



KOMMISSIONEN FOR DE EUROPÆISKE FÆLLESSKABER

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**MEDDELELSE FRA KOMMISSIONEN TIL RÅDET OG EUROPA-  
PARLAMENTET**

**MERE EFFEKTIV EU-UDVIKLINGSBISTAND:**

**EN FÆLLES RAMME FOR UDARBEJDELSEN AF LANDESTRATEGIPAPIRER  
OG FÆLLES FLERÅRIG PROGRAMMERING**

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# INDHOLDSFORTEGNELSE

## MEDDELELSE FRA KOMMISSIONEN TIL RÅDET OG EUROPA- PARLAMENTET

### STYRKE VIRKNINGEN AF EU'S UDVIKLINGSBISTAND: EN FÆLLES RAMME FOR UDARBEJDELSEN AF LANDESTRATEGIPAPIRER OG FÆLLES FLERÅRIG PROGRAMMERING

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## **1. INDLEDNING**

At øge udviklingsbistandens effektivitet er et af de vigtigste mål på EU's dagsorden. Den internationale konference i Monterrey (18.-22. marts 2002) skabte en international dynamik, der førte til vedtagelsen af Paris-erklæringen om harmonisering og tilpasning af udviklingsbistanden (2. marts 2005). I denne kontekst har EU gentagne gange understreget, at det er nødvendigt at gøre en fælles indsats for at øge støttens effektivitet og virkning, og at EU har ansvaret for at sætte gang i denne proces.

På denne baggrund må alle EU's eksterne politiske målsætninger og andre instrumenter derfor inddrages for at sikre sammenhængen i udviklingsbistanden og styrke dens effektivitet. Udviklingspolitikken er en af de komponenter, der bidrager til at realisere EU's eksterne politiske mål på linje med andre instrumenter, som f.eks. forsvars- og sikkerhedspolitik, handelspolitik, miljøpolitik mm.

### **1.1. Den fælles ramme og fælles flerårig programmering som elementer i EU's bistand**

På forummet på højt niveau, der blev afholdt i Paris i februar/marts 2005, forelagde EU en arbejdsplan med en række konkrete tilsagn til hurtig og kollektiv gennemførelse af principperne i Paris-erklæringen. Et af hovedpunkterne i dette proaktive indslag var et tilsagn om gradvist at indføre fælles flerårig programmering ved hjælp af en revision af den eksisterende ramme for landstrategipapirer fra 2000, som udgør en af komponenterne i EU's handlingsplan for at forbedre udviklingsbistandens effektivitet.

Rådet (almindelige anliggender og eksterne forbindelser) fastlagde på sine samlinger i november 2004 og april og november 2005 principperne, dagsordenen og de nærmere betingelser for denne proces.

Inden man etablerede grundlaget for en sådan fælles flerårig programmering, var det nødvendigt at supplere de disponible oplysninger for at få et udførligt kendskab til de forskellige programmeringssystemer i medlemsstaterne (og hos de andre donorer), inddrage eksisterende god praksis (anerkendt af OECD) og tage højde for de praktiske følger af et sådant tiltag i marken.

Med henblik herpå blev der i 2005 gennemført tre baggrundsundersøgelser i Uganda, Tanzania og Zambia. Man tog også ved lære af de indhøstede erfaringer og resultater fra et harmoniseringsprogram, som EU har gennemført på pilotbasis i Vietnam, Nicaragua, Marokko og Mozambique.

Resultaterne af de tre undersøgelser blev analyseret med deltagelse af medlemsstaterne og blev anvendt som endnu et solidt grundlag for den revision af rammen for landstrategipapirerne, som er præsenteret i dette dokument.

### **1.2. Baggrunden for rammen for landstrategipapirerne og den fælles flerårige programmering**

Den fælles programmeringsramme for EU's landstrategipapirer ("landstrategirammen") blev vedtaget i 2000 i forbindelse med reformen af RELEX som et redskab til flerårig programmering. Rammen skulle være det strukturerende grundlag for alle EU's landstrategipapirer og være en kilde til information i forbindelse med udarbejdelsen af

medlemsstaternes strategipapirer<sup>1</sup>. Formålet med rammen var at øge sammenhængen og kvaliteten i programmeringen af EU's eksterne bistand for at gøre den mere forudsigelig og effektiv og opnå større komplementaritet med medlemsstaternes udviklingssamarbejde i overensstemmelse med artikel 177 til 181 i EF-traktaten.

Den fælles ramme blev straks taget i anvendelse af Kommissionen og blev brugt i forbindelse med programmeringen af den første generation af landestrategipapirer og regionale strategipapirer (2002-2006) samt ved midtvejsevalueringerne (2004) for alle udviklingslande, der modtager støtte fra Den Europæiske Udviklingsfond og via programmerne ALA, MEDA, TACIS og CARDS.

Ud fra de rapporter om anvendelsen af landestrategirammen, som Kommissionen udarbejdede på Rådets anmodning i 2001, 2002 og 2005, har EU konstateret, at en stringent anvendelse af landestrategipapirer og regionale strategipapirer har været et effektivt og hensigtsmæssigt middel til at forbedre kvaliteten af EU's programmeringsproces.

Rådet konkluderede i 2003<sup>2</sup>, at rammen for landestrategipapirer har bidraget betydeligt til at realisere målet for den flerårige programmering og øge effektiviteten og kvaliteten af EU's eksterne bistand. Rådet bemærkede også, at rammen har medvirket til at forbedre koordineringen og komplementariteten mellem Fællesskabets støtte og den bilaterale støtte, specielt fra medlemsstaterne<sup>3</sup>, som i stigende grad har været involveret på stedet. I de fleste tilfælde har partnerlandenes myndigheder været nært inddraget i programmeringsprocessen, hvilket har styrket deres ejerskabsfølelse og sammenhængen mellem Kommissionens strategi og den nationale udviklingsproces.

