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| กรมการข้าว            |
| เลขที่: 5475          |
| วันที่: 27 มี.ค. 2554 |
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ถึง กรม สำนักงานคณะกรรมการอาหารและยา หน่วยงานในสังกัดสำนักงานปลัดกระทรวงสาธารณสุข

ด้วยกระทรวงการต่างประเทศ มีหนังสือด่วนมาก ที่ กต ๐๕๐๒/ว. ๔๖ ลงวันที่ ๑๓ มกราคม ๒๕๕๔ แจ้งว่าสหภาพยุโรป (European Union - EU) มองไทยเป็นหุ้นส่วนเพื่อการพัฒนาซึ่งแตกต่างจากเดิมที่มีความสัมพันธ์ในรูปแบบของผู้ให้ - ผู้รับความช่วยเหลือ ทั้งนี้ EU ได้กำหนดกรอบความร่วมมือในรูปแบบต่างๆ ได้แก่ ๑) ระดับทวิภาคีภายใต้กรอบ Thailand - EU Cooperation Facility (TEC) ระหว่างปี ค.ศ. ๒๐๐๗ - ๒๐๑๓ ซึ่งการดำเนินงานภายใต้ TEC I เสร็จสิ้นแล้ว สำหรับระยะที่ ๒ ระหว่างปี ค.ศ. ๒๐๑๑ - ๒๐๑๓ ซึ่งตั้งแต่ปี ค.ศ. ๒๐๑๑ เป็นต้นไป EU จะเน้นการให้ความร่วมมือภายใต้แนวทางของกรอบ Policy Dialogue Support Facility (PDSF) ซึ่งเป็นมิติใหม่ของการให้ความร่วมมือ ๒) ระดับภูมิภาค เช่น ASEAN - EU หรือ กรอบเอเชีย-ยุโรป (ASEM) ซึ่งครอบคลุมโครงการต่างๆ เช่น โครงการ Switch Asia และ Forest Law Enforcement, Governance and Trade (FLEGT) ๓) ความร่วมมือใบประเด็นที่ EU ให้ความสนใจที่จะผลักดันร่วมกับไทย เช่น ผู้หนีภัย การลักลอบขนยา และการสนับสนุนกิจกรรมของ non-state actors และองค์กรท้องถิ่นในประเทศไทย ทั้งนี้ EU เปิดโอกาสให้สาธารณชนรวมถึงผู้มีส่วนได้ส่วนเสีย จากประเทศที่สามารถแสดงข้อคิดเห็นและทำที่ต่อร่างระเบียบของ EU เรื่องการจัดสรรงบประมาณสำหรับความร่วมมือระหว่าง EU กับประเทศที่สาม ในช่วงรอบงบประมาณต่อไป (ค.ศ. ๒๐๑๔ - ๒๐๒๐) โดยคณะกรรมการสิทธิการยุโรปเปิดรับฟังความคิดเห็นจนถึงวันที่ ๓๑ มกราคม ๒๕๕๔ ผ่านทางเว็บไซต์

<http://ec.europa.eu/development/how/consultation/index.cfm?action=viewcons&id=5240&lng=en>

จึงเรียนมาเพื่อโปรดพิจารณาแจ้งผู้ที่เกี่ยวข้องทราบ และหากมีข้อคิดเห็นสามารถเสนอแนะตามช่องทางที่ระบุไว้ข้างต้นต่อไป

๑. ธีระ นพโกศลกร/อธิบดีกรม

วิรัตน์ นพโกศลกร/รองอธิบดี  
กรมการข้าว

ธีระ นพโกศลกร

(นายชาญยุทธ พรหมประพัฒน์)

เลขานุการกรมอนามัย

27 มี.ค. 2554

สำนักการสาธารณสุขระหว่างประเทศ

ฝ่ายความร่วมมือระดับภูมิภาค

โทร. ๐ ๒๕๔๐ ๑๑๒๗

โทรสาร ๐ ๒๕๔๑ ๔๕๖๒, ๐ ๒๕๔๐ ๑๓๗๔

๒. ธีระ นพโกศลกร  
อธิบดีกรมการข้าว  
๒๗ มี.ค. ๕๔



สำนักงานปลัดกระทรวงสาธารณสุข

๒๖ มกราคม ๒๕๕๔

๓. ธีระ นพโกศลกร

ธีระ นพโกศลกร  
๒๗ มี.ค. ๕๔

คำนวณมาก

ที่ กค ๐๕๐๒/ว. ๔๒



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| กระทรวงการต่างประเทศ |
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| วันที่: 14/34        |
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| กระทรวงการต่างประเทศ |
| เลขที่: 125          |
| วันที่: 19/๓๕๕       |
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ถึง สำนักงานปลัดกระทรวงสาธารณสุข

อนุสนธิ์นังสือกระทรวงการต่างประเทศ ที่ กค ๐๕๐๒/ว.๑๔๑๒ ลงวันที่ ๑๒ พฤศจิกายน ๒๕๕๓ เชิญผู้แทนหน่วยงานของท่านเข้าร่วมรับฟังการบรรยายสรุปเรื่อง แนวทางการให้ความร่วมมือของ คณะกรรมาธิการยุโรป โดยมีนาง Veronique Lorenzo ที่ปรึกษา (ฝ่ายความร่วมมือ) และเจ้าหน้าที่ ที่เกี่ยวข้องจากสำนักงานคณะผู้แทนสหภาพยุโรปประจำประเทศไทย เป็นผู้บรรยายในวันพฤหัสบดีที่ ๑๒ ธันวาคม ๒๕๕๓ ความละเอียดแจ้งอยู่แล้ว นั้น

กระทรวงการต่างประเทศขอเรียนดังนี้

๑. ในส่วนที่เกี่ยวข้องกับไทย นาง Veronique Lorenzo ได้กล่าวในการบรรยายข้างต้น มีใจความสรุปได้ว่า สหภาพยุโรป (European Union - EU) มองไทยเป็นหุ้นส่วนเพื่อการพัฒนา (partner for development) ซึ่งแตกต่างจากเดิมที่ความสัมพันธ์มีรูปแบบของผู้ให้ - ผู้รับความช่วยเหลือ (donor - recipient) ทั้งนี้ EU ได้กำหนดกรอบความร่วมมือในรูปแบบต่างๆ ได้แก่ ๑) ระดับทวิภาคี ภายใต้กรอบ Thailand - EU Cooperation Facility (TEC) ระหว่างปี ค.ศ. ๒๐๐๘ - ๒๐๑๓ โดยได้มีการดำเนินการ ระยะแรกภายใต้ TEC I เสร็จสิ้นแล้ว และจะดำเนินการ TEC II ดำเนินระยะที่ ๒ ในระหว่างปี ค.ศ. ๒๐๑๑ - ๒๐๑๓ ทั้งนี้ ตั้งแต่ปี ค.ศ. ๒๐๑๑ เป็นต้นไป EU จะเน้นการให้ความร่วมมือภายใต้แนวทางของกรอบ Policy Dialogue Support Facility (PDSF) ซึ่งเป็นมิติใหม่ของการให้ความร่วมมือ ซึ่งไทยจะมีส่วนสำคัญ ในการผลักดันนโยบายที่เห็นพ้องร่วมกันให้เดินหน้า ๒) ระดับภูมิภาค เช่น ASEAN - EU หรือ กรอบเอเชีย - ยุโรป (ASEM) ซึ่งครอบคลุมโครงการต่างๆ เช่น โครงการ Switch Asia และ Forest Law Enforcement, Governance and Trade (FLEGT) ๓) ประเด็นสำคัญๆ ที่ EU ให้ความสนใจที่จะผลักดันความร่วมมือกับ ไทย เช่น ความร่วมมือเรื่องผู้หนีภัยการสู้รบชาวพม่า และการสนับสนุนกิจกรรมของ non-state actors และ องค์การท้องถิ่นในประเทศไทย

