

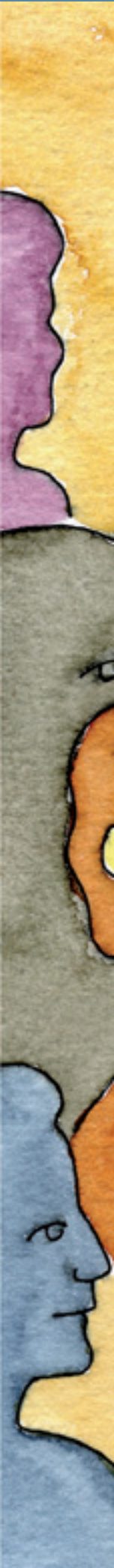


EU Policy Discourse: Democracy, Governance, and Human Rights

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Abstract

This paper describes EU policy documents on promoting and supporting democracy, good governance, and human rights and how these three ideals are linked with larger questions of sustainable economic development, security, and conflict prevention.

Despite the consistency in the overarching goals of EU policy regarding democracy, good governance, and human rights, there remains a degree of conceptual confusion and an omission of terms that make policy documents opaque, particularly on how aid modalities and cooperation will lead to the desired outcomes. More attention needs to be focused on how the EU defines democracy, good governance, and human rights, which in turn can lead to precise ways in which these concepts can be measured and monitored. Also, the main policy thrust still sees democracy, good governance, and human rights as important means to achieving larger ends, namely equitable and sustainable development, security, and conflict prevention. But these three ideals are valuable objectives for EU policy as ends in themselves, where larger and more representative proportions of citizens benefit from participating in public affairs, institutions are more transparent and accountable, and the rights of individuals are protected, respected, and fulfilled in ways that are consistent with international human rights standards.

Following the paper, a detailed chart outlines the numerous EU policies that clearly mention or allude to democracy, good governance and human rights, and the action plans those ideals figure in as the EU pursues its partnerships with countries around the world.

1. Introduction

As the European Union (EU) developed from an organization primarily based on economic reasons to one that combines economic and political objectives, its foreign policy has increasingly turned to value-based issues such as democracy, governance, and human rights. Its logic of enlargement has moved well beyond the establishment

and maintenance of a common market to one that includes significant criteria for membership, most notably articulated through the Copenhagen criteria. This internal logic to EU enlargement has influenced its external relations: the EU fully recognizes that as an 'economic and political player with global and diplomatic reach, and with a substantial budget for external assistance, [it] has both influence and leverage, which it can deploy on behalf of democratization and human rights' (European Commission Communication 2001).

These developments in commitments to democracy, good governance, and human rights can be traced from the end of the Cold War. Since then, there has been an increase in expectations, commitments and open debate about the promotion of these ideas at all levels within the EU. The integration of human rights and democratic principles into its external policies was articulated in 1993 with the Treaty on European Union, where the Common Foreign and Security Policy (CFSP) noted within the treaty has a primary objective 'to develop and consolidate democracy and the rule of law, and respect for human rights and fundamental freedoms'. The 1993 summit in Copenhagen of EU leaders declared that 'the stability of institutions guaranteeing democracy, the rule of law, human rights and respect for and promotion of minorities' is the first criterion to be met for countries seeking membership in the EU.¹

Following the Copenhagen Declaration, the European Commission stated that a commitment to respect, promote and protect democratic principles and human rights is an essential element of the Community's agreement with third countries (EC-COM 23 May 1995)² and that progress in the protection of human rights, good governance and democratization is seen as fundamental for poverty reduction strategies and sustainable development (see European Consensus on Development³ Appendix 1). Article 6 of the 1999 Treaty of Amsterdam reaffirms that the EU 'is founded on the principles of liberty, democracy, respect for human rights and fundamental freedoms, and the rule of law, principles which are common to the Member States'; while article 49 re-emphasizes the commitment to these principles by requiring that applicant countries respect them as well.

European institutions have increasingly endorsed recommendations on further integrating democracy and human rights within the EU agenda. The European Commission outlined measures to mainstream democracy and human rights in external relations with third countries (EC-COM 2001); the Council of the EU has adopted a similar approach in its guidelines for the CFSP⁴; and the Commission's Country Strategy Papers (CSPs) now include an assessment of the situation of human rights

¹ The other two criteria identified by the summit of EU leaders in Copenhagen (June 1993) are 'the existence of a functioning market economy' and 'the ability to take on the obligation of membership'. Fulfilment of the political Copenhagen criteria is a precondition for opening accession negotiations.

² European Commission Communication of 23 May 1995 on the 'Inclusion of Respect for Democratic Principles and Human Rights in Agreement between the Community and Third Countries'

³ Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on European Union Development Policy, The European Consensus on Development, Brussels, 24 February 2006, *Official Journal of the European Union* 2006/C 46/01, <http://ec.europa.eu/development/center/repository/eu_consensus_en.pdf>

⁴ <<http://www.consilium.europa.eu/showPage.aspx?id=822&lang=EN>>

and democratization as an integral element in the strategies of assistance that are adopted.

