constitutes an additional non-focal sector. But rather than directly supporting CSOs to become an effective aid delivery channel, the main aim of the support to civil society is the empowerment of relevant groups and organisations in order for them to play their due role in negotiations and policy formulation, as well as to provide the normal checks and balances in a mature democratic society.
Sectors and thematic areas in which aid is channelled through CSOs	Most projects funded through the NGO co-financing budget line, are projects in the fields of Rural Development, Health, Education and Water Supply. However, the CSP also foresees an active role of non-state actors in the implementation of transport sector projects and in addressing food security and support of rural micro-finance institutions.
Instruments used to channel aid through CSOs	Under the NGO Co-financing budget line, about 40-50 NGO projects are continuously under implementation (reflecting an annual EC contribution of approximately € 4 million). At the time of the Mid-Term Review (2004), there were 18 on-going programmes financed through this budget line, totaling about €9.6 million in terms of EC contributions.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or ‘difficult partnerships’?	There is no link in the CSP between any such situations and the role of CSOs in Ethiopia.
Documents consulted	Country Strategy Paper 2002-2007 and included indicative programme; Mid-Term Review 2004.

## Fiji

**The EC country strategy for Fiji allocates a large amount of funding to initiatives implemented through CSOs, as well as the capacity**

<b>building of CSOs. The priority sector of EC assistance as well as CSO channeling is education, with a particular focus on rural education.</b>	
Relative importance of CSOs and CSO channeling in the CSP	A non-state actors programme is allocated 15% of the A envelope, constituting the second largest programme of the CSP
The situation, specificity and potential added value of CSOs	In the preparation of the national development policy as well as the EC country strategy for Fiji, NGOs, private sector and civil society organisations have participated in different seminars, meetings, panels and workshops. One important outcome was the formation of the Fiji Forum of Non State Actors, an organised structure for the dialogue between Government and NSAs. NGOs provide the bulk of welfare assistance in Fiji, generally through non-cash donations, which is a very cost-effective manner and are also involved in supporting the education of the poor. CSOs thus have a great potential as an aid delivery channel in Fiji.
Clear choices at the programming level with regard to delivering aid through CSOs	Due to the structure of the sector, in particular at the rural level, NSAs are heavily involved in the education process. As stated earlier, over 95% of schools are privately managed, mainly on the basis of religious, but also community groups' initiatives. NSAs that are active in the education sector, or with a stake in it (e.g. the Employers Federation) can be beneficiaries of the 9th EDF programme; some will be entrusted with parts of the implementation. A percentage of the A-envelope (15% or € 3.15 million) will be available for NSA specific operations, including their capacity building. Furthermore, the identification of Fiji as a focus country for EIDHR entails that a stable allocation for the period 2002-2004 (averaging € 1.3mn per year) will be attributed to the country. These funds will be mainly utilised to support Non-State Actors. The operations are destined to contribute to political stability – a pre-condition for future development and a framework for social progress. Further EC funded activities will be implemented by Non-State Actors in the context of the Rural Education Programme.
Conceptual differentiation of various kinds of CSOs	There is no differentiation of various kinds of CSOs in the CSP and related documents.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The CSP states that long-term technical assistance can be made available to competent NSA for the effective co-ordination and smooth implementation of the projects. Furthermore, parts of the allocation to the Rural Education Programme will be used to support NSA capacity building projects.
Sectors and thematic areas in which aid is	The primary sector in which CSOs will function as aid delivery channel, is education. But CSOs will also partner with the EC in the field of democracy and human rights.

channelled through CSOs	
Instruments used to channel aid through CSOs	A part of the 9 <sup>th</sup> EDF A envelope of the 2002-2004 NIP, as well as allocations from thematic budget lines including the NGO co-financing budget line will be used to channel aid through CSOs.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link in the CSP between any such situations and the role of CSOs in Fiji.
Documents consulted	Country Strategy Paper 2003-2007 and included indicative programme.

### Madagascar

**Based on previous good experience with CSOs as implementing partners, the EC country strategy for Madagascar includes the active participation of CSOs in a number of important sectors, most importantly rural development and food security.**

Relative importance of CSOs and CSO channeling in the CSP	The CSP mentions CSOs repeatedly and foresees a role as implementing partners in the primary policy areas, even if the details of such a partnership and its dynamics are not elaborated.
The situation, specificity and potential added value of CSOs	In Madagascar, CSOs are particularly active in the rural development sector.
Clear choices at the programming level with regard to delivering aid	The EC has worked through CSOs in Madagascar before. For example, in 2000 the EC has launched a call for proposals to CSOs, up to an amount of 15 million Euro. CSOs have actively been involved in rural development programmes, and the CSP states that the budget line for food security, for example, will continue to be employed for cooperation with CSOs working in disadvantaged zones. The Mid-Term Review reiterates this partnership with CSOs, mentioning that CSOs are

through CSOs	planned to participate either directly or indirectly in all rural development programmes. Although no direct fund allocations to CSOs are made in the NIP, all foreseen activities of cooperation integrate CSOs as beneficiaries or actors in their implementation. Furthermore, a large part of the STABEX programmes are implemented with the support of “interprofessional organizations.”
Conceptual differentiation of various kinds of CSOs	According to the CSP, CSOs in Madagascar, particularly in the field of rural development include NGOs, farmers associations and CBOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	No clear programming choices with regard to the strengthening or capacity building of CSOs as an aid delivery channel are elaborated in the CSP and related documents.
Sectors and thematic areas in which aid is channelled through CSOs	The CSP clearly states that CSOs will participate in EC-funded activities in the fields of rural development, food security, agricultural production and natural resource protection.
Instruments used to channel aid through CSOs	Several budget lines will fund activities implicating a large number of CSOs, including the NGO co-financing budget line.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or ‘difficult partnerships’?	There is no link in the CSP between any such situations and the role of CSOs in Madagascar.
Documents consulted	Country Strategy Paper 2002-2007 and included indicative programme; Mid-Term Review 2004.

## Mozambique

**Mozambique still faces the consequences of a post-conflict situation. At the time of the CSP 2001-2007 government structures were not able to provide certain basic services in rural areas, while a number of CSOs partially filled this gap through numerous small programmes in food security, health and education. The EC has and continues to employ CSOs as one channel of aid delivery. But the emphasis of the CSP is to increase coherence and coordination between CSO and government policies and programmes in all focal sectors, and eventually strengthen public institutions to play their proper role.**

Relative importance of CSOs and CSO channeling in the CSP	The CSP 2001-2007 and related NIPs for Mozambique repeatedly mention CSOs and CSO channeling.
The situation, specificity and potential added value of CSOs	Mozambique has an active civil society, including a multitude of small and medium-size CSOs. The relationship between Government and CSOs remain weak, though according to the CSP, the government should be given credit for trying to improve the dialogue. A multitude of small interventions by NGOs and churches take place in both the health as well as education sector, which fill gaps in the provision of services which the Government is unable to provide at the local level. This broad level of geographic coverage in the absence of other service providers provides the CSOs of Mozambique with a unique position as an aid delivery channel in the country.
Clear choices at the programming level with regard to delivering aid through CSOs	The CSP details a number of intervention areas in which the EC desires to keep working together with CSOs in aid delivery. However, the important message here is a move towards greater cohesion between CSO and government efforts and policies. In the area of rural development for example, the CSP describes how recent efforts have been made by the EC to create a more coherent programme, linking NGO-implemented operations to Government planning and budgeting, thus trying to build the conditions for a more strategic and sustainable support, with NGOs no longer displacing the State from its core functions. In general, the EC is willing to participate in a dialogue with NSAs and the Government in 2002 to discuss the implementation of NSA actions within the focal sectors, building on the positive experience gained in working with NSAs within the food security programme, and replicating the same approach for the rural feeder roads. the EC proposed to apply the same system of full co-operation.
Conceptual differentiation of various kinds of CSOs	The terms civil society and non-state actors are used nearly interchangeably throughout the CSP and related NIPs. Both NGOs and other institutions such as churches are listed as active CSOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid	In order to allow broader participation of Mozambican civil society in the dialogue process, and in accordance with the Cotonou Agreement, the EC might make funds available for capacity building of NSA in order to enhance their potential of playing an adequate role within the focal sectors. A capacity-building programme in this framework will be appraised jointly with the Government and other donors, and preferably result in joint financing of agreed priorities. In order to better clarify the respective roles of the EC administration, and to allow for an expansion of responsibility of NSAs, the EC will move away

delivery channel	from the direct monitoring of projects, whilst becoming more active in the sector policy dialogue to promote increased NSA involvement. The NSAs, for their part, will undertake to ensure that their project proposals include adequate mechanisms for financial control, auditing and evaluation of their operations.
Sectors and thematic areas in which aid is channelled through CSOs	The CSP repeatedly states a desire that CSOs are actively involved in implementation and dialogue in each focal sector. The food security sector in particular should function as an example.
Instruments used to channel aid through CSOs	It seems like funds for each sector programme will be partially committed to CSOs.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	In Mozambique, aid delivery through CSOs is directly linked to a post-conflict situation, as governmental structures and services still do not achieve adequate coverage in rural areas. In addressing the key challenges of post war reconstruction and poverty reduction, the Government of Mozambique recognised that unless the energies of civil society, the private sector and NGOs could be effectively mobilised and co-ordinated, the state alone would not be able to make sufficient progress. EC policy is adjusted to this situation, working with CSOs, but also striving to achieve coherence between all parties and gradually strengthening public service delivery in priority sectors.
Documents consulted	Country Strategy Paper 2001-2007 and included indicative programme; Mid-Term Review 2004.

### South Africa

<b>In South Africa, the EC has both previous positive experience and the continued desire to work through the channel of CSOs. Such implementation in partnership with CSOs is not limited to one sector, but apparently exists and is supported in a whole range of fields. The country strategy further foresees to support umbrella CSOs and specialized CSO networks to enhance the quality of cooperation.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The involvement of CSOs and other non-state actors is seen as a key cross-cutting issue in the CSP and finds repeated mention and integration.
The situation,	In SA the civil society movement, which encompasses around 100.000 CSOs of all kinds, is playing a crucial role in the

specificity and potential added value of CSOs	transformation process and in promoting equitable development policies. Advocacy is a vital function for CSOs to ensure increased government accountability and promotion of the interests of the poor and vulnerable groups. There exist strong partnerships between government and CSOs.
Clear choices at the programming level with regard to delivering aid through CSOs	The role played by civil society as a partner in service delivery, in advocacy and in government accountability is confirmed as crucial. Civil society actors will be involved in most areas of co-operation between the EC and South Africa. The previous objective of channelling 25% of funds through non-government partners has been exceeded (current figure 27%). This reaffirms the capacity of South African CSOs to function as an aid delivery channel. In future programming, the CSP states that different models of delivery and integration will be piloted, in collaboration with civil society. Recommendations include continued support to CSO participation in the delivery of basic services and the development of partnerships between government, private sector and CSOs. In the four areas of co-operation, support to civil society will follow two main approaches: (i) Development partnerships between civil society and government at national and local level will continue to be supported. The aim will be to extend the coverage and maintain a variety of approaches in the delivery of services. (ii) Support to membership-based organisations (CSOs and CBOs) around specific functions and initiatives, with the aim of enabling grassroots organisations to play an active and meaningful advocacy role in influencing government decisions.
Conceptual differentiation of various kinds of CSOs	Although it doesn't delve into extensive detail, the CSP for South Africa is unique in that it openly acknowledges and in consequence addresses the need for different approaches, which should reflect the different roles and capabilities of the different types of Civil Society Organisation CSOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The EC will directly support the advocacy role of civil society. The aim is to support and strengthen the contribution of civil society to the formulation and the implementation of policies. Umbrella organisations, CSOs and CBOs networks can contribute to the implementation of both these approaches. The support to civil society will also seek to contribute to the long-term sustainability of CBOs and CSOs, both in service delivery and in advocacy. Support to umbrella organizations and specialized networks will also enhance their quality and accountability to their members.
Sectors and thematic areas in which aid is channelled through CSOs	The EC works with CSOs in most areas of intervention in South Africa. For example, the EC has played a vital role by funding of NGOs involved in Primary Health Care in deprived area of Gauteng and Western Cape and a number of NGOs involved in HIV/AIDS prevention and care including the protection of human rights of affected people.
Instruments used to channel aid through CSOs	The implementation of the co-operation strategy between the EC with SA will be financed through the EPRD Budget line and other EC budget lines, including inter alia NGO Co-financing, Decentralised Co-operation, European Initiative for Democracy and Human Rights. The role and importance of civil society will be reflected in the implementation mechanisms of sector support programmes.
Is the role of CSOs in the CSP related to (post-)	There is no link in the CSP between any such situations and the role of CSOs in South Africa.

conflict situations/ failed states/ or 'difficult partnerships'?	
Documents consulted	Country Strategy Paper 2003-2005 and included multi-annual indicative programme.

<b>Sudan</b>	
<b>Although the CSP 2005-2007 does not extensively discuss the role of CSOs as an aid delivery channel in Sudan, it is nevertheless clear the CSOs do and will continue to function as implementing agents in partnership with the EC, particularly in the field of humanitarian relief, democracy and human rights.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The CSP for Sudan does not give a lot of attention to CSOs and their role in development activities and the implementation of EC programmes, but it does mention them as active partners.
The situation, specificity and potential added value of CSOs	Unfortunately, restrictive requirements on CSOs limit their ability to participate in democratic life and the development process in the Sudan. However, at the time of the CSP, the government of Sudan has recognised that democracy is characterised by active citizen participation and has supported the inclusion of Non-State-Actors (NSA) in an ongoing dialogue with the government and the European Commission concerning the national development strategy and the implementation of the ACP-EU (Cotonou) Partnership Agreement. This is an encouraging development towards greater public participation, which can address remaining obstacles impeding full CSO participation.
Clear choices at the programming level with regard to delivering aid through CSOs	In the past, the EC has worked with CSOs in Sudan allocations from the EC Annual Budget for Co-funding with NGOs, the European Initiative for Democracy and Human Rights, and the Programme on Tropical Forests. Partners have mostly been international NGOs (and UN Agencies). The current programme is developing along three lines of action, in both north and south Sudan, with funds from various Commission budget lines and balances from the 6th EDF. It includes one component focused on longer term action aimed at increasing self-reliance, mainly through co-financing NGOs, the Food Security budget line, and the Humanitarian Plus Programme.
Conceptual differentiation of various kinds of CSOs	The only different kinds of CSOs mentioned in the CSP are international and national CSOs.

Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	There is no clear programming choice made regarding the strengthening of CSOs as an aid delivery channel.
Sectors and thematic areas in which aid is channelled through CSOs	From the CSP, one can draw the conclusion that CSOs are primarily involved in EC humanitarian activities, food security, democracy and human rights, as well as environmental protection.
Instruments used to channel aid through CSOs	EDF allocations, as well as a number of thematic budget lines, including the NGO co-financing budget line, are apparently being employed to work with CSOs as an aid delivery channel.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	In the case of the Sudan, the on-going conflict situation in parts of the country and post-conflict situation in other parts, certainly factor heavily into EC policy and the use of and reference to CSOs and their role as an aid delivery channel.
Documents consulted	Country Strategy Paper 2005-2007; National Indicative Programme 2005-2007

#### ALA countries:

<b>Afghanistan</b>	
<b>In Afghanistan, the role of CSOs in EC policy is directly linked to the (post-) conflict situation. Due to the absence of functioning public institutions, as well as their presence and strength in certain sectors, NGOs played a key role as EC aid delivery actors prior to the CSP. However, the CSP represents a clear choice to move away from CSOs as an aid delivery channel, and rather work with and through the transitional governing authority. The goal of this policy is to strengthen and thus also lend legitimacy to official institutions, support the Bonn process and create sustainable service delivery mechanisms.</b>	
Relative importance of	The CSP does repeatedly mention civil society actors, particularly NGOs as implementing actors. However, the primary focus rests on shifting aid delivery from other channels to direct support for and implementation of policies in partnership

CSOs and CSO channeling in the CSP	with official government structures.
The situation, specificity and potential added value of CSOs	The CSP implicitly acknowledges that CSOs have an added value as implementing agents already in place in the absence of a working public service infrastructure. The CSP clearly states that the weak institutional capacity of the transitional Government undermines the effective use of aid flows, as one of the key risks for EC support to Afghanistan. This places CSOs in a special position as service providers. And particularly during the conflict and post-conflict period in Afghanistan, the EC and more specifically ECHO did work with NGOs as an aid delivery channel, especially in hard to reach localities, and sectors with a strong NGO presence.
Clear choices at the programming level with regard to delivering aid through CSOs	While one response to the situation of weak state institutions and their inability to effectively function would be to continue to use CSOs as a primary EC aid delivery channel, the CSP outlines a contrary response. Based on commitments and a long-term strategy to strengthen the Afghan government, the EC has made a clear choice to work more and more with, and in support of such institutions, rather than continue to work through CSOs. The policy this is one of purposefully decreasing aid delivery through CSOs and increasing support to the government. As the primary aim of the CSP is to support an increasingly strong and sustainable Afghan government, the overall policy is to reduce the reliance on NGO (CSO) channels, and increase aid channelling through official governmental structures.
Conceptual differentiation of various kinds of CSOs	The CSP clearly identifies NGOs as an aid delivery channel, but does not clearly distinguish between local, national and international organizations. There seems to be an assumed distinction between NGOs and “civil society” at large. While NGOs are seen as partners in aid delivery, civil society is seen as a key part in conflict prevention, democratisation and general socioeconomic development which “has been sorely neglected in Afghanistan’s recent history.”
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The funds made available to CSOs in the NIP 2003, do not aim to strengthen CSOs as a direct aid delivery channel, but at promoting democracy through support for civil society.
Sectors and thematic areas in which aid is channelled through CSOs	The only areas in which NGOs are still supported to function as an aid delivery channel are: the development of informal financial markets and micro-finance institutions, livestock and grain market development.
Instruments used to channel aid through CSOs	Up until the CSP, ECHO employed NGOs as implementing agencies in various (unspecified) sectors and on a local and regional level. At the time of the CSP and NIP in 2003, CSO-related programming clearly focuses on support “to”, rather than “through” CSOs. Such support is part of the larger programme component of “Social protection, human rights, civil society and media”, which is part of the overall CSP financial envelope. The NGO co-financing budget line finds no mention in related documents.

Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	Yes, in the case of Afghanistan, the role of CSOs in the CSP is clearly related to the (post-)conflict situation. In the absence of functioning state institutions, NGOs provided a major channel for aid delivery, from which the EC is now trying to shift away.
Documents consulted	Country Strategy Paper 2003-2006; National Indicative Programme 2003-2004; National Indicative Programme 2005-2006.

### Bangladesh

<b>In Bangladesh, the policy of the EC clearly takes into account CSOs as an important aid delivery channel. The use of CSOs as service delivery agents has been substantial in the past and the CSP 2002-2006 supports a continued partnership with CSOs in a number of priority sectors. However, a call is made to gradually reduce direct funding to NGO programmes where they compete with Government services, and appealing to greater coordination of activities between various state and non-state actors.</b>	
Relative importance of CSOs and CSO channeling in the CSP	CSOs find repeated mention in the CSP 2002-2006, and are described as an important aid delivery channel. EC co-operation with NGOs as implementing partners in providing poverty-alleviating services has increased significantly over the years directly preceding the CSP. At the time it was drafted, over 40% of the total financial commitments have been directly allocated to projects and programmes implemented by NGOs.
The situation, specificity and potential added value of CSOs	Bangladesh is described as having a very active civil society and numerous NGOs. And the particular added value of CSOs as an aid delivery channel is acknowledged. For example, CSOs have in the past been employed particularly because they target geographical areas and the poorer sections of society that would not have been reached through other EC funding mechanisms. But on the other hand, the CSP also mentions two problem issues which are particular to CSOs as aid delivery actors, namely the vulnerability of CSOs in general in terms of their financial accountability and donors' capabilities for adequate monitoring. All in all however, the CSP states that it is evident that NGOs in Bangladesh provide a significant percentage of essential public services particularly to the poor and the poorest of the poor, stepping in for gaps and deficiencies in State provided services: primary health care, education, vocational and skill training, credit facilities.
Clear choices at the programming level with regard to delivering aid	A clear choice is made to continue to use CSOs as important implementing partners in EC aid delivery, as the CSP states that EC co-operation will continue its support to those NGOs which provide services deemed essential. However, in order to strengthen sustainability and effectiveness, the CSP proposed to gradually reduce direct funding to NGO programmes where these compete with Government services or can be embedded into a government regulated (sub-)sector (in particular

through CSOs	in health and education). This reduction of direct NGO work is being gradually achieved with the EC's move into sector wide programmes in education and health during the life of this CSP. These sector wide approaches will remain a central feature of support to Bangladesh. However, the CSP saw the need to continue with NGO funding in several cases.
Conceptual differentiation of various kinds of CSOs	The CSP does not use the term "CSO" and barely mentions "civil society", but rather consistently employs "NGO." Among NGOs, a differentiation is made between small organizations and very large NGOs, but that is all. At a later stage, "organized civil society" is mentioned with regard to democracy and human rights issues, conceptually separating it a bit from the NGOs who operate primarily in basic service sectors such as health and education.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The CSP proposes a stronger link, coordination and cooperation between the government and CSOs. In terms of direct support "to" CSOs, it only refers to civil society as a check on government. In this, it supports the strengthening of organised civil society and media which play a key role in keeping a government accountable and in improving public transparency.
Sectors and thematic areas in which aid is channelled through CSOs	Before the CSP, the majority of NGO co-financing projects have focused on direct interventions towards poverty reduction and employment creation for the poor. While the CSP mentions CSOs as playing a role in a number of essential service sectors, the funding plans as expressed in the NIP 2003-2005 specifically mention funding to CSOs in the priority sector of Education. Also, on human rights and democratic institutions, the CSP states that the EC intends to continue to support NGOs' networks active at national or regional levels in this field, and to favour a tripartite partnership involving the Government of Bangladesh, the EC and the NGOs."
Instruments used to channel aid through CSOs	At times, a pool funding approach has been applied to big NGOs through the establishment of donor consortia. The CSP makes a clear choice that NGO co-financing, and in particular pool funding, should remain a major focus of EC cooperation in Bangladesh.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	In the CSP for Bangladesh, there is no reference to a (post-) conflict situation, nor is or has Bangladesh been a "failed state" or in a "difficult partnership" with the EC.
Documents consulted	Country Strategy Paper 2002-2006 and included indicative programme; National Indicative Programme 2006.

## China

**CSOs find quite some attention in the European Commission's CSP 2002-2006 and related NIPs for China. Most of this attention focuses on the potential role of civil society during the on-going transformation of Chinese society, particular with regard to good governance and the strengthening of the rule of law. Little attention is actually reserved for CSOs as an aid delivery channel, which might in part be due to a situation where CSOs are only gradually emerging and becoming stronger players in the National context.**

Relative importance of CSOs and CSO channeling in the CSP	The CSP 2002-2006 as well as the NIP 2005-2006 repeatedly mention CSOs, their potential role in China and at times their potential as an EC aid delivery channel.
The situation, specificity and potential added value of CSOs	The CSP clearly outlines the situation of CSOs in China. It states that CSOs, in whatever form, will increasingly be needed as Chinese society continues its transition through tremendous socio-economic reform, and such organisations will be of particular importance in supporting individuals and communities disadvantaged by these changes. New, home-grown NGOs have been created and provide valuable support to disadvantaged groups and have actively contributed to preventing social unrest. The regulatory framework requires NGOs to be registered with the Ministry of Civil Affairs (MOCA) and/or local Civil Affairs Bureaux and imposes administrative controls. In spite of the regulatory intricacies and the poor understanding of the importance of a balanced relationship between the state and civil society, there are nevertheless political signs that a greater role for civil society is increasingly being recognised. The Chinese government is increasingly conscious of the need to involve civil society in the process of resolving, in particular, social and environmental problems, and in this context further support for civil society could be envisaged
Clear choices at the programming level with regard to delivering aid through CSOs	The CSP entails a programming choice entailing the use of CSOs. A commitment is made that support to NGOs through co-financing will continue in the future at the initiative of European NGOs willing to operate in China. While the NIP 2002-2006 also includes a major component on "good governance and strengthening of the rule of law", under which civil society is supported, this support takes the shape of EC aid "to", rather than "through" CSOs.
Conceptual differentiation of various kinds of CSOs	The CSP employs the terms "civil society" in general and "NGOs" in particular. No apparent distinction in terms of purpose or position is made between these two. While some 244,000 NGOs are registered with MOCA, the largest group of civil society organisations is composed of the 1.3 to 2 million unregistered grassroots organisations. Foreign civil society organisations cannot register in China at present, other than by establishing a "foreign representative office". Most grassroots NGOs generally perform less of a policy advocacy role and more of a social service and support role
Clear choices at the programming level with regard to strengthening CSOs as an aid	One of the priorities of the CSP, in relation to governance issues, is the strengthening of the structures and processes that make up the fabric of a strong civil society. While no clear indication is made whether this support to civil society is meant to increase their potential and role as an aid delivery channel, the growth of CSOs in China could have such a side-effect. However, in the NIP 2005-2006, the budget allocation for the larger programme is reduced from 20 to 10 million Euros, due to concerns over absorption capacity in the Chinese context.

delivery channel	
Sectors and thematic areas in which aid is channelled through CSOs	Although a reference is made to the role of CSOs in supporting disadvantaged individuals and groups. There is no clear mention of the specific sectors in which EC aid could or should be channeled through CSOs in China. It rather seems that CSOs are seen as a means to support sustainable and democratic development in China in general.
Instruments used to channel aid through CSOs	The NGO co-financing budget line appears as a source of funding for possible implementation through CSOs. (The general budget envelope is used for the programme in support of civil society within the framework of good governance and strengthening of the rule of law.)
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link in the CSP between any such situations and the role of CSOs in China.
Documents consulted	Country Strategy Paper 2002-2006; National Indicative Programme 2002-2004; National Indicative Programme 2005-2006.

<b>Columbia</b>	
<b>The EC country strategy for Columbia repeatedly mentions CSOs and includes CSO channeling of aid as an important part of its strategy in the country. Due to the lack of coverage by official institutions, CSOs fulfill the role of basic service providers in parts of the country, and are vital partners of the EC in its efforts at aid delivery, for example in support of local peace initiatives, human rights, and the provision of humanitarian assistance.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The CSP repeatedly mentions CSOs and in particular NGOs, as one of the major channels of EC aid in Columbia, particularly in the past, but also in the new programming period.
The situation, specificity and potential added	Due to a generally weak state, and even its total absence in large parts of the country, CSOs play an important role as partners and implementing agents in the country. The EC has a long history of working through NGOs and supporting NGO projects in Columbia. And the CSP makes the point that almost all human rights programmes in Colombia are carried out by

value of CSOs	local NGOs.
Clear choices at the programming level with regard to delivering aid through CSOs	The CSP makes clear choices regarding the use of CSOs as an aid delivery. The Commission will support NGO projects in sectors consistent with actions directed to reduce/eliminate the armed conflict. In general, European NGOs should strengthen local / municipal institutions, both public and private ones. And in the area of human rights, available resources will be used to support civil society in their work promoting and defending human rights, to support local peace initiatives and to support the Colombian Control Agencies and Institutions. The EC will also continue to provide humanitarian assistance in part through NGOs.
Conceptual differentiation of various kinds of CSOs	The only distinction made between various types of CSOs is the difference between local and national, vs. European NGOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	European cooperation has come to fulfill a function of political support and protection for CSOs. Such protection can be seen as an added value of European cooperation that impact indicators can hardly reflect but which represents an invaluable form of support for potential beneficiary organisations. No clear indication is made, how such support will continue to be provided, other than working through CSOs as an aid delivery channel, which might in itself protect their role in Columbia.
Sectors and thematic areas in which aid is channelled through CSOs	The CSP makes commitments to channel EC aid through CSOs in a variety of sectors, including, but not limited to Human Rights, institutional strengthening, conflict resolution and prevention, and humanitarian assistance.
Instruments used to channel aid through CSOs	NGO co-financing and Human Rights budget lines are some of the instruments used to channel aid through CSOs.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	In Columbia, the role of CSOs is directly related to the political situation. It is precisely the weakness of the State, and even its total absence in large parts of the country that the EC co-operation wants to address, which also places CSOs in an important position as a delivery service.
Documents consulted	Country Strategy Paper 2002-2006 and included indicative programme.

<b>India</b>	
<b>The role of CSOs as an aid delivery channel is significant in the CSP 2002-2006 and related NIPs for India. Within the new framework of “partnerships for progress” between the EC and a number of Indian states, a large number of programmes is implemented through CSOs in a variety of sectors including, but not limited to education and health.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The CSP states that engaging civil society is an increasingly important pillar in the architecture of the EU India relationship, which is reflected throughout the CSP by repeated mention of CSOs and their role as valuable implementing partners, as well as clear choices regarding the funding of programmes in support both to and through CSOs.
The situation, specificity and potential added value of CSOs	Indian civil society is identified as a motor of social and economic reform. The EC is said to generally have had a positive experience of ten years of decentralised co-operation through co-financing the work of Indian and European NGOs, and seeks to harness their expertise, commitment and creativity in experimenting with and applying approach that match the constantly changing challenges of our co-operation with a rapidly evolving India. To provide some perspective, at the time the CSP 2002-2006 was drafted, there were 171 on-going EC financed or supported NGO projects.
Clear choices at the programming level with regard to delivering aid through CSOs	In pursuit of the overall country strategy for India, the EC will continue to support the many Indian non governmental organizations as well as international NGOs that work directly with the communities most in need. For example, NGOs remain vital partners in the delivery of humanitarian aid. The EC’s NGO co-financing budget continues as a useful instrument to promote civil society actions in a range of sectors. The EC has financed a large number of projects through this budget line and will continue to do so in the framework of “partnerships for progress” with a number if selected Indian states in different parts of the country. The EC also took up, in the 1990s, large NGO projects in the bilateral co-operation programme to explore alternative and innovative approaches to delivery of anti-poverty interventions. The EC provided grant funding totalling E 57 million to four projects, such as BAIF Development Research Foundation, Aga Khan Foundation and CARE. <sup>1</sup> These projects are expected to lead to the development of models for possible replication. In the future, the EC will be putting resources at the disposal of civil society through a “small project facility.”
Conceptual differentiation of various kinds of CSOs	The CSP does not clearly differentiate between various kinds of CSOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid	In contrast to many other countries, the country strategy for India does not primarily lend support “to” civil society, but actively mentions and programmatically involves CSOs in aid delivery. Nonetheless, support to civil society is one of three programming priorities of the NIP 2002-2003. However, this programme is mostly focused on growing the relationships and exchanges between Indian and European CSOs, rather than building the capacity of Indian CSOs as an aid delivery channel.

delivery channel	
Sectors and thematic areas in which aid is channelled through CSOs	Working with and through NGOs and exploring public-private partnerships is critical to assuring quality of delivery in light of the growing trend towards private sector driven provision of education and health services. But the CSP also mentions working with CSOs in the areas of disaster preparedness and cross-cultural exchanges, to mention just two.
Instruments used to channel aid through CSOs	The key budgetary co-operation instruments of the CSP and related NIPs comprise budget provisions for Technical and Financial Co-operation with Asia (B7-300/301), Co-Financing of NGO activities (B7-6000), Rehabilitation (B7-302), Human Rights actions (B7-70) and environmental co-operation with Asian countries (B7-620).
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link in the CSP between any such situations and the role of CSOs in India.
Documents consulted	Country Strategy Paper 2002-2006 with included indicative programme.

<b>Nicaragua</b>	
<b>The EC country strategy for Nicaragua only briefly mentions CSOs as an aid delivery channel. The main policy with regard to CSOs is a capacity building scheme, but it remains unclear if it is aimed at increasing the capacity of CSOs to function as implementing partners.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The CSP does not dwell on CSOs and their role as channels of aid delivery very much, but does mention it.
The situation, specificity and	The CSP does not describe the CSOs of Nicaragua in great detail, but does mention that although still fragmented, civil society has a level of visibility. And furthermore, the situational analysis included in the CSP reveals that sustaining a

potential added value of CSOs	professional and efficient civil society is a key challenge in Nicaragua.
Clear choices at the programming level with regard to delivering aid through CSOs	The CSP for Nicaragua is focused primarily on poverty reduction and related local development. And to achieve its policy goals, one part of the strategy is to strengthen and support civil society in local activities. While focused primarily on capacity building, this support seems to entail funding for CSOs to implement local grass-roots economic and social development, as the CSP commits to continue along the lines of previous rural development strategy but with a stronger emphasis on using CSOs as implementation agents.
Conceptual differentiation of various kinds of CSOs	There is no conceptual differentiation of various kinds of CSOs in the CSP.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The CSP does regard CSOs as a potential aid delivery channel on a local level and thus seeks to build CSO capacity. In this vein, the EC approach is aimed at increasing the capacity of local organisations and local actors to catalyse their own potential to drive and facilitate development. But no clear and specific commitments regarding the actual use of CSOs as an aid delivery channel within the greater EC policy framework are made, except for a level of NGO co-financing.
Sectors and thematic areas in which aid is channelled through CSOs	In the matter of NGO co-financing, priority will be given to projects that are consistent with, or complementary to, this strategy and the PRSP, which include a gradual move towards greater sectoral support.
Instruments used to channel aid through CSOs	From references in the CSP and related indicative programme, it is clear that the ALA instrument, as well as the NGO co-financing budget line are being used for CSO channeling of EC aid.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	The EC strategy in the CSP is characterized by a shift away from a post-conflict policy towards one focused primarily on poverty reduction. However, the possible link between a fading post-conflict environment and the role of CSOs is not discussed in the CSP and no clear inferences can be drawn.
Documents consulted	Country Strategy Paper 2002-2006 and included indicative programme.

<b>Thailand</b>	
<b>The country strategy for Thailand does take the use of CSO channeling into account. In the priority sector of health, as well as in humanitarian assistance to Burmese refugees, the EC works in partnership with CSOs.</b>	
Relative importance of CSOs and CSO channeling in the CSP	The CSP does mention CSOs as implementing partners in at least two sectors. However, it does not provide a lot of detail on Thai CSOs or the CSO channel.
The situation, specificity and potential added value of CSOs	Thailand enjoys a stable democracy, with a relatively effective judicial system, independent media and a participating civil society. There is an active CSO scene in Thailand, and particularly NGOs have played an increasing role in Thailand in a large number of sectors, ranging from strengthening of civil society and assistance to refugees / displaced persons to environment and rural development, often supported by the EC.
Clear choices at the programming level with regard to delivering aid through CSOs	In Thailand, the EC already has substantial experience in working through CSOs as an aid delivery channel. For example, the EC and its Member States provide substantial funds to the UNHCR and international NGOs to assist Burmese refugees in Thailand. Furthermore, there has been increased planning, networking and participation of national and regional NGOs through co-operation with EU NGOs; improved regional analysis of social and economic issues. The NIP 2002-2004 entails a programme in the health sector, which includes a component on CSOs, namely to support civil society initiatives to establish the rights and responsibilities of individuals and communities in health. The same programme also includes an objective regarding research and development, hoping to establish innovative ways to involve CSOs.
Conceptual differentiation of various kinds of CSOs	The only conceptual differentiation between various kinds of CSOs, is between international, European and local NGOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	There are no programming choices directly linked to the strengthening of CSOs as an aid delivery channel.
Sectors and thematic areas in which aid is	The main sectors in which CSO channeling is mentioned in the CSP are health and humanitarian aid to Burmese refugees.

channelled through CSOs	
Instruments used to channel aid through CSOs	In terms of on-going programmes, there were 4 projects directly funded through the NGO co-financing budget line at the time of the CSP02 drafting, totally an amount of 1.39 million Euros in grants.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link between CSO channeling and any of these situations in Thailand itself. However, the channeling of aid through CSOs to Burmese refugees is of course related to the situation in Burma. And thus a connection between CSO channeling and a (post-)conflict situation does appear.
Documents consulted	Country Strategy Paper 2002-2006; National Indicative Programme 2002-2004; National Indicative Programme 2005-2006.

#### MEDA countries:

<b>Egypt</b>	
<b>Rather than employing CSOs as a channel for aid delivery, the EC policy for Egypt aims at strengthening the capacity and position of CSOs in Egypt with the eventual goal of becoming more active in various policy fields, such as human rights and poverty reduction. While the CSP and NIPs thus do not explicitly focus on employing CSOs as a delivery channel, they support CSOs to eventually be able to be such agents.</b>	
Relative importance of CSOs and CSO channeling in the CSP	Civil society finds repeated mention in the CSP and related NIP, but for the most part not as an aid delivery channel.
The situation, specificity and potential added value of CSOs	There is a CSO sector in Egypt (including an estimated 15,000 NGOs) whose involvement in welfare issues is encouraged, although cautiously as many social NGOs have close links with fundamentalist movements. Most NGOs are very small and poorly organised but the Egyptian Social Fund for Development and the main social ministries use the more efficient NGOs as delivery agents and some receive patronage at the highest level of government. However the involvement of civil society organisations in sensitive issues like civil and political rights is a very different matter and NGOs working in these areas are

	viewed with considerable suspicion by the authorities. It is not official policy to discourage civil society but the limits are firmly drawn and there is a wholly unsatisfactory legal and regulatory framework for NGOs which can effectively cripple them with restrictions on registration and on funding. The new NGO law is a theoretical improvement on what went before but its implementation in practice could be even more restrictive, and especially for NGOs working with foreign donors. Thus, CSOs could only become an effective aid delivery channel for the EC, if conditions should exist for civil society organisations to operate without undue restriction under a reasonable regulatory and legal framework. This will require the prior adoption of new and appropriate NGO legislation together with operational regulations that allow for EC support to NGO activities.
Clear choices at the programming level with regard to delivering aid through CSOs	Civil Society is mentioned during the discussion of one of the three specific objectives of EU-Egyptian co-operation for the period 2002-2006. But it remains somewhat unclear if this reference to “the constructive involvement of civil society,” pertains to actual EC aid delivery through CSOs, or rather support to CSOs towards their involvement in Egyptian society.  However, the CSP and NIPs plan to continue substantial support to the multi-donor funded Social Fund for Development, which has been the EC’s main contribution to alleviating the adverse effects of economic transition. And the SFD is implemented in partnerships CSOs, including NGOs and other local groups.
Conceptual differentiation of various kinds of CSOs	There is no conceptual differentiation in the CSP and related NIPs among various kinds of CSOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The NIP 2002-2004 includes a programme of support to ‘Social Development and Civil Society’, whose objective is to enhance the capacity of the non-governmental sector to contribute effectively to social development. The indicative budget as stated in the NIP for this programme totals 20 million Euros.
Sectors and thematic areas in which aid is channelled through CSOs	Apart from stating that CSOs could support the social development of Egypt and their activities could target the most vulnerable groups, no sectoral specifications are made.
Instruments used to channel aid through CSOs	Apart from a programme directly funded by the EC in support of “Social Development and Civil Society,” continued funding will go to the multi-donor “Social Fund for Development.”
Is the role of CSOs in the CSP related to (post-)	There is no link in the CSP between any such situations and the role of CSOs in Egypt.

conflict situations/ failed states/ or 'difficult partnerships'?	
Documents consulted	Country Strategy Paper 2002-2006; National Indicative Programme 2002-2004; National Indicative Programme 2005-2006.

<b>Syria</b>	
<b>Most probably due to the difficult political context of CSOs in Syria, the EC country strategy foresees no direct aid channeling through CSOs in the country. Support to the development of Syrian civil society is seen as an important issue, but no clear programming choices regarding capacity building which might entail the goal of strengthening CSOs to function as an aid delivery channel.</b>	
Relative importance of CSOs and CSO channeling in the CSP	Human rights/civil society is one of the five priority sectors of the CSP, but no mention is made of the channeling of aid through CSOs. This is most probably due to the difficult situation of CSOs in the country.
The situation, specificity and potential added value of CSOs	A civil society in the usual sense hardly exists in Syria. The local civil society organisations that exist are weak and heavily influenced by government. Syrian authorities closely restrict the operations of local NGO's (they cannot directly access international funds) and the presence of international NGO's is very limited. Unless there is a major change in this situation, the potential to use CSOs as an aid delivery channel in Syria remains very limited.
Clear choices at the programming level with regard to delivering aid through CSOs	Given the difficult political context for CSOs and human rights initiatives in Syria, activities of international as well as local NGO's have been and still are very limited. The regional MEDA Democracy programme has focused on non-controversial issues (women empowerment activities, disabled, institutional capacity-building for local NGO's etc.). The assumption is that in the long run this will gradually promote human rights and democratisation in Syria. However, the CSP states that over the next few years, the EIDHR will be the horizontal programme instrument for EC actions in this area. It will replace the MEDA Democracy programme. As activities under this programme do not need to be agreed with the partner country, it is better suited for human rights-related activities in Syria. This shift might eventually create a better context for the channeling of aid through CSOs. Despite Human rights/civil society being a priority sector of the CSP, no programming in this regard is included in the NIP 2002-2004.
Conceptual differentiation of various kinds of	There is no conceptual differentiation of various kinds of CSOs, except for the distinction between international and national CSOs/NGOs.

CSOs	
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	There are no apparent clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel in the CSP or related NIP.
Sectors and thematic areas in which aid is channelled through CSOs	Apparently none, although the desire exists to work with CSOs in the field of democracy and human rights.
Instruments used to channel aid through CSOs	Both MEDA and EIDHR are mentioned in the context of civil society-related initiatives, but no clear commitments are made.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	The (post-)conflict situation in Syria certainly factors into the limited role of CSOs as a potential aid delivery channel.
Documents consulted	Country Strategy Paper 2002-2006; National Indicative Programme 2002-2004.

<b>Tunisia</b>	
<b>The EC country strategy for Tunisia does not emphasise the aid delivery channel of CSOs. In fact, the one programme component directly relating to civil society, was removed from the agenda with the NIP 2005-2006, after an earlier failure to be implemented.</b>	
Relative importance of CSOs and CSO	CSOs and CSO channeling do not receive a lot of attention in the CSP for Tunisia and related NIPs. In fact, the one programme component directly relating to civil society, was removed from the agenda with the NIP 2005-2006, after an earlier failure to be implemented.

channeling in the CSP	
The situation, specificity and potential added value of CSOs	In spite of a stable political situation the weak real dialogue with civil society is effectively limiting the potential of broad-scale cooperation on key development issues. However, the progressive disengagement of the state as part of the process of economic and social transition is increasing the role of CSOs in the development of the country.
Clear choices at the programming level with regard to delivering aid through CSOs	The NIP 2002-2004 included a civil society project, but this could not be realised and was removed from the policy agenda with the NIP 2005-2006. However, CSOs remain primary beneficiaries of the EIDHR programme in Tunisia, but it is unclear to what extent they function as an aid delivery channel, rather than mere recipients of EIDHR funded support.
Conceptual differentiation of various kinds of CSOs	There is no conceptual differentiation of various kinds of CSOs in the CSP and related NIPs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	CSOs remain primary beneficiaries of the EIDHR programme in Tunisia, but it is unclear to what extent they are supported to strengthen their role as an aid delivery channel, rather than being mere recipients of EIDHR funded support.
Sectors and thematic areas in which aid is channelled through CSOs	CSOs might function as an aid delivery channel in democracy and human rights related projects and programmes in Tunisia, but related commitments in the NIPs and the extent to which this is the case remain unclear.
Instruments used to channel aid through CSOs	The major instruments from which funding was programmed to go to or through CSOs are MEDA and the EIDHR.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult'	There is no link in the CSP between any such situations and the role of CSOs in Tunisia.

partnerships'?	
Documents consulted	Country Strategy Paper 2002-2006; National Indicative Programme 2002-2004; National Indicative Programme 2005-2006.

**TACIS countries:**

<b>Russian Federation</b>	
<b>The EC country strategy for the Russian Federation includes an emphasis on the strengthening of civil society in Russia, but it remains unclear to what extent CSOs do and shall in the future function as an aid delivery channel. Partnerships between Russian and European CSOs are encouraged, and in Chechnya the EC does implement humanitarian assistance programmes through (mostly international) CSOs.</b>	
Relative importance of CSOs and CSO channeling in the CSP	Civil society is a major focus of the CSP for the Russian Federation, but CSOs do not really appear as an aid delivery channel.
The situation, specificity and potential added value of CSOs	Civil society in Russia is developing slowly and most of the registered non-governmental organisations (NGO) are still considered to be weak. At the time of the NIP 2004-2006, non-governmental organisations in Russia were still unable to make an impact in the political arena and lack the financial means to become a third force. Particularly in Chechnya, operating conditions for NGOs remain extremely difficult and despite several EU demarches and promises by the Russian authorities, no progress has been achieved on major outstanding issues.
Clear choices at the programming level with regard to delivering aid through CSOs	While the focus of the CSP policy on CSOs is capacity building, the programme to be implemented under this scheme does include a component which could fall under the category of aid channeling, namely to promote co-operation and networking between civil society institutions in Russia and the EU in the framework of partnership programmes. Also, as part of the "social reform" programme component of the NIP 2002-2003, NGOs should be involved in partnerships with public authorities to help in targeting the most vulnerable population groups. The EIDHR is primarily carried out in partnership with NGOs and international organizations, and humanitarian relief in the North Caucasus is also channeled through international NGOs, the Red Cross and UN agencies.
Conceptual differentiation of various kinds of CSOs	Strengthening of the CSOs is part of the EC country strategy for Russia through the Institution Building Partnership Programme, targeting a wide range of grass-root organisations (NGOs, including in the social and environmental fields, professional and consumer associations, media organisations, trade unions, cities and regions) helping them to redefine their role with respect to the state.

Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The main priority of EC relations/policies as expressed in the CSP 2002-2006 is economic development in the Russian Federation, but on the other hand, it is essential to maintain and intensify the political dialogue and to use assistance programmes, such as Tacis and EIDHR, for strengthening all aspects of civil society and free media. And thus, the development of civil society constitutes one of the four key issues addressed in the CSP. However, the aim of strengthening civil society in the Russian Federation is not to build the potential of CSOs as an aid delivery channel, but rather as a means to support democracy, good governance and the rule of law.
Sectors and thematic areas in which aid is channelled through CSOs	Democracy, human rights, rule of law, and humanitarian aid are the main fields in which the EC policy foresees that CSOs play a major role. However, it remains unclear to what extent the EC will directly channel funds and implement programmes through CSOs, rather than simply support CSOs themselves.
Instruments used to channel aid through CSOs	The major instruments under which support to and possibly implementation through CSOs is taking place are TACI and the EIDHR.
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	Not in Russia in general, but possibly in the North Caucasus, there could be a link between the role of CSOs as an aid delivery channel, and a (post-)conflict situation.
Documents consulted	Country Strategy Paper 2002-2006; National Indicative Programme 2002-2003; National Indicative Programme 2004-2006.

<b>Ukraine</b>	
<b>The CSP includes a very pronounced focus on civil society development in the Ukraine, but it remains unclear to what extent this constitutes or includes the use of CSOs as a channel for EC aid delivery.</b>	
Relative importance of CSOs and CSO channeling in the	CSOs and "civil society" receive a great deal of attention in the CSP, but not primarily as a channel, but rather as in their role as an actor in society in relation to governance and politics.

CSP	
The situation, specificity and potential added value of CSOs	The CSP describes the status of civil society in the Ukraine as fragile and states that CSOs are only gradually emerging. A limited number of CSOs are organizations stemming from the Soviet period which adopted NGO status after political transformation. Out of the estimated 30-40.000 NGOs in existence, only 5-8.000 can be considered active. An even smaller number can be described as operating professionally with permanent and well trained staff, on the basis of strategic goals and planning. However, a growing number of small grassroots NGOs have the potential to provide relevant services but face constraints in terms of resources, training, and work capacity. One of the constraints for more rapid development of civil society is the prevailing inadequate legal and administrative context.
Clear choices at the programming level with regard to delivering aid through CSOs	The EC supports CSOs in the Ukraine through a number of initiatives and mechanisms. The EIDHR is the major instrument of assistance to democracy, human rights and civil society in Ukraine, a focus country for 2002-2004. This programme operates primarily through partnerships with NGOs and the Council of Europe. Together with the Tacis-funded LIEN (Linking Inter-European NGOs) in the social sector, it has been the main EC action supporting the development of NGOs. Since the mid-nineties, ECHO has provided humanitarian assistance to the most vulnerable strata of society, addressing in particular their food and medical needs. Aid has been channelled through international NGOs, the Red Cross and UNHCR. A country strategy evaluation (summary annexed to the NIP 2004-2006) particularly recommended the strengthening of CSO programmes in particular those giving social assistance for vulnerable groups. The NIP also briefly mentions CSOs as a possible implementing agent in the "Justice and Home Affairs Action Plan and border related issues" component: "Enhancing national capacities to effectively fight drug trafficking, including support to demand-reduction activities carried out by NGOs." And with regard to health and social assistance, the call is made to identify and implement improved mechanisms of service delivery to poor and vulnerable groups by both the government, but also CSOs.
Conceptual differentiation of various kinds of CSOs	The CSP does not differentiate substantially between various kinds of CSOs, but it does mention one unique category, namely those structures inherited from the Soviet period such as trade unions, veterans' associations, and women's associations often adopted NGO status.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	"Civil society, training and education" is one of the priorities of the CSP. Thus, it states that the EU should support the development of civil society both under Tacis and under the European Initiative for Democracy and Human Rights, co-operating in particular with nongovernment sectors, e.g. lawyers, journalists, trade unions, academics and students. The main objective of civil society programme is to contribute to democracy, economic reform, and the rule of law through the development of civil society, and training and education systems in Ukraine. Such a programme, although in support of CSOs, does not foresee the eventual employment of CSOs as a direct channel for EC aid delivery.
Sectors and thematic areas in which aid is channelled through CSOs	The sectors in relation to which CSOs are mostly mentioned in the CSP, are democracy and human rights, economic reform, rule of law, and social assistance to the poor. But in these sectors, it does not seem like CSOs are to function as an aid delivery channel for the EC, but rather implementing their own programmes and fulfilling their role in society at large.
Instruments used to channel aid	The largest sources of funding for support to CSOs stems from TACIS and EIDHR, but related programmes do not focus on CSOs as an aid delivery channel.

through CSOs	
Is the role of CSOs in the CSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link in the CSP between any such situations and the role of CSOs in the Ukraine.
Documents consulted	Country Strategy Paper 2002-2006; National Indicative Programme 2002-2003; National Indicative Programme 2004-2006.

