
Facts and figures



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The security policy toolbox

The global impact of the European Union is ensured by the application of its external policies through the use of specific security-related thematic instruments. Such ‘tools’ enable the EU to contribute to the political and economic stabilisation of developing countries, respond to humanitarian challenges, and deploy civilian missions and military operations to ensure lasting peace in conflict-ridden areas. The EU also further contributes to the multi-sectoral development of economies in its immediate vicinity, assists in post-crisis situations and helps prevent nuclear incidents.

These ‘tools’ are established within a budgetary framework according to the priorities and limits of the multiannual financial framework (MFF), a spending plan that translates the EU priorities into financial terms and sets the maximum annual amounts which the EU may spend in different political fields. 2013 corresponds to the last year of the 2007-2013 MFF, with a new MFF to cover 2014-2020.

1. THEMATIC INSTRUMENTS

The European Neighbourhood and Partnership Instrument (ENPI)

Established in 2007 and based on Regulation (EC) No 1638/2006 of the European Parliament and of the Council of 24 October 2006, the European Neighbourhood and Partnership Instrument supports the European Neighbourhood Policy (ENP). It provides funding for actions promoting good governance and economic development in ENP partner countries, with the purpose of facilitating and speeding up the transition to democracy, a market economy, sustainable development and the adoption of human rights norms.

The ENPI supports in particular political, economic, social and sectoral reform, while also backing regional and local development and participation in community programmes.

Around 90% of ENPI funds are used for bilateral actions, i.e. country-specific initiatives, and for regional actions involving two or more partner countries. The remaining 10% are reserved for specific new areas of joint activity, namely cross-border co-operation (CBC), and specific initiatives like the Neighbourhood Investment Facility (NIF).

The ENPI is the main source of funding for the 17 partner countries (ten Mediterranean and six Eastern European countries, plus Russia).

FIGURE 1: THE EU'S NEIGHBOURHOODS



European Neighbourhood Instrument (ENI)

Under the 2014-2020 MMF, the ENPI becomes the European Neighbourhood Instrument (ENI), in order to further support the implementation of the political initiatives shaping the European Neighbourhood Policy, including the Eastern Partnership and the Union for the Mediterranean.

Instrument for Stability (IFS)

Established in the framework of Regulation (EC) No 1717/2006 of the Parliament and of the Council of 12 November 2006, the Instrument for Stability¹ finances two types of components depending on the situation on the ground.²

1. Slated to be renamed Instrument for Stability and Peace (ISP) under the 2014-2020 MFF. See European Parliament, 'Regulation of the European Parliament and of the Council establishing an instrument contributing to stability and peace', PE-CONS 110/13, Brussels, 27 February 2014, available online at: <http://register.consilium.europa.eu/doc/srv?l=EN&t=PDF&gc=true&sc=false&f=PE%20110%202013%20INIT>.

2. Chantal Lavallée, 'L'instrument de stabilité – au service de l'approche globale de l'UE', *EUISS Brief* 15, Paris, 8 March 2013, available online at: http://www.iss.europa.eu/uploads/media/Brief_15.pdf.

The short-term component, which represents 72% of the total IfS funds under the EU's 2007-2013 multiannual financial framework (MFF), aims to restore the necessary conditions for the implementation of other EU instruments. The short-term component is thus only dedicated to crisis situation response and prevention, and includes a wide range of actions such as supporting the development of democratic and pluralistic state institutions, socio-economic measures to promote equitable access to and transparent management of natural resources in a situation of crisis, respect for human rights and fundamental freedoms, and the rehabilitation and reintegration of the victims of armed conflict. Due to its non-programmable nature, the short-term component is usually not included in strategic papers.

The long-term component, also called 'Peace-building Partnership',³ is applied to post-crisis environments. It covers three main objectives: (1) the fight against the proliferation of weapons of mass destruction, (2) capacity-building in terms of cross-border threats and (3) pre-/post-crisis preparedness.⁴

The IfS is managed by the Foreign Policy Instrument (FPI) Unit 2, which – although an EC service – acts under the responsibility of the HR/VP of the Commission and works closely with the EEAS.⁵ The Instrument's short-term component and the third objective of the long-term component are managed by the EEAS. EuropeAid is responsible for overseeing the first and second objective of the long-term component.⁶ The IfS also complements the rapid-reaction mechanism, which is intended to respond to or avoid crises or conflicts.⁷

Under the 2014-2020 MFF, the IfS's budget will increase from €2.062 billion (2007-2013 MFF) to €2.339 billion.

3. European Commission, 'Updated annual work programme for grants: Service for Foreign Policy Instruments (FPI), Unit 2, Crisis Preparedness Component of the Instrument for Stability (Article 4.3.) 2013', 21 November 2013, available online at: http://ec.europa.eu/europeaid/documents/awp/2013/awp_2013_ifs_en.pdf.

4. European Commission, 'Instrument for Stability (IfS)', 30 July 2013, available online at: http://ec.europa.eu/europeaid/how/finance/if_s_en.htm.

5. European Commission, 'Service for Foreign Policy Instruments: 2014 Management Plan', available online at: http://ec.europa.eu/atwork/synthesis/amp/doc/fpi_mp_en.pdf.

6. European Commission, 'Instrument for Stability (IfS)', 30 July 2013, available online at: http://ec.europa.eu/europeaid/how/finance/if_s_en.htm.

7. European Union, 'Rapid-reaction mechanism', available online at: http://europa.eu/legislation_summaries/other/r12701_en.htm.

Development Cooperation Instrument (DCI)

Established in the framework of Regulation (EC) No 1905/2006, the Development Cooperation Instrument replaced a large number of instruments that had been created over time.⁸ It is structured around three main components:

- The first component, which is financially the most important, is dedicated to geographic programmes and covers cooperation with 47 developing countries, from the achievement of the Millennium Development Goals to assistance in post-crisis situations.
- The second component includes all the thematic programmes related to food security, migration and asylum, environment and the roles of non-states actors and local authorities in development.
- Finally, the last component covers the specific accompanying measures dedicated to the 18 African, Caribbean and Pacific countries of the so-called ‘Sugar-Protocol’.⁹

With a €16.9 billion budget over the 2007-2013 period¹⁰ (€10.057 billion for geographic programmes, €5.596 billion for the thematic programmes and €1.244 billion for the ACP Sugar Protocol countries), the DCI is managed through annual and multiannual action programmes,¹¹ and is placed under the mandate of EuropeAid.¹²

8. For instance, the TACIS Programme (2000-2006) aimed to promote the transition to a market economy and to reinforce democracy and the rule of law in Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, the Kyrgyz Republic, Moldova, Mongolia, Russian Federation, Tajikistan, Turkmenistan, Ukraine and Uzbekistan. See European Commission, ‘Tacis programme (2000-2006)’, 21 February 2007, available online at: http://europa.eu/legislation_summaries/external_relations/relations_with_third_countries/eastern_europe_and_central_asia/r17003_en.htm; the ALA programme provided financial aid and cooperation with countries in Asia and Latin America.

9. In parallel with the Cotonou agreement, the Sugar Protocol has incorporated preferential trade arrangements with the EU for certain ACP countries: Barbados, Belize, Republic of Congo, Fiji, Guyana, Côte d’Ivoire, Jamaica, Kenya, Madagascar, Malawi, Mauritius, Mozambique, St. Kitts and Nevis, Suriname, Swaziland, Tanzania, Trinidad and Tobago, Uganda, Zambia, Zimbabwe.

10. European Commission, ‘Development Co-operation Instrument (DCI)’, 17 February 2012, available online at: http://ec.europa.eu/europeaid/how/finance/dci_en.htm.

11. European Commission, ‘2013 Annual Action Programmes’, 25 March 2014, available online at: http://ec.europa.eu/europeaid/work/ap/aap/2013_en.htm.

12. Within the European Commission, EuropeAid is the Directorate-General responsible for formulating EU development policy and defining sectoral policies in the field of external aid, in order to reduce poverty in the world, to ensure sustainable economic, social and environmental development and to promote democracy, the rule of law, good governance and the respect of human rights. EuropeAid also fosters coordination between the EU and the Member States on development cooperation and it also ensures the external representation of the European Union in this field.

European Instrument for Democracy and Human Rights (EIDHR)

Regulation (EC) No 1889/2006 of the European Parliament and the Council forms the legal basis of the European Instrument for Democracy and Human Rights.

The EIDHR's operational range is wide. It is open to various organisations and non-legal entities and can even be implemented without the agreement of the government of a third country. It acts as a complementary tool of the Instrument for Stability and indirectly finances the Development Co-operation Instrument (DCI) and the European Neighbourhood and Partnership Instrument.

Under the umbrella of EuropeAid, the EIDHR supports a diversity of stakeholders (from civil society to UN bodies, and from international organisations to EU election observation missions). It aims to support and strengthen international and regional frameworks for promoting and supporting human rights through approaches that strengthen civil societies and are not constrained to the spheres of government.

Based on the Union's 'Strategic Framework on Human Rights and Democracy' of 2012, the human rights dimension is a constituent part of all EU external policies. In order to enhance the effectiveness and visibility of EU human rights policy, Stavros Lambrinidis was appointed the EU's first thematic EU Special Representative in 2012 and his mandate was extended by a year in 2013.¹³ With a flexible mandate, the Special Representative contributes to the implementation of the Union's human rights policy. He regularly meets with human rights stakeholders from civil society, academia, government, and international organisations, as well as EU heads of missions and other Special Representatives.

Guarantee Fund for External Actions

Established following Council Regulation (EC, Euratom) No 480/2009, the Guarantee Fund for External Actions aims to protect the EU against financial risks related to loans (e.g. macro-financial assistance) granted to third states. The objective is to protect European budget appropriations and to contribute to compliance with budgetary discipline.

If a country does not respect its financial commitment *vis-à-vis* its debtors, the fund intervenes to pay the EU's and European Investment Bank's creditors, who are guarantors, in order to avoid direct financial risks to the EU budget. The management of the

13. Council of the European Council, 'Council Decision 2013/352/CFSP of 2 July 2013 amending Decision 2012/440/CFSP appointing the European Union Special Representative for Human Rights', *Official Journal of the European Union* L 185/8, available online at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:185:0008:0008:EN:PDF>.

fund is entrusted to the EC. It is safeguarded as financing of the fund is guaranteed as compulsory expenditure from the EU general budget, according to the last inter-institutional agreement.¹⁴

As of 27 September 2013, the total equity of the fund amounted to €2.043 billion.¹⁵

Industrialised Countries Instrument (ICI)

The Industrialised Countries Instrument aims to further strengthen the EU's relations with industrialised and other high-income countries and territories, especially in North America, East Asia, South-East Asia and the Gulf region, thereby consolidating multilateral institutions, contributing to the balance and development of the world economy and the international system, and strengthening the EU's role and place in the world.¹⁶

Also known as the *Financing instrument for cooperation with industrialised and other high-income countries and territories*, the ICI was established in the framework of Council Regulation (EC) No 1934/2006 to focus on economic, financial and technical cooperation.

Based on multiannual cooperation programmes, the ICI is implemented by the EC according to adopted annual action programmes. It covers grants, financing agreements or employment contracts while the range of entities eligible for funding include partner countries, international and regional organisations, and EU bodies and agencies. The top three priorities of the ICI 2011-2013 programme, which is valued at €77.65 million,¹⁷ are:

- Public diplomacy: support is provided to EU Centres,¹⁸ public policy think tanks and research institutes

14. European Parliament, Council of the European Union, European Commission, 'Interinstitutional agreement between the European Parliament, the Council and the Commission on budgetary discipline and sound financial management', 2006/C 139/01, *Official Journal of the European Union* C 139/1, 14 June 2006, available online at: [http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32006Q0614\(01\)&from=EN](http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32006Q0614(01)&from=EN).

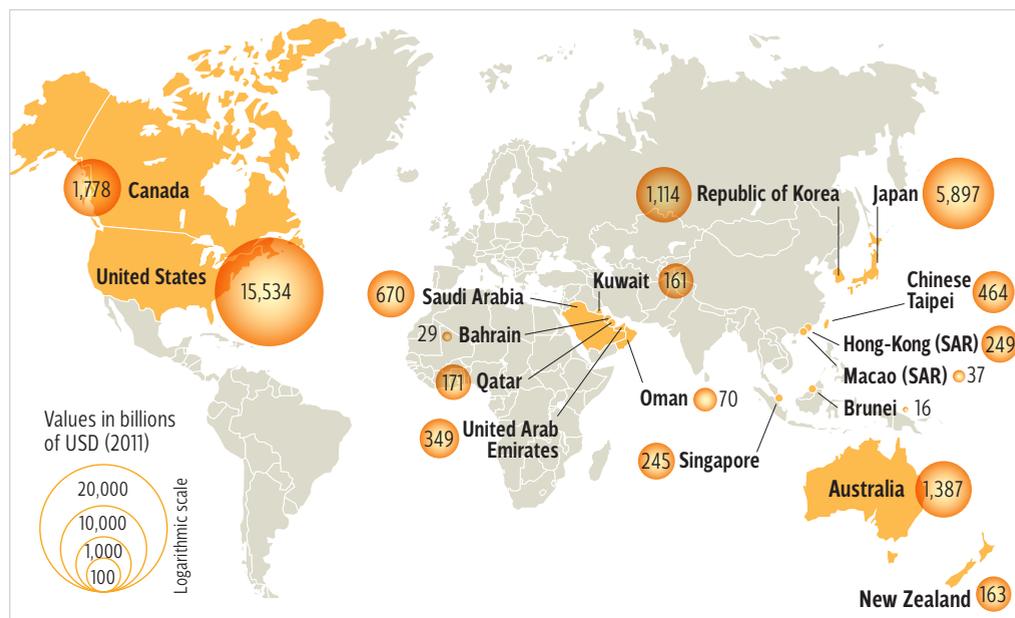
15. European Commission, 'Report from the Commission to the European Parliament and the Council on the guarantee fund and its management in 2012', COM(2013) 661 final, Brussels, 27 September 2013, available online at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2013:0661:FIN:EN:PDF>.

16. European Commission, 'Financing instrument for cooperation with industrialised and other high-income countries and territories (2007-2013)', 22 May 2007, available online at: http://europa.eu/legislation_summaries/external_relations/relations_with_third_countries/industrialised_countries/r14107_en.htm.

17. European External Action Service, 'Multiannual programme for cooperation with industrialised countries and other high-income countries and territories (2011-2013)', available online at: http://www.eeas.europa.eu/ici/docs/com_2011_2046_en.pdf.

18. In order to promote greater understanding and increase awareness of the EU, its institutions and its policies, 35 European Union Centres have been launched in universities in Australia, Canada, Hong Kong, Japan, Macao, New Zealand, Russia, Singapore, South Korea, Taiwan, and the United States. See European External Action Service, 'European Union Centres', available online at: http://eeas.europa.eu/eu-centres/eu-centres_en.pdf.

- Business cooperation: strengthening the presence of European companies in key markets which are difficult to penetrate
- People-to-people links: enhancing mutual understanding between people by strengthening cooperation in the field of education and civil society.

FIGURE 2: ICI COUNTRIES

The ICI does not allow the EU to cooperate with new emerging economies¹⁹ on certain challenges, despite the widening of ICI to cover non-official development assistance measures in developing countries under the acronym ICI+. Under the 2014-2020 MFF, the newly created Partnership Instrument succeeds the ICI and is intended to overcome these shortcomings.

Partnership Instrument (PI)

The Partnership Instrument is a new tool which is intended to replace and overcome the limited scope of the ICI/ICI+ starting in 2014. The PI is intended to allow the EU to develop cooperation with strategic partners/emerging economies on topics of interest for the EU. Its goals are to strengthen bilateral cooperation, forge economic

19. Article 2, Paragraph 2 of Council Regulation (EC) No 1934/2006 provides that the scope of the Instrument should be limited to 'countries and territories listed in the Annex (...) the Commission shall amend the list in the Annex in accordance with regular OECD/DAC reviews of its List of developing countries'. But countries like India, China and Brazil are progressively moving beyond the status of developing nations.

partnerships and enhance public diplomacy, policy discussions with partners and regulatory convergence.²⁰

The PI greatly expands the width of its predecessor instruments to cover emerging economies but also global challenges such as climate change, sustainable development, energy security, and the support of the external dimension of EU policies. According to a proposal by the Commission,²¹ which was adopted by the European Parliament in December 2013,²² the legal basis of the PI will be the combination of the following three articles of the Treaty on the Functioning of the European Union (TFEU, consolidated): Article 212, Paragraph 2; Article 207, Paragraph 2 and Article 209, Paragraph 1.

Instrument for Humanitarian Aid

Humanitarian aid constitutes an important aspect of the EU's external action and the Union is one of the biggest donors in the world. Based on several key documents such as the European Consensus on Humanitarian Aid,²³ the framework partnership agreement with humanitarian organisations²⁴ and the partnership with the United Nations,²⁵ it seeks to promote the fundamental humanitarian principles of humanity, neutrality, impartiality and independence.

Established following Council Regulation (EC) No 1257/96 of 20 June 1996, the Instrument aims to provide emergency assistance and support to victims of natural disasters, outbreaks of fighting or other comparable circumstances. The instrument can be activated at the request of a wide range of actors, including NGOs.

The measures, which cannot last longer than six months, are grant-financed and cover issues from supplying items during emergencies to the improvement of the Instrument's own implementation process. In this framework, the Director of DG ECHO is in charge

20. European Commission, 'Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions: A Budget for Europe 2020 Part II: Policy fiches', COM(2011) 500 final, Brussels, 29 June 2011, available online at: http://ec.europa.eu/budget/library/biblio/documents/fin_fwk1420/MFF_COM-2011-500_Part_II_en.pdf.

21. European Commission, 'Proposal for a Regulation of the European Parliament and the Council establishing a Partnership Instrument for cooperation with third countries', COM(2011) 843 final, Brussels, 7 December 2011, available online at: http://ec.europa.eu/europeaid/how/finance/documents/prop_reg_partnership_instrument_en.pdf.

22. European Parliament, 'Procedure file: 2011/0411(COD), Partnership instrument for cooperation with third countries 2014-2020', available online at: [http://www.europarl.europa.eu/oeil/popups/ficheprocedure.do?reference=2011/0411\(COD\)&l=EN#tab-0](http://www.europarl.europa.eu/oeil/popups/ficheprocedure.do?reference=2011/0411(COD)&l=EN#tab-0).

23. European Commission, 'European Consensus on Humanitarian Aid', 16 May 2011, available online at: http://europa.eu/legislation_summaries/humanitarian_aid/ah0009_en.htm.

24. European Commission, 'Partnership with the United Nations: development assistance and humanitarian aid', 9 September 2011, available online at: http://europa.eu/legislation_summaries/humanitarian_aid/r12600_en.htm.

25. European Commission, 'Framework Partnership Agreement with humanitarian organisations (2008-2012)', 25 January 2011, available online at: http://europa.eu/legislation_summaries/humanitarian_aid/r10007_en.htm.

of primary emergency humanitarian actions (with a maximum amount of €3 million and a maximum duration of three months). The European Commission is responsible for the managing and monitoring of the Instrument and for the actions relating to emergency operations up to €30 million for a maximum of six months as well as non-urgent decisions up to a maximum of €10 million.

Instrument for Nuclear Safety Cooperation (INSC)

The Instrument for Nuclear Safety Cooperation was established following Council Regulation (Euratom) No 300/2007.²⁶ The INSC replaced and widened the mandate of the TACIS Nuclear Safety Programme,²⁷ which had been established to help prevent nuclear incidents in the former USSR satellite states.

Placed under the umbrella of EuropeAid, the INSC's main objectives include 'the promotion of a high level of nuclear safety, radiation protection and the application of efficient and effective safeguards of nuclear materials in non-EU countries.'²⁸ It is implemented through annual action programmes, but still allows for emergency or support measures as need arises.

The instrument covers the promotion and development of effective regulatory frameworks. It also allows for the provision of technical support to a wide range of nuclear stakeholders (at local, national, or regional level with private companies, non-governmental organisations [NGOs], the Commission's Joint Research Centre [JRC], EU agencies, and international organisations).

In 2013 the INSC implemented projects in Armenia, Belarus, Indonesia, Jordan, Thailand, Vietnam, Ukraine (including Chernobyl), as well as in Central and South East Asia, and the Arctic Sea. It also trained experts of national regulatory authorities in various multinational and regional contexts.²⁹

With previous annual commitments at over €70 million per year, the INSC's budget will be cut by almost two thirds starting in 2014.³⁰

26. Council of the European Union, Council Regulation (Euratom) No 300/2007 of 19 February 2007 establishing an Instrument for Nuclear Safety Cooperation, *Official Journal of the European Union* L 81/1, 22 March 2007, available online at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2007:081:0001:0010:EN:PDF>.

27. European Union, 'Tacis programme (2000-2006)', available online at: http://europa.eu/legislation_summaries/external_relations/relations_with_third_countries/eastern_europe_and_central_asia/r17003_en.htm.

28. European Commission, 'Annual Report on the European Union's development and external assistance policies and their implementation in 2012', available online at: http://ec.europa.eu/europeaid/multimedia/publications/documents/annual-reports/europeaid_annual_report_2013_full_en.pdf.

29. European Commission, 'Commission implementing decision of 30.8.2013 on the Annual Action Programme 2013 for the Instrument for Nuclear Safety Cooperation to be financed from the general budget of the European Union', C(2013) 5553 final, Brussels, 30 August 2013.

30. European Commission, 'Draft General Budget 2014: Document I', available online at: <http://eur-lex.europa.eu/budget/data/DB2014/EN/SEC00.pdf>.

Cooperation with the International Atomic Energy Agency (IAEA)

On 25 January 2013, a new cooperation mechanism³¹ was established between the EU and the International Atomic Energy Agency.³² In September 2013, the IAEA and the European Commission signed a memorandum of understanding³³ on nuclear safety that broadens the framework for cooperation and dialogue.

Instrument for Pre-Accession Assistance (IPA)

Replacing the previous instruments for pre-accession³⁴ and established following Council Regulation (EC) No 1085/2006 of 17 July 2006, the Instrument for Pre-Accession Assistance provides financial support to enlargement countries in their preparations for EU accession.

With a €1.865 billion budget in 2013,³⁵ the IPA works through multiannual frameworks. The resulting annual programmes are decided and implemented by the respective EC DG according to five main components:

1. Transition assistance & institution building [DG Enlargement]
2. Cross-border cooperation [DG Enlargement]
3. Regional development [DG for Regional and Urban Policy]
4. Human Resources development [DG Employment, Social Affairs & Inclusion]
5. Rural development [DG Agriculture and rural development]

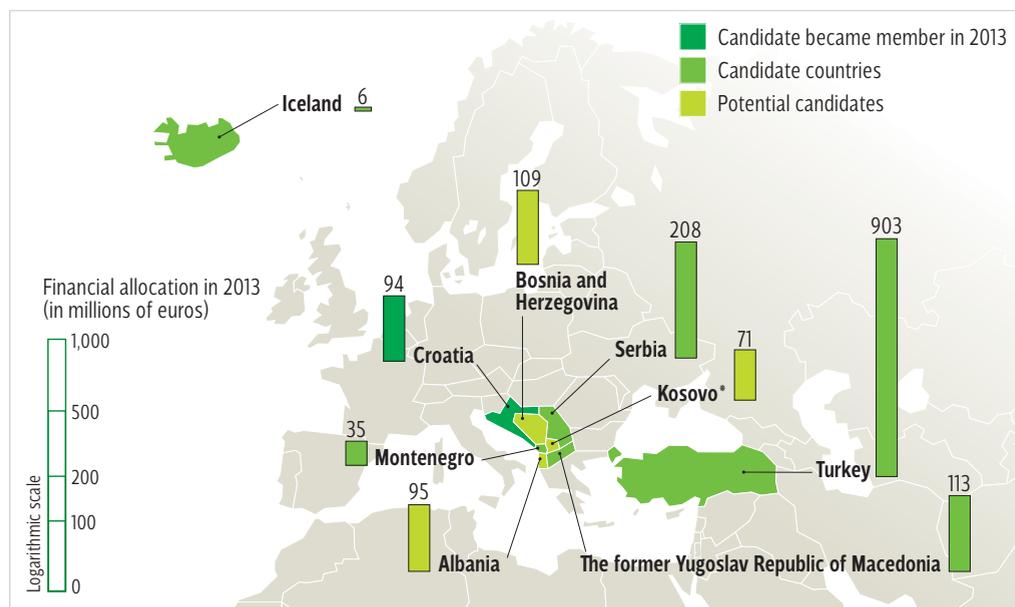
31. European Commission, 'International Atomic Energy Agency (IAEA)', available online at: http://ec.europa.eu/energy/international/organisations/iaea_en.htm.

32. International Atomic Energy Agency, 'Fact Sheet: Overview of EU support to the International Atomic Energy Agency (IAEA) in the field of nuclear safety, safeguards, security and Technical cooperation financed during the current Multiannual Financial Framework 2007-2013', 25 January 2013, available online at: <http://www.iaea.org/newscenter/pressreleases/2013/eucontribution.pdf>.

33. European Commission, 'Memorandum of Understanding for a partnership between the European Atomic Energy Community and the International Atomic Energy Agency on nuclear safety cooperation', 17 September 2013, available online at: http://ec.europa.eu/energy/nuclear/safety/doc/20130917_ec_iaea_mou_nuclear.pdf.

