



EUROPEAN COMMISSION

Brussels, 5.12.2011  
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**COMMISSION IMPLEMENTING DECISION**

**of 5.12.2011**

**adopting the Civil Society Facility Programme under the IPA -Transition Assistance  
and Institution Building Component for the years 2011 – 2012 by Common Financing  
Decision**

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## **adopting the Civil Society Facility Programme under the IPA -Transition Assistance and Institution Building Component for the years 2011 – 2012 by Common Financing Decision**

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA)<sup>1</sup>, and in particular Article 14(2)(a) thereof,

Whereas:

- (1) Regulation (EC) No 1085/2006 lays down the objectives and main principles for pre-accession assistance to candidates and potential candidates;
- (2) In accordance with Article 7 of Regulation (EC) No 1085/2006, the assistance should be provided through multi-annual or annual programmes. These programmes should be drawn up in accordance with the general policy framework referred to in Article 4 of Regulation (EC) No 1085/2006 and the relevant multi-annual indicative planning document referred to in Article 6 of that Regulation;
- (3) The Council established an Accession Partnership or a European Partnership for all candidates and potential candidates. The Commission has adopted on 8/07/2011 a multi-annual indicative planning document 2011-2013 for Albania<sup>2</sup>, on 4/07/2011 a multi-annual indicative planning document 2011-2013 for Bosnia and Herzegovina<sup>3</sup>, on 30/06/2011 a multi-annual indicative planning document 2011-2013 for the former Yugoslav Republic of Macedonia<sup>4</sup>, on 18/11/2011 a multi-annual indicative planning document 2011-2013 for Montenegro<sup>5</sup>, on 20/06/2011 a multi-annual indicative planning document 2011-2013 for Serbia<sup>6</sup>, on 27/06/2011 a multi-annual indicative planning document 2011-2013 for Kosovo\*<sup>7</sup>, on 28/06/2011 a multi-annual indicative planning document 2011-2013 for Turkey<sup>8</sup> and on 20/06/2011 a multi-beneficiary multi-annual indicative planning document 2011-2013 which present indicative

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<sup>1</sup> OJ L 210, 31.7.2006, p. 82.

<sup>2</sup> C(2011)4830

<sup>3</sup> C(2011)4657

<sup>4</sup> C(2011)4579

<sup>5</sup> C(2011)8220

<sup>6</sup> C(2011)4210

\* Under UNSCR 1244/99

<sup>7</sup> C(2011)4381

<sup>8</sup> C(2011)4490

allocations for the main priorities for pre-accession assistance to all candidates and potential candidates concerned<sup>9</sup>;

- (4) Therefore, the Civil Society Facility Programme under the IPA -Transition Assistance and Institution Building Component for the years 2011 – 2012 by Common Financing Decision aims at providing assistance for contributing to anchoring democratic values and structures, human rights and the rule of law, thereby supporting the EU integration process;
- (5) This Decision meets the requirements of Article 90 of Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation No 1605/2002<sup>10</sup> (hereafter: “Implementing Rules”) and constitutes thus a Financing Decision within the meaning of Article 75 of Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities<sup>11</sup> (hereafter: “Financial Regulation”);
- (6) It is appropriate to implement part of this programme in joint management with the UNDP following Article 53d of the Financial Regulation and the corresponding provisions of the Implementing Rules. The foreseen activity represents a continuation of the 'Reinforcement of Local Democracy' project implemented by the UNDP in Bosnia and Herzegovina;
- (7) The measures provided for by this Decision are in accordance with the opinion of the IPA Committee<sup>12</sup>,

HAS DECIDED AS FOLLOWS:

#### *Article 1*

The Civil Society Facility Programme under the IPA -Transition Assistance and Institution Building Component for the years 2011 – 2012, as set out in the Annex, is hereby adopted.

This programme shall be implemented partly by centralised management and partly by joint management with the UNDP.

#### *Article 2*

The indicative amount of European Union contribution shall be:

In the budget year 2011, a maximum amount of **EUR 21 200 000** to be financed through Item 22.02.07.01 of the general budget of the European Union;

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<sup>9</sup> C(2011)4179

<sup>10</sup> OJ L 357, 31.12.2002, p. 1

<sup>11</sup> OJ L 248, 16.9.2002, p.1

<sup>12</sup> Recalling the Council Conclusions of 18 February 2008, Member States declare that adoption of the Civil Society Facility Programme under the IPA -Transition Assistance and Institution Building Component for the years 2011 – 2012 does not prejudice the position of each individual Member State on the status of Kosovo, which will be decided in accordance with their national practice and international law.

In the budget year 2012, a maximum amount of **EUR 18 850 000** to be financed through Item 22.02.07.01 of the general budget of the European Union, subject to the availability of funds for this purpose under the 2012 budget.

Done at Brussels, 5.12.2011

*For the Commission,  
Štefan FÜLE  
Member of the Commission*

**ANNEX: The Civil Society Facility Programme under the IPA Transition  
Assistance and Institution Building Component for the years 2011 – 2012**

**1 IDENTIFICATION**

Beneficiary	Western Balkans: Albania, Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia, Montenegro, Serbia, as well as Kosovo <sup>1</sup> . Turkey Iceland (People-2-People programme only)
CRIS decision number	2011/22-965; 2012/23-324
Year	2011 and 2012
Cost	Total: EUR 40 050 000 2011: EUR 21 200 000 2012: EUR 18 850 000
Implementing Authority	European Commission except for component 'Reinforcement of Democracy' of PF (4) Bosnia and Herzegovina - to be implemented through a contribution agreement under joint management with the United Nations Development Programme (UNDP).
Final date for concluding the Financing Agreements (FAs)	<i>The Programme is implemented without FAs</i>
Final dates for contracting	30/11/2012 - for 2011 budget appropriations 30/11/2013 - for 2012 budget appropriations
Final dates for execution	30/11/2015 - for 2011 budget appropriations 30/11/2016 - for 2012 budget appropriations  The following exceptions apply for PF (1) and PF (9): 30/11/2016 – for 2011 budget appropriations 30/11/2017 – for 2012 budget appropriations
Budget line(s) concerned	22.020701: Regional and Horizontal Programmes
Programming Unit	Unit D3, Regional Programmes, DG Enlargement
Implementation Unit/EU Delegation	Unit D3, Regional Programmes, DG Enlargement (PF (1) only) Unit D2, Institution Building, DG Enlargement (PF (2) only) EU Delegations in Albania, Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey EU liaison office in Kosovo
Associated fiches:	(1) Multi-beneficiary CSF programme: Partnership Actions and Technical Assistance (2) Multi-beneficiary CSF programme: People-2-People programme (3) Albania CSF programme (4) Bosnia and Herzegovina CSF programme