<b>Uzbekistan</b>	
<b>There is no CSP for Uzbekistan, but the RSP 2002-2006 and related indicative programme offer some insight into the role of CSOs and CSO channeling in EC policy regarding the country. From what is apparent, CSOs face many obstacles in Uzbekistan and is not in a position to function as an effective channel of aid delivery. However, support to an emerging civil society is on the EC's policy agenda.</b>	
Relative importance of CSOs and CSO channeling in the RSP	The RSP and relevant sections on Uzbekistan in particular do not place great emphasis on CSOs and their existing and potential role as a channel for aid delivery.
The situation, specificity and potential added value of CSOs	The authorities of all Central Asian countries have worked to consolidate their power - often at the expense of the development of civil society. Emerging civil society is confronted with continuous obstacles. In Uzbekistan in particular, basic human rights are not protected and obstacles to opposition parties and CSOs are regularly reported. However, Uzbekistan has recently (at the time of the RSP 2002-2006) tried to improve its democratic record, including by allowing the registration of new NGOs.
Clear choices at the programming level with regard to delivering aid through CSOs	The importance of the development of civil society for ensuring stability and security in the countries of the region is fully recognized in the RSP. The RSP makes a commitment to employ tailored EC instruments, such as the EIDHR and NGO cooperation programmes which will continue to work in this area, including through joint programmes with relevant international organisations, such as OSCE. The development of civil society, gender issues and promotion of participation in public decision-making will be central to efforts aimed at poverty reduction. While these commitments in address the state of CSOs in Uzbekistan, they do not detail any activities with regard to the potential use of CSOs as an aid delivery channel.

Conceptual differentiation of various kinds of CSOs	There is no conceptual differentiation of various kinds of CSOs in the RSP and related indicative programme.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	The RSP pronounces that a long-term EC approach will also allow for the development of relations with all relevant actors (national/local authorities and locally established NGOs) and for work to further increase the capacity of local groups and communities as they address their own problems and increase their participation in policy-making. This commitment might entail the provision of funding to CSOs for the implementation of projects and programmes.
Sectors and thematic areas in which aid is channelled through CSOs	No specific sectors in which CSOs might function as aid delivery channels are mentioned.
Instruments used to channel aid through CSOs	The instruments mentioned, which might be used to channel funds through CSOs are TACIS and the EIDHR.
Is the role of CSOs in the RSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no link in the CSP between any such situations and the role of CSOs in Uzbekistan.
Documents consulted	Regional Strategy Paper 2002-2006 & Indicative Programme 2002-2004 for Central Asia.

**Regions:**

**Region of Eastern and Southern Africa and the Indian Ocean**

**Summary of main findings**

<b>To be made</b>	
Relative importance of CSOs and CSO channeling in the RSP	The RSP states early on that the involvement of non-state actors is a process in development (rather than an event) will be mainstreamed in all programmes.
The situation, specificity and potential added value of CSOs	The RSP pronounces in its regional situational analysis that there is a desire for transparency and the involvement of civil society.
Clear choices at the programming level with regard to delivering aid through CSOs	Civil society and CSOs do not fall into any focal sector, nor a non-focal sector, but are considered under the heading of “other issues” in a similar sense to cross-cutting issues. The involvement of CSOs is considered as essential for the successful implementation of this RSP. Their (literally NSA) involvement will basically be on three levels: 1) contributing with their knowledge and experience to the definition of policies and programmes; 2) implementing projects in their respective fields of competence; and 3) as a beneficiary of projects, notably in the area of capacity building. The second of these three levels clearly refers to the use of CSOs as implementing partners and thus as a channel of aid delivery. The RIP confirms this strategy, stating in the overarching introduction, that Non State Actors (including local governments) can be involved in the preparation and implementation of projects. They can also be beneficiaries under this RIP notably in the context of capacity building.
Conceptual differentiation of various kinds of CSOs	There is no clear conceptual differentiation of various kinds of CSOs in the RSP and related indicative programme.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	See above. Furthermore, Capacity building of Non State Actors including Local Governments can also be funded under the larger heading of ‘Institutional Capacity Building.’
Sectors and thematic areas in which aid is channelled through CSOs	The RSP and related indicative programme make clear that aid could be channeled through CSOs in all sectors and thematic areas, but makes no clear commitments on a particular sector or area.
Instruments used	There is no clear indication as to the instruments which could be used to channel aid through CSOs in the RSP or related

to channel aid through CSOs	indicative programme..
Is the role of CSOs in the RSP related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no clear indication as to the role of CSOs as a potential aid delivery channel in any such situation in the RSP or related indicative programme.
Documents consulted	Region of Eastern and Southern Africa and the Indian Ocean – Regional Strategy Paper and Regional Indicative Programme for the period 2002-2007.

<b>West Africa</b>	
<b>The EC regional strategy for West Africa mentions CSOs and includes statements on the aim of involving them in relevant policies and programmes in all major sectors. However, there is no elaboration on the role of CSOs as an aid delivery channel in particular.</b>	
Relative importance of CSOs and CSO channeling in the RSP	The document states the importance of CSOs (a chapter presents explicitly the role of CSO) but it remains at a global level concerning the use of CSOs as an aid delivery channel
The situation, specificity and potential added value of CSOs	Many organizations are active but don't have the importance that similar organization have gained in industrialized countries, in particular concerning the playdoyer and political dialogue, which led them to have an important impact on the policy formulation and programme implementation/ control. Civil society has also a role to play as an interface between regional organizations and populations, in order to respond to the lack of information on advantages and impact of regional integration. It is of major importance that civil society organize itself to better participate to the ongoing integration process.
Clear choices at the programming level with regard to delivering aid through CSOs	In a section on the guiding principles of the strategy, it is mentioned that efforts by regional organizations in terms of involving CSOs in the process of making decisions and their implementation, will be supported. And at the beginning of the indicative programme, a clear statement is made that particular attention should be paid to the participation of CSOs (literally NSAs) in the realisation of stated policy and programme objectives. And particularly with regard to regional integration, CSOs should be involved, although it is not clear whether they are expected to function as an aid delivery channel, or in another capacity. Again, with reference to conflict prevention, CSOs and their role in conflict prevention is to

	be supported.
Conceptual differentiation of various kinds of CSOs	The RSP briefly describes a number of different CSOs. It states that in West Africa, civil society is represented by groups of economic actors, associations related to the promotion and defense of ideas and ideologies, particular interest groups and cultural associations. It is odd to note that NGOs do not enter this list and the question arises whether the authors of the paper did not conceptually include NGOs in their understanding of “civil society” and thus also of CSOs.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	No clear policy commitments regarding the strengthening of CSOs as an aid delivery channel are made in the RSP and related indicative programme.
Sectors and thematic areas in which aid is channelled through CSOs	The indicative programme makes it clear that CSOs can and should participate in all priority sectors and areas. However, particular attention to the involvement of CSOs is only paid with regard to regional integration and conflict prevention. It is not entirely clear to what extent the EC hopes to cooperate with CSOs as an aid delivery channel.
Instruments used to channel aid through CSOs	No clear reference to any instruments to be used to channel aid through CSOs is made.
Is the role of CSOs in the RSP related to (post-) conflict situations/ failed states/ or ‘difficult partnerships’?	The indicative programme highlights the potential of CSOs to participate in activities of conflict prevention.
Documents consulted	Afrique de l'Ouest - Communauté européenne. Document de stratégie de coopération régionale et Programme indicatif régional pour la période 2002 – 2007.

### South East Asia

**The Communication “A new partnership with South East Asia,” (COM (2003) 399/4) is the most recent policy document on relations**

<b>between EC and South East Asia. However, it is not the equivalent of a RSP and does not go into great detail regarding specific programming options and development strategies. There is very little mention of CSOs and nearly no mention of CSOs as a channel for aid delivery in the Communication.</b>	
Relative importance of CSOs and CSO channeling in the Communication	There is very little mention of CSOs and nearly no mention of CSOs as a channel for aid delivery in the Communication.
The situation, specificity and potential added value of CSOs	The Communication does not provide any details on the specificity of CSOs in the region or their potential added value.
Clear choices at the programming level with regard to delivering aid through CSOs	The Communication clearly states that EC assistance and co-operation programmes to South East Asian countries should support the strengthening civil society. And the Communication also makes a commitment that an 'additional guiding principle' of EC assistance will be to promote the participation of non-state actors although it will continue to be mainly conducted in partnership with governments and firmly grounded in policy reform.
Conceptual differentiation of various kinds of CSOs	There is no conceptual differentiation of various kinds of CSOs in the Communication.
Clear choices at the programming level with regard to strengthening CSOs as an aid delivery channel	See above.
Sectors and thematic areas in which aid is channelled through CSOs	There are no clear indications of specific sectors or thematic areas in which aid should be channeled through CSOs in the Communication.
Instruments used to channel aid through CSOs	The continued use of the NGO co-financing budget line is mentioned in an annex to the Communication, but without further elaboration on aid channeling through CSOs.

Is the role of CSOs in the Communication related to (post-) conflict situations/ failed states/ or 'difficult partnerships'?	There is no specific mention of the role of CSOs related to (post-) conflict situations/ failed states/ or 'difficult partnerships' in the Communication.
Documents consulted	COM (2003) 399/4. A new partnership with South East Asia.

## **ANNEX VI: ROM analysis**

**EVALUATION  
OF EC AID DELIVERY  
THROUGH CIVIL SOCIETY ORGANISATIONS**

ROM Analysis

Contract Number: EVA/116-833

Service Contract for the Evaluation (sectoral and thematic) of European Commission Programmes and Policies in Third Countries, relating to Social and Human Development issues.

January 2008

*Evaluation for the European Commission*



A consortium composed of PARTICIP, Cideal, Channel Research and South Research  
c/o lead company PARTICIP:

 <p>PARTICIP GmbH</p>	<p><b>Service Contract for the Evaluation (sectoral and thematic) of European Commission Programmes and Policies in Third Countries, relating to Social and Human Development issues.</b></p> <p><b>Evaluation of EC aid delivery through Civil society organisations</b></p>
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The opinions expressed in this document represent the authors' points of view, which are not necessarily shared by the European Commission or by the authorities of the countries concerned.

**ROM ANALYSIS  
DESK PHASE  
EVALUATION OF EC AID DELIVERY THROUGH CIVIL SOCIETY  
ORGANISATIONS.  
EVA/116-833**

**INTRODUCTION**

This analysis will attempt to provide additional results to feed into the desk phase analysis for this evaluation. The main tool used to produce this analysis is the European Commission (EC) database CRIS which among other information, contains the monitoring reports on EC funded projects and programmes, which are carried out using the official EC monitoring methodology. Another source of information briefly consulted were the annual ROM reports which summarises EC results-oriented monitoring activities over a year.

**1. ANNUAL ROM REPORTS**

As a starting point for an analysis of data available through the ROM system, the Annual ROM (Results-Oriented Monitoring) reports were analysed. However, a brief look at these reports revealed that they focus on the macro-level, primarily providing information on the performance of projects by regions, sectors and indicators. There is little mention of funding and implementation mechanisms, including channelling through CSOs, so these reports do not really provide any useful sources of information for this analysis.

**2. INFORMATION CONTAINED IN PROJECT MONITORING REPORTS (IN EC DATABASE)**

**2.1 MONITORING REPORTS ACCORDING TO DAC SECTOR CODES<sup>1</sup>**

In the European Commission CRIS database, it is possible to search for monitoring reports per country. This seems to be a fairly labour-intensive way of searching for relevant information for this evaluation and given the time constraints, this option was discarded in the framework of this evaluation.

An alternative approach is to search according to specific OECD DAC sector codes (like 15000 – GOVERNMENT & CIVIL SOCIETY; to name the most obvious choice) and take a cross-section of the results (e.g. every 5<sup>th</sup> project taking into account the regional differences by checking reports in ACP, ALA, CARDS, MEDA & TACIS regions for each sector), to examine its significance for this evaluation.

From the statistical analysis for this evaluation, the top sectors of EC funding in relation to CSO channelling are illustrated below in Figure 1. The top six sectors will be analysed

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<sup>1</sup> For a detailed explanation on DAC sector codes, see:  
[http://www.oecd.org/document/21/0,2340,en\\_2825\\_495602\\_1914325\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/21/0,2340,en_2825_495602_1914325_1_1_1_1,00.html)

in depth, excluding the unspecified funds (DAC Sector code 998) as these funds are not searchable according to monitoring reports and will therefore be left out of the equation.

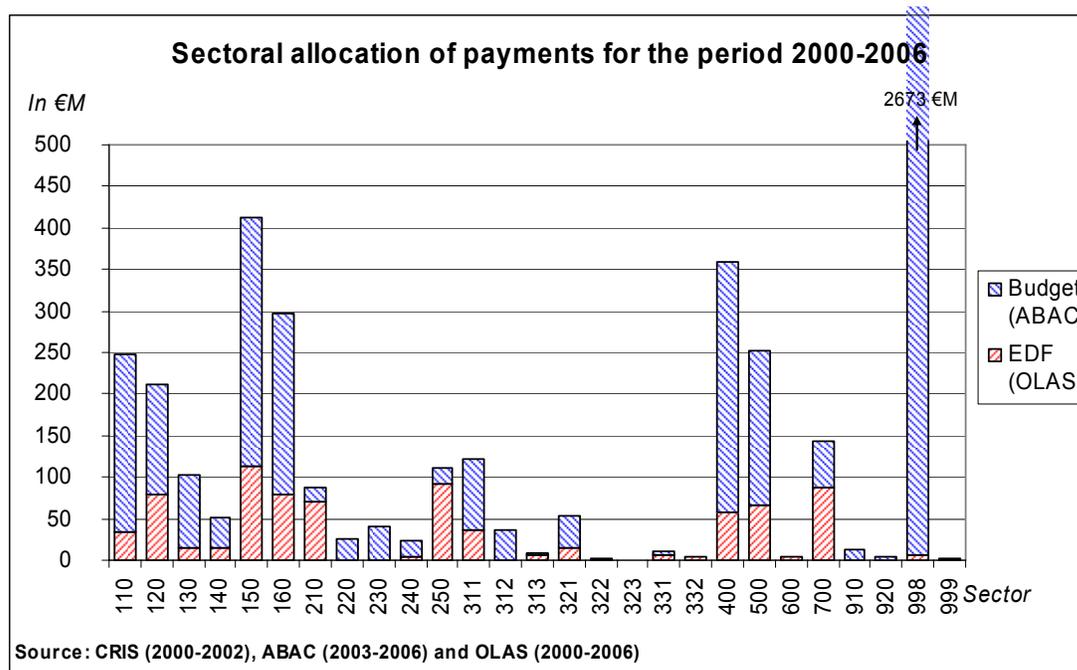


Figure 1<sup>2</sup> - Total amounts of payments made to CSOs for the period 2000-2006 according to their sectoral allocation

As per the statistical analysis for this evaluation the top six sectors are detailed in Table 1 below. These 6 sectors in sum, amount to 68% of total specified payments (excluding sector 998).

Table 1

Ranking	Payments <sup>3</sup>	DAC sector/or subsector name	DAC sector code
1.	411,732,812 €	Government & civil society	150
2.	357,911,366 €	Multi-Sector/Cross-cutting	400
3.	297,768,804 €	Other Social Infrastructure and Services	160
4.	251,877,334 €	Commodity Aid and General Programme Assistance	500
5.	247,371,844 €	Education	110
6.	210,542,793 €	Health	120

Payments made stemming from the period 2000-2006

The fact that the sector government & civil society ranks at the top of the statistics list for funding flows is not that unexpected but that other social infrastructure and services ranks as third is fairly surprising and will be analysed in more detail later.

<sup>2</sup> Which is Figure 20 in the statistical analysis for this evaluation.

<sup>3</sup> These figures represent Budget (ABAC) funds and EDF (OLAS) together – please see the statistical analysis for this evaluation in relation to limitations of the statistical data available via EC databases.

## 2.2 MONITORING – RESULTS BY SECTOR

The various DAC sectors which are the most relevant for this evaluation are therefore those where the most CSO channelling occurred.

The sector where the most CSO channelling occurred is Government and Civil Society (15000), where we include all projects and programmes monitored in the sectors 15110 – Economic and development policy/planning, through to 15261 – child soldiers (prevention and demobilisation) – see Table 2.

According to the data which was available for the statistical analysis for this evaluation; funding flows in the 15000 sector were by far the highest in sector 15162 – human rights. This was always followed by the 15150 sector – strengthening civil society, with in general half of the value of those funds for human rights flowing through this sector. So the analysis will focus on a cross-section of the monitoring reports available for these two key sub-sectors in the funding field of government and civil society.<sup>4</sup>

**Table 2**

DAC Sector Code	Name of Sector/Subsector
15110	Economic and development policy/planning
15120	Public sector financial management
15130	Legal and judicial development
15140	Government administration
15150	Strengthening civil society
15161	Elections
15162	Human rights
15163	Free flow of information
15250	Land mine clearance
15261	Child soldiers (Prevention and demobilisation)

*DAC Sub-sector codes for the sector Government and civil society – 150, where funding flows were evaluated as part of the statistical analysis for this evaluation*

### *Human rights - 15162*

The monitoring reports mainly testify to their capacity building benefits and have little to say about channelling issues. Projects in this field generally take much longer to achieve measurable results and often the short timeframe of a project was not enough to demonstrate changes.

The main recommendations which were found to need to be addressed under the monitoring reports for this sector were;

- The projects were often too complex to be able to be achieved in such a short space of time of a project over a handful of years.

<sup>4</sup> At the time this evaluation was carried out November –December 2007.

- The link between building capacities in the field of human rights and developing economic activities was often not made and this led to reduced sustainability over the long-term.
- Coordination, communication and awareness-raising at the national level about the projects was lacking in a field which often required public pressure for many of the objectives to be achieved.

### *Strengthening civil society - 15150*

The main recommendations which were found to need to be addressed under the monitoring reports for this sector were;

- Successful projects were those where government channels were fully supportive and cooperative and where plans and project intentions were well disseminated.
- Successful projects which channelled funds through CSOs often neglected issues of sustainability and basic income generating activities in their remit.
- Project successes and lessons learned are very seldom capitalised on and shared at regional or national fora.
- The goals were often too ambitious for small projects.
- Projects involving CSO channelling often involved small amounts of funds but their experience could also be used in the design of national EC support programmes with the partner countries.
- Project design was often hurriedly thought through and not researched thoroughly enough according to particularities of the region/country/social sector.
- Distribute monitoring information according to timing which is useful, is required.
- Faster distribution of funds via more efficiently run calls for proposals to allow quicker access to funds for CSOs.
- Projects should promote tools and adequate methodologies for promoting more of an impact of the projects at a local level.
- The lessons learnt and best practices of projects in one region have not been transferred and disseminated enough to other regions where the projects were not taking place.
- To ensure more sustainability of projects in the field of CSO channelling, there should be more sentiments issued by the EC on ensuring respect for human rights and democracy by the partner Countries; especially in the field of security issues, the EC also needs to pay more attention to advising partner countries on how to strike a good balance between security issues and leaving space for civil society action -> more targeted *conditionality* for particular government institutions can be a good thing if used wisely.
- ECD's should initiate dialogue processes in partner countries in order to capitalise on experience of EC projects channelled through CSOs.
- Distribution and dissemination (via websites as most examples were) of CSO channelling results needs to be improved updated more regularly and faster.
- Despite this sector involving government and civil society – there should also be more involvement of SMEs and the private sector in helping build capacity and thereby supporting the channel as a means to achieving more democracy from below.

### *Multi-sector/Cross-cutting – 400*

Table 3 displays the sectors where funding flows were examined in relation to CSO channelled funds where sub-sector 43082 – research/scientific institutions was found to be the sector which demonstrated the largest volume of funding.

**Table 3:**

<b>DAC Sector Code</b>	<b>Name of Sector/Subsector</b>
41010	Environmental policy and administrative management
41030	Bio-diversity
41040	Site preservation
41081	Environmental education/ training
41082	Environmental research
43010	Multisector aid
43030	Urban development and management
43040	Rural development
43082	Research/scientific institutions

*DAC Sub-sector codes for the sector Multi-sector/Cross-cutting – 400, where funding flows were evaluated as part of the statistical analysis for this evaluation*

Most projects under this subsector are international research projects and did not produce many monitoring reports. The projects generally took several years (between 6-8 years) to achieve results. Here the main lesson was that appropriate dissemination of activities and lessons learned achieved the most successful results.

### *Other social Infrastructure & services*

**Table 4:**

<b>DAC Sector Code</b>	<b>Name of Sector/Subsector</b>
16010	Social/ welfare services
16020	Employment policy and administrative management
16030	Housing policy and administrative management
16040	Low-cost housing
16050	Multisector aid for basic social services
16061	Culture and recreation
16062	Statistical capacity building
16063	Narcotics control
16064	Social mitigation of HIV/AIDS

*DAC Sub-sector codes for the sector Other social Infrastructure & services - 160, where funding flows were evaluated as part of the statistical analysis for this evaluation*

Here the highest funded sector was 16050 – multisector aid for basic social services.

- Advocacy and networking and diplomatic skills with government channels here is important – negotiating skills etc.
- Main problem is capacity of CSOs and lack of dialogue with government.
- Successful projects involved good linkages between CSOs and local government actors in order to generate interest at government level for the concerns of the local populations but this also required a certain degree of decentralisation to be present in the partner country.
- But even with successful projects the issue of visibility, dissemination and learning from the results was often neglected.
- Exit strategies and phasing out strategies had to be built into the projects to make sure that they achieve sustainable aims in a sector which is actually supposed to be supported by the state.
- Here again IGA activities were also key to the sustainability of the projects.

#### *Commodity Aid and General Programme Assistance*

Here the only sub-sector involved is 52010 food aid/food security programmes.

**Table 5:**

<b>DAC Sector Code</b>	<b>Name of Sector or Subsector</b>
52010	Food aid/Food security programmes

*DAC Sub-sector codes for Commodity Aid and General Programme Assistance - 500, where funding flows were evaluated as part of the statistical analysis for this evaluation*

The main observations and lessons to be learned in this field are:

- Here the economic links were crucial to the success or failure of the interventions.
- Other successful projects involved good financial and organisational management including good communication with the donor and the beneficiaries, even in difficult partnership/fragile states and post-conflict situations.
- Visibility, dissemination and best practise examples were also vital to achieving the goals of building the capacity of community-based groups using the funding channelled through larger CSOs.
- In this field the EC is often just seen as its donor role and not really in the role of building capacity or achieving improvements in the food security situation.
- Other success factors involved the promotion of local ownership and women’s participation as well as the respect of local customs.

## Education

Here the subsector receiving the highest levels of funding via the CSO channel is 11420 – higher education.

**Table 6:**

DAC Sector Code	Name of Sector or Subsector
11110	Education policy and administrative management
11120	Education facilities and training
11130	Teacher training
11220	Primary education
11230	Basic life skills for youth and adults
11240	Early childhood education
11320	Secondary education
11330	Vocational training
11420	Higher education
11430	Advanced technical and managerial training

*DAC Sub-sector codes for Education - 110, where funding flows were evaluated as part of the statistical analysis for this evaluation*

The main findings were:

- Technology and information sharing between European CSOs and partner country organisations is vital in the field of higher education.
- In addition, as with research and scientific institutions, appropriate dissemination of activities and lessons learned achieved the most successful results.
- As these projects relate to University cycles, the projects were often not planned for long enough periods.
- Sustainability of the projects was the main problem as funding in the higher education field is usually fairly limited and highly competitive.

## Health

The health sector is notoriously difficult for monitoring impacts of projects, as it depends on the indicators used. For the health sector the main subsector receiving the vast bulk of funding was 12220 – basic health care.

**Table 7:**

DAC Sector Code	Name of Sector or Subsector
12110	Health policy and administrative management
12191	Medical services
12220	Basic health care
12240	Basic nutrition

Main Findings in this subsector are:

- Many of the initiatives under this sector involve awareness-raising (for instance in relation to malaria and AIDS/HIV) and so needed good networking and dissemination skills of the CSOs in order to be successful.
- The CSOs had to also engage actively with the state Ministries involved in the sector and had to be highly skilled in advocacy work for the projects to be successful and have good impacts.
- In the field of basic health care, long-term action plans were needed so projects had to have a very good exit strategy in order to be sustainable.
- Gender issues are very important in this sector and were often not taken into account enough in project planning.

### **3. CONCLUSIONS**

Including an analysis of monitoring reports for a channelling evaluation is not the most efficient way of retrieving relevant information as monitoring reports mainly provide information on management issues or relate to the particular situation in the partner countries.

However, in general the analysis has produced a number of useful insights which can feed the main evaluation as another methodological tool.

#### **Limitations:**

Due to the channelling nature of this evaluation, it is not easy to search for monitoring reports per project where CSOs were always used as a channel. Even where one refers back to the statistical analysis made for this evaluation which indicates the key DAC Sector Codes where funds were channelled through CSOs, it is still not the case that ALL projects monitored under a particular sector code involved CSO channelling.

In the sectors analysed, it is more likely that funds were channelled through CSOs but it is not certain that this was the case, as the funds could also have been used to build capacity by being just channelled to CSOs. The project synopses were also always checked to make sure that this project dealt with CSO channelling. But with an evaluation of this kind, it is still difficult to make sure that the project monitoring reports we are analysing are still addressing the use of CSOs as a channel.

Key observations and actions recommended in ROM reports, upon which some of this analysis is based, are written by project monitors who only have a very short snap-shot of the situation in the country.

## **ANNEX VII: Questionnaire analysis**

**EVALUATION  
OF EC AID DELIVERY  
THROUGH CIVIL SOCIETY ORGANISATIONS**

Questionnaire Analysis

Contract Number: EVA/116-833

Service Contract for the Evaluation (sectoral and thematic) of European Commission Programmes and Policies in Third Countries, relating to Social and Human Development issues.

February 2008

*Evaluation for the European Commission*



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Service Contract for the  
Evaluation (sectoral and thematic)  
of European Commission  
Programmes and Policies in Third  
Countries, relating to Social and  
Human Development issues.

**Evaluation of EC aid delivery  
through Civil society  
organisations**

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The opinions expressed in this document represent the authors' points of view, which are not necessarily shared by the European Commission or by the authorities of the countries concerned.

## ACRONYMS

ACP	Africa – Caribbean – Pacific
ALA	Asia (and Latin and Central America)
ALA-LA	(Asia and) Latin and Central America
ALG	Algeria
BGL	Bangladesh
BL	Budget line
BOL	Bolivia
BZL	Brazil
BF	Burkina Faso
CHN	China
DRC	Democratic Republic of Congo
EAMR	external assistance management report
EC	European Commission
EDF	European development fund
EGY	Egypt
ETH	Ethiopia
IND	India
INDO	Indonesia
LAO	Lao PDR
MAD	Madagascar
MWI	Malawi
MEDA	Mediterranean region
M&E	Monitoring and evaluation
MCO	Morocco
MOZ	Mozambique
MLI	Mali
NIC	Nicaragua
NGR	Niger
NSA	Non State Actor
PAK	Pakistan
PER	Peru
PHL	Philippines
RDC	République démocratique du Congo
ROM	Results oriented monitoring
RUS	Russia
RWA	Rwanda
SLE	Sierra Leone
SA	South Africa
SVL	El Salvador
SWAP	Sector wide approach
TAZ	Tanzania
TAI	Thailand (and Myanmar)
TACIS	Technical Assistance to the Community of Independent States
TUN	Tunisia
UGA	Uganda
UKR	Ukraine (and Myanmar)
VIET	Vietnam

## Introduction

This summary is based on a questionnaire survey answered by EC delegations in **33 countries**. Comments of the following Delegations have been included in this summary:

- **13 ACP countries:** Burkina Faso (BF), Democratic Republic of Congo (DRC), Ethiopia (ETH), Madagascar (MAD), Malawi (MWI), Mali (MLI), Mozambique (MOZ), Niger (NGR), Rwanda (RWA), Sierra Leone (SLE), South Africa (SA), Tanzania (TAZ), Uganda (UGA).
- **9 Countries of Asia:** Bangladesh (BGL), China (CHN), India (IND), Indonesia (INDO), Lao PDR (LAO), Pakistan (PAK), Philippines (PHL), Thailand and Myanmar (TAI), Vietnam (VIET).
- **5 countries of Latin America:** Bolivia (BOL), Brazil (BZL), Colombia (COL), El Salvador (SVL), Nicaragua (NIC).
- **2 TACIS countries:** Ukraine and Belarus (UKR) and Russia (RUS).
- **4 MEDA countries:** Algeria (ALG), Egypt (EGY), Morocco (MCO), Tunisia (TUN).

An exact overview of each delegation's response to each of the questions is attached to this summary.

Despite an often wide participation of delegation staff to fill out the questionnaire, answers should not be automatically considered as fully representing the whole delegation's perception to the respective questions.

It has also to be stressed that delegation responses varied a lot both in length and character, as well as in their quality, so that they should neither be compared on a 1:1 base, nor be expected to give a complete picture of a particular delegation's situation in the area which can hardly be explored in a standardized way. Delegations further mentioned that answering questions was difficult as the latter were quite general whereas the reality of every country is different.

A last remark has to be made regarding the fact that the concept of aid delivered "through" CSOs was confusing for one delegation. Many inputs however focus on aid allocated "to" CSOs (civil society programmes...) so that other delegations might also have encountered problems.

## CLUSTER 1:

### **General information on the strategy of channelling EC aid through CSO**

#### Question 1

A huge majority of delegations says they are aware of the **main EC policy documents and issues related to CSOs** (31 out of 33). Only two delegations answered negatively, one of them mentioning the fact that it proved very difficult to find any policy documents in relation to this and that they received none from the EC headquarters during preparation for the new thematic programme NSA/LA.

Considered as the most important ones are the Communication on Participation of Non-State Actors (NSAs) in EC Development Policy<sup>1</sup> (15 occurrences); the European Consensus on Development of 2005 (12); the Cotonou agreement (9); and the Guidelines on Principles and Good Practices for the Participation of NSAs in the development dialogues and consultations (6). One delegation mentioned that time consuming bureaucratic and administrative issues imposed selective choices in readings.

#### Question 2

In all delegations there is **someone specifically in charge of CSOs**. In most of the delegations there are several persons dealing with specific sectors linked to CSOs (17 occurrences) or a project officer combining CSO with other themes (16). In three delegations there is a CSO advisor or a project officer specifically in charge of civil society. In average, 7,3 persons in the Delegation are / could possibly be managing aid delivered through CSO with a minimum of 1 in DRC and a maximum of 24 in Bangladesh. Many delegations insisted on the fact that the persons they refer to manage aid channelled through CSOs next to their main assignments.

**Cooperation between different units and sector people** dealing with the civil society channel varies from one delegation to the other. Except for some countries where it is considered as very close or very weak cooperation exists but is rarely structured and rather on an ad hoc basis. The appointment of focal points or creation of a task force eases cooperation.

The **importance in terms of strategy of the channelling of funds/aid through CSOs** is found of secondary importance by 19 delegations and crucial by 10, for several reasons. Only 4 delegations saw it as marginal. In general, the importance varies over time, depending on the partner government's ability to cooperate or to fulfil its mandate (CSOs being relied upon as complementary to the State). It also tends to be linked to the proportion of funds allocated through budget support (use of the CSO channel decreases) and through thematic budget lines (use of the CSO

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<sup>1</sup> COM (2002) 598 final.

channel increases). Many delegations have stressed the decreased importance of CSO channelling in the last years. Delegations that are mentioning an increase in the use of this channel are countries which at the beginning of a democratisation process or facing a post conflict situation. The importance of using the channel depends as well on the themes and sectors which are selected (see below).

### Question 3

19 delegations indicated that there is no **specific strategy regarding the channelling of aid** through CSOs in their country; 12 said there is one while 2 do not know.

In the existing strategies, CSOs are generally used as subsidiary or complementary stakeholders for implementing EC priorities or joint ones (EC and the partner country), for example in the areas of culture and human rights. In some cases strategies also foresee support to CSOs as such and to their own agenda (mainly through capacity building, support to CSO networks, demand driven support to CSOs...). However, such support is often oriented towards getting CSOs capable of dealing with EC procedures for getting access to funds. Strategies presented by delegations often focus on one instrument (thematic budget line), a specific sector (food security and human rights), a specific procedure (call for proposals) or a project (specific projects managed by CSOs) but rarely present an integrated view on CSO role and use of existing instruments and approaches.

One delegation has mentioned the role CSO could play in monitoring aid.

### Question 4

In most of the cases (45,5%) *assessments of the CSO role in the country* were not carried out **during the drafting of the last country strategy paper (CSP)**. 15 % did not know whether such an exercise took place. Reasons for not having done it range from tight deadline to the availability of other existing assessments making such an exercise irrelevant. Some other donors indeed hired experts (international consultancy firms or NSAs).

Assessments were mainly carried out within pre-feasibility studies of CSO programmes on an ad-hoc basis (CSO mapping). Besides, EC staff in charge of CSOs within delegations – with or without the support of experts, RELEX or AIDCO – sometimes performed such exercises in the framework of the programming exercise.

*Dialogue with Ministries related to CSO role in development* took place in 17 cases out of 33 (while 4 delegations couldn't answer to that question). Various Ministries as well as offices of the Prime Minister and Secretariat to the President were consulted, including Ministries of Finance, Agriculture, Health, Education, Interior, Foreign Affairs or Environment.

Issues addressed often related to the role of CSOs in development in general, including effective service delivery, awareness raising, capacity development, role to play in the area of environment, in creating a good business environment.

The attitude of the different governments is very different from one country to another.

In 72, 8% of the cases, delegations have mentioned the existence of a *consultation between the delegation and other actors (multilateral and bilateral agencies)* concerning CSOs. Except in some cases, there is in fact no specific consultation framework on CSOs as a channel for aid delivery. Consultations often consist in informally sharing information on EC support to and sometimes through CSOs when addressing other issues like: programming of the CSP, programming and implementation of projects or programmes (especially civil society support programmes), discussions on SWAP in different sectors. Exchange of information occurred mainly with EU Member States – sometimes under the leadership of the EC – but also with multilateral agencies like the UN.

*CSOs participated in the drafting of the CSP* in two-third of the countries. Some delegations however mentioned that their opinions were nevertheless taken into account, mainly through a regular consultation process. It is worth mentioning that some delegations that have mentioned the existence of a CSO strategy in their country also confirm that CSOs were not involved in the drafting of the CSP.

Several delegations stress the participation of CSOs to the annual and mid-term reviews as well as to regular consultation meetings.

Two-third of the delegations answered that in the CSP, CSOs were considered as a partner for dialogue, that CSOs have a specific role in achieving poverty reduction and that they are an important implementing actor in social service delivery.

One third of the delegations also mention other specific roles especially in the field of democracy, human rights, peace and stability and – in three Asian countries – cooperation in the sectors of education and culture. Other delegations mentioned support to CSOs as such (for structuring their participation).

In One third of the countries, CSOs were marginally mentioned or not mentioned at all in the CSP.

11 delegations have mentioned that CSOs did participate to the drafting of the PRSP and 3 that it was not the case. For the other countries the information is not available or no PRSP has been drafted.

One-third of the delegations answered that in PRSPs, CSOs have a specific role in achieving poverty reduction, CSOs are an important partner for dialogue and that they are important implementing actors. 4 delegations have also mentioned specific roles for the CSOs, i.e. in : evaluation and monitoring of the PRSP implementation and decentralisation, culture, migration and hydraulic.

In the other cases, there is no information on this issue or a confirmation that CSO role is marginal or not mentioned at all (4 countries).

## **CLUSTER 2**

## Current practices on channelling aid through CSOs

### Question 5

All delegations are working with CSOs. In decreasing order, delegations said they *mainly work with* international NGOs, NGOs, Human rights organisations, associations, research institutes/think tanks, universities, foundations and trade unions. Indigenous organisations, economic interest groups (COL), confessional movements and media related organizations (COL) were also mentioned.

For several reasons, it is difficult to estimate the *extent to which delegations work with CSOs*. Submitted figures are presented in Euro or as a percentage. They focus on specific projects or give a percentage based on the overall amount of aid in the country. No quantified data can be therefore presented.

Based on the figures presented, we may conclude that the proportion of aid managed by CSOs (or addressing CSOs) is very different from country to country. It may represent a very high part of total aid, in countries with a long CSO experience (CSO partnership). CSOs seem to act in a similar way as contractor directly responsible for the programme management or as sub-contractors. In most of the cases, Northern CSOs are contractors whereas Southern ones are responsible for the implementation as sub-contractors. Delegations stress the fact that it is difficult to assess the percentage share among northern & southern NGOs since many thematic/Asiawide instruments require partnerships in the implementation of the action.

*Quantitative and qualitative tools used by delegations to keep track, follow-up and assess EC aid channelled through CSOs* mainly consist of EDF and budget lines procedures requirements (technical and financial reports generally submitted by CSOs or sometimes by PMUs). ROM and CRIS are often referred to as well as the logical framework. External evaluations carried out by the EC, by other donors or by any other organisation are also taken into account. Several delegations insisted on the importance of field visits but some pinpointed to the fact that staff shortage as well as time and budget constraints can prevent them from carrying out such visits. Eventually, several delegations take advantage of the regular dialogue they have with CSOs to discuss progresses.

### Question 6

By decreasing order of importance, **aid is channelled through CSOs in the following sectors:**

- Governance ;
- Forestry ;
- Agriculture ;
- Education ;
- Water and sanitation;
- Health;

- Infrastructures and social services;
- Population;
- Financial services ;
- Transport ;
- Fisheries.

The order slightly changes when working with CSOs as contractors directly responsible for managing the programme as the health sector moves from the 6<sup>th</sup> to the 3<sup>rd</sup> place (*ex aequo* with agriculture) and as the sector population moves from the 8<sup>th</sup> to the 5<sup>th</sup> position. When CSOs act as sub-contractors, infrastructures and social services move from the 7<sup>th</sup> to the 2<sup>nd</sup> place of importance, forestry is ranked 4<sup>th</sup> instead of 2<sup>nd</sup> and water and sanitation is ranked 9<sup>th</sup> instead of 5<sup>th</sup>.

It is worth noting that within the governance sector, human rights and democratisation are mainly cited when CSOs are contractors while when the latter are sub-contractors, the first two fields of governance referred to are decentralisation and democratization.

CSOs also play other roles amongst different sectors but most of the time they play a role in advocacy and monitoring.

Other sectors were also mentioned including – mainly - food security and environment.

#### Question 7

Allmost all delegations have used/are using project approach for channeling aid through CSOs, as direct contractors or as sub-contractor.

Some delegations have also used the programme approach again using CSOs as direct contractor or subcontractor.

Very few delegations have used/are using budgetary support or sector support to channel aid through CSOs.

It is worth mentioning that some delegation do use CSO channeling concerning the LRRD approach.

#### Question 8

23 out of 33 delegations answered that there are **co-ordination fora** (committees, working groups, etc.) regarding the role of CSOs with other donors/governmental actors. Most of the time discussions address other issues though (mainly governance, aid effectiveness or budget support), taking advantage of such occasions to deal with the role of CSOs. Discussions are often limited to sharing of information. Co-ordination fora generally gather donors (EU and non EU donors), with or without the government which sometimes takes the lead of it. Delegations often try to involve CSOs in such fora.

*Participation of the EC* is described by the majority of delegations as active, delegations sometimes chairing or leading such fora and efforts of coordination, sometimes attending meetings as observant (especially of the partner government's actions).

Many delegations have mentioned that *they ensured coordination and complementarity with other donors*. Efforts are mentioned in different sectors (environment, peace building...) but mainly in governance. Some joint activities have been programmed and implemented jointly with donors like DfID or Danida. Coordination and complementarity is mainly ensured through regular meeting on strategies or projects. Some delegations point out that these meetings focus only on an exchange of information.

18 out of 33 delegations named projects, *programmes or activities jointly carried out by and the EC and other donors*, including a majority of EU member States but also NSAs (foundations...), multilateral agencies (UN, World Bank...) and non EU bilateral agencies (USAID, Japan...). Many of them are in the field of human rights, peace and stability, food security or support to civil society.

Some delegations wrote that EC rules do not allow contribution in pooling schemes, unless this is done through contribution agreements with international organizations or other modalities that require derogations.

#### Question 9

The CSO channel was said to be somehow used at **the regional level** by 58% of the delegations while 22,5% answered they did not use it at all. Only 19,5% strongly rely upon the CSO channel at the regional level. Region wide activities are often funded by the EIDHR. 4 Latin American countries out of 5 mentioned regional activities either in the field of human rights or dealing with the role of CSOs in regional integration. 4 Asian countries out of nine also referred to Asia wide programmes using CSO as a channel for aid delivery.

### CLUSTER 3:

#### **Prospective analysis on the most suitable use of the CSO channel**

##### Question 10

Main advantages of the use of geographic instruments are as follows:

- they offer a long-term framework embedded in a broader strategic approach;
- are based as much as possible on the partner country's agenda;
- offer possibilities for policy dialogue between State and non State actors;
- are potentially more important in terms of available funding and
- better take into account local conditions.

One delegation mentioned that regional funds were beneficial to local CSOs which otherwise suffer from the competition with Northern ones.

Many delegations have stressed the following disadvantages of the regional instruments:

- Inflexible, complicated and lengthy procedures;
- Partial attitude of governments, which may control selection process (clientelism).
- CSOs risk being subject to state pressures or influences.
- risk of low absorption capacity when it comes to direct contracting by the EC.

The **NGO co-financing budget line** mainly serves for contracts with European NGOs, Southern ones often playing a role of service delivery. However, this instrument allows not only implementation but also initiatives from CSOs, what is appreciated. The fact that no approval by the government is required is also underlined, especially for transversal and sensitive issues or for filling the gap of geographic aid (especially in sectors or regions which are not a priority for the government). In general, the NGO co-financing line is said to offer flexibility (including more "risk taking" and innovative approaches) and space for pilot initiatives. The fact that it is centralised is seen by some as an advantage as it allows for independence of the EC (BF, ETH). Frequent partnerships between Northern and Southern CSOs are also valued, the former dealing with administrative issues while the latter implement the activity. The role of Northern CSOs in building capacities of Southern CSOs is also considered to be important. Some delegations also find this instrument to be closer to the field and specifically directing to poverty alleviation (better work with grassroots organisations).

On the other hand, centralisation of the budget line can induce problems of articulation with geographic frameworks (difficult to coordinate, to plan ahead and to link consistently with overall assistance). The lack of involvement of the government is also seen as a problem. Sustainability of aid channelled via the NGO co-financing budget line is also questioned as well as problems of duplication and of ability to ensure the follow-up. In some cases, partnerships between Northern and Southern CSOs are criticized for being detrimental to the latter, which is prevented from genuinely building its capacities.

Delegations are quite positive regarding the **human rights and democracy budget line** (especially Brazil and Colombia), often comparing it to the NGO co-financing one (both for assets and inconveniences). One delegation complained about the fact that countries considered as stable are unlikely to benefit from this budget line, whereas they would need it.

**Other budget lines** were also mentioned, like:

- *health* (CSOs have often a long experience in health sector and are an adequate vector for reaching marginalized groups);
- *food security* (impact of the CSO channel is appreciated as well as their faster reactions compared to the State, but sustainability and harmonization are sometimes difficult);
- *environment* (gives opportunities for improving financial support to national CSOs );
- *decentralized cooperation* (this instrument could give direct support to types of CSOs that do not easily have access to aid, but procedures are too heavy for such a target group)

#### Question 11

In terms of **budgetary support**, CSOs are rarely mentioned and are generally service providers as sub-contractors or sometimes watchdogs. Greater national ownership and coherence are mostly cited as advantages of such an approach. However, the capacity of government to manage budget support and its willingness to work with CSOs are often questioned. CSO involvement as contractors or co-implementers with the government can interfere with their independence as watchdogs of the public good. A delegation said that involving CSOs in this modality requires strong interest & input from delegations to provide space for them.

Similar comments arise for **sector support**, where CSOs playing a complementary role to the State is seen as potentially beneficial. However, such coordination can be difficult to ensure.

Most of the delegations find that the **project approach** is best suited for channeling aid through CSOs. Arguments in favour of it are numerous, ranging from its quick disbursement at the beginning of the project and faster implementation, a good targeting of interventions, proximity to the field and to target populations (a.o. due to its decentralisation) to good visibility of EC aid and direct impact. On the negative side, management and follow-up of projects are found burdensome, whatever the size of the projects. Besides, sustainability, synergies with other activities, risk of duplication, limited impact with limited chance for replication elsewhere are often cited.

The channel of CSOs is used for multiple purposes through the **programme approaches**. Delegations find it easily adaptable to new circumstances and more focused thus generating more impact. The latter also mentioned other assets like sustainability and fewer contract and legal/financial transactions. But more inputs were deemed to be necessary at the start (strong risk assessment). A delegation also

referred to the fact that it was no more possible to channel aid through CSOs by using the programme approach due to a change EC rules and regulations.

More specifically on aid channelled through CSOs via the **LRRD approach**, delegations appreciate how quickly it can be implemented but deplore that it would be better at relief than linked to development. Several delegations also identified CSO-State relationship as possibly impeding the use of that approach. One delegation concludes by saying that reality shows that LRRD happens by chance or by the implementing partner's strong motivation.

Among other **additional approaches/support modalities suggested**, several delegations proposed core-funding for successful organizations, to allow them to concentrate on their core business without pressure of fund-raising and pleasing donor requirements. This would also be seen as less demanding of EC human resources.

## **CLUSTER 4: Outcomes and impact of EC aid channelled through CSO**

### Question 12

A huge majority (67,5%) of the delegations consider that the EC/delegation has somehow efficiently and effectively used the **political and policy dialogue** to integrate the CSO channel in its overall cooperation. Only 3 delegations indicated that they did not consider it at all, whereas it was considered to a great extent in 7 other countries.

The major obstacle is the government's reluctance to address the issue of channelling aid through CSOs as well as the lack of capacities within delegations. As already mentioned above, the policy dialogue is focussed on the CSP programming process as well as on the discussion of sectoral strategies.

### Question 13

EC delegations see three main **added values of the CSO channel**: *community ownership*; *specific knowledge of the local context* and *best channel for small or average amounts of EC aid* (28 votes out of 33 each). Community ownership is said to be guaranteed especially by local CSOs which are closer to target groups, hence having a specific knowledge of the local context in which they evolve. Local CSOs can therefore relay international CSOs which are less familiar with it. CSOs are also seen as a good channel for small or average amounts of aid, delegations mentioning the fact that on the one hand, other stakeholders are not interested in such amounts and on the other hand, that a lot can be done with even smaller amounts of funding. However, several delegations consider that the EC is incapable (mainly for administrative reasons and complex procedures) to deal with small amounts of aid.

By decreasing order of importance, delegations listed other comparative advantages (added value) of channelling aid through CSOs as:

- *Good contact to beneficiaries* (27); According to delegations, this is mainly due to the particular proximity of CSOs to beneficiaries as well as to their good knowledge of the local context.
- *Added-value in certain sectors* (26); Delegations point to varied sectors where CSOs can have a specific expertise, often where the government cannot intervene, or in sectors in which the government doesn't have such an expertise. Their continuing presence after the project termination was also raised as well as the capacity to innovate and to provide with inspiration from field experience.
- *Possibility to implement projects when cooperation with government is difficult* (20); Delegations stressed the necessity to have independent organisations, and the capacity of CSOs to act in difficult situations or marginalised areas. Two delegations nevertheless mentioned that the country context did not allow bypassing the government for working with CSOs.