๒. ภายหลังจากการบรรยายสรุปข้างต้น ผู้บรรยายได้แจ้งให้ทราบถึงการเปิดให้สาธารณชน รวมถึงผู้มีส่วนได้ส่วนเสีย (stakeholders) จากประเทศที่สามร่วมแสดงข้อคิดเห็นและทำข้อเสนอร่างระเบียบ ของ EU เรื่องการจัดสรรงบประมาณสำหรับความร่วมมือระหว่าง EU กับประเทศที่สาม ในช่วงรอบ งบประมาณต่อไป (ค.ศ. ๒๐๑๔ - ๒๐๒๐) โดยสำนักงานคณะผู้แทนสหภาพยุโรปประจำประเทศไทยจะ จัดส่งเอกสารที่เกี่ยวข้องให้กระทรวงการต่างประเทศ

๓. บัดนี้ กระทรวงการต่างประเทศได้รับเอกสาร Public Consultation: What funding for the EU external action after 2013? จากสำนักงานคณะผู้แทนสหภาพยุโรปประจำประเทศไทยเรียบร้อยแล้ว โดยเอกสารได้อธิบายเหตุผลของการเปิดการขอรับฟังการแสดงความเห็นจากสาธารณชนว่า เนื่องจากระเบียบเดิมจะหมดอายุในปี ๒๕๕๖ ดังนั้น EU จึงขอเปิดรับฟังความเห็นจากผู้มีส่วนได้ส่วนเสีย ต่อร่างระเบียบชุดใหม่ เพื่อจะได้นำไปประมวลและประกอบการจัดทำเป็นข้อเสนอร่างระเบียบใหม่ได้อย่าง สมบูรณ์ต่อไป นอกจากนี้ EU ยังอธิบายการดำเนินงานที่ผ่านมาและเป้าหมายในอนาคตของนโยบายความร่วมมือของ EU กับประเทศที่สาม ดังรายละเอียดปรากฏตามเอกสารที่แนบมาพร้อมนี้

๔. ในกรณีนี้ กระทรวงการต่างประเทศเห็นว่า การเปิดโอกาสให้แสดงความคิดเห็นจาก ประเทศที่เกี่ยวข้องต่อร่างระเบียบใหม่นี้จะเป็นประโยชน์สำหรับหน่วยงานของท่าน และขอแจ้งให้หน่วยงานของท่านพิจารณาร่วมแสดงความคิดเห็นได้เพื่อ EU จะได้นำไปปรับปรุงร่างระเบียบฯ และพิจารณาสาขาที่ ฝ่ายไทยต้องการได้ ทั้งนี้ หน่วยงานของท่านสามารถกรอกข้อมูลตามแบบสอบถามจากเว็บไซต์

<http://ec.europa.eu/development/how/consultation/index.cfm?action=viewcons&id=5240&lng=en> โดยคณะกรรมการการยุโรปเปิดรับฟังความคิดเห็นจนถึงวันที่ ๓๑ มกราคม ๒๕๕๔

จึงเรียนมาเพื่อโปรดพิจารณาข้อ ๔

เรียน ปลัดกระทรวงมหาดไทย (คสช.)  
เพื่อเสนอต่อประธานองคมนตรี

(นางนันทพร มานะเนตร)  
นักจัดการงานทั่วไปชำนาญการ  
แทนผู้อำนวยการกลุ่มบริหารทั่วไป  
๑๖ ธ.ค. ๒๕๕๓

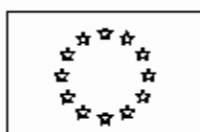


กฤษฎีกร

กองยุโรป ๑

โทร. ๐ ๒๖๔๓ ๕๐๐๐ ต่อ ๑๓๑๙๐

โทรสาร ๐ ๒๖๔๓ ๕๑๔๖



EUROPEAN COMMISSION

## **Public Consultation:**

***What funding for EU external action after 2013?***

*This document does not represent an official position of the European Commission. It is a tool to explore the views of interested parties. The suggestions contained in this document do not prejudice the form or content of any future proposal by the European Commission.*

## **A) WHY A CONSULTATION ON EU FUNDING FOR EXTERNAL ACTION?**

The European Union is a world player by virtue of its population and economic power. With 500 million inhabitants, it accounts for over 25% of the world's gross domestic product (GDP) and a fifth of global trade. The Union is also an active political player, with regional and global security interests and responsibilities to match. In particular, it shows solidarity by providing more than half of all international development aid and is the world's biggest donor of humanitarian assistance. It is actively involved in protecting human rights, promoting decent work agenda, other universal values and international environmental and social conventions. The EU is increasingly active in conflict prevention, crisis management and peace building, through EU-led crisis management missions as well as through EU crisis response and stabilisation instruments. The EU also supports UN and African Union peace-keeping and peace-restoring missions in fragile or war-torn countries. Moreover, the EU is committed to supporting the multilateral system and its reform, the Doha multilateral trade negotiations, the UNFCCC (United Nations Framework Convention on Climate Change) negotiations on climate change, negotiations on other multilateral agreements, G-8 and G-20 reforms and the global governance agenda, as well as trade as an instrument for economic development. External policies are therefore a major field of action for the EU, which has been reinforced within the new institutional framework of the Lisbon Treaty<sup>1</sup>.

The EU uses the financial instruments for external relations to support the implementation of its external policies. They are set out in legislative instruments (Regulations) which expire at the end of 2013, coinciding with the end of the current 2007-2013 Multi-annual Financial Framework<sup>2</sup>. In the course of 2011, the European Commission will present its proposals for the post-2013 Multiannual Financial Framework (on which annual EU budgets will then be based), including the legislative proposals for the financial instruments for external relations<sup>3</sup>.

In preparing these major legislative proposals, the Commission would like to receive your opinions and ideas. The purpose of this document is to launch a public consultation to gather contributions from interested citizens and stakeholders on specific aspects and options for future EU external spending. These contributions will assist the Commission in developing its proposals for the post-2013 legislative financial instruments for external action.

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<sup>1</sup>Treaty of Lisbon, (OJ C 306, 17.12.2007) and consolidated versions of the Treaty on European Union and the Treaty on the Functioning of the European Union, (OJ C 83, 30.3.2010)

<sup>2</sup>IAA: 2006/C139/01

<sup>3</sup>The Humanitarian Aid Regulation has no expiry date in 2013 but will as well be subject to legislative revision

## **B) THE PUBLIC CONSULTATION PROCESS**

### *How to contribute?*

This issues paper will be published on the Commission's website 'Your voice in Europe' (<http://ec.europa.eu/yourvoice/>) and on the websites of the Commission's directorates-general involved in external relations.