<sup>1</sup> Under UNSCR 1244/99

	(5) Kosovo CSF programme (6) The former Yugoslav Republic of Macedonia CSF programme (7) Montenegro CSF programme (8) Serbia CSF programme (9) Turkey CSF programme
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## 2. THE PROGRAMME

### 2.a Priorities selected under this programme

The Commission Communication on the Enlargement Strategy and Main Challenges 2007-8<sup>2</sup> and the latest Strategy Documents (2008, 2009 and 2010<sup>3</sup>) underline the importance of civil society being able to play its role in a participatory democracy.

The 'Civil Society Facility' (CSF) was set up in 2008 to support the development of civil society financially. This programme sets out the strategy and scope of activities for the CSF for the next three years with associated budget appropriations for 2011, as well as for 2012 subject to the availability of funds for this purpose under the 2012 budget. Agreement on 2013 budget appropriations will be subject to a future Financing Decision.

The overall **objective** for the CSF programme for the period is: *'To contribute to anchoring democratic values and structures, human rights, social inclusion and the rule of law, thereby supporting the EU integration process.'*

The **programme purpose** is to achieve: *'A more dynamic civil society actively participating in public debate on democracy, human rights, social inclusion and the rule of law and with capacity to influence policy and decision making processes.'*

The CSF will focus on the achievement of **three outcomes** which have been identified on the basis of needs analyses<sup>4</sup>, internal and external reviews, and feedback from EU Delegations responsible for national programming:

- Greater benefit of civil society from national legal and financial frameworks and improved dialogue with state institutions;
- Greater commitment and capacity of CSO networks to give citizens a voice and influence public sector reform processes through analysis, monitoring and advocacy etc; and
- Increased access of grass-root organisations and civic initiatives to financial resources, in-kind contributions or expertise from established CSOs and CSO networks.

As a major change, CSF activities are brought under a *single Financing Decision*. The aim is to improve efficiency, effectiveness, coherence and ultimately the achievement of sustainable results in the Commission's support to civil society in the IPA

<sup>2</sup> COM (2007) 663 "Enlargement Strategy and Main Challenges 2007-2008"

<sup>3</sup> COM (2008) 674 "Enlargement Strategy and Main Challenges 2008-2009"

COM (2009) 533 "Enlargement Strategy and Main Challenges 2009-2010"

COM (2010) 660 "Enlargement Strategy and Main Challenges 2010-2011"

<sup>4</sup> TACSO (2010): "Civil society organisations' capacities in the Western Balkans and Turkey - A comparative summary of the eight country CSO needs assessments"

Beneficiaries. The Financing Decision will introduce a three-year strategic horizon for CSF programming. This will allow for a long-term effort combining a more effective use of the Commission's political and financial instruments in order to bring about a civil society-friendly environment with a stronger impact on EU accession reforms. As a result, the CSF will be in a better position to target regional and country needs, including by broadening the set of methods and funding instruments available for civil society support.

## **2.b Sectors selected under this programme and donor coordination**

'Civil Society' is identified as a sector in its own right in the IPA Multi-beneficiary Multi-annual Indicative Planning Document (MIPD) 2011-13. It highlights that *"although IPA countries are gradually adopting legislation and strategies more favourable to civil society development, engagement of governments with civil society remains generally weak. Local NGOs require training to adapt to present conditions, strengthen their capacities and to participate in the European integration process. It is also necessary to encourage freedom of association, to put in place regulatory frameworks and public incentives for the development of CSOs and to guarantee a supportive legal framework for civil society activities."*<sup>5</sup>

As part of the IPA instrument, the CSF programme builds on previous support to civil society delivered through the PHARE and CARDS programmes. The programme for the next three years responds to the sector objectives set out in the IPA Multi-beneficiary MIPD 2011-2013 of 'strengthening CSOs and their role in the political process'. It will support the achievement of other sector targets on a cross-cutting basis, with particular emphasis on Justice and Home Affairs (including fundamental rights), Environment and Social Development.

At the Beneficiary level, the sector themes for civil society support have been selected from the National MIPDs 2011-13.

The CSF is also closely aligned with other EC instruments for civil society support, including the European Instrument for Democracy and Human Rights (EIDHR)<sup>6</sup> and the 'Civil Society Dialogue' programmes between the EU and Turkey<sup>7</sup>.

### Degree of readiness of the sector

CSOs in the region represent a wide variety of target groups and interests. While the majority continue to focus on service delivery, an increasing number are engaging in advocacy, lobbying and public policy. However, many CSOs have embraced advocacy only as it became a priority for donor funding and overall influence remains scarce. The gap in capacity and representation between urban and rural CSOs also continues to characterise the civil society landscape.<sup>8</sup>

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<sup>5</sup> IPA Multi-beneficiary Multi-Annual Indicative Planning Document (MIPD) 2011-13, p 20

<sup>6</sup> The 2009 EIDHR calls for proposals resulted in an allocation of EUR 6 588 000 for civil society projects in support of human rights defenders under a total of 79 contracts.

<sup>7</sup> Established based on COM (2005) 290: "Civil Society Dialogue between the EU and Candidate Countries". EUR 9.6 million have been allocated to the programme Civil Society Dialogue III which will promote dialogue on political criteria and media.