- *Possibility to implement projects in all areas* (20); From a thematic point of view, CSOs are seen as multi-skilled whereas they are said to be a good channel for delivering aid in all (remote) geographic areas.
- *Technical capacity* (17); This is said to be true especially for INGOs.
- *Flexible management* (17); Compared to the bureaucracy of State administrations or of the EC, CSOs are seen as very flexible stakeholders.
- *Good visibility for EC aid* (17); CSOs (especially local ones) are seen as keener to ensure EC visibility than organizations with a strong identity (multilateral and bilateral agencies, international NGOs). Their proximity to target groups is also mentioned as an asset.
- *Quick response in emergency situation* (16); Again, their flexibility is highlighted.
- *Political engagement* (13); This is especially true in the field of human rights and democratization but it should/could be enhanced.

Comments pointed out to the evolving role of CSOs at the light of budget support, reminded that CSOs are a good relay between population and the government. Delegations have also insisted on the fact that any comment on the important added value of CSOs is true only if the EC dedicates enough human resources to manage the channel.

#### Question 14

Delegations gave a score of 0,5 on a scale going from -3 to +3 regarding impact achieved by the CSO channel when using the various instruments.

Concerning **geographic instruments**, impact is said to have been achieved in different areas but mainly in the field of human rights and governance (improved dialogue with authorities, better structuration of CSOs / networking, participation in the strategy formulation) as well as in the field of social sectors (including population sensibilisation, health service deliveries, rural development, poverty alleviation especially by the most vulnerable groups).

**Human rights and democracy budget lines** arrive in first position (1,9) followed by the **NGO co-financing** budget line (1,8). Whereas the impact of the EIDHR is focussing on improved governance and networking, the Impact of the NGO-cofinancing is much broader. Delegations mentioned very different areas where CSOs made it possible to reach a good impact (improved water availability, housing, food security, health services, reaching the poorest in remote areas, capacity building, coordination with local authorities...). **Rehabilitation budget lines** also ranks high (1,7) but only a few delegations answered that question. Impact is due to faster identification needs and bad star conditions (impact is easier to see).

Besides, **other budget lines** were mentioned where impact was reached by CSOs, namely: food security, health, environment, CDC, agriculture or AENEAS (in the field of migration).

Some delegations however warned that it was either too early to assess impact or that it was very difficult.

### Question 15

Again, the most successful approach is the **project** one (1,5 on a scale of -3 to +3). Impact was reached in improved service delivery, addressing the needs of the poor and remote populations, innovations in rural development, gender, health and human rights as well as in CSOs capacity building. The **programme approach** also got a score of 1,5..

**Budgetary support** only scored 0, regarding impact of activities carried out by CSOs. Most of the delegations are not aware of any use of that channel with that modality. **Sector support** scored 0,8 whereas delegations' responses vary according to the State willingness to rely upon the CSO channel. It is worth no notice that very few delegations have given a response, thus stressing the limited use of sector support (as well as budget support) in channelling EC aid.

Impact was reached in relief through the **LRRD** (1,3) but less in its development component. One delegation commented on the fact that the CSO channel should be used in a longer term perspective by considering core-funding modalities for mature organizations.

## **CLUSTER 5: Future trends and challenges**

### Question 16

When asked about influences that the **evolving context or new trends** could have on the role of CSOs, most of the delegations answer that the latter risks being threatened by the *Paris agenda*. Even if they recognize the potential of better donor coordination (several delegations suggested joint funding of the CSO channel and sharing of best practices), the *move towards budget support* is seen as detrimental to CSOs for two main reasons:

- CSOs might get less funding as it would be managed by the State;
- the role of CSOs would fall more under the control of the State.

Questions on the role of CSOs at the light of the Paris Declaration were raised (a.o. in what it entails from CSOs themselves: effort of coordination...), delegations saying that the trends towards budget support was not so far accompanied by a reflection on the use of CSOs as a channel for aid delivery.

Besides, the general trend towards SPSPs, reduction of PMUs, alignment with national policies will leave little space for CSOs.

Except for a few cases, *deconcentration* is seen as beneficial for using the CSO channel as decisions would be closer to field reality.

Another trend identified is the increasing role of *CSOs as organized and capable political actors* which can have a double effect. On the other hand, it is feared that the *new instruments* (especially NSA-local authorities) would reduce the use of the CSO channel. The new financial regulation is also said to have a potentially negative impact “because it imposes stricter requirements on grants awarding procedures, grants being the most common channel of EC cooperation with CSOs”. Some delegations referred to the fact that with the new financial regulation, the possibility to sign direct contracts with CSOs has disappeared EC (except in exceptional circumstances).

Several *suggestions* were also shared:

- co-financing less but larger projects would give incentive to CSOs to working together;
- CSOs should be used not only as implementing actors but also as dialogue partners. They should evolve towards playing a monitoring role especially at the light of the move towards budget support;
- Instruments should be more flexible;
- NSA support should be integrated in sector programmes/support.
- Analyse the role of CSO in budget support
- Identify mechanisms to make decision process more transparent towards CSOs

#### Question 17

Almost all delegations (91%) said they developed their **overall institutional capacity to deal effectively and efficiently with CSO channelling** by *learning by doing*. Less than half of them mentioned the *recruitment of experts as well as international (Commission) training courses* (42,5%). Only one delegation said there was no institutional response by the EC to develop/strengthen the delegation capacity. Several delegations mentioned the fact that trainings are time consuming while - mainly because of procedural burden – staff in delegations is already very busy. Other delegations complained about the fact that trainings do not sufficiently provide knowledge about new trends on NSA cooperation or put too much emphasis on procedures and not on processes. Ad-hoc support through external expertise has also contributed to the capacity building of EC staff. Some delegations have also mentioned the need for more capitalisation within EC services through more support from EC headquarter or regional seminar on information exchange.

#### Question 18

Delegations identified resistance of partner countries as the main **obstacle to increase channelling of aid through CSOs** (15 votes). In the same vein, specificities of geographical/political contexts rank second (14) ex aequo with the lack of “absorption capacity”. A third wave of identified hurdles (13) follow closely with inadequate funding instruments, EC procedures that are not suitable, disbursement pressure (while the CSO channel is said to absorb only a few aid) and lack of technical

capacity (mainly on behalf of local CSOs). Staff shortage in delegations compared to the amount of work the CSO channel represents was also mentioned several times though, especially because of the administrative burden.

Inadequate policies were named 8 times whereas 5 votes were attributed to the lack of knowledge of such policies, the legal framework and risk aversion.

Eventually, it was pointed 4 times to insufficient guidance from the HQ whereas only 4 delegations said they did not encounter any obstacle .

A huge majority of respondents (25 out 33) thinks that better assessment of the comparative advantage of CSOs as a channel for aid delivery is necessary; closely followed (24) by the need for more adequate financing instruments. Most of the delegations repeatedly pointed to procedures as an obstacle which should be overcome (20). However, also often mentioned is the need for a conducive (local) political environment (15). In line with what was said previously, 14 delegations argued in favour of an improved policy framework and more specialized staff (possibly through technical assistance). The lack of enough absorption capacity by CSOs has been mentioned by 13 delegations, followed by a better performance of aid delivered through the CSO channel and more consistent back-up from the HQ (12); and an improved legal framework (6).

## **ANNEX VIII: Mapping of financial flows**

# Statistical Analysis

**Disclaimer:** The results presented in this analysis should be regarded with caution, due to the limitations outlined in section 1.2.

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## 1. GENERAL INTRODUCTION TO THE STATISTICAL ANALYSIS

### Box 1. Key messages and main limits in a nutshell

#### Key messages

*The overall statistical analysis carried out by the evaluation team makes it possible to identify some broad trends with regard to EC aid channelled through CSOs as first contractors during the period 2000-2006 and to provide a basic typology.*

- Over the 7 years under consideration, the **total sum of payments** which could be identified as having been **channelled through Civil Society Organisations (CSOs)** amounts to 5.3 billion €, and a clear increase can be observed over time, especially in payments made from the EDF.
- In terms of the **geographic distribution of funds**, the ACP region received the greatest amount of funds, followed by ALA-ASIA, MEDA, TACIS and ALA-LA.
- Many of the countries for whom a comparatively large amount of EC payments to CSOs was found, were countries that are or were going through an **armed conflict**, which suggests that CSOs might play an important role in such circumstances.
- There is a trend towards the increasing use of **geographic instruments** for EC aid channelling through CSOs.
- All in all, 76% of total specified payments have been channelled through **Northern CSOs** and 24% through **Southern NGOs**. However, the regional allocation of 21% of all specified payments could not be attributed.
- The **six sectors** under whose umbrella the greatest proportions of aid have been allocated over the period at stake are Education, Health, Government and Civil Society, Multi-sector/cross-cutting Issues, Commodity Aid and General Programme Assistance, as well as Other Social Infrastructure and Services.

#### Main limits

*Results should nevertheless be carefully read in light of the limits encountered*

- **Relying exclusively on EC databases** offers limited possibilities in terms of retrieving financial flows which have been channeled directly through CSOs. First of all, different types of databases exist, which serve different purposes (accounting system, project management...) and which have different added values. The same information was sometimes extracted from different databases, depending on which database offered the best quality of information (for example sector codes were extracted from CRIS for the period 2000-2002 while they were extracted from ABAC for the period 2003-2006). However, the quantity of information varies from one database to another. As no weighting was made, results might be affected on the 2000-2002 trends. Secondly, encoding issues can also be a source of errors. A comprehensive analysis of the period 2000-2006 was therefore hardly possible and the results presented in this analysis may be affected as well. Besides, recipient CSOs considered as within the scope of analysis (i.e. for the calculation of amounts of EC aid channeled through them) had to be **sorted manually**, which might have created a margin of error.
- Only **aid which was conveyed directly through CSOs** without any intermediary was taken into account, in accordance with the "channel approach" and under consideration of the limitations encountered.<sup>1</sup>

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<sup>1</sup> A mapping of all flows based on the analysis of legal entities, which also takes all indirect flows into consideration, would necessitate a further specific study due to the large amount of work it would entail. It clearly exceeds the scope of this statistical analysis.

## 1.1. Purpose and scope of the mapping

The Terms of Reference (ToRs) foresee that part of the Inception Report will be devoted to presenting the findings of a comprehensive overview (mapping) of EC financial flows towards civil society organisations (CSOs) and their typology (source, activity/function/role, sector, geographic sub-area/country).

The evaluation team has therefore sought to map EC commitments and payments (EDF and budget) made **directly** to CSOs, thus excluding any indirect channelling through an intermediary (like the UN, budget support, programmes implemented by private entities, etc.). This approach - via the type of legal entity - has been agreed upon for obtaining data on flows channelled through CSOs. It was found to be the more realistic approach in light of the type of the evaluation ("aid delivery") as well as the limitations of the databases.<sup>2</sup>

The mapping covers the period 2000-2006. In accordance with the Evaluation Unit, the period under consideration initially foreseen (1996-2006) was reduced as it proved very difficult to retrieve relevant data for the period before 2000.<sup>3</sup> The mapping relies upon the working definition of the concept of civil society provided in the ToRs.<sup>4</sup>

EU Member States<sup>5</sup> and OECD countries are excluded from the geographical scope<sup>6</sup>. Activities under the mandates of DG ENLARG and ECHO were not taken into account either. However, the mapping does cover humanitarian aid conveyed through CSOs on the basis of Commission's Communication COM (2001) 153 "Linking Relief Rehabilitation and Development" (LRRD). The objective of this instrument is to assess the measures aimed at filling the gap that exists between relief (short-term) and development aid (long-term).<sup>7</sup>

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<sup>2</sup> Another methodology was also suggested by the evaluation team: taking into account financial flows channelled through ALL kind of actors (therefore avoiding the risk of missing important amounts of aid) while establishing percentages of aid that would have been channelled through CSOs depending on the sector. This approach would have been based on a sectoral analysis and would have estimated the percentage of fund within each sector that may have been channelled through CSOs. For example it would have been estimated that between 40% (minimal option) and 60% (maximal option) of EC aid delivered under the health sector may have been channelled through CSOs. Of course this option presented limits as well; it was therefore not retained by the evaluation unit.

<sup>3</sup> The older a record, the less information is available on it in EC databases. This is especially true for OLAS, for which the approach via the type of legal entity is possible only from 2000 (the technical reason being SINCOM and OLAS were only synchronised at that time what allowed to link "operators" to commitments and payments only from that time).

<sup>4</sup> The working definition is comprehensive of non-governmental organisations, civil society in all its forms according to national characteristics, local and traditional communities, institutes, cooperatives, community based organisations and their representative platforms in different sectors, social partners (trade unions, employers associations), the private sector associations and business organisations, associations of churches and confessional movements, universities, cultural associations, media. For a detailed analysis of entities that were selected, see 1.3.b) Treatment of the data and annexes.

<sup>5</sup> As a result, the EU budget line ONG-ED has been excluded as the resources involved are to be spent in Member States.

<sup>6</sup> Israel was excluded considering the specific nature of the bilateral cooperation agreement with the EU. However, the mapping takes into account aid channelled to projects and programmes for the Palestinian Territories, including those possibly involving CSOs from Israel involved in such partnerships.

<sup>7</sup> See COM (2001)153 "Linking Relief Rehabilitation and Development".

In order to identify relevant questions for the mapping, the team analysed the various legal frameworks as well as the main EC policy documents pertaining to the civil society (as a channel for aid delivery). This makes it possible to give an **objective basis to the mapping**, i.e. by starting from stated EC policy objectives towards civil society (as they evolved over time). It also helps to ensure that the mapping exercise does not extend beyond the scope of the evaluation, as spelled out in the Terms of Reference.

In various legal frameworks and policy documents, the EC defined a variety of policy objectives towards civil society, including:

- Channel resources to CSOs through the various instruments (including geographic instruments)<sup>8</sup>;
- Recognise the diversity of civil society actors that can be involved in EC cooperation processes<sup>9</sup>;
- Support CSOs in the (traditional) role of service delivery as well as in their (new) role as actor in policy processes (in line with principles of “ownership and partnership” and “in-depth political dialogue”)<sup>10</sup>;
- Support CSOs in their “own initiatives” as well as in their capacity as “implementing agencies”<sup>11</sup>;
- Make effective use of CSOs as alternative channel for aid delivery in “difficult partnerships” or conflict zones;
- Support the emergence and consolidation of civil society as a viable sector<sup>12</sup>

On this basis, the evaluation team has identified the following strategic **“mapping questions”**:

- 1) What volume of EC aid has been directly channelled through CSOs during the period 2000-2006?
- 2) What is the proportion of payments compared to commitments made to CSOs?
- 3) What is the geographical distribution (regions and countries) of EC aid channelled through CSOs?
- 4) Do particularly CSOs in countries with "conflict zones" and "difficult partnerships" receive a noticeably large amount of EC aid to channel?
- 5) What is the sectoral distribution of EC aid channelled through CSOs? How has it evolved over time?
- 6) What proportion of EC aid is geared at supporting CSOs own initiatives as compared to using CSOs as implementing agents?
- 7) What proportion of EC aid is channelled through CSOs for service delivery

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<sup>8</sup> This commitment is clearly expressed in the Cotonou Agreement (Article 4)

<sup>9</sup> The various legal frameworks (ALA, MEDA, TACIS, Cotonou) call for an inclusive approach to engaging with CSOs (or ‘non state actors’).

<sup>10</sup> See “European Consensus on Development”, Official Journal C46 (2006). Particularly in Latin America, CSOs have been involved in a parallel political dialogue at regional, sub-regional and in some cases on national levels.

<sup>11</sup> See “Communication (2002) 598 : “Participation of non-state actors in EC Development Policy”.

<sup>12</sup> See for instance Communication (2003) on “Governance and Development” or Article 11 of the Cotonou Agreement.

purposes or for encouraging political dialogue?

- 8) What proportion of EC aid channelled through CSOs comes respectively from geographic and thematic instruments?
- 9) What is the ratio of aid channelled respectively through Northern and through Southern CSOs?

Not all questions could be answered by the mapping. The team often faced technical barriers to retrieving exploitable data from the various EC databases with regard to the above mentioned questions (see further). Contacts were made with AIDCO staff (e.g. geographical units) while other possible sources of information were analysed (e.g. data provided for in recent EC thematic or regional evaluations).

### Box 2. Scope of the mapping

- Tracking Commitments and payments which the EC has made to identified CSOs as beneficiary, without intermediary.
- EDF and budget.
- Between 2000 and 2006.
- Excluding EU Member States, OECD countries
- Excluding financial flows under the mandate of DG ENLARG and DG ECHO.
- Sources of information: EC databases (ABAC and CRIS for the budget; OLAS for the EDF), consolidated documents (EC annual reports...) and meetings with EC staff.

## 1.2. Methodology used and limits encountered

The overall statistical analysis carried out by the evaluation team makes it possible to identify some **broad trends**<sup>13</sup> with regard to EC aid channelled directly through CSOs during the period 2000-2006 and to provide a **basic typology**. Results should nevertheless be carefully read in the light of the limits encountered.

### a) Sources of information

The first step was the identification of the sources of information. Three relevant EC databases could be used: ABAC, OLAS and CRIS. The table below shortly describes the information that could be retrieved from each database as well as their limits and the choices that had to be made as a consequence thereof.

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<sup>13</sup> Especially in qualitative terms whereas quantitative analysis should not be considered as exhaustive.

**Table 1 - Overview of main sources of data**

Data sources	Available financial information	Limitations
<p><b>ABAC</b></p>	<p>- ABAC is rather like an accounting system, containing all payments made from the overall EC budget, from whatever DG.</p> <p>- The following information can be found in ABAC: amount of the payments, time of the payments, budget line, Fund management centre<sup>14</sup>, Bank account name<sup>15</sup>, Legal entity country code<sup>16</sup>, recipient country and region (from 2003 onwards), sector code (from 2003 onwards).</p>	<p>- Commitments (contractual amounts) cannot be found in ABAC, so that only payments could be analysed. As a result, it was not possible to draw conclusions on the link between payments and commitments on the basis of ABAC, so that CRIS has been used to analyse the commitments under the budget. Nevertheless no reliable analysis could be made in terms of quantity of commitments, as CRIS is not as complete as ABAC.</p> <p>- It was not possible to directly obtain information on the different categories of recipients in ABAC.<sup>17</sup> As mentioned hereafter this led to a manual sorting of data which in turn may bias results (see further point b. regarding the treatment of the data).</p> <p>- Sectoral (sector codes) and geographic allocation (countries and regions) were not available before 2003, so that sectoral and geographic analysis could only be made for the period 2003-2006 on the basis of ABAC. However, CRIS provided such data so that it was relied upon for the remaining period (2000-2002). The use of two different databases however leads to a difference in terms of the quantity of aid, which should not be misinterpreted.</p> <p>- Another consequence of not retrieving recipient countries in ABAC for the years 2000 to 2002 is that neither EU Member</p>

<sup>14</sup> The Fund management centre was used as a criterion to determine which DG was responsible for the payment.

<sup>15</sup> The Bank account name was used as a criterion for categorizing entities that were CSOs and the ones that were not.

<sup>16</sup> The Legal entity country code was used as a criterion for defining the nationality of the CSO.

<sup>17</sup> The team encountered the general trouble of not having a systematic encoding of CSOs in ABAC. The "Legal entity account group" which provides different categories of actors could not be used. Categories (like "Autre CE-Equity Method" or "Institutions avec Comptes de Liaison") do not indeed allow for the distinction of CSOs. Besides, the field "LE account group" was left blank for about a third of the entries received. Finally, many encoding errors were found.

		<p>States nor OECD countries could be excluded from the statistical analysis (as requested by the ToRs). This might bias results based on figures from ABAC for the years 2000 to 2002.<sup>18</sup></p> <p>- The analysis of ABAC started with the identification of the recipients which were CSOs; extractions of further information on financial flows channelled <b>only</b> to the latter were made afterwards (in which sectors, which countries...). It was therefore impossible to make a real comparison between aid allocated through CSOs (received in extractions) and aid allocated through other types of recipients. The general amounts of the budget for the period 2000-2006 are available in general reports, but for all recipients (CSOs and others) and without limitations of the scope as foreseen in the ToRs of this evaluation (exclusion of aid under the mandate of DG ECHO...). A comparison between CSOs and other types of recipients on the same basis could therefore not be made.</p>
<p><b>OLAS</b></p>	<p>- OLAS contains commitments (contractual amounts) and payments made from the EDF.</p> <p>- The following information can be found in OLAS: contractual amounts, amounts of payments, time of contracts and payments, EDF number, recipient name, nationality of the recipient, type of recipient, recipient country and region, sector code, nature of the contract.</p>	<p>- It was not possible to obtain the DG responsible for the commitments / payments. It was therefore not possible to exclude possible financial flows included in OLAS but under the mandate of DG ECHO (as requested by the ToRs) so that some aid beyond the scope of the evaluation might have been taken into account.</p> <p>- For technical reasons, it was not possible to link contracts to the payments made to CSOs.<sup>19</sup> This implies that no conclusion could be drawn regarding the exact correspondence of commitments to</p>

<sup>18</sup> Data from CRIS were exclusively relied upon for the period 2000-2002 only in cases where information could not be found in ABAC (on sector codes, beneficiary countries or commitments). In other cases (for example: the figure on the proportion of payments made to Northern compared to Southern CSOs), ABAC was relied upon for the whole period 2000-2006. However, in such cases it was impossible to exclude financial flows which should have been excluded because they were benefiting countries which were out of the scope, as such criteria was not available in ABAC.

<sup>19</sup> Until mid-2006, it was possible to enter a new contract in OLAS by specifying an operator code that would be different from the operator code that would have been entered for a payment made for the aforementioned contract. This means that an operator could be registered under code X for contract A, while it would be registered under code Y for a payment made under contract A.

		<p>payments.</p> <ul style="list-style-type: none"> <li>- The possibility to categorize recipients in OLAS is very limited. As mentioned above, this led to a manual sorting which in turn may have led to some margin of error (see under point b with regard to treatment of the data).</li> <li>- The analysis of OLAS started with the identification of the recipients which were CSOs; extractions of further information on financial flows channelled <b>only</b> to the latter were made afterwards (in which sector, which countries...). It was therefore impossible to make a real comparison between aid allocated through CSOs (received in extractions) and aid allocated through other types of recipients. The general amounts of the EDF for the period 2000-2006 are available, but for all recipients (CSOs and others) and without limitations of the scope as foreseen in the ToRs (exclusion of aid under the mandate of DG ECHO...). A comparison between CSOs and other types of recipients on the same basis could therefore not be made.</li> </ul>
<p><b>CRIS</b></p>	<ul style="list-style-type: none"> <li>- CRIS is the “Common RELEX Information System”, it contains data from the RELEX, DEV and EuropeAid, and thus not from other DGs.</li> <li>- No difference is made here between CRIS saisie (established in 2002 but compulsory for AIDCO staff since 2003) and CRIS consultation (covering the period before 2002 and from which data were transferred into CRIS saisie. CRIS consultation in turn integrates data from GRIOT, MIS etc.) as the team did rely on the CRIS data warehouse – that is the “matrix” of CRIS - which to the team’s understanding</li> </ul>	<ul style="list-style-type: none"> <li>- CRIS is connected to ABAC (for the budget) and to OLAS (for the EDF). The process of transferring data from ABAC to CRIS is completed<sup>20</sup>, but transfer from OLAS to CRIS is still in progress, so that the latter is not as complete as the two other ones, especially before 2004. Therefore only OLAS was used for the analysis of EDF data.</li> <li>- The possibility to categorize recipients in CRIS seems to exist only since mid-2006, so that only entities that would have been registered after that time would be categorized. The evaluation therefore had to sort out the remaining CSOs manually, which in turn may have caused some bias in the results (see point b).</li> </ul>

<sup>20</sup> However, all “ongoing” contracts from 2002 onwards were transferred while those with the status “closed” were not all transferred.

	<p>encompasses data from CRIS saisie as well as from CRIS consultation.</p> <p>- The following information can be found in CRIS: contractual amounts, amounts of payments, time of contracts and payments, budget line, recipient name, type of recipient, nationality of the recipient, recipient country and region, sector code, nature of the contract, DG responsible.</p>	
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**General limitations:**

- 1) **The quality of the databases:** EC data regarding aid flows through CSOs may be available, yet the way in which the information has for long been processed in EC databases leads to important gaps in strategic data collection. The quality of the databases highly depends on the choice and accuracy of the methods used for processing available information. CRIS offers a promising solution to this issue as it is a much more qualitative and flexible database than OLAS and ABAC. Nevertheless, encoding problems remain a source of error. For example, 21% of the entries concerning the nationality of the recipients were left blank. The proportion of Northern and Southern beneficiaries mentioned in the statistics therefore represent a partial view of the “reality”. Moreover, errors occur when entering information into the database<sup>21</sup>. An attempt was made to ‘clean up’ the data but a risk of errors remains.
- 2) It has been difficult for the evaluation team **to select appropriate search criteria and to collect data accordingly.**<sup>22</sup>
- 3) Conducting an **analysis of the period 2000-2006** was hardly possible because of the inconsistencies between different sets of data in the three databases under consideration. For example, the chart on sector allocation of EC aid had to be based on OLAS for EDF data for the period 2000-2006, CRIS concerning budget data for the period 2000-2002 and ABAC for budget data over the period 2003-2006. As mentioned above, CRIS contains less data than ABAC. The increase between 2002 and 2003 may therefore not only be based on a high increase in the amounts of payments made from the

<sup>21</sup> The evaluation found many examples of mistakes like “Thailand” being categorized as belonging to the “ACP group” so that charts could be based on wrong assertions (aid for an ASIA country counted in the ACP group) or miss important amounts of aid (aid for and ACP country not taken into account because registered under an OECD country).

<sup>22</sup> For example: the team had to choose between two columns for retrieving the recipient country in the extraction of CRIS: GEO\_LIB and GED\_LIB, which were not the same. No explanation could be found on the meaning of those acronyms. As data included in column GEO\_LIB were apparently rather referring to regions, the evaluation team decided to rely on the column GED\_LIB. Taking into account both columns was not possible (a.o. since two different countries were regularly mentioned for the same payment). Nevertheless, every time column GED\_LIB was left blank, column GEO\_LIB was relied upon when data was available.

budget but also (mainly?) because of the use of a different and more comprehensive database (ABAC instead of CRIS).<sup>23</sup> As the team could not obtain information on commitments in ABAC, it was not possible to conduct a detailed analysis on this issue. The mapping only presents some results based on CRIS (with the limitations of underestimating the total amounts) to give an idea on the relation between commitments and payments.

- 4) An **accurate comparison between EC aid allocated to CSOs and to non-CSOs** could not be made, except for the budget (via CRIS). The analysis of OLAS and of ABAC started with the identification of the recipients which were CSOs; extractions of further information on financial flows channelled only to the latter were made afterwards from both databases (in which sector, which countries...). Therefore, it was impossible to make a real comparison between aid allocated through CSOs (received in extractions) and aid allocated through other types of recipients. The general amounts of the EDF and of the budget for the period 2000-2006 are available, but for all recipients (CSOs and others) and without limitations of the scope as foreseen in the ToRs (exclusion of aid under the mandate of DG ECHO...). A comparison between CSOs and other types of recipients on the same basis could therefore not be made, except for data from CRIS - as the methodology used was different. The analysis indeed started here with an extraction of data concerning all types of recipients (CSOs and others), CSOs being identified afterwards.
- 5) The **approach to map aid flows via the type of legal entities** excludes EC aid that would have passed through an entity that has not been categorised as a CSO (UN, NAO, consultancy firm...). This is in line with the "channel" approach where the "channel" is supposed to be the first recipient of aid even if it is only an intermediary. This also results from the difficulty in retrieving data regarding aid channelled through CSOs functioning as second or third contractors or beneficiaries. It should however be noted that the EC channels considerable amounts of resources to CSO through intermediaries (such as the UN) or through other type of arrangements (e.g. multi-annual micro-project schemes; sector programmes; as well as "régies and devis programmes" (managed by technical management units). This implies that **important amounts of aid, channelled indirectly through CSOs, are not presented**.
- 6) The approach via the type of legal entities entailed the need to **manually revise** a list of more than 8,005 entries for ABAC, 49,324 entries for OLAS and a list of 34,367 for CRIS as EC databases do not allow to fully categorizing the type of recipient.<sup>24</sup> This exercise is risky as available information to operate the sorting process was very limited.
- 7) **Sector codification might also be a source of error**. Sector codes could be found in OLAS for the EDF for the period 2000-2006 but only for the period 2003-2006 in ABAC for the budget so that CRIS was used for sector data from 2000 to 2002. Differences between 2002 and 2003 should therefore not be misinterpreted as they might be due to the use of different databases (see

<sup>23</sup> Indeed, the total amount of aid channelled through CSOs according to the CRIS extraction is 1.952.118.155 € (for all sectors) for 2000-2006 whereas according to the ABAC extraction it is 4.499.119.623 € (for all sectors) for 2000-2006. Difference of scales should not be misinterpreted as an increase of aid.

<sup>24</sup> Exceptions are OLAS and especially CRIS in which precise categories have been created. Nevertheless, because of encoding problems, manual sorting was needed.

annex VII for detailed comments on the methodology used).

- 8) During **interviews with geographical units** it became clear that limited quantitative and qualitative analysis is available on flows to CSOs. At best, financial information is compiled for sub-regional levels (e.g. Central and Latin America). This type of list makes it possible to detect the specific programmes in support to CSOs. Yet in most cases, the funding to CSOs is part of broader (sector or governance) programmes with a variety of headings (e.g. 'social cohesion').

For purpose of inclusiveness, the evaluation team analysed the three databases, giving priority to ABAC and OLAS as they are more comprehensive than CRIS. ABAC was used for the analysis of payments made under the budget. It represents a total of 4.499.119.623 €. Where relevant, CRIS was used for the analysis of budgetary commitments and payments. It represents a total of 1.952.118.155 €. OLAS was used for commitments and payments made under the EDF. It represents a total of 798.998.850 €.

*b) Treatment of the data*

- 1) The first step has been the **selection of financial flows** which would fall within the scope of the evaluation. This was not necessary for OLAS, as the EDF falls entirely within the scope of the evaluation. For ABAC this meant that relevant budget lines were selected according to the ToRs. The list was complemented by EC staff (see list in Annex I).
- 2) The second step consisted in **identifying recipients which had to be considered as CSOs**. The evaluation team received extractions from the EC from the three databases, all containing a list of recipients.
  - Four different extractions were received for ABAC, amounting to more than 8,005 entries. "Bank account names" were sorted first with filters that had to be elaborated, and then manually (including a revision of the results obtained with the filters). Details of the process are furnished in annex V.
  - One extraction was received for OLAS, amounting to 49,324 entries. The list of all operators that could be found in OLAS was sorted first via existing categories; secondly with filters that had to be elaborated, and finally manually (including a revision of the results obtained with the filters). Details of the process are furnished in annex V.
  - One extraction from CRIS was received, amounting to 34,367 entries. This list was first sorted via the categorizing function offered by CRIS. Then, remaining entries were sorted with filters that had to be elaborated; and finally manually (including a revision of the results obtained with the filters). Details of the process are furnished in annex V.
- 3) The third step was the reception of **extractions of all available and relevant data** (recipient country, sector codes, etc.) from ABAC and OLAS, concerning CSOs that had been identified. The extraction received from CRIS already contained this information, so that a second extraction was not necessary.

- 4) The fourth step consisted in a **“revision” of the extractions** received according to the ToRs. This entailed the exclusion of all financial flows which fell under the mandates of DG ENLARG and ECHO and aid to be used in EU Member States, OECD countries, as well as Israel. Details of the operation are presented in annex II.
- 5) The fifth step consisted in **producing tables** that would serve to produce the final charts. For that exercise, several choices were made:
  - countries were reorganised as different spellings of the same country name were mentioned several times (for example, North Korea and Korea, Dem. Rep. were merged. Unallocated or unspecified geographic allocations were also merged. La Reunion was merged with France). This exercise had to be done three times as each database is different<sup>25</sup>;
  - correspondence of the country codes as encoded in the OLAS extraction had to be found with full names (for example ACP ANG corresponds to Angola);
  - countries were grouped under the region they belong to according to EC legal bases<sup>26</sup>;
  - nationalities of the CSOs were sorted between two categories: Northern CSOs, Southern CSOs (see details and list in annex III);
  - budget lines on the basis of which the ABAC extraction was made were sorted into two categories: Geographic instruments and Thematic instruments. (see details and list in annex IV);
  - sector codes which were not OECD DAC sector codes were allocated to an official OECD DAC sector according to what seemed the most logical solution (see list in annex VII).
- 6) The sixth step was the **production of the final charts**, in order to answer as many questions as possible.
- 7) In order to provide a comprehensive statistical analysis, figures from various databases were **cross-checked with information** gathered at the level of geographic units and with information from EC annual reports. A list of the documents and of the people met is presented in annex VI.

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<sup>25</sup> For example, CA will mean Central African Republic in a database but Canada in another one. Besides, lists of countries and regions are different in the three databases. Further, it was sometimes a tricky exercise to analyse figures for “Palest. Admin. Areas” (as can be found in ABAC) and “West Bank and Gaza Strip” and “Occupied territories\_Palestine” (as can be found in CRIS).

<sup>26</sup> Mongolia was categorised under TACIS for the period 2000-2002 and under ALA-ASIA for the period 2003-2006. Despite the fact that no information on South Africa could be found in OLAS, figures concerning the country (coming from either ABAC or CRIS) have been categorised under the ACP group.

### Box 3. Next steps of the mapping

Considering the limitations of the current mapping exercise, the evaluation team proposes to carry out some complementary work during the next phases (so as to facilitate triangulation of data):

- The evaluation team will employ the desk phase and field visits to search for missing elements pertaining to the main questions of the mapping;
- Field visits will provide an opportunity to collect additional data, which were not available in EC databases but which could be retrieved at the level of delegations;
- It is also proposed to carry out a more refined analysis of some thematic instruments and budget lines as proposed during the desk phase. Possible options<sup>27</sup> include the
  - > “European Initiative for Democracy and Human Rights (EIDHR);
  - > the Rapid Reaction Mechanism,
  - > the Institution Building Partnership Programme under TACIS
  - > the specific instruments for private sector development targeting the private sector and business associations

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<sup>27</sup> These are proposed because there tends to be quite some documentation on how the funds involved have been used. They may allow to shed light on specific questions (e.g. the use of EIDHR in “difficult partnerships”), regions (TACIS) or CSO actors (e.g. business associations).

### 1.3. Summary of the main conclusions

Despite major limitations of the data on which this statistical analysis is based, it is possible to derive broad indications and trends with regard to the use of civil society as an aid delivery channel. Below, these key findings are presented. A more detailed analysis of data collected with regard to the various strategic questions posed for the mapping, can be found in section 2.

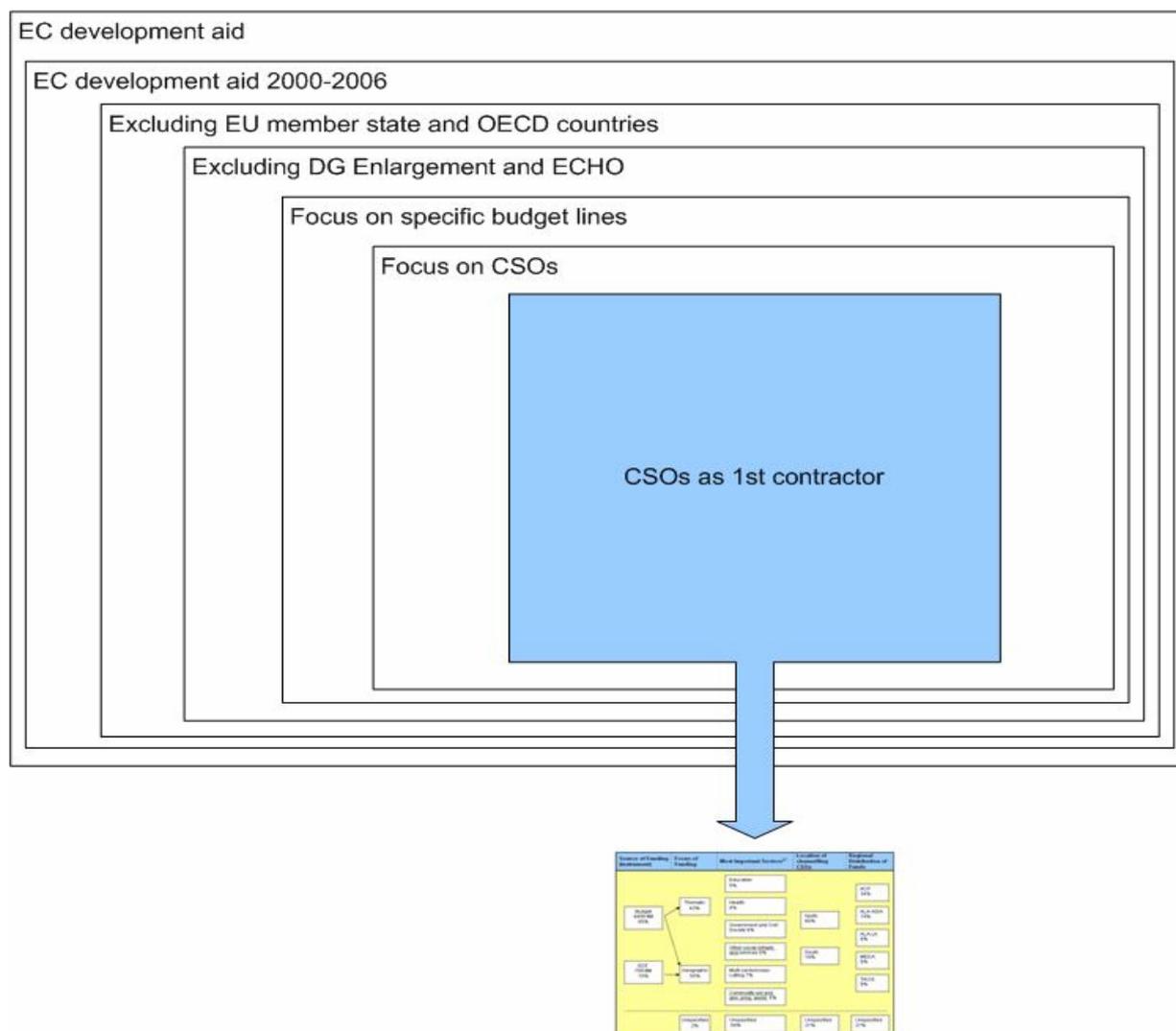
#### **Key findings**

- **Overall volume involved.** Over the 7 years under consideration, the total amount channelled through CSOs amounts to 5.3 billion €, and a clear increase of CSO channelling can be observed, rising from 651 M€ in 2000, to 900 M€ in 2006. This corresponds to an overall increase of 38%. Most of the funds are channelled through the Budget (85%), although a clear increase in funds channelled through the EDF (15%) has also been observed.
- **Geographic distribution.** In terms of the geographic distribution of funds, the ACP region ranks first with 34% over the whole period, followed by ALA-ASIA (19%), MEDA and TACIS (9%) and ALA-LA (8%), excluding unspecified amounts (21%). Furthermore, the amounts distributed to the ACP region multiplied by 3.7 times over the whole period, but the single largest increase in allocations occurred in the TACIS region, where the funds allocated in 2006 equalled approximately 17 times those of 2000. However, this result could be explained by the use of different databases to produce the figure.
- **Conflict zones.** Many of the countries that received the greatest allocation of funds per region were countries that are or were going through an armed conflict (for example: Afghanistan for ALA-Asia, DRC, Ethiopia & Sudan for ACP), indicating that funds channelled through CSOs might play a significant role in terms of aid to conflict or post-conflict areas.
- **Source.** Over the entire period, 55% of all payments made through CSOs came through geographic instruments, in comparison to 43% for thematic instruments (2% were unspecified). There is a trend towards the increasing use of geographic instruments for CSO channelling, while the amounts allocated through thematic instruments remain almost constant. In 2006 geographic instruments represent approximately two thirds (64%) of total aid.
- **CSOs from the North and the South.** All in all, 76% of total specified payments have been channelled through Northern CSOs and 24% through Southern NGOs. The analysis of the evolution suggests a relative decrease in the proportion of aid channelled through Northern CSOs in comparison to a slight increase of the Southern CSOs over the period.
- **Sectoral distribution.** There are six sectors that major proportions of aid have been allocated to over the period at stake, namely Education, Health, Government and Civil Society, Multi-sector/cross-cutting Issues, Commodity Aid and General Programme Assistance, as well as Other Social Infrastructure and Services. These 6 sectors in sum, amount to 68% of total specified payments (excluding 'unspecified' amounts).

## 2. PRESENTATION OF THE RESULTS

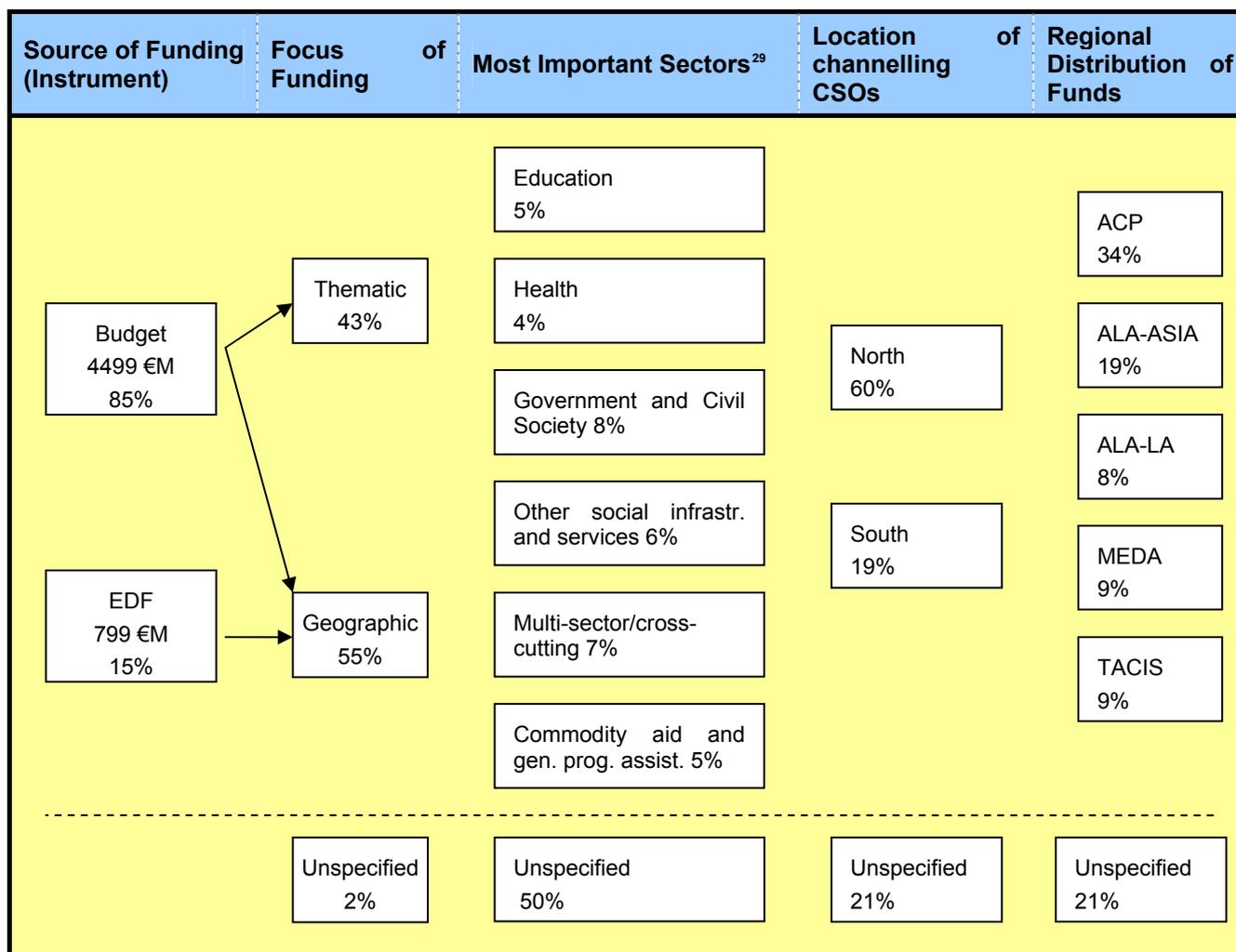
### 2.1. Overview of the funds transferred

**Diagram 1** – Overview of the data taken into consideration based on inclusion and exclusion criteria, as explained in the introduction and methodology above.



This diagram presents the various steps used to assess the relevant amount of aid that has been directly channelled by CSOs. The proportions of the boxes in Diagram 1 are not representative of the amounts which were found in EC databases.

**Diagram 2** – Overview of the funds (payments) transferred by origin, sector activities, nationality of the recipients and geographical destination (paid amounts in %).<sup>28</sup>



<sup>28</sup> This table provides an overview of the results presented below, and is thus based on the same sources as the graphs which follow, with data stemming from ABAC (2000-2006), CRIS (2000-2002) and OLAS (2003-2006).

<sup>29</sup> Note: for this table, all DAC sectors for which cumulative payments exceeded 200 €M were taken into account.

## 2.2. Typology of EC aid delivered through CSOs for the period 2000-2006

### 2.2.1. Overall distribution over the period

**Figure 1** shows the evolution of payments made to CSOs during the period 2000-2006.

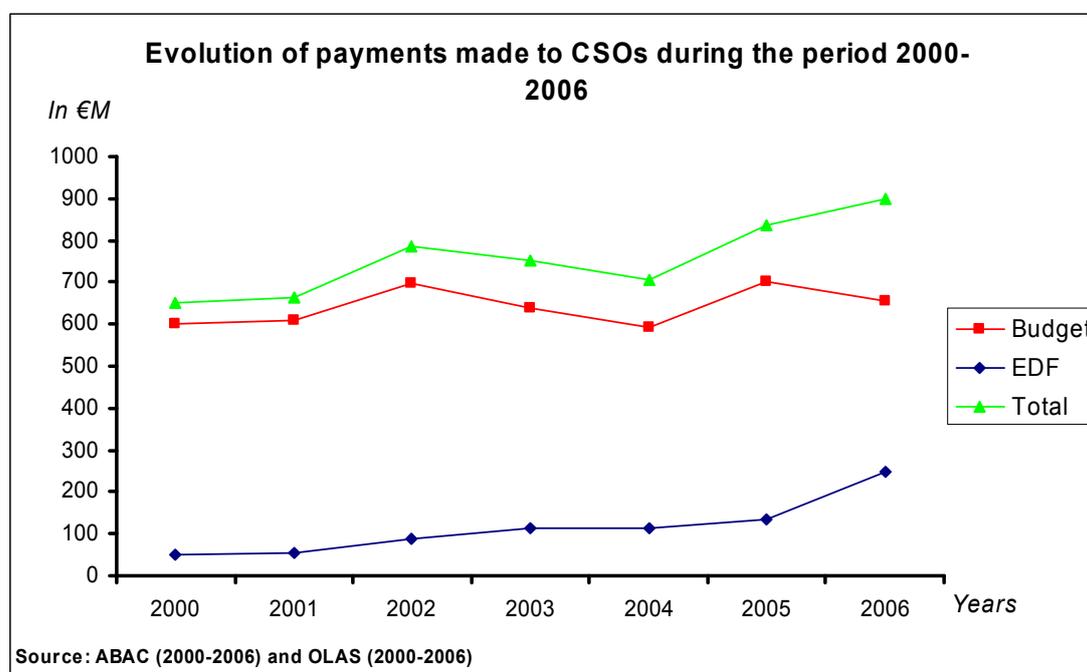


Figure 1 Evolution of payments made to CSOs during the period 2000-2006

Over the 7 years under consideration, the total amount channelled through CSOs amounts to 5.3 billion €. There is a clear increase of CSO channelling over the period starting in the year 2000, rising from 651 M€ to 900 M€ in 2006. This corresponds to an overall increase of 38 %. Most of the funds are channelled through the Budget, although a clear increase in funds channelled through the EDF has also been observed. In relation to EDF financial support, funds directed through CSOs increased from 8% in 2000 to 16% in 2005 and soared even to 27% in 2006<sup>30</sup>. Over the period under consideration, 15% of aid channelled through CSOs has been financed through EDF, while 85% were channelled through the Budget. A small increase in the amount channelled through the Budget can be observed.

**Figure 2** shows the evolution of commitments and payments made from the Budget to CSOs compared to total volume of EC aid excluding aid channelled through CSOs during the period 2000-2006. These figures are based exclusively on CRIS, as no similar data could be obtained for ABAC. The total amounts channelled are therefore lower than those mentioned in *Figure 1* (see limitations). However, this figure provides an idea about the relation between commitments and payments as well as about the amounts specifically channelled through CSOs compared to the amounts excluding what is channelled through CSOs.

<sup>30</sup> It will be interesting to see if the high increase in 2006 will be maintained in the next years.