There is thus a combined interest within the EU in promoting democracy, good governance, and human rights in ways that are linked with questions of security, enlargement, technical cooperation, poverty reduction and the Millennium Development Goals (MDGs), as well as conflict prevention, crisis management and conflict resolution. This paper summarizes the current initiatives on democracy and human rights to show the 'state of the art' of democracy building within the broader EU policy agenda. It first reviews the general commitments to democracy, good governance, and human rights, and then evaluates those commitments in the main regions for EU activity: (1) the wider Europe, (2) the Mediterranean, (3) Africa, (4) Asia, and (5) Latin America. The paper is based on a set of EU policy documents and communications with a general appeal and more specific engagement with regions in the world in which the EU has worked or would like to enhance its work. The appendix contains a list of the documents; a brief summary of their content; an analysis of their commitments to democracy, good governance, and human rights; the policies used to reach their objectives; and future challenges that remain.

2. General Commitments

Through its various policy documents, while not always comprehensive in providing definitions for democracy, good governance, and human rights, the European Union has nevertheless made repeated commitments to democracy promotion and democracy support, which are grounded in a general understanding that democracy is a fundamentally domestic process, a continuous challenge, and is inextricably linked to the protection of human rights. Indeed, the EU sees that on the one hand, freedom of expression and association are preconditions for political pluralism and the democratic process, while on the other hand, it sees that democratic control and the separation of power are essential for maintaining an independent judiciary and guaranteeing the rule of law.⁵

The European Union sees *democratic governance* as highly variable, where no one institutional model prevails. Rather, democratic governance 'affirms the rights of citizens on the road to sustainable development' and includes 'respect of human rights and fundamental freedoms...support for democratisation processes...respect for the rule of law...access for all to an independent justice system... and a government that governs transparently and is accountable to the relevant institutions and to the electorate'.⁶ This melding of concepts is more generally typical of donors and appears throughout the EU documentation considered here. There are links between these political and legal objectives with broader socio-economic and security concerns, where democracy promotion is seen more as a means to an end, than an end in itself, although in certain

⁵ Regulation (EC) N 1889/2006 of the European Parliament and of the Council of 20 December 2006 on establishing a financing instrument for the promotion of democracy and human rights worldwide, Brussels, 29 December 2006, *Official Journal of the European Union* L 386/1, <http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/reg_1889_2006_jo_l386_en.pdf>, p. 2

⁶ European Commission, 'Governance in the European Consensus on Development – Towards a harmonised approach within the European Union', Brussels, 30 August 2006, COM(2006) 421 final, <http://ec.europa.eu/development/icenter/repository/COM_2006_421_EN.pdf>

instances (e.g., policy for the Euro-Med relationship⁷), democracy is indeed seen as an end in itself that is worth pursuing.

In policy terms, EU activities surrounding democracy promotion usually focus on elections and electoral observation. Activities in other policy areas, such as development, security, conflict prevention, and post-conflict peace building are integrated and mainstreamed with democracy projects. The most salient example of democracy promotion is the European Instrument for Democracy and Human Rights (EIDHR)⁸, founded in 2006 to provide support for the promotion of democracy and human rights worldwide and is now identified across a variety of policy documents examined for this paper.⁹ The EIDHR sees these two concepts as linked and as integral to achieve the Millennium Development Goals, while the democratic processes of accountability are seen as vital to ensuring government transparency. The EIDHR is used to mobilize resources more effectively and in a more coordinated fashion towards the goal of 'mainstreaming' democracy building into the wider EU policy agenda.

In more specific terms, electoral assistance projects and electoral observation missions (EOMs) have emerged as essential components of EU initiatives on democracy building. Elections are an essential step in the democratization process and represent a crucial opportunity for political participation and representation. These initiatives are accompanied by work on strengthening civil society, strengthening regional frameworks for democracy building, and building confidence in the electoral process.¹⁰

The EU recognizes that elections are necessary but not sufficient for moving towards democratic development. The promotion of an inclusive political society and functioning multiparty system that concentrates on institutional development needs to be combined with the promotion of the effective functioning of newly elected institutions. Focusing exclusively on electoral processes may be counterproductive if it leads to an early disengagement from donors. The so-called 'electoral fallacy', which celebrates (sometimes prematurely) successful elections, can lead to the impression

⁷ European Commission, 'Barcelona Process: Union for the Mediterranean' Brussels, 20 May 2008, COM(2008) 319 (Final), <http://ec.europa.eu/external_relations/euromed/docs/com08_319_en.pdf>; Barcelona Declaration and Euro-Mediterranean partnership, 27–28 November 1995, <http://europa.eu/legislation_summaries/external_relations/relations_with_third_countries/mediterranean_partner_countries/r15001_en.htm>; Euro-Med Five Year Work Programme 2005-2010, <http://ec.europa.eu/external_relations/euromed/summit1105/five_years_en.pdf>

⁸ This European Instrument on Democracy and Human Rights followed and replaced the previous European Initiative for Democracy and Human Rights (same acronym) which was established already 1994.

