

영국 국제개발부(DFID)의 국가지원전략 수립과정

Country Planning: The Process Used by the Department for International Development(DFID) of the United Kingdom

Anthea Mulakala 아시아재단 말레이시아 대표

〈요약〉

영국 국제개발부(DFID)는 해외 원조기관의 선두주자로 꼽힌다. 2007년 영국은 약 £60억 규모의 원조기금을 개발도상국에 지원했는데 그 중 86%가 DFID를 통해 전달되었다. 엄격한 국가지원전략 수립과정은 DFID 개발사업의 수준과 효과를 결정짓는 중요한 요소로써 철저한 분석자료를 바탕으로 향후 3~5년 기간의 중기사업방향을 결정한다. DFID의 국가지원전략은 각기 다른 목적과 대상을 겨냥해 다음 네 가지 문서로 구성된다.

- 1) 관련 자료수집 및 분석
- 2) 담당부처 의사결정을 위한 개발주제 목록
- 3) 운영 및 재정계획을 포함한 사업계획서
- 4) 대중홍보자료

DFID의 국가전략과정은 투명성과 책임을 강조하고 있으며 원조대상국이 주체가 된 개발과 빈곤감소를 요지로 하고 있다. 이 같은 DFID의 전략은 한국과 같은 중소규모 원조공여국이 개발우선순위와 개발협력기회를 이해하는데 있어 유용한 예가 될 것이다. 다른 국가들 또한 DFID의 국가지원전략 수립 사례를 각각의 상황에 맞게 적용해 볼 수 있을 것이다.

The United Kingdom's Department for International Development (DFID) is a leader amongst donor agencies. The consultative, transparent nature of its work and its commitment to aid effective development constitute development examples and lessons to be shared and used by other donors, such as Korea. The overall quality and impact of DFID's development programs provide evidence for other donors about the value of

a rigorous country planning process. For smaller donors whose resources do not allow them to undertake such a process, it can be worthwhile to draw on the analysis and country plans of larger donors such as DFID to frame these smaller programs. This can contribute to more consistent and aid-effective donor approaches across countries.¹⁾

Importance of Country Planning

The United Kingdom is one of the world's leading bilateral donors. In 2007 the UK spent £6 billion on development assistance, 86% of which was spent by DFID. By 2013, the UK will be the largest bilateral donor with an annual aid portfolio of £15 billion. DFID is committed to channeling 90% of its ODA to low income countries. While a large and increasing proportion of UK assistance is channeled through multilaterals, bilateral programs still comprise the bulk of UK assistance. A large proportion of DFID's bilateral aid (upwards of 20%) is contributed as budget support.

India was the UK's largest recipient of bilateral assistance in 2007. DFID's country plan for India is called "Three Faces of India" and presents the UK's development partnership for India from 2008–2015. Behind this slick and professional publication is a robust and intense planning process spanning almost several months. DFID undertakes a similar process for all its country programs.

The DFID country plan sets the medium term strategic direction for a country office. Generally this is 3–5 years but could be longer, such as in the India example. Country plans are required for all DFID country offices with aid frameworks over £20 million per year. The Country Plan uses rigorous analysis and evidence to determine the key programming choices for DFID. It then lays these out for UK Ministers to make decisions on resource allocation. The whole process requires is managed by country offices.

The country plan produces four different documents which serve different purposes for different audiences: (1) a framing paper which gathers all the relevant analysis and information, (2) an issues and choices paper on which ministers make decisions, (3) a business plan, laying out management and financing arrangements, and (4) a communications document which is disseminated to the public.

1) Information for this paper is drawn from DFID's Blue Book, DFID Guidance on Country Governance Assessments, DFID country program evaluations, discussions with DFID staff, OECD DAC reports. DFID Country Assistance Plan Guidance.

Analysis

Several types of analysis feed into the country plan. As DFID is committed to a country led approach, as much as possible, analysis should be shared and conducted with partner governments. DFID draws on existing analysis from credible sources such as the World Bank, the country government and other donors. This analysis should provide a sound picture of the current situation in the country. A second form of analysis is the fiduciary risk assessment(FRA) which assesses to what extent development funds in that country are being used for their intended purpose, are achieving value for money and are accounted for. This is particularly important given DFID's commitment to budget support. The fiduciary assessment therefore examines the country's public financial management systems, potential risks and proposes ways to strengthen fiduciary monitoring. A statistical analysis provides an evidence base for understanding poverty, progress against MDGs and the role of aid in the country. It draws on both international data and in-country statistics. A country governance assessment (CGA) is a signature DFID analytical tool. DFID's Third White Paper, "Making Governance Work for the Poor", emphasizes the centrality of governance to development and sets three requirements for good governance: state capability, accountability and responsiveness. A country governance assessment is meant to guide the way aid is delivered according to an assessment of these requirements in each country. A CGA may also be a standalone document.

Consultation

Consultation is another critical element of DFID's country planning. Consultation ensures that the country plan reflects the views of key stakeholders and targets the most appropriate areas. DFID begins consultation early in the country planning process. Usually it is carried out in parallel with analysis and data gathering but can also be done immediately afterwards. Stakeholders consulted include: the partner government, civil society, private sector, other donors, issue specialists, other UK government departments and the UK public. The method of consultation varies according to the audience and might involve meetings, surveys, or web forums. To solicit transparent and widespread consultation, DFID runs an open web-based consultation through its website for 12 weeks for each country plan. The consultation process is summarized and presented in the Framing Paper.