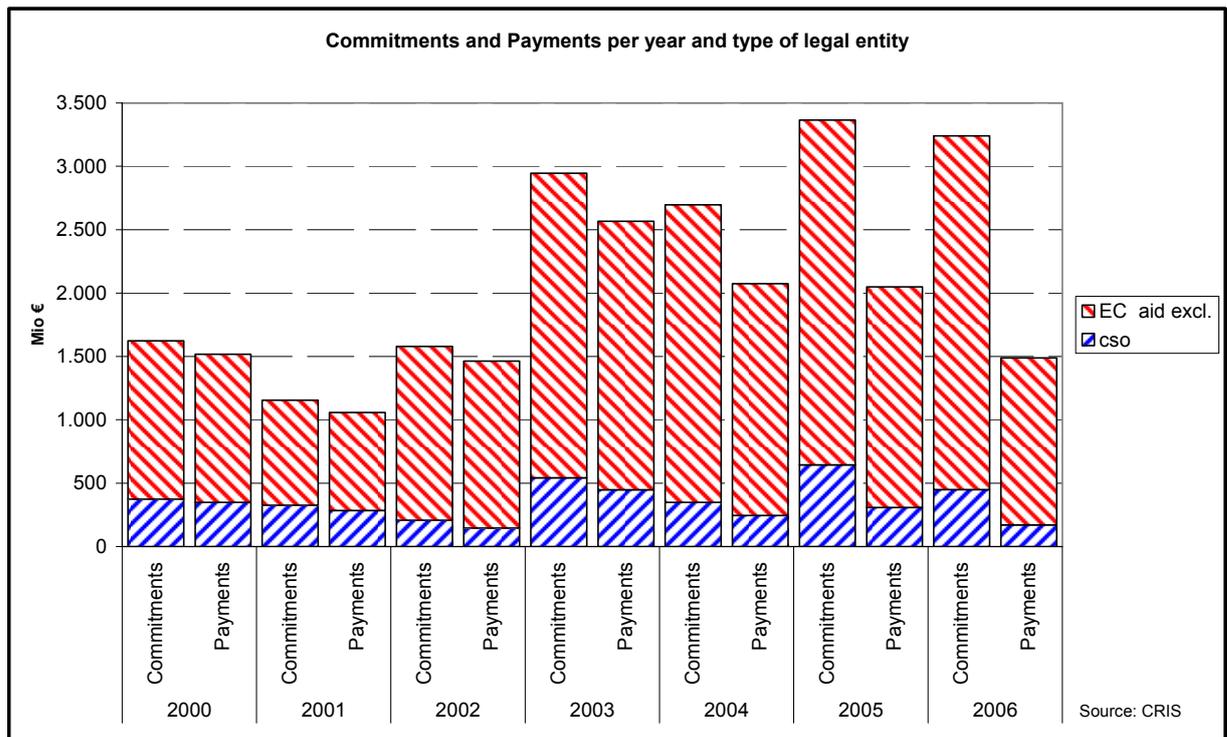


Figure 2 Evolution of commitments and payments made from the budget to CSOs during the period 2000-2006

In figure 2, “EC aid excl.” means EC aid excluding the aid channelled through CSOs for all selected budget lines.<sup>31</sup>

Over the 7 years at stake, the total amount committed to CSOs has reached 2.9 billion out of a total of 16.7 billion. Total payments amounted up to 2 billion for CSOs out of a total of 12.3 billion. Overall, 16% of total commitments and payments have therefore been channelled through CSOs over the entire period.

Figure 2 also shows that there is a clear increase of commitments over the period, particularly since 2002. The commitments to CSOs have increased by 20% over the period. The commitments to EC aid excl. have increased by 100% over the same period.

Data reveals that both categories (CSOs and Total EC aid excl.) performed equally in disbursing aid over the 6 year period (93% of commitments made in 2000 have been disbursed), but this is no longer the case for more recent commitments. The lower ratios of disbursements in recent years can be explained due to the fact that it takes time to make all payments from existing commitments. These overall figures may provide an idea on the delay between the moment commitments are made and the moment when related payments can be made.

<sup>31</sup> Note: The list of budget lines under consideration is presented in Annex I.

### 2.2.2. Distribution according to region

Figure 3 presents the geographical allocation of payments made to CSOs during the period 2000-2006.

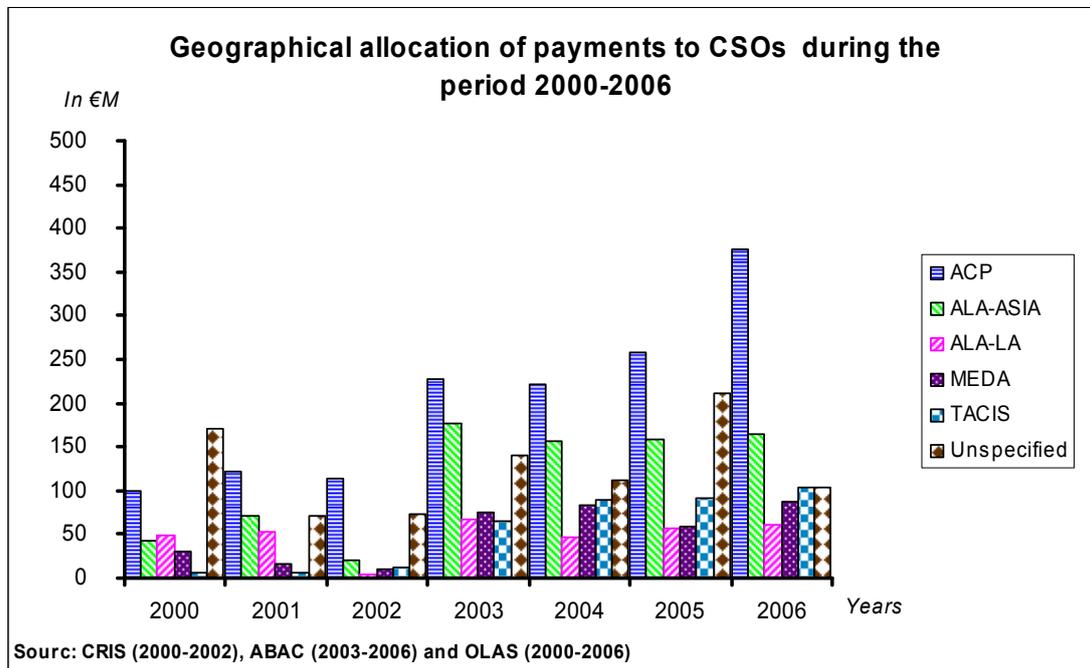


Figure 3 Geographical allocation of payments made to CSOs during the period 2000-2006

The amount of payments that couldn't be allocated to a specific region is decreasing over the period, but remains important and varies quite dramatically from year to year. The share of non-allocated payment varies from 12% in 2006 to 43% in 2000, with an average of 21% per year over the entire period. Considering this inconsistency in attributing payments to specific geographic regions or countries, many of the following figures should be interpreted with cautiousness.

Among all regions for which payments could be specifically attributed to, the ACP region ranks first with 43% over the whole period, followed by ALA-ASIA (24%), MEDA and TACIS (11%) and ALA-LA (10%).

The proportion of yearly payments allocated to one region varies quite dramatically from year to year. It ranges from 35% in 2003, to 71% in 2002 for ACP; from 13% in 2002, to 34% in 2005 for ALA-ASIA; from 6% in 2001 to 14% in 2004 for MEDA; from 2% in 2002 to 20% in 2005 for TACIS; and from 3% in 2002 to 21% in 2000 for ALA-LA.

Figure 4 shows the proportion of payments made to CSOs in various regions for the period 2000-2006

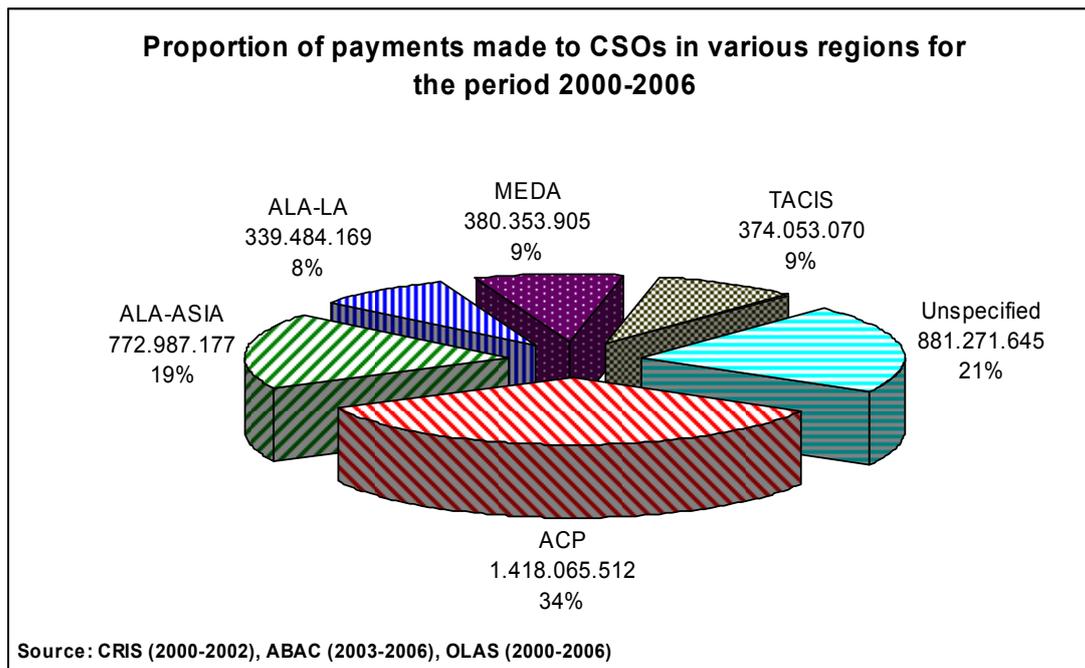


Figure 4 Proportion of payments made to CSOs in various regions for the period 2000-2006

**Figure 4** clearly shows that the ACP group is the main beneficiary of EC aid channelled through CSOs, with 34% of the total amount received (both from the budget and from the EDF). This trend is in line with the EU focus on Africa. Asia is ranked second, with 19% of the aid received, whereas Latin America is the smallest recipient (8%) just after the MEDA and TACIS regions (9% each). The percentage of unspecified aid is however very important (21%) so that proportions may look different. The table below shows the distribution of CSO-channelled payments per capita for the period 2000-2006. The highest funds per capita are accounted for MEDA, while ALA-ASIA has a proportionally much smaller per capita share, due to its vast population size.

REGION	TOTAL	INHABITANTS (in million)	PER CAPITA
ACP	1.418.065.512	807,20	1,756772258
ALA-ASIA	772.987.177	3451,18	0,223977589
ALA-LA	339.484.169	407,60	0,832885596
MEDA	380.353.905	203,30	1,870899683
TACIS	374.053.070	278,20	1,34454734
Unspecified	881.271.645		
<b>ALL</b>	<b>4.166.215.478</b>	<b>5147,48</b>	<b>0,809389283</b>

## MEDA

**Figure 5** shows the evolution of payments made from the budget to CSOs in the MEDA region during the period 2000-2006.

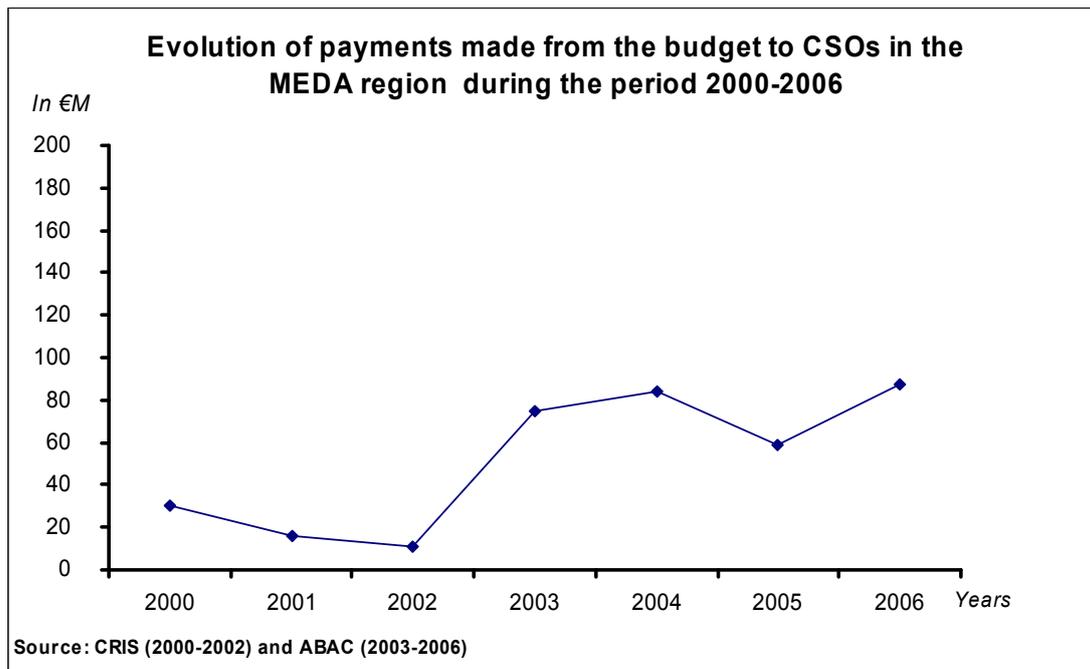


Figure 5 Evolution of payments made from the budget to CSOs in the MEDA region during the period 2000-2006

The amounts that have been channelled through CSOs have increased between 2000 and 2006 although total amounts remain relatively low.

### ALA-ASIA

Figure 6 shows the evolution of payments made from the budget to CSOs in the ALA-Asia region during the period 2000-2006.

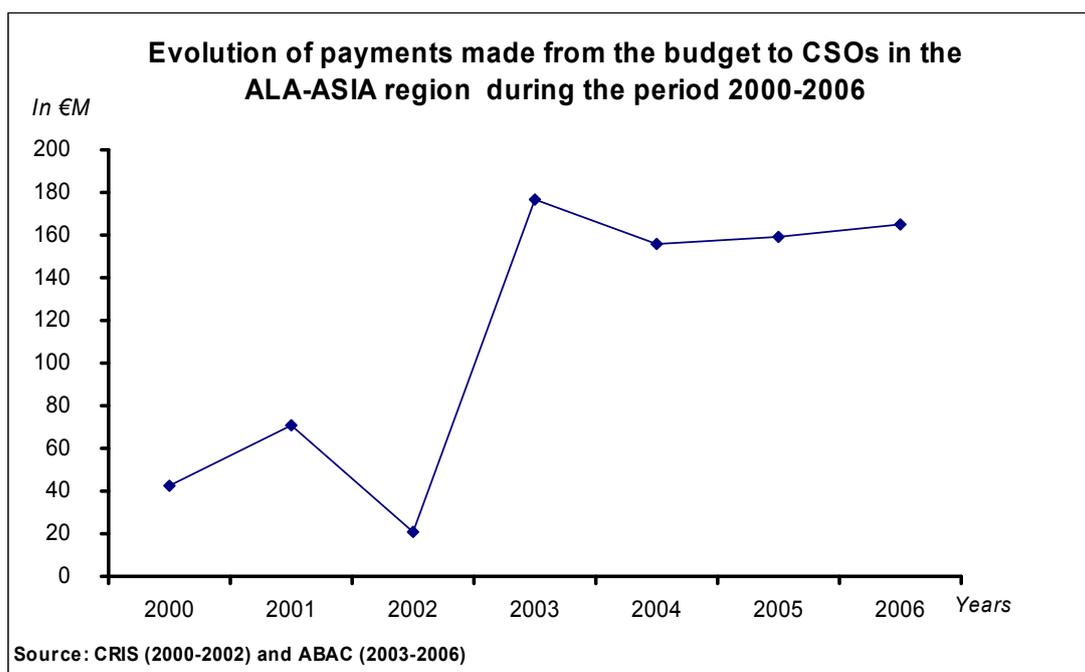
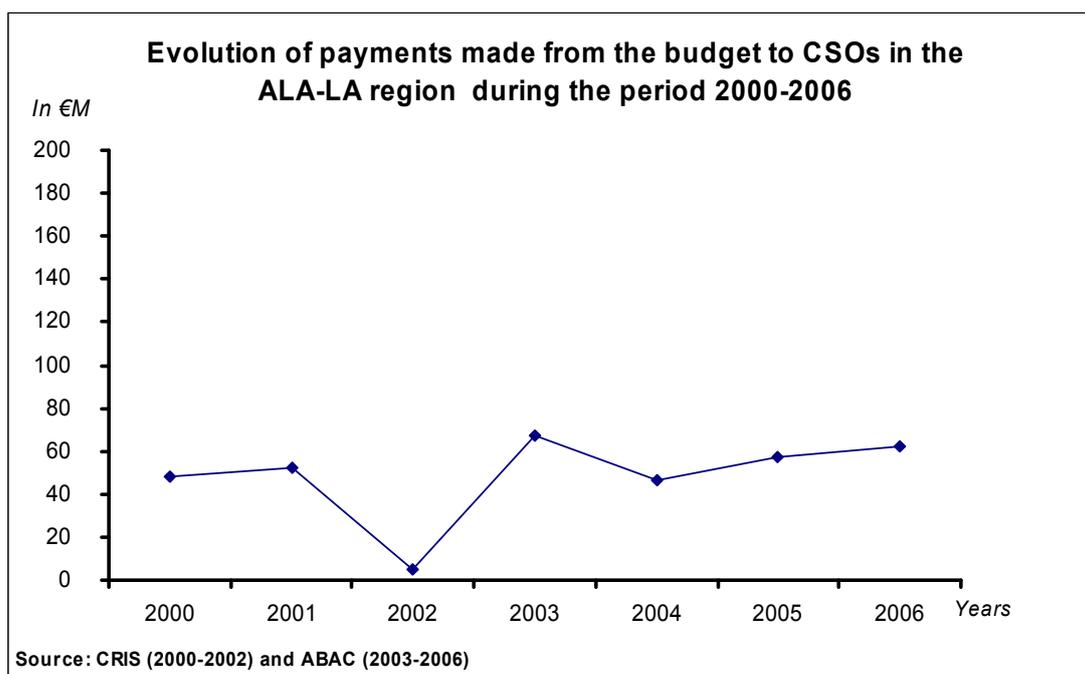


Figure 6 Evolution of payments made from the budget to CSOs in the ALA-Asia region during the period 2000-2006

There is an important increase of payments over the period. The difference that can be noticed between the periods before and after 2003 should however be cautiously looked at (see limitations). The amounts channelled in the last 4 years remain consistently high.

## LATIN AMERICA

Figure 7 shows the evolution of payments made from the budget to CSOs in the ALA-Latin America region during the period 2000-2006.



*Figure 7 Evolution of payments made from the budget to CSOs in the ALA-Latin America region during the period 2000-2006*

All in all, amounts channelled to ALA-LA are relatively low. Except for the year 2002, they remain relatively constant over the whole period. As the overall amount channelled through CSOs to all regions increased up to 38% over the period, it means that the relative importance of this region has strongly decreased.

## TACIS

**Figure 8** presents the evolution of payments made from the budget to CSOs in the TACIS region during the period 2000-2006.

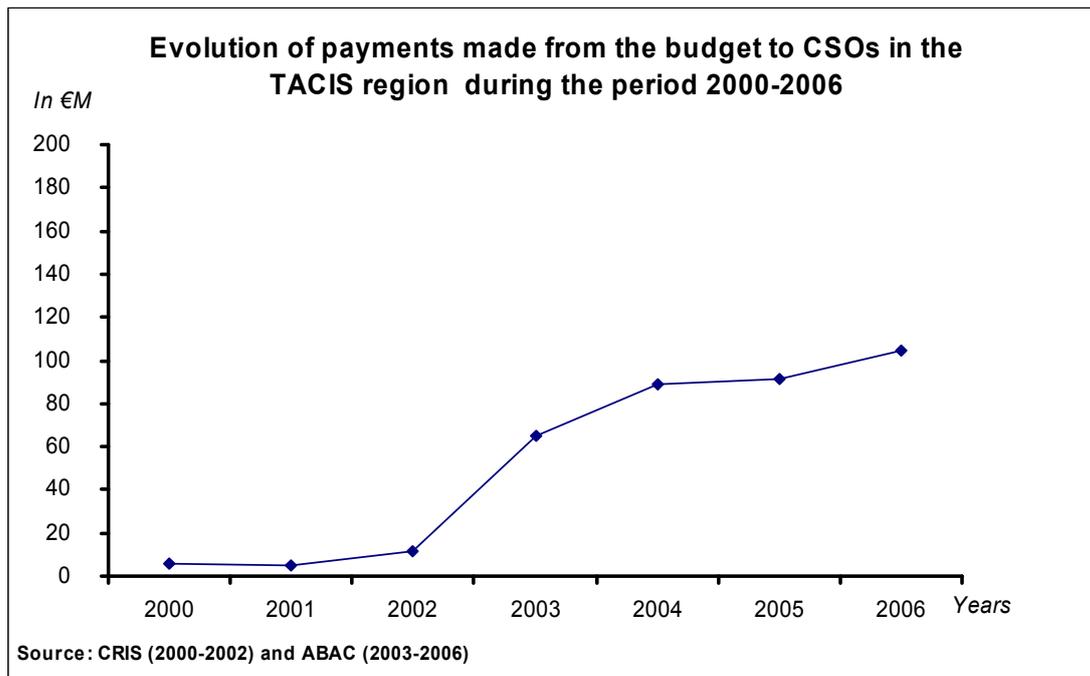


Figure 8 Evolution of payments made from the budget to CSOs in the TACIS region during the period 2000-2006

TACIS presents the most significant evolution of funds channelled through CSOs. The amount of payments in 2006 represents 17 times the total amount of 2000. This result could however be explained by the use of different databases to produce the figure.

### ACP

Figure 9 shows the evolution of payments made to CSOs in the ACP region during the period 2000-2006. It aggregates data from ABAC, CRIS and OLAS.

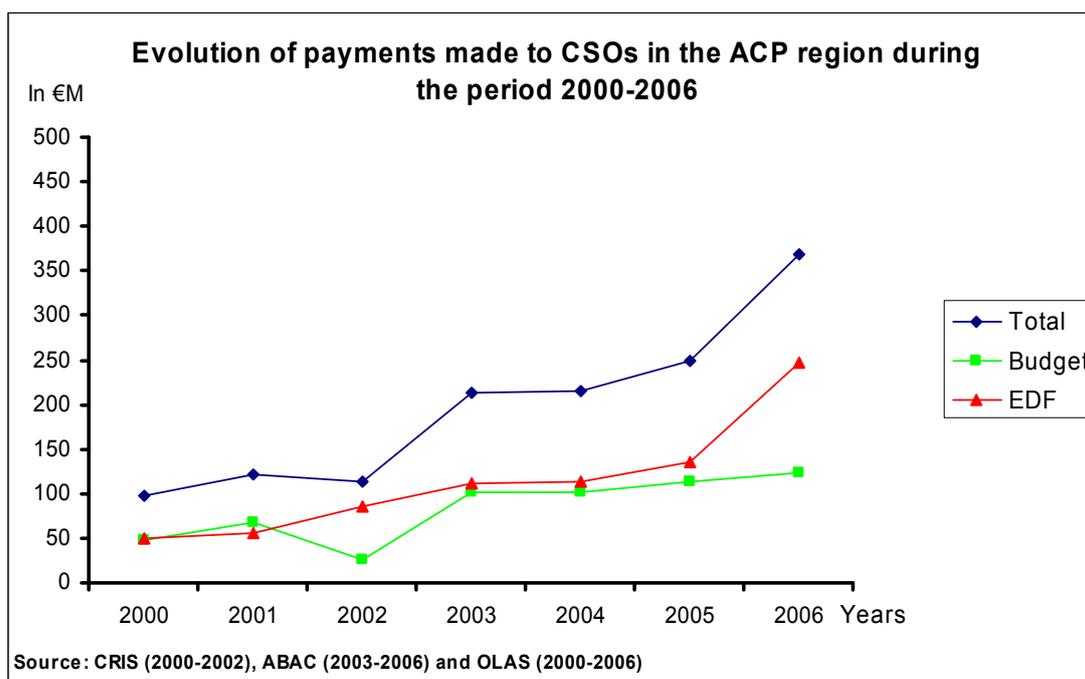


Figure 9 Evolution of payments made to CSOs in the ACP region during the period 2000-2006

The figure shows an important overall increase of payments to CSOs over the period, despite a small decrease in 2002. The amount channelled by CSO has multiplied by 3.7 times between 2000 and 2006. This increase is especially due to the increase of funds channelled through EDF which have been multiplied by 5 over the period. The proportion of EDF-specific funds in relation to the total amount channelled to ACP varies from 45% in 2001 to 76% in 2002. Two thirds of total aid allocated was channelled through the EDF in 2006, and this trend seems to be increasing. It would be interesting to observe if this trend continues throughout 2007.

### 2.2.3. Distribution according to countries by region

#### MEDA

Figure 10 illustrates the aid channelled by CSOs in MEDA countries during the period 2000-2006.

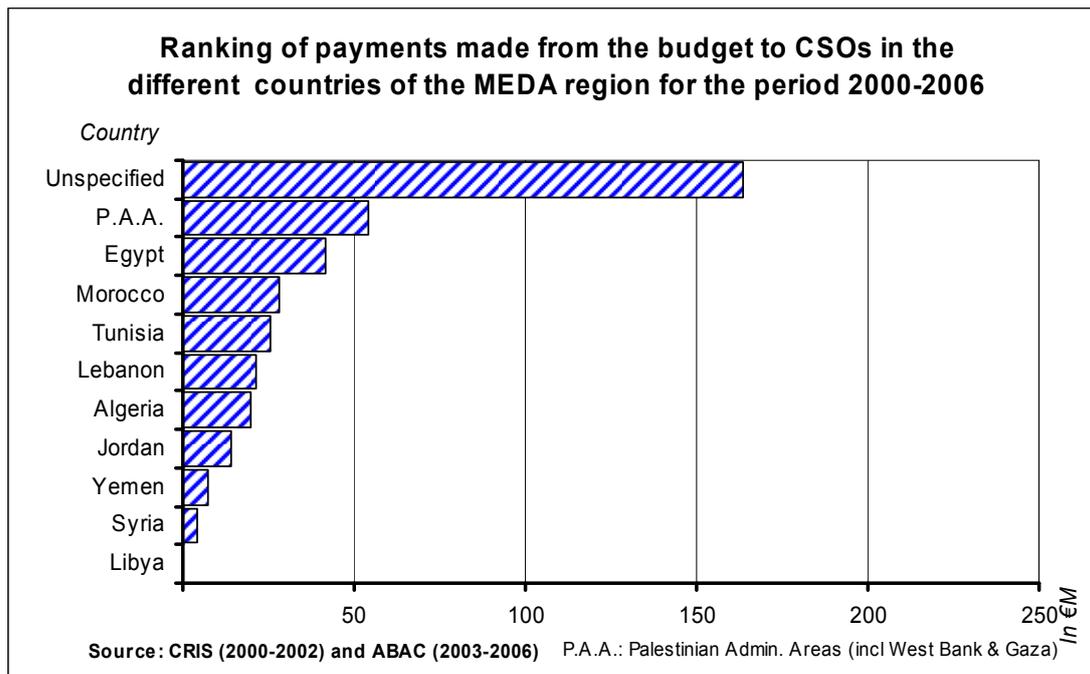
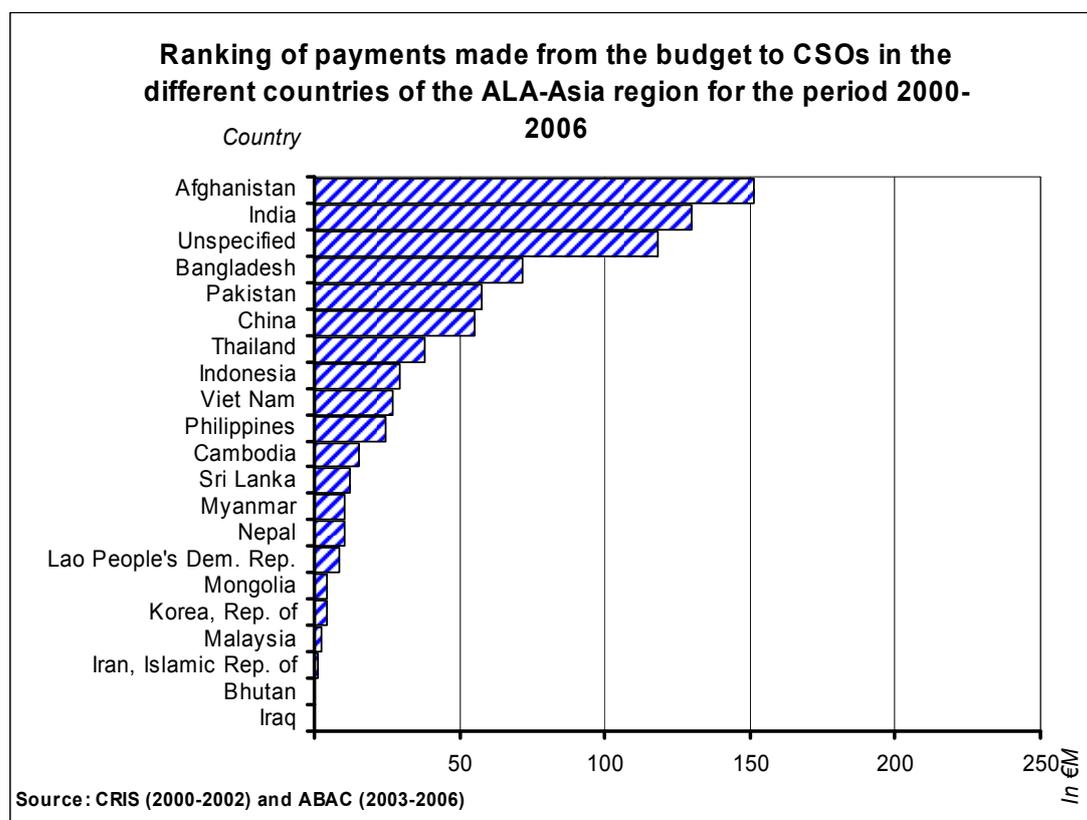


Figure 10 Aid channelled by CSOs in MEDA countries during the period 2000-2006

31% of total aid could not be allocated to a specific country. Two countries, namely the Palestinian Administrative Areas and Egypt, received almost half of the total amount of aid that could be allocated to specific countries in the region.

## ASIA

**Figure 11.** Aid channelled by CSOs in ALA-ASIA countries during the period 2000-2006



*Figure 11 Aid channelled by CSOs in ALA-ASIA countries during the period 2000-2006*

11% of total amount could not be allocated to a specific country. If we only consider the payments that could be allocated to a specific country, Afghanistan obtained 23% of the aid channelled, followed by India (19%) and China, Thailand, Bangladesh and Pakistan (9% each). The amounts specifically attributed to these countries together represent  $\frac{3}{4}$  of the aid allocated to the whole region.

## LATIN AMERICA

Figure 12 shows the aid channelled by CSOs in ALA-LA countries during the period 2000-2006.

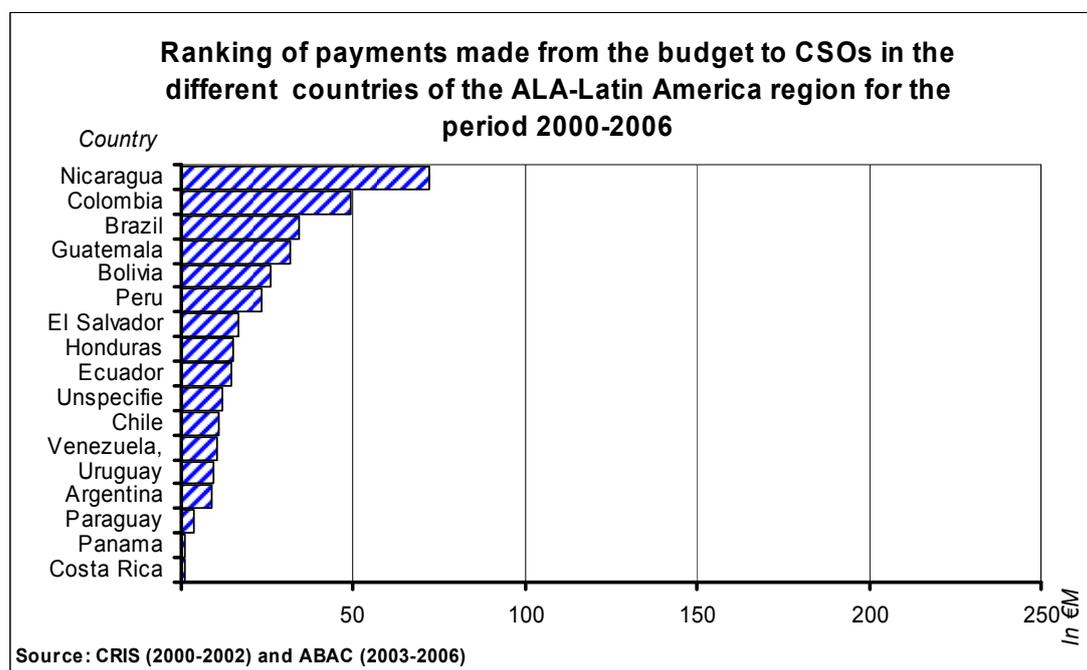
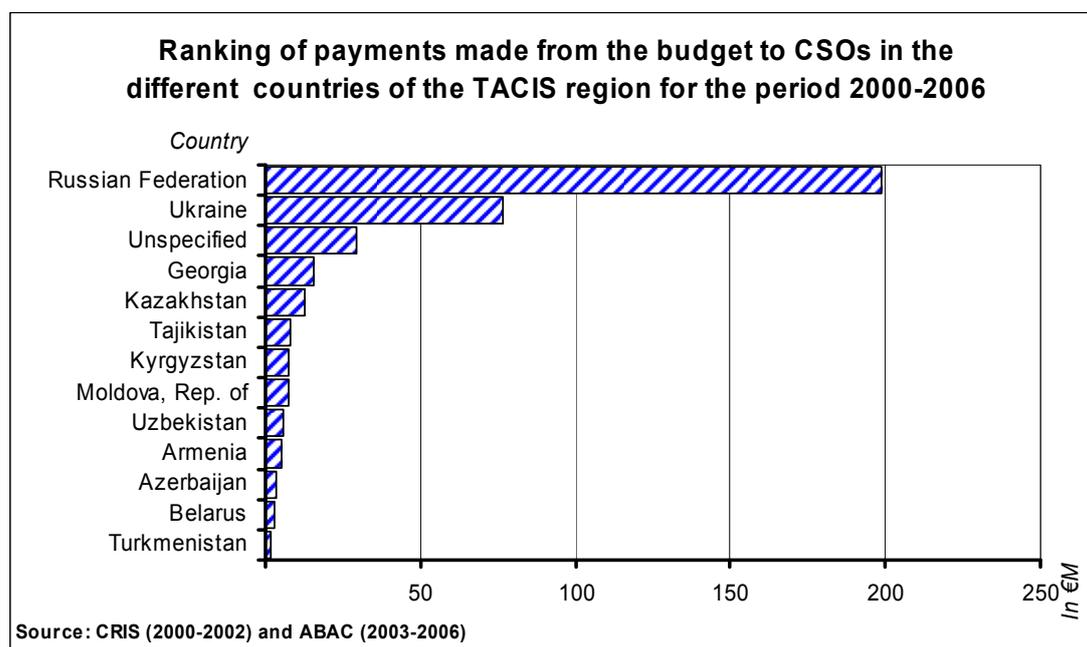


Figure 12 Aid channelled by CSOs in ALA-LA countries during the period 2000-2006

Only 2% of the aid could not be allocated to a specific country. Nicaragua, Colombia and Brazil are the three most important beneficiaries (receiving respectively 23%, 18% and 11% of the total aid that could be allocated to specific countries). The ten countries receiving smaller amounts of aid, together obtained under 25% of the total aid to ALA-Latin America.

## TACIS

**Figure 13** shows the aid channelled by CSOs in TACIS countries during the period 2000-2006.



*Figure 13 Aid channelled by CSOs in TACIS countries during the period 2000-2006*

Unspecified aid represents 6% of total aid allocated. Russia is by far the most important beneficiary of aid with almost 50% of received specified aid. Ukraine also acquired an important share (25%). The funds that went to these two countries together, amount up to  $\frac{3}{4}$  of the total aid to TACIS.

## ACP

**Figure 14** shows the aid channelled by CSOs in ACP countries during the period 2000-2006.

18% of the aid allocated to the ACP region could not be attributed to a specific recipient country. And out of the total amount allocated to the ACP region, 2.5% were attributed to ACP sub-regions rather than countries (i.e. Eastern & Southern African Region and Indian Ocean (9th EDF), Indian Ocean Region, Central African Region, Eastern African Region, Western African Region, Southern African Region, Caribbean Region, Pacific Region). 12% of the specified aid that was not allocated to a sub-region, was channelled to the Democratic Republic of Congo, followed by Ethiopia (10%), Sudan (8%), Angola (7%), the Republic of South Africa (5%) and Somalia (5%). It is interesting to note that most of the top ten countries are countries which have faced or are facing armed conflicts. This could be an illustration of the role that CSOs can play by delivering aid in cases of conflict, or post-conflict rehabilitation.

### Ranking of payments made to CSOs in the different countries of the ACP region for the period 2000-2006

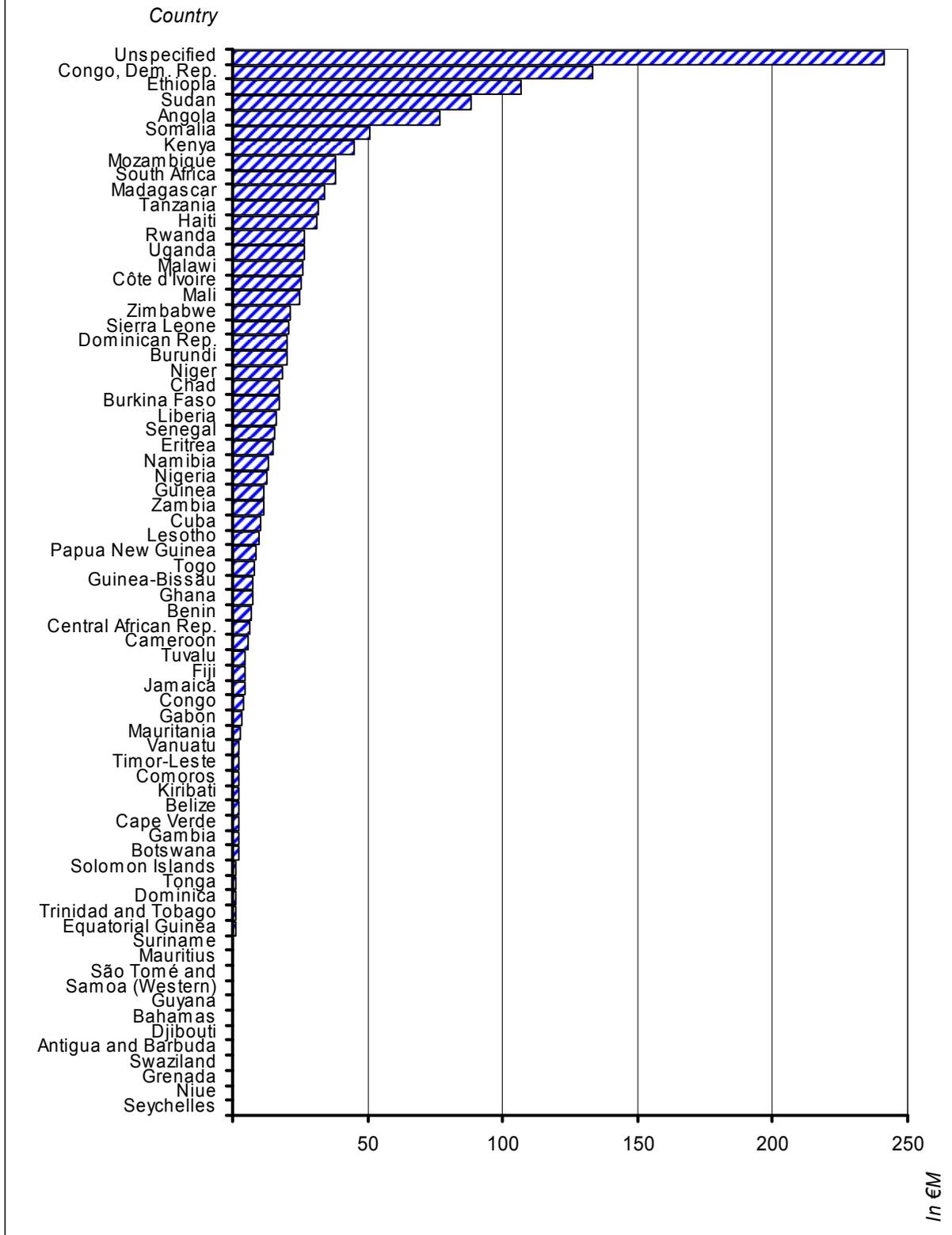


Figure 14 Aid channelled by CSOs in ACP countries during the period 2000-2006

**Figure 15** shows the aid (payments) channelled by CSOs in all countries during the period 2000-2006.

#	Country	Total in €	per capita in €	%
1	Russian Federation	198.996.427	1,38	7,4
2	Afghanistan <sup>32</sup>	151.338.082	6,07	5,6
3	Congo, Dem. Rep.	133.477.100	2,39	4,9
4	India	130.042.871	0,12	4,8
5	Ethiopia	106.652.182	1,41	3,9
6	Sudan	88.394.598	2,49	3,3
7	Angola	76.580.590	4,94	2,8
8	Ukraine	76.342.315	1,62	2,8
9	Nicaragua	72.160.574	13,36	2,7
10	Bangladesh	71.888.979	0,52	2,7
11	Pakistan	57.332.538	0,37	2,1
12	China	55.258.821	0,04	2,0
13	P.A.A. <sup>33</sup>	54.177.291		2,0
14	Somalia <sup>34</sup>	50.775.531	4,92	1,9
15	Colombia	49.487.203	1,10	1,8
16	Kenya	45.271.201	1,35	1,7
17	Egypt	41.664.436	0,57	1,5
18	Thailand	38.219.647	0,60	1,4
19	Mozambique	38.053.416	1,96	1,4
20	South Africa	38.006.000	0,81	1,4
21	Brazil	34.178.895	0,19	1,3
22	Madagascar	33.794.255	1,87	1,3
23	Tanzania	31.964.817	0,85	1,2
24	Guatemala	31.768.224	2,58	1,2
25	Haiti	31.259.400	3,72	1,2
26	Indonesia	29.276.398	0,13	1,1
27	Morocco	28.052.004	0,90	1,0
28	Viet Nam	26.712.362	0,32	1,0
29	Rwanda	26.638.062	2,99	1,0

#	Country	Total in €	per capita in €	%
65	Nepal	10.394.152	0,39	0,4
66	Venezuela	10.147.167	0,39	0,4
67	Lesotho	10.060.453	5,59	0,4
68	Uruguay	9.259.916	2,72	0,3
69	Lao PDR	8.864.314	1,53	0,3
70	Argentina	8.794.261	0,23	0,3
71	Papua New Guinea	8.424.282	1,45	0,3
72	Togo	8.326.587	1,39	0,3
73	Tajikistan	7.804.385	1,22	0,3
74	Kyrgyzstan	7.734.832	1,49	0,3
75	Moldova, Rep. of	7.731.447	1,84	0,3
76	Guinea-Bissau	7.675.065	5,12	0,3
77	Yemen	7.392.902	0,36	0,3
78	Ghana	7.307.453	0,34	0,3
79	Benin	7.171.676	0,87	0,3
80	Central African Rep.	6.448.729	1,61	0,2
81	Uzbekistan	5.851.269	0,22	0,2
82	Cameroon	5.622.985	0,35	0,2
83	Armenia	5.006.402	1,67	0,2
84	Tuvalu <sup>35</sup>	4.592.572		0,2
85	Mongolia	4.566.105	1,76	0,2
86	Fiji	4.468.758	5,59	0,2
87	Jamaica	4.447.244	1,71	0,2
88	Syrian Arab Rep.	4.182.302	0,22	0,2
89	Korea, Rep. of	4.096.823	0,09	0,2
90	Congo	3.788.399	0,97	0,1
91	Paraguay	3.394.597	0,57	0,1
92	Gabon	3.272.869	2,34	0,1
93	Azerbaijan	3.185.450	0,38	0,1

<sup>32</sup> no figures available on UNDP site for this country, source: <http://www.unfpa.org/profile/compare.cfm> (year 2003)

<sup>33</sup> P.A.A.: Palestinian Administrative Areas, including West Bank and Gaza; no figures available on UNDP neither UNFPA site for this country

<sup>34</sup> no figures available on UNDP site for this country, source: <http://www.unfpa.org/profile/compare.cfm> (year 2003)

<sup>35</sup> no figures available on UNDP neither UNFPA site for this country

30	Uganda	26.610.142	0,96	1,0
31	Malawi	26.020.009	2,07	1,0
32	Bolivia	26.008.160	2,89	1,0
33	Tunisia	25.430.833	2,54	0,9
34	Côte d'Ivoire	25.176.238	1,41	0,9
35	Mali	25.073.848	1,91	0,9
36	Philippines	24.506.478	0,30	0,9
37	Peru	23.554.688	0,85	0,9
38	Zimbabwe	21.610.046	1,68	0,8
39	Lebanon	21.235.922	6,07	0,8
40	Sierra Leone	20.951.454	3,95	0,8
41	Dominican Rep.	20.385.511	2,32	0,8
42	Burundi	20.069.674	2,75	0,7
43	Algeria	19.706.259	0,61	0,7
44	Niger	18.656.798	1,38	0,7
45	Chad	17.527.322	1,86	0,6
46	Burkina Faso	17.519.750	1,37	0,6
47	El Salvador	16.840.319	2,48	0,6
48	Liberia <sup>37</sup>	16.008.341	4,59	0,6
49	Georgia	15.446.768	3,43	0,6
50	Senegal	15.369.001	1,35	0,6
51	Cambodia	15.288.188	1,11	0,6
52	Eritrea	15.049.698	3,58	0,6
53	Honduras	14.954.087	2,14	0,6
54	Ecuador	14.373.873	1,11	0,5
55	Jordan	14.184.696	2,53	0,5
56	Namibia	13.061.001	6,53	0,5
57	Kazakhstan	12.605.872	0,85	0,5
58	Nigeria	12.445.663	0,10	0,5
59	Sri Lanka	12.338.636	0,60	0,5
60	Guinea	11.553.712	1,26	0,4
61	Zambia	11.279.649	0,98	0,4
62	Chile	10.789.778	0,67	0,4
63	Myanmar	10.645.628	0,21	0,4

94	Mauritania	2.812.367	0,94	0,1
95	Belarus	2.662.483	0,27	0,1
96	Malaysia	2.585.094	0,10	0,1
97	Vanuatu	2.538.285	12,69	0,1
98	Timor-Leste	2.313.861	2,57	0,1
99	Comoros	2.219.455	2,77	0,1
100	Kiribati <sup>36</sup>	2.161.131		0,1
101	Belize	2.152.402	7,17	0,1
102	Cape Verde	2.093.537	4,19	0,1
103	Gambia	2.067.843	1,38	0,1
104	Botswana	2.050.891	1,14	0,1
105	Turkmenistan	1.490.209	0,31	0,1
106	Solomon Islands	1.373.247	2,75	0,1
107	Tonga	1.186.264	11,86	0,0
108	Dominica	1.122.423	11,22	0,0
109	Trinidad and Tobago	1.090.825	0,84	0,0
110	Panama	1.016.878	0,32	0,0
111	Iran	989.251	0,01	0,0
112	Equatorial Guinea	984.622	1,97	0,0
113	Suriname	830.517	2,08	0,0
114	Costa Rica	824.166	0,19	0,0
115	Mauritius	818.376	0,68	0,0
116	São Tomé and Príncipe	743.684	3,72	0,0
117	Libya	578.098	0,10	0,0
118	Samoa (Western)	571.307	2,86	0,0
119	Guyana	549.018	0,69	0,0
120	Bahamas	222.690	0,74	0,0
121	Djibouti	157.156	0,20	0,0
122	Antigua and Barbuda	122.404	1,22	0,0
123	Swaziland	117.807	0,12	0,0
124	Grenada	98.401	0,98	0,0
125	Bhutan	88.098	0,04	0,0
126	Niue <sup>38</sup>	79.231		0,0
127	Iraq <sup>39</sup>	50.000	0,002	0,0

<sup>36</sup> no figures available on UNDP neither UNFPA site for this country

<sup>37</sup> no figures available on UNDP site for this country, source: <http://www.unfpa.org/profile/compare.cfm> (year 2003)

<sup>38</sup> no figures available on UNDP neither UNFPA site for this country

<sup>39</sup> no figures available on UNDP site for this country, source: <http://www.unfpa.org/profile/compare.cfm> (year 2003)

64	Cuba	10.642.957	0,95	0,4	128	Seychelles	1.275	0,01	0,0
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Figure 15 Aid (payments) channelled by CSOs in all countries during the period 2000-2006<sup>40</sup>

In the above table (Figure 15), countries are ranked according to the amounts of payments in a decreasing order. Of the total amount allocated to CSOs between the years 2000-2006, 17% was not attributed to any specific country. But in terms of the specified amounts, Russia was the first beneficiary country (7%), followed by Afghanistan (6%), Congo, Dem. Rep. (5%), India (5%), and Ethiopia (4%).