⁹ See, e.g., European Commission, (DG-External Relations), *Furthering Human Rights and Democracy across the Globe*, Luxembourg: Office for Official Publications of the European Communities 2007, <http://ec.europa.eu/external_relations/library/publications/2007_humanrights_en.pdf>; European Commission, *The European Union's Role in Promoting Human Rights and Democratization in Third Countries*, Brussels, 8 May 2001, COM(2001)252, <<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2001:0252:FIN:EN:PDF>>; European Commission, 'Towards an EU response to situations of fragility – engaging in difficult environments for sustainable development, stability and peace', Brussels, 25 October 2007, COM(2007) 643 final, <<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2007:0643:FIN:EN:PDF>>

¹⁰ Commission Decision on the European Instrument for Democracy and Human Rights (EIDHR) Strategy Paper 2007-2010 (COM 2007/3765), <http://ec.europa.eu/europeaid/documents/aap/2008/ec_aap-adhoc-2008_by_en.pdf>; see also European Instrument for Democracy and Human Rights (EIDHR) Strategy Paper 2007-2010, <http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/eidhr-strategy-paper-2007_en.pdf>

that no more cooperation is required at a time when such continued cooperation is vital. In extreme cases where the central government is not committed to democratic governance, the EU seeks engagement with other actors, such as civil society, local authorities or parliaments, to enhance democracy.

Beyond general and universal commitments to democracy, good governance, and human rights, the EU has in places sought to address questions of gender inequalities or mainstream gender into policy objectives. For example, some policy documents emphasize a strong gender component in their approach to democratization and human rights,¹¹ to development assistance measures¹² or to security and conflict-prevention initiatives.¹³

Overall, the emphasis in policy documents with a general purview of EU commitments tends to be more on *how* to engage with questions of democracy, good governance, and human rights and the kinds of instruments at the EU's disposal than on precisely laying out what is to be achieved. There is less emphasis on providing comprehensive, coherent, and consistent definitions of democracy, good governance, and human rights. The attention is more on realizing these objectives as significant means to an end, including sustainable economic development and the achievement of the MDGs, security and conflict prevention, and institutional capacity building in fragile states.

3. Regional Commitments

Beyond its general policy commitments to supporting democracy, governance, and human rights and linking them to larger questions of security, development, and conflict prevention, the European Union has also made significant regional commitments that respond to the different diversities, achievements, and challenges that exist across the wider Europe, including the Mediterranean; Africa, the Caribbean and the Pacific (ACP); Latin America; and South and East Asia. For the ACP countries, Latin America, and Asia, the dialogue on governance is reinforced as part of overall aid programming initiatives to create a new 'incentive mechanism' that gives partner countries access to additional funding depending on their relative commitments to good governance; the degree to which is assessed across six 'state of governance' criteria that can be monitored over time.¹⁴

¹¹ Regulation (EC) N 1889/2006 of the European Parliament and of the Council of 20 December 2006 on establishing a financing instrument for the promotion of democracy and human rights worldwide, Brussels, 29 December 2006, *Official Journal of the European Union* L 386/1, <http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/reg_1889_2006_jo_l386_en.pdf>

¹² Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on European Union Development Policy, 'The European Consensus on Development', Brussels, 24 February 2006, *Official Journal of the European Union* 2006/C 46/01 <http://ec.europa.eu/development/icenter/repository/eu_consensus_en.pdf>

¹³ European Commission, 'Communication from the Commission on Conflict Prevention', Brussels, 11 April 2001, COM(2001)211 final <<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2001:0211:FIN:EN:PDF>>

¹⁴ European Commission, 'Regional Programming for Asia Strategy Document 2007–2013', Revision 1, 31 May 2007, <http://ec.europa.eu/external_relations/asia/rsp/07_13_en.pdf>

The Wider Europe

European enlargement has of course included countries to the east and to the south, stretching into Southern Europe in the 1970s, Eastern Europe and the Mediterranean in the 1990s, and the larger European ‘neighbourhood’ through the turn of the new century. The EU had to confront the transition from Communism in Eastern Europe, including the breakup of the Soviet Union, the creation of new independent states, the division of Czechoslovakia, and the breakup of the former Yugoslavia. The ‘velvet revolutions’ in Eastern Europe contrasted sharply with the conflict in the Balkans, while countries in the Caucasus and Central Asia today continue to struggle with the process of state building and democratization. Across these regions, the promotion of democracy, good governance, and human rights is vital to conflict prevention and security in the wider Europe, and continues to be seen as linked to long-term patterns in sustainable economic development.