Midtvejsevalueringerne i 2004 gjorde det muligt at styrke kvaliteten og effektiviteten af landestrategipapirerne yderligere, bl.a. ved at sikre bedre sammenhæng mellem EU's udviklingspolitik og andre eksterne og interne politikker eller ved at styrke anvendelsen af en resultatbaseret metode, der i langt højere grad inddrog resultatindikatorer til vurdering af partnerlandets indsats, bl.a. med opfyldelsen af millenniumudviklingsmålene.

Landestrategirammen skal betragtes som en løbende proces, som vil blive konstant forbedret og tilpasset til udviklingen hen imod målet om mere effektiv bistand. Det står derfor klart, at en koordineret og fælles programmering på europæisk plan i endnu højere grad vil kunne bidrage til at øge bistandens effektivitet og realisere millenniumudviklingsmålene.

I 2004 understregede Ad hoc-gruppen vedrørende Harmonisering (som har til opgave at stille forslag om EU's bidrag til styrket samordning, harmonisering og tilpasning), at fælles flerårig programmering skulle bane vej for at koordinere politikkerne, fremme harmonisering af procedurerne og muliggøre beslutninger om komplementaritet. Man vil derved opnå, at donorerne gradvis tilpasser sig til partnerlandenes flerårige programmeringscyklusser (fattigdomsreduktionsstrategier og budgetprocesser), øge mulighederne for at synkronisere medlemsstaternes og Kommissionens flerårige programmeringsprocesser og på sigt bidrage til at reducere transaktionsomkostningerne væsentligt.

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<sup>1</sup> Rådets konklusioner af 10. november 2000 vedrørende standardrammen for landestrategipapirer, punkt III, SEK(2000) 1049.

<sup>2</sup> Konklusionerne fra samlingen i Rådet (almindelige anliggender og eksterne forbindelser) den 18. marts 2003, dok. 6941/03.

<sup>3</sup> I overensstemmelse med "Retningslinjer for styrket operationel samordning mellem Fællesskabet og medlemsstaterne", vedtaget af Rådet i januar 2001.

Rådets konklusioner fra samlingen i november 2004 satte gang i anvendelsen af fælles flerårig programmering i europæisk regi, idet Rådet her udtrykkeligt opfordrede Kommissionen til at revidere 2000-rammen for landstrategipapirer og indføre muligheden for fælles programmering.

Princippet om fælles programmering er blevet bekræftet og styrket i den nye *europæiske konsensus om udvikling*, EU's nye udviklingspolitiske erklæring fra december 2005.

### **1.3. Indledende bemærkninger**

I henhold til Rådets konklusioner fra november 2004 vil *"den fælles ramme efter revision være et af instrumenterne til gennemførelse af flerårig programmering af den samlede bistand, som medlemsstaterne og Kommissionen yder. Den fælles ramme vil være retningsgivende, når den fælles flerårige programmering skal gennemføres på landeplan"*<sup>4</sup>.

Vedtagelsen i hele EU af de ni vigtigste komponenter i landstrategipapirerne (jf. afsnit 2.2.), der vil strukturere det fælles format, der er foreslået i bilaget, udgør den første vigtige etape til forbedring af effektiviteten af den eksterne bistand, og vil være det grundlæggende udgangspunkt for harmonisering og koordinering af denne bistand.

Den fælles flerårige programmering er i sig selv en løbende proces, der skal indføres i takt med udviklingen i den specifikke situation i de enkelte partnerlande, idet programmeringens form og strukturer kan variere fra land til land, jf. afsnit 2.3.

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<sup>4</sup> Rapport fra Ad hoc-gruppen vedrørende Harmonisering – ”Fremme af koordinering, harmonisering og tilpasning: EU's bidrag”, 14670/04, 15. november 2004, s. 37.

## 2. EN NY RAMME MED SIGTE PÅ BEDRE PROGRAMMERING

Dette dokument er en ajourføring af landestrategirammen fra 2000. Det definerer de grundlæggende elementer i et strategipapir og gør rede for de forskellige etaper i udarbejdelsen heraf.

Denne reviderede ramme er opdelt i tre afsnit:

- Første afsnit (2.1.) opstiller de retningsgivende principper for programmeringen.
- Andet afsnit (2.2.) skitserer de ni vigtigste komponenter i de nye landestrategipapirer. Et forslag til et fælles format er præsenteret i bilaget.
- Tredje afsnit (2.3.) beskriver de vigtigste etaper i udarbejdelsen af de nye landestrategipapirer og betingelserne for på sigt at indføre fælles flerårig programmering.

### 2.1. Principper for effektiv programmering

Det må opstilles visse retningsgivende principper for programmeringen. Det drejer sig om principper, der er blevet udformet og finpudset over de senere år på europæisk plan, og som for en stor dels vedkommende også optræder som partnerskabsforpligtelser i Paris-erklæringen (ejerskab, harmonisering og tilpasning af støtten, resultatbaseret forvaltning og gensidig ansvarlighed). De udgør den grundlæggende struktur i landestrategipapirerne og i de ni vigtigste komponenter, som er beskrevet nedenfor:

- **Rammen for partnerskabet.** Strategierne skal tage udgangspunkt i partnerskabs- og samarbejdsaftalerne og være i overensstemmelse med de regionale strategier.
- Respekt for målene i *den europæiske konsensus om udvikling*. De vigtigste mål for udviklingspolitikken er at udrydde fattigdommen under hensyntagen til en bæredygtig udvikling, herunder opfylde millenniumudviklingsmålene, fremme demokrati og god regeringsførelse samt respekten for menneskerettighederne. Disse mål vil gælde for alle udviklingslandene og indgå i komponenten "udviklingsbistand" i alle EU's samarbejdsstrategier med tredjelande.
- **Sammenhæng.** Landestrategien og programmeringsdokumenterne skal være udførlige og tage hensyn til målene for EU's udviklingspolitik og andre politikker, som definerer forholdet til partnerlandet.
- **Differentiering** er nødvendig for at tage hensyn til de særlige situationer og udfordringer i de forskellige partnerlande. Dette gælder både for den generelle politik og for de enkelte samarbejdsprogrammer.
- I overensstemmelse med *den europæiske konsensus* bør der også tages hensyn til de *tværgående spørgsmål* (demokrati, god regeringsførelse, menneskerettigheder, rettigheder for børn og oprindelige folk, kønnes ligestilling, en bæredygtig udvikling og hiv/aids).
- **Arbejdsdeling, komplementaritet og harmonisering** indgår også som vigtige komponenter i effektiv bistand. Der må gøres en fælles indsats for at opnå en maksimal

informationsudveksling mellem alle de implicerede aktører og sikre komplementariteten mellem medlemsstaternes aktioner og de aktioner, der gennemføres af andre donorer og multilaterale organer. I første instans bør der sikres koordinering i det pågældende partnerland.