34. The three previous instruments were the Instrument for Structural Policies for Pre-Accession, the PHARE programme for countries of Central and Eastern Europe, and the Special Accession Programme for Agriculture and Rural Development (SAPARD). Turkey has also had a special pre-accession instrument.

35. See in particular European Commission, 'Communication from the Commission to the European Parliament and the Council: Instrument for Pre-Accession Assistance (IPA) Revised Multi-Annual Indicative Financial Framework for 2013', COM(2012) 581 final, Brussels, 10 October 2012, available online at: http://ec.europa.eu/enlargement/pdf/key_documents/2012/package/miff_adopted10-10-12_en.pdf.

FIGURE 3: IPA COUNTRIES³⁶

* Under UNSCR 1244/1999.

There are currently five EU candidate countries: Iceland, Montenegro, Serbia, the former Yugoslav Republic of Macedonia, and Turkey. Albania, Bosnia and Herzegovina, and Kosovo are also regarded as potential candidates and are able to participate in activities under the two first IPA components. All these countries, plus Croatia, who joined the EU on 1 July 2013, benefited from the IPA's programmes in 2013.

Macro-Financial Assistance (MFA)

Macro-Financial Assistance is a policy-based financial instrument of untied and undesignated balance-of-payments support to partner third countries. It takes the form of medium/long-term loans or grants, or a combination of these, and complements the financing provided in the context of the International Monetary Fund's reform programme.

36. Financial allocations per IPA country do not take into account funds from the multi-beneficiary programme that allocated an additional €177.2 million to the beneficiaries of the IPA. See European Commission, 'Annex: Instrument for Pre-Accession Assistance (IPA) Multi-Annual Indicative Planning Document (MIPD), 2011-2013 Multi-Beneficiary', available online at: http://ec.europa.eu/enlargement/pdf/mipd_multibeneficiary_2011_2013_en.pdf. Source: European Commission, 'Overview - Instrument for Pre-accession Assistance', 1 April 2014, available online at: http://ec.europa.eu/enlargement/instruments/overview/index_en.htm; and European External Action Service, 'Annual Work Programme for Grants in 2013 for Cooperation with Industrialised Countries and other High-Income Countries and Territories (ICI)', 8 March 2013, available online at: http://eeas.europa.eu/grants_contracts/grants/workprogs/2013/indust_prog_2013_en.pdf. Nominal GDP figures of 2011 in USD current prices from the World Bank and the International Monetary Fund (Chinese Taipei).

In 2013, macro-financial assistance payments amounted to €56.34 million.³⁷ Among the beneficiaries in 2013 were Armenia, Georgia, Jordan, Moldova, Morocco, Tunisia, and Ukraine.³⁸

2. THE EU AS A GLOBAL PLAYER

In order to facilitate an overview of EU policies and priorities in this domain, all instruments that touch upon external action have been grouped in a single part of the EU budget: Heading 4, 'EU as a Global Player'. Nevertheless, some instruments remain based on the multiannual framework programme while others are only based on annual programmes or crisis situations.

The table below shows a compilation of figures from the EU budget dedicated to external instruments and policies. Heading 4 includes the budget line of the Common Foreign and Security Policy (CFSP), which covers crisis management operations (CSDP missions), European Union Special Representatives, non-proliferation and disarmament missions, and other preparatory actions.

Budget Heading 4: the EU as a global player

In 2013, four instruments, the DCI, the IPA, the ENPI and the Instrument for humanitarian aid constituted over three quarters of the commitment appropriations under Heading 4.

2013 was the last year budgeted under the 2007-2013 MFF. While increases in budgets from 2012 to 2013 are well within the overall trend of the MFF, the decrease of the Heading 4 budget under the 2014-2020 MFF as well as the restructuring of its landscape of instruments explains marked changes from 2013 to 2014.

37. European Union, 'Section III – Commission', available online at: <http://eur-lex.europa.eu/budget/data/LBL2013/EN/SEC03.pdf>.

38. European Commission, 'The EU's neighbouring economies: managing policies in a challenging global environment', *European Economy Occasional Papers* 160, August 2013, available online at: http://ec.europa.eu/economy_finance/publications/occasional_paper/2013/pdf/ocp160_en.pdf.

FIGURE 4: HEADING 4, COMMITMENT APPROPRIATIONS IN 2013

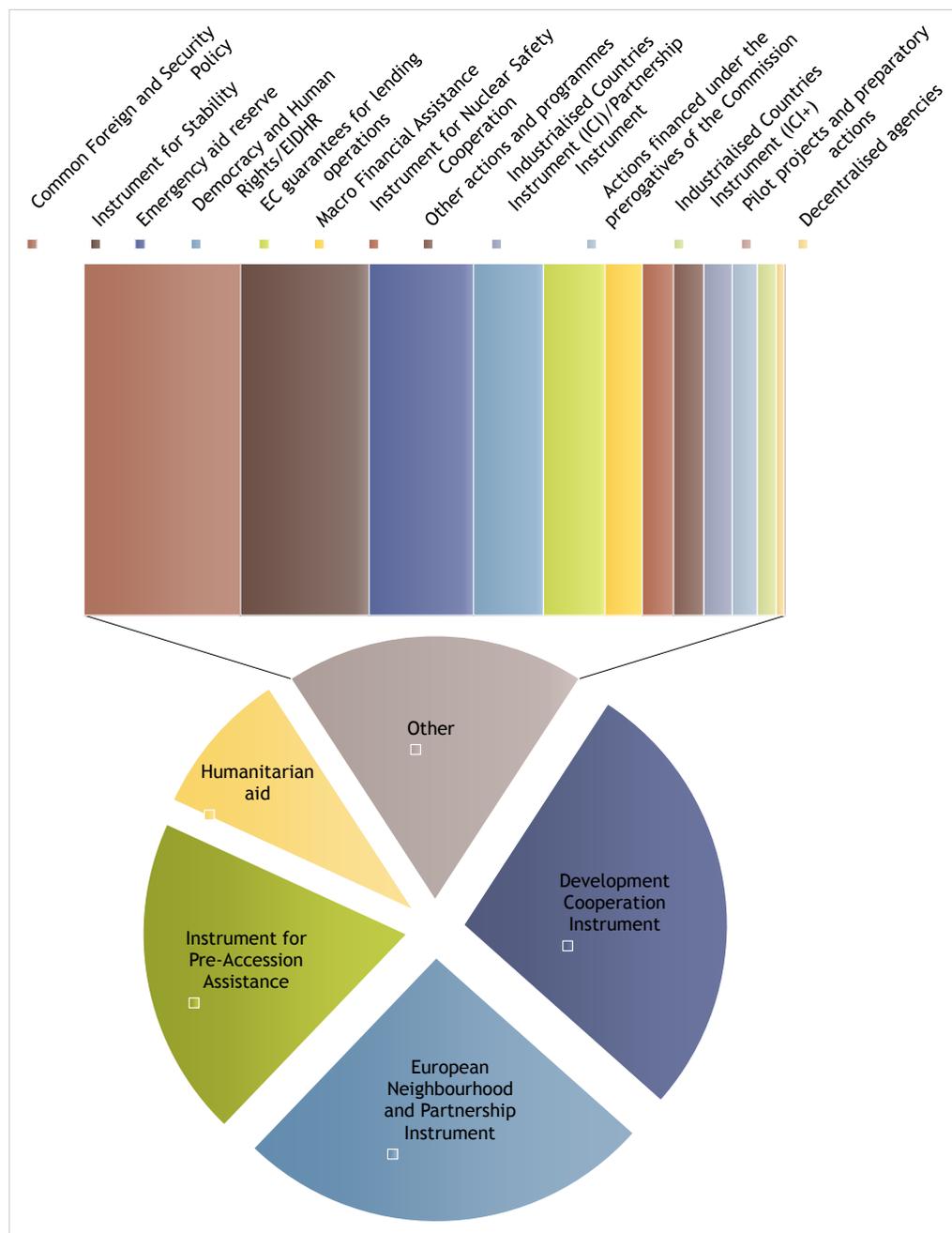


TABLE 1: HEADING 4 2012-2014, COMMITMENTS AND PAYMENTS APPROPRIATIONS³⁹

	Budget 2012		Budget 2013 ¹		Draft Budget 2014		Difference 2014/2013	
	million €		million €		million €		%	
	CA	PA	CA	PA	CA	PA	CA	PA
Instrument for Pre-Accession assistance (IPA)	1,865.9	1,349.3	1,898.6	1,495.8	1,573.5	1,410.8	-17.1%	-5.7%
European Neighbourhood and Partnership Instrument (ENPI)	2,323.5	1,330.1	2,470.8	1,403.3	2,113.0	1,355.7	-14.5%	-3.4%
Development Cooperation Instrument (DCI)	2,584.2	2,062.7	2,641.6	1,952.3	2,309.5	1,744.1	-12.6%	-10.7%
Industrialised Countries Instrument (ICI)/ Partnership Instrument ² (PI)	24.1	20.0	71.9	26.3	113.3	47.8	-5.4%	10.4%
Industrialised Countries Instrument (ICI+) ³	30.5	8.4	47.9	17.0				
Democracy and Human Rights/EIDHR	176.1	154.0	177.1	150.1	179.3	122.0	1.3%	-18.7%
Instrument for Nuclear Safety Cooperation (INSC)	77.3	66.2	78.9	65.6	30.5	59.5	-61.3%	-9.3%
Instrument for Stability (IFS)	309.3	200.4	325.4	216.0	314.5	215.6	-3.4%	-0.2%
Humanitarian aid	849.0	832.8	865.3	827.2	905.3	791.0	4.6%	-4.4%
Macro Financial Assistance (MFA)	95.6	79.1	94.6	56.3	76.3	63.2	-19.3%	12.2%
Common Foreign and Security Policy (CFSP)	363.0	302.8	396.3	316.8	314.5	234.8	-20.7%	-25.9%
EC guarantees for lending operations	260.2	260.2	155.7	155.7	58.4	58.4	-62.5%	-62.5%
Civil Protection Mechanism (CPM) and European Emergency Response Centre (ERC)	-	-	-	-	19.5	7.5	-	-

39. Source: European Commission, 'Draft General Budget of the European Union for the financial year 2013: General introduction', COM(2012) 716 final, Brussels, 23 November 2012, available online at: <http://eur-lex.europa.eu/budget/data/P2013/EN/SEC00.pdf>; European Commission, 'Draft General Budget 2014: Document 1', available online at: <http://eur-lex.europa.eu/budget/data/DB2014/EN/SEC00.pdf>.

	Budget 2012		Budget 2013 ¹		Draft Budget 2014		Difference 2014/2013	
	million €		million €		million €		%	
	CA	PA	CA	PA	CA	PA	CA	PA
European Voluntary Humanitarian Aid Corps EU Aid Volunteers (EUAV)	-	-	-	-	12.7	4.8	-	-
Emergency aid reserve ⁴	258.9	90.0	264.1	110.0	297.0	150.0	12.5%	87.5%
Other actions and programmes	168.3	246.3	77.0	53.0	72.7	55.5	-5.6%	4.6%
Actions financed under the prerogatives of the Commission and specific competences conferred to the Commission	-	-	63.2	48.5	62.9	49.8	-0.5%	2.7%
Pilot projects and preparatory actions	-	-	5.0	23.5	p.m.	10.8	-100.0%	-54.1%
Decentralised agencies	20.0	20.0	20.0	20.5	20.0	20.0	0.0%	-2.5%
Total Heading 4	9,405.9	7,022.2	9,653.4	6,937.9	8,472.9	6,401.3	-12.2%	-7.7%

CA = commitment appropriations, PA = payment appropriations

1. Budget 2013 includes draft amending budgets 1 to 5.

2. In 2014, the PI replaces the ICI and the ICI+.

3. Merged into PI as of 2014.

4. Outside the MFF as of 2014.

Under the MFF 2014-2020 some of the EU's foreign policy instruments have been restructured. The 'Partnership' has been subtracted from the ENPI to form two separate instruments: the ENI and the PI. The PI henceforth also contains the spirit of the former ICI/ICI+. Furthermore, two new budget items have been created: 'Civil Protection Mechanism (CPM) and European Emergency Response Centre (ERC)' and 'European Voluntary Humanitarian Aid Corps EU Aid Volunteers (EUAV)'.

Accordingly, budgetary allocations have shifted between the instruments, while most of the instruments have been subject to some budget cuts in line with the overall shrinking of Heading 4.

FIGURE 5: BUDGETS OF THE IPA, ENPI/ENI, DCI, HUMANITARIAN AID AND CFSP, 2012-2014⁴⁰

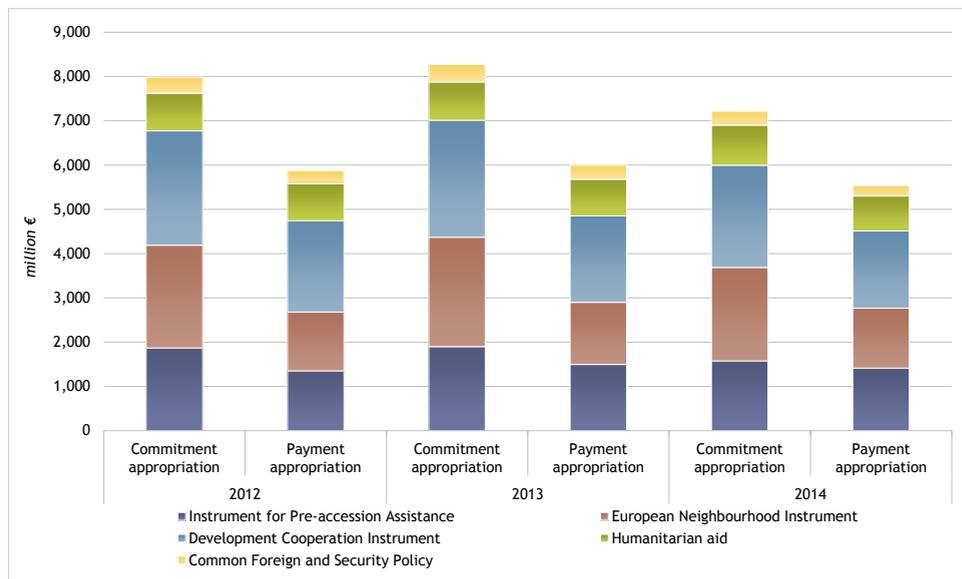
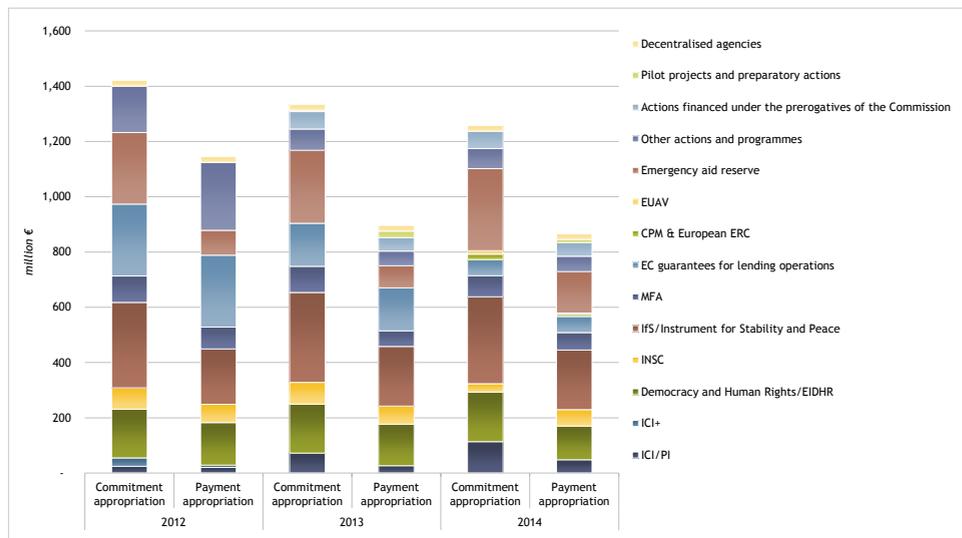


FIGURE 6: BUDGETS OF OTHER EXTERNAL INSTRUMENTS, 2012-2014⁴¹



40. Source: European Commission, 'Draft General Budget of the European Union for the financial year 2013: General introduction', COM(2012) 716 final, Brussels, 23 November 2012, available online at: <http://eur-lex.europa.eu/budget/data/P2013/EN/SEC00.pdf>; European Commission, 'Draft General Budget 2014: Document I', available online at: <http://eur-lex.europa.eu/budget/data/DB2014/EN/SEC00.pdf>.

41. Ibid.

The EU budget does not include the European Development Fund (EDF), which remains the main instrument for development cooperation in African, Caribbean and Pacific countries (APC) as well as overseas countries and territories (OCT). The 10th EDF (2008-2013) had a budget of €22.68 billion and the 11th EDF has been set at €29.09 billion.⁴² From 2014, the Emergency aid reserve, which serves to finance humanitarian and civilian crisis management and protection operations in response to unforeseen events in non-EU states, is also placed outside the EU budget.

42. ACP-EU Council Of Ministers, 'Decision No 1/2013 of the ACP-EU Council of Ministers of 7 June 2013 adopting a protocol on the multiannual financial framework for the period 2014-2020 under the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States, of the other part', 2013/321/EU, *Official Journal of the European Union* L 173/67, 26 June 2013, available online at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:173:0067:0069:EN:PDF>.

TABLE 2: HEADING 4 UNDER THE 2014-2020 MFF⁴³

(values in million €)	2013	2014	2015	2016	2017	2018	2019	2020	
Instrument for Pre-Accession assistance (IPA)	1,864.6	1,573.8	1,605.2	1,637.4	1,670.1	1,703.5	1,737.6	1,771.1	Instrument for Pre-accession assistance (IPA)
European Neighbourhood and Partnership Instrument (ENPI)	2,370.6	2,113.0	2,027.3	2,084.4	2,159.8	2,243.2	2,358.4	2,446.5	European Neighbourhood Instrument (ENI)
Democracy and Human Rights	175.6	179.3	182.9	186.6	190.1	193.8	197.7	202.3	European Instrument for Democracy and Human Rights (EIDHR)
Instrument for Stability (IFS)	330.4	314.5	320.8	327.3	333.9	340.5	347.4	354.4	Instrument for Stability (IFS)
Common Foreign and Security Policy (CFSP)	396.3	314.5	320.8	327.3	333.9	340.5	347.4	354.4	Common Foreign and Security Policy (CFSP)
Industrialised Countries Instrument (ICI)	23.5	-	-	-	-	-	-	-	
Industrialised Countries Instrument (ICI+)	47.9	-	-	-	-	-	-	-	
	-	113.3	119.2	126.3	134.4	143.9	154.7	163.0	Partnership Instrument (PI)
Development Cooperation Instrument (DCI)	2,620.3	2,309.5	2,467.7	2,636.1	2,805.4	2,988.2	3,180.1	3,274.6	Development Cooperation Instrument (DCI)

43. Source: European Commission, 'Financial Programming and Budget: Multiannual Financial Framework 2014-2020', available online at: <http://ec.europa.eu/budget/mif/11b/data/MFF2014-2020.xls>.

(values in million €)	2013	2014	2015	2016	2017	2018	2019	2020	
Humanitarian aid	865.3	905.3	918.8	932.8	945.4	959.4	978.7	981.4	Humanitarian aid
	5.0	19.5	19.9	20.3	20.7	21.1	21.5	21.4	Civil Protection Mechanism (CPM) and European Emergency Response Centre (ERC)
	-	12.7	14.8	17.9	22.0	26.3	26.8	27.5	European Voluntary Humanitarian Aid Corps EU Aid Volunteers (EUAV)
Emergency aid reserve*	264.1	-	-	-	-	-	-	-	
Instrument for Nuclear Safety Cooperation (INSC)	78.9	30.5	31.2	31.8	32.3	33.0	33.6	32.9	Instrument for Nuclear Safety Cooperation (INSC)
Macro Financial Assistance (MFA)	100.0	76.3	78.0	79.7	80.8	82.1	83.8	84.0	Macro-financial Assistance (MFA)
EC guarantees for lending operations	155.7	58.5	239.8	273.2	199.0	178.1	159.8	84.8	Guarantee fund for External actions
	20.3	20.7	21.1	21.6	22.0	22.4	22.9	23.3	Agencies
Other actions and programmes	139.8	150.6	153.6	207.5	159.6	162.8	166.1	167.0	Other
	376.7	143.1	228.0	233.0	322.4	386.1	451.7	521.3	Margin
Decentralised agencies	20.0	-	-	-	-	-	-	-	
Total Heading 4	9,855.1	8,335.0	8,749.0	9,143.0	9,432.0	9,825.0	10,268.0	10,510.0	Total Heading 4

3. COMMON FOREIGN AND SECURITY POLICY (CFSP)

The Common Foreign and Security Policy is the organised, common denominator between the Union's member states that deals with part of the Union's external relations. As outlined in Article 21, Paragraph 2 of the Treaty on European Union (TEU, consolidated), its objectives are to:

- safeguard its values, fundamental interests, security, independence and integrity
- consolidate and support democracy, the rule of law, human rights and the principles of international law
- preserve peace, prevent conflicts and strengthen international security, in accordance with the purposes and principles of the United Nations Charter, with the principles of the Helsinki Final Act and with the aims of the Charter of Paris, including those relating to external borders
- foster the sustainable economic, social and environmental development of developing countries, with the primary aim of eradicating poverty
- encourage the integration of all countries into the world economy, including through the progressive abolition of restrictions on international trade
- help develop international measures to preserve and improve the quality of the environment and the sustainable management of global natural resources, in order to ensure sustainable development
- assist populations, countries and regions confronting natural or man-made disasters
- promote an international system based on stronger multilateral cooperation and good global governance.

Budget

After a steep increase in appropriations until 2013, the CFSP's funds will increase slightly but steadily under the 2014-2020 MFF, while its budgetary weight in relation to Heading 4 and the EU budget at large is set to decline slightly.

TABLE 3: HEADING 4, CHAPTER 19 03, COMMON FOREIGN AND SECURITY POLICY, COMMITMENT APPROPRIATIONS 2007-2020⁴⁴

Year	2007	2008	2009	2010	2011	2012	2013
CFSP Budget (million €)	159	285	243	281	327	362	396
Annual evolution		78.9%	-14.8%	15.7%	16.3%	11.0%	9.3%

Year	2014	2015	2016	2017	2018	2019	2020
CFSP Budget (million €)	314	321	327	334	341	347	354
Annual evolution	-20.7%	2.0%	2.0%	2.0%	2.0%	2.0%	2.0%

FIGURE 7: CFSP BUDGET

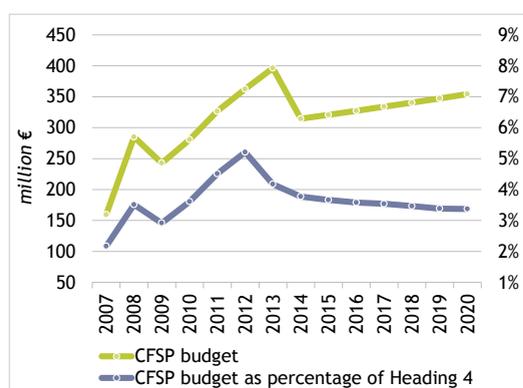
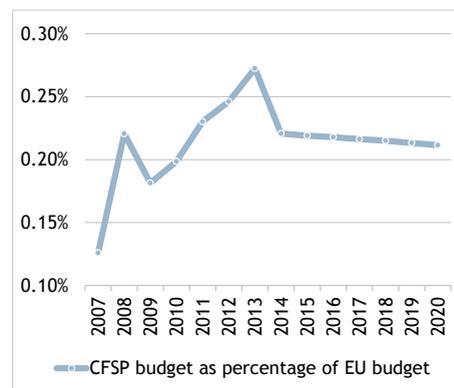


FIGURE 8: CFSP BUDGET AS PERCENTAGE OF EU BUDGET



Illustrating the link between policies and the financial resources associated with the same policies, each policy has been grouped in chapters of the budget. All the policies related to external relations are grouped in chapter 19 of the Commission budget.⁴⁵ The Common Foreign Security Policy is budgeted in chapter 19 03 of Heading 4.

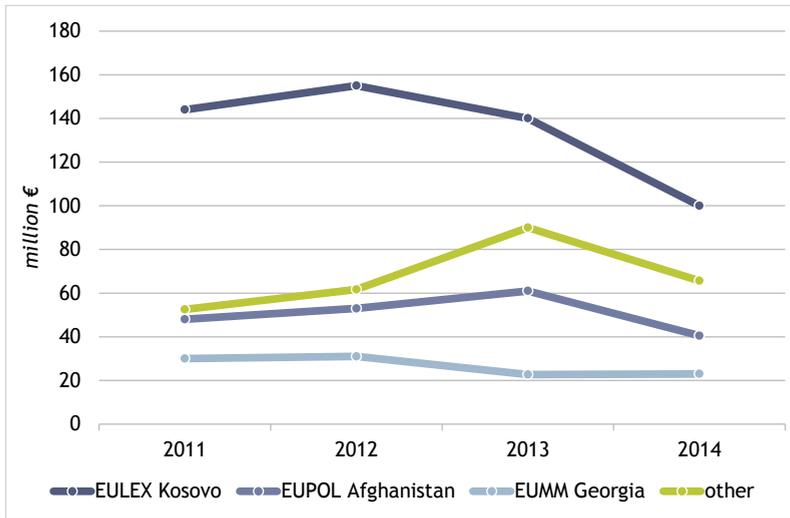
44. Sources: EUR-Lex, ‘Budget on line’, available online at: <http://eur-lex.europa.eu/budget/www/index-en.htm>; and European Commission, ‘Financial Programming and Budget: Multiannual Financial Framework 2014-2020’, available online at: <http://ec.europa.eu/budget/mff/lib/data/MFF2014-2020.xls>.