Mediterranean

Addressing neighbours to the immediate south of the EU, the ‘Barcelona Process’¹⁵ remains committed to regional stability and democracy through cooperation and further integration, and has provided a forum where ‘Mediterranean partners exchange views and engage in constructive dialogue, and political dialogue is a regular item on the agenda of the Euro-Mediterranean ministers’ and senior officials’ meetings’.¹⁶ The Barcelona Declaration states:

The parties agree to develop the rule of law and democracy in their political systems, while recognising in this framework the right of each of them to choose and freely develop its own political, socio-cultural, economic and judicial system.¹⁷

However, the persistence of conflict in the Middle East (most notably the 2006 crisis in Lebanon and the 2008–2009 crisis in Gaza) continues to challenge and stretch the partnership in ways that have limited its abilities to ‘preserve the channels of dialogue among all partners’.¹⁸

Africa

The colonial and post-colonial experiences in Africa make its history and development intimately linked to that of Europe, even as European countries extracted themselves from direct rule (or were expelled from doing so) beginning in the 1960s. The parallel development of regional ‘unions’ (albeit at markedly different paces) means that the two regions share a common set of characteristics and commitments. European policy documents recognize this history and see common value commitments to ‘the respect for human rights, freedom, equality, solidarity, justice, the rule of law and democracy

¹⁵ <http://ec.europa.eu/external_relations/euromed/index_en.htm>

¹⁶ European Commission, Communication from the European Commission, ‘Barcelona Process: Union for the Mediterranean’ Brussels, 20 May 2008, COM(2008) 319 (Final), <http://ec.europa.eu/external_relations/euromed/docs/com08_319_en.pdf>, p. 2

¹⁷ <http://europa.eu/legislation_summaries/external_relations/relations_with_third_countries/mediterranean_partner_countries/r15001_en.htm>

¹⁸ *Ibid.*, p. 2

as enshrined in the relevant international agreements and in the constitutive texts of our respective Unions'.¹⁹ European engagement with Africa is primarily dedicated to:

To strengthen and promote peace, security, democratic governance and human rights, fundamental freedoms, gender equality, sustainable economic development, including industrialisation, and regional and continental integration in Africa, and to ensure that all the Millennium Development Goals (MDGs) are met in all African countries by the year of 2015.²⁰

Alongside these general commitments in its relations with Africa, the EU sees the promotion of democratic governance and human rights as a central feature of its dialogue and partnership. Moreover, the EU celebrates and welcomes the two main African initiatives on democracy and good governance: the African Peer Review Mechanism (APRM) and the African Charter on Democracy, Elections and Governance;²¹ mechanisms and institutions that bolster the two unions' commitments to democracy promotion.

Asia

European countries have also had colonial connections throughout large sections of Asia, which is divided principally between South Asia and East Asia, where democracy, good governance, and human rights are seen as 'cross-cutting' issues alongside development, security, and conflict prevention. Asia does not have the same kinds of regional mechanisms as those found in Europe and Latin America to promote democracy, good governance, and human rights; however, the EU works through the Asia-Europe Meeting (ASEM), Association of South-East Asia Nations (ASEAN), ASEAN regional forum (ARF) and the South Asian Association for Regional Co-operation (SAARC) in ways that 'contribute to the protection of human rights, the spread of democracy, good governance and the rule of law'.²²

The EU recognizes that Asia is characterized by significant differences in the forms of governance in the region, including monarchies, communist regimes, authoritarian regimes, dictatorships, and 'guided' democracies (e.g., in Indonesia), but also sees a general trend towards political democratization, even if it is characterized by the presence of some significant exceptions. Clearly, China looms large in any policy towards Asia; conflict has been persistent Afghanistan, Pakistan, Sri Lanka and Nepal; India is the world's largest democracy and is attracting greater attention through the EU-India partnership (since 2000); and developments in ASEAN promise more support for democracy in the future. In addition to the variation in regime type, Asia has additional problems of large refugee and migratory flows; the potential risk of nuclear proliferation; lack of adherence to labour standards; unemployment; natural disasters, health threats, and environmental degradation; and related global threats.²³ But against this backdrop of variety and challenges, the EU claims:

¹⁹ The Africa-EU Strategic Partnership: A Joint Africa-EU Strategy, <http://ec.europa.eu/development/icenter/repository/EAS2007_joint_strategy_en.pdf>, p. 1

²⁰ *Ibid.*, p. 2

²¹ *Ibid.*, p. 8

²² European Commission, 'Regional Programming for Asia Strategy Document 2007–2013', Revision 1, 31 May 2007, <http://ec.europa.eu/external_relations/asia/rsp/07_13_en.pdf>, p. 4