The 'top 10' of the ranking are composed of two TACIS countries, three Asian countries, one Latin American country and four countries from the ACP region. To some extent, this could be justified by the relatively large size and population of the majority of these countries. Just as for the ACP region in particular, it is interesting to note that many of the top ten beneficiary countries have faced or are facing armed conflicts. This could indicate the role that CSOs can play in delivering aid in cases of conflict or post-conflict rehabilitation, particularly in the ACP region.

#### 2.2.4. Distribution according to type of financial instrument

Figures 16 and 17 present the evolution of commitments and payments for the various types of instruments over the period (see Annex IV for details).

Over the entire period, 56% of all specified payments made through CSOs came through geographic instruments, in comparison to 44% for thematic instruments.

There is a trend towards the increasing use of geographic instruments for CSO channelling, while the amounts allocated through thematic instruments remain almost constant. In 2006 geographic instruments represent approximately two thirds (64%) of total aid.

<sup>40</sup> Source: ABAC (2000-2002), CRIS (2003-2006), OLAS (2000-2006), and <http://hdr.undp.org/> for population sizes, where not indicated otherwise in footnotes

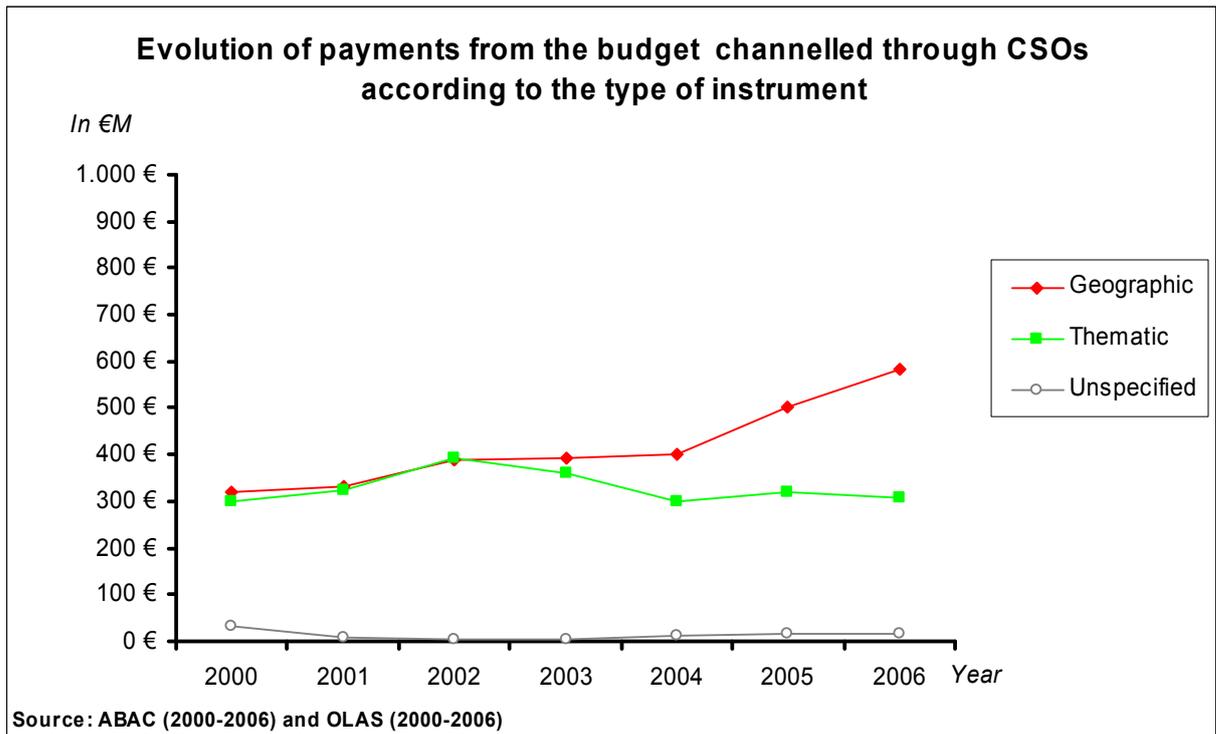


Figure 16 Evolution of payments according to the type of instruments during the period 2000-2006

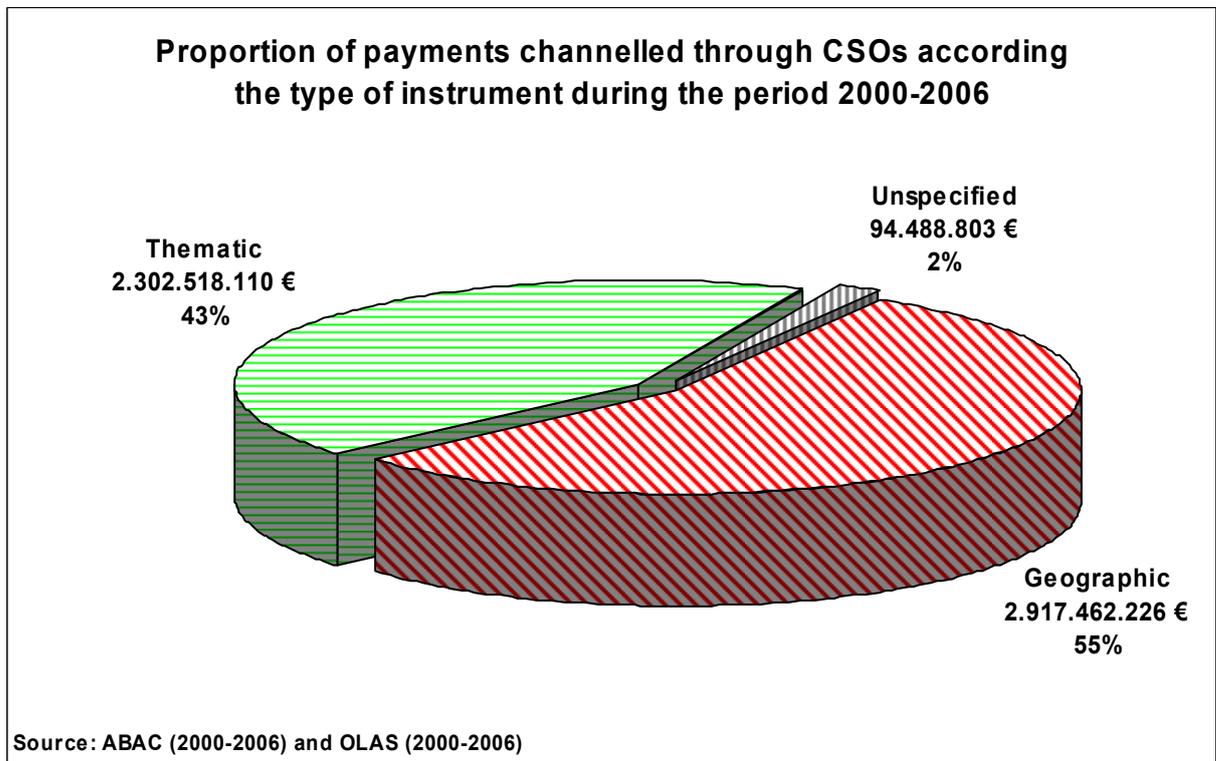


Figure 17 Distribution of payments according to the type of instruments during the period 2000-2006

### 2.2.5. Distribution according to the nationalities of CSOs

Figure 18 illustrates the proportion of payments made to Northern and Southern CSOs for the entire period from 2000-2006, while Figure 17 shows its evolution over the same period.

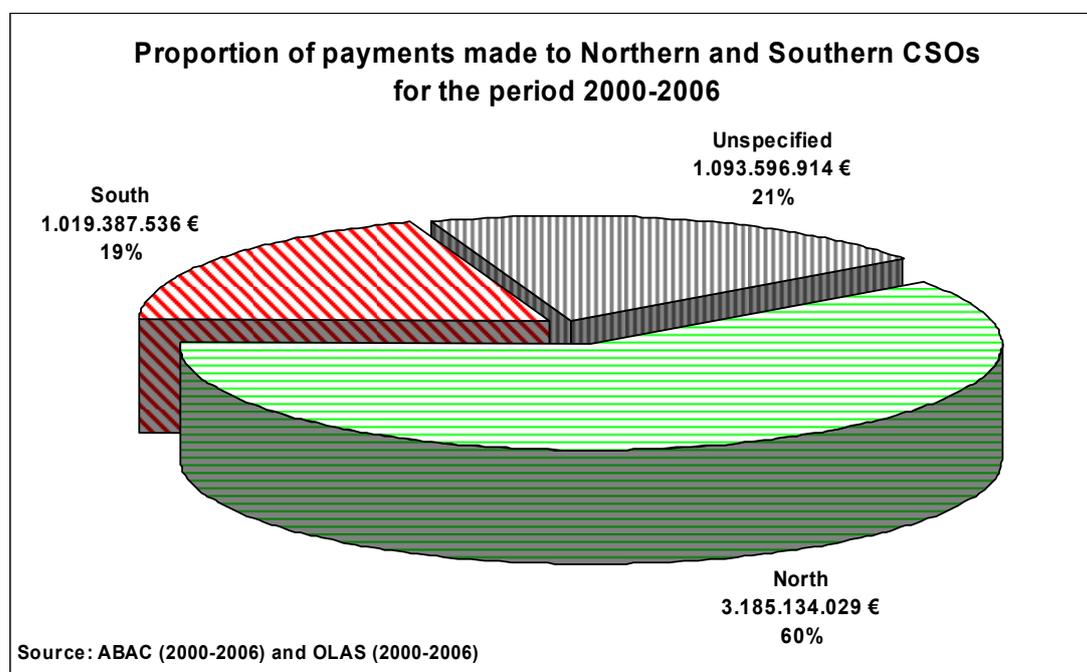


Figure 18 Proportion of payments made to the Northern and Southern CSOs during the period 2000-2006

21% of all recorded payments could not be allocated to a specific nationality (of the relevant CSO). All in all, 76% of total specified payments have been channelled through Northern CSOs and 24% through Southern NGOs.

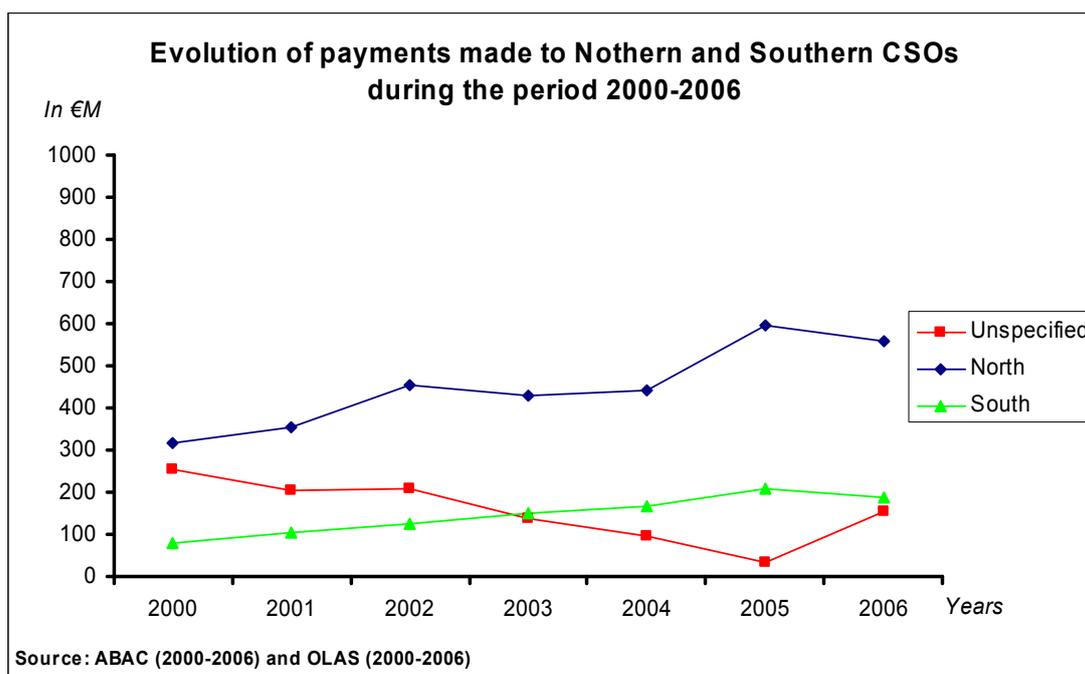


Figure 19 Evolution of payments made to the Northern and Southern CSOs during the period 2000-2006

The proportion of specified payments channelled through Northern CSOs varied from 80% in 2000 to 73% in 2004. This suggests a relative decrease in the proportion of aid channelled through Northern CSOs in comparison to a slight increase of the Southern CSOs over the period, even though generally, Southern CSOs manage much less aid than Northern CSOs.

### 2.2.6. Distribution according to sectors

The sector codes that are employed hereafter are the official DAC sector codes, which are supposed to be the leading examples for all OECD members<sup>41</sup>. DAC sector codes details are provided in annex VII. Some sectors do not appear in a number of figures because no financial flows were found for them in the relevant databases.

Figure 20 shows the total amounts of payments made to CSOs for the period 2000-2006 according to their allocation by sector. Code 998 refers to the “non-specified” sector. Approximately 50% of total payments could not be allocated to a specific sector during the period 2000-2006. The following results should therefore be considered with great caution.

<sup>41</sup> For a detailed explanation on DAC sector codes, see: [http://www.oecd.org/document/21/0,2340,en\\_2825\\_495602\\_1914325\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/21/0,2340,en_2825_495602_1914325_1_1_1_1,00.html)

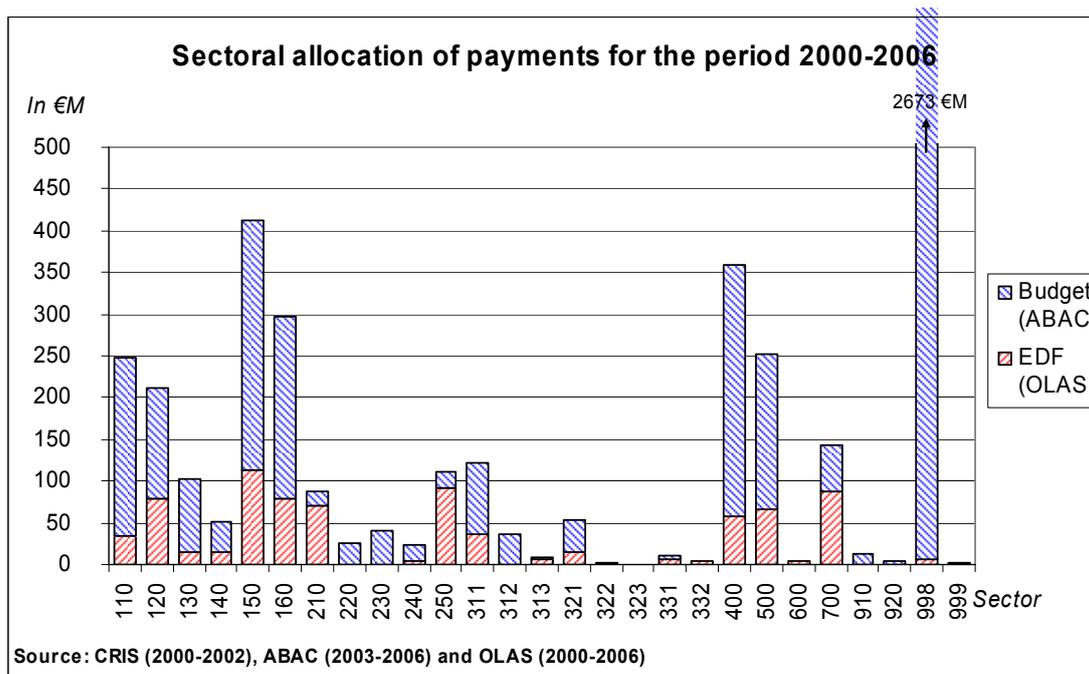


Figure 20 Total amounts of payments made to CSOs for the period 2000-2006 according to their sectoral allocation

It is not surprising that a large proportion of aid has been allocated through CSOs under DAC sector 150 (Government and Civil Society), DAC sector 400 (multisector/cross-cutting), DAC sector 500 (Commodity aid and general programme assistance; including food security) as well as in health DAC sector (120) and in the education DAC sector (110). It is more surprising to see that DAC sector 160 (Other social infrastructure and services) is ranked third. These 6 sectors in sum, amount to 68% of total specified payments (excluding sector 998).

Figure 21 illustrates the evolution of the aforementioned 6 main sectors over the period 2000-2006.

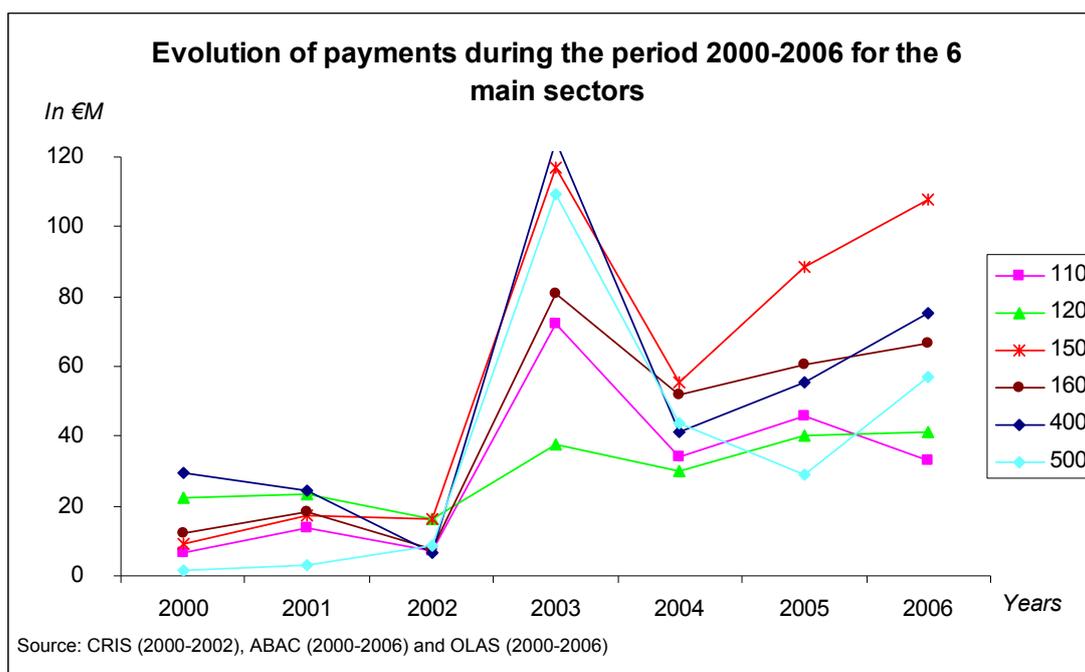


Figure 21 Evolution of payments during the period 2000-2006 for the 6 main sectors

Concerning the DAC sector Government and Civil Society (150), except for reductions in 2002 and 2004<sup>42</sup>, there is a very important increase over the period (from 8% in 2000 to 22 % in 2006). This could reflect the growing importance of CSOs in EC development policy. A similar trend – yet less evident – can be noticed for the 5 other sectors as well, even if payments made to the health (120) and education (110) sectors increase much more timidly than the former ones.

<sup>42</sup> The peak observed in 2003 is mainly due to the use of CRIS until 2002 whereas ABAC (which is a more complete database) was used from 2003 to 2006.

## ANNEXES

- Annex I: List of budget lines/instruments that were taken into account in the extraction from ABAC
- Annex II: Details of the “cleaning” operation of the extractions according to the ToRs
- Annex III: Classification of Northern and Southern Nationalities
- Annex IV: Classification of budget lines/instruments for the purpose of producing the chart on geographic, thematic and specific instruments
- Annex V: Methodology used for categorizing CSOs
- Annex VI: List of documents collected
- Annex VII: Convergence of sector codes
- Annex VIII: First statistical analysis of the budget (exclusively based on CRIS)

## ANNEX I: LIST OF BUDGET LINES/INSTRUMENTS THAT WERE TAKEN INTO ACCOUNT IN THE EXTRACTION FROM ABAC

The following list shows all budget lines/instruments that were taken into account in the ABAC extraction. The list was produced by the evaluation team according to the ToRs and then submitted to the task manager who complemented it.

Budget Line/Instrument Position		
19.020200	21.020100	B74310B00
19.020300	21.020200	B75200B00
19.020400	21.020300	B75220B00
19.020500	21.020500	B76000B00
19.021100	21.020600	B76002B00
19.040100	21.020702	B76110B00
19.040100.00	21.020703	B76120B00
19.040200	21.021300	B76200B00
19.040300	21.021500	B76201B00
19.040400	21.021700	B76210B00
19.040500	21.031700	B76211B00
19.060100	21.031800	B76212B00
19.060200	21.032000	B76220B00
19.060400	21.040100	B76230B00
19.060500	21.040200	B76240B00
19.080102	B58130B00	B76310B00
19.080201	B72000B00	B76311B00
19.080300	B72010B00	B76312B00
19.080500	B72020B00	B76314B00
19.090100	B73000B00	B76410B00
19.090200	B73010B00	B76430B00
19.090300	B73020B00	B76510B00
19.090400	B73030B00	B76610B00
19.100100	B73050B00	B76650B00
19.100200	B73100B00	B77010B00
19.100300	B73110B00	B77020B00
19.100400	B73120B00	B77021B00
19.100600	B73130B00	B77030B00
19.110100	B73200B00	B77040B00
19.110200	B74034B00	B77050B00
19.110300	B74100B00	B77060B00
	B74110B00	B77070B00
	B74200B00	

## **ANNEX II: DETAILS OF THE “REVISION” OF THE EXTRACTIONS ACCORDING TO THE TORS**

All contracts that were signed before 2000 and after 2006 were excluded as well as payments falling before or beyond that time scope.

Amongst recipient countries, all EU Member States, OECD countries and Albania, Bosnia-Herzegovina, Croatia, Serbia And Montenegro, Turkey, the former Yugoslav Republic of Macedonia, Kosovo were excluded (as under the mandate of DG ENLARG). Overseas countries and territories were excluded as well, even if part of the ACP group as they were considered as EU Member States.

All financial flows registered as being managed by DG ENLARG or by DG ECHO were also erased.

Programmes CARDS, DCI-NSAED, IPA, ISPA, OBNOVA, ONG-ED, PHARE, PHARE-A, TAFKO, SAPARD were not taken into account as they were either under the mandate of DG ENLARG (PHARE) or falling beyond 2006 (DCI-NSAED) or reserved to EU Member States (ONG-ED).

Budget lines 19.060.600 as well as Emergency food aid and Emergency/distress relief were excluded from the CRIS extraction.

### ANNEX III: CLASSIFICATION OF NORTHERN AND SOUTHERN NATIONALITIES

In order to provide an **analysis of the nationalities of the recipient CSOs**, the team had to classify them in two groups: Northern CSOs and Southern CSOs. The rationale behind this exercise has been to categorizing nationalities covered by the programmes/instruments TACIS, MEDA, ALA-Asia and ALA-Latin America and ACP as Southern CSOs. The rest was considered as Northern CSOs.

COUNTRY	CLASSIFICATION		
Unspecified	UNSPECIFIED	Fidji	SOUTH
Antigua et Barbuda	SOUTH	France	NORTH
Angola	SOUTH	Allemagne	NORTH
Autriche	NORTH	Gabon	SOUTH
Barbade	SOUTH	Ghana	SOUTH
Belgique	NORTH	Gambie	SOUTH
Belize	SOUTH	Grèce	NORTH
Bénin	SOUTH	Guyane	SOUTH
Burkina Faso	SOUTH	Guinée Bissau	SOUTH
Bahamas	SOUTH	Guinée (Conakry)	SOUTH
Botswana	SOUTH	Haïti	SOUTH
Burundi	SOUTH	Inde	SOUTH
République centrafricaine	SOUTH	Indonésie	SOUTH
Canada	NORTH	Irlande	NORTH
Tchad	SOUTH	Italie	NORTH
Sri Lanka	SOUTH	Côte d'Ivoire	SOUTH
Chili	SOUTH	Jamaïque	SOUTH
Cameroun	SOUTH	Kenya	SOUTH
Congo (Brazzaville)	SOUTH	Kiribati	SOUTH
Comores	SOUTH	Libéria	SOUTH
Costa Rica	SOUTH	Lesotho	SOUTH
Danemark	NORTH	Luxembourg	NORTH
République Dominicaine	SOUTH	Madagascar	SOUTH
Dominique	SOUTH	Malawi	SOUTH
Guinée équatoriale	SOUTH	Ile Maurice	SOUTH
El Salvador	SOUTH	Mauritanie	SOUTH
Ethiopie	SOUTH	Mexique	SOUTH
Finlande	NORTH	Mali	SOUTH
		Mozambique	SOUTH
		Namibie	SOUTH
		Pays-Bas	NORTH
		Antilles néerlandaises	SOUTH

Niger	SOUTH	Surinam	SOUTH
Niue	SOUTH	Swaziland	SOUTH
Norvège	NORTH	Suède	NORTH
Philippines	SOUTH	Suisse	NORTH
Papouasie- Nouvelle Guinée	SOUTH	Tanzanie	SOUTH
Portugal	NORTH	Tonga	SOUTH
Réunion (La)	NORTH	Togo	SOUTH
Région Afrique Occidentale	SOUTH	Trinité et Tobago	SOUTH
Rwanda	SOUTH	Tuvalu	SOUTH
Afrique du Sud	SOUTH	Ouganda	SOUTH
Sénégal	SOUTH	Royaume-Uni	NORTH
Seychelles	SOUTH	Nigeria	SOUTH
Sierra Leone	SOUTH	Etats-Unis	NORTH
Sainte-Lucie	SOUTH	Vanuatu	SOUTH
Somalie	SOUTH	Samoa américaines	NORTH
Iles Salomon	SOUTH	Zambie	SOUTH
Espagne	NORTH	Zimbabwe	SOUTH
Sao Tomé-et- Principe	SOUTH	Congo (République démocratique du)	SOUTH
Soudan	SOUTH		

## ANNEX IV: CLASSIFICATION OF BUDGET LINES/INSTRUMENTS FOR THE PURPOSE OF PRODUCING THE CHART ON GEOGRAPHIC AND THEMATIC INSTRUMENTS

In order to provide with an analysis of the evolution of geographic and thematic instruments, the evaluation team had to make a classification of all budget lines/instruments. All data from OLAS relate to the EDF, which is a geographic instrument. CRIS was not used for that chart as data from ABAC were available. Budget lines as present in the ABAC extraction were therefore relied upon and sorted accordingly. The list is presented here. T means thematic, G means geographic, U means unspecified.

Budget Line Position	Sorting				
		19.110200	U	B73200B00	G
		19.110300	U	B74034B00	U
19.020200	U	21.020100	T	B74100B00	G
19.020300	T	21.020200	T	B74110B00	G
19.020400	T	21.020300	T	B74200B00	G
19.020500	T	21.020500	T	B74310B00	G
19.021100	T	21.020600	T	B75200B00	G
19.040100	U	21.020702	T	B75220B00	G
19.040100.00	U	21.020703	T	B76000B00	T
19.040200	T	21.021300	T	B76002B00	T
19.040300	T	21.021500	U	B76110B00	U
19.040400	T	21.021700	T	B76120B00	T
19.040500	T	21.031700	U	B76200B00	T
19.060100	G	21.031800	U	B76201B00	T
19.060200	G	21.032000	T	B76210B00	T
19.060400	G	21.040100	U	B76211B00	T
19.060500	G	21.040200	U	B76212B00	T
19.080102	G	B58130B00	T	B76220B00	T
19.080201	G	B72000B00	T	B76230B00	T
19.080300	G	B72010B00	T	B76240B00	T
19.080500	G	B72020B00	T	B76310B00	T
19.090100	G	B73000B00	G	B76311B00	T
19.090200	G	B73010B00	G	B76312B00	T
19.090300	G	B73020B00	G	B76314B00	T
19.090400	G	B73030B00	G	B76410B00	G
19.100100	G	B73050B00	G	B76430B00	U
19.100200	G	B73100B00	G	B76510B00	U
19.100300	G	B73110B00	G	B76610B00	T
19.100400	G	B73120B00	G	B76650B00	U
19.100600	G	B73130B00	G	B77010B00	T
19.110100	U				

B77020B00	T	B77040B00	U	B77070B00	U
B77021B00	T	B77050B00	U		
B77030B00	U	B77060B00	U		

## ANNEX V: METHODOLOGY USED FOR CATEGORIZING CSOS

### ABAC

The team received four extractions from the EC which contained all “bank accounts names” that could be found in ABAC for the period 2005-2006. There were in total more than 8,005 entries to categorize for ABAC. As there is no possibility to categorizing recipients in ABAC, filters were used before manual sorting for remaining entities. A manual control was finally executed for checking results obtained thanks to filters. The list of filters used is presented hereafter.

Were considered as **CSOs** all entries containing the words:

ACADEMIA, ACADEMIE, ACADEMY, A.I.S.B.L., A.S.B.L., AISBL, AISBL,ASBL,ASOCIACION, ASSOCIAS, ASSOCIATION, ASSOCIAZIONE, ASSUCIA, CAMARA, CAMERA, CENTER, CENTRE, CENTRO, CENTRUM, CHAMBERS OF COMMERCE, CHAMBRES DE COMMERCE, COLLEGE, COMITATO, COMITE, COMMITTEE, CONFEDERACAO, CONFEDERATION, CONFEDERAZIONE, COOPERATIVE, ECOLE, FEDERACAO, FEDERACIO, FEDERATION, FEDERAZIONE, FELLOWSHIP, FONDATION, FONDAZIONE, FORUM, FOUNDA, FOUNDATION, FUNDA, FUNDACAO, FUNDACION, INSTITU, INSTITUT, INSTITUT, INSTITUTE, INSTITUTO, LIGA, LIGUE, NETWORK, NGO, ONG, ONLUS, RESEAU, SCHOOL, SERVICE VOLONTAIRE, SERVICES VOLONTAIRES, SKOLE, SOCIETY, STICHTING, STIFTUNG, STIFTUNG, SYNDICAT, UNION, UNION DES COOPERATIVES, UNION DES GROUPEMENTS, UNIVERS, UNIVERSIDAD, UNIVERSIT, UNIVERSITAT, UNIVERSITE, UNIVERSITEIT, UNIVERSITIES, UNIVERSITIES, UNIVERSITY, V.Z.W., VOLONTARIATO, VOLUNTA, VOLUNTARY SERVICE, VOLUNTARY SERVICES, VZW, CROIX ROUGE, RED CROSS, RODE KRUIS, CARE, CARITAS, OXFAM, MEDECINS, VETERINAIRES, REPORTERS, SANS FRONTIERES, WWF.

Were considered as **non-CSOs** all entries containing the words:

United Nations, UNICEF, UNDP, PNUD, UNHCR, bank, development bank , investement bank, ,& ASSOCIADOS,& ASSOCIATI,& PARTNERS, AGENCE, AGENCY, AJUNTAMIENTO/ AJUNTAMENT, AL JAMHOURIYA, AL JUMHURIYAH, ALCADIA, AMBASSADE, ASOCIADOS, ASSOCIATES, ASSOCIES, AUDIT, BANCO, BANK, BANQUE, BUREAU, BUREAU D'ETUDE, CE , CITY OF, COMISION, COMITATO, COMITE, COMMISSION EUROPEENNE, COMMITTEE, COMMUNAUTE, COMMUNE, COMUNE, COMUNIDAD, COMUNITA, CONSEIL, CONSEJO, CONSULTANCE, CORPORATION, COUNCIL, DELEGATION, DISTRICT, ENTREPRISE, EUROPEANBANK, GMBH, JUMHOURIYA, JUMHURIYAH, LIMITED/LTD, MAIRIE, MBH, MINISTERE, MUNICIPALITE, MUSEUM, N.V., PRIVATE COMPAGNIES (SA, SPRL, GMBH, LIMITED,LTD), REPUB, REPUB, REPUBLIQUE, ROYAUME, S.A., S.A./N.V., SPA, SPRL, SRL, ERNST&YOUNG, Price Waterhouse, Accenture, KPMG, ATOS ORIGIN, ANDERSON

## OLAS

There were 49,324 operators to categorize in OLAS. The "LTYPO" column existing in the OLAS extraction allowed to categorizing some entities. The list is presented here. CSO are the categories that were considered as CSOs; Non-CSO are the categories that were considered as non-CSOs; Manually means that filters were used before manual sorting for remaining entities. A manual control was finally executed for checking results obtained thanks to filters. The list of filters used is presented hereafter.

BENEFICIAIRE D'AIDE ALIMENTAIRE	Manually
UNIVERSITE	CSO
BANQUE	Non-CSO
MONITEUR	Manually
ORGANISATION NON GOUVERNEMENTALE	CSO
EXPERT	Non-CSO
BUREAU ETUDE	Non-CSO
INSTITUT	Manually
ORGANISATION GOUVERNEMENTALE D'AIDE ALIMENTAIRE	Non-CSO
FOURNISSEUR	Non-CSO
REPRESENTANT BENEFICIAIRE	Manually
ORGANISATION COORDINATRICE ONG	CSO
ORGANISATION GOUVERNEMENTALE	Manually
GROUP. EUROP.INTERET ECONOM.	Non-CSO
DELEGATIONS CCE	Non-CSO
DELEGATIONS CEE	Non-CSO
ORGANISME INTERNATIONAL	Non-CSO
NON PRECISE	Manually
ADMINISTRATION NATIONALE	Non-CSO
CENTRE RECHERCHE PRIVE	Manually
ENVIRONEMENT	Manually
OPERATEUR PROVENANT DE SOLAS	Manually
BUREAU D'ETUDE DU NORD	Non-CSO
BUREAU DU SUD	Non-CSO
UNIVERSITE DU NORD	CSO
UNIVERSITE DU SUD	CSO
FEDERATION	CSO
AGENCE PUBLIQUE	Non-CSO
O.N.G DU SUD	CSO

O.N.G DU NORD	CSO
AUTORITES NATIONALES DU NORD	Non-CSO
AUTORITES NATIONALES DU SUD	Non-CSO
ASSOCIATION DU NORD	Manually
ASSOCIATION DU SUD	Manually
COOPERATIVES	Manually
EGLISES	CSO
OPERATEURS PRIVES	Non-CSO
ORGANISATION DE BASE	CSO
POUVOIRS PUBLICS LOCAUX DU NORD	Non-CSO
POUVOIRS PUBLICS LOCAUX DU SUD	Non-CSO
STRUCTURE D'ASSISTANCE TECHNIQUE	Non-CSO
STRUCTURE POPULAIRE DE SERVICE	Manually
SYNDICATS DU NORD	CSO
SYNDICATS DU SUD	CSO
ORGANISATION INTERNATIONALE	Manually
ASSOCIATION INTERNATIONALE	Manually

Were considered as **CSOs** all entries containing the words:

ACADEMIA, ACADEMIE, ACADEMY, A.I.S.B.L., A.S.B.L., AISBL, AISBL,ASBL, ASOCIACION, ASSOCIAS, ASSOCIATION, ASSOCIAZIONE, ASSUCIA, CAMARA, CAMERA, CENTER, CENTRE, CENTRO, CENTRUM, CHAMBERS OF COMMERCE, CHAMBRES DE COMMERCE, COLLEGE, COMITATO, COMITE, COMMITTEE, CONFEDERACAO, CONFEDERATION, CONFEDERAZIONE, COOPERATIVE, ECOLE, FEDERACAO, FEDERACIO, FEDERATION, FEDERAZIONE, FELLOWSHIP, FONDATION, FONDAZIONE, FORUM, FOUNDA, FOUNDATION, FUNDA, FUNDACAO, FUNDACION, INSTITU, INSTITUT, INSTITUT, INSTITUTE, INSTITUTO, LIGA, LIGUE, NETWORK, NGO, ONG, ONLUS, RESEAU, SCHOOL, SERVICE VOLONTAIRE, SERVICESVOLONTAIRES, SKOLE, SOCIETY, STICHTING, STIFTUNG, STIFTUNG, SYNDICAT, UNION, UNION DES COOPERATIVES, UNION DES GROUPEMENTS, UNIVERS, UNIVERSIDAD, UNIVERSIT, UNIVERSITAT, UNIVERSITE, UNIVERSITEIT, UNIVERSITIES, UNIVERSITIES, UNIVERSITY, V.Z.W., VOLONTARIATO, VOLUNTA, VOLUNTARY SERVICE, VOLUNTARY SERVICES, VZW, CROIX ROUGE, RED CROSS, RODE KRUIS, CARE, CARITAS, OXFAM, MEDECINS, VETERINAIRES, REPORTERS, SANS FRONTIERES, WWF.

Were considered as **non-CSOs** all entries containing the words:

United Nations, UNICEF, UNDP, PNUD, UNHCR, bank, development bank , investement bank, ,& ASSOCIADOS,& ASSOCIATI,& PARTNERS, AGENCE, AGENCY, AJUNTAMIENTO/ AJUNTAMENT, AL JAMHOURIYA,AL JUMHURIYAH ,ALCADIA, AMBASSADE, ASOCIADOS, ASSOCIATES, ASSOCIES, AUDIT, BANCO, BANK, BANQUE, BUREAU, BUREAU D'ETUDE, CE , CITY OF,

COMISION, COMITATO, COMITE, COMMISSION EUROPEENNE, COMMITTEE, COMMUNAUTE, COMMUNE, COMUNE, COMUNIDAD, COMUNITA, CONSEIL, CONSEJO, CONSULTANCE, CORPORATION, COUNCIL, DELEGATION, DISTRICT, ENTREPRISE, EUROPEANBANK, GMBH, JUMHOURIYA, JUMHURIYAH, LIMITED/LTD, MAIRIE, MBH, MINISTERE, MUNICIPALITE, MUSEUM, N.V., PRIVATE COMPAGNIES (SA, SPRL, GMBH, LIMITED, LTD), REPUB, REPUBBL, REPUBLIQUE, ROYAUME, S.A., S.A./N.V., SPA, SPRL, SRL, ERNST&YOUNG, Price Waterhouse, Accenture, KPMG, ATOS ORIGIN, ANDERSON

## CRIS

There were 34,367 entries to categorize in CRIS. The Legal Entity Account Group existing in CRIS allows to categorizing some entities. The list is presented here. CSO are the categories that were considered as CSOs; Non-CSO are the categories that were considered as non-CSOs; Non-CSO (if Grant) were initially considered as CSOs in the case where they received grants. The first results of the analysis however let appear that it was more adequate to consider them as non-CSOs, figures being irrelevant. Manual sorting means that filters were used before manual sorting was carried out for remaining entities. A manual control was finally executed for checking results obtained thanks to filters. The list of filters used is presented hereafter.

ABREV.	TITLE	SORTING
ASSOC	Association	CSO
AUC	Autorité contractante	Non-CSO
BUR	Bureau d'études	Non-CSO (if Grant)
COMMER	Organisation commerciale	Non-CSO
CONSORT	Consortium	Non-CSO (if Grant)
CONTACT	Personne de Contact	Manual sorting
CULTUR	Organisation culturelle	CSO
EDUCATIO	Université / Education	CSO
EEIG	Groupement Européen d'Interêt Economique	No occurrence
EXPR	Expert	Non-CSO
FEDER	Réseau / Fédération	No occurrence
FOUNDAT	Fondation	CSO
IA	Implementing Agency	Non-CSO
INSTIT	Institut/Université	CSO
INTORG	Organisation internationale	Manual sorting
JUDICIAL	Institution Juridique	No occurrence
LOCAUT	Autorité Locale	Non-CSO
LRA	Autorité locale ou régionale	Non-CSO
MANUFAC	Fabricant	Non-CSO

MEDIA	MEDIA	CSO
NF	Fond National (Perseus only)	Non-CSO
NP	Non précisé	Manual sorting
NPPO	Organisation professionnelle sans but Lucratif	CSO
O-NSA	Autre Acteur Non Etatique	CSO
ONG	ONG	CSO
OTHERS	Autre acteur non étatique	CSO
PMU	Program Management Unit (Perseus only)	Manual sorting
PROCAG	Procurement Agency	Non-CSO
PROF-IND	Organisation professionnelle et/ou industrielle	No occurrence
RESEARCH	Institut de recherche	CSO
SERVPROV	Prestataire de services	Non-CSO
THINK	Think Tank	CSO
TRADE	Syndicat	CSO
UNKNOWN	Inconnu	Manual sorting

Were considered as **CSOs** all entries containing the words:

ACADEMIA, ACADEMIE, ACADEMY, A.I.S.B.L., A.S.B.L., AISBL, AISBL, ASBL, ASOCIACION, ASSOCIAS, ASSOCIATION, ASSOCIAZIONE, ASSUCIA, CAMARA, CAMERA, CENTER, CENTRE, CENTRO, CENTRUM, CHAMBERS OF COMMERCE, CHAMBRES DE COMMERCE, COLLEGE, COMITATO, COMITE, COMMITTEE, CONFEDERACAO, CONFEDERATION, CONFEDERAZIONE, COOPERATIVE ,ECOLE, FEDERACAO, FEDERACIO, FEDERATION, FEDERAZIONE, FELLOWSHIP, FONDATION, FONDAZIONE, FORUM, FOUNDA, FOUNDATION, FUNDA, FUNDACAO, FUNDACION, INSTITU, INSTITUT, INSTITUT, INSTITUTE, INSTITUTO, LIGA, LIGUE, NETWORK, NGO, ONG, ONLUS, RESEAU, SCHOOL, SERVICE VOLONTAIRE, SERVICESVOLONTAIRES, SKOLE, SOCIETY, STICHTING, STIFTUNG, STIFTUNG, SYNDICAT, UNION, UNION DES COOPERATIVES, UNION DES GROUPEMENTS, UNIVERS, UNIVERSIDAD, UNIVERSIT, UNIVERSITAT, UNIVERSITE, UNIVERSITEIT, UNIVERSITIES, UNIVERSITIES, UNIVERSITY, V.Z.W., VOLONTARIATO, VOLUNTA, VOLUNTARY SERVICE, VOLUNTARY SERVICES, VZW, CROIX ROUGE, RED CROSS, RODE KRUIS,CARE, CARITAS, OXFAM, MEDECINS, VETERINAIRES, REPORTERS, SANS FRONTIERES, WWF.

Were considered as **non-CSOs** all entries containing the words:

United Nations, UNICEF, UNDP, PNUD, UNHCR, bank, development bank , investement bank, ,& ASSOCIADOS,& ASSOCIATI,& PARTNERS, AGENCE, AGENCY, AJUNTAMIENTO/ AJUNTAMENT, AL JAMHOURIYA,AL JUMHURIYAH, ALCADIA, AMBASSADE, ASOCIADOS, ASSOCIATES, ASSOCIES, AUDIT, BANCO, BANK, BANQUE, BUREAU, BUREAU D'ETUDE, CE , CITY OF, COMISION, COMITATO, COMITE, COMMISSION EUROPEENNE, COMMITTEE,

COMMUNAUTE, COMMUNE, COMUNE, COMUNIDAD, COMUNITA, CONSEIL, CONSEJO, CONSULTANCE, CORPORATION, COUNCIL, DELEGATION, DISTRICT, ENTREPRISE, EUROPEANBANK, GMBH, JUMHOURIYA, JUMHURIYAH, LIMITED/LTD, MAIRIE, MBH, MINISTERE, MUNICIPALITE, MUSEUM, N.V., PRIVATE COMPAGNIES (SA, SPRL, GMBH, LIMITED, LTD), REPUB, REPUBBL, REPUBLIQUE, ROYAUME, S.A., S.A./N.V., SPA, SPRL, SRL, ERNST&YOUNG, Price Waterhouse, Accenture, KPMG, ATOS ORIGIN, ANDERSON

## ANNEX VI: LIST OF DOCUMENTS USED

### Documents collected:

- EU donor Atlas.
- Annual Reports 2001, 2002, 2003, 2004, 2005 and 2006 on the European Community's Development Policy and the Implementation of External Assistance.
- CONCORD, "The truth behind the figures. What the official figures tell us about European aid and NGOs", 2005.
- Various reports related to country and regional evaluations; thematic and sector evaluations as well evaluations of thematic budgetlines
- Communication on the Participation of Non-State Actors (NSA) in EC Development Policy, COM (2002), 598 final

## ANNEX VII: CONVERGENCE OF SECTOR CODES

As mentioned earlier (see 1.2. General limitations) the statistical analysis relied upon sector codes from OLAS for the EDF for the period 2000-2006 but regarding the budget, CRIS was used for the period 2000-2002 whereas ABAC was used for the period 2003-2006 (as sector codes were not available in ABAC before 2003).

About half of the entries received were left blank or mentioned that the sector was “unspecified”. Every time it was possible, the team however tried to link the data to a sector code that seemed to be the most appropriate. The name of the project and the reason for the payment were used. Nevertheless, it was impossible to make guesses for the thousands of entries the team had to analyse.

Another problem encountered was the fact that the EC used different codes than OECD DAC codes for a while. The list below shows how the convergence between sector codes found in the extraction and OECD DAC sector codes was managed. If no description is available, it means that the evaluation could not find any information on the codes as mentioned in the extractions.