45. Chapter 19 is subdivided into ‘19 01 Administrative expenditure for ‘external relations’ policy areas’; ‘19 02 Cooperation with third countries in the area of migration and asylum’; ‘19 03 CFSP’; ‘19 04 EIDHR’; ‘19 05 Relations and cooperation with industrialised non-member countries’; ‘19 06 Crisis response and global threats to security’; ‘19 08 ENP and relations with Russia’; ‘19 09 Relations with Latin America’; ‘19 10 Relations with Asia, Central Asia and Middle East (Iraq, Iran, Yemen)’; ‘19 11 Policy strategy and coordination for “external relations” policy area’; ‘19 49 expenditure on administrative management of programmes committed in accordance with the former Financial Regulation’.

Heading 4 is subdivided into six budgetary lines:

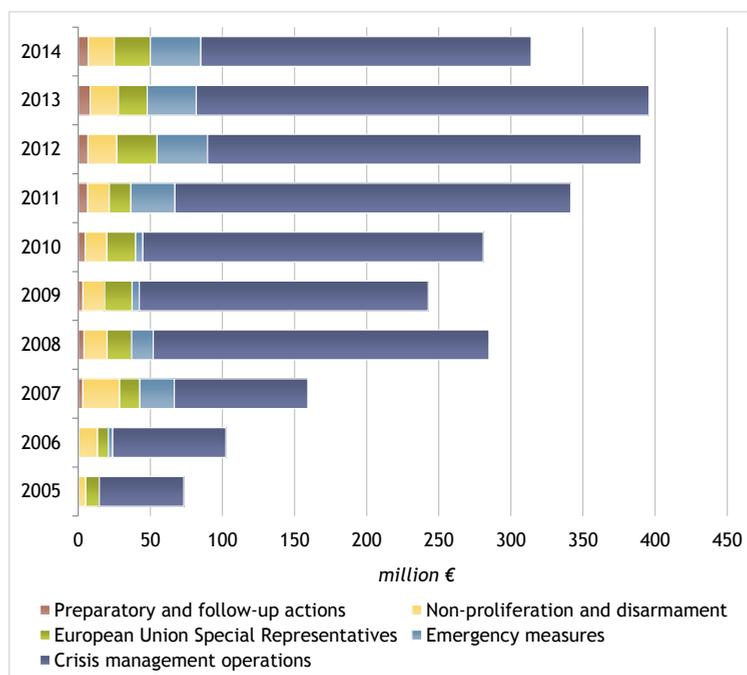
- 19 03 01: Crisis management operations, conflict prevention, resolution and stabilisation, monitoring and security processes
- 19 03 02: Non-proliferation and disarmament
- 19 03 03: Conflict resolution and other stabilisation measures⁴⁶
- 19 03 04: Emergency measures
- 19 03 05: Preparatory and follow-up measures
- 19 03 06: European Union Special Representatives

FIGURE 9: BUDGET, CHAPTER 19 03 01: CRISIS MANAGEMENT OPERATIONS 2011-2014



Between 2011 and 2014, the crisis management operations listed under Chapter 19 03 01 of the Commission budget were itemised as ‘19 03 01 01 Monitoring mission in Georgia’, ‘19 03 01 02 EULEX Kosovo’, ‘19 03 01 03 EUPOL Afghanistan’, and ‘19 03 01 04 Other crisis management measures and operations’.

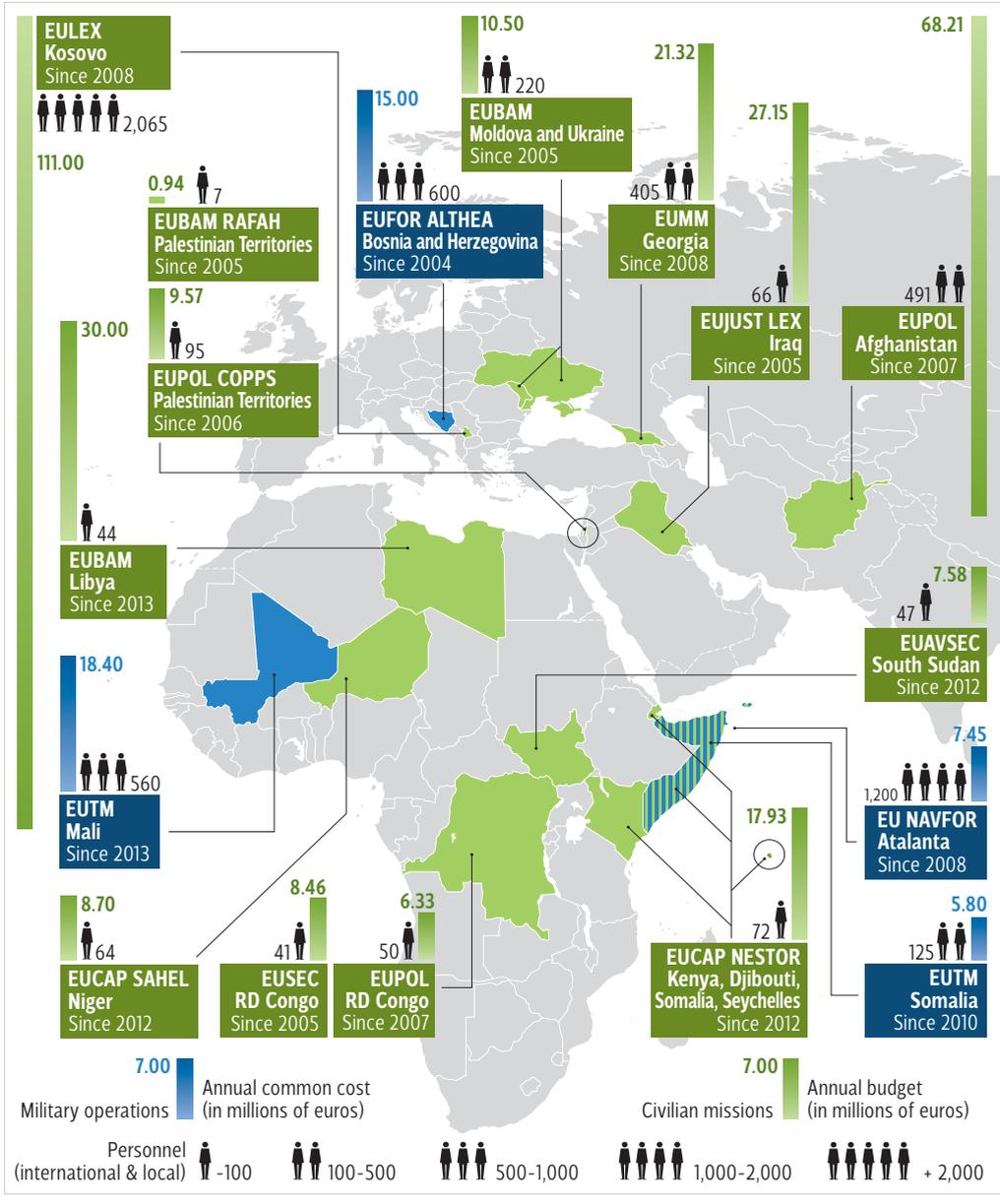
46. Has not appeared in the EU budget since 2011.

FIGURE 10: BUDGET, CHAPTER 19 03: CFSP 2005-2014**TABLE 4: BUDGET, CHAPTER 19 03: CFSP 2005-2014**

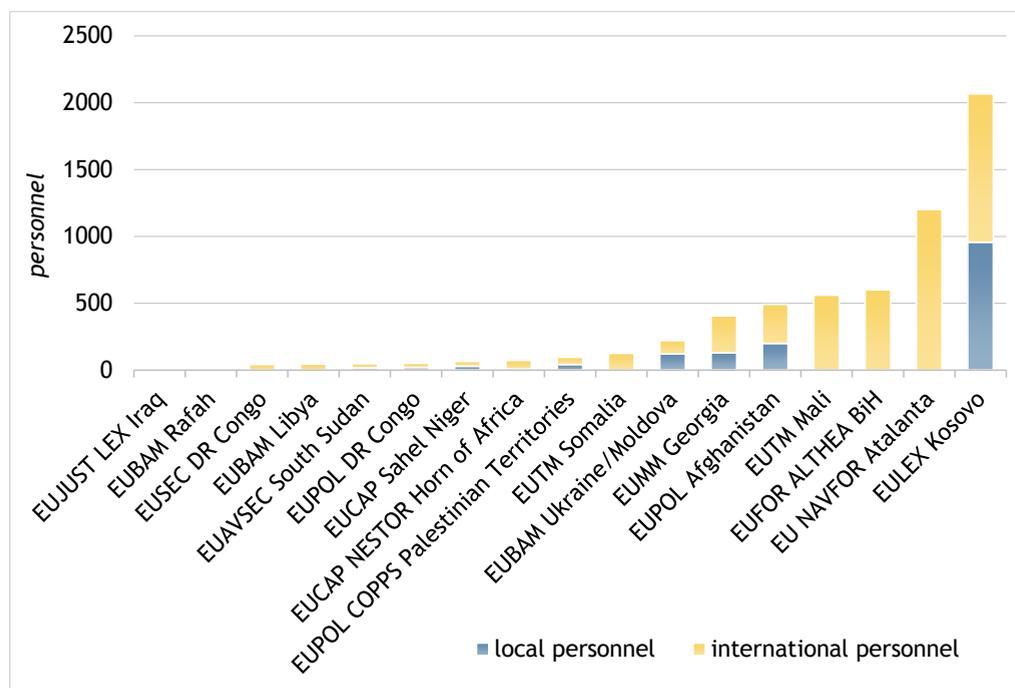
	Crisis management operations	Non-proliferation and disarmament	Emergency measures	Preparatory and follow-up actions	European Union Special Representatives	Total
2005	58.56	5.03	0.00	0.21	9.37	73.17
2006	78.50	13.00	3.00	0.40	7.50	102.40
2007	92.60	25.50	23.90	3.20	14.00	159.20
2008	232.85	16.00	15.00	4.00	17.00	284.85
2009	200.40	15.00	5.00	3.25	19.11	242.75
2010	236.09	15.00	5.00	4.85	19.95	280.89
2011	274.52	15.00	30.55	6.55	14.94	341.57
2012	300.71	20.00	35.00	6.75	27.90	390.36
2013	314.00	19.50	34.00	8.33	20.00	395.83
2014	229.12	18.00	35.00	7.00	25.00	314.12

Common Security and Defence Policy (CSDP)

FIGURE 11: CIVILIAN MISSIONS AND MILITARY OPERATIONS IN 2013⁴⁷



47. Missions and operations regularly employ international and local staff. Personnel numbers are capped by authorised maximum amounts and vary throughout any given year. Source: European External Action Service, 'Ongoing missions and operations', available online at: <http://www.eeas.europa.eu/csdp/missions-and-operations/>.

FIGURE 12: PERSONNEL FIGURES OF CSDP CIVILIAN MISSIONS AND MILITARY OPERATIONS 2013⁴⁸

Contributions of third states to CSDP operations

Approximately 45 non-EU states have participated in CSDP operations since the first mission (about 30 if the countries that have joined the EU since 2004 are subtracted). There is no third state involved in the EUMM in Georgia and only one in EUPOL Afghanistan, while more than ten have participated in EUFOR Althea in Bosnia.

All EU candidate countries (the former Yugoslav Republic of Macedonia, Iceland, Montenegro, Serbia, Turkey) have participated in CSDP missions and signed Framework Participation Agreements (FPAs) with the EU – as had most of the 13 states that joined the EU in 2004, 2007, and 2013 prior to their accession. This is also the case for all non-EU NATO states (Albania, Canada, Iceland, Norway, Turkey, the US), with Canada, Norway and Turkey standing out in particular as contributing countries.⁴⁹

48. Source: EEAS Civilian Planning and Conduct Capability, 'Personnel Figures of the Civilian CSDP Missions as of 31.12.2013', internal document, January 2014; and EEAS mission factsheets, available online at: <http://www.eeas.europa.eu/csdp/missions-and-operations/>.

49. Thierry Tardy, 'CSDP: getting third states on board', *EUISS Brief* no. 6, March 2014, available online at: http://www.iss.europa.eu/uploads/media/Brief_6_CSDP_and_third_states.pdf.

TABLE 5: THIRD STATES' CONTRIBUTIONS⁵⁰

Third states	CSDP operations
Europe/North America	
Albania*	EUFOR Althea, EUFOR Tchad/RCA
Canada*	EUFOR Althea, EULEX Kosovo, EUPM BiH, EUPOL COPPS, EUPOL Kinshasa, EUPOL Afghanistan, Artemis (DRC)
The former Yugoslav Republic of Macedonia	EUFOR Althea
Georgia*	EUCAP Nestor, EUTM Mali, EUBAM Libya, EUFOR RCA
Iceland*	EUPM BiH, Concordia
Moldova*	---
Montenegro*	EUNAVFOR Atalanta
Norway*	EUFOR Althea, EULEX Kosovo, EUPM BiH, EUPOL Afghanistan, EUNAVFOR Atalanta, EUPOL COPPS, EUPOL Proxima, Concordia, AMM Aceh, EUJUST LEX, EUCAP Nestor
Russia	EUPM BiH, EUFOR Tchad/RCA
Serbia*	EUNAVFOR Atalanta, EUTM
Switzerland	EUFOR Althea, EULEX Kosovo, EUPM BiH, EUPOL Proxima, EUFOR RD Congo, EUPOL RD Congo, AMM Aceh, EUTM Mali
Turkey*	EUFOR Althea, EULEX Kosovo, EUPM BiH, EUPOL Proxima, Concordia, EUFOR RD Congo, EUPOL Kinshasa
United States*	EULEX Kosovo, EUSEC RD Congo, EUPOL RD Congo
Ukraine*	EUPM BiH, EUPOL Proxima, EUNAVFOR Atalanta
Latin America	
Argentina	EUFOR Althea
Brazil	Artemis (DRC)
Chile*	EUFOR Althea
Dominican Republic	EUFOR Althea
Africa	
Angola	EUPOL Kinshasa, EUPOL RD Congo
Mali	EUPOL Kinshasa

50. Source: Thierry Tardy, 'CSDP: getting third states on board', *EUISS Brief* no. 6, March 2014, available online at: http://www.iss.europa.eu/uploads/media/Brief_6_CSDP_and_third_states.pdf.

Third states	CSDP operations
Morocco	EUFOR Althea
South Africa	Artemis (DRC)
Asia/Oceania	
Brunei	AMM Aceh
Malaysia	AMM Aceh
New Zealand*	EUFOR Althea, EUPOL Afghanistan
Philippines	AMM Aceh
Singapore	AMM Aceh
South Korea*	---
Thailand	AMM Aceh

* Countries which have signed an FPA with the EU.

CSDP civilian missions

There were 13 CSDP civilian missions in 2013. The costs detailed in the table below indicate estimated budgets. At the close of 2013, 73% of the international staff in CSDP civilian missions were seconded from EU member states and third countries. Their salaries were paid for by their countries and therefore did not weigh on a mission’s budget.

FIGURE 13: CSDP CIVILIAN MISSIONS, 2013

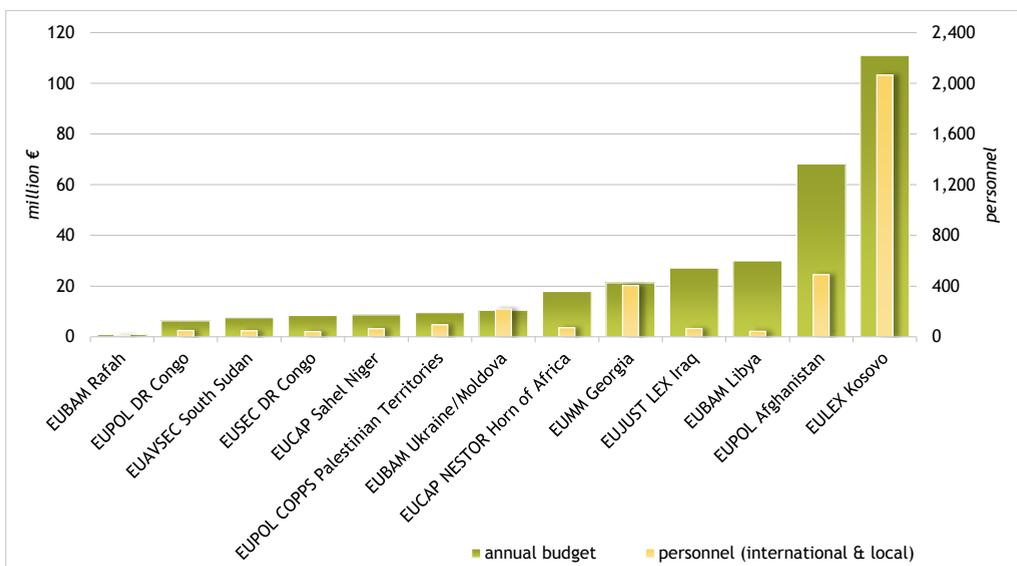


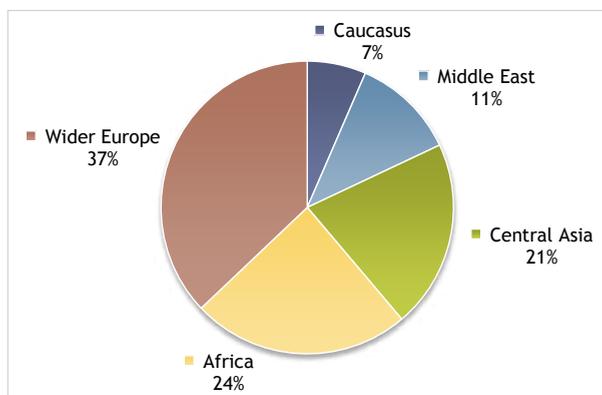
TABLE 6: CSDP CIVILIAN MISSIONS, 2013⁵¹

Mission	Annual budget (million €)	End of current mandate	International personnel	Local personnel	Legal basis
EUBAM Rafah	0.94	30 June 2014	3	4	2005/889/CFSP
EUPOL DR Congo	6.33	30 September 2014	31	19	2007/405/CFSP
EUAVSEC South Sudan*	7.58	Completed 17 January 2014	31	16	2012/312/CFSP
EUSEC DR Congo	8.46	30 September 2014	41	0	2005/355/CFSP
EUCAP Sahel Niger	8.70	August 2014	36	28	2012/392/CFSP
EUPOL COPPS Palestinian Territories	9.57	30 June 2014	54	41	2005/797/CFSP
EUBAM Ukraine/Moldova	10.50	30 November 2015	100	120	Memorandum of Understanding (2005)
EUCAP NESTOR Horn of Africa	17.93	15 July 2014	65	7	2012/389/CFSP
EUMM Georgia	21.32	14 December 2014	276	129	2008/736/CFSP
EUJUST LEX Iraq*	27.15	Completed 31 December 2013	66	0	2005/190/CFSP
EUBAM Libya	30.00	mid-2015	44	0	2013/233/CFSP
EUPOL Afghanistan	68.21	31 December 2014	292	199	2007/369/CFSP
EULEX Kosovo	111.00	14 June 2014	1109	956	2008/124/CFSP

* Missions completed at the end of 2013 (EUJUST LEX Iraq) and in January 2014 (EUAVSEC South Sudan).

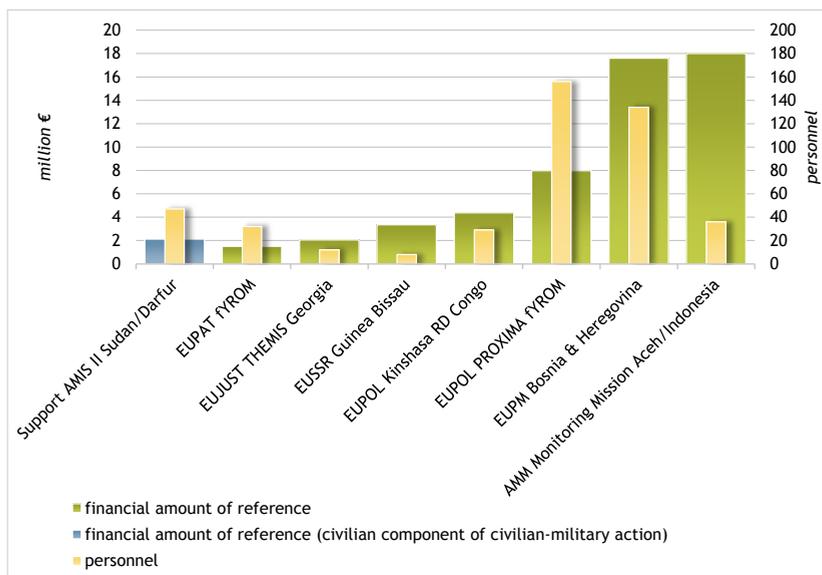
51. Where precise annual figures are not available, annualised averages were used for the annual budget. Sources: Council Decisions and EEAS mission factsheets for common costs. EEAS Civilian Planning and Conduct Capability, 'Personnel Figures of the Civilian CSDP Missions as of 31.12.2013', internal document, January 2014 for personnel figures.

FIGURE 14: CSDP CIVILIAN MISSIONS BUDGETS BY REGION



The EU has completed seven CSDP civilian missions and one combined civilian-military action, Support AMIS II Sudan/Darfur.

FIGURE 15: PAST CSDP CIVILIAN MISSIONS⁵²



52. Personnel figures represent international staff at the time of a mission's conclusion. Sources: Council Decisions and EEAS mission factsheets for missions' budgets. For personnel figures, see Stockholm International Peace Research Institute (SIPRI), 'Multilateral Peace Operations Database', available online at: <http://www.sipri.org/databases/pko>.

CSDP military Operations

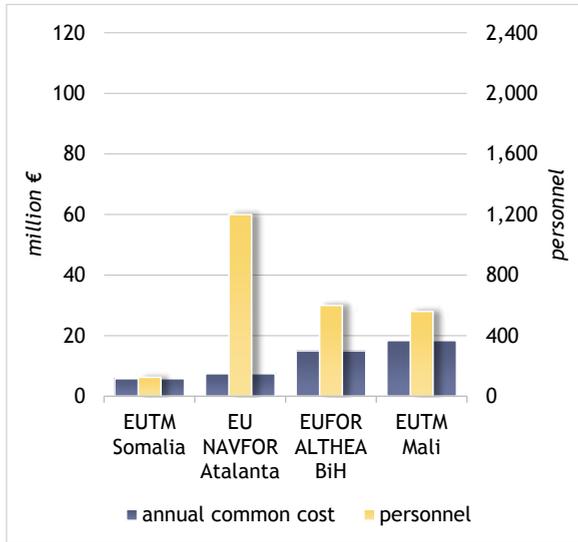
TABLE 7: CSDP MILITARY OPERATIONS, 2013⁵³

Operation	Annual common cost (million €)	Personnel	Financial arrangements	Financial amount of reference (million €)	Mandate	Legal basis
EUTM Somalia	5.80	-	07/04/2010 - 09/08/2011: 60% of the reference amount covered by ATHENA mechanism (Article 25, Paragraph 1 of Council Decision 2011/871/CFSP)	4.8	-	2010/96/CFSP
		-	09/08/2011 - 31/12/2012: 30% of the reference amount covered by ATHENA mechanism (Article 25, Paragraph 1 of Council Decision 2011/871/CFSP)	4.8	-	2007/405/CFSP
EU NAVFOR Atalanta	7.45	125	From 01/01/2013: 100% of the reference amount covered by ATHENA mechanism (Article 25, Paragraph 1 of Council Decision 2011/871/CFSP)	11.6	until 31 March 2015	2008/851/CFSP
		1200	30% of the reference amount covered by ATHENA mechanism (Article 33, Paragraph 3 of Council Decision 2008/975/CFSP)	8.3	until 12 December 2014	2005/355/CFSP

53. Where precise annual figures are not available, annualised averages were used for the annual common cost. Sources: Various Council Decisions and EEAS operations factsheets for financial figures. For personnel figures, see EEAS Factsheets (February 2013 - February 2014). Financial amounts of reference reflect the operations' common costs as indicated in their respective legal bases. Actual operation budgets may vary widely. According to Article 25, Paragraph 1 of Council Decision 2011/871/CFSP, the member states must pay their contributions at the level of 30% of the reference amount decided, unless the Council decides on a different percentage. Article 32, Paragraph 3 of Council Decision 2011/871/CFSP provides the possibility for the administrator/commander to pay expenses for the operation concerned up to 30% on the day of legal document adoption unless the Special Committee decides another percentage. Article 33, Paragraph 3 of Council Decision 2008/975/CFSP provides the possibility for the Special Committee to determine a depreciation rate for equipment, infrastructure and other assets which have been financed in common.