²³ *Ibid.*, p. 5

In contributing to democratisation, good governance and the rule of law, and respect for human rights we should strengthen our bilateral and multilateral dialogue with our Asian partners, encourage civil society dialogue, and ensure that human rights and governance issues are mainstreamed in our cooperation activities.²⁴

In South East Asia, the EU also recognizes the diversity of country contexts and regimes types, even as its assistance has helped establish democracy in Cambodia and East Timor.²⁵ Vietnam, Laos and Cambodia have signed cooperation agreements with the EU, which include an ‘essential element’ clause that stipulates that respect for fundamental human rights and democratic principles underpins the internal and external policies of the parties. Such ‘essential element’ clauses must be included in all future bilateral agreements with countries of South East Asia. But even where an agreement including such clauses is not in force, the EU’s political and development dialogue with its South East Asian partners will mirror the Treaty provisions on human rights and democracy.²⁶

Latin America

The countries of Latin America have featured as key components in the ‘third wave’ of democratization and underwent long periods of political liberalization shortly after the democratic transitions in Spain, Portugal and Greece in the 1970s. By 1990, with the exception of Cuba, all the countries in the region had democratically elected leaders. Despite the general trend towards greater democracy in the region, Peru experienced a coup d’état in 1992 under the presidency of Alberto Fujimori during its prolonged conflict primarily with the Shining Path (*Sendero Luminoso*), while armed conflict plagued countries in Central America and Colombia. But, on balance, the region has undergone a remarkable set of developments towards democracy, institutionalized human rights commitments in the Inter-American cooperation framework, and in 2001 passed the Inter-American Democratic Charter.²⁷ The Charter commits all countries in the region to the idea that people have a *right to democracy* and that democracy itself is ‘essential for the social, political, and economic development of the peoples of the Americas’ (see Article 1).

The EU remains concerned over the precariousness of democracy given its dwindling public support as the most suitable form of government for the region. Citizen satisfaction with democracy has declined dramatically since the early 1990s, a change in perception that accompanies the persistence of poverty and social exclusion in the region. But the European Commission (primarily through the EIDHR) has pledged to continue its support for modernizing government in Latin America by:

²⁴ European Commission, Communication from the Commission, ‘Europe and Asia: A Strategic Framework for Enhanced Partnerships’, 4 September 2001, /* COM/2001/0469 final */, <<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52001DC0469:EN:NOT>>, p. 18

²⁵ *Ibid.*, p. 11

²⁶ European Commission, Communication from the European Commission, ‘A new partnership with South East Asia’, 7 September 2003, /* COM/2003/0399 final */, <<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52003DC0399:EN:NOT>>, p. 15

²⁷ <http://www.oas.org/charter/docs/resolution1_en_p4.htm>

...representation for all members of society in politics, cooperation with civil society, promotion of dialogue between social partners, access to justice, strengthening the judiciary, building security force capacity, ensuring the security forces are subject to the rule of law, decentralisation and good governance, tackling corruption and anti-impunity initiatives.

Moreover, the European Parliament has proposed setting up a Euro-Latin American transatlantic assembly that combines members from the European Parliament with those from subregional parliamentary groups such as Parlatino, Parlacen and Parlandino.²⁸

4. Summary and Recommendations

This brief overview of EU policy documents on promoting and supporting democracy, good governance, and human rights shows consistency across different EU institutions with respect to how these three ideals are cross-cutting issues linked with larger questions of sustainable economic development, security, and conflict prevention. Even though there is recognition of the diverse set of countries with which the EU has formed external relations and partnerships, policy commitments draw on the European experience of development, democracy, human rights and regional integration to work with partners in ways that bring about greater accountability and transparency in governance. The means through which these policy commitments are pursued vary greatly depending on the social, political, economic, and cultural specificities of the countries with which partnerships are established. But the EU can use its economic and political leverage in ways that benefit the promotion of democracy, good governance, and human rights.

Despite the consistency in the overarching goals of EU policy regarding democracy, good governance, and human rights, there remains a degree of conceptual confusion and an omission of terms that make policy documents opaque, particularly on how aid modalities and cooperation will lead to the desired outcomes. More attention needs to be focused on how the EU defines democracy, good governance, and human rights, which in turn can lead to precise ways in which these concepts can be measured and monitored. Also, the main policy thrust still sees democracy, good governance, and human rights as important means to achieving larger ends, namely equitable and sustainable development, security, and conflict prevention. But these three ideals are valuable objectives for EU policy as ends in themselves, where larger and more representative proportions of citizens benefit from participating in public affairs, institutions are more transparent and accountable, and the rights of individuals are protected, respected, and fulfilled in ways that are consistent with international human rights standards.