- Generel eller sektorbestemt **budgetstøtte** vil, i den udstrækning det er muligt, fortsat være nøgleprincippet til at øge bistandens effektivitet og bør derfor styrkes.
- **Koncentration** (uden tab af fleksibilitet) indebærer, at der i forbindelse med programmeringen af fællesskabsbistanden udvælges et begrænset antal områder.
- **Partnerlandets ejerskab og tilpasning.** Partnerlandets dagsorden vil få en central plads i forbindelse med udarbejdelsen af strategien og programmeringen, som gradvist vil blive tilpasset til denne dagsorden.
- En **resultatbaseret metode.** Programmering, gennemførelse og evaluering skal systematisk baseres på de nøgleresultatindikatorer, der er fastsat for at måle virkningerne af støtten på længere sigt.
- **Deltagelse af civilsamfundet og andre aktører:** Partnerskabet skal udvides til også at omfatte de ikke-statslige aktører og den private sektor, som bør inddrages i politikdialogen, deltage i udarbejdelsen af samarbejdsstrategien og gennemførelsen af programmerne. Andre udviklingsaktører, specielt de lokale myndigheder og parlamentet, bør også involveres.
- **Tidligere erfaringer og princippet om evaluering.** De erfaringer, der er indhøstet af partnerlandet og af donorerens repræsentanter i marken og de ansatte i donors hovedsæde, samt resultaterne af de relevante eksterne og interne evalueringer bør systematisk tages i betragtning og påvirke de valg, der træffes i forbindelse med programmeringen. Landestrategipapirerne vil desuden kun blive et effektivt redskab, hvis resultaterne evalueres regelmæssigt, og strategien justeres på grundlag af resultaterne.

## 2.2. De ni vigtigste komponenter i landestrategipapirerne

Den nye ramme for landestrategipapirerne har stort set bevaret den samme logiske tilgang som den, der var blevet udviklet i 2000-rammen, og som har bevist sit værd. Den er blevet ajourført for at tage hensyn til nyeste internationale praksis og EU's nye forpligtelser, som er beskrevet i forrige afsnit. Den definerer de elementer, som der absolut må tages hensyn til ved indførelsen af fælles flerårig programmering i hvert enkelt land.

I bilaget findes et detaljeret forslag til et standardformat for landestrategipapirerne. Det indeholder følgende vigtige komponenter, som efter erfaringerne er en garanti for god programmering<sup>5</sup>:

- (1) Rammen for forbindelserne mellem donor og partnerland

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<sup>5</sup> Betegnelserne på de enkelte punkter tilpasses under hensyntagen til det organ, der udarbejder landestrategien, og partnerlandet. F.eks. erstattes ordet "donor" med navnet på det pågældende organ og "partnerland" med navnet på partnerlandet.



- (2) En analyse af den politiske (interne og eksterne), økonomiske, handelsmæssige, sociale og miljømæssige situation i partnerlandet
- (3) Partnerlandets politiske dagsorden, herunder dets udviklingsstrategi
- (4) En analyse af bæredygtigheden i de nuværende politikker og de udfordringer, der bør tages op på mellemlang sigt, foretaget på grundlag af analysen af situationen i landet og dets politiske dagsorden
- (5) En oversigt over donors tidligere og nuværende samarbejde (lære og erfaringer) under hensyntagen til alle eksterne bistandsinstrumenter, komplementariteten med de andre donors programmer og sammenhængen med donors andre eksterne bistandsinstrumenter og politikker
- (6) En statusbeskrivelse af partnerskabet med det pågældende partnerland, herunder af den politiske dialog og fremskridtene med harmoniseringsprocessen
- (7) Donors samarbejdsstrategi, strategiens specifikke mål, sammenhængen med de andre eksterne udviklingsinstrumenter og politikker og komplementariteten med de andre donorer
- (8) Et arbejdsprogram eller et nationalt vejledende program (NIP), udarbejdet på grundlag af ovenstående elementer, som fastsætter kvantitative mål baseret på resultatindikatorer, donors specifikke bidrag samt arten og omfanget af de mest hensigtsmæssige støttemekanismer
- (9) Bilag: Et sammenfattende skema over landet, et resumé af landets miljøprofil, en oversigt over den fremtidige donorfinansiering, en oversigt over migrationssituationen, hvis det er relevant, herunder aspektet international beskyttelse, en redegørelse for konsultationer med ikke-statslige aktører, samt en køreplan for harmoniseringen, hvis en sådan foreligger.

Kommissionen agter at udarbejde sine landestrategipapirer på grundlag af disse ni vigtige komponenter og det format, der er foreslået i bilaget, hvor de udredes nærmere. Dette vil ske gradvist, idet metoden vil blive brugt med det samme for AVS-landene og senere (ved midtvejsevalueringen) for områderne i Asien og Latinamerika og de lande, der er omfattet af den europæiske naboskabspolitik, samt Rusland, hvor udarbejdelsen af landestrategipapirer og regionale strategipapirer af anden generation er baseret på det gamle format og nu stort set er afsluttet.