Databases CODE	DAC CODE	DESCRIPTION
<b>11000</b>	<b>110</b>	<b>EDUCATION</b>
11100	<b>110</b>	Education, niveau non spécifié
11110	<b>110</b>	Politique de l'éducation et gestion administrative
11120	<b>110</b>	Equipementsscolaires et formation
11130	<b>110</b>	Formation des enseignants
11182	<b>110</b>	Recherche en éducation
11200	<b>110</b>	Education de base
11220	<b>110</b>	Enseignement primaire
11230	<b>110</b>	Education pour une meilleure qualité de la vie pour les jeunes et les adultes
11240	<b>110</b>	Education de la petite enfance
11300	<b>110</b>	Education secondaire
11320	<b>110</b>	Enseignement secondaire
11330	<b>110</b>	Formation professionnelle
11400	<b>110</b>	Education post-secondaire
11420	<b>110</b>	Enseignement supérieur
11430	<b>110</b>	Formation technique supérieure de gestion
<b>12000</b>	<b>120</b>	<b>SANTE</b>
12100	<b>120</b>	Santé, général
12110	<b>120</b>	Politique de la santé et gestion administrative
12181	<b>120</b>	Education et formation médicales
12182	<b>120</b>	Recherche médicale
12191	<b>120</b>	Services médicaux

12200	<b>120</b>	Santé de base
12220	<b>120</b>	Soins et services de santé de base
12230	<b>120</b>	Infrastructure pour la santé de base
12240	<b>120</b>	Nutrition de base
12250	<b>120</b>	Lutte contre les maladies infectieuses
12261	<b>120</b>	Education sanitaire
12281	<b>120</b>	Formation de personnel de santé
12282	<b>120</b>	
<b>13000</b>	<b>130</b>	<b>POLITIQUE EN MATIERE DE POPULATION/SANTE ET FERTILITE</b>
13010	<b>130</b>	Politique/programmes en matière de population et gestion administrative
13020	<b>130</b>	Soins en matière de fertilité
13030	<b>130</b>	Planification familiale
13040	<b>130</b>	Lutte contre les MST et VIH/Sida
13081	<b>130</b>	Formation de personnel en matière de population, santé et fertilité
<b>14000</b>	<b>140</b>	<b>DISTRIBUTION D'EAU ET ASSAINISSEMENT</b>
14010	<b>140</b>	Politique des ressources en eau et gestion administrative
14015	<b>140</b>	Protection des ressources en eau
14020	<b>140</b>	Distribution d'eau et assainissement - systèmes à grande échelle
14030	<b>140</b>	Distribution d'eau potable de base et assainissement de base
14040	<b>140</b>	Aménagement des bassins fluviaux
14050	<b>140</b>	Traitement des déchets
14081	<b>140</b>	Education/formation dans la distribution d'eau et l'assainissement
<b>15000</b>	<b>150</b>	<b>GOVERNEMENT ET SOCIETE CIVILE</b>
15010	<b>150</b>	Politique/planification économique et du développement
15020	<b>150</b>	Gestion financière du secteur public
15030	<b>150</b>	Développement des services légaux et judiciaires
15040	<b>150</b>	Administration gouvernementale
15050	<b>150</b>	Renforcement de la société civile
15061	<b>150</b>	Maintien de la paix à l'issue d'un conflit (NU)
15062	<b>150</b>	Elections
15063	<b>150</b>	Droits de la personne
15065	<b>150</b>	Liberté de l'information
15064	<b>150</b>	Démobilisation
15066	<b>150</b>	Enlèvement des mines terrestres
15110	<b>150</b>	
15120	<b>150</b>	
15130	<b>150</b>	
15140	<b>150</b>	

15150	<b>150</b>	
15161	<b>150</b>	
15162	<b>150</b>	
15163	<b>150</b>	
15200	<b>150</b>	Prévention et réglementations des conflits, paix et sécurité
15210	<b>150</b>	Gestion et réforme des systèmes de sécurité
15220	<b>150</b>	Dispositifs civils construction de la paix, prévention & règlement des conflits
15230	<b>150</b>	
15240	<b>150</b>	Réintégration et contrôle des armes légères et de petit calibre
15250	<b>150</b>	Enlèvement des mines terrestres
15261	<b>150</b>	Enfants soldats (Prévention et démobilisation)
<b>16000</b>	<b>160</b>	<b>INFRASTRUCTURE ET SERVICES SOCIAUX DIVERS</b>
16010	<b>160</b>	Services sociaux
16020	<b>160</b>	Politique de l'emploi et gestion administrative
16030	<b>160</b>	Politique du logement et gestion administrative
16040	<b>160</b>	Logement à coût réduit
16050	<b>160</b>	Aide plurisectorielle pour les services sociaux de base
16061	<b>160</b>	Culture et loisirs
16062	<b>160</b>	Renforcement des capacités statistiques
16063	<b>160</b>	Lutte contre le trafic de drogues
16064	<b>160</b>	Atténuation de l'impact social du VIH/SIDA
16100	<b>160</b>	* Emploi (code invalide)
16110	<b>160</b>	
16200	<b>160</b>	* Logement (code invalide)
16210	<b>160</b>	
16220	<b>160</b>	
16300	<b>160</b>	* Autres services sociaux (code invalide)
16310	<b>160</b>	
16320	<b>160</b>	Services de l'administration centrale
16330	<b>160</b>	Peuplement
16340	<b>160</b>	
16350	<b>160</b>	
16361	<b>160</b>	
16362	<b>160</b>	
16381	<b>160</b>	
<b>21000</b>	<b>210</b>	<b>TRANSPORTS ET ENTREPOSAGE</b>
21010	<b>210</b>	Politique des transports et gestion administrative
21020	<b>210</b>	Transport routier

21030	<b>210</b>	Transport ferroviaire
21040	<b>210</b>	Transport par voies d'eau
21050	<b>210</b>	Transport aérien
21061	<b>210</b>	Stockage
21081	<b>210</b>	Education/formation dans les transports et le stockage
<b>22000</b>	<b>220</b>	<b>COMMUNICATIONS</b>
22010	<b>220</b>	Politique des communications et gestion administrative
22011	<b>220</b>	Communication et information dans les programmes et projets de la CE
22020	<b>220</b>	Télécommunications
22030	<b>220</b>	Radio, télévision et presse écrite
22040	<b>220</b>	Technologies de l'information et de la communication (TIC)
<b>23000</b>	<b>230</b>	<b>PRODUCTION ET DISTRIBUTION D'ENERGIE</b>
23010	<b>230</b>	Politique de l'énergie et gestion administrative
23020	<b>230</b>	Production d'énergie (sources non renouvelables)
23030	<b>230</b>	Production d'énergie (sources renouvelables)
23040	<b>230</b>	Transmission et distribution d'électricité
23050	<b>230</b>	Distribution de gaz
23061	<b>230</b>	Centrales alimentées au fuel
23062	<b>230</b>	Centrales alimentées au gaz
23063	<b>230</b>	Centrales alimentées au charbon
23064	<b>230</b>	Centrales nucléaires
23065	<b>230</b>	Centrales et barrages hydroélectriques
23066	<b>230</b>	Energie géothermique
23067	<b>230</b>	Energie solaire
23068	<b>230</b>	Energie éolienne
23069	<b>230</b>	Energie marémotrice
23070	<b>230</b>	Biomasse
23081	<b>230</b>	Education et formation dans le domaine de l'énergie
23082	<b>230</b>	Recherche dans le domaine de l'énergie
<b>24000</b>	<b>240</b>	<b>BANQUES ET SERVICES FINANCIERS</b>
24010	<b>240</b>	Politique des finances et gestion administrative
24020	<b>240</b>	Institutions monétaires
24030	<b>240</b>	Intermédiaires financiers officiels
24040	<b>240</b>	Intermédiaires financiers du secteur informel et semi-formel
24081	<b>240</b>	Education/formation dans la banque et les services financiers
<b>25000</b>	<b>250</b>	<b>ENTREPRISES ET AUTRES SERVICES</b>
25010	<b>250</b>	Services et institutions de soutien commerciaux
25020	<b>250</b>	Privatisation

<b>31100</b>	<b>311</b>	<b>AGRICULTURE</b>
31110	<b>311</b>	Politique agricole et gestion administrative
31120	<b>311</b>	Développement agricole
31130	<b>311</b>	Ressources en terres cultivables
31140	<b>311</b>	Ressources en eau à usage agricole
31150	<b>311</b>	Produits à usage agricole
31161	<b>311</b>	Production agricole
31162	<b>311</b>	Récoltes destinées à l'exportation
31163	<b>311</b>	Bétail
31164	<b>311</b>	Réforme agraire
31165	<b>311</b>	Développement agricole alternatif
31166	<b>311</b>	Vulgarisation agricole
31181	<b>311</b>	Education et formation dans le domaine agricole
31182	<b>311</b>	Recherche agronomique
31183	<b>311</b>	
31184	<b>311</b>	Recherche vétérinaire (élevage)
31191	<b>311</b>	Services agricoles
31192	<b>311</b>	Protection des plantes et des récoltes, lutte antiacridienne
31193	<b>311</b>	Services financiers agricoles
31194	<b>311</b>	Coopératives agricoles
31195	<b>311</b>	Services vétérinaires (bétail)
<b>31200</b>	<b>312</b>	<b>SYLVICULTURE</b>
31210	<b>312</b>	Politique de la sylviculture et gestion administrative
31220	<b>312</b>	Développement sylvicole
31261	<b>312</b>	Reboisement (bois et charbon de bois)
31281	<b>312</b>	Education et formation en sylviculture
31282	<b>312</b>	Recherche en sylviculture
31291	<b>312</b>	Services sylvicoles
<b>31300</b>	<b>313</b>	<b>PECHE</b>
31310	<b>313</b>	Politique de la pêche et gestion administrative
31320	<b>313</b>	Développement de la pêche
31381	<b>313</b>	Education et formation dans le domaine de la pêche
31382	<b>313</b>	Recherche dans le domaine de la pêche
31391	<b>313</b>	Services dans le domaine de la pêche
<b>32100</b>	<b>321</b>	<b>INDUSTRIES MANUFACTURIERES</b>
32110	<b>321</b>	Politique de l'industrie et gestion administrative
32120	<b>321</b>	Développement industriel
32130	<b>321</b>	Développement des PME

32140	<b>321</b>	Artisanat
32161	<b>321</b>	Agro-industries
32162	<b>321</b>	Industries forestières
32163	<b>321</b>	Industrie textile, cuirs et produits similaires
32164	<b>321</b>	Produits chimiques
32165	<b>321</b>	Production d'engrais chimiques
32166	<b>321</b>	Ciment, chaux et plâtre
32167	<b>321</b>	Fabrication d'énergie
32168	<b>321</b>	Produits pharmaceutiques
32169	<b>321</b>	Industrie métallurgique de base
32170	<b>321</b>	Industries des métaux non ferreux
32171	<b>321</b>	Construction mécanique et électrique
32172	<b>321</b>	Matériel de transport
32181	<b>321</b>	
32182	<b>321</b>	Recherche et développement technologiques
<b>32200</b>	<b>322</b>	<b>INDUSTRIES EXTRACTIVES</b>
32210	<b>322</b>	Politique de l'industrie extractive et gestion administrative
32220	<b>322</b>	Prospection et exploration des minerais
32261	<b>322</b>	Charbon
32262	<b>322</b>	Pétrole and gaz
32263	<b>322</b>	Métaux ferreux
32264	<b>322</b>	Métaux non-ferreux
32265	<b>322</b>	Métaux et minerais précieux
32266	<b>322</b>	Minerais industriels
32267	<b>322</b>	Engrais minéraux
32268	<b>322</b>	Ressources des fonds marins
<b>32300</b>	<b>323</b>	<b>CONSTRUCTION</b>
32310	<b>323</b>	Politique de la construction et gestion administrative
<b>33100</b>	<b>331</b>	<b>POLITIQUE COMMERCIALE ET REGLEMENTATIONS</b>
33110	<b>331</b>	Politique commerciale et gestion administrative
33120	<b>331</b>	Facilitation du commerce
33130	<b>331</b>	Accords commerciaux régionaux
33140	<b>331</b>	Négociations commerciales multilatérales
33181	<b>331</b>	Éducation/formation dans le domaine du commerce
<b>33200</b>	<b>332</b>	<b>TOURISME</b>
33210	<b>332</b>	Politique du tourisme et gestion administrative
<b>40000</b>	<b>400</b>	<b>DESTINATION PLURI-SECTORIELLE OU TRANSVERSALE</b>
41000	<b>400</b>	Protection de l'environnement, général

41010	400	Politique de l'environnement et gestion administrative
41020	400	Protection de la biosphère
41030	400	Diversité biologique
41040	400	Protection des sites
41050	400	Prévention et lutte contre les inondations
41081	400	Education et formation environnementales
41082	400	Recherche environnementale
42000	400	Femmes et développement
42010	400	Femmes et développement
43000	400	Autres multi-secteurs
43010	400	Aide plurisectorielle
43020	400	
43030	400	Développement et gestion urbains
43040	400	Développement rural
43050	400	Développement alternatif non-agricole
43081	400	Education et formation plurisectorielles
43082	400	Institutions scientifiques et de recherche
<b>50000</b>	<b>500</b>	<b>AIDE-PROGRAMME ET AIDE SOUS FORME DE PRODUITS</b>
51000	500	Appui budgétaire
51010	500	Ajustement structurel
52000	500	Aide alimentaire à des fins de développement/aide à la sécurité alimentaire
52010	500	Programmes de sécurité et d'aide alimentaire
53000	500	Aide sous forme de produits: autre
53010	500	Appui à la balance des paiements
53020	500	Appui budgétaire
53030	500	Subventions à l'importation (biens d'équipement)
53040	500	Subventions à l'importation (produits)
<b>60000</b>	<b>600</b>	<b>ACTION SE RAPPORTANT A LA DETTE</b>
60010	600	Actions se rapportant à la dette
60020	600	Annulation de la dette
60030	600	Allègement de la dette multilatérale
60040	600	Rééchelonnement d'échéances et refinancement
60061	600	Echange de dette à des fins de développement
60062	600	Autres échanges de dette
60063	600	Rachat de la dette
<b>70000</b>	<b>700</b>	<b>AIDE D'URGENCE ET AIDE A LA RECONSTRUCTION</b>
71000	700	Aide alimentaire d'urgence
71010	700	Aide alimentaire d'urgence

72000	<b>700</b>	Aide d'urgence, aide pour les personnes en détresse: autre
72010	<b>700</b>	Aide d'urgence
72020	<b>700</b>	Aide aux réfugiés (dans le pays donneur)
72030	<b>700</b>	Aide aux réfugiés (dans le pays receveur)
73010	<b>700</b>	Aide à la reconstruction
88010	<b>150</b>	Réforme institutionnelle, légale et administrative
88020	<b>250</b>	Secteur privé & appui au développement éco.
88030	<b>700</b>	Conséquence sociale de la transition
88040	<b>160</b>	Développement des réseaux d'infrastructures
88050	<b>400</b>	Protection de l'env. & gestion des ressources nat.
88060	<b>400</b>	Développement de l'économie rurale
88070	<b>230</b>	Energie
88080	<b>400</b>	Environnement
88090	<b>400</b>	Services (infrastructures/installations)
88100	<b>500</b>	Production, traitement et distribution de produits alimentaires
88110	<b>400</b>	Développement des ressources humaines
88120	<b>910</b>	Suivi & evaluation
88130	<b>230</b>	Sécurité nucléaire
88140	<b>998</b>	Autres
88150	<b>998</b>	Hors statistiques
88160	<b>250</b>	Appui aux entreprises
88170	<b>210</b>	Transports et télécommunications
88180	<b>400</b>	Multidisciplinaire
88190	<b>150</b>	Administration et institutions publiques
88200	<b>311</b>	Restructuration agraire
88210	<b>150</b>	Société civile et démocratie
88220	<b>110</b>	Education, formation et recherche
88230	<b>400</b>	Environnement et sûreté nucléaire
88240	<b>400</b>	Egalité de traitement des femmes
88250	<b>240</b>	Secteur financier
88260	<b>700</b>	Aide humanitaire et aide alimentaire d'urgence
88270	<b>220</b>	Infrastructure (Energie, Transport, Telecom.)
88280	<b>150</b>	Alignement législatif
88290	<b>160</b>	Protection du consommateur
88300	<b>250</b>	Secteur privé, restructuration, privatisation, PME
88310	<b>400</b>	Mesures régionales intégrées
88320	<b>160</b>	Développement social et emploi
88330	<b>120</b>	Santé publique

<b>91000</b>	<b>910</b>	<b>FRAIS ADMINISTRATIFS DES DONNEURS</b>
91010	<b>910</b>	Frais administratifs
92000	<b>920</b>	<b>CONCOURS FOURNIS AUX ORGANISATIONS NON-GOUVERNEMENTALES</b>
92010	<b>920</b>	En faveur des ONG nationales
92020	<b>920</b>	En faveur des ONG internationales
92030	<b>920</b>	En faveur des ONG locales et régionales
99800	<b>998</b>	<b>SECTEUR NON SPECIFIE</b>
99810	<b>998</b>	Secteur non spécifié
99820	<b>999</b>	Sensibilisation au développement

## ANNEX VIII: FIRST STATISTICAL ANALYSIS

As mentioned in the introduction to the statistical analysis<sup>43</sup> the first step of the evaluation consisted in identifying the sources of information to rely upon. Regarding the limits of CRIS, it was decided to rather use ABAC for budget data and OLAS for EDF data. However, as the team progressively discovered the limitations of ABAC and as suggested by EC experts, CRIS was finally preferred to the latter. **A first mapping was therefore made on the basis of CRIS.** As information on the EDF is very weak in that database, this mapping however only took budget data into account. If the second mapping – based on ABAC - is more comprehensive in *quantitative* terms, the first one – based on CRIS - was indeed more relevant in *qualitative* terms.

**Except for the amounts and percentages, results obtained are similar to the second statistical analysis.** The only exception is that the region ALA-Latin America is ranked third in the mapping based on CRIS whereas it is ranked fifth in the second mapping, based on ABAC.<sup>44</sup> The second statistical analysis was nevertheless useful as it allowed to scrutinizing OLAS for the EDF. Besides, figures obtained for the budget are higher as ABAC is a more quantitative database than CRIS. Methodology and limitations are the same as for the (second) statistical analysis, with only a few exceptions.<sup>45</sup>

The structure of this first statistical analysis is similar to the one of the second mapping. It aims at answering the same questions – when possible – and is organised around 6 main clusters:

- 1) *Results concerning the relation between commitments and payments to the overall considered EC assistance that were channelled through CSOs;*
- 2) *Results concerning the proportion of commitments and of payments to the overall considered EC assistance that were channelled through CSOs, according to their geographical allocation;*
  - 2.1. *Regional charts*
  - 2.2. *National charts*
- 3) *Results concerning the repartition of commitments and payments that were channelled through CSOs, depending on the sectors to which aid was allocated;*
- 4) *Evolution of commitments and payments channelled through CSOs, depending on the origin of that aid (geographic, thematic and specific instruments);*
- 5) *Proportion of commitments and payments channelled through CSOs according to their nationality;*
- 6) *Proportion of commitments and payments to the overall considered EC assistance that were channelled through CSOs and non CSOs, depending on the type of activity that is supported.*

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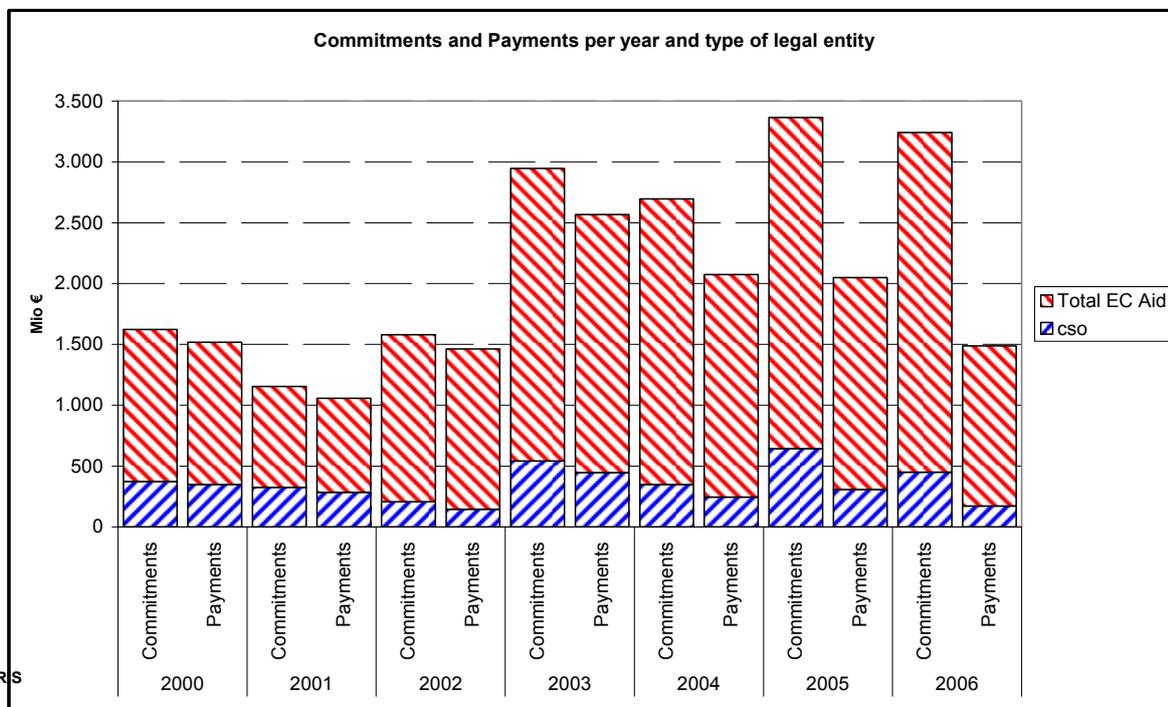
<sup>43</sup> See 1.1.2. Methodology used and limits encountered

<sup>44</sup> In terms of EC aid directly channelled through CSOs in the different regions during the period 2000-2006.

<sup>45</sup> In the first mapping, Yemen was categorized under the region MEDA\_GULF.

**1) Results concerning the relation between commitments and payments to the overall considered EC assistance that were channelled through CSOs**

**Figure 1** shows the total amounts of commitments and payments per year during the period 2000-2006 that have been channelled directly by CSOs.



Source: CRIS

*Figure 1 Evolution of commitments and payments made from the budget to CSOs during the period 2000-2006*

Over the 7 years at stake, the total amount committed to CSOs has reached 2.9 billion out of a total of 16.7 billion. Total payments amounted up to 2 billion for CSOs out of a total of 12.3 billion. Overall, 16% of total commitments and payments have therefore been channelled through CSOs over the entire period.

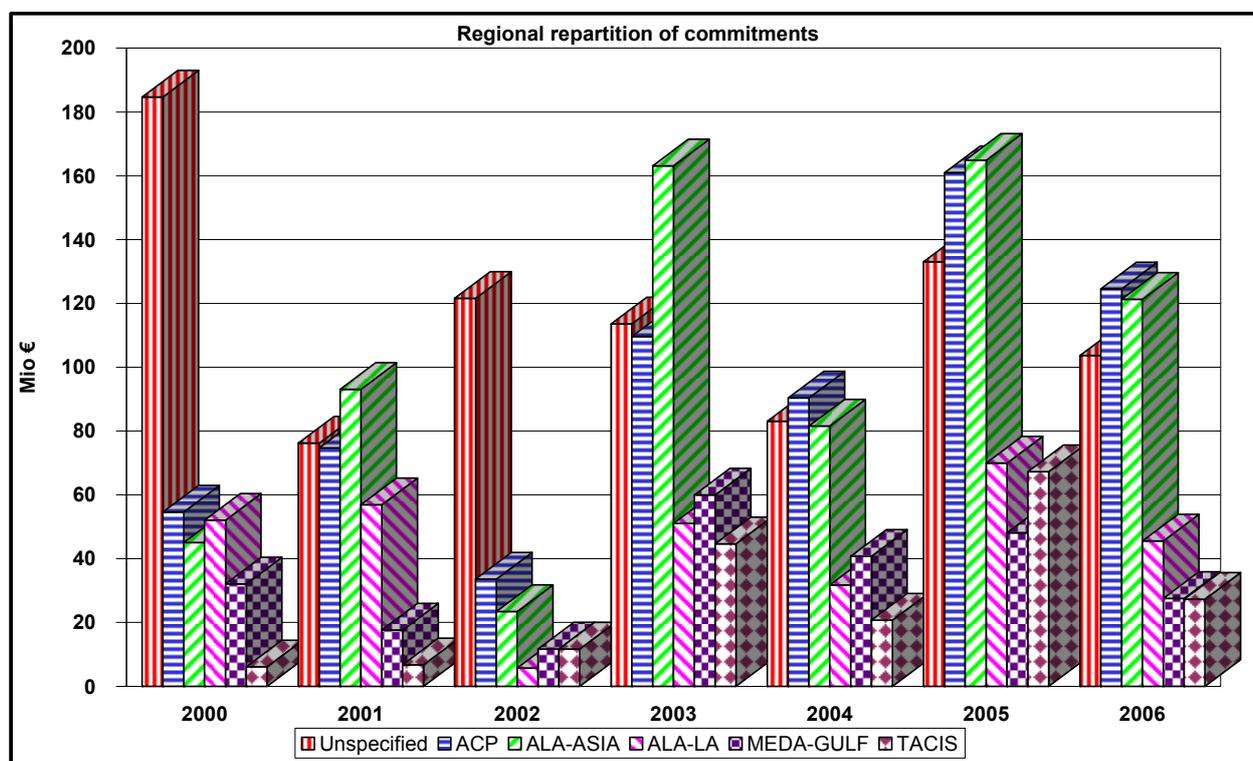
Figure 1 shows also that there is a clear increase of commitments over the period, particularly since 2002. The commitments to CSOs have increased by 20% over the period.

The evolution of the ratio between commitments and payments in recent years can be explained due to the fact that dates of payment differ from dates of commitment. These overall figures may provide an idea on the delay between commitments and payments which could amount to more than 2 years on average.

2) Results concerning the proportion of commitments and of payments to the overall considered EC assistance that were channelled through CSOs, according to their geographical allocation

2.1. Regional charts

Figure 2 shows the total amounts of commitments and payments from 2000 to 2006 that were channelled through CSOs, depending on their regional allocation.



The amount of commitments and payments that couldn't be allocated to a specific region is decreasing over the period but remains important and strongly varies from year to year. The share of non allocated commitment varies from 21% in 2005 to 59% in 2002. The share of non allocated payments varies from 22% in 2003 to 50% in 2002. It has therefore a high incidence on the geographical results presented below, that should be interpreted with cautiousness.

Over the whole period ACP<sup>46</sup> and ALA-Asia rank first with 32% of all commitments that could be allocated to a specific region, followed by ALA-LA (15%), MEDA (12%) and TACIS (8%). The figures concerning the payments are similar.

The proportion of yearly commitments and payments allocated to one region is strongly varying from year to year, especially for ALA-LA (from 7% in 2002 to 27% in 2000), MEDA (from 8% in 2006 to 27% in 2000) and TACIS (from 3% in 2000 to 14% in 2002).

<sup>46</sup> The high proportion of aid allocated to ACP countries through the budget should be completed by integrating the amounts coming through EDF, which has not been into consideration in this analysis. The aggregation of both amounts will reinforce the importance of the ACP region in development aid channelled by CSOs.

The importance of ACP and ALA-Asia remains almost the same over the period, but a decrease can be noticed for ALA-LA and MEDA, while TACIS sees an increase of its importance.

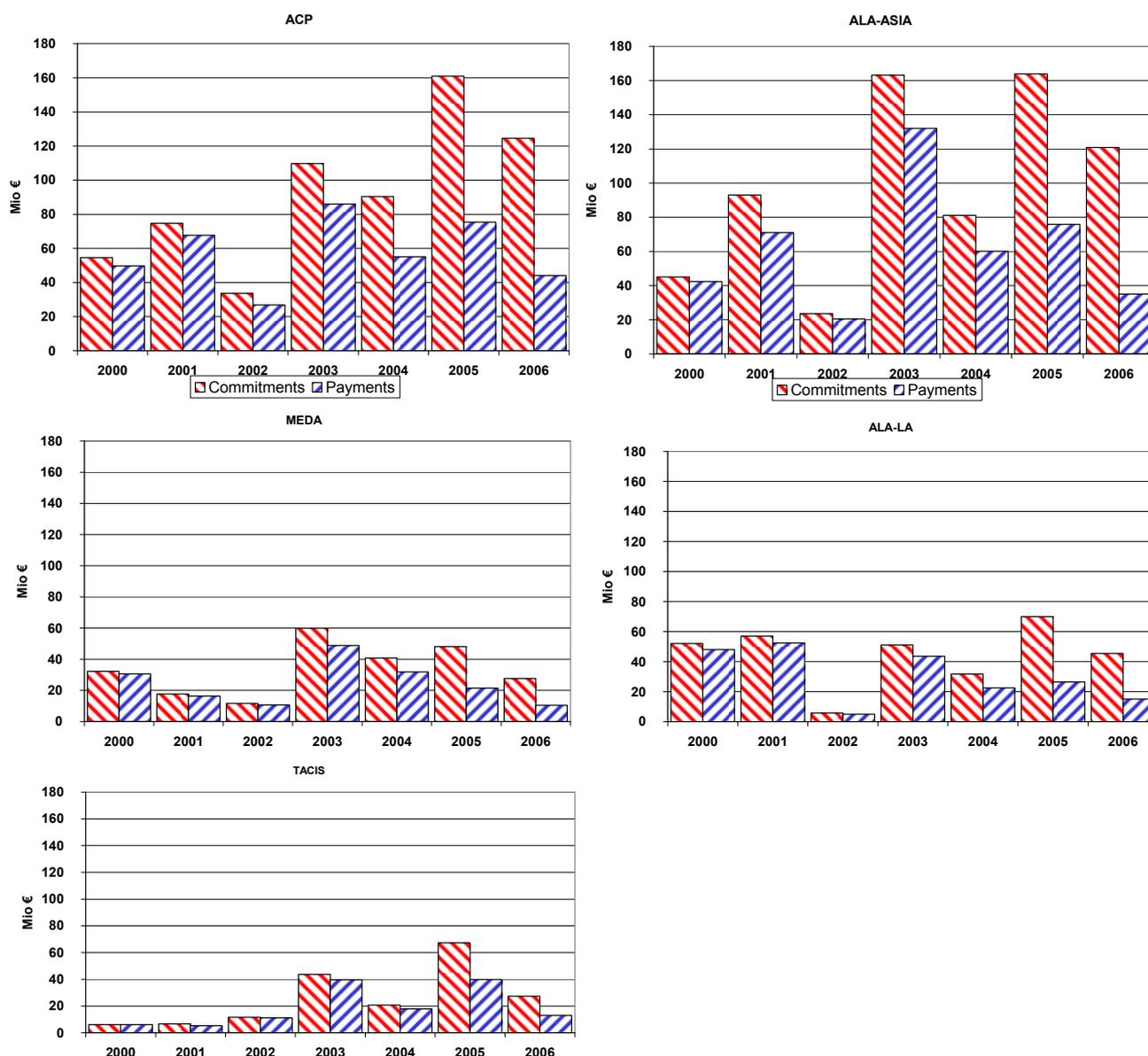


Figure 3 presents the evolution of commitments and payments channelled by CSOs for each region over the whole period.

### ACP

The figure shows a general increasing trend by commitments, despite an important decrease in 2002 and a smaller one in 2004. Data for 2002 could be explained by the signature of the 9<sup>th</sup> EDF. The explanation could also be due to the lack of reliability of the database or to the fact that SINCOM was included in CRIS in 2002.

The proportion of paid commitments is similar to the average one (70%).

### ALA-LA

The region experienced a slight decreasing trend over the period. As it happens for the ACP group, an important decrease can be seen in 2002 and a small decrease happens in 2004. The decrease in 2002 is however much more important in Latin America than in the ACP group. The

importance of this region remains low over the period. This region performed similar to the ACP region and the ALA-ASIA concerning payments.

### **ALA-ASIA**

There is an important increase of commitment over the period with a high peak in 2003 and 2005, which could be explained by the conflict in Afghanistan. Again, a decrease happens in 2004, which could be explained either by the end of the deconcentration exercise, or by the fact that 10 new Member States joined the EU.

The proportion of paid commitments is similar to the average one (70%).

### **MEDA**

Channelling through CSOs is relatively low in MEDA countries. The amounts that have been channelled through CSOs have decreased between 2000 and 2006. Almost all years have experienced a decrease over the period except in 2003. The proportion of payments (74%) is better than the average. Higher ratio of payments can be noticed for all years.

### **TACIS**

A small increase over the period is noticeable. Commitments and payments remain very low. The region has the best ration payments/commitments (80%). For 2000 it even reached 100%. Of course, these results may be due to the low amount of aid which may be better manageable.

## 2.2 National charts

**Figure 4** presents the commitments and the payments channelled over the period by CSOs for each country.

Countries are classified according to the amounts of commitments in a decreasing order.

As regard commitments, Afghanistan has been the first beneficiary, what can be explained by the conflict. The top 10 is composed by five Asian countries, two Latin American countries, two TACIS countries and one MEDA\_GULF country. To some extent, this could be justified by the size of the majority of these countries. However, compared to the importance of aid allocated to the ACP group (see especially Fig 7) it is surprising to find the first ACP country (Kenya) ranked 17<sup>th</sup>. This could nevertheless be explained by the fact that this figure does not take the EDF into account. In the “down” 10 are eight ACP countries, one MEDA and one Asian country.

Ranking	Countries	Region	Commitments	Payments
1	Afghanistan	ALA_ASIA	143.953.842	111.695.453
2	India	ALA_ASIA	141.017.635	83.626.334
3	Thailand	ALA_ASIA	132.056.589	80.941.932
4	Nicaragua	ALA_LA	116.217.432	74.516.232
5	Colombia	ALA_LA	87.779.547	55.056.628
6	Occupied Territories - Palestine	MEDA_GULF	85.822.018	69.537.656
7	China	ALA_ASIA	85.628.519	50.781.910
8	Russia	TACIS	74.350.668	54.011.635
9	Indonesia	ALA_ASIA	73.266.094	39.966.496
10	Ukraine	TACIS	66.155.012	49.862.947
11	Brazil	ALA_LA	59.075.034	29.863.4

Ranking	Countries	Region	Commitments	Payments
				81
12	Pakistan	ALA_ASIA	58.432.514	45.465.277
13	Jordan	MEDA_GULF	56.120.218	39.775.424
14	Egypt	MEDA_GULF	55.758.744	43.487.268
15	Bangladesh	ALA_ASIA	51.088.752	20.471.239
16	Kazakhstan	TACIS	50.022.761	36.042.634
17	Kenya	ACP	48.026.964	30.243.894
18	Ethiopia	ACP	46.299.553	23.872.417
19	Peru	ALA_LA	45.959.700	25.148.874
20	Mozambique	ACP	44.338.641	29.798.136
21	Angola	ACP	38.799.199	21.563.391
22	South Africa	ACP	38.765.939	29.627.805
23	Philippines	ALA_ASIA	38.701.208	24.862.585
24	Sudan	ACP	38.376.232	29.464.155
25	Zimbabwe	ACP	36.468.471	17.343.869
26	Guatemala	ALA_LA		

Ranking	Countries	Region	Commitments	Payments
			35.974.622	25.097.624
27	Georgia	TACIS	33.194.389	21.603.664
28	Congo (Democratic Republic of)	ACP	33.088.719	23.126.429
29	Sri Lanka	ALA_ASIA	33.046.574	15.637.765
30	Morocco	MEDA_GULF	32.638.084	16.132.412
31	Mali	ACP	32.583.055	20.052.445
32	Madagascar	ACP	31.751.423	14.503.578
33	Bolivia	ALA_LA	31.376.357	23.532.893
34	Vietnam	ALA_ASIA	30.562.430	20.469.022
35	Tanzania	ACP	29.064.994	19.257.834
36	Burkina Faso	ACP	27.153.763	14.606.357
37	Haiti	ACP	26.118.477	18.596.966
38	Uganda	ACP	23.583.761	10.334.047
39	Malawi	ACP	23.158.845	14.623.309
40	Lebanon	MEDA_GULF	21.845.797	16.200.663

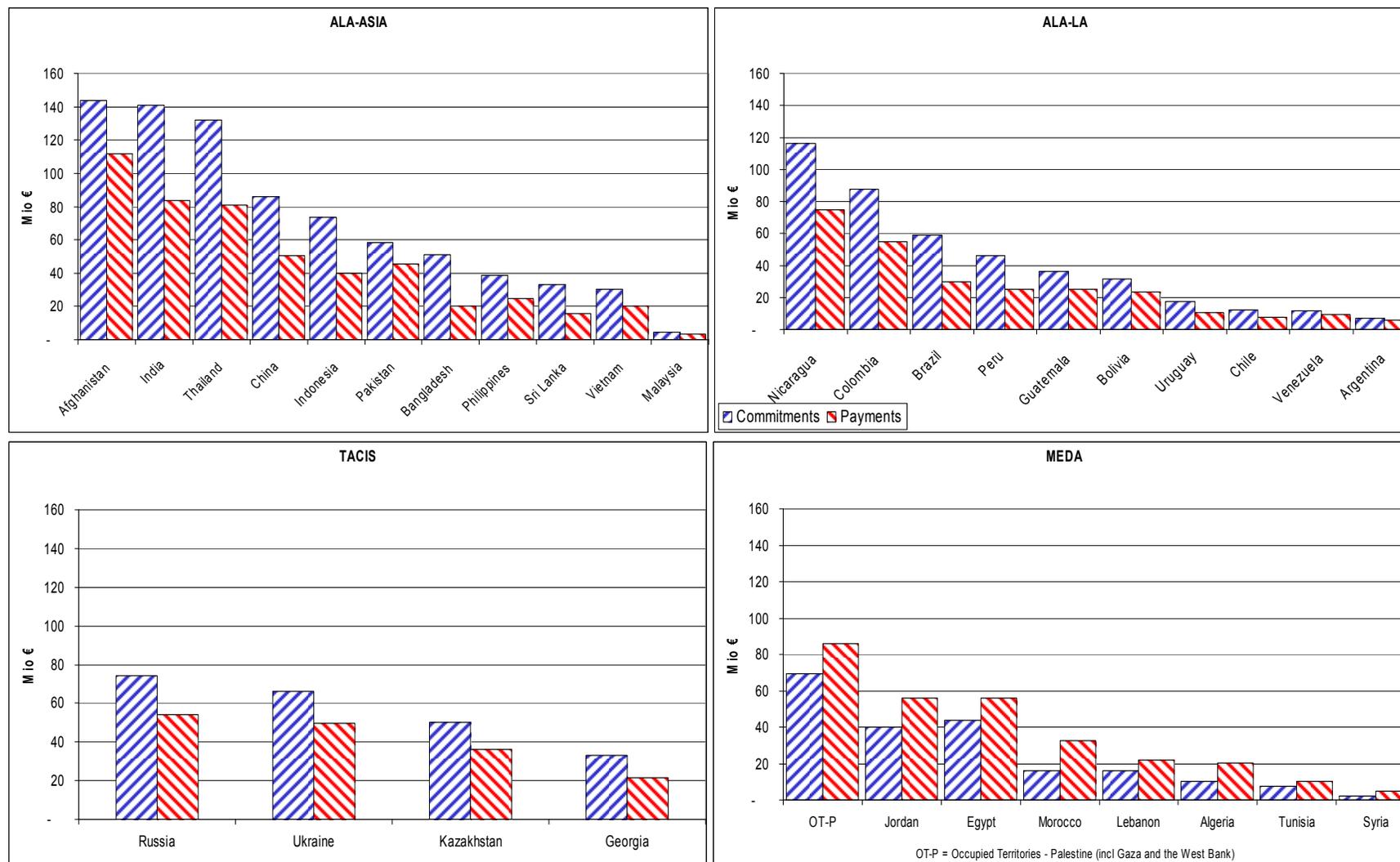
Ranking	Countries	Region	Commitments	Payments
41	Senegal	ACP	21.653.753	14.973.067
42	Algeria	MEDA_GULF	20.492.335	10.224.142
43	Dominican Republic	ACP	19.963.748	15.815.051
44	Niger	ACP	18.060.851	11.938.065
45	Eritrea	ACP	17.792.894	8.581.724
46	Zambia	ACP	17.628.726	6.377.622
47	Uruguay	ALA_LA	17.622.694	10.523.591
48	Rwanda	ACP	17.227.457	9.246.302
49	Sierra Leone	ACP	17.076.976	10.682.719
50	Burundi	ACP	15.589.095	11.576.388
51	Ivory Coast	ACP	12.545.118	7.975.124
52	Ghana	ACP	12.434.357	8.062.837
53	Chile	ALA_LA	12.243.490	7.823.609
54	Nigeria	ACP	12.214.981	6.198.526
55	Chad	ACP	11.655.613	8.439.36

Ranking	Countries	Region	Commitments	Payments
				1
56	Venezuela	ALA_LA	11.419.972	9.418.092
57	Guinea Bissau	ACP	10.477.590	6.694.631
58	Tunisia	MEDA_GULF	10.061.463	7.728.110
59	Cameroon	ACP	8.340.743	4.970.171
60	Namibia	ACP	7.437.019	5.280.944
61	Benin	ACP	7.355.527	4.644.754
62	Argentina	ALA_LA	6.781.558	5.889.196
63	Gabon	ACP	6.508.588	4.411.885
64	Central African Republic	ACP	6.176.043	4.226.313
65	Guinea (Conakry)	ACP	5.518.421	3.973.723
66	Mauritania	ACP	4.631.433	2.183.147
67	Syria	MEDA_GULF	4.628.125	2.106.197
68	Malaysia	ALA_ASIA	4.436.167	3.291.480
69	Papua New Guinea	ACP	4.382.941	1.915.868
70	Fiji	ACP		

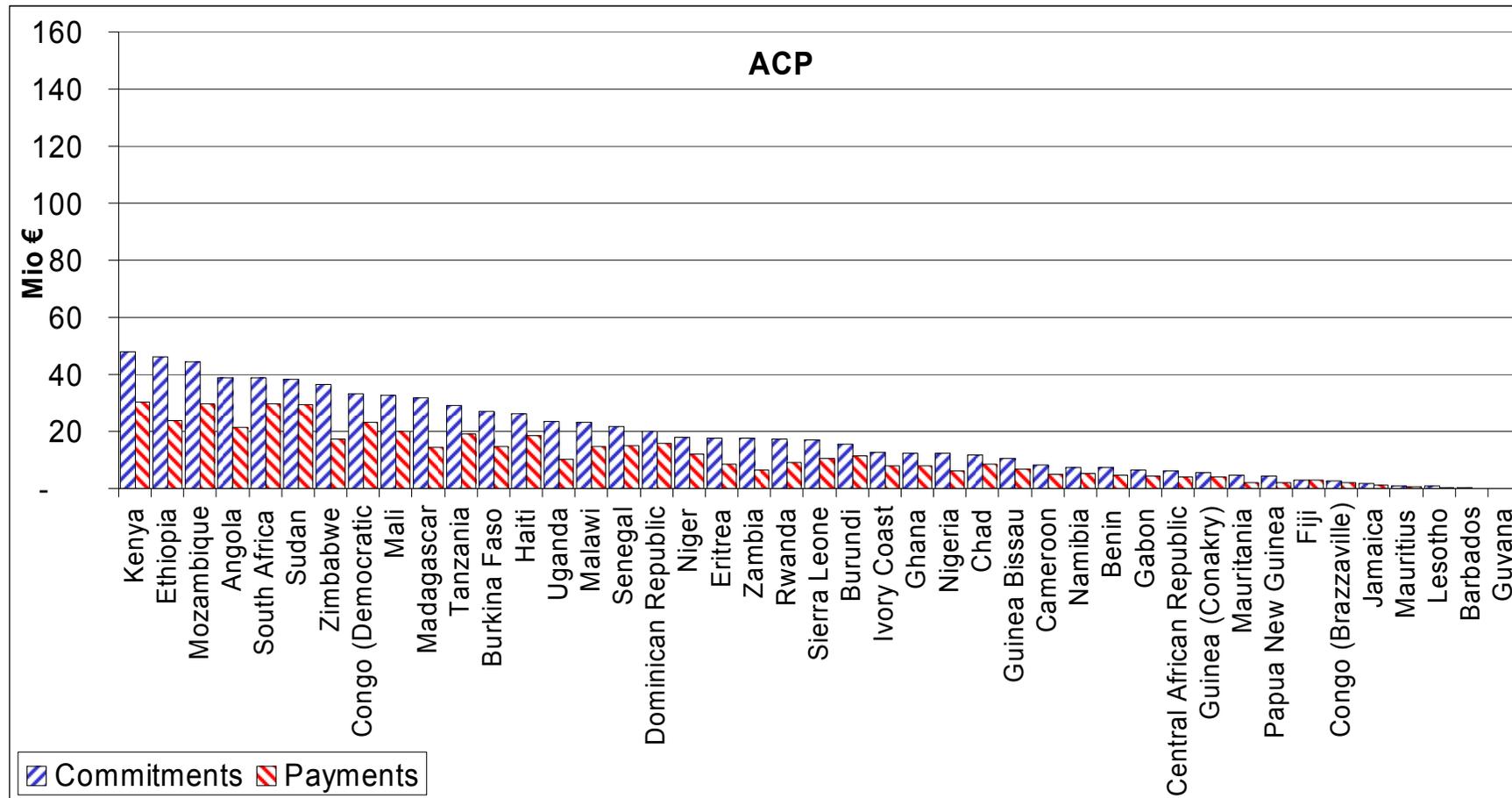
Ranking	Countries	Region	Commitments	Payments
			3.065.373	3.056.348
71	Congo (Brazzaville)	ACP	2.612.127	2.036.139
72	Jamaica	ACP	1.771.985	1.186.757
73	Mauritius	ACP	952.202	576.193
74	Lesotho	ACP	910.419	281.039
75	Barbados	ACP	277.387	-
76	Guyana	ACP	54.950	-

Figure 4: Commitment and payments per country

Figure 5 and 6 visualise commitments and payments made to each specific country for all regions.



**Figure 5: Commitments and payments per country for ALA-ASIA, ALA-LA, TACIS and MEDA**



**Figure 6:** Commitment and payments per country for ACP

## **TACIS**

Russia is the biggest beneficiary, followed by Ukraine.

## **MEDA-Gulf**

Occupied territories – Palestine received most of the aid. This can be explained by the fact that in such specific contexts, the channel of civil society is preferred.

## **LATIN AMERICA**

Nicaragua and Colombia are the two most important beneficiaries, whereas Argentina received the least.

## **ASIA**

Afghanistan experienced the highest amount of payments.

## **ACP**

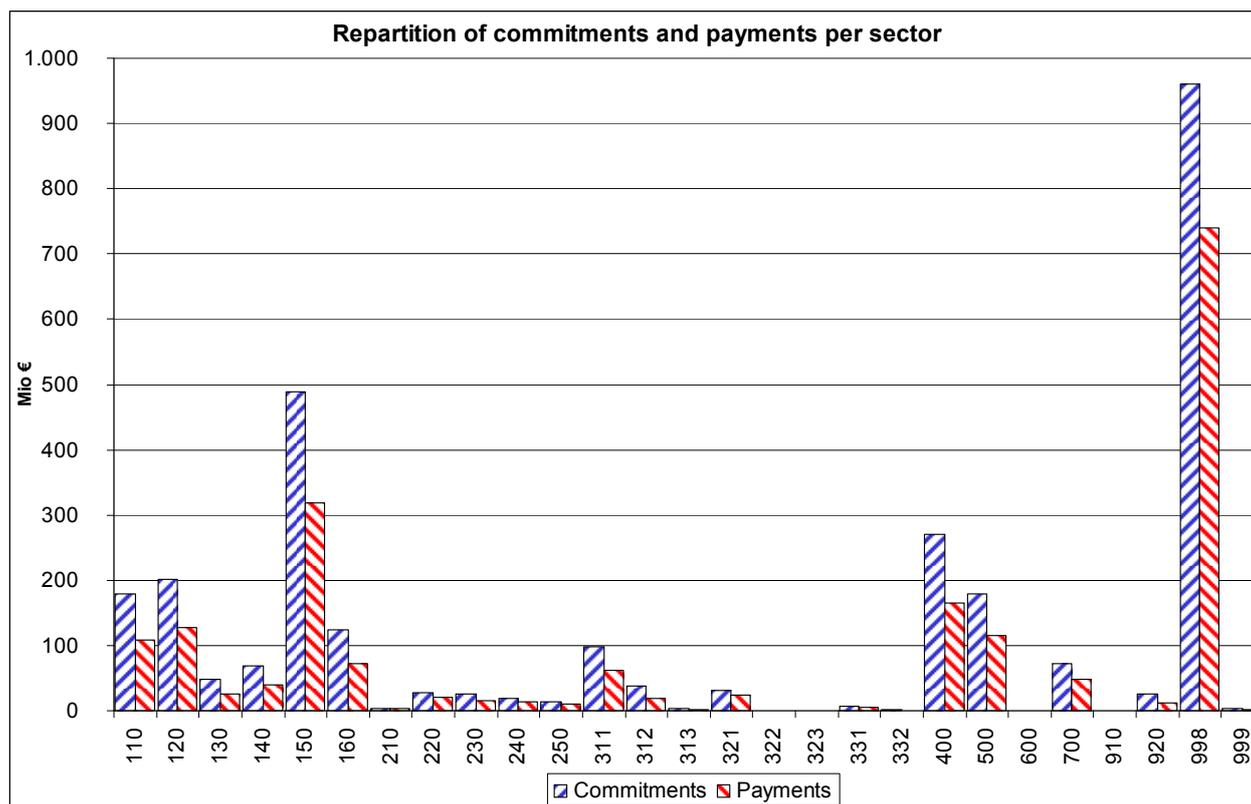
Kenya is the biggest receiver whereas Guyana is the smallest. It is interesting to note that several countries facing conflicts are amongst the top 10 (Sudan is in 3<sup>rd</sup> position for example), what could be an illustration of the role that CSOs can play in cases of conflict.

### 3) Results concerning the repartition of commitments and payments that were channelled through CSOs, depending on the sectors to which aid was allocated

**REMARK:** Sector codes that are used hereafter are the DAC sector codes, supposed to be the leading example for all OECD members.<sup>47</sup> DAC sector codes details are provided in annex.

Some sectors do not appear in some figures because no financial flows were found for those.

Code 998 refers to the “non specified” sector. 33% of total commitments and 38% of total payments couldn't be allocated to a specific sector during the period 2000-2006. Following results should therefore be considered with cautiousness.

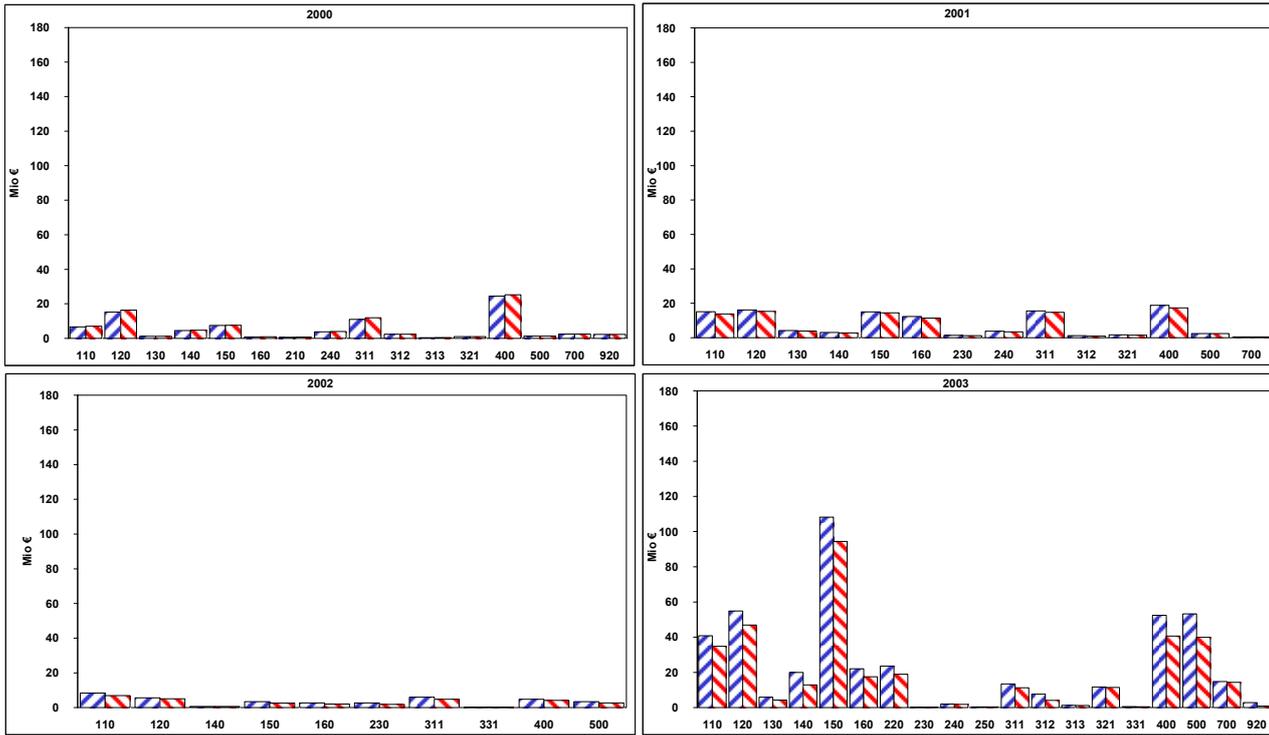


**Figure 7** shows the amounts of EC commitments and payments channelled through CSOs during the period 2000-2006 for all DAC sectors.