<sup>8</sup> Evidence taken from TACSO (2010): "Civil society organisations' capacities in the Western Balkans and Turkey - A comparative summary of the eight country CSO needs assessments"

Broadly favourable legal frameworks governing civil society are in place in all IPA Beneficiaries, guaranteeing CSOs the right to operate as independent, voluntary organisations free from interference from state institutions. Throughout the region, however, the effectiveness of CSO laws is diminished by insufficient coordination of their provisions with a variety of other relevant financial and legal regulations, and by the failure to enact supporting legislation in key areas.

Public awareness, constituency support and understanding of civil society's role are at best partial in all Beneficiaries. At the sector level, the civil societies of the region are generally poorly integrated and represented. CSOs face a number of challenges in building effective coalitions to better influence reform processes. Distrust among CSOs, owing to competition for increasingly scarce donor resources and poor communication between themselves, militate against the development of broad-based national networks and undermine the legitimacy of CSOs and the achievement of sustainable outcomes.

### CSF background

The CSF was established in 2008 to support the development of civil society financially. It comprises of both National and Multi-beneficiary initiatives which are programmed in a coordinated manner. The CSF is therefore a *single facility* for the Western Balkans and Turkey.

The CSF consists of three strands: (i) support for local civic initiatives and capacity-building, (ii) a 'People 2 People' programme supporting visits to EU institutions and exchange of experience, and (iii) 'Partnership Actions' to develop networks between CSOs and to promote transfers of knowledge and experience.

Considering the limited time that the CSF has been operational it is premature to measure actual impact but some activities have begun to deliver tangible results:

- **TACSO:** SIPU International was contracted in 2009 to establish technical assistance desks in each country. Its purpose is to strengthen local CSOs by organising a range of services including capacity building, information and networking events. TACSO also supports EU Delegations and EC Headquarters in their monitoring and guidance of civil society projects.
- TACSO has established **Local Advisory Groups** (LAGs) in all Beneficiaries consisting of representatives from EU Delegations, governments, civil society, other donors, etc. Their purpose is to advise the EC on the best use of IPA funds for civil society support.
- At European level, a **European Advisory Committee** has been set up with representatives from several major European-level CSOs. The aim of this group is to advise on the strategic development of TACSO.
- TACSO and the LAGs support the '**civic and capacity building activities**' programmed and implemented at national level. Support is in the form of grants made to local CSOs based on calls for proposals addressing specific issues linked to EU integration and/or CSO capacity building.
- Using the TAIEX mechanism, the '**People-2-People**' programme organises events every year to give participants the opportunity to visit EU institutions,



deepen their knowledge about EU policies and programmes and to make useful contacts.

- In 2009 and 2010, about 55 grants (**Partnership Actions**) came into operation covering the themes of ‘environment, energy efficiency and health and safety at work’, ‘fight against corruption, organised crime and trafficking’, ‘cultural organisations’, ‘socio-economic partners’ and ‘protection of minorities’. About ten grants will be contracted in 2011 dealing with the ‘empowerment of women’.

To date, the CSF has received approximately EUR 146 million: EUR 71.5 million from the multi-beneficiary IPA programmes and EUR 74.5 million from the national IPA programmes.

### Lessons learned

Building on an internal review of the civil society programmes, initial findings of a thematic evaluation of EU support to civil society in the region<sup>9</sup>, feedback from EU Delegations, CSOs as well as the findings from the 2010 needs assessment report issued by TACSO<sup>10</sup>, several conclusions have been drawn:

- All stakeholders have emphasised the need for better coordination between TACSO, LAGs, EU HQ and Delegations in the programming and implementation of the CSF. In particular, there is a need for programming and implementation to reflect that the CSF is a single facility for the whole Western Balkans region and Turkey. In response, this programme brings together all support to civil society in the IPA region available under the National programmes as well as the Multi-beneficiary programme, presenting it in one Financing Decision.
- In order to reach CSOs that are active at a community-based and grass-roots level, it is necessary to revise the use of financial mechanisms for EU assistance. The traditional method of implementing support via calls for proposals is complex and time-consuming, making it difficult for smaller CSOs to obtain finance. In response to this need, revised implementation arrangements have been identified. Further details are provided in Section 4 below.
- There is a need to reduce the time-span from programming to implementation to ensure that implemented projects reflect current needs. This will also facilitate access to funding for CSOs with limited resources for whom budgeting far in advance poses a significant challenge. The revised implementation arrangements, which allow for programming to be agreed based on an annual work plan, will address this issue. Further details are provided in Section 4 below.
- It is important to forge coalition-building and networking between CSOs to facilitate exchange of best practices and achieve greater impact of research, monitoring and advocacy activities. The traditional short-term project support based on calls for proposals has tended to put CSOs in direct competition with each other. This programme responds by incentivising networking between CSOs.

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<sup>9</sup> 'Thematic Evaluation of EU's Support to Civil Society in the Western Balkans and Turkey', commissioned by DG Enlargement and implemented by IBF International Consulting I collaboration with BAA (Spain), not yet finalised.

<sup>10</sup> TACSO (2010): "Civil society organisations' capacities in the Western Balkans and Turkey - A comparative summary of the eight country CSO needs assessments"

partners, supported by longer-term funding which allows for development and implementation of joint strategies.

### Donor Coordination

With many international donors phasing out of the Western Balkans and Turkey, the EU is increasingly becoming the main 'driver of change' for civil society development in the region. To ensure efficiency, effectiveness and value for money, it is paramount that the Commission learns from best practice developed by other donors while also ensuring coordination with those who remain in the region.

The Commission seeks to ensure good coordination in programming and implementation by organising regular meetings with Beneficiaries, Delegations, EU Member States, International Financial Institutions (IFIs), the Regional Cooperation Council (RCC) and other stakeholders. These efforts are aimed at ensuring complementarities, avoiding overlaps and enhancing, as far as possible, local ownership of the content and design of the programmes. Other donors and international organisations are also invited to take part as members or to be associated with the TACSO LAGs and with the European Advisory Committee.