Kommissionen konstaterer, at de fleste af disse komponenter allerede indgår i de strategidokumenter, der er udarbejdet af medlemsstaterne på bilateralt plan. Den mener derfor, at den nye landestrategiramme med de ni vigtige komponenter ligeledes vil kunne anvendes af medlemsstaterne i forbindelse med deres bilaterale støtte, uden at det vil medføre væsentlige ændringer i deres procedurer, da den er tilstrækkelig fleksibel til at kunne tilpasses til den specifikke situation i de enkelte lande. De medlemsstater, der i øjeblikket er ved at udarbejde deres programmeringsinstrumenter, kan med det samme anvende den nye ramme for deres landestrategipapirer.

De ni komponenter og den nye landestrategiramme vil imidlertid ikke blot kunne anvendes af medlemsstaterne som basis for deres bilaterale strategier. Kommissionen mener også, at det

format, der er opstillet i bilaget, er det mest hensigtsmæssige redskab til at fremme indførelsen af fælles flerårig programmering, idet donorerne vil blive fælles om visse elementer i programmeringen (afsnit 2.3.2.). Formatet bør derfor så vidt muligt også anvendes af medlemsstaterne.

Endeligt er det vigtigt at sikre, at programmeringsmekanismerne er så smidige som muligt for gradvist at kunne synkronisere dem indbyrdes og tilpasse dem til partnerlandets politiske og budgetmæssige dagsorden.

### **2.3. Proceduren for udarbejdelse af et strategipapir for hvert land med sigte på fælles flerårig programmering**

Den nye landestrategiramme skal lette indførelsen af fælles flerårig programmering for Kommissionen, medlemsstaterne og eventuelle andre partnere.

Det er Kommissionens og EU's opgave at lette denne proces og tilskynde til, at den nye ramme anvendes i så vid udstrækning som muligt, og fremme partnerlandenes deltagelse.

#### *2.3.1. Grundprincipperne*

Fælles programmering skal være en fleksibel, gradvis og åben proces, hvor partnerlandet spiller rollen som den drivende kraft, og som udspringer på stedet.

- Den bør være **fleksibel** og kunne antage forskellige former alt efter situationen i de forskellige partnerlande [deres institutionelle kapacitet og dermed kvaliteten af den nationale udviklingspolitik] og hos de forskellige donorer, som måske ikke alle er politisk eller proceduremæssigt rede til harmonisering.
- Den bør indføres **gradvist**, idet "integreringen" bør foregå i takt med situationens udvikling og med deltagelse af en eller flere medlemsstater.
- Den bør være **åben** og ikke kun være begrænset til medlemsstaterne. Fælles programmering indgår i en international bevægelse, som den skal aktivere. Hvis der allerede er iværksat andre tiltag til fælles programmering, bør EU's fælles programmering integreres heri og præge processen med en fælles europæisk koordinering og vision.
- Det er af største vigtighed, at **partnerlandet er motoren** i forberedelserne og koordineringen af den fælles programmering, som bør bygge på det pågældende lands fattigdomsreduktionsstrategi eller lignende strategier og på dets budgetcyklus. Dette vil være grundlaget for, at partnerne reelt kan tilpasse sig hinanden, opnå større komplementaritet (arbejdsdeling) og på sigt reducere transaktionsomkostningerne. Hvis landet ikke har kapacitet til at spille rollen som motor, bør det have den nødvendige støtte til at opbygge denne kapacitet. Imidlertid kan donorerne selv udvikle en fælles programmering, som tilpasses til de prioriteter og programmeringscyklusser, der er enten er ved at opstå - efter princippet om virtuel tilpasning ("shadow alignment" - for lavindkomstlande eller svagt funderede lande) - eller som allerede eksisterer (melleminkomstlande).
- Beslutningen om, hvorvidt det er hensigtsmæssigt at anvende **fælles programmering** og om programmeringens form og retningslinjer, vil blive truffet **på stedet** i de enkelte lande af Kommissionens delegationer og de andre udviklingspartnere, da det er på dette niveau,

at koordineringen og harmoniseringen skal iværksættes. Den fælles programmering vil være et element, der om nødvendigt kan integreres i den køreplan, der er udarbejdet for koordinering og harmonisering i de enkelte lande. Der er behov for regelmæssig overvågning og hyppig kontakt mellem hovedkontoret og landekontorerne for at videreføre processen på højt politisk plan.

### *2.3.2. De forskellige etaper i den fælles flerårige programmering*

I overensstemmelse med den fleksible og gradvise karakter af den fælles flerårige programmering bør den opdeles i forskellige etaper på grundlag af en fælles eller harmoniseret udformning af landestrategipapirerne, dvs. ved at medlemsstaterne med den nødvendige fleksibilitet anvender de ni vigtigste komponenter i landestrategipapirerne, som er opstillet i det reviderede format i bilaget.

#### ***Første etape: Fælles analyse***

Erfaringerne og de gennemførte undersøgelser viser, at uanset hvilken model der anvendes, er der visse elementer, der betragtes som væsentlige ved udformningen af en samarbejdsstrategi, og at disse elementer er fælles for de forskellige donorer, der opererer i et givet land. Med henblik på at reducere transaktionsomkostningerne i partnerlandet forekommer det derfor indlysende at være fælles om disse elementer og gøre dem tilgængelige for alle.

De drejer sig om følgende elementer (jf. kapitel 1, 2 og 3 i del I i det fælles format i bilaget): en evaluering af den globale politiske situation, en vurdering af den makroøkonomiske, sociale og miljømæssige situation i landet (med en liste over de harmoniserede makroøkonomiske indikatorer og fattigdomsindikatorer på grundlag af regeringens politiske dagsorden), en beskrivelse af partnerlandets prioriteter, en analyse af erfaringerne fra det tidligere samarbejde, en analyse af sammenhængen med de andre politikker i partnerlandet, en analyse af komplementariteten mellem de forskellige partners aktioner og en fremstilling af harmoniseringsdagsordenen.