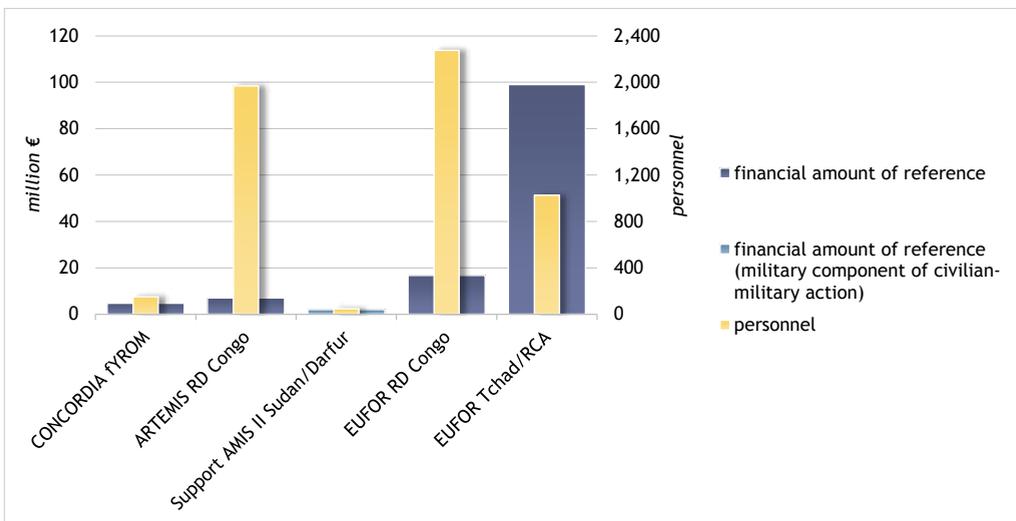
Operation	Annual common cost (million €)	Personnel	Financial arrangements	Financial amount of reference (million €)	Mandate	Legal basis
EUFOR ALTHEA BiH	15.00	600	Barracks and lodging for the forces as a whole shall not be eligible for payment as common costs. Expenditure related to transportation for the forces as a whole shall not be eligible for payment as common costs.	71.7	until 15 November 2014	2004/570/CFSP
EUTM Mali	18.40	560	From 17/01/2013 - 16/04/2015: 50% of the reference amount covered by ATHENA mechanism (Article 25, Paragraph 1 of Council Decision 2011/871/CFSP) 70% of the reference amount covered by ATHENA mechanism (Article 32, Paragraph 3 of Council Decision 2011/871/CFSP)	12.3	until mid-2014	2005/190/CFSP

FIGURE 16: CSDP MILITARY OPERATIONS, 2013



The EU has completed four CSDP military operations and one combined civilian-military action, Support AMIS II Sudan/Darfur.

FIGURE 17: PAST CSDP MILITARY OPERATIONS⁵⁴



54. Financial amounts of reference reflect the missions' common costs as indicated in their respective legal bases. Actual mission budgets may vary widely. Personnel figures represent international staff at the time of a mission's conclusion. Sources: Various Council Decisions and EEAS operations factsheets for common cost figures. For personnel figures, see Stockholm International Peace Research Institute (SIPRI), 'Multilateral Peace Operations Database', available online at: <http://www.sipri.org/databases/pko>.

Financing CSDP missions and the ATHENA mechanism

The clear distinction between the financing of EU civilian and military operations is specified in Article 41, Paragraph 2 TEU (consolidated):

‘Operating expenditure to which the implementation of this Chapter [Chapter 2, Specific Provisions on the Common Foreign and Security Policy] gives rise shall also be charged to the Union budget, except for such expenditure arising from operations having military or defence implications and cases where the Council acting unanimously decides otherwise’.

Military operations

The financing mechanism of CSDP military operations, known as ATHENA, is intended to provide funds for the common costs of operations. The complete list of costs covered by ATHENA (including transport, infrastructure, medical services, lodging, fuel, and others) is stated in the four annexes of Council Decision 2011/871/CFSP.⁵⁵ Personnel and other items are financed on a ‘costs lie where they fall’ basis.⁵⁶ It is estimated that the ATHENA mechanism covers a mere 10 to 15% of the total cost of an operation.⁵⁷

ATHENA is managed by a trio composed of an administrator, an operation commander and an accounting officer. Their actions remain under the responsibility of a special committee composed of one representative from each participating member state, as well as EEAS and EC representatives. A permanent revision procedure has been set up and each presidency has at least one meeting on the evolution of the ATHENA mechanism.

ATHENA makes the distinction between common costs (including those incurred in preparation for or following operations) and operational costs which are directly related to operations. All the costs not explicitly covered by ATHENA remain under the responsibility of the participating member states, even if the special committee can decide to include it in part B of annex III.⁵⁸ EU exercise costs are also included even if capital acquisition, planning and preparatory phase of exercises, transports, barracks and lodging for forces are not included.

55. Council Decision 2011/871/CFSP amends Council Decision 2008/975/CFSP.

56. Additional legal bases of the Athena mechanism are laid out in Council Decisions 2008/975/CFSP, 2007/384/CFSP, 2007/91/CFSP, 2005/68/CFSP, 2004/925/CFSP, and 2004/197/CFSP.

57. Thierry Tardy, ‘Funding peace operations: better value for EU money’, *EUISS Brief* no. 8, November 2013, available online at: http://www.iss.europa.eu/uploads/media/Brief_38_Funding_peace_operations.pdf.

58. ‘Operational common costs relating to the active phase of a specific operation, borne by Athena when the Council so decides’, see Annex III-B of Council of the European Union, ‘Council Decision 2008/975/CFSP of 18 December 2008 establishing a mechanism to administer the financing of the common costs of European Union operations having military or defence implications (Athena)’, *Official Journal of the European Union* L 345/96, 23 December 2008, available online at: <http://www.consilium.europa.eu/media/1381208/at3.pdf>.

Four EU military missions benefited from ATHENA financing in 2013: EUFOR Althea, EUNAVFOR Atalanta, EUTM Somalia, and EUTM Mali. In addition, ATHENA financed the following past operations: AMIS 2 (Sudan, June 2005 - December 2007), EUFOR RD Congo (June - November 2006), EUFOR Tchad RCA (January 2008 - March 2009), EUFOR Libya (April - November 2011).⁵⁹

Civilian missions

Civilian missions are financed directly by the EU’s CFSP budget. Usually, the financial references are included in the Council decision establishing the mission and are revised according to further recommendations on the mission.

The CFSP budget appears in the ‘EU as global player’ section of the EU budget. In 2013, the CFSP budget was €396.3 million, accounting for 4.2% of the section total and 0.26% of the total EU budget.

CSDP agencies’ budgets

FIGURE 18: ANNUAL TOTAL EXPENDITURE, EU INSTITUTE FOR SECURITY STUDIES

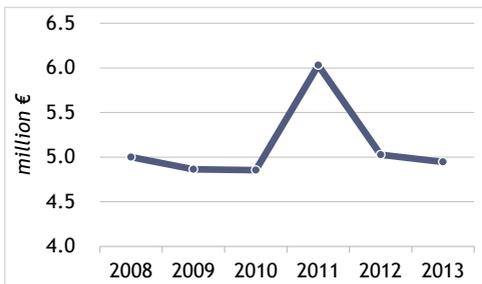


FIGURE 19: ANNUAL TOTAL EXPENDITURE, EU SATELLITE CENTRE

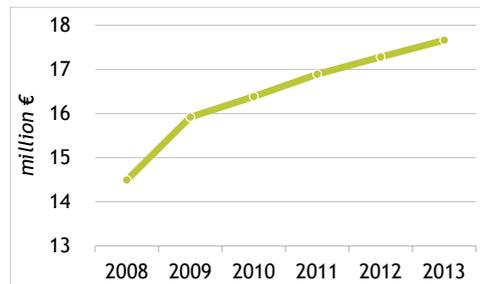
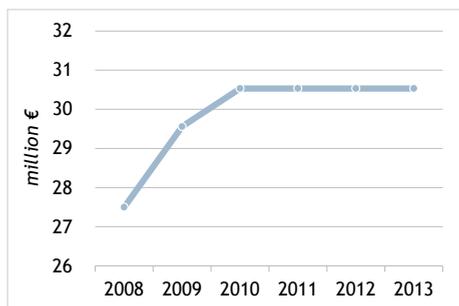


FIGURE 20: ANNUAL TOTAL EXPENDITURE, EUROPEAN DEFENCE AGENCY



59. Two additional operations have been financed based on a procedure similar to Athena, predating it however: CONCORDIA and ARTEMIS RD Congo.

The table below shows the annual total expenditures of each CSDP agency in relation to the member states' contributions.

TABLE 8: CSDP AGENCIES' BUDGETS⁶⁰

(values in million €)	EU Institute for Security Studies	European Security and Defence College	EU Satellite Centre	European Defence Agency
Legal basis	2001/554/CFSP, 2006/1002/CFSP, 2014/75/CFSP	2008/550/CFSP, 2013/189/CFSP	2001/555/ CFSP, 2006/998/CFSP, 2009/834/CFSP, 2011/297/ CFSP	2004/551/ CFSP
2008	5.00	Costs borne by participants*.	14.49	27.50
2008 MS contributions	3.80		11.56	24.28
2009	4.86		15.92	29.56
2009 MS contributions	3.94		12.20	27.69
2010	4.85		16.38	30.53
2010 MS contributions	4.02		12.33	28.73
2011	6.03		16.89	30.53
2011 MS contribution	4.02		12.33	29.03
2012	5.03		17.28	30.53
2012 MS contribution	4.02		12.33	29.09
2013	4.95		17.66	30.53
2013 MS contribution	3.99		12.28	29.06

* Based on 2013/189/CFSP, 'Each Member State, Union institution, Union agency and institute, and the EEAS shall bear all costs related to its participation in the ESDC, including salaries, allowances, travel and subsistence expenses and costs related to organisational and administrative support of the ESDC training activities.'

60. For the EUISS, figures reflect only operational costs. Member States' contributions figures do not include contributions to pension scheme. The EUISS's 2011 budget includes the European Strategy and Policy Analysis System (ESPAS) project. For further information, see European Strategy and Policy Analysis System (ESPAS), 'Global trends 2030 – Citizens in an interconnected and polycentric world', European Union Institute for Security Studies, 2012, available online at: <http://www.iss.europa.eu/publications/detail/article/espas-report-global-trends-2030-citizens-in-an-interconnected-and-polycentric-world/>. Sources: EUISS and EUSC figures through direct request. For EDA figures, see European Defence Agency, 'Finance', available online at: <https://www.eda.europa.eu/aboutus/how-we-do-it/finance>. Council Decision 2014/75/CFSP was adopted on 10 February 2014, repealing Council Joint Action 2001/554/CFSP on the establishment of a European Union Institute for Security Studies.

Civilian CSDP-related guidelines, concepts and other documents⁶¹**TABLE 9: CONCEPTS, GUIDELINES AND OTHER DOCUMENTS**

Area	Title	Document	Status
Concept			
Civ-Mil	Civil Military Coordination (CMCO)	14065/03	PSC Noted
Civ-Mil	Civil Military Coordination (CMCO)	14457/03	PSC Noted
Civilian Response Teams	Civilian Response Teams	15371/09	Council Noted
Civ-Mil	Civil-Military Coordination (CMCO): Possible solutions for the management of EU Crisis Management Operations - Improving information sharing in support of EU crisis management operations	13218/5/06	PSC Noted
Rule of Law/ Human Rights	Comprehensive EU concept for missions in the field of Rule of Law in crisis management, including annexes	9792/03	PSC Noted
Monitoring	Concept for EU Monitoring missions	14536/03	PSC Endorsed
Police	Concept for rapid deployment of police elements in an EU-led substitution mission.	05/02/8508	PSC Noted
CS/NGO	Concept on Strengthening EU Mediation and Dialogue Capacities	15779/09	Council Adopted
Mission Planning and Control	Concept paper on procedures for the termination, extension and refocusing of an EU civilian crisis management operation	5136/06	PSC Noted
Monitoring	Draft Concept for ESDP Border missions in the framework of Civilian Crisis Management	16137/06	PSC Noted
Mission Planning and Control	Draft EU Concept for Comprehensive Planning	13983/05	PSC Noted

61. Source: European External Action Service, 'Concepts & Guidelines', Crisis Management Goalkeeper, available online at: <https://goalkeeper.eeas.europa.eu/startapp.aspx>.

Area	Title	Document	Status
SSR/DDR	Draft EU Concept for support to Disarmament, Demobilisation and Reintegration (DDR)	13727/4/06	PSC Noted
Training	Draft EU training Concept in ESDP	11970/04	PSC Noted
Training	Draft EU Training Policy in ESDP	14176/2/03	PSC Noted
Civ-Mil	Draft Joint Statement on UN-EU Cooperation in Crisis Management	10310/07	PSC Noted
Police	EU Comprehensive Concept for Strengthening of Local Police Missions	9535/02	PSC Noted
Civilian Administration	EU Concept for Crisis Management Missions in the field of Civilian Administration	15311/03	PSC Noted
SSR/DDR	EU Concept for ESDP support to Security Sector Reform (SSR)	12566/4/05	PSC Noted
SSR/DDR	EU Concept for ESDP support to Security Sector Reform (SSR)	12566/4/05	PSC Noted
Civ-Mil	EU Exercise Concept	9329/04	PSC Noted
Police	European Union Concept for Police Planning	6923/02	PSC Noted
Rule of Law/ Human Rights	Implementation of UNSCR 1325 as reinforced by UNSCR 1820 in the context of ESDP	15782/3/08	PSC Noted
Rule of Law/ Human Rights	Implementation of UNSCR 1325 in the context of ESDP	11932/2/05	PSC Noted
Mission Planning and Control	Initial Concept of Mission Support for ESDP Civilian Crisis Management Missions	12457/06	PSC Noted
Mission Planning and Control	Initial Concept of Mission Support for ESDP Civilian Crisis Management Missions	12457/06	PSC Noted
Crisis Management	Joint Declaration on UN-EU Cooperation in Crisis Management	12730/03	PSC Noted
Mission Planning and Control	Lead State Concept	10715/07	PSC Endorsed

Area	Title	Document	Status
Rule of Law/ Human Rights	Mainstreaming of Human Rights into ESDP	11936/4/06	PSC Noted
Crisis Management	Policy of the EU on the security of personnel deployed outside the EU in an operational capacity under Title V of the Treaty on EU	9490/06	PSC Noted
SSR/DDR	Security Sector Reform - draft document on deployable European expert teams	14576/1/08	PSC Noted
Rule of Law/ Human Rights	Transitional Justice and ESDP	10300/1/06	PSC Noted
Guideline			
Civilian Administration	Basic Guidelines for Crisis Management missions in the field of Civil Administration	02/01/9369	PSC Noted
Rule of Law/ Human Rights	Checklist to ensure gender mainstreaming and implementation of UNSCR 1325 in the planning and conduct of ESDP Operations	12068/06	PSC Noted
Civ-Mil	Civil-Military Coordination: Framework paper of possible solutions for the management of EU Crisis Management Operations	8926/06	PSC Noted
Humanitarian Issues	Council conclusions on the EU Guidelines for the Promotion and Protection of the Rights of the Child	16457/07	Council Adopted
Rule of Law/ Human Rights	Draft Council Conclusions on EU Guidelines on Human Rights Defenders	10056/1/04	PSC Noted
Humanitarian Issues	Draft General review of the Implementation of the Checklist for the Integration of the Protection of Children affected by Armed Conflict into ESDP Operations	9822/08	Council Noted
Mission Planning and Control	Draft Guidelines for Command and Control Structure for EU Civilian Operations in Crisis Management	9919/07	PSC Noted
Mission Planning and Control	Draft Guidelines for ESDP Crisis Response Information Activities	13817/02	PSC Noted
Civil Protection	Draft Guidelines on the Protection of Civilians in CSDP Missions and Operations	13047/2/10	PSC Noted
Humanitarian Issues	Ensuring protection? European Union Guidelines on Human Rights Defenders	16332/2/08	PSC Noted

Area	Title	Document	Status
Mission Planning and Control	Equipment lists for EU police missions	8776/02	PSC Noted
Humanitarian Issues	EU Guidelines on Children Affected by Armed Conflict	10019/08	PSC Noted
Humanitarian Issues	EU Guidelines on human rights dialogues with third countries	16526/08	PSC Noted
Humanitarian Issues	EU Guidelines on the Death Penalty: revised and updated version	10015/08	PSC Noted
Mission Planning and Control	Generic Standards of Behaviour for ESDP Operations	05/03/8373	PSC Noted
Mission Planning and Control	Guidelines for allowances for seconded staff participating in EU civilian crisis management missions	7291/09	PSC Noted
Mission Planning and Control	Guidelines for Command and Control structure for EU Police Operations in civilian aspects of crisis management	13306/01	PSC Noted
Lessons Learned	Guidelines for identification and implementation of lessons learned and best practices in civilian ESDP missions	14702/08	PSC Noted
Mission Planning and Control	Guidelines for Police Command and Control aspects of EU crisis management	02/01/7854	PSC Noted
Mission Planning and Control	Guidelines on the Implementation of Benchmarking in Civilian CSDP Missions	17110/01	PSC Noted
Training	Guidelines on Training and Selection Criteria for Personnel in EU Police Missions	13308/01	PSC Noted
Humanitarian Issues	Guidelines to EU policy towards third countries on torture and other cruel, inhuman or degrading treatment or punishment - An update of the Guidelines	8590/08	Council Noted
Police	Handbook for Police Officers deploying to EU Police Missions	12572/1/03	PSC Noted
Crisis Management	Implementation of the Joint statement on UN-EU Cooperation in Crisis Management	13609/07	PSC Noted

Area	Title	Document	Status
Mission Planning and Control	Information activities in the area of ESDP - principles and tasks ahead	12424/02	PSC Noted
Humanitarian Issues	Mainstreaming human rights across CFSP and other EU policies	10076/06	PSC Noted
Police	Police Aspects of Fact Finding Mission (FFM)	9735/02	PSC Noted
CS/NGO	Recommendations for Enhancing Co-operation with Non-Governmental Organisations (NGOs) and Civil Society	10114/1/08	PSC Endorsed
Mission Planning and Control	Standard language for planning documents and legal acts for civilian ESDP operations	11277/07	PSC Noted
Mission Planning and Control	Standardisation and interoperability	13307/01	PSC Noted
Crisis Management	Suggestions for procedures for coherent, comprehensive EU Crisis Management	11127/03	PSC Noted
Humanitarian Issues	The EU Guidelines on the Promotion of International Humanitarian Law	15246/05	Council Adopted
Training	Training Requirements relevant to ESDP - Review 2007	15919/1/07	PSC Noted
Related document			
Gender	Comprehensive approach to the EU implementation of the United Nations Security Council Resolutions 1325 and 1820 on women, peace and security	15671/1/08	Council Adopted
Mission Planning and Control	Report on planning and mission support capability for civilian crisis management	13835/03	PSC Noted

Non-proliferation and disarmament actions in 2010-2013

TABLE 10: NON-PROLIFERATION AND DISARMAMENT ACTIONS, 2010-2013⁶²

Legal Basis	Action	Commitment (million €)
2010		
2009/1012/CFSP	Support of EU activities to promote the control of arms exports	0.79
2010/179/CFSP	Support of SEESAC arms control activities in Western Balkans	1.60
2010/336/CFSP	EU activities in support of the Arms Trade Treaty (ATT-UNIDIR)	1.52
2010/430/CFSP	Establishing a European network of independent think tanks	2.18
2010/461/CFSP	EU activities in support of the Comprehensive Nuclear Test Ban Treaty (CTBTO)	5.28
2010/585/CFSP	EU support for the IAEA activities in the area of nuclear security and verification and in the framework of the implementation of the EU Strategy against Proliferation of Weapons of Mass Destruction (IAEA V)	9.97
2010/765/CFSP	EU action to counter the illicit trade of SALW by air (SIPRI)	0.90
	Total	22.24
2011		
2010/799/CFSP	Confidence-building process - Zone free of WMD - Non-proliferation consortium	0.35
2011/428/CFSP	UNODA activities in support of UN programme of Action on SALW	2.15
	Total	2.50

62. Sources: Council of the European Union, 'Six-monthly Progress Report on the implementation of the EU Strategy against the Proliferation of Weapons of Mass Destruction (2012/I)', 2012/C 237/01, *Official Journal of the European Union* C 228/4, 7 August 2012, available online at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2012:237:0001:0020:EN:PDF>; and European External Action Service, 'Twelfth Progress Report on the implementation of the EU Strategy to combat illicit accumulation and trafficking of SALW and their ammunition (2011/II)', 2012/C 66/04, *Official Journal of the European Union* C 66/24, 6 March 2012, available online at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2012:066:0024:0027:EN:PDF>. For a comprehensive list of EU non-proliferation and disarmament actions, see European External Action Service, 'Non-Proliferation and Disarmament Documents', available online at: http://eeas.europa.eu/non-proliferation-and-disarmament/documentation/documents/index_en.htm.

Legal Basis	Action	Commitment (million €)
2012		
2012/121/CFSP	Activities to promote EU-China-Africa dialogue and co-operation on conventional arms controls	0.83
2012/166/CFSP	Support of activities of OPCW - EU Strategy against Proliferation of WMD	2.14
2012/281/CFSP	International Code of Conduct on Outer Space Activities	1.49
2012/421/CFSP	Support of Biological and Toxin Weapons Convention (BTWC)	1.70
2012/662/CFSP	OSCE - Small Arms and Light Weapons	0.89
2012/662/CFSP	UNDP - Small Arms and Light Weapons	0.79
2012/422/CFSP	WMD Free Zone II	0.35
2012/423/CFSP	Missile proliferation (HCOC II)	0.93
2012/699/CFSP	Comprehensive Nuclear-Test-Ban Treaty Organisation (CTBTO V)	5.19
2012/700/CFSP	Cartagena Action Plan 2010-2014 (AP Landmines II)	1.03
2012/711/CFSP	Control of Arms Export (COARM Outreach)	1.86
Total		17.20
2013		
2013/43/CFSP	Continued Union activities in support of the Arms Trade Treaty negotiations	0.16
2013/320/CFSP	Support of physical security and stockpile management activities to reduce the risk of illicit trade in small arms and light weapons (SALW) and their ammunition in Libya and its region	5.00 ¹
2013/391/CFSP	Support of the practical implementation of United Nations Security Council Resolution 1540 (2004)	0.75
2013/517/CFSP	Support for the activities of the International Atomic Energy Agency in the areas of nuclear security and verification	8.05
2013/668/CFSP	Support of World Health Organisation activities in the area of biosafety and biosecurity	1.73

Legal Basis	Action	Commitment (million €)
2013/698/CFSP	Support of a global reporting mechanism on illicit small arms and light weapons and other illicit conventional weapons and ammunition to reduce the risk of their illicit trade	2.32 ²
2013/726/CFSP	support of the UNSCR 2118 (2013) and OPCW Executive Council EC-M-33/Dec 1	2.31
2013/730/CFSP	Support of SEESAC disarmament and arms control activities in South East Europe	5.13 ³
2013/768/CFSP	EU activities in support of the implementation of the Arms Trade Treaty	5.20 ⁴
Total		30.66

1. 'The total estimated budget of the overall project shall be EUR 6 600 000, which shall be provided through co-financing with the German Federal Foreign Office.'

2. 'The total estimated budget of the overall project shall be EUR 2 416 667, which shall be provided through co-financing by CAR.'

3. 'The total estimated budget of the overall programme shall be EUR 14 335 403. The programme shall be co-financed by the Union, the Ministry of Foreign Affairs of the Kingdom of Norway and the beneficiary. [...] The Norway contribution totals EUR 411,689 [sic] (NOK 3 140 000,00) according to the UN Operational Rate of Exchange for June 2013) covering 2,87 % of the total Programme budget. The beneficiary contribution totals 61,36 % of the total Programme budget.'

4. 'The total estimated budget of the overall project shall be EUR 6 445 000. The part of that estimated budget not covered by the reference amount shall be provided through co-financing by the Government of the Federal Republic of Germany.'

4. PARTNERSHIP AGREEMENTS

EU-UN

EU-UN cooperation in the field of CSDP has been particularly strong in the areas of crisis management since 2003, when the EU launched Operation Artemis in the Democratic Republic of the Congo and EUPM BiH took over policing Bosnia and Herzegovina from the United Nations International Police Task Force (UNIPTF). A joint consultative mechanism, the EU-UN Steering Committee, was set up that year following the first *Joint Declaration on EU-UN co-operation in Crisis Management*. EU-UN cooperation deepened in 2007 with the publication of a second joint statement encouraging regular senior-level dialogue between the EU troika and the UN Secretariat, as well as regular exchanges of views between the UN Secretariat and the EU's Political and Security Committee (PSC). In the field, cooperation was further developed through parallel and sequential missions in the Democratic Republic of the Congo in 2006 as well as in Chad in 2008-09. In

2012, the EEAS elaborated an Action Plan on CSDP Support to UN peacekeeping that listed a series of concrete steps towards a reinforced EU-UN partnership.

EU-NATO

EU-NATO relations are an important feature of the institutional structure of the CSDP. Although there is no explicit division of labour, this partnership is complementary in that the EU does not have the range of planning capabilities that NATO has, and NATO is less equipped with regard to the civilian expertise that adds value to many missions.

The 'Berlin Plus' arrangements are at the core of this partnership. They cover EU access to NATO planning, NATO European command options and use of NATO assets and capabilities. The military operations carried out in the framework of this arrangement, adopted in 2003, include EUFOR Althea and EUNAVFOR Atalanta.⁶³

Besides these operational aspects, EU-NATO cooperation also encompasses an institutional dimension. On the one hand, a special EU cell has been created within the Supreme Headquarters Allied Powers Europe (SHAPE) to better prepare EU operations relying on NATO common assets and capabilities. On the other hand, NATO is regularly invited to informal EU defence ministerial meetings.