The CSF gives CSOs an opportunity to strengthen their ongoing efforts to implement and monitor self-regulatory standards based on the Istanbul CSO Development Effectiveness Principles<sup>11</sup>, in particular # 5, with a view to enhance multiple accountability, transparency and integrity in their operations.

For this Financing Decision there have been consultations with a range of stakeholders on both the National and Multi-beneficiary programmes. This has included consultation with national authorities, local civil society and local donors including EU member states, as well as with the EU Programming Committee (consisting of EU-based CSOs and networks that are active in the Western Balkans and Turkey).

### **2.c Description**

The CSF is a single facility which supports the strengthening of civil society in the IPA region. The strategy for the CSF covers support at National and Multi-beneficiary levels as well as 'People-2-People' actions over the next three years, with associated budget appropriations for 2011 and 2012. The implementation of the strategy will contribute to the achievement of the objectives for EU support to the Civil Society sector, as outlined in section 2.a above. Further details are provided in the relevant project fiches and will be set out in the Annual Work Programme for Grants.

<b>Sector</b>	<b>IPA Support (in EUR million)</b>	<b>Purpose, results, beneficiary contribution to priorities, implementation modalities and indicative implementation schedule</b>
<b>Civil Society</b>		
PF 1: Multi-beneficiary	18.50	The purpose is to reinforce national and cross-border civil society capacities to plan and implement strategic monitoring, advocacy and stakeholder communication on issues relevant to fundamental rights and the EU <i>acquis</i> .

<sup>11</sup> Agreed at the Open Forum Global Assembly in Istanbul, September 2010, [www.csoeffectiveness.org](http://www.csoeffectiveness.org)

		<p>The programme will be implemented through four components:</p> <ul style="list-style-type: none"> <li>• 'Partnership Actions' (PA) will support long-term partnership programmes. Outputs will include tools put into practice on advocacy, awareness raising and constituency building. They will be implemented through a call for proposals for Framework Partnership Agreements to be launched in Q4 2011. This call will also serve as the basis for awarding specific grants for strategy design (inception phase of three months, financed from the 2011 Multi-beneficiary IPA Programme, outside this Decision) followed by specific grants for strategy implementation (anticipated duration of up to 4 years). The indicative budget for the grants for strategy implementation is EUR 10 000 000 (2011 appropriation).</li> <li>• 'Technical Assistance' will focus on developing the capacity of CSOs to carry out needs assessments and evaluations; develop thematic network programmes and identify opportunities for cross-border cooperation. It will be implemented through a service contract for an estimated value of EUR 6 000 000, selected through a tender launched in Q1 2013 (2012 appropriation).</li> <li>• The third component will support actions to strengthen 'Media and Freedom of Expression', including capacity building for journalists. It will be implemented through: <ul style="list-style-type: none"> <li>A) Prizes for investigative journalism awarded in accordance with Article 160d of the Implementing Rules to the Financial Regulation. A total of two separate contests will be launched in Q2 2012 and Q2 2013 respectively, with an indicative budget of EUR 165 000 each (2011 and 2012 appropriations). EU Delegations will select winners supported by an expert regional facilitator.</li> <li>B) Calls for proposals or, in exceptional circumstances, direct awards in accordance with Article 168(1)(c) or (f) of the Implementing Rules to the Financial Regulation. The estimated envelope is EUR 1 170 000 (indicative split between 2011 (EUR 285 000) and 2012 (EUR 835 000) appropriations). The final decision on implementation method and schedule will be made following a mapping of actors in Q1 2012. The mapping will be carried out through a service contract for an indicative EUR 50 000 (2011 appropriation) to be selected through a competitive negotiated procedure in Q4 2011..</li> </ul> </li> <li>• 'Strengthening civil society contribution to EU integration' will provide support to CSOs to address regional priorities identified in the European Commission's Regular Reports and Communications on the Enlargement Strategy for 2011 and 2012. The component will be implemented through two calls for proposals to be launched in Q1 2012 for EUR 500 000 (2011 appropriation) and Q1 2013 for EUR 500 000 (2012 appropriation).</li> </ul>
PF 2: People 2 People	1.00	<p>The programme will help beneficiary CSOs to familiarise themselves with EU institutions, policies and decision-making processes and offers CSOs the opportunity to network with their national, regional and European-level counterparts.</p> <p>It is implemented through the provision of TAIEX-type technical assistance, mainly study tours, conferences and workshops, with a total budget of EUR 1 000 000 (2012 appropriation). The logistical aspects will be managed via a new TAIEX service contract from Q3 2012 - Q2 2014. The contribution to this contract from the People 2 People Programme will be determined as unit costs and set out in the bid.</p>
PF 3: Albania	1.50	<p>The programme will strengthen civil society to participate in the decision and policy making processes at all levels of governance, focusing on strengthening management and organisational capacities, supporting networking, and improving the fiscal and legal environment.</p> <p>It will be implemented through one call for proposals for EUR 1 500 000 launched in Q4 2012 (2012 appropriation). It will provide support to national CSOs in the fields of justice, protection of vulnerable groups and protection of the environment.</p>
PF 4: Bosnia and Herzegovina	6.50	<p>The programme will strengthen the capacity of CSOs and governments' designated institutions to be valuable partners to each other in reform processes, and to better represent the citizens in the EU accession process.</p> <p>It has four components:</p> <ul style="list-style-type: none"> <li>• 'Capacity building of government institutions and civil society to engage in dialogue' will be implemented through a service contract for EUR 1 000 000 (2011 appropriation) subject to a tender launched in Q4 2011.</li> <li>• 'Reinforcement of democracy' to improve cooperation between local government and CSOs will be implemented through a contribution arrangement under joint management with UNDP for EUR 2 000 000 to be agreed in Q1 2012 (2011</li> </ul>