#### ***Anden etape: Fra en fælles analyse til en fælles svarstrategi***

Fælles programmering indebærer som sagt, at partnerne udveksler alle de elementer, de har anvendt i deres analyser (jf. 1. etape). Dette udelukker imidlertid ikke, at alle eller visse af de medlemsstater, der er involveret i et givet land, nærer højere ambitioner og også ønsker at udvikle en fælles svarstrategi.

En fælles svarstrategi vil omfatte de elementer, der er nævnt i kapitel 4 i del I i det fælles format i bilaget: en fælles definition af målene for samarbejdet med den pågældende partner, en definition af de udvalgte støtteområder med en arbejdsfordeling mellem partnerne (donormatrix), oplysninger om finansielle tildelinger, om risikoanalyser og om de forpligtelser, som partnerlandene har indgået i fællesskab. Der defineres i fællesskab en række resultatindikatorer, som så vidt muligt baseres på det pågældende lands strategidokumenter og er genstand for en dialog med regeringen. Der indføres fælles metoder for overvågning og evaluering samt fælles årlige undersøgelser af resultaterne og gennemførelsen af fattigdomsreduktionsstrategien.

## **PART 1: COUNTRY STRATEGY PAPER**

### **1. CHAPTER 1: FRAMEWORK FOR RELATIONS BETWEEN THE DONOR AND THE PARTNER COUNTRY**

For the EC/EU

#### **1.1. General objectives of the donor's external policy**

#### **1.2. Strategic objectives for cooperation with the partner country**

Strategy papers must reflect the policy guidelines set out in the “European Consensus on Development”. They must also reflect the EU’s commitments with regard to the effectiveness of aid (Paris Declaration, additional EU commitments).

They will also set out the donor’s main objectives in its dealings with the partner country in the regional context (in the case of the EU, these include the European Neighbourhood Policy, the Cotonou Agreement, the Asia, Latin America and Africa Strategies and the European Programme for Reconstruction and Development in South Africa).

#### **1.3. Main bilateral agreements**

Describe the association and partnership agreements (e.g. the Economic Partnership Agreements – EPAs) binding the donor and the partner country, stating the fields covered and the objectives pursued.

### **2. CHAPTER 2: COUNTRY DIAGNOSIS**

#### **2.1. Analysis of the political, economic, social and environmental situation in the partner country**

This analysis should include all major domestic policy developments and issues and all significant external factors.

##### *2.1.1 Political situation*

The CSP must analyse the country’s political, institutional and security situation in a broad context, including governance, progress towards democracy, the rule of law and observance of human rights. The regional context must be specifically addressed here. This section should therefore examine the following aspects:

- The main obstacles at national level to progress towards a situation in which human rights are respected, protected and promoted. The analysis will identify the priorities and objectives permitting progress towards respect for fundamental human rights in all circumstances.

- The content and any shortcomings of the partner country’s plans/policies concerning social cohesion, employment and gender equality; the gender representativeness of the administration and the position with regard to international commitments on gender equality. Commitments and compliance under international conventions concerning children’s rights must also be described. Special attention must be paid to child labour and to trafficking and violence against women and children. The protection afforded for the rights of minorities and indigenous peoples must also be examined.
- Observance of democratic principles, including in particular an assessment of the electoral process and public participation in the democratic process (free elections by universal suffrage, multiparty system, equal access to political activity, participatory decision-making process, the role of the media, civil society and other non-state actors, etc.), the possibility of changing the government without violence, etc.
- The organisation of government, the authorities’ decision-making procedures. Particular attention must be paid to examining the various levels of power and the division of powers between central, regional and local tiers of government and the effectiveness of their interaction (decentralisation and devolution). The main constraints faced by “key institutions” in fulfilling their respective mandates (including the capacities the national statistical system to provide statistics and indicators in the different domains), institutional transparency and accountability for the management of public resources and affairs; the institutional capacity to draw up and implement measures against corruption money laundering, fraud and tax avoidance; the rule of law and the independence of the judiciary. The role of parliaments in their dual function of making law and overseeing the executive must be examined, as must the degree to which civil society is involved in the political and social debate.
- The government’s position with regard to the key international conventions, especially those concerning the environment, human rights, gender equality, refugees, labour law, the International Criminal Court, terrorism, organised crime and corruption.
- Potential factors for conflict, the risk of national or regional conflict breaking out, continuing or flaring up again, and key cultural and social factors directly influencing the political process (e.g. ethnic tensions or migratory flows).
- The security system, including the division of powers between the difference agencies,<sup>6</sup> and the decision-making procedure and democratic and civilian oversight over the security system.
- The overall security situation. The following questions must be posed: Are there signs of violent conflict in the country and/or region? Is the country’s stability threatened by armed violence? What is the influence of neighbouring countries? Is there a national small-arms manufacturing industry? Does the level of crime in the country threaten its development? What is the situation with regard to the various forms of organised crime and illegal drugs? Is there a threat of terrorism in the country or region?

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<sup>6</sup> The OECD-DAC defines the security system as the body of institutions and other agencies involved in maintaining the security of the state and its citizens. *Security System Reform and Governance, Policy and Practice*, DAC Guidelines and Reference Series (Paris: OECD 2004).

- Any evidence pointing to a fragile state, e.g. the incapacity to perform the basic functions of government (security, basic social services, human rights); identify support measures, such as government reform.
- The regional context of the country, its relations with its neighbours and the impact of these factors on the political, institutional and security situation in the country.

This analysis should serve to identify the type of partnership: efficient, difficult/fragile state, post-conflict.

Accordingly, in fragile states, post-conflict countries and specific cases of countries that have yet to achieve “structural stability” or are showing signs of increasing instability, greater attention should be given to analysing measures taken to ensure security and stability, including conflict prevention and management, post-conflict intervention strategies (demobilisation, disarmament, re-integration (in particular of women and child soldiers), rebuilding, humanitarian mine clearance, support for action against illegal arms trafficking and dissemination of small arms and light weapons, etc.), and the introduction of the rule of law and democracy (including broader participation of civil society and a more equitable distribution of power). The issues of transition and LRRD will have to be taken into account.