The consultation will run from November 26<sup>th</sup> 2010 to January 31<sup>st</sup> 2011 and is open to all interested persons or stakeholders. The deadline for submission is January 31<sup>st</sup> 2011 at midnight.

Anybody with an interest in EU external action is invited to take part in this consultation. The online questionnaire can be accessed via the following link:

<http://ec.europa.eu/development/how/consultation/index.cfm?action=viewcons&id=5240&lng=en>

The questionnaire will be available in English, and additionally in French, German, Spanish, Italian, and Portuguese around three weeks after the launching date.

Answers to the questionnaire should normally be completed online. The questionnaire must be completed in one session, as it is not possible to save comments and responses entered, and return to them later. Please note that you will have 16 questions to answer and that for each question you will be automatically disconnected after 90 minutes of inactivity. Therefore if you would like to take time completing the questionnaire, it is recommended that you prepare your answers using a separate working document.

### *Contact point:*

Enquiries about this consultation should be sent to [EC-External-action@ec.europa.eu](mailto:EC-External-action@ec.europa.eu) or to the following address: The European Commission, DG Development, Unit C1 Aid programming and management (SC-15 05/66), Rue de la Science 15, 1049 Brussels, Belgium.

### *What next?*

The contributions will be published on the consultation website, possibly in a summarised form, provided authors do not object to the publication of their personal data on the grounds that such publication would harm their legitimate interests. In this case, contributions may still be published in anonymous form. Otherwise, the contribution will not be published nor, in principle, will its content be taken into account.

Since the launching of the Register for Interest Representatives (lobbyists) in June 2008 as part of the European Transparency Initiative, organisations have been invited to use this Register to provide the European Commission and the public at large with information about their objectives, funding and structures. It is Commission policy that submissions from organisations will be considered as individual contributions unless the organisations have registered.

A report summarising the main outcomes of the public consultation will be made available. These results will be one of the inputs to the Commission's preparation of the legislative proposals for the post-2013 EU external action instruments.

*Other public consultations on related subjects:*

In parallel to this consultation, specific stakeholder consultations are being organised on related policy areas e.g.:

- Regarding development policy, green papers on EU development policy in support of inclusive growth and sustainable development and Budget support<sup>4</sup> have been published in parallel with this consultation. A seminar dedicated to EU financial tools for EU development policy in the next financial framework period will be organised on 7 December 2010<sup>5</sup> during the European Development Days;
- The legal bases of humanitarian aid and the civil protection policies will be reviewed and the Commission will put forward proposals in 2011. The mid term review of the implementation of the Humanitarian Aid Consensus is currently underway. The work on European Voluntary Humanitarian Aid Corps, the subject of the stakeholders' conference of 30 September 2010, will lead to a regulatory proposal in 2012. Further information on this and other initiatives is to be found on [http://ec.europa.eu/echo/index\\_en.htm](http://ec.europa.eu/echo/index_en.htm);
- A strategic reflection on the future implementation of the European Neighbourhood Policy (ENP) has been launched, including comprehensive consultations both inside the EU and with the ENP partners. The main conclusions of this review are expected in spring 2011;
- With regard to Enlargement policy, a first exchange of views with stakeholders on the post-2013 Instrument for Pre-accession Assistance (IPA) will take place at the occasion of the IPA 2010 Conference to be held in Brussels on 6 and 7 December 2010. An on-going evaluation of the current instrument will feed the debate
- A communication on the future of EU trade policy was adopted by the college early November. This communication sets out how trade and investment policy will contribute to the external dimension of the Europe 2020 strategy and what will be the priorities in trade policy in the coming years;
- A public consultation is currently underway on the future of the next generation of EU programmes post 2013 on education, training and youth policy. This consultation is open until 30 November 2010 and can be accessed at [http://ec.europa.eu/dgs/education\\_culture/consult/index\\_en.html](http://ec.europa.eu/dgs/education_culture/consult/index_en.html);
- In the area of home affairs (i.e. security, migration management, asylum), a number of events will be organised in the first quarter of 2011 which will allow for an exchange of views with stakeholders on spending priorities for home affairs policies as well as the most appropriate mechanisms to deliver financial support for these policies, including their external dimension.

<sup>4</sup> <http://ec.europa.eu/development/hgw/consultation/index.cfm>

<sup>5</sup> The access to this seminar will be limited to people having registered to participate to the European Development Days under <http://eudevdays.eu/> before November 22<sup>nd</sup> 2010

## C) EU EXTERNAL ACTION UNTIL TODAY

### 1. *The policy bases*

Since its creation in the 1950s, the European Union has developed links with the rest of the world through diplomatic relations, trade and cooperation agreements with individual countries or at regional level, and financial and technical assistance. Political relations have been developed and many framework agreements have been signed with a large number of third countries.

Development cooperation was originally focused on Africa, but in the mid-1970s it was extended to the Caribbean, Pacific, Asian, Latin American and southern and eastern Mediterranean countries. The European Union began providing humanitarian aid to populations in need in the 1970s, a policy which was substantially stepped up in the 1990s. During the 1990s, in addition to already established political relations with specific partners, economic and political cooperation was developed with Central and East European countries<sup>6</sup> heading for economic transition and, for some of these countries, into the EU enlargement process. Ultimately, the EU negotiated Stabilisation and Association Agreements with Western Balkan countries who are now candidates or potential candidates for EU accession. Cooperation with Mediterranean, Eastern European and Southern Caucasus neighbours has been enhanced in recent years through the establishment of the European Neighbourhood Policy and the development of its multilateral dimensions, the Union for the Mediterranean and the Eastern Partnership. The EU is developing strategic partnerships with key players including emerging and transition countries, which provide a useful instrument for the pursuit of European objectives and interests.

Since the 1993 Maastricht Treaty, the EU has developed a Common Foreign and Security Policy (CFSP) and takes joint action when the interests of the Union as a whole are at stake. In 1999, the European Security and Defence Policy (ESDP)<sup>7</sup> was created with the potential to set up a common defence structure at a later stage. Over the years, the EU has also concluded numerous bilateral trade agreements with regions and individual countries across the world, and is also actively involved with the World Trade Organisation (WTO) in laying down the rules for the multilateral system of global trade. The commitment to an efficient multilateral system, founded on universal rules and values, is a central element of the EU's external action. The EU plays an important role in and financially sustains the functioning of all major international organisations, in particular within the United Nations system.

The Lisbon Treaty defines the EU external action which includes political dialogues as well as commercial policy but also development and economic cooperation with third countries. It created the post of High Representative/Vice President of the Commission to play a key role in ensuring the consistency and coherence of the different areas of this action.

Within this new framework for EU external action, this stakeholder consultation is primarily focused on the financial instruments by which the EU supports external assistance as well as economic, financial and technical cooperation with third countries, in the context of the preparation of Commission legislative proposals for post-2013.

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<sup>6</sup> As well as with southern Caucasus and Central Asian countries.