		<p>appropriation).</p> <ul style="list-style-type: none"> <li>'Support to CSOs' will be delivered through one call for proposals launched in Q1 2012 for EUR 3 000 000 (2012 appropriation). It will support CSO activities relating to anti-corruption as a cross-cutting issue.</li> <li>'Environment and climate change' will support environmental NGOs that advocate for authorities to deal more proactively with environmental problems at local level. It will be implemented through a call for proposals for EUR 500 000 (2012 appropriation) to be launched in Q2 2012.</li> </ul>
PF 5: Kosovo	2.20	<p>The programme aims to strengthen civil society to participate in the decision and policy making process at all levels of governance. It will support the promotion of the rights of youth and facilitate constructive dialogue between the government and civil society.</p> <p>It will be implemented through one call for proposals launched in Q1 2012 for EUR 2 200 000 (split equally between 2011 and 2012 appropriations). There will be two components: 'increasing capacity of youth organisations' and 'strengthening dialogue with government' with the budget divided equally between the two.</p>
PF 6: the former Yugoslav Republic of Macedonia	0.50	<p>The programme purpose is to enhance the impact of CSOs through involvement in public and <i>acquis</i>-related policies and to achieve a stronger contribution of civil society actors in meeting the criteria for EU membership.</p> <p>It will be implemented through one call for proposals launched in Q4 2012 for EUR 500 000 (2012 appropriation). The call will encourage CSOs to form networks and make provision for re-granting in accordance with Article 120(2) of the Financial Regulation.</p>
PF 7: Montenegro	1.80	<p>The programme purpose is to strengthen civil society to participate in decision and policy-making processes at all levels of governance. It will support civil society partnership with the government and other relevant stakeholders in reform processes and enhance CSO participation in the development and EU integration process.</p> <p>It will be implemented through one call for proposals launched in Q1 2012 for EUR 1 800 000 (2011 appropriation), supporting two components:</p> <ul style="list-style-type: none"> <li>'Strengthening capacity of CSOs to participate and represent citizens in decision-making and to monitor and evaluate the implementation of policies, strategies and laws'; and</li> <li>'Supporting civic and capacity-building initiatives to enforce the role of civil society in community development'. It is envisaged that the second component will provide support to beneficiaries that are able to administer re-granting in accordance with Article 120(2) of the Financial Regulation.</li> </ul>
PF 8: Serbia	5.00	<p>The programme purpose is to support sustainable development of civil society and partnership with the government and enhance active civil society participation in Serbia's EU integration.</p> <p>It will be implemented through three components:</p> <ul style="list-style-type: none"> <li>Component 1: 'Creating an enabling environment for sustainable development and civil society and partnership with the Government' will support the new Office for Cooperation with Civil Society on the improvement of the legal, financial and institutional framework for civil society. It will be implemented through a service contract for EUR 1 200 000 (2011 appropriation) selected through a tender launched in Q4 2011. The service contract will also be used to assist the implementation of the two components below.</li> </ul> <p>Components 2 and 3 will be implemented through two calls for proposals to be launched in Q1 2012 and Q1 2013 respectively. Both components will have a budget of EUR 1 900 000 (indicative split between 2011 (EUR 1 800 000) and 2012 (EUR 2 000 000) appropriations):</p> <ul style="list-style-type: none"> <li>Component 2: 'Strengthening CSO capacities to participate in the decision-making processes, to monitor and evaluate the implementation of policies, strategies and laws' will develop CSO cooperation and ability to initiate advocacy in policy and decision-making processes.</li> <li>Component 3: 'Support to civic and capacity-building initiatives to enforce the role of civil society at local level' will support capacity building of community-based organisations.</li> </ul>
PF 9: Turkey	3.05	<p>The programme purpose is to improve the environment for active citizenship and strengthen the capacity of organised active citizens.</p>

		<p>It will be implemented through four components:</p> <ul style="list-style-type: none"> <li>• Thematic platforms will be supported through 'Framework Partnership Arrangements' which will provide capacity building and, where appropriate, re-granting to smaller CSOs and/or members of the network in accordance with Article 120 (2) of the Financial Regulation. They will be implemented through a call for proposals for EUR 1 000 000 (2012 appropriation) launched in Q1 2013.</li> <li>• A 'Flexible response mechanism for civil society in action' will introduce a micro-grant scheme to provide rapid, small-scale support to CSOs. It will be implemented through a single call for proposals for EUR 750 000 (2012 appropriation) launched in Q1 2013 with monthly submission deadlines and an indicative budget of one twelfth of the total amount per submission deadline. A single service contract for EUR 1 300 000 (2011 appropriation) selected through a tender launched in Q1 2012 will cover the last two components: <ul style="list-style-type: none"> <li>• The 'Active citizen mechanism' will provide a facility for interpretation, translation, travel and ac hoc expertise to allow broader participation of citizens in EU activities. It will have a budget of EUR 500 000.</li> <li>• The 'Visibility and awareness-raising' component will raise awareness of CSOs about EU support to civil society and ensure visibility of the national CSF components. It will have a budget of EUR 800 000.</li> </ul> </li> </ul>
TOTAL	40.05	

### Expected Results and Provisional Indicators

The CSF programme is expected to contribute to an overall objective and deliver results in relation to a programme purpose and three outcomes. On the basis of the planned activities, the following expected results and provisional indicators have been defined:

**Objective: 'To contribute to anchoring democratic values and structures, human rights, social inclusion and the rule of law, thereby supporting the EU integration process.'**

- Improvement in the social, economic, political context in which civil society operates
  - Improvement in aggregate scores for social well-being (dignity for all), corruption, inequality and national income
  - Improvement in aggregate scores for the socio-political context (political rights and freedoms, rule of law, associational and organisational rights, the legal framework and state effectiveness)

**Purpose: 'A more dynamic civil society actively participating in public debate on democracy, human rights, social inclusion and the rule of law and with capacity to influence policy and decision making processes.'**

- Increased extent and depth of civic engagement in social and policy related initiatives
  - Improvement in aggregate scores for extent and depth of socially-based engagement
  - Improvement in aggregate scores for extent and depth of political engagement
  - Improvement in aggregate scores for diversity of political engagement (representation of different social groups in civil society, e.g. women, members of ethnic minority groups, rural people)
- Increased perception of civil society impact on governance, social issues and policy-making