A chronology of recent events and the national and regional agenda will be annexed as basic information.

### *2.1.2. Economic and social situation*

The CSP must include an analysis of macroeconomic performance, covering both the public and the private sectors, an analysis of structural change and of important sectoral changes. It must also include an analysis of the structure of the country’s trade at bilateral, regional and multilateral levels, including the foreseeable impact of economic partnership agreements.

It must analyse issues of good governance in the financial, tax and legal fields. The aim is to gauge the extent to which the country is implementing international recommendations on transparency and the effective exchange of information to prevent and counter financial and corporate malpractice, including in the tax field.

#### *Economic situation, structure and performance*

This part must analyse the partner country’s economic performance in a manner permitting comparison with other countries. It will identify the principal economic sectors contributing to gross domestic product and assess trends in their competitiveness, especially in the light of the prospects for the liberalisation of bilateral, regional and multilateral trade. Particular attention should be given to analysing the respective roles of the public and private sectors and the state of infrastructure, especially as regards transport, water, energy and information and communications technologies. The analysis must also address variations in the terms of trade, the external debt burden, the degree of diversification of export earnings and dependency on public and private external transfers, including remittances from migrants. The importance of service activities, especially financial services, and in particular those specifically offered to non-residents (offshore centres), will also be addressed. The employment situation will be studied with particular attention to equal economic opportunities for men and women.

The analysis should also highlight the potential sources of macro-economic and social instability in order to make the EC/EU planning process flexible enough to deal with such instability if and when it occurs.

A table with key macroeconomic indicators will be annexed to facilitate and structure the overview of the situation and any forecasts for the years ahead.

#### *Structure and management of public finances*

This section will examine the state of public finances and the external debt, analyse the quality of public finances and the structure of budget revenue and expenditure, point out any imbalances and indicate whether measures have been taken to remedy them.

#### *Assessment of the reform process*

As a general rule, the objectives of economic reform programmes, and in particular economic stabilisation and structural adjustment programmes, are to balance the economy, eliminate distortions, introduce appropriate incentives and create favourable conditions for the development of the private sector, while allowing and guaranteeing the effective and efficient working of the public sector. A key aspect of such programmes is the need to ensure that markets are open and that the economy is able to profit from, and manage successfully, external competitive forces (including those generated by regional integration initiatives).

The analysis must check the overall consistency of the policy pursued and identify possible weaknesses and inconsistencies. It is important to analyse the impact and viability (including the issue of institutional capacities) of the main sectoral reforms and to consider how these reforms might influence growth and development. In this context, the impact of reforms aimed at increasing transparency, effective information exchange and international administrative and judicial cooperation in the field of services, especially financial services, will also be examined, among others, in relation to the fight against money laundering, fraud and tax avoidance and corruption.

Particular attention must be given to reforms in the fields of political, administrative and fiscal decentralisation and issues relating to regional planning, given their potential impact on poverty, especially in rural areas.

#### *Trade policy and external environment, in particular regional cooperation agreements*

The country's trade policy must be analysed, especially the country's openness (tariff and non-tariff) and the regulatory framework's consistency with the country's commitments. Consistency with the country's development aims and foreign trade agreements, especially regional integration schemes involving the country, the impact of such schemes on the economy and actual progress towards the creation of a regional market will also be examined.

This analysis could, where relevant, use the results of trade-policy reviews by the World Trade Organisation (WTO).

Particular attention must be paid to the demands of economic transition, regional convergence and trade opening. The assessment of reform must take such undertakings or obligations into account. It must include an analysis of the country's economic performance in the framework of the regional integration process to which it belongs (e.g. macroeconomic convergence criteria) and its influence on the country's economy. This section also includes an analysis of

the scope for integration, ways of increasing the benefits, and related issues such as infrastructure, regional markets and financial and economic structures.

### *2.1.3. Social situation, including decent work and employment*

CSPs must analyse the situation, trends and progress or delays in the social sectors and in terms of food security. They must therefore cover demographic factors (population growth, breakdown by age, relationship between rural and urban population and trends, the existence and nature of migratory flows) and such sectors/fields as education, research, health (including sexual and reproductive health, HIV/AIDS, malaria and tuberculosis), social protection, including social security networks, support programmes for disadvantaged and vulnerable groups, including the disabled, employment opportunities and working conditions and housing, rural development and access to agricultural markets. All these aspects, and in particular employment policy and the fairness of the tax system, are crucial to achieving a satisfactory level of social cohesion.

A major part of the analysis will involve reviewing the fairness of access to services and their use for disadvantaged and vulnerable groups, such as children, women and indigenous peoples, and determining whether the policies pursued address the concerns of these groups, gender equality or HIV/AIDS issues and the needs of indigenous communities.

The strategy papers will examine the country's progress towards eradicating poverty in terms of the MDGs, analyse the reasons for the trends observed, in particular gender differences, and review the main challenges and issues, their magnitude and their breakdown (by age, sex and geography).

To facilitate and structure this overview, a table setting out the key social development indicators will be annexed. This table will include at least the 10 key indicators chosen for monitoring the MDGs, which gauge the country's performance and progress in the matter of poverty reduction and social development. Where possible, it will provide data for the reference year 1990, data for the most recent years, estimates for the years ahead and intermediate and final objectives for 2015. These indicators can be supplemented by other indicators monitored in the PRSP.

Comments must be made on the quality of data and the frequency with which it is updated. To ensure comparability in time, data sources must be used as consistently as possible and any change in indicators and/or sources accounted for.

### *2.1.4. The country in the international context*

Where relevant, this section will refer to any regional or international developments that might affect cooperation between the donor and the country concerned.

These include the country's political relations in the region, and in particular international and/or regional agreements, regional policies and any progress towards regional integration, or the existence of armed conflicts in the region.