<sup>7</sup> Presently known as Common Security and Defence Policy (CSDP) in conformity with the Lisbon Treaty.



## **2. The new institutional framework**

The Lisbon Treaty, which entered into force on 1 December 2009, sets out common principles and objectives and defines a new institutional framework for the Union's external action, raising high expectations within the EU and with partners at continental, regional and national levels, as well as in the multilateral context.

The Lisbon Treaty makes the EU a single legal entity able to conclude international agreements and to become a member of international organisations, replacing the European Community. The objectives of these reforms are to strengthen the coherence of external action and raise the profile of the EU in the world.

According to the Treaty, the EU's external action shall be guided by the principles which have inspired its own creation, development and enlargement, and which it seeks to promote in the wider world: democracy, the rule of law, the universality and indivisibility of human rights and fundamental freedoms, respect for human dignity, the principles of equality and solidarity, and respect of the principles of the United Nations Charter and international law' (Article 21(1) of the Treaty on European Union (TEU)). The Treaty also clearly states that the reduction and, in the long term, the eradication of poverty are the primary objectives of the Union's development cooperation policy (Article 208 Treaty on the Functioning of the European Union (TFEU)). The Lisbon Treaty also contains provisions on complementarity of action and division of labour between the Union and the Member States (Article 210 TFEU). In providing a specific legal basis for humanitarian aid and civil protection (Articles 214 and 196 TFEU), it gives visible form to its solidarity with vulnerable populations in need. The Lisbon Treaty also includes new provisions for developing a special relationship with neighbouring countries so as to establish an area of prosperity and good neighbourliness (Article 8 TEU). The Lisbon Treaty also introduces changes in the area of trade policy by confirming the exclusive competence of the EU for the Common Commercial Policy (Article 3(1)(e) TFEU), by extending this policy to foreign direct investment (Article 206, 207(1) TFEU) and by increasing the participation of the European Parliament in the development of the Common Commercial Policy.<sup>8</sup>

The Treaty also pays particular attention to the Common Foreign and Security Policy as an important element of EU external action which is to be conducted by the new post of High Representative / Vice President of the Commission. The High Representative / Vice President shall ensure the consistency of the Union's external action (Article 18(4)). To fulfil this mandate, the High Representative / Vice President will be assisted by a new common service, the European External Action Service (EEAS) staffed by officials to be drawn from the relevant departments of the General Secretariat of the Council and of the Commission as well as personnel seconded from the national diplomatic services of the EU Member States.

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<sup>8</sup> Moreover, a new horizontal social clause requests to take into account employment, social protection, education, training and human health, and environmentally sustainable development and to combat discrimination in all Union's policies and action (Article 9 – 11 TFEU). In addition, regarding culture, the Treaty (Article 167 TFEU) requires the EU and its Member States to promote cultural aspects in its international relations with partner countries and regions, thereby underlining the contribution of culture to a world order based on sustainable development, peaceful coexistence and dialogue between cultures.

### ***3. EU strategic objectives for external action beyond 2013***

The strategic objectives of EU external action can be defined - in line with the Lisbon Treaty and the Europe 2020 Strategy - as:

- promoting the EU's role as a global player. To protect the EU's prosperity and security at home, it needs to be active abroad;
- strengthening the international aspects of its domestic policies for a greener, more competitive and safer Europe with inclusive growth, thus also supporting the Europe 2020 strategy<sup>9</sup> externally and ensuring greater consistency between domestic and external policies in order to improve the promotion of EU and Member States' interests;
- tackling global challenges such as climate change and energy security, food security, poverty, migration, social dimension of globalisation, health, trade rules, regulatory barriers, access to and sustainable use of raw materials, biodiversity and natural resources, security challenges, international tax cooperation, economic growth and financial stability;
- investing in the long-term security and prosperity of partner countries as a contributory factor towards stability and global economic development. This implies in particular promoting economic and political integration in the EU of enlargement countries, strengthening the links and the partnership with neighbouring countries, as well as poverty eradication, including through decent work agenda, and long-term prosperity in developing countries, including in fragile countries or in countries in crisis with strategic importance for the EU;
- fostering global economic growth and development by creating opportunities for trade and investment, by promoting regional integration whenever it is feasible and by improving economic governance;
- enhancing and endorsing European solidarity by providing rapid, principles-based support to vulnerable populations following man-made and natural disasters.

### ***4. EU financial instruments for external action: current priorities and delivery methods (2007-2013)***

The current Multiannual Financial Framework has the following objectives: to make Europe a global partner; to prepare countries with a European perspective for accession; to take regional responsibility towards the European neighbourhood; to promote poverty eradication and regional integration worldwide and support the sustainable development of all developing countries; to enhance the development and consolidation of democracy and the rule of law (including respect for human rights and fundamental freedoms); to demonstrate European solidarity by providing rapid support to vulnerable populations outside the EU following disasters; to support effective multilateralism and global governance; to raise socio-economic standards in beneficiary countries and regions; and to contribute to civil and strategic security.

These objectives should be pursued while ensuring the external projection of EU policies and the complementarity between EU internal and external policy and action, as well as overall policy coherence, consistency, and synergy among the Union's main external relations tools.

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<sup>9</sup>Commission communication COM(2010)2020, 3.03.2010, and European Council conclusions on 17.06.2010

The aim is also to streamline procedures with a view to making aid programming, delivery, and crisis response more effective, efficient and flexible while embracing the participatory agenda<sup>10</sup>. This is all part of broader ongoing efforts to improve the efficiency of EU aid programmes, in particular through a more efficient division of labour with the Member States.

The 2007-2013 financial instruments under the EU budget heading (Heading 4: EU as a global player) amount to €56 billion (current prices). These include various policy-driven geographic instruments, instruments for emergency and disaster issues as well as thematic instruments. In addition, the European Investment Bank (EIB) has an external mandate<sup>11</sup> guaranteed by the EU Budget representing a loan volume of €27.8 billion over the period 2007-2013. The most important part of development assistance, the European Development Fund (EDF), which supports the cooperation with African, Caribbean and Pacific (ACP) countries and with overseas countries and territories (OCTs), is not part of the EU budget. The total resources of the 10<sup>th</sup> EDF amount to €22.7 billion for the period 2008-2013 (see ANNEX III).

### ***5. Outlook for the future and challenges ahead***

Close to the EU, the stabilisation of the EU's immediate partners is ongoing. This means having the capacity to prepare candidate countries to become fully-fledged Member States upon accession, but it also involves further strengthening of the EU's special relationship with neighbouring countries. The objective is to establish an area of prosperity and good neighbourliness, through an increasingly ambitious policy based on market opening, economic integration, inclusive growth, regulatory convergence and strengthening of bilateral relations.

With respect to development challenges, although achievements were recently acknowledged at the UN High Level Plenary Meeting on the Millennium Development Goals<sup>12</sup>, a great deal remains to be done to speed up progress towards the Millennium Development Goals as regards eradication of extreme poverty and hunger, reduction of maternal and child mortality, access to sanitation and environmental sustainability. In this connection, it should be borne in mind that there are only five more years left to the 2015 target to achieve the Millennium Development Goals. To meet these challenges, it is paramount that EU ensures that its spending is effective, efficient, and that it has a real and lasting impact on the ground. In this context, EU Coordination (between the EU institutions and Member States) and Policy Coherence for Development (PCD) are crucial. They are now Treaty obligations and have been enshrined in some strategic documents on development policy and in the aid effectiveness agenda.