²⁸ European Commission, *A stronger partnership between the European Union and Latin America*, Communication from the Commission to the Council and the European Parliament, 2006, {COM(2005)636 final}, <http://ec.europa.eu/external_relations/la/docs/com05_636_en.pdf>, p. 13

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Annex: Selection of EU Documents and Grid Analysis

The EU documents for the grid analysis contained in this annex cover different policy areas (e.g. security and the development cooperation), include general and specific documents, and cover the main regions of EU engagement. The grid analysis is divided into four main sections: general EU documents; development and development cooperation; security and conflict prevention; and regional documents, including the wider European neighbourhood, Euro-Med, Asia, Africa, and Latin America. For each document, the grid includes a brief overview of the content, further details on the strategic objectives of EU policy, and descriptive information about the following questions:

How are the objectives described? Definitions and terminology

How are the objectives achieved? Current policy initiatives

What remains to be done? Future policy initiatives

1

General EU Documents

European Commission: *Furthering Human Rights and Democracy across the Globe*¹

What is this about? An overview

Official report produced by the European Commission – DG External Relations.

The report is divided into two main sections:

- the *first section* gives a general overview of a wide range of tools and policies implemented at EU level to promote human rights and democratization objectives in its external relations. These tools include: a) Common Foreign and Security Policy; b) Human Rights Dialogues/Consultations; c) The Human Rights Clause in Agreements with Third Countries;
- the *second section* reviews the past activities supported by the EU through the European Initiative for Democracy and Human Rights (EIDHR) and presents the main objectives and financial allocations set out in the Commission's strategy paper for 2007-2010, under the new funding instrument now called 'The European Instrument for Democracy and Human Rights' (EIDHR).

What contributions for the mapping study? Some reflections

This is a clear and comprehensive overview of tools and initiatives supported by the EU to promote human rights and democratization. Contextual information is provided about a broad range of projects and activities funded under the European Initiatives for Democracy and Human Rights (EIDHR 2001–2006), in order to implement the EU Human Rights Guidelines. The review of the priorities defined within the new EIDHR Strategy Paper (2007–2013) highlights a strong focus on 'democracy promotion', suggesting that this development aid programme is supposed to be a crucial step in the process of mainstreaming human rights and democratization throughout the EU policies. Under EIDHR, the goal of 'democracy promotion' is translated into a set of multiple actions projects including support to civil society in promoting democratic reform, participation and representation; and EU electoral observation missions.

¹ European Commission (Directorate-General for External Relations), *Furthering Human Rights and Democracy across the Globe*, Luxembourg: Office for Official Publications of the European Communities 2007. http://ec.europa.eu/external_relations/library/publications/2007_humanrights_en.pdf

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Support/Promote Democracy	<p>PNo explicit definitions are provided for the concepts ‘democracy’ and ‘democratization’</p> <p>No explicit normative framework is identified to highlight the EU vision of democracy (i.e., values and principles), except the statement that ‘liberty, democracy, respect for human rights and fundamental freedoms, and the rule of law are founding principles of the European Union and an indispensable prerequisite for the Union legitimacy’ (p. 5)</p>	<p>The new EIDHR Strategy Paper (2007–2010)² introduces some relevant changes to its predecessor (EIDHR 2001–2006), with particular focus on ‘promoting and consolidating democracy and democratic reform’. EIDHR aims to implement several democracy-building tools:</p> <ul style="list-style-type: none"> • strengthening the role of civil society in promoting human rights and democratic reform, and in developing political participation and representation; • supporting and strengthening the international and regional framework for the ... promotion of democracy and the rule of law; and • building confidence in the electoral processes through election observation missions 	<p>Main recommendation is to implement the programming set out in the new EIDHP Strategy Paper (2007–2008) ‘which increasingly mainstream democracy and human rights concerns’ in the EU policy agenda</p> <p>Among the set of policy tools available to the EIDHR, EU electoral observation missions are identified as ‘a very significant democracy-building tool’ (p. 33). Recommendations are made to follow the EU Human Rights guidelines and contribute to building confidence in electoral processes. ‘This requires a single framework with broad geographical scope, in order to ensure policy coherence, a unified management system and common operating standard’ (p. 21)</p>
Respect/Protect Human Rights	<p>A chart provides basic terminology. Human rights are:</p> <ul style="list-style-type: none"> • universal, indivisible, inter-related and inter-dependent; • embrace civil, political, economic, social and cultural rights; • set out in a wide range of international/regional instruments 	<p>Mainstreaming of human rights throughout EU policies. Within the framework defined by the EIDHR (2001–2006), particular attention paid to specific initiatives related to areas of key importance for the EU’s human rights policy.³</p>	<p>Critical assessments are made for specific EU activities on human rights. Regarding human rights dialogues, for instance, it is acknowledged that ‘the key challenge is... to go beyond a mere recitation of well-known positions and to lead to concrete improvement of the human rights situation on the ground’</p>

² Commission Decision on the European Instrument for Democracy and Human Rights (EIDHR) Strategy Paper 2007-2010 (C 2007/3765) – available at <http://ec.europa.eu/europeaid/documents/aap/2008/ec_aap-adhoc-2008_by_en.pdf>; see also European Instrument for Democracy and Human Rights (EIDHR) Strategy Paper 2007–2010, <http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/eidhr-strategy-paper-2007_en.pdf>

³ Namely: death penalty; prevention of torture; human rights dialogues with third countries; children’s rights in countries affected by armed conflict; and gender equality.