- Improvement in aggregate scores measuring perceived impact of civil society on key social issues (e.g. social development, educational and training, support to marginalised groups)
- Improvement in aggregate scores for perceived policy impact of civil society
- Improvement in the score for citizens' trust in civil society

**Outcome 1: Greater benefit of civil society from national legal and financial frameworks and improved dialogue with state institutions**

- Improvement in institutional mechanisms and policy frameworks for Government – Civil Society dialogue
  - Improved satisfaction of CSOs with institutional mechanisms and policy frameworks for Government – Civil Society dialogue and consultation
- Strengthened prospects for financial sustainability of CSOs through well developed national legal and financial frameworks;
  - Increased CSO satisfaction with legal and financial frameworks

**Outcome 2: Greater commitment and capacity of CSO networks to give citizens a voice and influence public sector reform processes through analysis, monitoring and advocacy**

- CSO networks are able to present joint effective strategic programmes to influence participation and outcomes of public sector reforms
  - Number of thematic network producing joint strategic programme documents
- CSO networks perform timely consultations with citizens and produce high quality research, monitoring and strategic advocacy
  - Frequency and quality of interaction with government institutions
  - Quality of outputs produced by networks and ability to manage a participatory process
- Government institutions recognise the importance and value of civil society participation in reform processes
  - Evidence of participation, policy and legislative changes being influenced by network performance.

**Outcome 3: Increased access of grass-root organisations and civic initiatives to financial resources, in-kind contributions or expertise from established CSOs and networks**

- Improvement in the efficiency of support to small CSOs with greater weight on grass-root perspectives and the involvement of community-based organisations in planning and implementation of activities
  - Increased levels of funding to grass-roots and community based organisations
  - Number of grass-root and community based organisations receiving in-kind and technical support from established CSOs and networks
  - Increased geographic spread in distribution of grants

- Enhanced involvement of grassroots and community-based organisations in the creation of public opinion, policy-making and participation in the decision-making mechanisms at local and national level
  - Number of initiatives that have achieved their objectives and examples of good practice of grass-root and community based organisations' contributions in relevant areas

Results and indicators at the 'objective' and 'purpose' levels are taken from the CIVICUS Civil Society Index (CSI) which uses a comprehensive methodology to assess the state of civil society. The CSI assessment combines multiple indicators, using the same comparable metrics to assess key dimensions using a point system. The studies are conducted at regular intervals and therefore both serve to set baselines and measure progress. To measure progress for the whole region, DG Enlargement will examine the possibility of aggregating the studies across the different Beneficiaries. If this is not feasible, target point increases for each indicator will be set for individual beneficiaries. This work will be completed by the end of Q1 2012.

TACSO – in cooperation with competent domestic institutions where applicable - will be responsible for establishing a results framework for aggregation of results at the 'outcome level' of the CSF. This will include establishing baselines which will allow for measurement of progress against indicators. TACSO's needs assessment and the evaluation of EU support to civil society in the region will both be valuable sources of evidence.

Once baselines have been set, TACSO will support DG Enlargement to refine the indicators, making them Specific, Measurable, Achievable, Realistic and Time-bound (SMART).

TACSO will complete the baseline survey and the overarching results framework, including SMART indicators by the end of Q1 2012.

In extension, TACSO will assist EU Delegations in establishing baselines and SMART indicators for projects under the National programmes. This work will follow the development of the annual work plans. TACSO's input will ensure that results and indicators for National programmes are coherent with the overarching CSF results framework.

## **2.d Horizontal issues**

### Equal Opportunities

The programme will promote equal opportunities and social inclusion in all activities. Calls for proposals will ask applicants to set out the current situation for relevant groups – women, children/youth, the elderly and the disabled – and how their projects/programmes will address these issues. To allow for monitoring of progress, baselines and indicators should be disaggregated by sex where relevant. It is expected that gender issues will feature prominently in many CSO agendas.

### Environment

Given the programme's focus on civil society capacity-building, advocacy and monitoring (as opposed to direct service delivery), any adverse impact on the environment as a result of programme implementation is likely to be minimal. The implementation of the programme will support strengthening of CSOs' capacity to formulate action plans and enforce existing and future environmental legislation at local, national and regional level.

### Minorities

By building the capacity of a broad range of CSOs, including community groups and grass-root organisations, the programme will seek to further the interests of minorities and other disadvantaged groups who face social, political and economic discrimination. The need to take account of minority groups and their rights will be an integral part of the selection of grants.

## **2.e Risks and Assumptions**

The commitment of the CSO beneficiaries to build their own capacity, become better rooted in their societies, cooperate and share knowledge is essential to the success of the programme.

Following the principles of aid effectiveness, the programme must be country-led, ensure donor alignment, focus on delivery and measurement of results, and promote mutual accountability. To ensure sustainability, the programme must aim to build on existing structures as opposed to setting up parallel systems.

To achieve a positive programme outcome it is necessary to develop the space and mechanisms for civil society to have dialogues with governments. In this respect the programme relies on the willingness of the Beneficiary administrations to improve the enabling environment for civil society as well as on civil society's own ability and interest in influencing the democratic process.

There is a risk that some governments may have concerns about CSOs dealing with politically sensitive matters. The programme will address this issue by making a link with the EU Political Dialogue to emphasise the principles of cooperation with civil society and the importance of respecting legislation on CSO freedoms.

## **3. BUDGET (AMOUNTS IN EUR MILLION)**

This programme sets out the strategy and scope of activities for the CSF for the next three years with associated budget appropriations for 2011, as well as for 2012 subject to the availability of funds for this purpose under the 2012 budget.