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<sup>10</sup> Participatory agenda recognised in the European Consensus on Development and the Accra Agenda for Action

<sup>11</sup> Council Decision (EC) No 1016 of 19 December 2006 granting a Community guarantee to the European Investment Bank against losses under loans and loan guarantees for projects outside the Community - OJ L 414, 30.12.2006, p. 95.

<sup>12</sup> High-Level Plenary Meeting of the General Assembly, New York, 20-22 September 2010

The EU also faces an increasing number of global challenges such as climate change<sup>13</sup>, decent work, energy security, food security, economic and financial stability and international tax cooperation and finance. These have implications in terms of poverty, education, migration, global health, trade and security, as well as the management of natural resources with respect to protecting biodiversity and access to and sustainable use of raw materials. In addition, natural disasters have increased both in number and in intensity. This year alone has seen three of the largest humanitarian disasters in recent times: the Haiti earthquake, the drought in the Sahel and the floods in Pakistan. Given the increasing number of protracted humanitarian crises, and the demands from affected countries for prevention and early recovery interventions, these challenges need to be dealt with, more comprehensively, at a number of levels. This could include inter alia greater focus on disaster risk prevention and reduction measures, possible emergency trade preference measures to these countries. Sustainable transition strategies need to be developed, including through the design of flexible programming approaches, especially in post-crisis contexts.

In ensuring better coherence, the financial instruments supporting external action should provide a smooth continuum from political decision-making through to implementation. The various elements of EU external action should be better connected. The Common Foreign and Security Policy should be able to take other objectives and means into account, in an integrated approach. Moreover there should be a clear link between other financial means and CFSP matters with the aim to enhance the coordination and consistency of EU external action as provided for in the Treaty.

Any reflection on the future financial instruments to support EU external action should therefore consider EU objectives and ambitions, as well as current and future economic and fiscal constraints. Currently, external action under 'Heading 4: EU as a global player' represents only 6% of the total EU budget and, compared with the previous financial framework, the EU budget share in the total of Member States' Official Development Assistance (ODA) is declining. Nevertheless, the EU has committed itself to a target of 0.7% of gross national income (GNI) devoted to ODA by 2015<sup>14</sup>.

In this context, and on the basis of the lessons learnt, it is necessary to ensure that the set up of EU external action instruments strengthen synergies, avoid overlaps and can effectively deliver on key objectives and where EU action provides added value. The aim is to tailor its financial tools to the diverse situations of partner countries around the world, to respond to additional political priorities and new crisis situations, and to increase the efficiency,

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<sup>13</sup> The *Copenhagen Accord* specifies that the collective commitment by developed countries is to provide new and additional resources approaching USD 30 billion for the period 2010-2012 with balanced allocation between adaptation and mitigation. With the Copenhagen Accord, in the context of meaningful mitigation actions and transparency on implementation, the EU and other developed countries committed to a goal of mobilizing jointly USD 100 billion dollars a year of both public and private finance by 2020, to address the needs of developing countries. To ensure the coherence and visibility of the EU contribution to international efforts; effectiveness; and permit economies of scale in the management of disbursements, a significant EU contribution to this pledge should be factored into the EU budget. This deserves a separate reflection which should also include whether the role of the EU budget should be complemented by a separate instrument to bring together a stable and visible collective EU contribution.

<sup>14</sup> In 2009, EU ODA/GNI for the EU27 was 0.42%.

flexibility, impact and quality of EU external funding. The performance of the EU's external financial instruments could be enhanced through its leverage potential and its multiplier effect, either in the form of financial leverage (ability of European external aid to trigger the intervention of other forms of funding or actors) or in the form of policy leverage (effect on the quality, effectiveness and efficiency of policies in partner countries - with respect to accession, alignment with EU rules, poverty reduction, cooperation on economic and inclusive growth or good governance including in tax matters, compliance with EU principles and other normative principles and values). Further issues to be tackled could be the differentiation between partner countries, cooperation with Middle Income Countries, accountability, transparency and visibility. Specificities and added-value of relevant drivers for change (including civil society organisations and local authorities acting at the local level) should be taken into account. EU action is guided by universal values and principles as set out or defined in the Charter of Fundamental Rights and in the new Lisbon Treaty.

The purpose of this consultation is to ask you for your views on these issues.

## ANNEX I

### EU POLITICAL GUIDELINES AND COMMITMENTS

- The multiannual legislative framework governing EU external action is shaped by political guidelines and commitments which are specific to its main policy areas: with regard to **enlargement**, the renewed consensus on enlargement as agreed by the December 2006 European Council;
- with regard to co-operation with the EU **neighbourhood**, the European Neighbourhood Policy, the Union for the Mediterranean, and the Eastern Partnership;
- with regard to **development policy**, the European Consensus for Development, the international commitments on aid effectiveness (Paris Declaration and Accra Agenda for Action, Marrakesh Action Plan for Statistics), the 2002 Monterrey Consensus on financing for development, and the Millennium Development Goals;
- with regard to cooperation with ACP (Africa, Caribbean, Pacific) countries and Africa as a region, the ACP-EC Partnership Agreement ('The Cotonou Agreement'), the Africa-EU Strategic Partnership, the Joint Africa-EU Strategy and its 2008-2010 Action Plan;
- EU bilateral and regional strategies towards the countries in **Asia and Latin America**, supported by the Development Cooperation Instrument, EU strategic partnerships with emerging and transition economies and the Central Asia Strategy;
- with regard to **humanitarian** assistance, the European Consensus on Humanitarian aid, according to which the allocation of aid is solely needs-based and complies with principles of humanity, neutrality, impartiality and independence; the integration of **civil protection** and humanitarian assistance leading to a stronger European disaster response of the European Union (Commission communication of 26 October 2010);
- with regard to **conflict prevention, crisis management and peace building**, the EU programme on conflict prevention in June 2001 as well as the Commission communication on conflict prevention (April 2001);
- with regard to **security**, the European Security Strategy in 2003 (reviewed in 2008), the 2005 EU Counter Terrorism Strategy, the EU Non-proliferation Strategy and the 2010 European Internal Security Strategy;
- with regard to the **peace, security and development nexus**, the Communication and Council conclusions in 2007 on fragile situations and on security and development;
- with regard to **human rights**, International Conventions and Covenants on human rights and the Charter of Fundamental Rights of the European Union;
- with regard to **decent work**, the Communication from the Commission and Council conclusions in 2006 on Promoting decent work for all – the EU contribution to the implementation of the decent work agenda in the world;

- with regard to **good governance in tax matters** and domestic revenue mobilisation, the Communication<sup>15</sup> and Council conclusions<sup>16</sup> in 2010 on tax and development;
- with regard to **sustainable development**, the EU Sustainable Development Strategy, in particular its part related to global poverty and sustainable development challenges;
- with regard to **other thematic policies**, the UN Framework Convention on Climate Change and the Kyoto Protocol agreed in 1997, the three "Rio Conventions" on climate change, biodiversity and desertification agreed in 1992 and other multilateral environmental agreements, the Stockholm Programme in the area of Justice and Home Affairs (police cooperation, judicial cooperation in civil and criminal matters, migration management, asylum etc.).