European Parliament and Council of the European Union: Regulation (EC) No 1889/2006 of 20 December 2006 on establishing a financing instrument for the promotion of democracy and human rights worldwide⁴

What is this about? An overview

This document presents the regulation jointly adopted by the European Parliament and the Council on establishing a financing instrument to promote democracy and human rights worldwide. This Regulation (1 January 2007–31 December 2013) establishes a *European Instrument for Democracy and Human Rights* (EIDHR) under which the Community shall provide assistance, within the framework of the Community's policy on development cooperation, and economic, financial and technical cooperation with third countries, consistent with the European Union's foreign policy as a whole.

In practice, this regulation addresses the need for specific financial resources and a specific financial instrument that can complement the tools and instruments used to implement EU policies on democracy and human rights. After an introductory section on the principles underlying the EU approach to human rights and democracy promotion, the document describes the 'objectives and scope' of the Regulation (title I), the 'general framework for implementation' (title II) and the 'final provisions' (title III). For the purposes of this mapping study, 'title I' is the most informative and the one that provides of the bulk of the information for the grid analysis.

What contributions for the mapping study? Some reflections

According to the EC regulation, the EIDHR shall provide assistance in the following policy areas:

1. Enhancing the respect for and observance of human rights ... and promoting and consolidating democracy and democratic reform;
2. Supporting and strengthening the international and regional framework for the protection and promotion of human rights and democracy;
3. Building confidence in and enhancing the reliability of electoral processes, in particular through election observation missions.

A major contribution of the document is the effort (see introduction) to make explicit the EU approach to democracy promotion and human rights policy, while also presenting the new EIDHR as a complementary tool through which 'democracy and human rights objectives must be increasingly mainstreamed'. Also, another remarkable contribution of this EU document is its *strong gender component*. Besides the description of specific human rights policies (article 2.1b), article 2.2 states that

⁴ Regulation (EC) No 1889/2006 of the European Parliament and of the Council of 20 December 2006 'on establishing a financing instrument for the promotion of democracy and human rights worldwide', Brussels, 29 December 2006, Official Journal of the European Union L 386/1. http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/reg_1889_2006_jo_l386_en.pdf

‘The promotion and protection of gender equality, the rights of the child, rights of indigenous peoples, rights of persons with disabilities, and principles such as empowerment, participation, non-discrimination of vulnerable groups and accountability shall be taken into account whenever relevant by all assistance measures referred to in this Regulation’ (p. 5).

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
<p>Support/Promote Democracy</p>	<p>Although no explicit definition of democracy is presented, an EU vision of democracy can be identified in the document: ‘democracy has ... to be seen as a process, developing from within, involving all sections of society and a range of institutions, in particular national democratic parliaments, that should ensure participation, representation, responsiveness and accountability’ (p. 2)</p> <p>Also, a normative approach underlies the relationship between ‘democracy’ and ‘human rights’: ‘democracy and human rights are inextricably linked. The fundamental freedoms of expression and association are the preconditions for political pluralism and democratic process, whereas democratic control and separation of power are essential to sustain an independent judiciary and the rule of law which in turn are required for effective protection of human rights’ (p. 2)</p> <p>Finally, the EU approach to ‘democracy support’ is clarified: ‘the task of ... making democracy work ... is essentially a continuous challenge, belonging first and foremost to the people of the country concerned but without diminishing the commitment of the international community’ (p.2)</p>	<p>‘Democracy promotion’ is one of the key fields to which Community assistance shall be related, within the funding framework of the EIDHR. In particular: ‘promotion and enhancement of participatory and representative democracy, including parliamentary democracy, and the process of democratization, mainly through civil society organizations’</p> <p>The scope of ‘democracy promotion’ policy is further described through a list of 7 different policy guidelines</p>	<ul style="list-style-type: none"> • developing and consolidating democracy under the EIDHR should include democratic parliaments and their capacity to support and advance democratic reform processes • enhance the operational coordination between the Community and the Member States in the field of supporting democratization • Ensure that EU external assistance initiatives are complementary and coherent, avoiding overlap and duplication • Monitor the progress achieved in implementing the assistance measures • Produce an annual report containing results of monitoring and evaluation (the scope of establishing indicators of impact will be pursued)