It is not surprising that a large proportion of aid has been allocated through CSOs under DAC sector 150 (Government and Civil Society), DAC sector 400 (multisector/cross-cutting) and DAC sector 500 (Commodity aid and general programme assistance; including food security) as well as in health DAC sector (120) and in the education DAC sector (110). These 5 sectors totalise 68% of total allocated commitments and 69% of total allocated payments.

<sup>47</sup> For a detailed explanation on DAC sector codes, see: [http://www.oecd.org/document/21/0,2340,en\\_2825\\_495602\\_1914325\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/21/0,2340,en_2825_495602_1914325_1_1_1_1,00.html)

**Figure 8: Repartition of commitment and payments per sector and year**



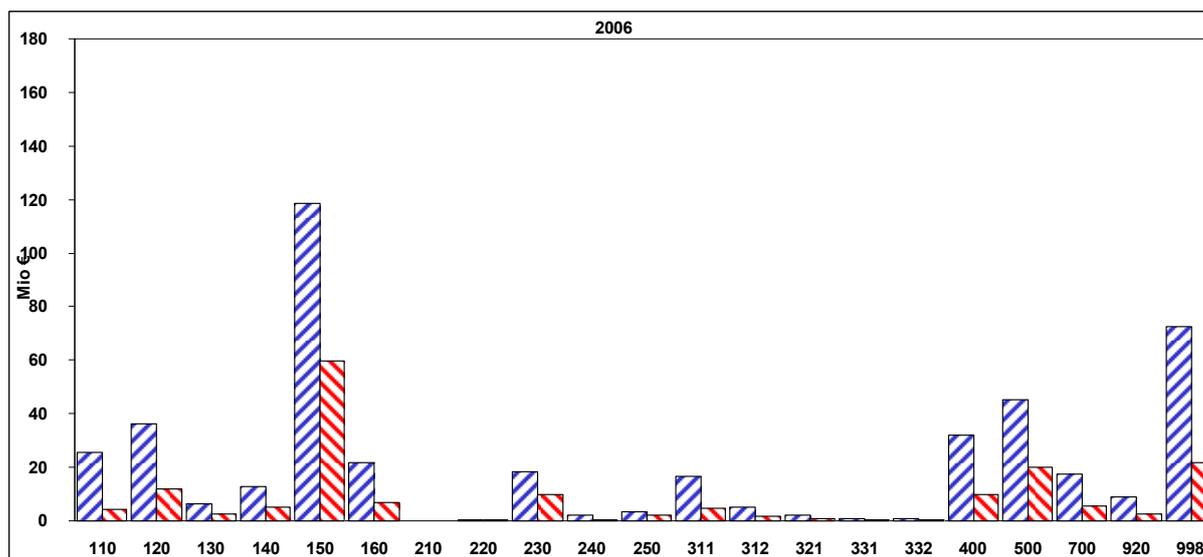
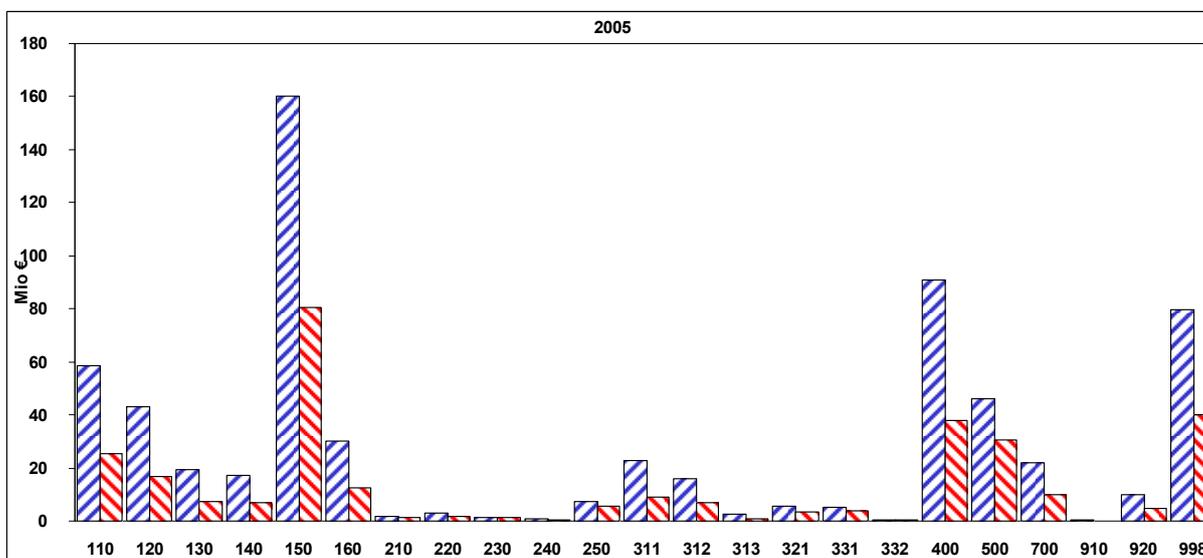
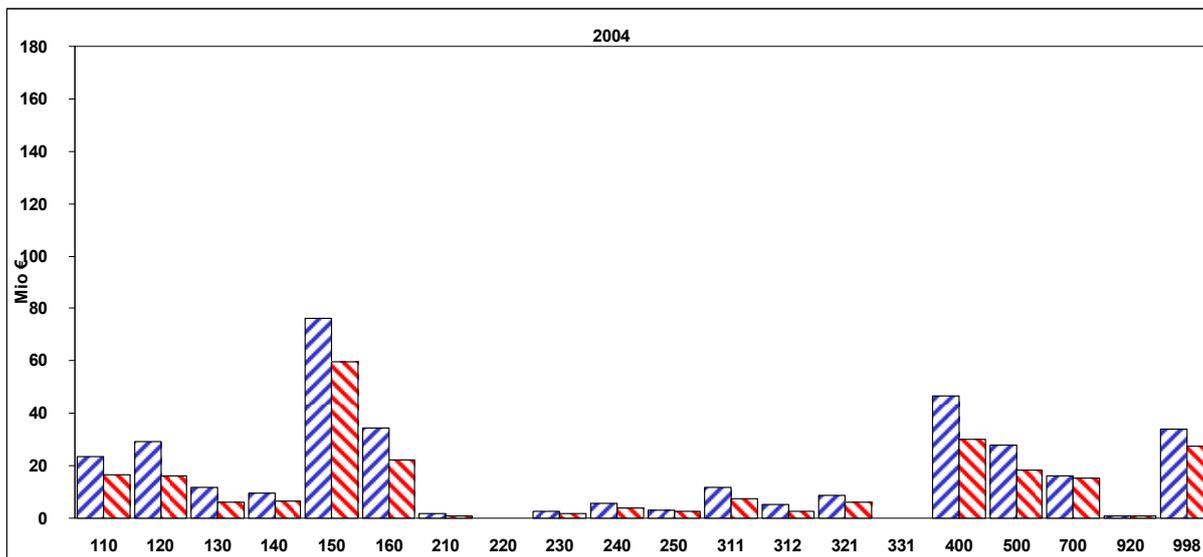


Figure 8: Repartition of commitment and payments per sector and year

There is an important increase of CSO channelling through the selected DAC sectors over the period. Concerning the DAC Government and Civil Society sector (150), except for reductions in 2002 and 2004, there is a very important increase over the period. This could reflect the growing importance of CSOs. The evolution of DAC sector 400 (multisector/cross-cutting sector) relies on the broadness of this code as well as its focus on rural development and environmental protection.

DAC health and education are two important sectors for CSO channelling. It is surprising to see a peak in 2003 for both sectors. The fact that figures are much more important from 2003 might be due to the connection that happened in 2002 between CRIS and SINCOM.

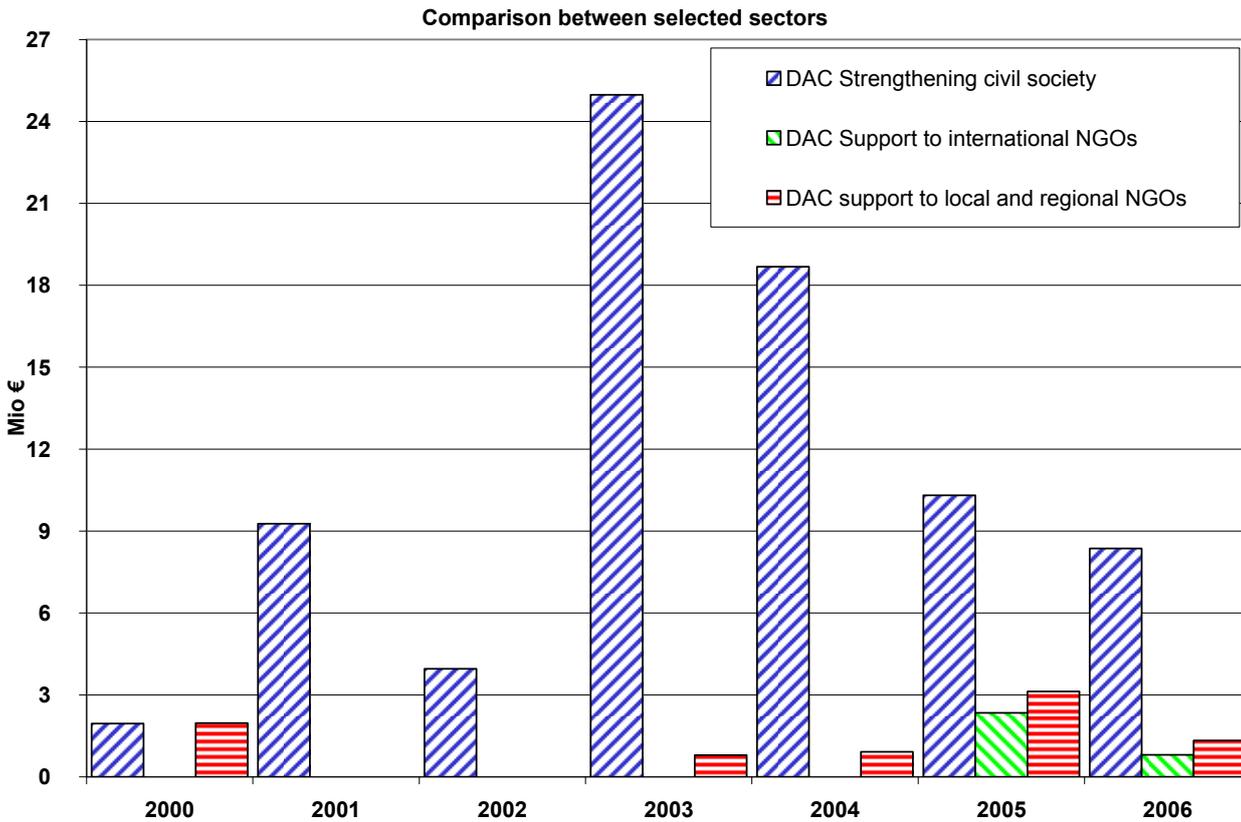


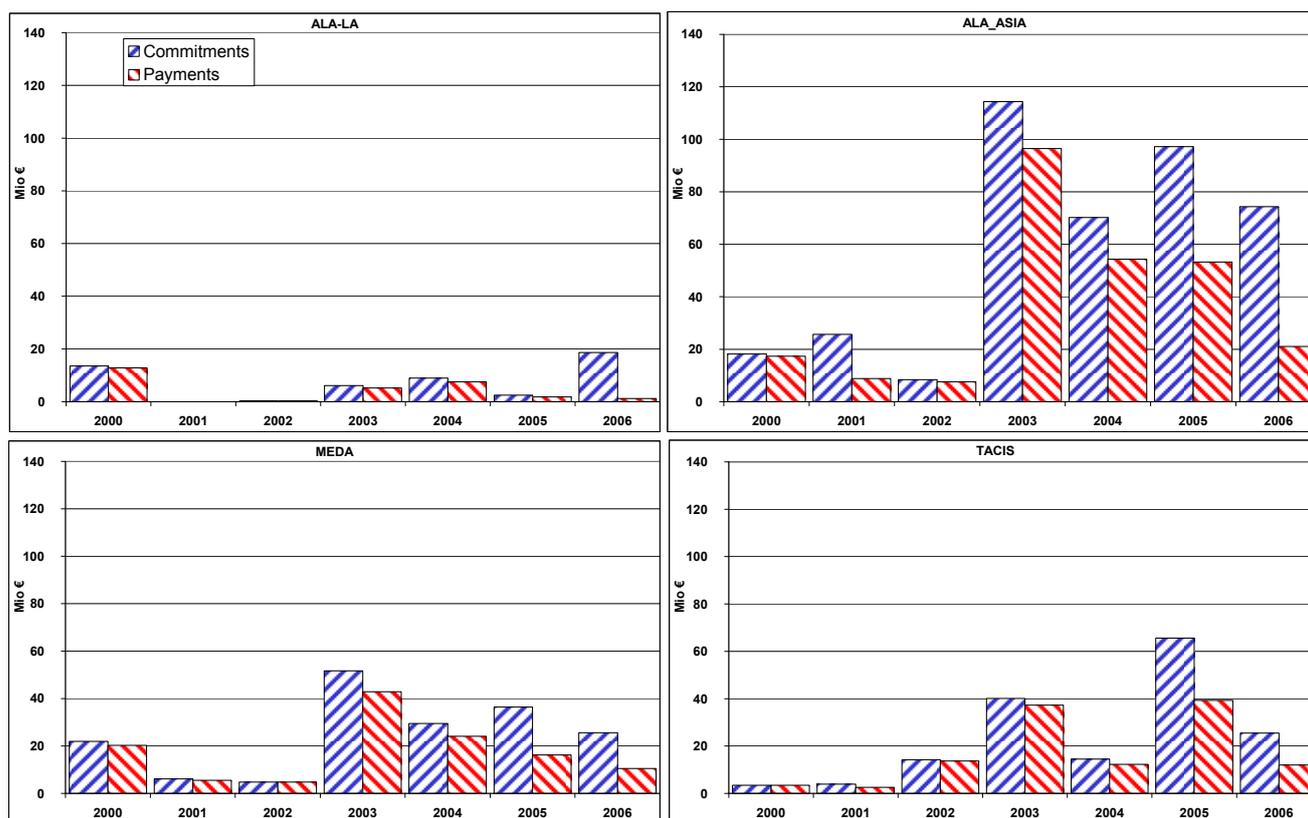
Figure 9: Comparison of payments made in selected sectors

**Figure 9** details the evolution of EC payments made through CSOs for the period 2000-2006 concerning DAC sectors for which EC aid can be considered as supporting CSOs themselves rather than as mere implementing actors (Strengthening civil society (15150), Support to international NGOs (92020), Support to local and regional NGOs (92030)).

As a slight increase is noticeable over the period, it could be interpreted as the fact that CSOs receive more and more aid for supporting their own agenda rather than for acting as implementing actors. This should be analysed in more details in a detailed statistical analysis. The comparison with Figure 17 is interesting.

Again, the decrease of payments after 2003 can be explained by the fact that payments made under previous engagements usually need time to be made.

#### 4) Evolution of commitments and payments channelled through CSOs, depending on the origin of that aid (geographic, thematic and specific instruments)



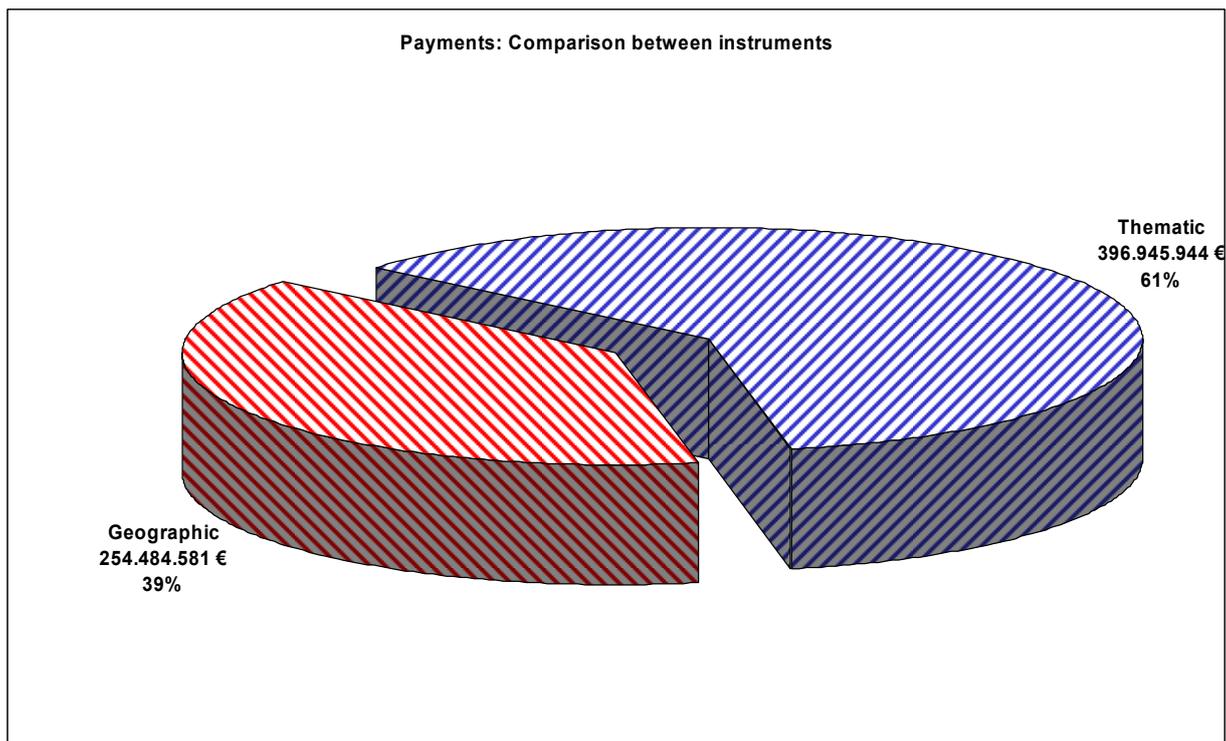
**Figure 10:** Evolution of commitments and payments channelled through CSOs according to the geographic instruments

Commitments under ALA-ASIA instrument have drastically increased in the last years.

There is a general trend towards increasing of EC aid channelled through CSOs under that ALA-ASIA instrument even if we can notice a decrease after the peak in 2003. ALA-LA remains low over the period.

Concerning MEDA, commitments are almost similar in 2000 and 2006, but a peak can be observed in 2003, because of an important commitment.

There is a general trend towards increasing of EC aid channelled through CSOs under TACIS. Two peaks can be observed in 2003 and 2005.



**Figure 11:** *Proportion of payments made under various types of instruments during the period 2000-2006*

39% of payments are made under the various geographic instruments and 61% under the various thematic ones.

**Figure 11** presents the evolution of commitments and payments for these 2 types of instruments for each year. The noticeable differences that we had at the beginning of the 2000s have been removed in the three last years. For the last three years highest commitments have been made by geographic instruments (254 mio €), followed by thematic instruments (396 mio €).

There is a slight trend toward an increasing use of geographical instruments for CSO channelling.

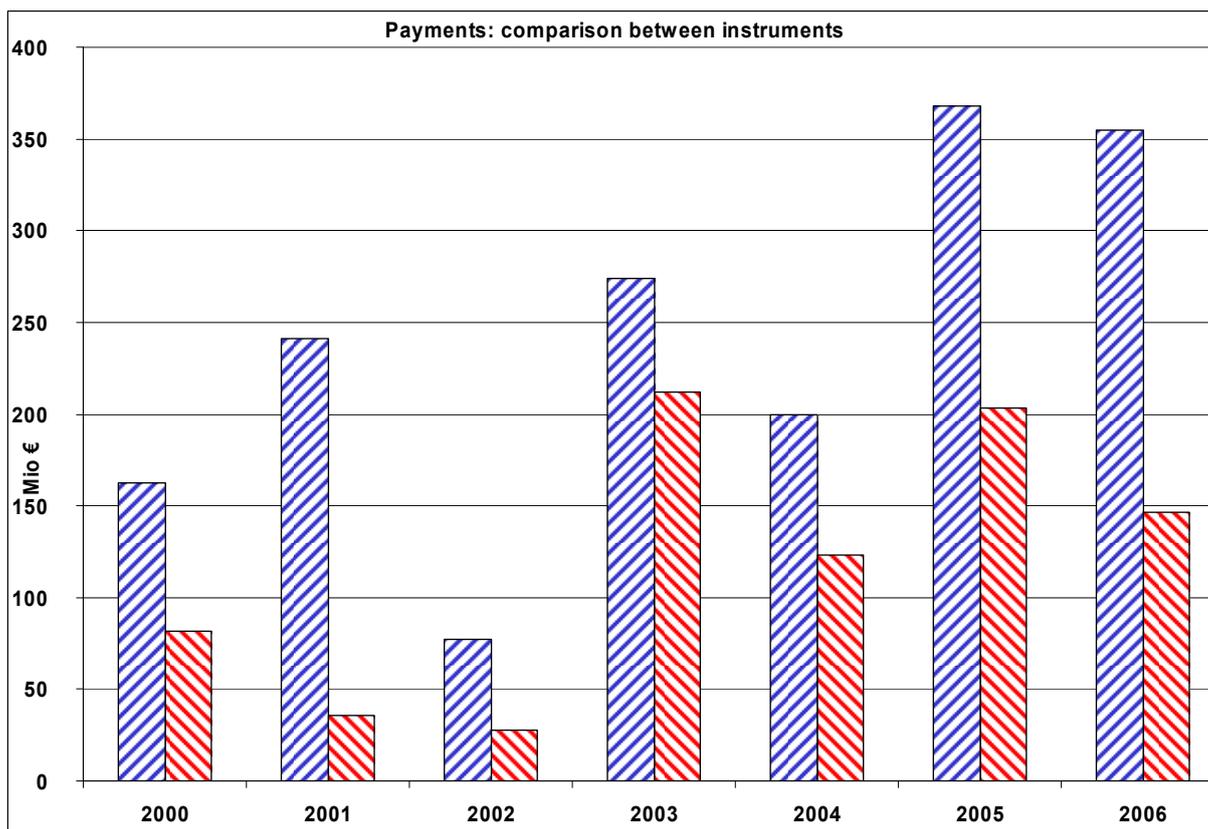
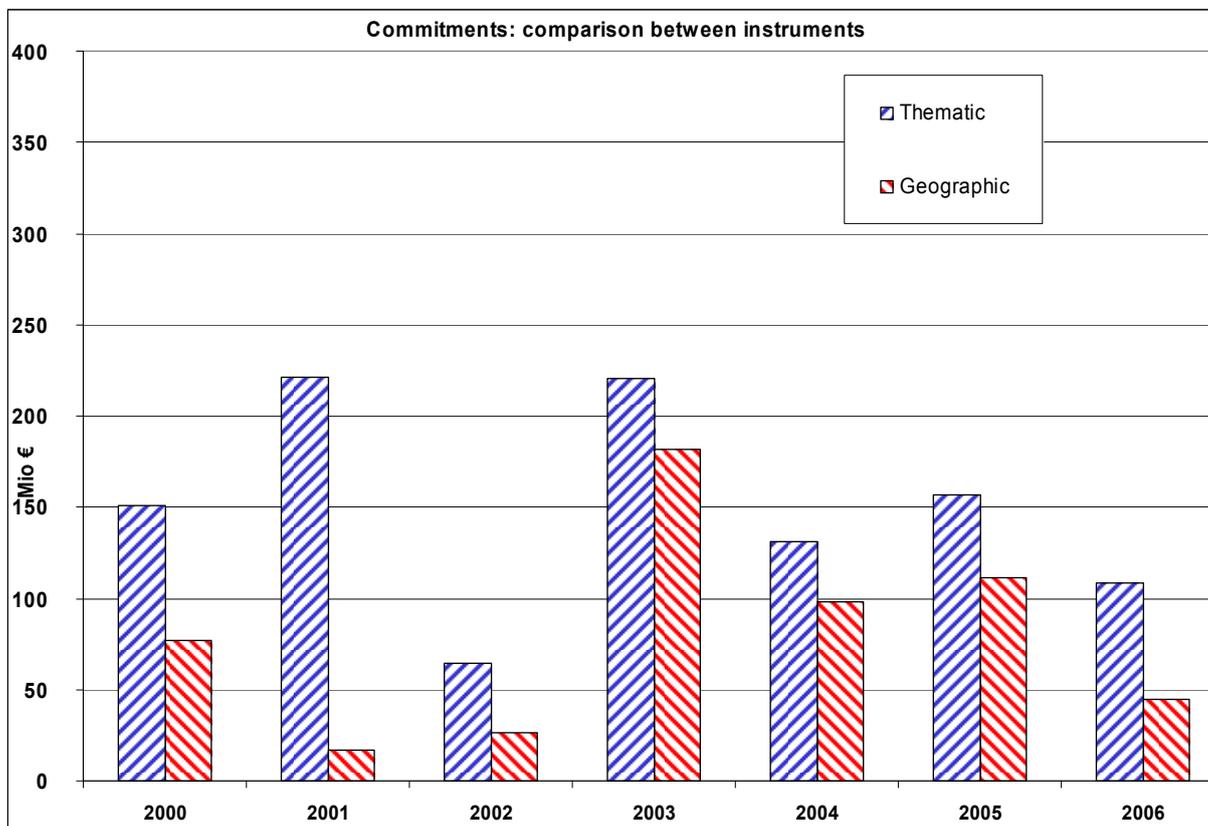


Figure 12: Comparison of commitments and payments channelled through CSOs according to the type of instruments

### 5) Proportion of commitments and payments channelled through CSOs according to their nationality

Northern CSOs clearly receive more money (54%), despite the fact that the scope of the evaluation excludes EU member States and OECD countries. Consortiums led by CSOs could not be classified since they are composed by different nationalities, but they are generally mainly composed by Northern CSOs. Southern CSOs only received 12% of the payments.

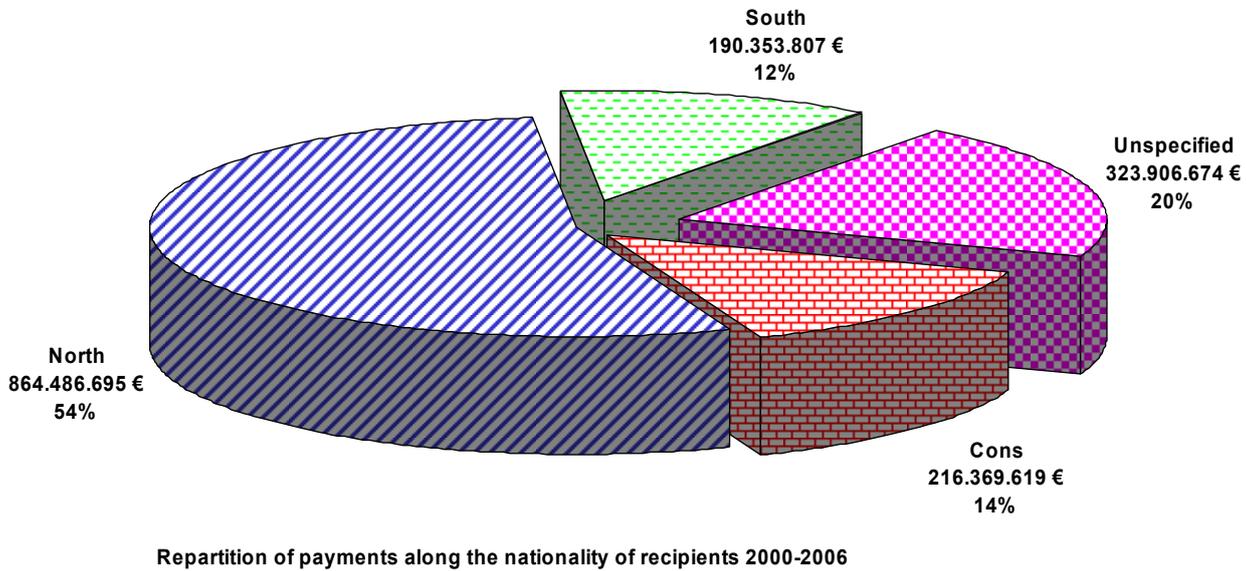


Figure 13: Repartition of payments according to the nationality of the recipients

## **ANNEX IX: Minutes of Focus Groups**

## EC Aid Delivery through Civil Society Organisations

### SUMMARY OF A FOCUS GROUP DISCUSSION with a selected group of Brussels-based CSOs

December 17, 2007

1. The focus group is one of the methodological tools used by the evaluation team to collect information. The Inception Note for the CSO evaluation foresees the organisation of two focus group discussions, targeting respectively EC officials and Brussels-based CSOs. The purpose of these meetings is to engage in an interactive dialogue on a limited set of key questions. Focus group sessions seek to complement other sources of information such as individual interviews, questionnaires, field visits, etc.
2. On 17 December 2007, the focus group discussion with Brussels-based CSOs took place in the office of Particip from 9h30-12h30. Following informal consultations with representative CSO structures including CONCORD, eight actors from various walks of life (development and human rights NGOs, trade unions, political foundations) were invited to participate in the debate.
3. Four main issues were on the agenda:
  - (i) Overall CSO perceptions on EC policies and practices with regard to using the civil society “channel” during the period 2000-2006
  - (ii) Implications of new EC/EU commitments (particularly related to the European Consensus and the Paris Declaration on Aid Effectiveness) on the use of the CSO channel
  - (iii) Evidence on the added value and impact of EC aid delivered through CSOs;
  - (iv) Efficient management of EC aid delivered through CSOs (systems, procedures, capacities, etc.)..

#### *Overall CSO perceptions*

4. CSOs expressed a keen interest in the outcome of this evaluation as the questions of *why*, *when* and *how* to work through CSOs are at the core of the relationship with the EC. They are also increasingly important in the multi-actor environment that currently prevails.
5. Relying upon the CSO channel depends on the objective the EC wants to achieve; However, CSOs stressed that civil society should not merely been seen as a “channel” *through* which aid can technically be delivered. This would entail the risk of (further) fragmenting aid on an instrumental basis. Support *to* CSOs is in itself an objective.
6. When referring to “CSOs” there is still a strong tendency to think mainly about NGOs, without taking fully into account the huge diversity of CSOs as well as the appearance of ‘new’ actors such as the political foundations.

7. It was agreed that the various EC policy frameworks for dealing with civil society (at overall policy, sectoral or regional levels) had evolved substantially over the period 2000-2006. In many ways, there is now a broad consensus among EC and CSOs on the political nature of development and related need to focus on rights, participatory development approaches (in both policy processes and implementation) as well as accountability. EC policy statements also recognise that CSOs are “actors” in development processes (as opposed to mere “beneficiaries”). These positive evolutions create new opportunities for working through the CSO channel.
8. However, CSO participants were of the opinion that has proven difficult for the EC to translate these laudable principles in practice. In the field one can observe innovative approaches towards using CSOs as a channel in a variety of places and sectors, yet at the same time there is a strong persistence of traditional ‘top-down’, ‘supply-driven’ and/or ‘instrumental’ approaches. As a result there is often a major gap or disconnect between policy intentions and actual practice.
9. Various examples were given to illustrate this perceived ‘disconnect’:
  - EC Delegations tend to interpret the new policy orientations is a very heterogeneous way across regions and even within the same geographic context (e.g. ACP). In some cases, the policy instructions are “simply ignored”. As a result, the approach towards CSOs in a given country often depends to a large extent on “the official in charge in a particular moment of time” rather than on a mainstreamed institutional culture.
  - Limited progress with diversifying the range of CSO actors used (beyond traditional NGOs).
  - Mixed experiences with civil society participation. In many cases, instrumental ad hoc approaches towards consulting CSOs still prevail on policy matters, programming and even on the design of support programmes specifically targeting civil society.
  - Limited complementarity/subsidiarity of geographic and thematic instruments in dealing with CSOs. In Francophone Africa, for instance, the focus has clearly shifted towards using the geographic instrument to engage with civil society. However, this funding is very limited. In addition to this, it tends to be based on government priorities (as agreed in the CSP/NIP) with the assumption that CSOs did contribute to setting the agenda (which cannot always be taken for granted). There is limited scope for alternative funding through thematic lines. The Brussels-based CSOs regret that the EC strategy seems to be based on “either-or” rather than on a strategic combination of instruments.
  - There is often a tension between the ongoing process of rationalising EC instruments and the strategic use of CSOs as an aid delivery channel in a flexible way (according to windows of opportunities in a given country/sector/policy area). All too often the instruments were seen to cloud the underlying objective.
  - The tendency to artificially separate the service delivery and advocacy roles of CSOs while in practice CSOs often combine both functions in order to optimise impact.

- Selective use of the CSO channel. A case in point are the elaboration of the recently launched ‘governance profiles’. CSOs were not associated to their elaboration yet the EC foresees a role for civil society in monitoring them.
  - The mismatch between stated policy objectives with regard to using CSOs (e.g. the ambition to reach out towards grassroots organisations) and the rather rigid and constraining procedural requirements (generally blocking the access to funding of small organisations).
10. Several reasons may help to explain the gap between policy ambitions and effective implementation on the ground. EC Delegations and local actors may experience difficulties to getting to know the (evolving) EC policies with regard to civil society. This problem is compounded by the relative lack of ‘operational guidelines’, i.e. concrete practical instructions on “how to do things” with regard to the CSO channel. This was seen as a key “missing link” between general policy declarations and actual aid delivery through CSOs. Reference was also made to the limited dialogue on how best to use CSOs in all available instruments and to tap their full potential in line with stated EC policy objectives (with the notable exception of the EIDHR, where the quality of upstream consultation with CSOs was seen to be much higher). Other reasons relate to the absence of institutional memory on how to deal with CSOs and the tendency to put rather young and inexperienced staff in charge of civil society issues.
11. All this was seen to reflect an institutional culture and incentive system whereby the focus is primarily on “pushing money out of the door” (‘logique guichet’) while ensuring a smooth “bureaucratic” handling and control over the funding delivered through the CSO channel. In this approach, CSOs are essentially seen as actors to be “contracted” for doing a specific job and to be held accountable for the financial use of the resources. Most of the energy and staff time is devoted to the (financial) “administration” of the CSO channel according to prevailing rules and procedures. The key incentive is to close off the project with a clear financial sheet. The focus is *not* on developing strategic partnerships with CSOs, based on common objectives as well as a joint responsibility for achieving results and impact. Some CSO participants with an institutional memory claimed that in the past there had been attempts to construct such a “partnership” and “common agenda” between the EC and CSOs. However, this aspiration has been lost over time as successive reforms at EC level privileged a technocratic-managerial approach towards aid delivery.
12. The point was made that CSOs had done major efforts in recent years to reverse this evolution by pleading for the establishment of a true partnership (beyond a mere financial relationship). The “Vision” document produced by CONCORD in 2005-2006 is but one illustration of such attempts. Brussels-based CSOs are in favour of (i) a much more political and strategic EC use of the CSO channel (in line with the increasingly rights-based approaches adopted in international cooperation); (ii) joint dialogue and programming processes so as to sort out how best to use the added value of CSOs; (iii) a management culture that provides incentives for working together, based on the role division in line with respective comparative advantages; (iv) mutual

accountability for results conceived as long-term change processes in different country contexts, policy processes or sectors.

### ***Implications of new EC/EU commitments***

13. The participating CSOs recognised the importance of new commitments taken up by the EC/EU in the framework of the European Consensus on Governance and the Paris Declaration on Aid Effectiveness. The European Consensus reinforces previous engagements of the EC towards CSOs, especially the need to involve them at all stages of the development process and to provide them with capacity support to play their various roles. The Paris Declaration is likely to have major implications for the way in which aid is delivered, including aid through the CSO channel.
14. Particularly the implementation of the Paris agenda is causing worries in CSO circles. There are undoubtedly positive aspects in the whole Paris process, including the recognition of the need for effective states. CSOs cannot replace the government; complementarity should rather be looked for. However, the fear exists that the rather technocratic approach followed in terms of moving forward the Paris agenda may lead to a re-centralisation of development policy management in the hands of the central state, at the expense of other key players (including CSOs).
15. In the view of the Brussels-based CSOs, the international donor community (including the EC) has not yet done a consistent effort to integrate CSOs in the newly emerging aid architecture based on the Paris principles. It is not clear, for instance, how the EC will provide support to and through CSOs for their role as ‘watchdog’ agencies involved in accountability (e.g. on budget support provided). The CSOs also disagree with the tendency observed at EC level to make a distinction between the CSO role as implementing agencies in service delivery and their role as advocacy agents. In practice, many CSOs are displaying both types of roles and the EC should strive towards adopting a more integrated support strategy encompassing both functions. Besides, the right of initiative of CSOs should be respected despite the commitment to align on partner government priorities.

### ***Evidence of added value and impact***

16. It was recognised that the issue of impact of aid channelled through CSOs is a highly complex one, partly because there is a lack of capitalisation and solid evaluation material of “what works and doesn’t work” in various settings. Also the NGO community has not invested enough in learning processes.
17. CSOs are often used in cases of difficult partnerships but claim to have competencies in other contexts. CSOs are now working on developing integrated programme approaches, taking into account the necessary complementarity between delivering services and playing an advocacy role. CSOs get more and more involved in rights-based approaches.

18. Participants argued that there is substantial evidence showing that short term projects, implemented by CSOs, tend to deliver good results. However, if development is conceived as a major societal transformation process, it is difficult to look for effective changes after a 3-years funded project. Sustainability is also questioned when EC funding is only available for a short period of time.
19. It is recognized that CSOs have their own limits, hence the interest of combining different channels of aid delivery.

### *Efficient management of EC aid channelled through CSOs*

20. CSOs regret that the monitoring by the EC is more focused on contractual and financial aspects than on content ones. The burden of responding to the demands of prevailing procedures is heavy and requires CSOs to dedicate skilled human resources to management issues. Capacity building on EC procedures by European CSOs towards Southern mobilises substantial energy and funding that could be used differently.
21. Concerns were also expressed with regard to the system of calls for proposals. It was argued that CSOs are not sufficiently involved in the programming process of thematic lines and that the selection procedures often lack transparency. This raises a question of cost-effectiveness since much energy is invested by CSOs in tenders and fundraising. It also generates expectations and frustrations from Southern partners to which European CSOs have to explain the situation. CSOs also complained about a perceived lack of experience of EC staff dealing with CSO issues, a situation which may reinforce a tendency to “hide behind contractual aspects”.
22. The point was furthermore many CSOs remain keen to engage with the EC despite the relatively high transaction costs involving in getting access to funding. This is linked to the political status and power of EC and related belief that this can help to achieve positive changes in the field. However, this added value of EC aid is not always optimally used. On the ground, there have been instances of CSOs failing to receive political backing from the EC when problems arise with sensitive projects (e.g. in the field of EIDHR).

## **List of participants**

### *Participants who attended:*

- Julia Ojanen (PLAN)
- Karine Sohet (Aprodev)
- Sian Platt (WorldVision)
- Eva Maaten (European Network of Political Foundations / Friedrich-Naumann-Stiftung für die Freiheit)
- Salvatore Parata (IFTDH-International Federation Terre des Hommes / HRDN)
- Jean-Louis Chomel (EC - Evaluation Unit)
- Jean Bossuyt (ECDPM)
- Frédéric Ceuppens (ECDPM)

### *Participants who were invited:*

- Jan Dereymaeker (International Trade Union Cooperation & Training)
- Susi Dennison (Amnesty International)
- Sevdalina Rukanova (European Foundation Centre)

## EVALUATION OF EC AID DELIVERY THROUGH CIVIL SOCIETY ORGANISATIONS

### *Minutes of Focus Group with EC Officials in Headquarters Brussels, Friday 6 June between 11h00-12h45*

1. In consultation with the Evaluation Unit, it was decided to invite Brussels-based EC officials from both DG-DEV and Aidco with hands-on experience in sector support programme. ***The focus group would address different issues related to the dual role of CSOs –as service providers and advocacy agents.*** These two key functions are now recognised in major EC policy documents, but what does this mean for the management of civil society as an “aid delivery channel”? The focus group with targeted EC officials from DG DEV and EuropeAid aimed at complementing the evidence collected so far on how the EC deals with the CSO channel for service delivery and advocacy purposes in sectors
2. The following questions guided the debate:
  - What are the main overall trends and issues observed with regard to the roles played by CSOs in service delivery and advocacy?
  - How can the EC better involve CSOs active in service provision, either in the context of an SPSP or in other support programmes? What works, what doesn't work in different settings (e.g. fragile states; difficult partnerships; effective partnerships)? What are the main innovations? What challenges lie ahead in better utilising the CSO channel for service provision purposes? Examples of good practices?
  - How much progress has been achieved in using CSOs as a “channel” for advocacy purposes or as “watchdog agencies”? What are the main innovations and challenges encountered? Examples of good practices?
  - What are the EC policies and practices with regard to supporting the growing number of CSOs that engage in both roles (service provision and advocacy) simultaneously? What are the main innovations and challenges encountered?
3. Main points raised during the debate:
  - *Recognition of key role civil society in sectors.* Participants stressed the strategic importance of considering CSOs as full-fledged ‘actors’. If EC wants to achieve development objectives in sectors such as employment, health, social cohesion, migration, the ‘actors-dimension’ is key (e.g.. no effective and efficient employment strategy without the informal sector)
  - *Reaching out to relevant actors.* This is a generic challenge in all sectors. In addition to this, each sector is very different and the configuration of actors to be involved at different levels will also vary. This puts a premium on developing relevant tools for ‘mapping’ the actors

- *Whose agenda?* In broadening cooperation to CSOs, this question deserves more attention. Why does the EC want to channel aid through CSOs? Why do we want to provide capacity development? The risk of instrumentalising CSOs for donor agendas at the expense of CSOs pursuing their own social mission was mentioned. The growing trend to involve CSOs in governance-related processes is also visible in sectors. This raises a wide range of sensitive questions, including donor legitimacy to use CSOs as ‘vehicles’ and ‘domestic constituencies for change’, often against the will of (elected) authorities. How should EC position itself in this arena?
- *Multiple sources of resistance.* A recurrent feature in this regard is the resistance of central governments (ON) to involve NSAs in sector policy dialogue. EC officials are often confronted with a plain refusal to open up the dialogue to other stakeholders, indicating that government does not see CSOs as ‘actors’. Examples were given of resistance encountered from the side of European NGOs, which are keen to preserve their autonomy. It often proves difficult to mobilise these actors for (donor-supported) advocacy activities.
- *Role EC?* There was agreement that it was in the interest of the EC to engage in a more political way with CSOs and to promote advocacy work in sectors. Yet there should be no illusion: in most partner countries this is likely to be a “tough battle” for which EC Delegations (and HQ units) are not necessarily well-equipped.
- *CSOs in new aid modalities?* Examples were provided of innovative approaches aimed at integrating CSOs in sector-wide approaches, with a focus on advocacy and a possibility to access funding. In several countries, the use of a “bridge programme” proved useful to make the transition from traditional CSO projects to participation in sector (budget) processes. The Paris Declaration was seen as a major opportunity to expand the space for CSOs in policy processes
- *Lessons learnt?* Participants agreed on the central importance of programming in making strategic choices on the use of the CSO channel in a given country and sector. The quality of the programming process could be much enhanced (e.g. in terms of degree of preparation; strategy development; participatory approaches; political analysis, actors mapping). The role of the NSA focal point is crucial as a nexus between official cooperation processes and CSO actors
- *Capacity challenges at the level of the EC.* There was broad recognition that the shift towards a more political approach to working with CSOs posed major institutional challenges for the EC. A major worry was expressed that the “boat is already overloaded” with reforms and that the Commission may need “a pause” to properly digest the major changes occurring in international cooperation

EC officials present : Camilla Hagstrom, Susana-el KUM, Christoph Pelzen, Miriam Pikaar, Maria Razquin and Susanna Wille from Aidco - Anthony Crasner from DG-DEV

**ANNEX X: Proposed evaluation questions,  
judgement criteria and indicators**

**CLUSTER A : POTENTIAL ADDED VALUE AND COMPARATIVE ADVANTAGE CSOs  
(criterion of relevance)**

**EQ 1**

**To what extent and how has the EC *defined* the rationale for delivering aid through CSOs in different political, geographical and thematic contexts?**

Judgement criteria

Indicators

1.1 The European Commission has clearly specified the *potential added* value of CSOs

1.1.1 Extent to which the European Commission has provided a clear justification for delivering aid through CSO

1.1.2 Extent to which the European Commission has defined the role and potential added value of the various CSOs as aid delivery channel (i.e. as implementing agencies or in relation to their 'own initiatives')

1.1.3 Extent to which the European Commission acknowledges the complementarity of roles between civil society and the state and their interaction (at central and local level)

1.2 The European Commission has developed a clear and consistent *overall policy framework* for using CSOs as aid delivery channel

1.2.1 Extent to which European Commission strategies, legal frameworks, regulations and policies towards CSOs have taken into account the different political and geographical contexts

1.2.2 European Commission strategies and policies towards CSO are underpinned by a solid analysis of state-civil society relations and related division of roles in the development process

1.2.3 European Commission policies spell out a clear set of policy objectives and expected outcomes for aid delivery through CSOs

1.2.4 European Commission policies make clear choices with regard to the various CSO groups to be targeted/supported (e.g. role division between European and local NGOs)

1.2.5 Extent to which the overall policy framework towards CSOs addresses issues of EC visibility

## EQ 2

**To what extent has the EC made clear choices at the *programming level* with regard to delivering aid through CSOs in country/regional strategy papers; in (post-) conflict situations/failed states/ or ‘difficult partnerships’; as well as in sectoral and thematic priority areas of intervention ?**

### Judgement criteria

2.1 *Country and Regional Strategy Papers* make clear choices with regard to the overall use of CSOs as aid delivery channel

2.2 The European Commission addresses aid delivery through CSOs in (post-) conflict/fragile states/or ‘difficult partnerships’ (where CSO activities are carried out in the absence of a streamlined policy)

### Indicators

2.1.1 Country and Regional Strategy Papers elaborate on the role of CSOs in the development process

2.1.2 Country and Regional Strategy Papers elaborate on the complementarity of roles between the various actors (central and local authorities, CSOs, private sector, etc.) in the implementation of (sector) programmes, including the scope for public-private partnerships

2.1.3 Due account is taken of the diversity of CSOs and their respective roles and comparative advantages

2.2.1 The European Commission has included a solid political-institutional analysis of the ‘space’ available to engage with CSOs in its programming

2.2.2 Strategic windows of opportunities for channelling aid through CSOs have been identified

2.2.3 The delivery capacity of CSOs has been assessed

2.2.4 Phasing-out strategies, aligned to the political evolution, are considered

2.3 The EC addresses aid delivery through CSOs in *sectoral and thematic priority areas of intervention*

2.3.1 European Commission supported priority sectors of intervention elaborate on the potential role and added value of CSOs as implementing agencies

2.3.2 European Commission supported priority sectors of intervention elaborate on the complementarity of roles between the various actors (central and local authorities, CSOs, private sector, etc.) in the implementation of the (sector) programmes, including the scope for public-private partnerships

**CLUSTER B: CONSISTENCY WITH POLICY OBJECTIVES (criterion of consistency)**

**EQ 3**

**To what extent and how has European Commission aid channeled through CSOs been *consistent* with stated policy objectives or programming choices *regarding CSO roles* (including *service delivery* in the context of poverty reduction strategies and *advocacy work*)?**

Judgement criteria

Indicators

3.1 The European Commission has ensured overall consistency in the support provided to CSOs involved in service delivery in the various sectors of intervention

3.1.1 Extent to which European Commission-supported programmes have consistently involved CSOs in service delivery, in line with programming choices and taking into account specific geographic and political

3.1.2 Extent to which the European Commission-supported programmes channeled through CSOs have considered the necessary articulation and complementarity with the role of central and local authorities in the provision of services

3.1.3 Extent to which European Commission-supported programmes have used CSOs as aid delivery channel to reach out to poor and marginalised communities

3.1.4 Extent to which European Commission-supported programmes have framed the

support to CSOs involved in service delivery in a long-term perspective (including the phasing out strategies for project support and sustainability issues)