**3.a Indicative budget table**

	Institution Building (IB)								Investment (INV)	Total (IB + INV)	Total IPA EU contribution			
	Total expenditure	IPA EU contribution				National contribution*					EUR (d)	EUR (e)=(a)+(d)	EUR (f)=(b)+(d)	% (2)
		EUR (a)=(b)+(c)	EUR (b)		% (1)	EUR (c)		% (1)						
Sector:		2011	2012	Total		2011	2012							
Civil Society														
PF 1: MB – Partnership actions and TA	19 850 000	11 000 000	7 500 000	18 500 000	93.20	802 703	547 297	6.80	-	19 850 000	18 500 000			
PF 2: MB - People-2-People	1 000 000	-	1 000 000	1 000 000	100.00	-	-	-	-	1 000 000	1 000 000			
PF 3: Albania	1 725 000	-	1 500 000	1 500 000	86.96	-	225 000	13.04	-	1 725 000	1 500 000			
PF 4: Bosnia and Herzegovina	7 000 000	3 000 000	3 500 000	6 500 000	92.86	230 769	269 231	7.14	-	7 000 000	6 500 000			
PF 5: Kosovo	2 310 000	1 100 000	1 100 000	2 200 000	95.24	55 000	55 000	4.76	-	2 310 000	2 200 000			
PF 6: the former Yugoslav Republic of Macedonia	555 555	-	500 000	500 000	90.00	-	55 555	10.00	-	555 555	500 000			
PF 7: Montenegro	1 980 000	1 800 000	-	1 800 000	90.91	180 000	-	9.09	-	1 980 000	1 800 000			
PF 8: Serbia	5 380 000	3 000 000	2 000 000	5 000 000	92.94	228 000	152 000	7.06	-	5 380 000	5 000 000			
PF 9: Turkey	3 050 000	1 300 000	1 750 000	3 050 000	100.00	-	-	-	-	3 050 000	3 050 000			
<b>TOTAL</b>	<b>42 850 555</b>	<b>21 200 000</b>	<b>18 850 000</b>	<b>40 050 000</b>	<b>93.47</b>	<b>1 496 472</b>	<b>1 304 083</b>	<b>6.54</b>	<b>-</b>	<b>42 850 555</b>	<b>40 050 000</b>	<b>100</b>		

Amounts net of VAT

\* contribution (public and private national and/or international contribution) provided by national counterparts

(1) Expressed in % of the Total expenditure IB or INV (column (a) or (d)).

(2) Sector rows only and for Centralised only. Expressed in % of the grand total of column (h). It indicates the relative weight of the sector with reference to the total IPA EU contribution of the entire FP.

### **3.b Principle of Co-Financing applying to the programme**

The IPA EU contribution, which represents 93.47% of the total budget allocated to this programme, has been calculated in relation to the **eligible expenditure**, which in the case of centralised management is based on the **total expenditure**.

The CSF will seek to reduce dependency on donor funding by building CSOs' capacity for financial management as well as by improving legislation and financial frameworks for the sector as a whole.

The principle of co-funding will apply across the programme. In the case of grants, final beneficiaries should contribute with a minimum of 10% of the eligible expenditure of the project. However, it is important to recognise that donor dependency will remain an issue for the foreseeable future since many CSOs have limited funds of their own. At the same time they will experience reduced funding opportunities as a result of international donors phasing out of the region. The principle of co-financing will therefore be applied flexibly, with provision for up to 100% EU funding in accordance with article 253(1)(e) of the Implementing Rules to the Financial Regulation<sup>12</sup>.

## **4. Implementation**

### **4.a Management modes and Implementation modalities**

The programme will be implemented on a centralised basis by the European Commission in accordance with Article 53a of the Financial Regulation<sup>13</sup> and the corresponding provisions of the Implementing Rules<sup>14</sup>.

Part of the programme will be implemented through a contribution agreement under joint management with the UNDP following Article 53d of the Financial Regulation and the corresponding provisions of the Implementing Rules. The foreseen activity represents a continuation of the 'Reinforcement of Local Democracy' project in Bosnia and Herzegovina. The renewal is justified by the already established and well functioning joint management arrangement with UNDP to deliver this project.

In order to have a larger number of small organisations accessing EC funding, the CSF Albania programme makes provision for involving International Cooperation Agencies of Member States as implementing partners, granted that they are accredited and active in the sector.

This Financing Decision sets out a framework for the financing, general rules and tools for implementation. Further detail on the issues and/or types of organisations to support will be set out in the Annual Work Programme for Grants using a common methodology and following the indicative timetable below:

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<sup>12</sup> "Art. 253 (e): "where it is in the interests of the Community to be the sole donor to an action, and in particular to ensure visibility of an action."

<sup>13</sup> Regulation 1605/2002 (OJ L 248, 16.9.2002, p.1) as amended by Regulation (EC, Euratom) No 1995/2006 (OJ L 390, 30.12.2006, p.1)

<sup>14</sup> Regulation 2342/2002 (OJ L 357, 31.12.2002, p. 1) as last amended by Regulation (EC, Euratom) No 478/2007 (OJ L 111, 28.4.2007, p. 13).

- (1) Before September each year, the LAG proposes its priorities using a template which sets out the type of support which best addresses the needs identified (to be developed by TACSO and agreed by the Commission).
- (2) The EU Delegation prepares a draft annual work plan which is issued for consultation via the LAG before the end of October to civil society, national authorities and other stakeholders.
- (3) Before the end of December, the EU Delegation completes the work plan for the following year. The EU Delegations will choose the frequency of launch of the procedures.

Each EU Delegation will be responsible for implementation of its part of the CSF. Unit D3 in DG Enlargement will implement the multi-beneficiary aspects of the Facility with the exception of the 'People 2 People' programme, which is managed by Unit D2.