With respect to capabilities development, an EU-NATO capability group, composed of NATO allies and non-NATO EU member states that have a security agreement with NATO, was set up in Brussels in May 2003 with the task of regularly exchanging information on requirements common to both organisations, if both organisations so wish and if appropriate. The EDA's Pooling and Sharing initiative and NATO's Smart Defence initiative proved that this area of cooperation should be further developed in order to avoid any expensive duplication of efforts in the future. Beyond such institutionalised formats, reciprocal attendance of meetings at several levels and staff contacts play an important role in EU-NATO relations. For instance, NATO's North Atlantic Council (NAC) and the EU's Political and Security Committee hold regular meetings and NATO's Secretary General and the EU's HR/VP attend each other's summits.

One of the main remaining issues is the question of information sharing between the EU and NATO. Six EU member states currently do not participate as full members of NATO.⁶⁴ In addition, as the Cyprus territorial dispute is not yet resolved, Turkey is maintaining its veto on an increase in its cooperation with the EU.⁶⁵ This implies also that there is currently no agreement concerning the sharing of information between

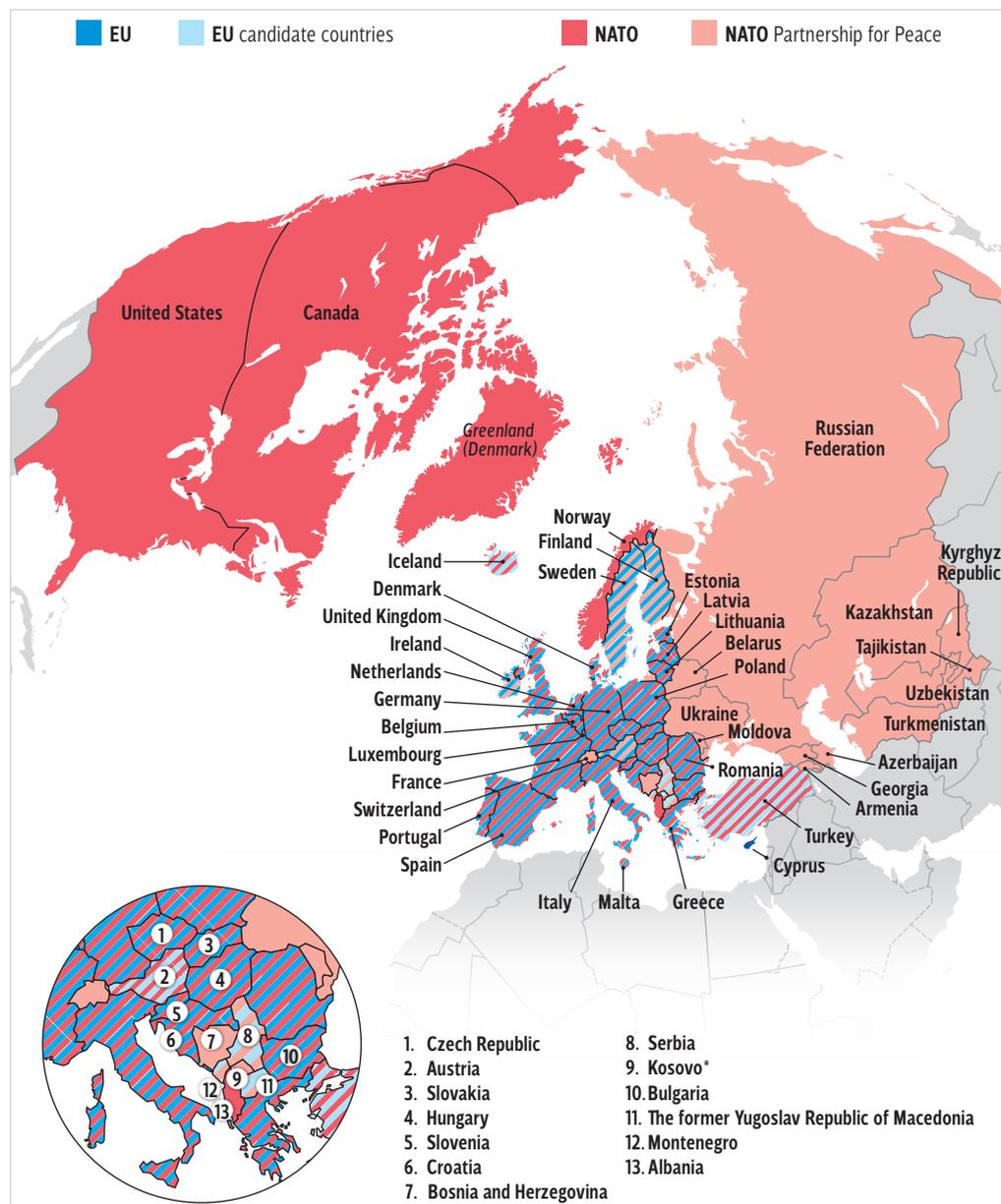
63. North Atlantic Treaty Organization, 'NATO-EU: a strategic partnership', available online at: http://www.nato.int/cps/en/natolive/topics_49217.htm?selectedLocale=en.

64. Austria, Cyprus, Finland, Ireland, Malta and Sweden.

65. For the moment Cyprus has no security agreement with NATO.

the two organisations although a specific agreement on the security of information has been signed within the Berlin Plus agreements.

FIGURE 21: MAP OF EU MEMBERSHIP, NATO MEMBERSHIP, NATO PARTNERSHIP FOR PEACE AND EU CANDIDATE COUNTRIES



* Under UNSCR 1244/1999.

In addition, the European Council of Copenhagen stated that Berlin Plus arrangements could no longer be used by EU member states which are not part of both organisations or, short of NATO membership, at least party to NATO's Partnership for Peace.⁶⁶ Consequently, the Berlin Plus agreements have been transformed into various bilateral security agreements and the EU is much less willing to improve cooperation without the full participation of its member states.

Framework agreements with third states

In order to avoid defining third state participation conditions on a case-by-case basis, framework agreements with non-EU member states allow for better cooperation with these states during European Union crisis management operations.

TABLE 11: THIRD STATES' FRAMEWORK AGREEMENTS

Country	Date of signature	Date of entry into force	Legal basis
Norway	03 December 2004	01 January 2005	2005/191/CFSP
Iceland	21 February 2005	01 April 2005	2005/191/CFSP
Ukraine	13 June 2005	01 May 2008	2005/495/CFSP
Canada	24 November 2005	01 December 2005	2005/851/CFSP
Turkey	29 June 2006	01 August 2007	2006/482/CFSP
Montenegro	22 February 2011	04 April 2012	2011/133/CFSP
United States of America	17 May 2011	01 June 2011	2011/318/CFSP
Serbia	08 June 2011	01 August 2012	2011/361/CFSP
New Zealand	18 April 2012	01 May 2012	2012/315/CFSP
Albania	05 June 2012	01 February 2013	2012/344/CFSP
The former Yugoslav Republic of Macedonia	29 October 2012	01 April 2013	2012/768/CFSP
Moldova	13 December 2012	01 July 2013	2013/12/CFSP
Georgia	19 November 2013	-	-
Chile	30 January 2014	-*	2014/71/CFSP

* Entry in force after completion of Chilean internal procedures.

66. Among EU member states, Austria, Finland, Ireland, Malta and Sweden are members of the Partnership for Peace. For the legal basis, see Council of the European Union, 'Copenhagen European Council 12 and 13 December 2002 Presidency Conclusions – Annex II', 15917/02, Brussels, 29 January 2003, available online at: http://www.consilium.europa.eu/ueDocs/cms_Data/docs/pressData/en/ec/73842.pdf.

Once negotiated, these agreements have to be approved by the Council and the third states following internal procedures.

The framework agreements signed with Romania and Bulgaria are no longer relevant since the last EU enlargement in 2007.

In addition, in the framework of operation EUFOR Althea, several agreements were drawn up⁶⁷ with the Dominican Republic, the former Yugoslav Republic of Macedonia, Chile, Argentina, Morocco and the Swiss Confederation.

5. EUROPEAN UNION SPECIAL REPRESENTATIVES

The role of European Union Special Representatives (EUSRs) is defined in Article 28, Paragraph 1 TEU (consolidated) as follows:

‘Where the international situation requires operational action by the Union, the Council shall adopt the necessary decisions. They shall lay down their objectives, scope, the means to be made available to the Union, if necessary their duration, and the conditions for their implementation.

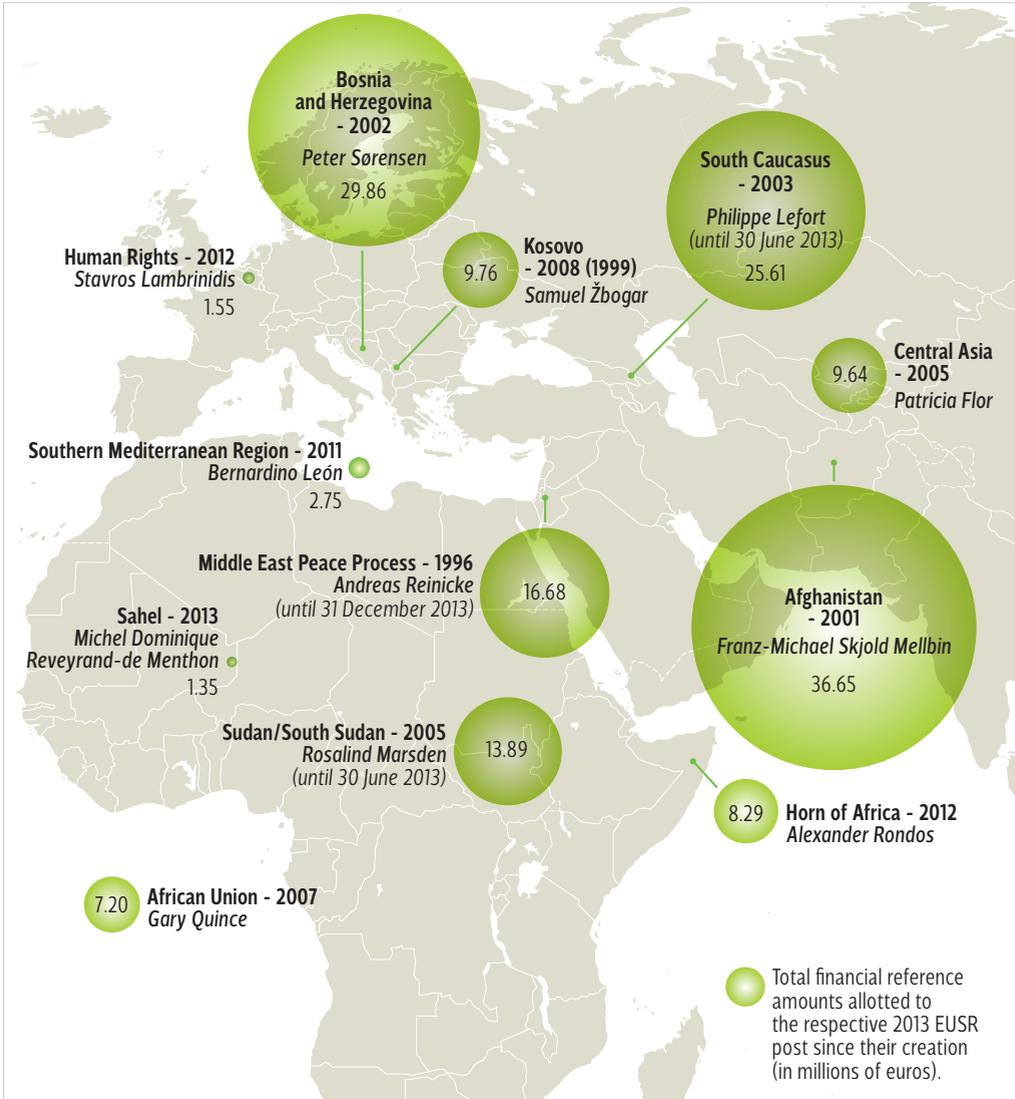
If there is a change in circumstances having a substantial effect on a question subject to such a decision, the Council shall review the principles and objectives of that decision and take the necessary decisions.’

EUSRs stand in close contact with the HR/VP pursuant to Article 33 TEU (consolidated):

‘The Council may, on a proposal from the High Representative of the Union for Foreign Affairs and Security Policy, appoint a special representative with a mandate in relation to particular policy issues. The special representative shall carry out his mandate under the authority of the High Representative.’

67. See BIH/1/2004, BIH/5/2004, and BIH/13/2008.

FIGURE 22: AREAS COVERED BY THE EU SPECIAL REPRESENTATIVES IN 2013



The table opposite shows the number of EUSRs per region/issue over a set period of time and the total amount allocated for the execution of their mandates.

Each EUSR has to finance its office, staff, equipment, and the operational costs of its mission with the financial reference amount mentioned in the related Council Decisions and Joint Actions.

TABLE 12: CURRENT AND FORMER EUROPEAN UNION SPECIAL REPRESENTATIVES

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Afghanistan				
Klaus Peter Klaiber	DE	10/12/2001 - 10/06/2002	-	2001/875/CFSP
Francesc Vendrell	ES	01/07/2002 - 31/12/2002	-	2002/496/CFSP
		01/01/2003 - 30/06/2003	-	2002/961/CFSP
		01/07/2003 - 31/12/2003	-	2003/448/CFSP
		01/01/2004 - 30/06/2004	496,000	2003/871/CFSP
		01/07/2004 - 28/02/2005	794,000	2004/533/CFSP
		01/03/2005 - 31/08/2005	635,000	2005/95/CFSP
		01/09/2005 - 28/02/2006	620,000	2005/585/CFSP
		01/03/2006 - 28/02/2007	1,330,000	2006/124/CFSP
		01/03/2007 - 29/02/2008	2,450,000	2007/106/CFSP
		01/03/2008 - 31/05/2008	-	2008/131/CFSP
		01/03/2008 - 31/08/2008	1,653,000	2008/481/CFSP
Ettore F. Sequi	IT	01/09/2008 - 28/02/2009	2,300,000	2008/612/CFSP
		01/03/2009 - 28/02/2010	-	2009/135/CFSP
		01/03/2009 - 28/02/2010	-	2009/467/CFSP
		01/03/2009 - 31/03/2010	2,830,000	2010/120/CFSP
Vygaudas Ušackas	LT	01/04/2010 - 31/08/2010	2,500,000	2010/168/CFSP
		01/09/2010 - 31/08/2011	4,515,000	2010/439/CFSP
		01/09/2011 - 30/06/2012	3,560,000	2011/427/CFSP
		01/07/2012 - 30/06/2013	6,380,000	2012/331/CFSP
		01/07/2013 - 31/08/2013	-	2013/382/CFSP
Franz-Michael Skjold Mellbin	DK	01/09/2013 - 30/06/2014	6,585,000	2013/393/CFSP
Total			36,648,000	

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
African Great Lakes Region				
		25/03/1996 - 25/11/1996	-	96/250/CFSP
		25/09/1996 - 31/07/1997	-	96/441/CFSP
		01/08/1997 - 31/07/1998	-	97/448/CFSP
		01/08/1998 - 31/07/1999	-	98/452/CFSP
		01/08/1999 - 31/07/2000	1,137,000	1999/423/CFSP
		01/08/2000 - 31/12/2000	595,000	2000/347/CFSP
Aldo Ajello	IT	01/01/2001 - 31/12/2001	-	2000/792/CFSP
		01/01/2002 - 31/12/2002	-	2001/876/CFSP
		01/01/2003 - 30/06/2003	-	2002/962/CFSP
		01/07/2003 - 31/12/2003	-	2003/447/CFSP
		01/01/2004 - 30/06/2004	510,000	2003/869/CFSP
		01/07/2004 - 28/02/2005	580,000	2004/530/CFSP
		01/03/2005 - 31/08/2005	440,000	2005/96/CFSP
		01/09/2005 - 28/02/2006	460,000	2005/586/CFSP
		01/03/2006 - 28/02/2007	820,000	2006/122/CFSP
Roeland van de Geer	NL	01/03/2007 - 29/02/2008	1,025,000	2007/112/CFSP
		01/03/2008 - 28/02/2009	1,370,000	2008/108/CFSP
		01/03/2009 - 28/02/2010	1,425,000	2009/128/CFSP
		01/03/2010 - 31/08/2010	1,065,000	2010/113/CFSP
		01/09/2010 - 31/08/2011	1,520,000	2010/440/CFSP
Total			6,405,000	

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
African Union				
Koen Vervaeke	BE	06/12/2007 - 31/12/2008	-	2007/805/CFSP
		06/12/2007 - 31/12/2008	2,090,000	2008/403/CFSP
		01/01/2009 - 28/02/2010	-	2008/898/CFSP
		01/01/2009 - 31/08/2010	1,850,000	2010/119/CFSP
		01/09/2010 - 31/08/2011	1,280,000	2010/441/CFSP
		01/09/2011 - 30/06/2012	715,000	2011/621/CFSP
		01/09/2011 - 31/10/2011	-	2011/697/CFSP
Gary Quince	UK	01/11/2011 - 30/06/2012	-	2011/697/CFSP
		01/07/2012 - 30/06/2013	680,000	2012/390/CFSP
		01/07/2013 - 30/06/2014	585,000	2013/383/CFSP
Total			7,200,000	
Bosnia and Herzegovina				
Lord (Paddy) Ashdown	UK	from 03/06/2002	-	2002/211/CFSP
		12/07/2004 - 28/02/2005	200,000	2004/569/CFSP
		01/03/2005 - 31/08/2005	-	2005/97/CFSP
		01/09/2005 - 28/02/2006	-	2005/583/CFSP
			160,000	2005/825/CFSP
Christian Schwarz-Schilling	DE	01/03/2006 - 28/02/2007	770,000	2006/49/CFSP
		01/03/2007 - 30/06/2007	770,000	2007/87/CFSP
Miroslav Lajčák	SK	01/07/2007 - 29/02/2008	1,530,000	2007/427/CFSP
		01/03/2008 - 28/02/2009	2,900,000	2008/130/CFSP
Valentin Inzko	AT	01/03/2009 - 28/02/2010	3,200,000	2009/181/CFSP
		01/03/2010 - 31/08/2010	2,350,000	2010/111/CFSP
		01/09/2010 - 31/08/2011	3,700,000	2010/442/CFSP
Peter Sørensen	DK	01/09/2011 - 30/06/2012	3,740,000	2011/426/CFSP
		01/07/2012 - 30/06/2013	5,250,000	2012/330/CFSP
		01/07/2013 - 30/06/2014	5,285,000	2013/351/CFSP
Total			29,855,000	

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Central Asia				
Ján Kubiš	SK	28/07/2005 - 28/02/2006	470,000	2005/588/CFSP
		01/03/2006 - 28/02/2007	925,000	2006/118/CFSP
Pierre Morel	FR	05/10/2006 - 28/02/2007	-	2006/670/CFSP
		01/03/2007 - 29/02/2008	1,000,000	2007/113/CFSP
		01/03/2008 - 28/02/2009	1,100,000	2008/107/CFSP
			-	2008/900/CFSP
		01/03/2009 - 28/02/2010	998,000	2009/130/CFSP
		01/03/2010 - 31/08/2010	800,000	2010/112/CFSP
		01/09/2010 - 31/08/2011	1,250,000	2010/443/CFSP
		01/09/2011 - 30/06/2012	924,850	2011/425/CFSP
Patricia Flor	DE	01/07/2012 - 30/06/2013	1,120,000	2012/328/CFSP
		01/07/2013 - 30/06/2014*	1,050,000	2013/306/CFSP
Total			9,637,850	
Federal Republic of Yugoslavia				
Felipe González	ES	08/06/1998 - 31/12/1998	-	98/375/CFSP
		01/01/1999 - 31/01/1999	-	98/741/CFSP
		01/02/1999 - 31/01/2000	-	1999/75/CFSP
		01/02/1999 - 04/06/1999	-	1999/665/CFSP
Total			0	
Horn of Africa				
Alexander Rondos	EL	01/01/2012 - 30/06/2012	670,000	2011/819/CFSP
		01/07/2012 - 30/06/2013	-	2012/329/CFSP
		01/07/2012 - 31/10/2013	4,900,000	2013/365/CFSP
		01/11/2013 - 31/10/2014	2,720,000	2013/527/CFSP
Total			8,290,000	

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Human Rights				
Stavros Lambrinidis	EL	25/07/2012 - 30/06/2013	712,500	2012/440/CFSP
		01/07/2013 - 30/06/2014	837,000	2013/352/CFSP
Total			1,549,500	
Kosovo				
Wolfgang Petritsch	AT	30/03/1999 - 30/09/1999	-	1999/239/PESC
		until 29/07/1999	-	1999/524/CFSP
Pieter Feith	NL	04/02/2008 - 28/02/2009	380,000	2008/123/CFSP
		01/03/2009 - 28/02/2010	-	2009/137/CFSP
		01/03/2009 - 28/02/2010	747,000	2009/605/CFSP
		01/03/2010 - 31/08/2010	1,660,000	2010/118/CFSP
		01/09/2010 - 28/02/2011	-	2010/446/CFSP
		01/09/2010 - 30/04/2011	1,230,000	2011/119/CFSP
Fernando Gentilini	IT	01/05/2011 - 31/07/2011	-	2011/270/CFSP
		01/05/2011 - 30/09/2011	690,000	2011/478/CFSP
		01/10/2011 - 31/01/2012	770,000	2011/691/CFSP
Samuel Zbogar	SI	01/02/2012 - 30/06/2013	2,410,000	2012/39/CFSP
		01/07/2013 - 30/06/2014	1,870,000	2013/366/CFSP
Total			9,757,000	
Middle East peace process				
Miguel Angel Moratinos	ES	25/11/1996 - 25/11/1997	-	96/676/CFSP
		26/11/1997 - 25/11/1998	-	97/475/CFSP
		26/11/1998 - 31/12/1999	-	98/608/CFSP
			-	1999/664/CFSP
		01/01/2000 - 31/12/2000	2,845,000	1999/843/CFSP
		01/01/2001 - 31/12/2001	1,285,280	2000/794/CFSP
		01/01/2002 - 31/12/2002	1,100,000	2001/800/CFSP
		01/01/2003 - 30/06/2003	-	2002/965/CFSP
		01/07/2003 - 31/12/2003	-	2003/445/CFSP

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Marc Otte	BE	14/07/2003 - 31/12/2003	-	2003/537/CFSP
		01/01/2004 - 30/06/2004	793,000	2003/873/CFSP
		01/07/2004 - 28/02/2005	1,030,000	2004/534/CFSP
		01/03/2005 - 31/08/2005	560,000	2005/99/CFSP
		01/09/2005 - 28/02/2006	560,000	2005/587/CFSP
		01/03/2006 - 28/02/2007	1,200,000	2006/119/CFSP
		01/03/2007 - 29/02/2008	1,700,000	2007/110/CFSP
		01/03/2008 - 28/02/2009	1,300,000	2008/133/CFSP
		01/03/2009 - 28/02/2010	1,190,000	2009/136/CFSP
		01/03/2010 - 31/08/2010	730,000	2010/107/CFSP
		01/09/2010 - 28/02/2011	585,000	2010/447/CFSP
Andreas Reinicke	DE	01/02/2012 - 30/06/2013	1,300,000	2012/33/CFSP
		01/07/2013 - 30/06/2014	506,500	2013/350/CFSP
Total			16,684,780	
Moldova				
Adriaan Jacobovits de Szeged	NL	23/03/2005 - 31/08/2005	-	2005/265/CFSP
		01/09/2005 - 28/02/2006	-	2005/584/CFSP
		01/12/2005 - 28/02/2006	430,000	2005/776/CFSP
		01/03/2006 - 28/02/2007	1,030,000	2006/120/CFSP
Kálmán Mizsei	HU	01/03/2007 - 29/02/2008	1,100,000	2007/107/CFSP
		01/03/2008 - 28/02/2009	1,310,000	2008/106/CFSP
		01/03/2009 - 28/02/2010	1,280,000	2009/132/CFSP
		01/03/2010 - 31/08/2010	1,025,000	2010/108/CFSP
		01/03/2010 - 28/02/2011	830,000	2010/448/CFSP
Total			7,005,000	

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Palestinian Territories				
Nils Eriksson	SE	29/04/1997 - 29/04/2000	-	97/289/CFSP
		06/07/1999 - 31/05/2002	-	1999/440/CFSP
Total			0	
Sahel				
Michel Dominique Reveyrand-de Menthon	FR	18/03/2013 - 28/02/2014	1,350,000	2013/133/CFSP
Total			1,350,000	
South Caucasus/Crisis in Georgia				
Heikki Talvitie	FI	01/07/2003 - 31/12/2003	-	2003/496/CFSP
		01/01/2004 - 30/06/2004	299,000	2003/872/CFSP
		01/07/2004 - 28/02/2005	396,000	2004/532/CFSP
		01/03/2005 - 31/08/2005	370,000	2005/100/CFSP
		01/09/2005 - 28/02/2006	1,930,000	2005/582/CFSP
Peter Semneby	SE	01/03/2006 - 28/02/2007	2,960,000	2006/121/CFSP
		01/03/2007 - 29/02/2008	3,120,000	2007/111/CFSP
		01/03/2008 - 28/02/2009	2,800,000	2008/132/CFSP
			-	2008/796/CFSP
		01/03/2009 - 28/02/2010	2,510,000	2009/133/CFSP
		01/03/2010 - 31/08/2010	1,855,000	2010/109/CFSP
		01/09/2010 - 28/02/2011	1,410,000	2010/449/CFSP
Pierre Morel	FR	25/09/2008 - 28/02/2009	390,000	2008/760/CFSP
		01/03/2009 - 31/08/2009	-	2009/131/CFSP
		01/03/2009 - 28/02/2010	-	2009/571/CFSP
		01/03/2009 - 28/02/2010	517,000	2009/956/CFSP
		01/03/2010 - 31/08/2010	502,000	2010/106/CFSP
		01/09/2010 - 31/08/2011	700,000	2010/445/CFSP