3.2 The European Commission has ensured overall coherence in the support provided to CSOs involved in advocacy work (in relation to the principles of ownership, partnership and in-depth political dialogue)

3.2.1 Extent to which European Commission-supported programmes have consistently and coherently involved CSOs in advocacy work, taking into account specific geographic and political contexts

3.2.2 Extent to which the European Commission has promoted and/or facilitated the participation of civil society in policy processes and political dialogue in different geographic and political contexts

3.2.3 Extent to which the European Commission has included a role for advocacy CSOs in general and sector budget support

#### EQ 4

**To what extent and how has European Commission aid channeled through CSOs been consistent with stated policy objectives or programming choices regarding *actors* to be supported as well as *approaches* and *instruments* to be used?**

Judgement criteria

Indicators

4.1 The European Commission has ensured overall consistency in its support to the different categories of *actors* from civil society it seeks to reach

4.1.1

Extent to which European Commission-supported programmes have channeled aid through a variety of CSO actors (from third countries as well as Europe), taking into account their respective comparative advantages in delivering development outcomes

4.1.2 Extent to which European Commission-supported programmes have provided capacity/institutional development support to the various actors through which aid is channeled (as envisaged in policy documents)

4.1.3 Extent to which European Commission interventions have addressed the relationship between CSOs (as implementing agencies)

and the ultimate beneficiaries (e.g. communities)

4.1.4 Extent to which European Commission-supported programmes have been able to accommodate the evolving roles of civil society from third countries and to adapt its support to European civil society actors accordingly

The European Commission has ensured overall consistency in the various *approaches* used to channel aid to CSOs

4.2.1 Extent to which European Commission-supported programmes have duly taken into account the possible comparative strengths and weaknesses of the various approach(es) to channel aid through CSOs in a given geographic and political context

4.2.2 Extent to which European Commission-supported programmes have used an adequate “mix” of approaches for channelling aid through civil society

4.2.3 Evolution over time in the use of EC approaches to channelling aid through CSOs in priority sectors of intervention

4.3. The European Commission has ensured overall consistency in the various *instruments* used to channel aid to CSOs

4.3.1 Extent to which European Commission-supported programmes have duly taken into account the possible comparative strengths and

weaknesses of the various instruments available to channel aid through CSOs in a given geographic and political context

4.3.2 Extent to which the European Commission-supported programmes has used an adequate “mix” of instruments for channelling aid through civil society

4.3.3 Evolution over time in the use of EC instruments for channelling aid through civil society

## EQ 5

**To what extent and how has European Commission aid delivered through CSOs been coherent with relevant *new commitments* related to the Paris Declaration on Aid Effectiveness, particularly with regard to capacity development of CSOs in the context of *sector and budget support*?**

### Judgement criteria

### Indicators

5.1 European Commission aid channelled through CSOs is coherent with relevant commitments made in the framework of the Paris Declaration on Aid Effectiveness (particularly the participation of CSOs in

5.1.1 Extent to which the European Commission has strategically reviewed/adapted aid delivery through CSOs in the light of the Paris Declaration

5.1.2 Extent to which the European Commission has

the formulation and implementation of nationally owned policies and budget support facilities)

developed country specific strategies/approaches for implementing the Paris Declaration with regard to civil society

5.1.3 Extent to which the European Commission has developed with other donors a harmonised approach to enhance meaningful participation of CSOs in the programme-based aid modalities (such as general and sectoral budget support), including through capacity building measures

5.1.4 Extent to which the role of CSOs as conduits for ensuring downstream accountability has been supported

5.1.5 Level and quality of coordination and complementarity with other donors with regard to using CSOs as aid delivery channel

**CLUSTER C: IMPACT AND SUSTAINABILITY (criterion of effectiveness and sustainability)**

**EQ 6**

**To what extent and how have European Commission strategies, programmes and projects, delivered through CSOs, contributed to achieving key EC/EU development objectives?**

Judgement criteria

Indicators

6.1 EC aid delivery through CSOs contributed in an effective and sustainable way to delivering basic social services to poor and marginalised communities

6.1.1 Extent to which the European Commission combines various approaches and instruments for reaching out to poor and marginalised communities and effectively deliver social services

6.1.2 Evidence of effects and impact on the delivery of basic social services to poor and marginalised communities in an effective, efficient, and equitable way;

6.1.3 Evidence of effects and impact on empowerment of communities and citizens to claim social services from the state

6.1.4 Evidence of enhanced complementarity and role division between state and civil society in the delivery of services (including public-private partnerships)

6.1.5 Evidence of sustainability of social services delivered through CSOs

6.2 EC aid delivery through CSOs contributed to improved participation in policy and governance processes

6.2.1 Extent to which the European Commission combines various approaches and instruments for enhanced impact on CSO participation in policy and governance processes

6.2.2 Evidence of effects and impact on ownership of development strategies

6.2.3 Evidence of effects and impact on quality of partnership

6.2.4 Evidence of effects and impact on political dialogue processes

6.2.5 Evidence of effects and impact of CSO engagement in sector and budget support processes (including as “watchdog agencies”)

6.2.6 Extent to which EC aid delivered through CSOs contributed to progress towards building a legitimate, effective and viable CSO sector

6.2.7 Evidence of enhanced financial autonomy and sustainability of supported CSOs

6.3 EC aid delivered through CSOs has contributed to progress towards local economic development

6.3.1 Extent to which the European Commission combines various approaches and instruments for enhanced impact on local economic development

6.3.2 CSOs have been enabled to participate in the formulation and implementation of local development strategies and plans and to influence policy choices and resource allocation

6.3.3 Evidence of effects and impact on local economic development and wealth creation

6.3.4 Evidence of sustainability of European Commission-supported programmes aimed at promoting local economic development

**EQ 7**

**To what extent and how have European Commission strategies, programmes and projects, delivered through CSOs, provided a relevant and effective development response in (post-) conflict situations/fragile states/'difficult partnerships?**

Judgement criteria

EC aid delivery through CSOs contributed to progress towards effective and sustainable cooperation in (post-) *conflict countries situations/fragile states/'difficult partnerships*

Indicators

7.1.1 Windows of opportunities for channelling aid through CSOs have been effectively used used

7.1.2 Evidence of effects and impact on broadening "space" for civil society participation and voice

7.1.3 Evidence of effects and impact on conflict prevention and/or resolution (including LRRD)

7.1.4 Phasing-out strategies, aligned to the political evolution, have been envisaged and/or acted upon

7.1.5 Evidence of sustainability of EC aid channelled through CSOs in conflict countries/fragile states

## CLUSTER D: MANAGEMENT ISSUES (criterion of efficiency)

### EQ 8

**How efficient is the overall channel of CSOs in terms of achieving key EC/EU development objectives?**

**This question will provide overall information on the CSO side of this channel efficiency but will concentrate on the EC side of efficiency<sup>1</sup>. The main question will be to evaluate following question: How efficient are the European Commission management systems (in terms of programming modalities; funding modalities and procedures; monitoring mechanisms) in terms of using CSOs as an aid delivery channel ?**

#### Judgement criteria

8.1. The European Commission has efficient systems and processes to *programme* aid channelled through CSOs in line with stated policy objectives and programming choices

#### Indicators

8.1.1 The European Commission has engaged in a dialogue with CSOs on programming of various geographic and thematic instruments

8.1.2 European Commission processes and mechanisms have been coherently used for the identification and selection of appropriate CSOs that match the European Commission's policy objectives and its geographic and thematic instruments

8.1.3 Extent to which the European Commission has developed modalities for enhancing dialogue with CSOs and their participation in

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<sup>1</sup> Assessing the efficiency of the channel means assessing the efficiency of the CSOs as well as of the EC. The decision has been taken at the inception stage to focus on EC efficiency.

programme based aid modalities such as budget support

8.1.4 Quality of the dialogue with governments on aid delivery through CSOs

8.2. The European Commission has efficient management systems and procedures for channelling aid through CSOs

8.2.1 Extent to which EC funding requirements and procedures are adapted to CSO capacities and potential

8.2.2 Extent to which the European Commission has developed management systems that are adapted to CSOs working in difficult partnerships

8.2.3 Extent to which CSOs have been able to implement programmes and projects through existing funding modalities of geographic and thematic instruments

8.2.4 Extent to which the issue of EC visibility is adequately addressed in aid channelled through CSOs

8.3. The European Commission has efficient mechanisms in place for monitoring and evaluating the use of the various approaches and procedures, and for dialogue on lessons learned

8.3.1 Effective and efficient mechanisms are in place to monitor the adequacy of the funding and aid delivered through CSOs

8.3.2 Existence of a regular dialogue with the European Commission on perceived inadequacies in the funding

- and implementation modalities
  - 8.3.3 Extent to which relevant lessons inform and stimulate adaptations in these modalities and procedures,
  - 8.3.4 Extent to which lessons learned are shared with CSOs
- 8.4. The necessary capacities are in place to manage aid delivered through CSOs
  - 8.4.1 The European Commission has an appropriate appreciation of the capacities required at the level of CSOs for effective aid delivery
  - 8.4.2 Capacity gaps within the European Commission have been identified for efficient aid delivery through CSOs
  - 8.4.3 Existence and quality of an overall capacity building strategy with the European Commission for dealing with CSOs as aid delivery channel
  - 8.4.4 Existence of a learning curve within the European Commission with regard to using CSOs as aid delivery channel
- 8.5. The CSOs have efficient management systems and procedures for channelling and monitoring aid from EC
  - 8.5.1 Extent to which CSOs have put in place management modalities (project management, operational set-up, procedures) that are adapted to this channel of aid
  - 8.5.2 Extent to which CSOs have put in place financial management modalities

(financial set up, monitoring of financial flows, accountant capacities) that are adapted to this channel of aid

8.5.3 Extent to which CSOs have developed management systems that are adapted to the work in difficult partnerships

8.5.4 Extent to which CSOs have developed specific approach to select partners and ensure the impact on most vulnerable groups

8.5.5 Extent to which CSOs have developed specific participation mechanisms to ensure ownership and coordination with other actors

8.5.6 Extent to which CSOs have put in place M&E system that ensure capitalisation among actors and the identification of best practices

8.5.7 Extent to which CSOs have developed their own capacities to manage this channel

8.5.8 Extent to which CSOs have been able to implement programmes and projects through existing funding modalities of geographic and thematic instruments

## **ANNEX XI: Background Information on EC objectives and the CSO channel**

## ANNEX XI: Background Information on EC objectives and the CSO channel

### XI - a) The main EC policy documents towards CSOs

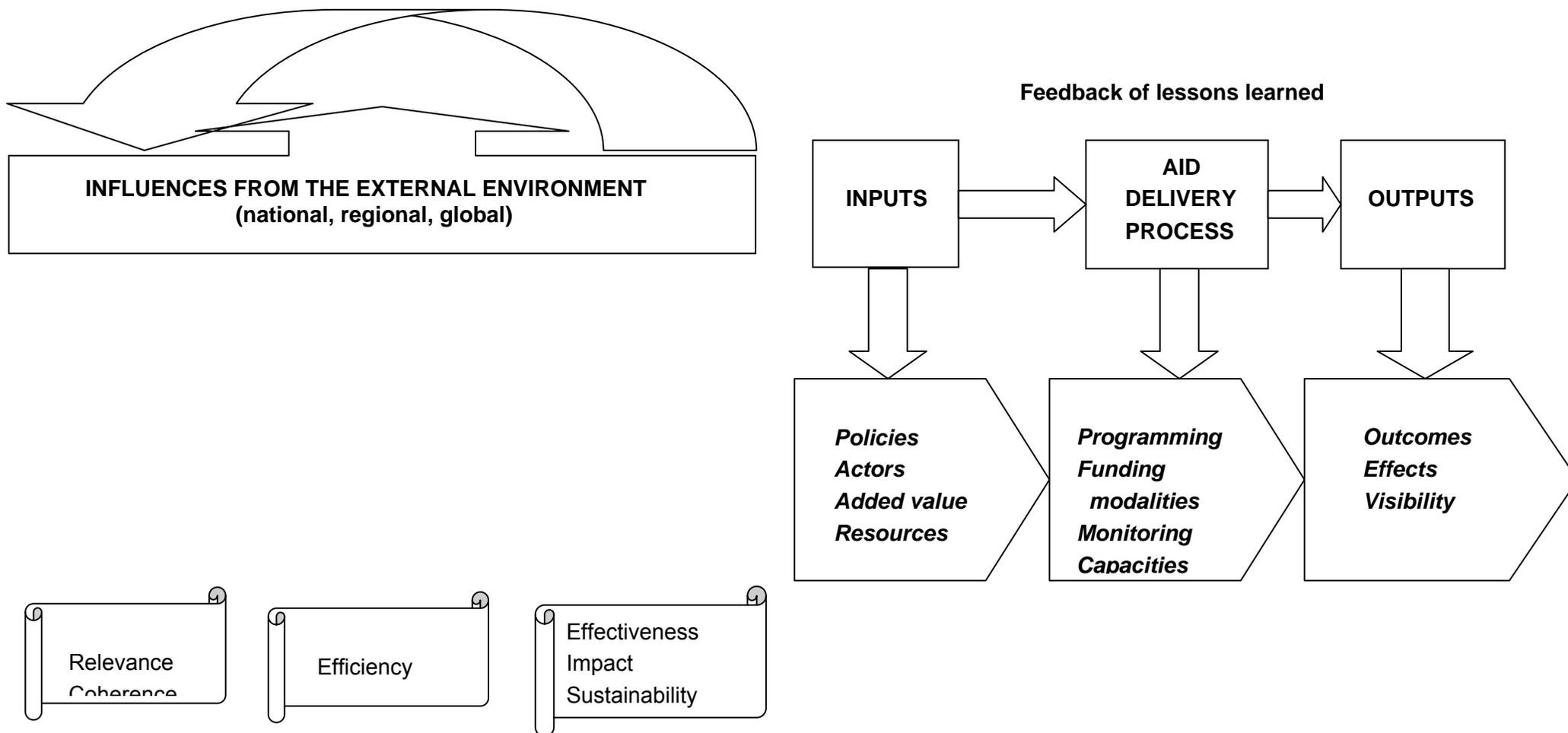
Overall policy documents (from 2000)	Main messages
<i>Joint Council/Commission Policy Statement on EC's Development Policy (2000)</i>	<ul style="list-style-type: none"> <li>• Ownership of strategies by partner countries is key to success development policies;</li> <li>• Most wide-ranging participation of all segments of society must be encouraged.</li> </ul>
<i>European Governance White Paper (2001)</i>	<ul style="list-style-type: none"> <li>• Need to strengthening dialogue with non-governmental actors in third countries when developing policy proposals with an international dimension;</li> <li>• Recognition of the important role of CSOs in supporting the hard reaching populations and their early warning capacity for the direction of political debate.</li> </ul>
<i>EC Communication on the Participation of Non-state actors in development policy (2002)</i>	<ul style="list-style-type: none"> <li>• Participatory approach must be applied while respecting particular situation of the country and the central role of government complemented with decentralised authorities, business sector, etc.</li> <li>• Need to engage with diversity of actors;</li> <li>• Distinction between three civil society roles : operational, advocacy and decisive factor in public private partnerships;</li> <li>• Need to involve CSOs “permanently and systematically” in programming process;</li> <li>• Distinction between CSOs acting as “implementing partners” and carrying out their “own initiatives”;</li> <li>• Change is required in role Northern CSOs</li> <li>• Need to provide CSOs with financial resources and capacity building in order to assume their role in policy processes;</li> <li>• Eligibility criteria for CSOs, including requirement to operate in transparent and accountable manner;</li> <li>• Special attention to small and grassroots organisations;</li> <li>• Coordination with Member States is an effective way to strengthening political dialogue on CSO participation;</li> <li>• Recognition of central role HoD.</li> </ul>
<i>General Affairs and External Relations Council (GAERC)</i>	<ul style="list-style-type: none"> <li>• Encourages the Commission and the Member States to adopt a “framework of principles and practices” for civil society consultation as well as “appropriate monitoring systems” based on quality criteria to assess the quality of participation.</li> </ul>
<i>European Consensus on Development (2006)</i>	<ul style="list-style-type: none"> <li>• Support to a broad participation of all stakeholders in countries' development and in the political, social and economic dialogue processes in all their dimensions and at different levels;</li> <li>• Recognition of diversity of civil society and their vital role as promoters of democracy, social justice and human rights;</li> <li>• Commitment to enhance EU support for building capacity of non-state actors on order to strengthen their voice in the development process and to advance political, social and economic dialogue;</li> <li>• Recognition of the important role of European civil society;</li> <li>• Development assistance can be provided through different modalities that can be complementary, including support to and via</li> </ul>

	the civil society.
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### **XI – b) Comparison regional regulations**

	<b>ACP</b>	<b>MEDA</b>	<b>ALA</b>	<b>TACIS</b>
<b>1) CSOs as a diverse group of actors</b>	Recognised	Recognised	Recognised	Not mentioned
<b>2) Legal provisions on the roles of CSOs</b>				
<i>CSOs consulted on cooperation policies/strategies</i>	Recognised	Not mentioned	Not mentioned	Not mentioned
<i>CSOs involved in cooperation projects/programmes</i>	Recognised	Recognised	Not mentioned	Not mentioned
<i>CSOs as actors of governance processes</i>	Recognised	Recognised	Not mentioned	Not mentioned
<b>3) Financial support provisions on the roles of CSOs</b>				
<i>CSOs as a beneficiary of the regulation</i>	Recognised	Recognised	Recognised	Not mentioned
<i>Capacity building support for CSOs</i>	Recognised	Not mentioned	Not mentioned	Not mentioned
<i>Promotion of exchanges between EU-non EU CSOs</i>	Not mentioned	Recognised	Not mentioned	Not mentioned

**XI - c) Understanding an aid delivery channel and its dynamics**



## **ANNEX XII: Detailed Recommendations**

## ANNEX XII: Detailed Recommendations

### XII – a) NSA programmes

In recent years, a new type of programme has been launched in many countries aiming at supporting CSOs. An evaluation of these programmes should be launched in order to draw the lessons and define guidelines of a new generation of CSO support programmes.

These programmes should follow a systemic approach of capacity building, focus on a multi-actor partnership, define the role and added value of the PIE and adapt the procedures (esp. call for proposals) to the objective of the programme.

#### **1) Follow a systemic approach of capacity building**

Depending on the context, NSA support programmes will one or several of the following themes :

- ;
- a) Capacity building of a large panel of NSA : based on i) a detailed mapping of NSA covering their strengths and weaknesses at various levels (macro, meso and micro), ii) the organisation of a participatory needs assessments to identify main fields of NSA strengthening (drafting of sectoral strategies, setting internal dialogue ; training on instruments, approaches and financing modalities, conflict management, lobbying, PCM, procedures, funding), and drafting of a CB strategy covering training, information exchange, network,...); iii) the move from a primarily technical approach to capacity building (focused on structures, systems and processes) to a much more solid institutional development approach (that also looks at issues of culture, leadership, incentives, organisational behaviour and incentives for change), iv) the implementation of training and strengthening activities and v) monitoring & evaluation of effects/impact on behaviour
- b) Strengthening of regional and national NSA-platforms (representativity, visibility and credibility). This could be achieved by i) analysing existing mechanisms and structures and their strengths and weaknesses, support a large discussion on networking finality, assess functions to be dealt with at regional versus national levels, facilitate negotiation process between top-down dynamics and bottom-up dynamics ; ii) setting up a communication and information system ; iii) identify and capitalize on existing experiences, including the set up pf thematic groups working on key national issues, the organisation of thematic conferences and the dissemination of best practices ;iv) support the concertation among NSAs ; improve internal NSA governance by drafting a standard code of conduct, support compliance with participatory management rules, reinforce transparency of decision taking processes and v) improve the sustainability of the platform by drafting a NSA development strategy integrating internal financial contribution for functioning, searching for long-term core funding, avoiding duplication of services and structures (rationalisation of services) and ensuring skills for funding search
- c) Strengthening the concertation between various types of actors (NSA, government, local authorities and donors) by 1) ensuring communication and dialogue between them (multi-actor dialogue on sectoral strategies, analysis on linking decentralisation process with NSA for local development,...), ii) discussing on the added value of each type of actor, and iii) organizing training on concertation and negotiation.

- d) Clarify the legal framework by i) improving dialogue between NSA and Government on NSA legislation, NSA roles and obligations; ii) decentralizing legal texts (including translation in local language), iii) decentralising recognition process for CSOs and iv) ensuring a legal basis for network activities
- e) Set up a participatory process toward global coherence of CSO support programme by i) ensuring the coherence between national platforms and thematic networks, ii) improving harmonization's of approaches and instruments towards CSO for all EC instruments and all donors, and iii) ensure the linkages to the governance agenda
- f) Provide and monitor a fund for financing CSO activities, which are allocated through a call for proposals (see section on CfP for more information).

## **2) Focus on a multi-actor partnership**

Beside government and EC delegation / headquarter, NSA structures should be key in the management of the NSA support programme. NSA representatives shouldn't be selected through on tender procurement but co-opted by CSO organisations.

In order to avoid conflict of interest situation, role of NSA representatives should focus on programme guiding and not on implementation (especially concerning the evaluation of proposals for the CfP).

In case of weak platform organisations, a specific focus should be given to enabling regional and national organisations to participate to the steering committee.

NSA participation the drafting of the programme is key and should be given enough time in order to ensure participation of all categories of actors.

In countries with a functioning decentralization system, integrate local authorities in the management process (involve them in selection committees, add a coherence check with local development plans for the proposals,).

## **3) Define the role and added value of the PIE and selection process**

As CSO support programmes are not only focusing on technical issues but also on policies, the selection of the intermediary agency responsible for programme management is key.

ToR should consider specific requirements for TA such as on facilitating dialogues between actors, empowering national structures to build networks, focusing on management issues while giving the driving seat to national platforms for guiding the programme, having a good knowledge linking instruments, approaches and financing modalities to CSO support, as well as a long experience with policy support and aid programming.

The ToRs should also insist on a the quality of the expertise to be provided (thematic and communicative skills) as well as on a regular and qualitative backstopping (methodological skills and capitalization).

NSAs structures should be involved in the selection process, or at least be in the position to ensure its transparence.

The PIE should ensure a participatory management of the programme, guarantee the neutrality in the selection process and the compliance with the EC rules (assessors, CfP, procurement procedures) and implement the CSO agenda.

## **4) adapt the procedures (esp. call for proposals) to the objective of the programme.**

- Procedures such as the call for proposals may function properly in well-established 'markets' with sufficient CSO 'supply' of services or expertise. In developing countries, especially where CSO capacity is relatively weak and

fragmented, or in fragile states, where the number of specialised INGOs is often very limited, procedures and financing mechanisms ought to be adapted and applied so as to flexibly tap the potential of the different types of CSOs.

- draft specific guidelines for each call for proposal in a participatory manner and integrating national specificities.
- Discuss with CSOs the scope of the CfP (f type of sectors / activities eligible; focus on region or on thematic issues such as governance, poverty reduction or migration)
- Define the amount of the minimum and maximum budget for the proposals based on the target groups.
- Develop strategy to involve small CSOs (a possibility is to have low maximum budget but this implies a lot of resources for managing them. Another possibility should be to call for programmes regrouping small CSOs, with specific transparent procedures and a strong CB component from the managing CSO). Also possibility to translate them into national or local language.
- Clarify the problem of guaranty for the grants (necessary for the grants financed through the work estimates and to be ensured by the PIU). Most of CSOs do not have the financial capacity to take this responsibility so that they cannot automatically tender for or act as PIU.
- On the other hand, these guaranty cost may be very high depending on the amount of grants disbursed (in one programme 50.000 euros will have been spent at the end of the programme)
- improve the transparency of the selection process (adapt involvement of CSO in selection process using their specific knowledge of context and actors by ensuring the absence of conflict of interest, integrate key persons well-known for their neutrality selection committee; select assessors and verify absence of conflict of interest<sup>39</sup>, ensure professional management of the 4 phases, involve 3 assessors for the assessment of the proposals; ..)
- strengthen CSO capacities to participate to CfP (set up a CB strategy together with a national platform; organise regional information sessions on CfP; identify representative CSOs and train them to act as trainer for the other CSOs in the regions; put all information and support tools online,...)
- launch the CfP as soon as possible in the process so as to increase the duration of the projects to be financed.
- In order to make CfP accessible to less professional CSOs: (i) Derive standard grant procedures (and budget ceilings) and adapt them to the standards of (local) CSOs with limited financial/administrative capacity, to improve their capacity to access EC funding independently; (ii) publish CfP in vernacular languages; adapt timing and provide follow-up (coaching) to applicants, by pre-selecting 'champions' with a very good idea but with insufficient technical capacity to fill in the form; (iii) adapt reporting mechanisms to their capacity; (iv) allow grantees to fail and learn from their mistakes.
- This type of CfP should have a strong FACILITATION/COACHING component – whereby competition is not an end in itself. CSOs can also be advised to work together when there are synergies. EC is involved in supporting project design, right from the beginning, in a “partner” logic.
- More ideas to improve call for proposals procedures: (i) change the evaluation grid in order to award proportionally more points to the relevance of the action than to the management capacity of the applicant; (ii) award more points to capitalization than on innovation; (iii) pay special attention to EU/local CSO

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<sup>39</sup> The issue of contracting international Assessors may bring more neutrality but is not automatically the case.

partnership standards (downward accountability to constituencies, horizontal accountability to local governments, longstanding versus artificial partnerships); (iv) define guidelines in a participatory manner together with civil society and governments (e.g. specially local – this can contribute to fostering trust and search for common agendas between CS and state actors).

- launch an evaluation to assess the impact of FWC and procurement procedures in the use of local CSOs

## **XII – b) Possible typology of CSO strategy in situations of fragility**

### **Take context as a starting point for a CSO strategy – what does it mean for situations of fragility?**

In contexts of fragility, possible EC engagement strategies vis-à-vis CSOs will differ substantially according to the specific context. Broadly, one can distinguish between three situations:

#### **1. *The State imposes extreme restrictions on engagement with CSOs:***

The State is extremely oppressive against CSOs and contacts between donors and CSOs pose difficulties or may even be impossible.

Here the EC could utilise its presence, and whatever informal or formal access it can have with CSOs to actively:

- (a) develop a deeper understanding of conflict dynamics, key actors (including CSOs) and potential change agents, also looking beyond the country and focusing on the potential roles of Diasporas, political refugees, or specialised INGOs that may benefit from space that is not offered to domestic CSOs;
- (b) develop low-profile support strategies (e.g. capacity development abroad) and prepare the ground for more substantial or ambitious forms of engagement when opportunities arise;
- (c) provide a protective cover against human rights violations.

#### **2. *Tense relationship between the State and CSOs:***

Authorities don't resort to repression against CSOs but on the other hand are not inclined to engage with them either; donors can still work through CSOs.

In this case, the EC could:

- (a) assess the scope for widening the space (legislative, policy, operational) for CSOs to operate;
- (b) develop appropriate tools and sufficient resources for direct support to CSOs, since the state may act as a gatekeeper if donor resources were to transit through authorities;
- (c) when domestic CSO capacities are weak, explore options for capacity development by specialised NGOs.
- (d) engage with CSOs that might fall out of the scope of restrictive regulations (e.g. because they are informal, or because they are not as structured as NGOs) or which might be strategic to government interests (e.g. farmer associations; mass-based organisations);
- (e) explore the option of using a public institution as an intermediary to channel funds to CSOs (which will act as sub-contractors and deliver services in the public interest) to foster a culture of collaboration and trust, and contributes to the co-production of services.

#### **3. *CSOs and authorities are willing to work together:***

**The country is fragile but** authorities are open to CSOs, and are even to some degree prepared to work with them – though capacities to do so may be rather weak

In this case, the EC could:

- (a) carefully combine its various instruments and approaches so as not to pit the one against the other;
- (b) explore opportunities for INGOs and domestic CSOs to move beyond emergency aid and service delivery, and gradually engage in developing joint programmes and sector wide approaches.

In addition, a number of basic principles have to be taken into account when developing a strategy for engagement with CSOs in fragile situations:

- (a) be sensitive to the likelihood of enhanced tensions due to the injection of external resources in an environment that is usually characterised by an explosive mix of scarcity, polarisation and exclusion.
- (b) Assess security related risks and the opportunities to engage in more substantial security system related reforms, which may contribute, over the longer term, to creating a more secure environment for CSOs to operate in. In parallel, EC should also strengthen the capacities of CSOs to assess threats to their security and to develop mitigation strategies.

## **ANNEX XIII: Selected bibliography**

## ANNEX XIII: Selected Bibliography

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**ANNEX XIV:** Consistency table: Findings →  
conclusions → recommendations

## STRENGTHS AND WEAKNESSES - GENERAL CONCLUSIONS – GENERAL RECOMMENDATIONS

Main findings		Main conclusions		Main recommendations
<ul style="list-style-type: none"> <li>• <b>Policy commitments since 2000</b></li> <li>• EC has committed to an ambitious participatory development agenda, reflecting a paradigm shift:</li> <li>• Development cooperation is a multi-actor participatory process</li> <li>• Civil society is recognised in all its diversity</li> <li>• CSOs are not only implementing agencies but also promoters of democracy, justice and human rights</li> <li>• EU commits to strengthening CSOs to fully participate in political, economic and social dialogue processes</li> <li>• Development assistance includes support <i>to</i> and <i>through</i> CSOs</li> </ul>	→	<p style="text-align: center;"><b>General conclusion</b></p> <p>On many fronts, <i>progress</i> was achieved, reflected in innovative strategies and practices towards CSOs (seen as development actors in their own right) across regions, sectors of intervention and instruments. However, the Evaluation Team also found evidence of <i>major gaps between EC policy commitments towards civil society and actual implementation practices</i>.</p>	→	<p style="text-align: center;"><b>General recommendation</b></p> <p>Building on existing good practices, the EC needs to drastically improve the overall use of CSOs as aid delivery channel. This implies (i) ensuring greater consistency with stated policy objectives; (ii) making a better use of the added value of CSOs; (iii) improving conditions to ensure sustainable impact and (iv) removing political and institutional barriers for a strategic, effective and efficient use of the CSO channel.</p>
<p style="text-align: center;"><b>Strengths</b></p> <p>Major ‘positive developments’ can be observed and reflected in innovative strategies and practices towards CSOs across regions, sectors of intervention and instruments.</p> <ul style="list-style-type: none"> <li>• Further policy developments (Improvements in programming processes, Efforts to engage with non-traditional CSOs,...)</li> <li>• Growing support provided to CSOs in their role as dialogue partners or advocacy agents</li> <li>• Wide range of innovative approaches and emerging good practices with regard to the use of CSOs as aid delivery channel</li> <li>• New generation of CSO capacity development programmes (mainly in the ACP region)</li> <li>• Improvement of EC’s internal management capacity</li> <li>• Provision of operational guidance to EC Delegations and initiation of internal learning processes</li> <li>• <i>Positive contributions</i> made by EC funded interventions through the CSO channel in (i) the delivery of social services to the poor; (ii) empowerment and participation in governance processes; (iii) local (economic and social) development</li> </ul>	→	<p>CSO channel is used effectively to bring about positive change at project level, including in difficult partnerships or conflict situations.</p> <p>The adoption of the participatory development agenda is gradually changing the use of the CSO channel</p>	→	

<b>Weaknesses</b>
Major gaps between EC policy commitments towards civil society and actual implementation practices in using the CSO channel:
Lack of consistent institutionalisation of the participatory development agenda
<ul style="list-style-type: none"> <li>• EC aid delivered through CSOs is <i>not</i> in line with stated policy objectives</li> <li>• EC has <i>not yet proposed a clear vision on the added value</i> of various categories of CSOs in different contexts and addressed other key operational aspects of the CSO channel in its policy documents</li> <li>• <i>limited strategic reflection and dialogue</i> with the various stakeholders on how best to use the CSO channel in a specific country or sector context.</li> <li>• tendency to mainly use CSOs as contractors and sub-contractors</li> <li>• lack of complementarity between geographic and thematic instruments in support of CSOs</li> <li>• suboptimal use of the CSO potential in the new aid modalities and limited opportunities for CSOs to strategically participate in sector and macro-approaches</li> <li>• The windows of opportunities for achieving impact are <i>not</i> seized</li> </ul>
Prevailing institutional culture is not conducive to a strategic management of the CSO channel
<ul style="list-style-type: none"> <li>• Diffuse and often limited political backing from the top for a coherent application of political commitments vis a vis civil society at the implementation level</li> <li>• Prevailing institutional culture and incentives system at the EC level gives priority to disbursements, financial control, and short-term (visible) results</li> <li>• Insitutional set-up is not conducive to establishing strategic partnerships based on mutual responsibility;</li> <li>• Overburdening of staff</li> <li>• Institutional fragmentation of EC staff dealing with civil society</li> </ul>

→

The EC has not yet developed a clear and consistent strategy to using the CSO channel in line with stated policy objectives

The added value of the CSO channel is not optimally used by the EC

Mixed record with regard to impact and sustainability

→

The prevailing institutional culture within the EC is not conducive to a strategic management of the CSO channel

Three inter-related recommendations are required:

**POLITICAL:**

- 1) Ensure stronger political and managerial leadership in pushing for an effective implementation of policy commitments towards CSOs
- 2) Champion space for civil society in policy and political dialogue with partner governments
- 3) Enhance quality of partnership with CSOs

**STRATEGIC AND OPERATIONAL:**

- 4) Enhance the overall quality of programming aid through CSOs
- 5) Search for more realistic and effective implementation strategies
- 6) Manage the channel in a results-oriented way

**INSTITUTIONAL CHANGE PROCESS:**

- 7) Support EC delegations to manage the CSO channel strategically
- 8) Establish a 'Civil Society Help Desk' as a knowledge hub and catalyst for change

## Conclusions on major gaps – logical chain

Supportive evidence		Main gaps
<ul style="list-style-type: none"> <li>• Confusion on the notion of the CSO channel (EQ 1)</li> <li>• Lack of clear strategy and operational guidance for using the CSO channel (EQ 1)</li> <li>• Co-existence of strategic and instrumental approaches to using the CSO channel (EQ 2, 3, 4 and 5)</li> <li>• Difficulties to ensure consistency with the new commitments of the Paris Declaration (EQ 5)</li> <li>• Lack of clarity on the role of the EC as a donor/political player (EQ 2, 3, 4 and 5)</li> <li>• Doubts about the overall EC institutional capacity to manage the CSO channel in line with stated policy objectives (EQ 8)</li> </ul>	→	<p><b>Conclusion 2</b></p> <p><b>The EC has not yet developed a clear and consistent response strategy to using the CSO channel in line with new commitments</b></p>
<ul style="list-style-type: none"> <li>• EC has not refined its overall political and institutional capacity to optimally assess and effectively use the potential added value of CSOs in governance-related processes. (EQ 1 and 2)</li> <li>• EC has not redefined the added value of CSOs in sector-wide approaches taken into account the evolving roles of CSOs in social service delivery (EQ 2, 3 and 4)</li> <li>• Little evidence of consistent EC analysis with regard to the added value of the various categories of local CSO actors (particularly non-traditional CSOs) at different levels (EQ3, 5 and 6)</li> <li>• The inadequacy of the procedures to attract and support relevant CSO initiatives (EQ 8)</li> </ul>	→	<p><b>Conclusion 3</b></p> <p><b>The EC has not yet clarified the added value of aid delivered through CSOs</b></p>
<ul style="list-style-type: none"> <li>• Little evidence, beyond project outcomes, of impact on broader processes of societal change, institutional reform or improved governance. (EQ 6)</li> <li>• Limited scope and duration of isolated and narrowly defined CSO projects(EQ 8)</li> <li>• Lack of clear-cut strategies to transform positive dynamics generated by well targeted projects into wider change processes locally owned (EQ 6 and 8)</li> <li>• Limited connection between projects and broader national and sector programmes or other donor interventions (EQ 4, 5 and 6)</li> <li>• Difficulty of ensuring a coherent EC support over a longer period of time (inadequate procedures) (EQ 8)</li> <li>• Poor attention on how EC can improve enabling environment and (financial) sustainability of CSOs themselves (EQ 5 and 8)</li> </ul>	→	<p><b>Conclusion 4</b></p> <p><b>Mixed record with regard to impact and sustainability</b></p>
<ul style="list-style-type: none"> <li>• Diffuse and limited political backing from the top for a coherent application of the new paradigm vis a vis civil society (EQ 1 and 2)</li> <li>• Priority to disbursements, sound financial management and short-term (visible) results (EQ 8)</li> <li>• Institutional set-up not conducive to promote strategic partnerships (EQ 8)</li> <li>• Overburdening of staff leaves little time for engaging with CSOs, monitoring and learning. (EQ 8)</li> <li>• Institutional fragmentation limits scope for truly strategic and integrated responses to CSO channel. (EQ 1, 5 and 8)</li> </ul>	→	<p><b>Conclusion 5</b></p> <p><b>Prevailing institutional culture within the EC is not conducive to a strategic management of the CSO channel</b></p>

	Answers to EQs		Link to conclusions C1-C5	
EQ1	<i>To what extent and how has the EC defined the rationale for delivering aid through CSOs in different political, geographic and thematic contexts?</i>			
	<b>Strengths</b>			
	<ul style="list-style-type: none"> <li>EC regional, sectoral and thematic policy documents reaffirm the principle of participatory development</li> </ul>	→	C1	
	<ul style="list-style-type: none"> <li>Major efforts are made by key HQ units to provide operational guidance to field staff</li> </ul>	→	C1	
	<ul style="list-style-type: none"> <li>New aid modalities recognize the potential added value of CSOs</li> </ul>	→	C1	
	<b>Weaknesses</b>			
	<ul style="list-style-type: none"> <li>EC has not yet defined a clear vision on the added value of different categories of CSOs in various contexts</li> </ul>	→	C2, C3	
	<ul style="list-style-type: none"> <li>EC has not yet systematically addressed key operational aspects of the CSO channel</li> </ul>	→	C2, C8	
	<ul style="list-style-type: none"> <li>HQ capacity to respond to demands from the field is hampered by human and financial constraints</li> </ul>	→	C2, C5, C8	
<ul style="list-style-type: none"> <li>No substantial efforts to fully integrate CSOs in new aid modalities</li> </ul>	→	C2, C3, C5		
EQ2	<i>To what extent has the EC made clear choices at the programming level with regard to delivering aid through CSOs in country/regional strategy papers; in post-conflict situations/failed states/or difficult partnerships; as well as in sectoral and thematic priority areas of intervention?</i>			
	<b>Strengths</b>			
	<ul style="list-style-type: none"> <li>Programming processes of geographic instruments and thematic budget lines offer an opportunity to define EC strategies towards CSOs</li> </ul>	→	C1	
	<ul style="list-style-type: none"> <li>Overall intervention strategy towards CSOs is well defined</li> </ul>	→	C1	
	<ul style="list-style-type: none"> <li>Emerging good practice reflecting a shift towards more participatory programming, including in conflict situations</li> </ul>	→	C1	
	<b>Weaknesses</b>			
	<ul style="list-style-type: none"> <li>Limited strategic reflection and dialogue on how best to use CSO channel in a specific country or sector context</li> </ul>	→	C2	
<ul style="list-style-type: none"> <li>Generally, missed opportunities in programming</li> </ul>	→	C2, C3		

	Answers to EQs		Link to conclusions C1-C5
EQ3	<i>To what extent and how has EC aid channelled through CSOs been consistent with stated policy objectives or programming choices regarding CSO roles (including service delivery in the context of poverty reduction strategies and advocacy work?)</i>		
	<b>Strengths:</b>	→	C1
	• Broad consistency between EC stated policy objectives regarding CSO roles and actual practices		
	• Sector approaches offer opportunities to enhance role fo CSOs as dialogue partners/advocacy agents		
	• Increase of EC aid in support of CSO advocacy activities and support of CSO capacity building programmes		
	• Consensus on critical role of political dialogue on CSO related issues		
	<b>Weaknesses:</b>		
	• Participation of CSO in sectors is often limited to down-stream level of project implementation (contractors and sub-contractors)	→	C3, C4
	• CSO potential in upstream processes of formulating and monitoring sector wide programmes is not optimally used	→	C2, C4
• No consensus on the effectiveness of current EC practices regarding use of political dialogue on CSO related issues.	→	C2, C3, C5	
EQ4	<i>To what extent and how has EC aid channelled through CSOs been consistent with stated policy objectives regarding actors to be supported as well as approaches and instruments to be used?</i>		
	<b>Strengths:</b>	→	C1
	• Broad formal recognition of the importance of engaging with a diversity of civil society actors		
	• Steady move towards programme based aid modalities, creatively used in most ACP countries		
	• (Recent) positive evolutions can be noted in sector budget processes		
	• Growing use of the CSO channel in geographic instruments		
	<b>Weaknesses:</b>		
	• Deficit in consistency with regard to stated policy objectives	→	C2, C5
	• EC continues to channel its aid mainly through European NGOs	→	C2, C3
• Potential of channelling aid through a wide range of (local) CSOs is suboptimal	→	C2, C3	
• Project approach remains preferred option	→	C2, C4	

	Answers to EQs		Link to conclusions C1-C5	
	<ul style="list-style-type: none"> <li>• Opportunities for CSOs to participate strategically in sector and macro-economic approaches are still limited</li> </ul>	→	C3, C4	
	<ul style="list-style-type: none"> <li>• Limited reflection on how to use the different instruments in a complementary manner</li> </ul>	→	C2, C4	
	<ul style="list-style-type: none"> <li>• EC lacks knowledge on local civil society arena</li> </ul>	→	C2, C5	
<b>EQ5</b>	<i>To what extent and how has European Commission aid delivered through CSOs been consistent with relevant new commitments related to the Paris Declaration on Aid Effectiveness, particularly with regard to capacity development of CSOs in the context of sector and budget support?</i>			
	<b>Strengths</b>			
	<ul style="list-style-type: none"> <li>• Innovative practices are slowly emerging with regard to integrating CSO in the new aid modalities</li> </ul>	→	C1	
	<b>Weaknesses</b>			
	<ul style="list-style-type: none"> <li>• EC commitments with regard to participatory development agenda are not necessarily compatible with aid effectiveness agenda</li> </ul>	→	C2, C5	
	<ul style="list-style-type: none"> <li>• CSOs seem to occupy a secondary position in EC strategies towards implementing Paris Declaration (limited efforts towards harmonisation)</li> </ul>	→	C2, C3	
	<ul style="list-style-type: none"> <li>• Windows of opportunities to integrate CSOs in new aid modalities not yet fully explored</li> </ul>	→	C2, C3, C4	
<b>EQ6</b>	<i>To what extent and how have EC strategies, programmes and projects delivered through CSOs contributed to achieving key EC/EU objectives?</i>			
	<b>Strengths</b>			
	<ul style="list-style-type: none"> <li>• Ample evidence of the positive contributions made by EC when using CSO channel in different geographic/political contexts, themes and sectors, through its various instruments.</li> </ul>	→	C1, C4	
	<ul style="list-style-type: none"> <li>• Development projects often lead to broader (intangible) development outcomes (e.g. social and institutional capital)</li> </ul>	→	C4	
	<b>Weaknesses</b>			
	<ul style="list-style-type: none"> <li>• Major doubts exist on the systemic impact and sustainability of CSO interventions (main reasons include: predominance of short term interventions, discontinuity in support; limited linkages with other programmes and processes; inadequate donor procedures, risk aversion, and limited attention to sustainability of CSO themselves)</li> </ul>	→	C4, C5	

	Answers to EQs		Link to conclusions C1-C5	
EQ7	<i>To what extent and how did EC strategies, programmes and projects delivered through CSOs provide an appropriate development response in (post-)conflict situations/fragile states/difficult partnerships?</i>			
	<b>Strengths</b>			
	<ul style="list-style-type: none"> <li>Ample evidence of successful CSO interventions in (post-)conflict situations, including examples of impact on broader processes</li> </ul>	→	C1, C4	
	<ul style="list-style-type: none"> <li>Effectiveness of CSO interventions is informed by evolving local environment, EC flexibility, and EC capacity to engage creatively with CSOs and Government beyond short-time frames</li> </ul>	→	C4	
	<b>Weaknesses</b>			
	<ul style="list-style-type: none"> <li>Questions arise about the will and the capacity of the EC to use its political weight to defend space for civil society when it is curtailed by the partner government</li> </ul>	→	C2, C5	
EQ8	<i>To what extent are EC management systems (in terms of programming modalities) funding modalities and procedures, and monitoring mechanisms) adapted to the needs of using CSOs as an aid delivery channel?</i>			
	<b>Strengths</b>			
	<ul style="list-style-type: none"> <li>Evolution towards more participatory programming processes</li> </ul>	→	C1	
	<ul style="list-style-type: none"> <li>Efforts towards strengthening in-house capacity through provision of operational guidance and deconcentration of budget lines</li> </ul>	→	C1	
	<b>Weaknesses</b>			
	<ul style="list-style-type: none"> <li>Major institutional constraints hampering a strategic management of CSO channel</li> </ul>	→	C2, C5	
	<ul style="list-style-type: none"> <li>Suboptimal use of Call for Proposals tool</li> </ul>	→	C3, C5	
	<ul style="list-style-type: none"> <li>Weak monitoring and evaluation system</li> </ul>	→	C4, C5	
<ul style="list-style-type: none"> <li>Prevailing administrative culture (focus on spending aid)</li> </ul>	→	C5		
<ul style="list-style-type: none"> <li>Limited incentives to engage with CSOs strategically (investing in knowledge of local civil society arena; engaging in dialogue; undertaking field visits; ensuring quality monitoring of EC funded interventions; linking CSO projects with other programmes; investing in donor harmonization; sharing knowledge...)</li> </ul>	→	C2, C5		

## RECOMMENDATIONS

TYPE OF RESPONSE	Recommendations	Specific proposed actions
<b>Overall</b>	Three sets of closely linked recommendations: (i) Political; (ii) Strategic and operational; (iii) Institutional Change Process	Ensure that high level political support underpins the other two sets of recommendations
<b>Political</b>	1 Provide stronger political and managerial leadership in pushing for an effective implementation of policy commitments towards CSOs	<ol style="list-style-type: none"> <li>1) Communicate better on the EC commitments towards CSOs</li> <li>2) Put in place mechanisms to ensure greater consistency in the application of the participatory development agenda</li> <li>3) Monitor the effective implementation of the participatory development agenda</li> <li>4) Provide institutional incentives and remove systemic bottlenecks</li> </ol>
	2 Champion space for civil society in the policy and political dialogue with partner governments	<ol style="list-style-type: none"> <li>1) Encourage EC delegations to make a much more effective use of political dialogue to promote CSO participation and their inclusion in political, social and economic processes</li> <li>2) Actively identify and use all available opportunities to expand the space for CSO participation</li> <li>3) Use the full EC/EU political weight when authorities curtail civil society space</li> <li>4) Capitalise on good practices of EC engagement with CSOs in hostile environments</li> <li>5) Provide support to the consolidation of domestic accountability mechanisms</li> </ol>
	3 Enhance the quality of partnership with CSOs	<ol style="list-style-type: none"> <li>1) Launch a multi-actor dialogue on the notion of the CSO channel</li> <li>2) Enhance the quality of existing dialogue mechanisms</li> <li>3) Assume mutual accountability for results</li> <li>4) Elaborate a more refined EC strategy to help support the sustainability of civil society as a sector</li> </ol>
<b>Strategic/ Operational</b>	4 Enhance the overall quality of programming aid through CSOs	<ol style="list-style-type: none"> <li>1) Invest in better knowledge of the civil society arena</li> <li>2) Develop country specific strategies to engage with CSOs</li> <li>3) Ensure participatory programming for using the CSO channel</li> </ol>
	5 Search for more realistic and effective implementation strategies	<ol style="list-style-type: none"> <li>1) Manage the CSO channel in a partnership mode</li> <li>2) Combine different approaches, instruments and channels of aid</li> <li>3) Think and act outside the box by working together with other donors</li> <li>4) Be creative with funding to CSOs</li> </ol>
	6 Manage the channel in a results-oriented way	<ol style="list-style-type: none"> <li>1) Clarify the substance of an improved M&amp;E system for the CSO channel</li> <li>2) Improve the process followed to ensuring an effective M&amp;E</li> <li>3) Adapt instruments used in M&amp;E</li> </ol>
<b>Institutional process</b>	7 Support EC Delegations to manage the CSO in a strategic way	<ol style="list-style-type: none"> <li>1) Encourage EC delegations to elaborate a trajectory of change plan</li> <li>2) Provide EC Delegations with a flexible financial instrument that allows them to mobilise in-house expertise</li> <li>3) Ensure relevant form of support by planned Civil Society Help Desk</li> </ol>
	8 Put in place a Civil Society Help Desk as a knowledge hub and catalyst for change	<ol style="list-style-type: none"> <li>1) Ensure a broad mandate of the Help Desk and address all relevant dimensions related to a strategic use of the CSO channel</li> <li>2) Conceive the Help Desk as an externally oriented knowledge hub, driven and supported by existing expertise within various EC units and Delegations, as well as by external (local) expertise / knowledge</li> </ol>