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<sup>15</sup> COM (2010) 163, 21/04/2010 Tax and Development, Cooperating with Developing Countries on Promoting Good Governance in Tax Matters

<sup>16</sup> 3023rd FOREIGN AFFAIRS Council meeting, Luxembourg, 14 June 2010

## ANNEX II      USEFUL REFERENCES

The following reference documents or studies are relevant:

### *1. General*

- Treaty of Lisbon:  
<http://www.consilium.europa.eu/showPage.aspx?id=1296&lang=en>
- Legal bases - regulations of the financial instruments for external action (2007-2013):  
[http://ec.europa.eu/europeaid/work/procedures/legislation/legal\\_bases/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/legislation/legal_bases/index_en.htm)
- European External Action Service (Council Decision of 10 July 2010) establishing the organisation and functioning of the European External Action Service (2010/427/EU, OJ L 201.30 of 03.08.2010)  
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:201:0030:0040:EN:PDF>
- Europe 2020 strategy: [http://ec.europa.eu/eu2020/index\\_fr.htm](http://ec.europa.eu/eu2020/index_fr.htm)

### *2. Geographic and thematic*

#### *Enlargement:*

- The Enlargement web site:  
<http://ec.europa.eu/enlargement/index.htm>
- The renewed consensus on enlargement as agreed by the December 2006 European Council: [http://www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/en/ec/92202.pdf](http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/en/ec/92202.pdf)
- The most recent enlargement package (November 2009):  
[http://ec.europa.eu/enlargement/press\\_corner/key-documents/reports\\_nov\\_2010\\_en.htm](http://ec.europa.eu/enlargement/press_corner/key-documents/reports_nov_2010_en.htm)

#### *European Neighbourhood Policy (ENP):*

- The European Neighbourhood Policy website:  
[http://ec.europa.eu/world/enp/index\\_en.htm](http://ec.europa.eu/world/enp/index_en.htm)
- The Union for the Mediterranean : [http://eeas.europa.eu/euromed/index\\_en.htm](http://eeas.europa.eu/euromed/index_en.htm)
- The Eastern Partnership: [http://eeas.europa.eu/eastern/index\\_en.htm](http://eeas.europa.eu/eastern/index_en.htm)
- The Black Sea Synergy:  
[http://ec.europa.eu/world/enp/pdf/com07\\_160\\_en.pdf](http://ec.europa.eu/world/enp/pdf/com07_160_en.pdf)

#### *Broader (non-neighbourhood) Middle East*

- Yemen: [http://eeas.europa.eu/yemen/index\\_en.htm](http://eeas.europa.eu/yemen/index_en.htm)
- Iraq: [http://eeas.europa.eu/iraq/index\\_en.htm](http://eeas.europa.eu/iraq/index_en.htm)



- Iran: [http://eeas.europa.eu/iran/index\\_en.htm](http://eeas.europa.eu/iran/index_en.htm)
- Gulf States: [http://eeas.europa.eu/gulf\\_cooperation/index\\_en.htm](http://eeas.europa.eu/gulf_cooperation/index_en.htm)

#### ***Development policy – general:***

- The European Consensus for Development:  
[http://ec.europa.eu/development/icenter/repository/european\\_consensus\\_2005\\_en.pdf](http://ec.europa.eu/development/icenter/repository/european_consensus_2005_en.pdf)
- Common Framework for programming:  
General Affairs and External Relations Council Conclusions of April 2006:  
[http://ec.europa.eu/development/icenter/repository/GAERC\\_2006\\_en.pdf](http://ec.europa.eu/development/icenter/repository/GAERC_2006_en.pdf)],
- New Common Framework (2006) for joint multi-annual programming:  
[http://ec.europa.eu/development/icenter/repository/GAERC\\_annexe\\_2006\\_en.DOC](http://ec.europa.eu/development/icenter/repository/GAERC_annexe_2006_en.DOC)
- Aid effectiveness related texts:  
[http://ec.europa.eu/development/how/aid\\_effectiveness\\_en.cfm](http://ec.europa.eu/development/how/aid_effectiveness_en.cfm)
- The 2002 Monterrey Consensus on financing for development:  
<http://www.un.org/esa/ffd/monterrey/MonterreyConsensus.pdf>
- The Millennium Development Goals:  
<http://www.un.org/millenniumgoals/>
- External assistance financing instruments:  
[http://ec.europa.eu/europeaid/how/finance/index\\_en.htm](http://ec.europa.eu/europeaid/how/finance/index_en.htm)
- Sectoral policies:  
[http://ec.europa.eu/development/policies/9interventionareas\\_en.cfm](http://ec.europa.eu/development/policies/9interventionareas_en.cfm)  
[http://ec.europa.eu/europeaid/how/finance/thematic\\_en.htm](http://ec.europa.eu/europeaid/how/finance/thematic_en.htm)
- Tax and development: Promoting good governance in taxation as part of development cooperation: [http://ec.europa.eu/development/how/taxation\\_development\\_en.cfm](http://ec.europa.eu/development/how/taxation_development_en.cfm)

#### ***Africa, Caribbean and Pacific:***

- The ACP-EC Partnership Agreement ("The Cotonou Agreement"):  
[http://ec.europa.eu/development/geographical/cotonouintro\\_en.cfm#revision2](http://ec.europa.eu/development/geographical/cotonouintro_en.cfm#revision2)
- The Africa-EU Strategic Partnership, Joint Strategy and 2008-2010 Action Plan:  
[http://www.africa-eu-partnership.org/sites/default/files/eas2007\\_joint\\_strategy\\_en.pdf](http://www.africa-eu-partnership.org/sites/default/files/eas2007_joint_strategy_en.pdf)

#### ***Latin America and Asia:***

- EU - Latin America and Caribbean Summit: Madrid Declaration and Action Plan 2010-2012: [http://www.consilium.europa.eu/uedocs/cms\\_Data/docs/pressdata/en/er/114540.pdf](http://www.consilium.europa.eu/uedocs/cms_Data/docs/pressdata/en/er/114540.pdf)
- Commission Communication on Latin America, "The European Union and Latin America: Global Players in Partnership":  
[http://ec.europa.eu/la/docs/com09\\_495\\_en.pdf](http://ec.europa.eu/la/docs/com09_495_en.pdf)

- EU cooperation programmes with Asia:  
[http://ec.europa.eu/europeaid/where/asia/regional-cooperation/index\\_en.htm](http://ec.europa.eu/europeaid/where/asia/regional-cooperation/index_en.htm)
- The EU and Asia:  
[http://eeas.europa.eu/asia/index\\_en.htm](http://eeas.europa.eu/asia/index_en.htm)
- The EU and Central Asia:  
[http://www.eeas.europa.eu/central\\_asia/docs/2010\\_strategy\\_eu\\_centralasia\\_en.pdf](http://www.eeas.europa.eu/central_asia/docs/2010_strategy_eu_centralasia_en.pdf)