It is also important to highlight the role actually or potentially played by the country in the regional and multilateral context (beacon, pole of stability), its capacity to play a leading role in the provision of public goods (e.g. peacekeeping, managing water resources in cross-border water basins to protect the environment, etc.) and its capacity to take part in international cooperation on such issues as terrorism, non-proliferation of weapons of mass destruction and



their means of delivery, trafficking and dissemination of small arms and light weapons, people trafficking, illegal migration, etc., which have a tendency to spill over.

#### *2.1.5. Environmental situation*

This chapter will be based on an analysis of the environmental conditions in the country and the recommendations made in the “Country Environmental Profile”, a summary of which will be annexed.

This section will give an overview of trends in the availability and use of environmental/natural resources and in pollution in the country and, possibly, the region that directly affect or influence poverty reduction (link with MDG 7) and food security. It will show clearly the main environmental challenges facing the country and the main obstacles to be overcome. Particular attention will be given to problems and needs arising from climate change.

The country’s institutional situation and its specific capacities in the area of managing the environment and natural resources will be described along with the legislative framework. The CSP will also examine the existence or lack of regulatory reforms in the area. Lastly, the environmental impact, if any, of national sectoral policies will be described.

Achievements in the area of the environment and the management of natural resources will be examined, either as cross-cutting issues in major cooperation programmes (including their environmental impact) or as specific projects or programmes.

Stock will be taken of the country’s accession to international agreements in the different domains (climate change, biodiversity, desertification, chemical products, etc.) and the measures actually taken to apply them. The country’s specific needs in the matter will also be indicated. The “Country Environmental Profile” will take account of vulnerability to natural disasters (risk profile) accompanied, where appropriate, by a specific analysis identifying needs and measures in relation to prevention and preparedness, etc.

## **2.2. Development strategy of the partner country**

This section must provide a summary of the aims and objectives of the government of the country concerned, as defined (a) in the official documents presenting the range of policies implemented, (b) in any national plan, reform strategy or medium- or long-term development programme and (c) in any sectoral development programme. This statement should be supplemented by an indication of how the government proposes to achieve these objectives.

This section must review the country’s commitments under the framework of the regional integration process of which it is a member (e.g. creation of a customs union, economic convergence, common market, sectoral policies, including those relating to security matters, partnership with the EU) and multilaterally (e.g. African Union, WTO, etc.).

Particular attention must be given, where relevant, to the policies pursued by the country to develop ties with the diaspora and foster its involvement, to channel remittances, to promote economic emigration or to limit the impact of the brain drain.

### **2.3. Analysis of the viability of current policies and the medium-term challenges**

In the light of the analysis of the country's situation and political agenda, and especially its poverty reduction strategy (PRSP), a critical summary will be provided of the viability of the country's current policies and medium-term prospects, showing both strengths and weaknesses.

This section will help clearly identify future challenges facing the government and the budgets it will be making available to tackle them, with due regard for complementarity. The most promising fields for future cooperation between the partner country and the donor will be chosen with a view to reducing poverty, i.e. fields in which national priorities realistically and viably match the objectives of the donor and the donor's specific comparative advantages compared to other donors.

In the case of low-income countries, e.g. those eligible for IDA, especially the HIPC initiative, the national agenda will be linked to, or treated as, a poverty reduction strategy paper (PRSP). Under the principle of ownership, the CSP will support the partner country's PRSP and its strategy of development or reforms in pursuit of the MDGs and align itself as far as possible on the systems and procedures of the country's other partners. This principle of ownership must be adapted in the event of difficult partnerships or post-crisis situations in particular, and alternative approaches must be sought (shadow alignment, work with civil society, etc). Where this foundation exists, the EC, Member States and, possibly, other donors will harmonise their cooperation aid as far as possible.

## **3. CHAPTER 3: OVERVIEW OF COOPERATION AND POLITICAL DIALOGUE, COMPLEMENTARITY AND CONSISTENCY**

### **3.1. Overview of the donor's past and present cooperation (lessons learned)**

In the event of joint programming, each donor will draw up a separate chapter providing an overview of its cooperation with the partner country.

The CSP must contain a summary of the results of the donor's past and present cooperation with the partner country and of the lessons learned in order to update knowledge and incorporate best practices. It is important that this statement should cover all external aid instruments for the country, including regional cooperation, issue-based programmes, global initiatives and humanitarian aid.

The previous CSP's sectors of intervention must be evaluated in the light of the results obtained so far on the basis of progressive qualitative and quantitative performance indicators, with due regard for the requisite flexibility.

Account will be taken of general recommendations specifically made in evaluations of strategies by the partner country, if there are any, evaluations of specific sectors and projects and annual reports.

### **3.2. Information on the programmes of other donors (complementarity)**

This section must provide as accurate and comprehensive a picture as possible of the programmes of the Member States and other donors, indicating how they complement each other. Specify as far as possible the amounts involved and their breakdown by intervention sector. Where they exist, the partner country's analytical instruments (PRSP, etc.) will be used.

This section should also discuss what type of instruments the donors are using in their cooperation and whether there is a sectoral or regional focus to their efforts.

A prospective financial matrix of donors will be annexed for detailed information.

### **3.3. Description of the political dialogue between the donor and the partner country**

This section will cover the development of the political dialogue between the government and the donor, in particular concerning aspects such as the human rights situation, governance, the rule of law, etc.

### **3.4. Description of the state of the partnership with the partner country and progress towards harmonisation**

The CSP must describe progress towards improving the coordination of policies, the harmonisation of procedures for programming rounds and the alignment on the partner country's budget cycles. This analysis will be based inter alia on the progress indicators laid down in the Paris Declaration.

More specifically, this section will report on the progress of any coordination/harmonisation process in the country at European level, and in particular on the dialogue between the Commission and the Member States and the existing coordination system, briefly describe the guidelines in the "road map" on the EU's harmonisation and alignment in the partner country, describe the application of the common framework at European level and explain the stage/type of joint programming chosen for the country. It will state the future guidelines and implementation plan for joint programming. Where relevant, it will describe the other harmonisation processes under way in the country and the donors' position on these initiatives, and their complementarity and links with the harmonisation process at European level.