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Philippe Lefort	FR	01/09/2011 - 30/06/2012	1,758,000	2011/518/CFSP
		01/07/2012 - 30/06/2013	2,000,000	2012/326/CFSP
		01/07/2013 - 31/12/2013	1,050,000	2013/353/CFSP
		01/01/2014 - 30/06/2014	1,040,000	2014/22/CFSP
Total			25,607,000	
Southern Mediterranean Region				
Bernardino León	ES	18/07/2011 - 30/06/2012	855,000	2011/424/CFSP
		01/07/2012 - 30/06/2013	945,000	2012/327/CFSP
		01/07/2013 - 30/06/2014	945,000	2013/307/CFSP
Total			2,745,000	
Stability Pact for South Eastern Europe				
Panagiotis Roumeliotis	EL	31/05/1999 - 31/05/2000	550,000	1999/361/EC
Bodo Hombach	DE	29/07/1999 - 31/12/1999	850,000	1999/523/CFSP
		01/01/2001 - 31/12/2001	2,020,000	2000/793/CFSP
Erhard Busek	AT	01/01/2002 - 31/12/2002	1,420,290	2001/915/CFSP
		01/01/2003 - 30/06/2003	840,631	2002/964/CFSP
		01/07/2003 - 31/12/2003	-	2003/449/CFSP
		01/01/2004 - 31/12/2004	-	2003/910/EC
		01/01/2005 - 31/12/2005	-	2004/928/EC
		01/01/2006 - 31/12/2006	-	2005/912/EC
		01/01/2007 - 31/12/2007	-	2006/921/EC
		01/01/2008 - 30/06/2008	-	2007/755/EC
Total			5,680,921	

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Sudan/South Sudan				
Pekka Haavisto	FI	18/07/2005 - 17/01/2006	675,000	2005/556/CFSP
		18/01/2006 - 17/07/2006	600,000	2005/805/CFSP
		18/07/2006 - 28/02/2007	1,030,000	2006/468/CFSP
		01/03/2007 - 30/04/2007	-	2007/108/CFSP
Torben Brylle	DK	01/05/2007 - 29/02/2008	1,700,000	2007/238/CFSP
			-	2007/809/CFSP
		01/03/2008 - 28/02/2009	2,000,000	2008/110/CFSP
		01/03/2009 - 28/02/2010	1,800,000	2009/134/CFSP
		01/03/2010 - 31/08/2010	1,410,000	2010/110/CFSP
Rosalind Marsden	UK	01/09/2010 - 31/08/2011	1,820,000	2010/450/CFSP
		09/07/2011 - 30/06/2012	955,000	2011/499/CFSP
		01/07/2012 - 30/06/2013	1,900,000	2012/325/CFSP
Total			13,890,000	
The former Yugoslav Republic of Macedonia				
François Léotard	FR	29/06/2001 - 29/10/2001	-	2001/492/CFSP
Alain Le Roy	FR	29/10/2001 - 28/02/2002	-	2001/760/CFSP
		01/03/2002 - 30/06/2002	-	2002/129/CFSP
		01/07/2002 - 31/12/2002	-	2002/497/CFSP
Alexis Brouhns	BE	01/11/2002 - 31/12/2002	-	2002/832/CFSP
		01/01/2003 - 30/06/2003	-	2002/963/CFSP
		01/07/2003 - 31/12/2003	-	2003/446/CFSP
		1/01/2004 - 30/06/2004	370,000	2003/870/CFSP
Søren Jessen-Petersen	DK	01/02/2004 - 30/06/2004	-	2004/86/CFSP
		01/07/2004 - 31/07/2004	-	2004/531/CFSP

Name	Nationality	Period	Financial amount of reference (in €)	Legal basis
Michael Sahlin	SE	01/08/2004 - 28/02/2005	530,000	2004/565/CFSP
		01/03/2005 - 31/08/2005	500,000	2005/98/CFSP
		01/09/2005 - 15/11/2005	195,000	2005/589/CFSP
Erwan Fouéré	IE	01/11/2005 - 28/02/2006	215,000	2005/724/CFSP
		01/03/2006 - 28/02/2007	675,000	2006/123/CFSP
		01/03/2007 - 29/02/2008	725,000	2007/109/CFSP
		01/03/2008 - 28/02/2009	645,000	2008/129/CFSP
		01/03/2009 - 30/09/2009	-	2009/129/CFSP
		01/03/2009 - 31/03/2010	568,000	2009/706/CFSP
		01/04/2010 - 31/08/2010	340,000	2010/156/CFSP
01/09/2010 - 28/02/2011	310,000	2010/444/CFSP		
Total			5,073,000	

* Planned.

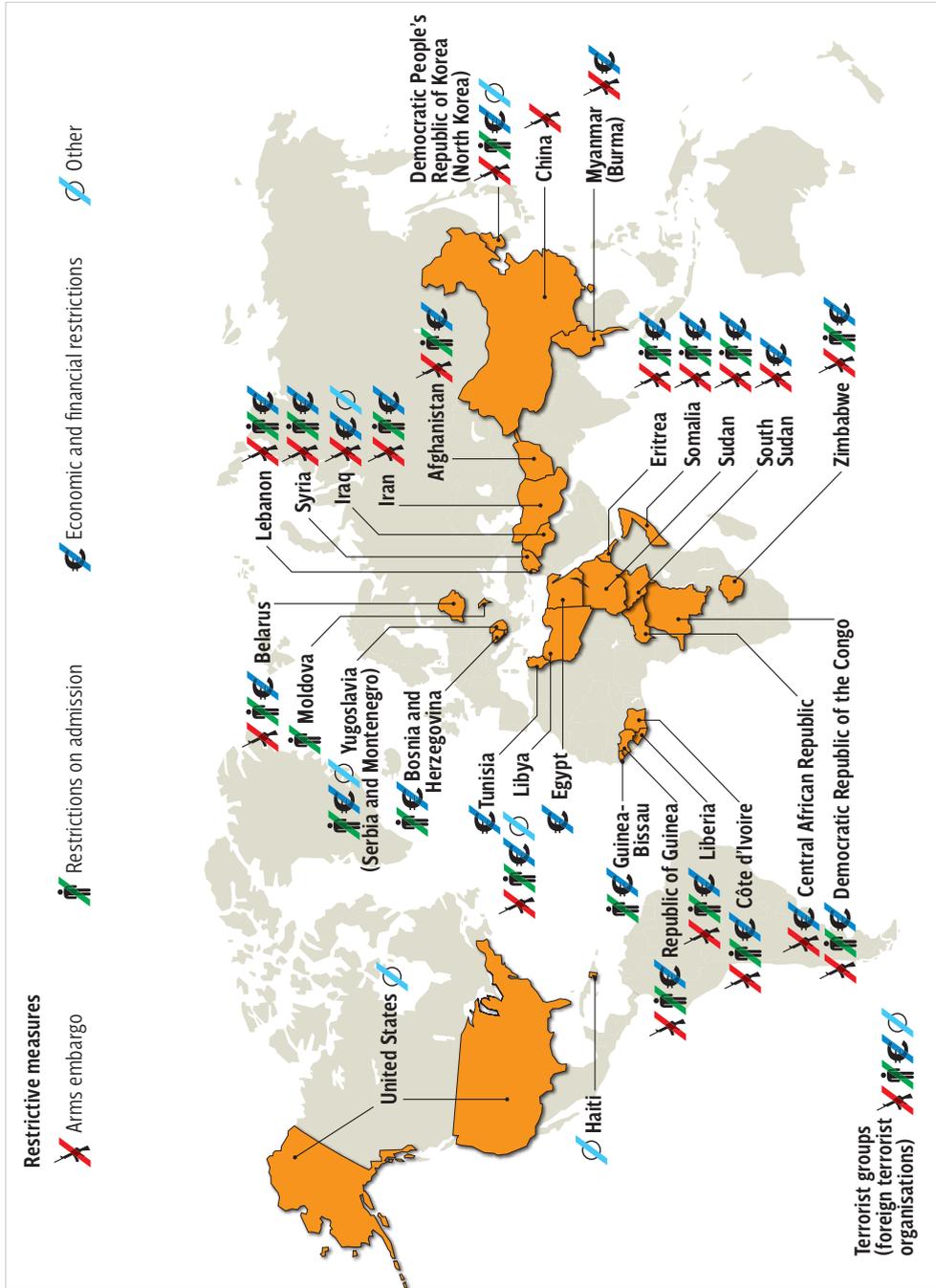
6. SANCTIONS/RESTRICTIVE MEASURES

The EU applies sanctions or restrictive measures in pursuit of the objectives of EU external action as outlined in Article 21 TEU (consolidated). These measures serve as an instrument of the CFSP and are imposed by the EU on countries, organisations and individuals.

The Union applies the following types of sanctions or restrictive measures: diplomatic sanctions; suspensions of cooperation with a third country; boycotts of sport or cultural events; trade sanctions (general or specific trade sanctions, arms embargoes); financial sanctions (freezing of funds or economic resources, prohibition on financial transactions, restrictions on export credits or investment); flight bans; and restrictions on admission.⁶⁸ Where 'targeted' restrictive measures – occasionally referred to as 'smart' sanctions – are implemented, clear criteria must be established to determine individuals and entities to be listed or de-listed.

68. European Commission, 'Sanctions or restrictive measures', Spring 2008, available online at: http://eeas.europa.eu/cfsp/sanctions/docs/index_en.pdf.

FIGURE 23: MAP OF EU SANCTIONS IN 2013





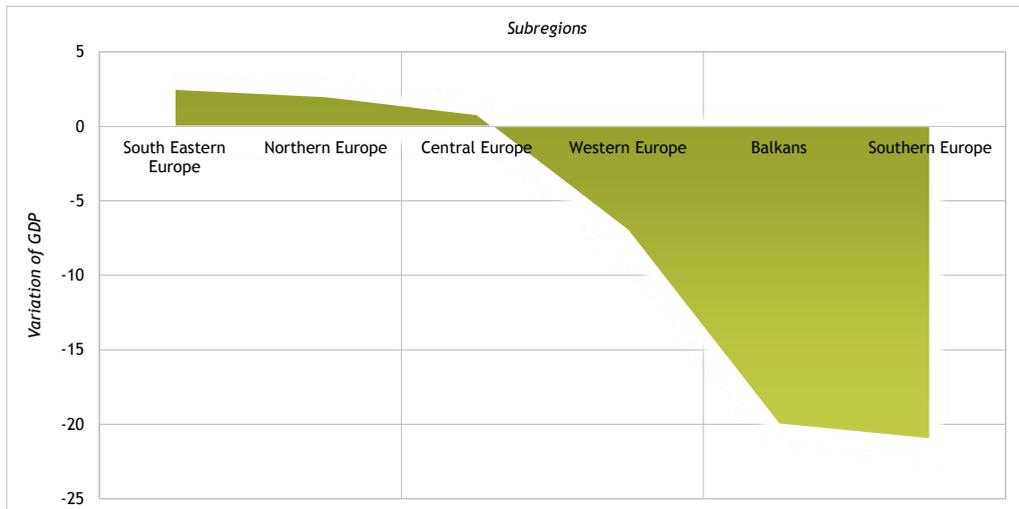
Defence spending in the EU

Olivier de France and Clodagh Quain

How has the economic and financial crisis affected defence spending in Europe? The graphs and database below paint a thorough picture of defence spending in Europe from 2008 to 2013, based on research drawn from the leading statistical sources (EDA, NATO, IISS and SIPRI).

A survey of all the main indicators sees a consistent pattern emerge. Global military expenditure rose in 2013, except in Europe and the wider 'West' where it decreased – although not as significantly as in 2012. Within Europe, the three bigger spenders (the UK, France and Germany) still do reasonably well. The countries hardest hit by the economic crisis did worst (with the exception of Greece), and some progress occurred in the south-east and the north of the continent.

FIGURE 1: COMPARATIVE SUB-REGIONAL DEFENCE SPENDING 2010-2013¹

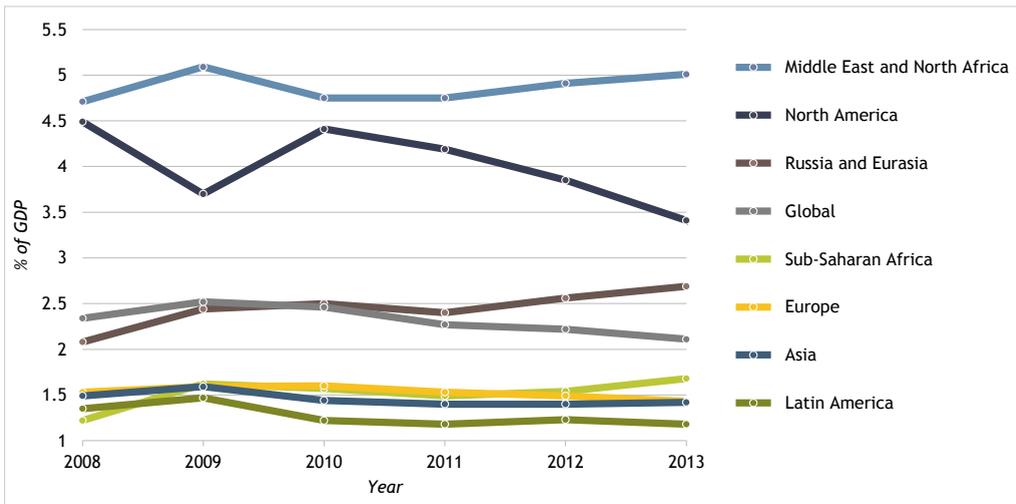


Overall, the centre of gravity for defence spending is pulling away from the West, and shifting towards the Middle East and Asia. Defence expenditure in Europe has taken a definite plunge since 2010. In 2013, for the first time, 'Asia and Australasia' together took

1. Source: IISS.

over from ‘Europe’ (with 20% vs. 18% of the total) as second biggest spenders worldwide behind the US, according to the IISS. Based on current consolidated trends, by 2015, the combined spending of all NATO countries will be, for the first time, less than that of the rest of the world; China will spend more than the UK, France and Germany combined; and the defence budgets of Russia and China combined will exceed the total defence spending of the European Union.

FIGURE 2: COMPARATIVE REGIONAL DEFENCE SPENDING SINCE THE FINANCIAL CRISIS²



MARGINS OF ERROR

It is worth noting that estimates for national country expenditure from all the main indicators are not always consistent. Some margins of error are very high, with variations of up to 110% (what with pensions, inflation, exchange rates and lack of reliable and/or accessible data for some countries). The purported \$9 billion ‘rise’ in global military spending this year, for example, pales in comparison to the margin of error for Chinese defence spending alone, which might range anywhere between \$112 billion (IISS), \$139 billion (IHS), \$166 billion (SIPRI, 2012) and \$240 billion (US DoD). As such it is good practice to take numbers with a pinch of salt and to undertake a closer examination of the methodologies involved.

European budget figures, although mostly accessible and more reliable, still feature some significant discrepancies. According to NATO, European budgets fell between 2008 and 2010. But on the authority of the IISS’s 2014 *Military Balance*, defence budgets

2. Sources: consolidated IISS, EDA, SIPRI, NATO.

rose over the period from 1.42% to 1.58% of EU national GDPs. The ratio peaked in 2010 at levels higher than post-9/11 numbers. EDA figures over the same period indicate a slow, steady decrease in military expenditure which reaches back to 2006. Meanwhile the latest NATO figures show a stabilisation – and indeed a slight increase in European budgets from 2011 to 2013.

Where do such inconsistencies come from? Firstly, when the different sources talk of ‘Europe’ they are perhaps not speaking about the same thing. Where NATO assesses ‘transatlantic’ Europe, the IISS sees a ‘geographical’ Europe (including Norway, Denmark, Turkey and Switzerland), and the EDA uses a more ‘institutional’ definition of Europe. But the indicators all have their own idiosyncrasies, so that the data might be drawn from open, closed, primary or secondary sources, and factor in (or not) military pensions and the effect of inflation and exchange rates. This creates a degree of confusion which usually does no disservice to political interests – because the data can be bent both ways.

Drawing comparisons across time for the same country using steady criteria should solve the problem, and make it possible to map the fluctuations consistently – irrespective of any inbuilt bias in the methodology. Yet there are difficulties with the indicators themselves. 2014 and 2013 IISS estimates for European defence expenditure in 2010 for instance are fairly different (1.63% vs. 1.58% of GDP) – doubtless because of the time it takes to recoup the information and consolidate the numbers.

Given this, official figures and government numbers may well appear to be the safer bet – in this case, the data collected by the European Defence Agency (EDA). Unfortunately, official national counts are also partial and flawed upon occasion. They are plagued by much the same ills as other sources: methodologies differ across countries, but also over time within the same country. To what extent, for example, should a country include industrial expenditure or policing? Social services, benefits, demobilisation or weapon destruction costs and military aid to foreign states sometimes feature, sometimes not. So the perimeters of the same budgets tend to fluctuate between and across countries.

What is considered to be ‘defence’ spending also tends to fluctuate over time *within* a given country. In France’s case, the criteria have changed over the years. Depending on what is accounted for, the percentage of GDP that defence expenditure represents might vary by up to 0.4% (more if military pensions are factored in). Such methodological snags make detailed comparisons over time and between countries tricky at best, misleading at worst.

ALTERNATIVE APPROACHES

In view of this, the European Commission might helpfully consider laying out a set of common guidelines for calculating defence spending, at least in Europe. An in-depth study of differences in the methodologies currently in use might also be helpful. Failing this, we will keep comparing apples and oranges.

But even if such methodological kinks were ironed out, assessing bulk national defence budgets would still only make for a very partial reading of defence planning across Europe. This is because there is no established correlation between ‘input’ and ‘output’ – i.e. between military spending on the one hand, and how much military power a country effectively wields on the other.

A study included in the IISS 2014 *Military Balance* makes the case most convincingly. It shows that ‘the higher the defence budget, the lower the proportion of defence spending allocated to personnel costs’ – which are still exceedingly high across Europe (accounting for 60% of total defence expenditure on average). So it should not be concluded that the more a country spends, the better it performs. In fact, raw increase, stagnation or decrease in absolute terms have surprisingly little to do with the capabilities a member state can effectively deploy at any given time. Increase and decrease can be equally poorly managed. A decrease in spending might increase a country’s ability to project military force in the same way as an increase in spending might hamper it.

OPEN QUESTIONS

In this regard, *how* countries spend on defence is every bit as important as *how much* they spend – although it is considerably more difficult to assess. Many other indicators might be better suited than raw defence expenditure to gauge a member state’s performance.

Assessing whether countries are able to effectively use the capabilities they have acquired is one such yardstick. Another is the capabilities that states can choose to acquire, retain or forgo, in view of the consequences these decisions would have for their national militaries as a whole.

What, for example, is the cost for a country of preserving the full panoply of military tools required to guarantee its national sovereignty? It is one thing however to possess an expensive capability, it is another for it to be able to serve its purpose. Which high-end capability does a country retain without turning it into a Potemkin piece of equipment? Conversely, which capability does a country do away with, and how? The answers will depend on how long Europe’s military establishment (and industry) can

withstand the conjunction of a downward budgetary trend and the sub-optimal way in which these diminishing resources are spent.

Finally, it might be helpful to have a closer look at exactly how top-down strategic decisions affect military budgets – and, conversely, to what extent a budgetary decision actually relates back to a strategic one. Is it possible, in the first instance, to draw up some sound methodological tools to do so? If so, is defence spending better managed in the absence of long-term strategy? Or does defence planning require long-term strategy to be viable? More broadly, is it possible to single out the ‘spoils of strategy’ – i.e. whether high-level national strategy has a positive (or indeed adverse) effect on its operational capability and its overall capacity to project power?

EUISS DEFENCE SPENDING DATABASE

Indicators³

- **EDA:** Data in euro (current), excluding pensions.⁴
- **IISS:** Data in euro (current), converted from US\$ (EUISS conversion), excluding pensions.⁵
- **NATO:** Data in euro (current), including military pensions. Data for non-eurozone members converted from local currencies (EUISS conversion). 2013 figures are estimates.⁶
- **SIPRI:** Military expenditure in euro (constant) from 2008-2011 and current euro for 2012. Data converted from US\$ (EUISS conversion), including pensions.⁷

3. IISS and NATO figures were converted using current exchange rates from US dollar to euro. SIPRI constant figures from 2008-2011 were calculated using 2011 exchange rates as the base year. 2012 current SIPRI data provided was converted to euro using the current exchange rate. Historical and current exchange rates provided by OzForex, Oanda and InforEuro.

4. Information from the European Defence Agency's Defence Data Portal, and may be found at <http://www.eda.europa.eu/info-hub/defence-data-portal/methodology>.

5. Information from the International Institute for Strategic Studies (IISS) *Military Balance*, and may be found at <http://www.iiss.org/en/militarybalanceblog/blogsections/2014-3bea/february-f007/defence-spending-a132>.

6. Information from NATO, and may be found at http://www.nato.int/nato_static/assets/pdf/pdf_topics/20140224_140224-PR2014-028-Defence-exp.pdf.

7. Information from the Stockholm International Peace Research Institute (SIPRI), and may be found at http://www.sipri.org/research/armaments/milex/milex_database/copy_of_sources_methods.