***Humanitarian aid and civil protection:***

- Humanitarian Aid Regulation:  
<http://eur-lex.europa.eu/l.exUriServ/LexUriServ.do?uri=CONSLEG:1996R1257:20090420:EN:PDF>
- European Consensus on Humanitarian Aid:  
[http://ec.europa.eu/echo/policies/consensus\\_en.htm](http://ec.europa.eu/echo/policies/consensus_en.htm)
- Civil Protection legal texts :  
[http://ec.europa.eu/echo/civil\\_protection/civil/prote/legal\\_texts.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/legal_texts.htm)

***Macro-financial assistance to third countries:***

- Macro-financial assistance to third countries:  
[http://ec.europa.eu/economy\\_finance/financial\\_operations/market/third\\_countries/index\\_en.htm](http://ec.europa.eu/economy_finance/financial_operations/market/third_countries/index_en.htm)

***Security:***

- Websites dedicated to Common Foreign and Security Policy:  
[http://ec.europa.eu/external\\_relations/cfsp/index\\_en.htm](http://ec.europa.eu/external_relations/cfsp/index_en.htm)  
<http://www.consilium.europa.eu/showpage.aspx?id=248&lang=en>
- The Instrument for Stability  
[http://ec.europa.eu/external\\_relations/ifs](http://ec.europa.eu/external_relations/ifs)
- The revised (2008) European Security Strategy :  
<http://www.consilium.europa.eu/showPage.aspx?id=266&lang=en>
- EU 2005 Counter-Terrorism Strategy:  
<http://register.consilium.eu.int/pdf/en/05/st14/st14469-re04.en05.pdf>
- The 2001 EU Programme for prevention of violent conflicts (Göteborg Programme) :  
[http://ec.europa.eu/governance/impact/background/docs/goteborg\\_concl\\_en.pdf](http://ec.europa.eu/governance/impact/background/docs/goteborg_concl_en.pdf)  
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<http://eur-lex.europa.eu/l.exUriServ/LexUriServ.do?uri=COM:2001:0211:FIN:EN:PDF>
- The 2007 Council conclusions on security and development nexus, and on situations of fragility:  
[http://www.europa-eu-un.org/articles/en/article\\_7523\\_ett.htm](http://www.europa-eu-un.org/articles/en/article_7523_ett.htm)

***Other thematic (climate change, energy, migration, human rights and democracy):***

- The Stockholm Programme and the Action Plan implementing the Stockholm Programme in the area of Justice and Home Affairs:  
[http://www.se2009.eu/polopoly\\_fs/1.26419!nenu/standard/file/Klar\\_Stockholmsprogram.pdf](http://www.se2009.eu/polopoly_fs/1.26419!nenu/standard/file/Klar_Stockholmsprogram.pdf)  
[http://ec.europa.eu/justice\\_home/news/intro/doc/com\\_2010\\_171\\_en.pdf](http://ec.europa.eu/justice_home/news/intro/doc/com_2010_171_en.pdf)

- Environment and climate change:  
[http://ec.europa.eu/environment/international\\_issues/agreements.htm](http://ec.europa.eu/environment/international_issues/agreements.htm)

The UN Framework Convention on Climate Change and the Kyoto Protocol:  
<http://unfccc.int/2860.php>

- Human Rights and Democracy:  
The European Instrument for Democracy and Human Rights (EIDHR):  
<http://ec.europa.eu/development/2>

Communication on governance in the European Consensus on Development:  
[http://ec.europa.eu/europeaid/what/civil-society/documents/guidelines\\_principles\\_good\\_practices\\_en.pdf](http://ec.europa.eu/europeaid/what/civil-society/documents/guidelines_principles_good_practices_en.pdf)

Communication on the Participation of non-state actors in development policy: [http://eur-lex.europa.eu/LexUriServ/site/en/com/2002/com2002\\_0598en01.pdf](http://eur-lex.europa.eu/LexUriServ/site/en/com/2002/com2002_0598en01.pdf)

Communication on Local Authorities, actors for development: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2008:0626:FIN:EN:PDF>

***Evaluation and audit:***

- The evaluation reports of EU external cooperation programmes:  
[http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/index\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/index_en.htm)
- Reports by the European Court of Auditors:  
<http://eca.europa.eu/portal/page/portal/publications/auditreportsandopinions/completelistsofreports>

***Financial programming and EU budget reform:***

[http://ec.europa.eu/budget/prior\\_future/fin\\_framework\\_en.htm](http://ec.europa.eu/budget/prior_future/fin_framework_en.htm)  
[http://ec.europa.eu/budget/reform/index\\_en.htm](http://ec.europa.eu/budget/reform/index_en.htm)

***European Investment Bank:***

- European Investment Bank (EIB) website:  
<http://www.eib.org/>
- Commission proposal for the EIB external mandate :  
[http://ec.europa.eu/economy\\_finance/articles/financial\\_operations/2010-04-21-eib-mandate\\_en.htm](http://ec.europa.eu/economy_finance/articles/financial_operations/2010-04-21-eib-mandate_en.htm)

## 2007-2013 FINANCIAL INSTRUMENTS

The 2007-2013 financial instruments were structured as follows:

- 'Policy-driven' geographical instruments directly supporting the main European external policies: Instrument for Pre-accession Assistance (IPA) for assisting enlargement countries, European Neighbourhood and Partnership Instrument (ENPI), Development Cooperation Instrument (DCI) for cooperation with Asia, Central Asia, non-neighbourhood Middle-East<sup>17</sup>, Latin America and South Africa, 10<sup>th</sup> European Development Fund implementing Regulation for cooperation with ACP countries, and Instrument for Cooperation with Industrialized Countries (ICI);
- Instruments for disaster and crisis response and management, conflict prevention and peace building as well as for security-related challenges: Humanitarian Aid and Civil Protection, Instrument for Stability (IFS), Macro-Financial Assistance, and civilian crisis management missions (the latter under 'CFSP budget');
- Thematic instruments addressing cross-cutting issues with a global geographical coverage: thematic development issues under the Development Cooperation Instrument (DCI), nuclear safety cooperation instrument (INSC) based on the Euratom Treaty, and a specific instrument for human rights and election observation, namely the European Instrument for Democracy and Human Rights (EIDHR).

In addition to these core instruments<sup>18</sup>, the EU Food Facility was adopted in December 2008 to provide a rapid EU response to soaring food prices in developing countries. It made available €1 billion funding for 2009-2011.

Additional financial resources can be mobilized through the Emergency Aid Reserve (€1.7 billion in total for the 2007-2013 period) to allow a rapid response to unforeseen events for humanitarian and civil crisis operations. This is a financial reserve that is spent under the respective instruments (first and foremost humanitarian aid).