The Framing Paper

The Framing Paper details the main substance of the country plan. It is approximately 5000 words in length. It summarizes the analyses and data collated by the country office, confirms the context that DFID will operate in, and gives information that will enable judgments on priorities and ways of working. DFID encourages country office to conduct analysis for the country plan jointly with the partner government. The Framing Paper will summarize findings from the country governance assessment identifying issues such as political economy, conflict and fragility, growth, poverty, gender, social exclusion, and human rights. Scenario planning considers a wide range of possibilities for forward programming. Often they are focused around three scenarios: standstill, expansion or retrenchment. Country offices should suggest a preferred scenario based on risks and opportunities.

The framing paper also provides a statistical analysis to provide a quantitative analysis of the country situation. It usually includes regional comparisons and benchmarking, gender disaggregated data, data on aid as a percentage of GDP, types of aid, statistics from the government budget, and details on where and how donors spend their aid.

A section on partnerships discusses the range of partnerships that DFID will have in a country. This includes government, other donors, and civil society. It will address how DFID will work with partners to address issues such as reducing poverty and reaching MDGs, respecting human rights and other international obligations, strengthening public financial management and accountability, and promoting good governance and transparency. In terms of other donors, the country plan may provide a donor matrix which maps out various donors, volumes of aid from each, their main aid instrument, what sector they are involved in, and how much they contribute. This enables DFID to determine where there are gaps or overlaps. Achievements against aid effectiveness indicators should also be included such as whether donors are using a common results framework and whether a country-led approach is followed.

The Issues and Choices Submission

The details from the Framing Paper are condensed into the Issues and Choices Submission for UK Ministers. This document presents ministers with programmatic options that are achievable within the human and financial resource envelope. The options should lay out where DFID action will make the biggest contribution to short

and long-term poverty reduction in the country, to DFID's global objectives and to international system effectiveness. Every option should detail how it reflects DFID's priorities, partner government commitment, alignment, Paris Declaration commitments, and resources required. The Issues and Choices Submission also contains a Results Matrix which indicates anticipated measurable outcomes against the programmatic objectives. The Results Matrix should also identify potential risks and risk mitigation strategies.

Prior to submission to the Minister, the country plan must be reviewed internally by DFID by a Country Planning Review Committee. The CPRC is comprised of senior DFID staff representing the region and various other DFID specialists. The CPRC makes recommendations on the full batch of documents and determines whether the analysis provided is sufficiently comprehensive and robust, whether results and impact have been adequately identified, and whether the plan reflects ministerial, and UK priorities.

The Business Plan

The business plan component of the Country Plan is an internal document which is used by DFID to manage its resources to deliver its country objectives. It includes a results framework, a management plan, a monitoring and evaluation strategy and a communications strategy.

The Communications Document

Finally, the Communications Document is produced for the public. It is written in clear English and includes human interest stories of development success in the country. It articulates to UK taxpayers DFID objectives for a given country and what results they can expect from DFID engagement. "Three Faces of India: DFID Country Plan for 2008–2015" is an example of the country plan communications document for DFID India. Communications Documents require about 12 weeks of preparation.

Review

Though timing for reviewing the country plans is not specified most country offices will conduct a light touch review on an annual basis. A formal review is required in the fifth year of country plans that span more than five years. Any changes to objective as a result of a review process must be submitted to ministers through an updates issues and

choices submission.

Lessons from DFID country programs

Every year DFID undertakes major evaluations of five or six country programs. Usually these are carried out just prior to the development of the next country plan and therefore are critical in guiding priorities for the planning process. The evaluation reports produced in 2006–2007 revealed a number of strengths and weaknesses that are relevant for the country planning process.

- 1) DFID has developed innovative approaches to deliver aid (e.g. multi-donor funds, sector programs);
- 2) DFID has provided a strong corporate policy framework and clear direction on harmonization and aid effectiveness;
- 3) DFID has strong partnership relationships with governments over the long term
- 4) DFID is successfully scaling up its aid contribution through co-financing World Bank programs, budget support, sector programs and multi donor funds;
- 5) country plans could do better forecasting and scenario analysis particularly when changes in national government are likely;
- 6) alignment with Poverty Reduction Strategy Plans (PRSPs) should take better account of the national political context and how this may affect poverty
- 7) large donor-led bilateral projects running outside of government structures are not an effective approach and can have high transaction costs and little policy traction;
- 8) programs that focus on both demand and supply side governance have shown good results
- 9) new approaches to Monitoring and Evaluation are required when using new multi-donor aid instruments and
- 10) policy engagement is effective when it is evidence based, includes non-state stakeholders, and when it is targeted, sequenced, long term, and based on clear communication and partnership with stakeholders.

Such broad programmatic observations provide useful inputs for DFID country offices as they map out successive country plans. They are also useful to the wider field of donor agencies who seek to add value and support development in selected countries.

Application for other donors

DFID's country planning process underscores its commitment to country-led development, poverty reduction, transparency and accountability. For small donors, drawing on a country planning process such as DFID's is a useful way to understand country development priorities and opportunities for development cooperation. The various analysis and mapping conducted by DFID can be of strategic use for donors, such as KOICA, to choose and/or justify a particular area of support. Such sharing of analysis contributes to overall aid effectiveness.