To support the achievement of the planned outcomes for the CSF, the following methods of implementation have been identified, as set out in section 2c above:

- **Action grants** encouraging CSOs to form **networks** and **consortia** for the presentation and implementation of projects, including **outreach to grassroots/community-based organisations**. Action grants will be awarded through calls for proposals.
- **Financial support to third parties through re-granting**. Re-granting concerns pre-defined activities to be carried out by entities selected by the beneficiary of the grant in line with EU guidelines. It is to be noted that re-granting is only one of a number of activities that would be executed by the grant beneficiary; other activities could include training, mentorship, network facilitation etc.
- **Framework Partnership Agreements (FPA)** to support the need to work on a regular and longer-term basis with a network of key CSO players to implement jointly agreed objectives on the basis of an action plan. Amongst other activities, such partnerships could facilitate the strengthening of grass-root organisations at local level. These capacity-building efforts could include the distribution of low-value grants to smaller CSOs, within the limits set by the EU guidelines. Specific grants will either be awarded as part of the FPA through an open call for proposals, on the basis of a restricted call for proposals restricted to partners, or the partner may present a proposal to the Commission for an action. FPAs are implemented with agreements at two levels. The first sets out the conditions governing the grant to partners for carrying out actions or work programmes, on the basis of an action plan and jointly agreed general objectives. This does not constitute an obligation for the Commission to award grants. The second level is the specific grant agreement which is based upon the FPA and leads to a grant for an action or work programme. Both one-off action grant(s) and/or operating grants could be made available under these agreements.
- **Small grants schemes** managed by EU delegations to ease cooperation with grass-root CSOs. This would speed up the selection of projects and distribution of financial assistance. To make the schemes work, it will be necessary to develop guidelines that simplify the selection of grantees, the contractual arrangements and financial and operational reporting requirements.

- **Prizes** for investigative journalism awarded in accordance with Article 160d of the Implementing Rules to the Financial Regulation. Winners will be selected on the basis of open contests by EU Delegations supported by an expert regional facilitator.
- **Technical assistance**, including via TACSO's offices, to assist CSOs to increase their capacity, improve their legitimacy and to promote networking of CSOs across borders. Technical assistance is as far as possible being established within the existing civil society system to ensure that actions may eventually be taken over by local CSO platforms.
- **TAIEX-type technical assistance**, mainly study tours, conferences and workshops for CSOs through the **People 2 People Programme**. This includes multi-country events in Brussels as well as single-beneficiary events in the region, to stimulate civic participation and offer CSOs the opportunity to interact and create networks with their national, regional and European-level counterparts.

#### **4.b General rules for procurement and grant award procedures**

Procurement shall follow the provisions of Part Two, Title IV of the Financial Regulation and Part Two, Title III, Chapter 3 of its Implementing Rules as well as the rules and procedures for service, supply and works contracts financed from the general budget of the European Communities for the purposes of cooperation with third countries adopted by the Commission on 24 May 2007 (C (2007)2034).

Grant award procedures shall follow the provisions of Part One, Title VI of the Financial Regulation and Part One, Title VI of its Implementing Rules.

The Commission shall also use the procedural guidelines and standard templates and models facilitating the application of the above rules provided for in the "Practical Guide to contract procedures for EU external actions" ("Practical Guide") as published on the DEVCO website at the date of the initiation of the procurement or grant award procedure. The essential selection and award criteria for the award of grants are laid down in the Practical Guide. The detailed selection and award criteria will be laid down in the Calls for proposals – Guidelines for applicants

**In cases of joint management, the general rules for procurement and grant award procedures shall be defined in the Contribution Agreement between the Commission and the international organisation implementing such programme/activity.**

#### **4.c Environmental Impact Assessment and Nature Conservation**

All investments shall be carried out in compliance with the relevant EU environmental legislation.

## **5. MONITORING AND EVALUATION**

### **5.a Monitoring**

The Commission may undertake any actions it deems necessary to monitor the programmes concerned. These actions may be carried out jointly with any international organisation concerned.

### **5.b Evaluation**

Programmes shall be subject to ex ante evaluations, as well as interim and/or, ex post evaluations in accordance with Articles 57 and 82 of IPA Implementing Regulation, with the aim of improving the quality, effectiveness and consistency of the assistance from EU funds and the strategy and implementation of the programmes. The results of evaluations shall be taken into account in the programming and implementation cycle. The Commission may also carry out strategic evaluations.

## **6. AUDIT, FINANCIAL CONTROL AND ANTI-FRAUD MEASURES**

The accounts and operations of all parties involved in the implementation of this programme, as well as all contracts and agreements implementing this programme, are subject to, on the one hand, the supervision and financial control by the Commission (including the European Anti-Fraud Office), which may carry out checks at its discretion, either by itself or through an outside auditor and, on the other hand, audits by the European Court of Auditors. This includes measures such as ex-ante verification of tendering and contracting carried out by the EU Delegation in the Beneficiary.

In order to ensure the efficient protection of the financial interests of the European Union, the Commission (including the European Anti-Fraud Office) may conduct on-the-spot checks and inspections in accordance with the procedures foreseen in Council Regulation (EC, Euratom) 2185/96<sup>15</sup>.

The controls and audits described above are applicable to all contractors, subcontractors and grant beneficiaries who have received EU funds.

## **7. NON SUBSTANTIAL REALLOCATION OF FUNDS**

The authorising officer by delegation (AOD), or the authorising officer by sub-delegation (AOSD), in line with the delegation of powers conferred upon him/her by the AOD, in accordance with the principles of sound financial management, may undertake non substantial reallocations of funds without an amending financing decision being necessary. In this context, cumulative reallocations not exceeding 20% of the total amount allocated for the programme, subject to a limit of EUR 4 million, shall not be considered substantial, provided that they do not affect the nature and objectives of the programme. The IPA Committee shall be informed of the above reallocation of funds.

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<sup>15</sup> OJ L 292; 15.11.1996; p. 2

## **8. LIMITED CHANGES**

Limited changes in the implementation of this programme affecting essential elements listed under Article 90 of the Implementing Rules to the Financial Regulation, which are of an indicative nature<sup>16</sup>, may be undertaken by the authorising officer by delegation (AOD), or by the authorising officer by sub-delegation (AOSD), in line with the delegation of powers conferred upon him by the AOD, in accordance with the principles of sound financial management without an amending financing decision being necessary.

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<sup>16</sup> These essential elements of an indicative nature are, for grants, the indicative amount of the call for proposals and, for procurement, the indicative number and type of contracts envisaged and the indicative time frame for launching the procurement procedures.