EU MILITARY EXPENDITURE 2008

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Austria	2,558	0.91	2,183	0.77	(a)	(a)	2,368	0.9
Belgium	4,252	1.23	3,792	1.10	4,298	1.2 (c)	3,971	1.2
Bulgaria	797	2.34	898	2.54	794 (b,f)	2.2	676	2.0
Croatia	(a)	(a)	745	1.56	(a)	(a)	822	1.9
Cyprus	301	1.78	367	2.11	(a)	(a)	288	1.8
Czech Republic	2,134	1.44	2,162	1.46	2,114 (b)	1.4	1,826	1.4
Denmark	(a)	(a)	3,052	1.31	3,274 (b)	1.4	3,073	1.4
Estonia	294	1.85	307	1.90	294 (b)	1.8	322	2.1
Finland	2,463	1.32	2,481	1.33	(a)	(a)	2,260	1.3
France	45,362	2.32	45,938	2.36	45,366 (c)	2.3 (c)	41,431	2.3
Germany	31,735	1.27	32,066	1.29	32,824	1.3	30,128	1.3
Greece	6,192	2.55	6,927	2.91	6,896 (d)	3.0 (d)	6,920	3.0
Hungary	1,286	1.22	1,277	1.20	1,303 (b,d)	1.2 (d)	1,154	1.2
Ireland	1,077	0.58	1,085	0.60	(a)	(a)	925	0.6
Italy	22,631	1.44	21,130	1.34	22,631	1.4	26,060 (h)	1.8 (h)
Latvia	370	1.60	370	1.61	369 (b)	1.6	369	1.7
Lithuania	363	1.12	211	1.16	360 (b)	1.1	436 (h)	1.4 (h)
Luxembourg	158	0.43	158	0.40	146 (d)	0.4 (f)	(g)	(a)

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Malta	28	0.50	33	0.60	(a)	(a)	36	0.7
Netherlands	8,488	1.43	8,385	1.40	8,488	1.4	7,833	1.4
Poland	5,974	1.66	6,951	1.92	4,849 (b,d)	1.5	5,361 (h)	1.7 (h)
Portugal	2,536	1.53	2,547	1.47	2,356	1.5 (d)	2,988	1.9
Romania	2,055	1.24	2,053	1.47	2,019	1.5	1,820	1.5
Slovakia	994	1.53	1,009	1.56	921 (b)	1.5	923	1.5
Slovenia	567	1.48	570	1.52	566	1.5	526	1.5
Spain	12,756	1.16	13,158	1.20	12,756	1.2	11,716	1.2
Sweden	4,026	1.23	4,549	1.37	(a)	(a)	3,788	1.2
United Kingdom	42,005	2.32	41,527	2.27	46,760 (b)	2.6	39,766	2.5
Aggregate	201,402	1.44	205,931	1.49	199,384	1.57	197,786	1.56

EU MILITARY EXPENDITURE 2009

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Austria	2,401	0.87	2,013	0.73	(a)	(a)	2,420	0.9
Belgium	4,048	1.20	4,044	1.26	4,048 (c)	1.2	3,940	1.2
Bulgaria	659	1.95	651	1.92	651 (b,f)	1.9 (f)	676	2.0
Croatia	(a)	(a)	729	1.60	716 (b)	1.6 (c)	789	1.8
Cyprus	339	2.00	340	2.00	(a)	(a)	331	2.0
Czech Republic	2,262	1.65	2,248	1.63	2,259 (b)	1.6	1,979	1.4
Denmark	(a)	(a)	3,118	1.39	3,123 (b)	1.4	3,042	1.4
Estonia	256	1.86	256	1.84	254 (b)	1.8	308	2.3
Finland	2,686	1.57	2,794	1.63	(a)	(a)	2,498	1.5
France	39,190	2.04	39,148	2.05	39,190 (e)	2.1 (c,e)	46,556	2.5
Germany	36,108	1.50	34,130	1.42	34,171	1.4	32,910	1.4
Greece	6,023	2.54	7,256	3.04	7,311	3.2 (d)	7,589	3.2
Hungary	1,068	1.15	1,061	1.14	1,074 (b)	1.2 (d)	1,083	1.1
Ireland	988	0.60	1,009	0.63	(a)	(a)	961	0.6
Italy	21,946	1.44	21,922	1.44	21,946 (e)	1.4	26,667	1.8 (h)
Latvia	227	1.21	227	1.22	223 (b)	1.2	247	1.4
Lithuania	289	1.08	289	1.08	285 (b)	1.1	350	1.4
Luxembourg	179	0.47	179	0.47	145 (d,e)	0.4 (d)	(g)	(a)

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Malta	43	0.74	42	0.74	(a)	(a)	41	0.7
Netherlands	8,733	1.53	8,723	1.52	8,733	1.5	8,423	1.5
Poland	5,428	1.75	5,247	1.68	5,404 (b)	1.7	6,050 (h)	1.8 (h)
Portugal	2,671	1.63	2,668	1.59	2,692 (d)	1.6 (d)	3,344	2.1
Romania	1,609	1.39	1,600	1.38	1,592 (b)	1.4	1,629	1.4
Slovakia	967	1.53	971	1.53	972	1.5	930	1.5
Slovenia	571	1.63	570	1.63	575 (e)	1.6	558	1.6
Spain	12,196	1.16	12,183	1.15	12 196	1.2	1,189	1.2
Sweden	3,510	1.22	3,806	1.30	(a)	(a)	3,910	1.3
United Kingdom	39,596	2.53	42,517	2.71	45,747 (b)	2.6	42,675	2.7
Aggregate	193,993	1.47	199,741	1.63	193 307	1.57	201,095	1.6

EU MILITARY EXPENDITURE 2010

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Austria	2,430	0.86	2,028	0.71	(a)	(a)	2,651	0.9
Belgium	3,951	1.12	3,960	1.12	3,960 (c)	1.1	3,950	1.1
Bulgaria	629	1.74	628	1.75	629 (b,e)	1.7 (b,f)	675	1.9
Croatia	(a)	(a)	692	1.51	694 (b)	1.6	767	1.7
Cyprus	361	2.06	376	2.15	(a)	(a)	361	2.1
Czech Republic	2,016	1.39	2,006	1.39	2,210 (b)	1.3	1,886	1.3
Denmark	(a)	(a)	3,401	1.45	3,401 (b)	1.4	3,400	1.5
Estonia	249	1.72	249	1.72	251 (b)	1.7	249	1.7
Finland	2,707	1.50	2,709	1.50	(a)	(a)	2,567	1.4
France	39,237	2.01	39,238	2.03	39,241	2.0 (c)	44,614	2.3
Germany	33,492	1.34	34,631	1.40	34,925	1.4	34,027	1.4
Greece	4,756	2.07	5,974	2.60	5,966	2.7 (d)	5,365 (h)	2.3 (h)
Hungary	1,022	1.04	1,018	1.04	1,021 (b)	1.1 (d)	1,020	1.0
Ireland	911	0.59	747	0.48	(a)	(a)	962	0.6
Italy	21,637	1.40	21,638	1.40	21,637	1.4	26,823 (h)	1.7 (h)
Latvia	194	1.08	204	1.14	187 (b)	1.0	196	1.1
Lithuania	246	0.90	252	0.92	244 (b)	0.9	310	1.1
Luxembourg	201	0.48	201	0.48	187 (d)	0.5 (d)	(g)	(a)

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Malta	44	0.71	45	0.71	(a)	(a)	44	0.7
Netherlands	8,472	1.43	8,472	1.44	8,472	1.4	8,513	1.4
Poland	6,392	1.81	6,404	1.81	6,414 (b)	1.8	6,629 (h)	1.9 (h)
Portugal	2,782	1.61	2,762	1.61	2,673 (d)	1.5 (d)	3,639	2.1
Romania	1,575	1.29	1,569	1.29	1,622 (b)	1.3	1,575	1.3
Slovakia	853	1.29	859	1.30	859	1.3	812	1.3
Slovenia	583	1.62	583	1.62	583	1.6	583	1.6
Spain	11,132	1.05	11,133	1.05	11,132	1.1	11,130	1.0
Sweden	4,265	1.23	4,231	1.22	(a)	(a)	4,444	1.3
United Kingdom	43,403	2.56	45,528	2.68	45,526 (b)	2.6	43,859	2.6
Aggregate	193,540	1.38	201,558	1.41	191,834	1.47	211,051	1.43

EU MILITARY EXPENDITURE 2011

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Austria	2,453	0.82	2,468	0.82	(a)	(a)	2,452	0.8
Belgium	3,986	1.08	3,987	1.08	3,956 (c)	1.1	3,985	1.1
Bulgaria	545	1.42	518	1.34	545 (b,f)	1.4 (b,f)	596	1.5
Croatia	(a)	(a)	558	1.24	719 (b)	1.6	784 (h)	1.7
Cyprus	345	1.92	367	2.07	(a)	(a)	385	2.2
Czech Republic	1,820	1.17	1,806	1.17	1,755 (b)	1.1	1,782	1.2
Denmark	(a)	(a)	3,248	1.36	3,256 (b)	1.4	3,248	1.4
Estonia	280	1.75	280	1.75	280	1.7 (f)	269 (h)	1.7
Finland	2,654	1.40	2,860	1.51	(a)	(a)	2,696	1.4
France	38,445	1.93	38,439	1.92	38,443	1.9 (c)	45,100	2.3
Germany	33,781	1.30	33,082	1.28	34,630	1.3	34,622	1.3
Greece	5,477	2.63	6,124	2.85	4,934	2.4 (d)	4,823	2.2
Hungary	1,000	10.0	956	0.95	1,063 (b)	1.1 (d)	991	1.0
Ireland	881	0.55	949	0.60	(a)	(a)	935	0.6
Italy	21,741	1.38	21,746	1.38	21,741	1.4	27,079 (h)	1.7
Latvia	210	1.04	213	1.05	205 (b)	1.0	213	1.0
Lithuania	252	0.82	252	0.82	247 (b)	0.8	320	1.0
Luxembourg	201	0.47	201	0.47	167 (d)	0.4 (d)	261	0.6

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Malta	40	0.62	40	0.63	(a)	(a)	40	0.6
Netherlands	8,156	1.35	8,381	1.39	8,156	1.4	8,154	1.4
Poland	6,557	1.77	6,633	1.79	6,569 (b)	1.8	6,792 (h)	1.8
Portugal	2,669	1.56	2,069	1.21	2,627 (d)	1.5 (d)	3,498	2.0
Romania	1,713	1.26	1,664	1.22	1,765 (b)	1.3	1,711	1.3
Slovakia	763	1.10	763	1.10	766	1.1	763	1.1
Slovenia	478	1.32	478	1.32	479	1.3	478	1.3
Spain	10,059	0.95	10,900	1.02	10,059	1.0	10,057	0.9
Sweden	4,331	1.12	4,428	1.13	(a)	(a)	4,546	1.2
United Kingdom	43,696	2.50	43,114	2.47	45,186 (b)	2.6	43,334	2.5
Aggregate	192,533	1.31	196,524	1.31	187,548	1.39	209,914	1.38

EU MILITARY EXPENDITURE 2012

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Austria	2,481	0.80	2,515	0.83	(a)	(a)	2,452	0.8
Belgium	4,094	1.09	4,099	1.10	4,023 (c)	1.1	3,847	1.1
Bulgaria	562	1.42	563	1.42	562 (b,f)	1.4 (b,f)	562	1.5
Croatia	(a)	(a)	644	1.44	672 (b)	1.5	730 (h)	1.7
Cyprus	323	1.81	350	2.01	(a)	(a)	359 (h)	2.1
Czech Republic	1,651	1.08	1,650	1.10	1,702 (b)	1.1	1,710	1.1
Denmark	(a)	(a)	3,442	1.43	3,441 (b)	1.4	3,363	1.4
Estonia	340	2.00	340	2.04	340	2.0	315 (h)	1.9
Finland	2,857	1.47	2,803	1.46	(a)	(a)	2,772	1.5
France	39,105	1.93	39,135	1.95	39,105	1.9 (c)	44,986	2.3
Germany	32,490	1.23	31,905	1.22	36,168	1.4	34,948 (h)	1.4
Greece	3,272	1.69	3,836	1.93	4,384	2.3 (d)	5,012	2.5
Hungary	1,029	1.05	1,030	1.03	1,030 (b)	1.1 (d)	791	0.8
Ireland	900	0.55	894	0.56	(a)	(a)	888	0.6
Italy	20,600	1.32	20,622	1.34	20,600	1.3	25,676 (h)	1.7
Latvia	201	0.90	199	0.94	194 (b)	0.9	201	0.9
Lithuania	256	0.78	256	0.80	256 (b)	0.8	309 (h)	1.0
Luxembourg	167	0.38	208	0.48	167 (d)	0.4 (d)	258 (h)	0.6

	EDA		IISS		NATO		SIPRI	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Malta	39	0.58	39	0.59	(a)	(a)	40	0.6
Netherlands	8,067	1.34	8,076	1.35	8,067	1.3	7,472	1.3
Poland	6,754	1.77	6,649	1.82	6,786 (b)	1.8	7,125 (h)	1.9
Portugal	2,366	1.43	2,055	1.25	2,366 (d)	1.4 (d)	2,861 (h)	1.8
Romania	1,636	1.24	1,781	1.29	1,662 (b)	1.2	1,730	1.2
Slovakia	790	1.11	791	1.11	794	1.1	771	1.1
Slovenia	422	1.19	396	1.12	422	1.2	404	1.2
Spain	10,828	1.03	10,839	1.04	10,828	1.1	8,759 (h)	0.8
Sweden	4,632	1.13	4,686	0.74	(a)	(a)	4,618	1.2
United Kingdom	43,696	2.30	47,689	2.52	45,092 (b)	2.3	42,983	2.5
Aggregate	189,558	1.25	197,492	1.28	188,661	1.36	205,942	1.38

EU MILITARY EXPENDITURE 2013

	IISS		NATO	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Austria	2,340	0.76	(a)	(a)
Belgium	3,833	1.04	3,964 (c)	1.0
Bulgaria	454	1.38	565 (b,f)	1.4 (b)
Croatia	589	1.35	636 (b)	1.5
Cyprus	333	2.11	(a)	(a)
Czech Republic	1,578	1.07	1,618 (b)	1.1
Denmark	3,265	1.37	3,429 (b)	1.4
Estonia	348	1.99	361	2.0
Finland	2,762	1.44	(a)	(a)
France	37,913	1.91	39,402	1.9 (c)
Germany	32,010	1.23	36,739	1.3
Greece	4,114	2.33	4,275	2.3 (d)
Hungary	797	0.83	912 (b)	0.9 (d)
Ireland	867	0.54	(a)	(a)
Italy	18,271	1.22	18,983 (d)	1.2 (h)
Latvia	217	0.96	219 (b)	0.9
Lithuania	257	0.77	267 (b)	0.8
Luxembourg	180	0.41	187 (d)	0.4 (d)

	IISS		NATO	
	Defence expenditure (in million €)	% of GDP	Defence expenditure (in million €)	% of GDP
Malta	43	0.64	(a)	(a)
Netherlands	7,499	1.28	7,777	1.3
Poland	7,121	1.91	6,849 (b)	1.8
Portugal	2,009	1.27	2,501 (d)	1.5 (d)
Romania	1,793	1.32	1,960 (b)	1.4
Slovakia	721	1.01	752	1.0
Slovenia	343	1.02	391	1.1
Spain	8,399	0.84	9,612	0.9
Sweden	4,806	1.15	(a)	(a)
United Kingdom	41,322	2.35	45,486 (b)	2.4
Aggregate	184,184	1.26	186,885	1.34

Legend

- (a) Not applicable
- (b) Data converted from local currencies to euros for all current figures.
- (c) Data includes non-deployable elements of forces not earmarked for NATO command. From 2009, data does not include the Gendarmerie.
- (d) Data does not include non-deployable elements of forces not earmarked for NATO command.
- (e) Break in continuity of series
- (f) Data does not include military pensions
- (g) Not available
- (h) SIPRI estimate



Defence R&D in Europe

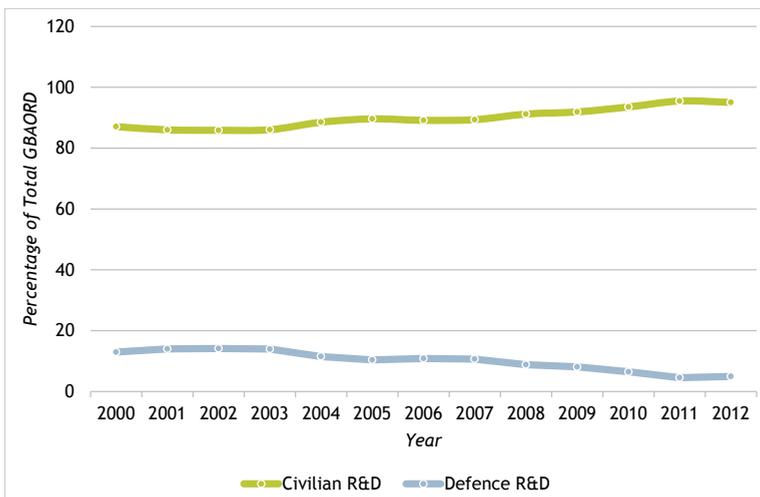
Daniel Fiott

Research and Technology (R&T) and Research and Development (R&D) are critical elements in the production of defence capabilities: without scientific and engineering ingenuity, technological advances in the defence sphere cannot be made. R&T is the critical beginning phase in the development of defence capabilities. It is in the R&T phase that initial scientific modelling and applied science occurs, after which point the production phase moves into R&D, a phase where technologies are brought up to the testing and demonstrator levels and eventually transformed into finished products. R&T and R&D are not only critical for adapting traditional naval, air and land platforms for continuously evolving defence requirements, they also play an important role in developing new defence industrial capabilities related to Chemical, Biological, Radiological and Nuclear defence (CBRN), cyber, unmanned systems and nanotechnologies. Furthermore, spending on defence R&T and R&D is important in order to retain highly skilled employees such as engineers and scientists, and not to lose them to the civilian sector or to competitors in third countries.

The role of governments in defence R&T and R&D is crucial. Indeed, defence firms tend not to have the capital resources or the appetite for the level of risk involved in defence R&T and R&D projects. The costs and risks associated with R&T and R&D derive from the fact that, unlike civilian markets, there are limited numbers of customers that can buy finished defence products. A lower number of end-users drives up R&T, R&D and per unit costs associated with each defence product. This is the reason why governments become critical in the investment phase, as not only are they typically the only end-users of defence products but they have a key role in defining the overall direction of R&T and R&D programmes based on defence requirements. Ministries of Defence are intimately associated with the R&T and R&D phases both as customers and investors. Defence budgets are used to help initiate R&T programmes and to deal with unforeseen costs that arise over the whole capability development cycle. Therefore, governments rather than firms take on much of the risk of defence R&T and R&D. The cost to the firm is usually that procurement contracts will involve profit caps and specific end-user requirements, although R&T may lead to the accrual of intellectual property rights and the ability to sell spin-off technologies in civilian markets.

This is not to diminish the importance of defence firms in R&T and R&D processes. While governments put up much of the investment and take on risk, defence firms have the scientific and industrial infrastructure to develop defence capabilities. R&T and R&D therefore involve a two-way process with, on the one hand, governments transmitting particular defence requirements to firms, but, on the other hand, firms setting the technological and scientific parameters in which a specific defence capability can be developed. Such is the close relationship between governments and firms that in some cases defence firms may be able to anticipate the types of defence capabilities needed by governments. Major firms play a critical role in R&T and R&D processes, and SMEs – which tend to specialise in specific niche areas of production – are sources of innovation. Dedicated research institutes and universities play a vital role in the R&T phase too.

FIGURE 1: CIVILIAN AND DEFENCE R&D BUDGET ALLOCATIONS AS A PERCENTAGE OF TOTAL GOVERNMENT BUDGET APPROPRIATIONS OR OUTLAYS FOR RESEARCH AND DEVELOPMENT (GBAORD) (2000-2012)¹



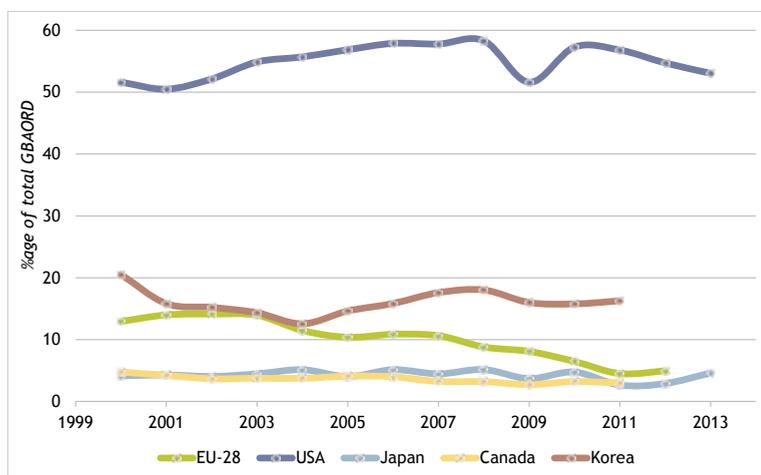
R&T and R&D cost significant amounts of capital investment, but there is increasing pressure on defence budgets in Europe at present. Governments are making the difficult choice of whether to invest in defence or to allocate more resources to civilian R&T and R&D. As Figure 1 shows, the tendency across the EU-28 since 2000 has been to allocate available R&D budgets to the civilian sector rather than defence. Indeed, the almost perfect correlation between civil-defence allocations can be noted; what is allocated to civilian R&D is deducted from defence R&D. The emphasis on civilian R&D might be reflective of the notion that the civilian sector is more internationally competitive than the defence sector. However, it is unclear how much civilian R&D spins into the defence

1. Source: OECD statistics.

sector and vice-versa. In the United States defence R&D has traditionally provided *spin-off* technologies for the civilian sector (e.g. GPS or the Internet), whereas in the EU there is a greater reliance on *spin-in* technologies that emerge from civilian R&D programmes with defence applications (e.g. aeronautics). While it is true that European defence markets are increasingly characterised by dual-use products, the lack of empirical data on the level of R&D cross-fertilisation (or lack thereof) between the defence and civilian sectors poses certain challenges for defence capability planning purposes.

As one can see from Figure 2 below, there has been a steady decline in the levels of government allocations to defence R&D as a percentage of overall outlays on R&D (GBAORD) by the EU-28 over the 2000-2013 period.² This began with a notable downward trend in 2003. It should be noted that the EU-28 increased allocations between the 2011-2012 period (from 4.52% to 4.97%), but this would not see allocation levels return to their high peak in 2000 (at 12.95%). Therefore, over a twelve-year period the EU-28 has experienced a 7.98% decrease in total defence R&D budget allocations as a total of overall government R&D budget allocations. In contrast, the United States has the highest levels of total budget allocations, although it experienced a dip in 2009 and a downward trend since 2010. Canada has maintained stable levels of defence R&D budget allocations, albeit at a lower level than the EU-28, the United States, the Republic of Korea and Japan in certain years.

FIGURE 2: SELECTED GLOBAL DEFENCE R&D BUDGET ALLOCATIONS AS A PERCENTAGE OF TOTAL GBAORD (2000-2013)³

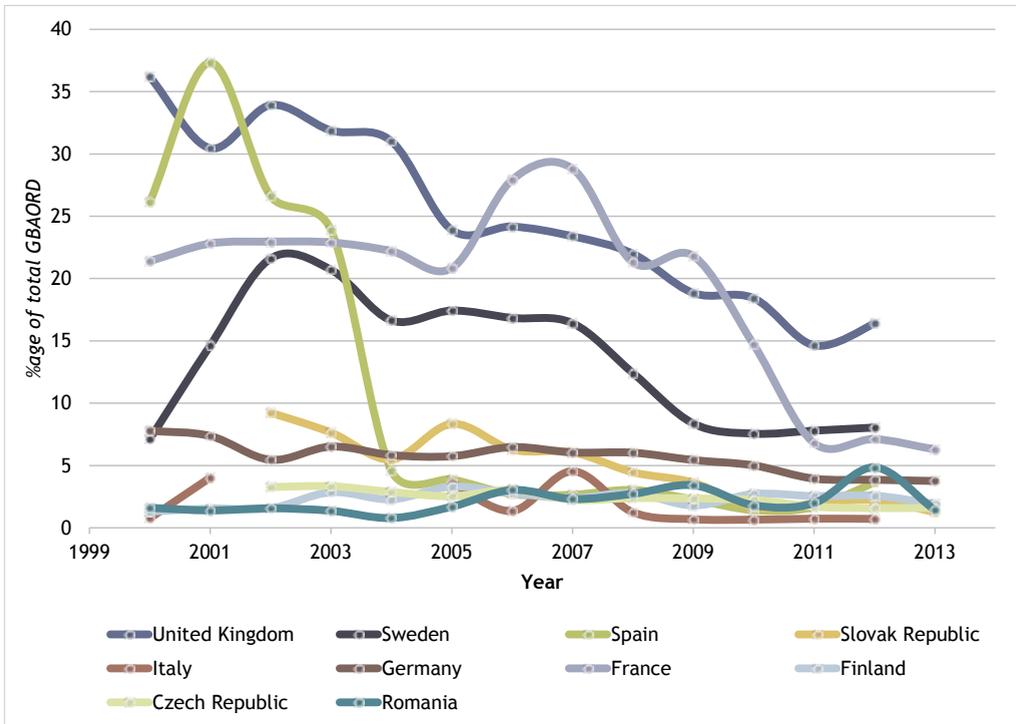


2. The EU-28 figures run from 2000 to 2012; and Canada and the Republic of Korea from 2000 to 2011. Note that figures for the United States, Japan and Canada relate to central and federal government spending only. Figures for Japan are undervalued.

3. Source: OECD statistics.

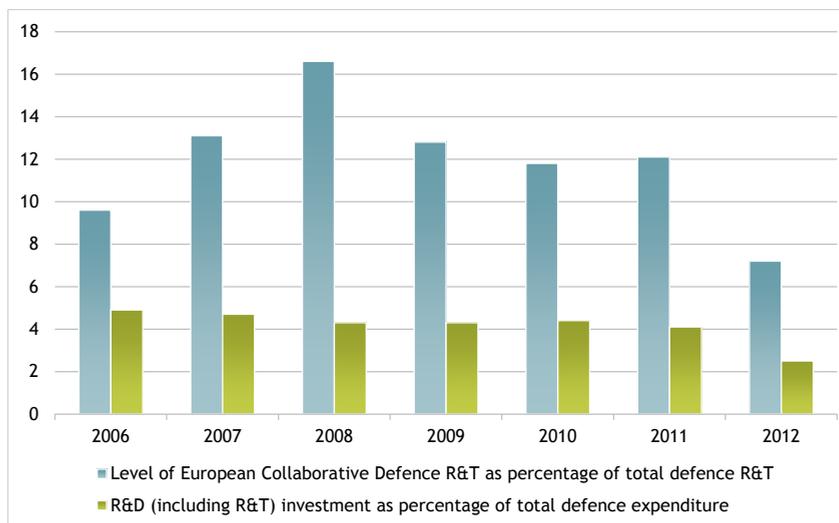
The EU-28's downtrend is reflected in some of the individual figures of European countries. As Figure 3 highlights, Spain has witnessed the most severe downward trend in defence R&D budget allocations – from 26.2% in 2000 to 3.7% in 2012 (a decrease of 22.5% over a twelve-year period). France and the United Kingdom have also witnessed sizeable decreases in allocations. France witnessed a 15.1% decrease from 2000 to 2013, and the UK experienced a sharper decrease of 19.8% over the 2000 to 2012 period. After a progressive increase in allocations from 2000 to 2002 (a 7.51% increase in the space of two years), Sweden's allocations have reduced to levels close to that experienced in 2000 (7.1% in 2000, 8.1% in 2012). Although at a traditionally lower level of allocations than France, Sweden and the UK, Germany has also experienced a downward trend in its allocations over the 2000-2013 period.

FIGURE 3: SELECTED EUROPEAN DEFENCE R&D BUDGET ALLOCATIONS AS A PERCENTAGE OF TOTAL GBAORD (2000-2013)⁴



4. Source: OECD statistics.

FIGURE 4: TOTAL EUROPEAN R&D INVESTMENT AND EUROPEAN COLLABORATIVE DEFENCE R&T (2000-2012)⁵



While it is true that EU member states are cooperating through mechanisms such as the EU Framework Programmes and the European Defence Agency (EDA), collaborative R&T and R&D programmes at the European level – which could potentially plug spending gaps and reduce costs – have also experienced spending decreases. Figure 4 illustrates the overall level of European collaborative defence R&T, and the overall level of investment in R&D (including R&T) as a percentage of total defence expenditure among the 27 participating member states of the EDA. Investment levels in R&D have remained stable over the 2006 to 2011 period, but there was a drastic decrease in investments with levels falling from 4.1% in 2011 to 2.5% in 2012. The total level of European collaborative defence R&T has been in decline since 2008, and from a high in 2008 of 16.6% the level fell to 7.2% in 2012 (a decrease of 9.4%).