This section will provide information on the donors' initiatives to align on the partner country's multiannual programming rounds (poverty reduction strategies and budget processes).

It will describe the role, attitude and position of the partner country in the harmonisation and alignment process and its capacity/willingness to play a leading role.

### **3.5. Analysis of consistency with the donor's other policies**

It is widely recognised that development policy alone will not enable the developing countries to progress.

Policies other than aid policy are at least as important in so far as they contribute or affect developing countries in their efforts to achieve the Millennium Development Goals.

The principle of consistency with other EU policies requires special attention. This section must, where relevant, address the following areas: trade, the environment, climate change, security, agriculture, fish, the social dimension of globalisation, employment and decent work, migration, research and innovation, the information society, transport and energy.

The objective is to promote the possible synergies between other EU policies and development policy in the response strategy.

#### **4. CHAPTER 4: THE DONOR'S RESPONSE STRATEGY**

This section should set out the strategic choices for cooperation in the partner country on the basis of its needs, strategies, priorities and resources and according to the evaluation of:

- the partner country's development strategy and the viability of interventions in the light of the country's political and institutional, economic, trade, social and environmental situation;
- the objectives of the donor's development policy, other aspects of external action and other policies;
- the country's needs and progress towards the MDGs and its commitment to achieving them, referring where possible to indicators and statistics delivered by the national statistical system;
- the relative magnitude of the financial and administrative resources to be made available and their potential impact (for example, in terms of improved country economic performance and poverty reduction);
- the comparative advantages of the donor in relation to complementarity/the division of labour between development partners, especially vis-à-vis the Member States and/or the Commission;
- where relevant, the results of the analysis of the consistency between the donors' other policies and the development objectives;
- any risks associated with the strategy that could jeopardise its success (political, economic, security, environmental impact).

The programming process must be guided by the principle of concentration. This means selecting a limited number of sectors of intervention rather than scattering efforts across too many different sectors. This is crucial to the effectiveness of aid.

The choice of implementation method must also be explained, given the principle of switching from a project-based to a programme-based approach, accompanied, wherever possible, by structural/sectoral aid.

For each selected focal area, the CSP should define overall and specific objectives.

If there is a joint response strategy, this section must contain a division of labour between development partners. If not, it must provide a specific justification of the value added by the EC as compared to other donors.

Cross-cutting issues must be mainstreamed in each priority area: i) democracy, good governance, human rights, the rights of the child and the rights of indigenous peoples; ii) gender equality; iii) environmental sustainability; iv) HIV/AIDS.

The partner country's commitments, drawn up in cooperation with the government, will be listed and the risks of the response strategy analysed.

In order to determine whether the priority sectors have a potential environmental impact, a reference will be made to a clear commitment to carry out a strategic environmental assessment.

## **PART 2: WORK PROGRAMME**

All the aspects examined in the CSP feed into a work programme or NIP.

The NIP is essentially a management tool covering a period of several years to identify and define, in a transparent manner, the selected areas/sectors of cooperation for financing and appropriate measures and actions for attaining the objectives set down. More specifically, it must set out the overall and specific objectives, the target groups, the expected results, the programmes to be implemented to achieve the objectives, the type of assistance to be provided and a calendar. The commitments agreed with the partner country will be reiterated.

In this connection, performance indicators must be fixed for each sector in partnership with the partner country and the other partners. These indicators must be confined to a few essential indicators of different types (inputs, direct achievements, results and impact). There should be a particular emphasis on results-based indicators, which have the advantage of increasing the partner country's ownership of the policies to be applied to achieve the objectives. The indicators must also be clearly defined and measurable. In this connection, the donors need to agree to use common indicators to assess performance in each sector against the objectives. In the countries concerned, this should be done using the monitoring system laid down in the PRSP, which should be incorporated into the national budget cycle.

Where appropriate, the work programme should also give an approximate idea of the resources allocated, the financing method (aid, projects, budget support) and the financial legal basis.

### **ANNEXES**

#### **1. Summary table for the country**

This table provides basic information on the country concerned. The tables showing the macroeconomic indicators and the 10 key poverty indicators will be included in it.

#### **2. Country environmental profile**

This analysis of the environmental conditions in a country or sector includes the following information: a description of the natural and human environment, including the profile of vulnerability and exposure to the risk of natural disaster, the legislative and institutional framework, information on the links between the social, economic and environmental situations, key data on areas where environmental action is needed and recommendations for

the future, an analysis of the cooperation from an environmental point of view as to its integration in programs and projects in other areas and/or as to its integration as focal sector.

### **3. Prospective financial matrix of donors**

This annex summarises the known interventions of other donors, including the Member States and multilateral donors. It will transparently reflect at least the results of the local coordination/harmonisation referred to above. It will highlight, where relevant, the division of labour and/or complementarity. The matrix will be both retrospective and prospective, covering both the past and the period 2006-2013.

This matrix will also be a useful contribution to the CDF/PRSP exercise if that is being developed in the partner country.

### **4. Country migration profile (where necessary)**

A migration profile must be drawn up for every country in which migration (South/North or South/South) and/or asylum issues could influence development prospects.

It contains any information relevant to the design and management of a common migration and development policy. It includes information on migratory flows (refugees and economic migrants), taking in gender issues and the situation of children. It also provides information on the country's skills needs, skills available in the diaspora and remittances to the country. Where relevant, the profile will analyse the routes taken by illegal migrants and the activities of people-trafficking networks.

### **5. Description of the CSP drafting process, stressing the involvement of non-state actors and local authorities**

This involves, in particular, explaining how non-state actors and local authorities were involved in the programming discussions and, more generally, assessing the progress made and to be made towards consolidating the involvement of these actors in the development process (discussion of the country's development priorities in the framework of the PRSP, the participatory nature of the budgetary processes, the capacities, potential and constraints of different types of actors, etc.).

### **6. Harmonisation road map (where there is one)**