Finally, EU external action is also supported through the European Investment Bank (EIB) which has an external mandate<sup>19</sup> guaranteed by the EU Budget representing a loan volume of

<sup>17</sup> In this context, 'Middle East' refers only to Iran, Iraq and Yemen

<sup>18</sup> Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA), (OJ L 210, 31.7.2006, p. 82); Regulation (EC) No 1638/2006 of the European Parliament and of the Council of 24 October 2006 laying down general provisions establishing a European Neighbourhood and Partnership Instrument (OJ L 310, 9.11.2006, p. 1); Regulation (EC) No 1905/2006 establishing a financing instrument for development cooperation; Regulation (EC) n° 617/2007 of 14 May 2007 on the implementation of the 10th EDF under the ACP-EC Partnership Agreement; Regulation (EC) No 1889/2006 establishing a financing instrument for the promotion of democracy and human rights worldwide; Regulation (EC) No 1934/2006 establishing a financing instrument for cooperation with industrialised and other high-income countries and territories; Regulation (EC) No 1717/2006 establishing an Instrument for Stability; Regulation (Euratom) No 300/2007 of 19 February 2007 establishing an Instrument for Nuclear Safety Cooperation (OJ L 81, 22.3.2007, p. 1); Regulation No 1257/1996 of 20 June 1996 concerning humanitarian aid (OJ L 163, 2.7.1996, p. 1)

€27.8 billion over the period 2007-2013 (predominantly to support investments in enlargement and neighbouring countries). Regional Investment Facilities are in place with the Western Balkan Investment Framework (WBIF), the Neighbourhood Investment Facility (NIF), the ACP Investment Facility, the Africa Infrastructure Trust Fund, the Latin America Investment Facility (LAIF) and the Investment Facility Central Asia (IFCA) to promote 'blending' between grants and loans aimed at creating positive synergies and leverage effects on overall resource mobilisation.

Other external financial instruments and programmes are also available under other EU budget headings, such as international research cooperation with the need to ensure that international research and innovation policies, and development policies are consistent, and that the different funding mechanisms complement one another. As regards education and training, several European initiatives and programmes support cooperation with partner countries in the development of quality and responsive education and training systems, innovation, creativity and entrepreneurship, as drivers of growth. In addition, the European Territorial Cooperation objective (ETC) is an objective of Cohesion Policy, which covers, amongst others, 75 cross-border programmes (including external EU borders) and 13 transnational programmes co-funded by European Regional Development Fund<sup>20</sup>.

The European Development Fund (EDF), the most important instrument supporting cooperation with African, Caribbean and Pacific (ACP) countries and with overseas countries and territories (OCTs), is not part of the EU budget. The Commission's proposal to incorporate it into the EU budget ('EDF budgetisation') was rejected by the European Council in December 2005, thus maintaining the EDF as an inter-governmental fund financed directly by Member States. The 10<sup>th</sup> EDF has total resources of €22.7 billion for the period 2008-2013.

The mid-term review of the EU budget ('Heading 4: EU as a global player') financial instruments for external action was completed in 2009. It concluded that the current structure was working satisfactorily except for the promotion of EU interests and values in developing countries. This is because the present scope of the Development Cooperation Instrument is strictly limited to Official Development Assistance. To address this issue in the period up to 2013, the Commission proposed extending the geographic scope of the Instrument for Cooperation with Industrialised and other High-income Countries to include the countries covered by the DCI Regulation<sup>21</sup>. The objective is to support the deepening of its relations with the relevant developing countries concerned, which are important bilateral partners and players in multilateral fora and in global governance and with which the EU has a strategic interest in promoting diversified links going beyond Official Development Assistance.

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<sup>19</sup>Council Decision (EC) No 1016 of 19 December 2006 granting a Community guarantee to the European Investment Bank against losses under loans and loan guarantees for projects outside the Community - OJ L 414, 30.12.2006, p. 95

<sup>20</sup> Amongst these transnational programmes, for instance: Transnational Cooperation Programme Madeira - Açores - Canarias (MAC) 2007-2013 [C(2007)4243], Operational programme for the Indian Ocean 2007-2013 [C(2008)1086] or Interreg IV 'Espace Caraïbes' operational programme [C(2008)1079] where partners in the neighbouring countries may use external financing instruments such as EDF or ENPI.

<sup>21</sup>ODA is defined as the flows to developing countries (countries on Part I of the DAC List of Aid Recipients) provided by official agencies, including state and local governments, or by their executing agencies, with the objectives of promoting economic development and welfare of developing countries. It is concessional in character and conveys a grant element of at least 25%. Around 90% of Heading 4 spending is ODA eligible.

Furthermore the Commission submitted a legislative proposal amending DCI Regulation for Banana Accompanying Measures (BAM) according to the commitment for financing taken in the framework of WTO.

## Financial resources for the 2007-2013 external actions (current prices)

### 1) EU Budget - Heading 4 'The European Union as a global player' (EUR bn)

#### Policy-driven:

|   |      |
|---|------|
| Instrument for Pre-accession Assistance (IPA).....            | 11.5 |
| European Neighbourhood and Partnership Instrument (ENPI)..... | 11.2 |
| Cooperation with industrialised Countries (ICI).....          | 0.2  |
| Instrument for Development Cooperation (DCI).....             | 16.9 |

#### Of which:

|  |               |
|--|---------------|
| <b>Geographic programmes:</b> .....  | <b>10.057</b> |
| <i>Latin America</i> .....   | <i>2.690</i>  |
| <i>Asia</i> .....  | <i>5.187</i>  |
| <i>Central Asia</i> .....  | <i>0.719</i>  |
| <i>Middle East</i> .....   | <i>0.481</i>  |
| <i>South Africa</i> .....  | <i>0.980</i>  |
| <b>Thematic and ad-hoc programmes:</b> .....   | <b>6.840</b>  |
| <i>Investing in people</i> .....   | <i>1.060</i>  |
| <i>Environment and sustainable management of natural resources, including energy</i> ..... | <i>0.804</i>  |
| <i>Non-State actors and local authorities in development</i> .....                         | <i>1.639</i>  |
| <i>Food security</i> .....   | <i>1.709</i>  |
| <i>Migration and asylum</i> .....  | <i>0.384</i>  |
| <i>ACP Sugar Protocol countries</i> .....  | <i>1.244</i>  |
| <i>Human Rights and Democracy (EIDHR)</i> .....  | <i>1.1</i>    |
| <i>Nuclear Safety Cooperation (INSC)</i> .....   | <i>0.5</i>    |

#### Crisis and security management:

|  |     |
|--|-----|
| Stability (IFS).....                       | 2.1 |
| Security policy (CFSP).....                | 2.0 |
| Humanitarian aid and civil protection..... | 5.7 |
| Macro financial assistance (MFA).....      | 0.8 |

|   |                     |
|---|---------------------|
| <b>Others and reserves for unforeseen:</b>                      |                     |
| Loan guarantees envelope .....                                  | 1.4                 |
| Ad-hoc envelopes .....  | 1.1                 |
| Reserve (Margin).....   | 1.5                 |
| <b>Total Heading 4 .....</b>                                    | <b>56.0</b>         |
| <b>+ Emergency aid reserve.....</b>                             | <b>1.7</b>          |
| <b>2) European Development Fund (EDF): .....</b>                | <b>22.7</b>         |
| <b>3) EIB external mandate (loans – budget guarantee) .....</b> | <b>27.8</b>         |
| <b>TOTAL resources:</b>   | <b>€108 billion</b> |