5. Source: European Defence Agency.



EU member states' voting at the UN Security Council

Apart from France and the United Kingdom, the two EU member states with a permanent seat on the UN Security Council, Luxembourg held non-permanent membership to the Council in 2013. All three EU members on the Council voted consistently throughout the year.

Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
21 January 2013 <i>S/RES/2086 (2013)</i> on highlighting the role of multidimensional peace-keeping missions	Y	Y	Y	15	0	0	Y	N
22 January 2013 <i>S/RES/2087 (2013)</i> on condemning the missile launch of 12 Dec. 2012 by the Democratic People's Republic of Korea	Y	Y	Y	15	0	0	Y	N
24 January 2013 <i>S/RES/2088 (2013)</i> on extension of the mandate of the UN Integrated Peacebuilding Office in the Central African Republic (BINUCA) until 31 Jan. 2014	Y	Y	Y	15	0	0	Y	N
24 January 2013 <i>S/RES/2089 (2013)</i> on extension of the mandate of the UN Peacekeeping Force in Cyprus (UNFICYP) until 31 July 2013	Y	Y	Y	14	0	1 (AZ)	Y	N
13 February 2013 <i>S/RES/2090 (2013)</i> on extension of the mandate of the UN Office in Burundi (BNUB) until 15 Feb. 2014	Y	Y	Y	15	0	0	Y	N

Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
14 February 2013 <i>S/RES/2091 (2013)</i> on extension of the mandate of the UN Panel of Experts Established pursuant to Security Council Resolution 1591 (2005) until 17 Feb. 2014	Y	Y	Y	15	0	0	Y	N
22 February 2013 <i>S/RES/2092 (2013)</i> on extension of the mandate of UN Integrated Peacebuilding Office in Guinea-Bissau (UNIOGBIS) until 31 May 2013	Y	Y	Y	15	0	0	Y	N
06 March 2013 <i>S/RES/2093 (2013)</i> on authorization to the Member States of the African Union to maintain the deployment of the African Union Mission in Somalia (AMISOM) until 28 Feb. 2014	Y	Y	Y	15	0	0	Y	N
07 March 2013 <i>S/RES/2094 (2013)</i> on strengthening sanctions against the Democratic People's Republic of Korea and condemning the missile launch of 12 Feb. 2013	Y	Y	Y	15	0	0	Y	N
14 March 2013 <i>S/RES/2095 (2013)</i> on extension of the mandate of the UN Support Mission in Libya (UNSMIL) for a period of 12 months	Y	Y	Y	15	0	0	Y	N

Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
19 March 2013 <i>S/RES/2096 (2013)</i> on extension of the mandate of the UN Assistance Mission in Afghanistan (UNAMA) until 19 Mar. 2014	Y	Y	Y	15	0	0	Y	N
26 March 2013 <i>S/RES/2097 (2013)</i> on extension of the mandate of the UN Integrated Peacebuilding Office in Sierra Leone (UNIPSIL) until 31 Mar. 2014]	Y	Y	Y	15	0	0	Y	N
28 March 2013 <i>S/RES/2098 (2013)</i> on extension of the mandate of the UN Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) until 31 Mar. 2014	Y	Y	Y	15	0	0	Y	N
25 April 2013 <i>S/RES/2099 (2013)</i> on extension of the mandate of the UN Mission for the Referendum in Western Sahara (MINURSO) until 30 Apr. 2014	Y	Y	Y	15	0	0	Y	N
25 April 2013 <i>S/RES/2100 (2013)</i> on establishment of the UN Multidimensional Integrated Stabilization Mission in Mali (MINUSMA)	Y	Y	Y	15	0	0	Y	N

Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
25 April 2013 <i>S/RES/2101 (2013)</i> on measures on arms and related materiel, the renewal of measures imposed by paras. 9 to 12 of Security Council resolution 1572 (2004), para. 12 of resolution 1975 (2011), and para. 6 of resolution 1643 (2005) against Côte d'Ivoire and on extension of the mandate of the UN Group of Experts until 30 Apr. 2014	Y	Y	Y	15	0	0	Y	N
02 May 2013 <i>S/RES/2102 (2013)</i> on establishment of the UN Assistance Mission in Somalia (UNSOM)	Y	Y	Y	15	0	0	Y	N
22 May 2013 <i>S/RES/2103 (2013)</i> on extension of the mandate of UN Integrated Peacebuilding Office in Guinea-Bissau (UNIOGBIS) until 31 May 2014	Y	Y	Y	15	0	0	Y	N
29 May 2013 <i>S/RES/2104 (2013)</i> on extension of the mandate of UN Interim Security Force for Abyei (UNISFA) until 30 Nov. 2013	Y	Y	Y	15	0	0	Y	N

Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
05 June 2013 <i>S/RES/2105 (2013)</i> on extension of the mandate of the Panel of Experts Established pursuant to Resolution 1929 (2010) concerning the Islamic Republic of Iran until 9 July 2014	Y	Y	Y	15	0	0	Y	N
24 June 2013 <i>S/RES/2106 (2013)</i> on sexual violence in armed conflict	Y	Y	Y	15	0	0	Y	N
27 June 2013 <i>S/RES/2107 (2013)</i> on the situation between Iraq and Kuwait	Y	Y	Y	15	0	0	Y	N
27 June 2013 <i>S/RES/2108 (2013)</i> on renewal of the mandate of the UN Disengagement Observer Force (UNDOF) until 31 Dec. 2013	Y	Y	Y	15	0	0	Y	N
11 July 2013 <i>S/RES/2109 (2013)</i> on extension of the mandate of the UN Mission in South Sudan (UNMISS) until 15 July 2014	Y	Y	Y	15	0	0	Y	N
24 July 2013 <i>S/RES/2110 (2013)</i> on extension of the mandate of the UN Assistance Mission for Iraq (UNAMI) until 31 July 2014	Y	Y	Y	15	0	0	Y	N

Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
24 July 2013 <i>S/RES/2111 (2013)</i> on extension of the mandate of the Monitoring Group on Somalia and Eritrea until 25 Nov. 2014	Y	Y	Y	15	0	0	Y	N
30 July 2013 <i>S/RES/2112 (2013)</i> on extension of the mandate of UN Operation in Côte d'Ivoire (UNOCI) until 30 June 2014	Y	Y	Y	15	0	0	Y	N
30 July 2013 <i>S/RES/2113 (2013)</i> on extension of the mandate of AU/UN Hybrid Operation in Darfur (UNAMID) until 31 Aug. 2014	Y	Y	Y	15	0	0	Y	N
30 July 2013 <i>S/RES/2114 (2013)</i> on extension of the mandate of the UN Peacekeeping Force in Cyprus (UNFICYP) until 31 Jan. 2014	Y	Y	Y	13	0	2 (AZ, PK)	Y	N
29 August 2013 <i>S/RES/2115 (2013)</i> on extension of the mandate of the UN Interim Force in Lebanon (UNIFIL) until 31 Aug. 2014	Y	Y	Y	15	0	0	Y	N
18 September 2013 <i>S/RES/2116 (2013)</i> on extension of the mandate of the UN Mission in Liberia (UNMIL) until 30 Sept. 2014	Y	Y	Y	15	0	0	Y	N

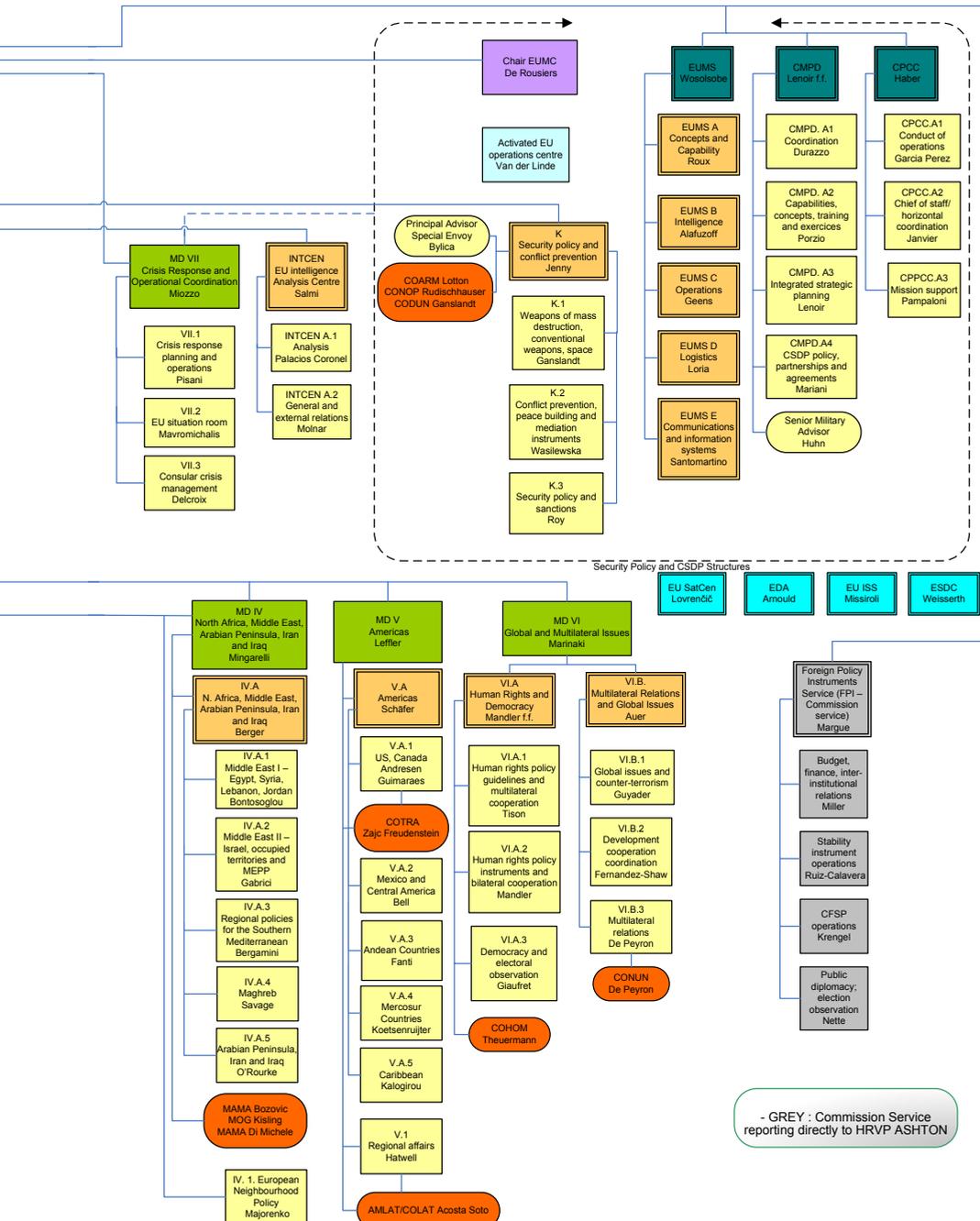
Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
26 September 2013 <i>S/RES/2117 (2013)</i> on small arms	Y	Y	Y	14	0	1 (RU)	Y	N
27 September 2013 <i>S/RES/2118 (2013)</i> on the use of chemical weapons in the Syrian Arab Republic	Y	Y	Y	15	0	0	Y	N
10 October 2013 <i>S/RES/2119 (2013)</i> on extension of the mandate of the UN Stabilization Mission in Haiti (MINUSTAH) until 15 Oct. 2014	Y	Y	Y	15	0	0	Y	N
10 October 2013 <i>S/RES/2120 (2013)</i> on extension of the authorization of the International Security Assistance Force (ISAF) until 31 Dec. 2014	Y	Y	Y	15	0	0	Y	N
10 October 2013 <i>S/RES/2121 (2013)</i> on the situation in the Central African Republic	Y	Y	Y	15	0	0	Y	N
18 October 2013 <i>S/RES/2122 (2013)</i> on women and peace and security	Y	Y	Y	15	0	0	Y	N
12 November 2013 <i>S/RES/2123 (2013)</i> on implementation of the Peace Agreement on Bosnia and Herzegovina	Y	Y	Y	15	0	0	Y	N

Document	EU voting				Total voting				
	GB	FR	LUX	Y	N	A	Adoption	Veto	
12 November 2013 <i>S/RES/2124 (2013)</i> on the deployment of the African Union Mission in Somalia (AMISOM) until 31 Oct. 2014	Y	Y	Y	15	0	0	Y	N	
18 November 2013 <i>S/RES/2125 (2013)</i> on acts of piracy and armed robbery at sea off the coast of Somalia	Y	Y	Y	15	0	0	Y	N	
25 November 2013 <i>S/RES/2126 (2013)</i> on extension of the mandate of the UN Interim Security Force for Abyei (UNISFA) until 31 May 2014	Y	Y	Y	15	0	0	Y	N	
05 December 2013 <i>S/RES/2127 (2013)</i> on the situation in the Central African Republic	Y	Y	Y	15	0	0	Y	N	
10 December 2013 <i>S/RES/2128 (2013)</i> on renewal of the measures imposed by Security Council resolutions on Liberia and extension of the mandate of the Panel of Experts appointed pursuant to para. 9 of resolution 1903 (2009) for a period of 12 months	Y	Y	Y	15	0	0	Y	N	

Document	EU voting				Total voting			
	GB	FR	LUX	Y	N	A	Adoption	Veto
17 December 2013 <i>S/RES/2129 (2013)</i> on extension of the mandate of the Counter-Terrorism Committee Executive Directorate (CTED) as special political mission under the policy guidance of Counter-Terrorism Committee (CTC) for the period ending 31 Dec. 2017	Y	Y	Y	15	0	0	Y	N
18 December 2013 <i>S/RES/2130 (2013)</i> on extension of the terms of office of permanent and <i>ad litem</i> judges at the International Tribunal for the former Yugoslavia (ICTY), who are members of the Trial Chambers and the Appeals Chamber, until 31 Dec. 2014 or until the completion of the cases to which they are assigned	Y	Y	Y	14	0	1 (RU)	Y	N
18 December 2013 <i>S/RES/2131 (2013)</i> on renewal of the mandate of the UN Disengagement Observer Force (UNDOF) until 30 June 2014	Y	Y	Y	15	0	0	Y	N
24 December 2013 <i>S/RES/2132 (2013)</i> on increase of force levels of the UN Mission in South Sudan (UNMISS)	Y	Y	Y	15	0	0	Y	N

AZ = Azerbaijan, PK = Pakistan, RU = Russian Federation.

Source: United Nations Security Council, 'Voting records', available online at: <http://www.un.org/en/sc/meetings/searchvote.shtml>.



- GREY : Commission Service reporting directly to HRVP ASHTON



Timeline 2013

	Date	Title	Summary
January	1	<i>UK assumes presidency of G8 group</i>	The UK assumes its year-long presidency of the G8 group of nations. The June summit is set to be held at Lough Erne, in Northern Ireland.
	10	<i>Military movements in Northern Mali</i>	Islamist rebels seize control of Konna, 700 kilometres north-east of Mali's capital, Bamako. Northern Mali has been occupied by radical rebels since violence first broke out in January 2012 between Tuareg rebels and Government forces.
	11	<i>France dispatches troops to Mali to oust Islamist militants</i>	Following a UN resolution in December 2012, France launches a military operation to support the Malian army and drive back Islamists who are advancing on Bamako in the North.
	15	<i>Attack at the university of Aleppo, Syria</i>	An attack at the campus of the University of Aleppo kills more than 82 persons and injured over 150. The attack is followed by another event in the city of Homs with an estimated 100 civilian casualties.
	16	<i>Algeria hostage crisis</i>	Dozens of people die after a siege that lasts four days deep in the Sahara desert, signalling growing unrest in the Sahel region.
	17	<i>ASEAN-EU Joint Cooperation Committee in Jakarta</i>	The 20th ASEAN-EU Joint Cooperation Committee is held on 17 January, marking 40 years of the ASEAN-EU friendship.
	17	<i>EUTM in Somalia extended for two years</i>	The Council extends the EU training mission in Somalia for two years to contribute to the strengthening of the Somali armed forces so they can take over security responsibilities.
	21	<i>President Obama's second inauguration</i>	President Barack Obama takes the oath of office, beginning his second term with Vice President Joe Biden.
	22	<i>UN Security Council unanimously adopts Resolution 2087</i>	The UN Security Council adopts Resolution 2087 underlining concern about North Korea's repeated violations of its international obligations and the resolve of the international community to act in solidarity in its response.
	29	<i>John Kerry confirmed as US Secretary of State</i>	Following the approval by the US Senate, Sen. John Kerry is confirmed to succeed Hillary Clinton as US Secretary of State.

	Date	Title	Summary
February	7	<i>Launch of the EU's Cyber Security Strategy</i>	The High Representative, together with the Commissioner for Digital Agenda, Ms Neelie Kroes, and the Commissioner for Home Affairs, Ms Cecilia Malmström, launched the EU Cyber Security Strategy.
	12	<i>Nuclear test DPRK</i>	A nuclear test is carried out by the DPRK in breach of its international obligations not to produce or test nuclear weapons, in particular under UN Security Council Resolutions 1718, 1874 and 2087.
	15	<i>€20 million stabilisation support package approved for Mali</i>	A €20 million stabilisation support package is approved under the Instrument for Stability to provide immediate support to Mali's law enforcement and justice services, the Malian local authorities, dialogue and reconciliation initiatives at local level.
	18	<i>EU training mission in Mali launched</i>	The Council launches an EU mission to support the training and reorganisation of the Malian Armed Forces. An advance party arrives in Bamako on 8 February. Military instructors are planned to be deployed before the end of March.
	18	<i>Council reinforces EU sanctions against DPRK</i>	The Council strengthens EU restrictive measures against the Democratic People's Republic of Korea (DPRK) in view of the nuclear test in January and ballistic missile test on 12 December. The decisions implement sanctions approved by the UN in January and include EU autonomous measures.
	19	<i>Resignation of Tunisian Prime Minister Mr Hamadi Jebali</i>	Tunisian Prime Minister Hamdi Jebali resigns after failing to reach agreement on forming a new government in response to the political crisis sparked by the killing of opposition leader Chokri Belaid.
	20	<i>Bomb attacks in Damascus</i>	A car bomb kills more than 50 people and wounds 200 in central Damascus. The al Qaeda-linked rebel group Jabhat al-Nusra, which claimed responsibility for several of such bombs, says it carried out 17 attacks around Damascus in the first half of February including at least seven bombings.
	27	<i>New round of E3+3 talks on Iran's nuclear programme</i>	A new round of E3+3 talks takes place, putting a confidence-building proposal on the table. A meeting between technical experts is set for March in Istanbul.
	30	<i>Kenyan elections</i>	Kenya's Supreme Court upholds Uhuru Kenyatta's election as president, rejecting challenges to the vote.

	Date	Title	Summary
March	5	<i>Hugo Chavez, President of Venezuela, dies</i>	President of Venezuela Hugo Chavez dies after 14 years of reign, leaving behind a bitterly divided nation in the grip of a political crisis.
	7	<i>UN Security Council passes strict new sanctions against North Korea</i>	The United Nations Security Council orders new economic sanctions against North Korea on Thursday (7th) for its third nuclear test in February, unanimously approving a resolution that the US negotiated with China.
	13	<i>North Korea announces its withdrawal from the 60-year armistice with South Korea</i>	North Korea announces its withdrawal from armistice with South Korea, which ended the Korean war in 1953. Fear mounts among South Koreans as Pyongyang threatens military action. The UN responds by saying the UN-approved armistice cannot be broken unilaterally.
	16	<i>Peaceful and succesful vote to approve a new constitution in Zimbabwe</i>	A successful constitutional referendum in Zimbabwe is held to approve a new constitution. In line with its commitment to suspend a majority of remaining restrictive measures, the EU agrees on 25 March to immediately suspend the application of measures against 81 individuals and 8 entities.
	30	<i>Kenyan elections</i>	Kenya's Supreme Court upholds Uhuru Kenyatta's election as president, rejecting challenges to the vote.
April	2	<i>Kim Jong-un announces plans to expand North Korea's nuclear arsenal</i>	North Korea announces it will restart its main Yongbyon nuclear complex, including a reactor mothballed in 2007, in defiance of UN warnings.
	15	<i>Boston bombings</i>	Two bombs explode near the finish line of the 117th Boston Marathon on Monday, killing four people and injuring 264 others.
	27	<i>Council adopts Decision 2013/255/CFSP concerning restrictive measures against Syria</i>	The Council agrees to adopt a series of restrictive measures for a period of 12 months against Syria. The measures are valid until 1 June 2014.
May	6	<i>Edward Snowden's NSA leaks</i>	Reports that the US National Security Agency (NSA) collects telephone records of millions of Verizon customers is revealed, marking the first of several information leaks. Edward Snowden, an American citizen, is named as the source of the leaks on 9 June.

	Date	Title	Summary
June	7	<i>Military developments in the village of Anefis in Northern Mali</i>	The High Representative expresses concern about the military developments that have taken place in the village of Anefis in Northern Mali.
	14	<i>Hassan Rohani entrusted with a mandate to govern Iran</i>	Following the elections on 14 June, Mr Hassan Rohani, a moderate cleric, is given a mandate to govern Iran for the next four years.
	17/18	<i>UK hosts G8 summit at Lough Erne</i>	The UK, holding the presidency, hosts the G8 summit at Lough Erne in Northern Ireland.
	30	<i>Large protests call for the resignation of President Mohamed Morsi</i>	Millions of protestors accuse Morsi of failing to tackle Egypt's economic and security problems and call for the President's resignation in Egypt.
July	3	<i>President Mohamed Morsi is deposed in a military coup</i>	The head of the armed forces, Abdel Fattah al-Sisi, announces Morsi's fall publicly. A 'road map' is laid out and consists of the provisional suspension of the constitution installing Adly Mansour as acting president pending a presidential election.
August	14	<i>Supporters of ousted President Morsi are massacred by security services</i>	The massacre provokes violent outbursts in other cities, and a month-long state of emergency is declared. The Egyptian health ministry estimates 638 have died as a result of the attacks; others count the dead in thousands.
	21	<i>Chemical attacks involving sarin gas in the suburbs of Damascus</i>	Opposition blames the Assad regime for the chemical attacks. In the week that follows, as more details emerge, US Secretary of State John Kerry condemns the attacks as a 'moral obscenity' and President Obama threatens limited military strikes. David Cameron pledges British support, which is subject to parliamentary approval.
September	4	<i>The US Senate Foreign Relations Committee backs military action against Syria</i>	The US Senate Foreign Relations Committee, by 10 votes to seven, votes in favour of granting military authorisation requested by Barack Obama in response to alleged chemical weapons use in Syria.
	9	<i>Russia intervenes to propose a provisional agreement for Syria to dismantle its chemical arsenal</i>	Russia proposes a diplomatic solution to the Syrian chemical weapons crisis with a pledge to persuade the Assad regime to hand over its chemical arsenal under international supervision to be destroyed.

	Date	Title	Summary
	21	<i>Al-Shabaab militants attack in Nairobi</i>	Al-Shabaab militants attack the Westgate shopping centre in Nairobi killing 62 people and wounding at least 170. Al-Shabaab announced the attack was a response to Kenyan troops in Somalia.
	26	<i>The UN Security Council votes unanimously in favour of a resolution to destroy Syria's chemical weapons</i>	Members of the UN Security Council vote unanimously on a resolution to destroy the Syrian regime's chemical weapons. The decision comes shortly after the international authority implementing the OPCW had approved the plan.
October	1	<i>US government shutdown begins</i>	The US government begins to shut down for the first time in 17 years after a Congress divided over President Obama's signature health-care initiative failed to reach agreement to fund federal agencies.
	3	<i>Boat carrying migrants from Libya sinks off Lampedusa</i>	At least 359 people die when a boat carrying migrants from Libya sinks off the Italian island of Lampedusa. Overcrowding and an attempt to get help by lighting a fire are said to be among the causes. 34 people die in a similar incident within eight days.
	16	<i>US government shutdown ends</i>	The US Congress endorses bipartisan legislation to end a protracted budget crisis, pulling the country from the brink of a looming debt default and signalling the end of a two-week government shutdown.
November	24	<i>Iran agrees to limit its nuclear development programme</i>	Iran strikes a historic agreement with the US and five other world powers, which accepts strict constraints on its nuclear programme for the first time in a decade in exchange for partial relief from sanctions.
December	2	<i>Anti-government protests break out in Ukraine</i>	The largest popular protests since the 2004 Orange Revolution take place in Ukraine when at least 300,000 people take to the streets calling for the resignation of the president, Viktor Yanukovich.
	5	<i>Nelson Mandela, South Africa's former president, dies aged 95</i>	The government announces that Nelson Mandela, the former political prisoner and first president of a post-apartheid South Africa, has died aged 95.
	6	<i>France sends troops to the Central African Republic</i>	Defence minister Jean-Yves Le Drian announces the beginning of France's military operation in Bangui, in the Central African Republic. Troops are deployed a day after the UN Security Council adopted the resolution authorising French intervention.

Date	Title	Summary
16	<i>UN appeals for €4.7 billion in aid for Syria</i>	The United Nations announces its largest appeal, seeking €4.7 billion for humanitarian aid to Syria. The UN estimates nearly three-quarters of Syria's 22.4 million population will need humanitarian aid in 2014.
18	<i>Coup attempt in South Sudan, over 400 dead</i>	The United Nations receives reports from local sources in South Sudan that between 400 and 500 people were killed and up to 800 wounded in the renewed violence and the government says it had arrested 10 politicians in connection with a 'foiled coup'.