<p>Respect/Protect Human Rights</p>	<p>Human rights are generally referred to in a broad sense, and 'considered in the light of universally accepted international norms' (p. 2)</p> <p>See also above section about democracy and human rights as mutually re-enforcing concepts</p>	<p>Human rights is the other key field to which Community assistance shall be given, within the funding framework of the EIDHR. In particular: 'the promotion and protection of human rights and fundamental freedoms, as proclaimed in the Universal Declaration of Human Rights and other international and regional instruments concerning civil, political, economic, social and cultural rights, mainly through civil society organizations' (p. 5)</p> <p>The scope of the human rights policy is described in a list of 10 policy guidelines</p>	<p>See section above</p> <p>Recommendations apply to both objectives of EU policy</p>
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European Commission: *The European Union's Role in Promoting Human Rights and Democratization in Third Countries*⁵

3

General EU Documents

What is this about? An overview

This is one of the most recent EC Communications regarding EU policies in human rights and democratization.

Rather than reviewing the wide range of tools and initiatives implemented at the EU level to promote human rights and democratization, this communication seeks to identify the main policy objectives or areas in which the European Commission can play a more effective role to pursue human rights and democratization.

Three main objectives or 'priority areas' are highlighted. The Communication describes initiatives, actions and projects that can be undertaken by the European Commission to address the priority areas. The EC's role is discussed; the Communication also calls for synergies with and support from the Council, the European Parliament and other relevant partners.

What contributions for the mapping study? Some reflections

The major contribution of this Communication consists in two combined efforts:

1. To identify those areas in which more work is needed for the European Commission in the pursuit of the EU's human rights and democratization objectives;
2. To identify and discuss a wide range of 'action points' through which the Commission will regularly evaluate whether or not progress is being made towards the implementation of the three 'priority areas' outlined in the Communication. The Annex 2 to this EC Communication presents the full list of 'action points'.

This EU document reflects a thoughtful and critical appraisal of EU policies in human rights and democracy promotion, and the 'action points' outlined may represent a remarkable contribution to the present study's effort to identify what can be done to further promote the EU democracy-building agenda.

⁵ European Commission, *The European Union's Role in Promoting Human Rights and Democratization in Third Countries*, Brussels 8 May 2001 – COM (2001) 252. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2001:0252:FIN:EN:PDF>

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Support/Promote Democracy and Democratization	No explicit definition is provided, nor do the documents refer to any normative framework underpinning the EU vision of democracy	<p>This communication does not re-write or review the features defining current EU Human Rights and Democratization policy</p> <p>Instead, the main task is to address 'priority areas' and outline 'action plans' for future initiatives undertaken by the European Commission</p>	<p>Three main priority areas are identified:</p> <ol style="list-style-type: none"> 1. Promote greater consistency and coherence between the activities of the European Community, European Union and Member States; 2. Mainstream human rights and democratization objectives in the EU's external relations with third countries, through <ol style="list-style-type: none"> a) political dialogues, b) external assistance programmes, and c) training to be provided for Commission staff; 3. A more strategic approach to the EIDHR and to joint cooperation projects with the UN and other international organizations
Respect/Protect Human Rights	<p>A broad terminology is used while referring to human rights</p> <p>No explicit definition is provided for the concept 'human rights'. An opening statement emphasizes that 'the European Union seeks to uphold the universality and indivisibility of human rights – civil, economic, social and cultural, as reaffirmed by the 1993 World Conference on Human Rights in Vienna' (p. 3)</p>	See above	See above

European Commission: *Governance in the European Consensus on Development – Towards a harmonised approach within the European Union*⁶

4

EU Documents on Development Policy and Cooperation⁷

What is this about? An overview

This Communication is a remarkable effort to frame commitments and basic principles of democratic governance in one single policy framework, while also emphasizing the importance of ‘good governance’ to meet the objectives of development and the MDGs. It draws on a previous EC Communication — *the European Consensus on Development* (2006/C 46/01 – see doc. nr. 5), as well as on previous declarations such as the *Monterrey Consensus* (2002) and the *Paris Declaration on Aid Effectiveness* (2005), firmly calling on donors to apply principles of good governance in providing support to developing countries.

In order to avoid increased donor fragmentation and to further elaborate previous efforts to set out the European Community policy framework for good governance,⁸ this document reaffirms the EC’s commitment to governance by repeating the basic principles to which it adheres. It is divided into three sections:

- the *first section* outlines the EU vision of governance, stressing that there is no particular institutional model for governance⁹ (see the section ‘the multi-dimensional nature of governance’), which should be a home-grown process as it cannot be imposed from outside. Possible ways to support the processes of democratic governance are also analyzed;
- the *second section* outlines the application of the available policy instruments and governance initiatives in Africa, the Caribbean and the Pacific countries;
- the *third section* emphasizes the need to promote cooperation between the Community and the Member States, as well as political dialogue and negotiations with other donors and international organizations to provide coherent, harmonized support for democratic governance in various countries and regions.

⁶ European Commission, *Governance in the European Consensus on Development – Towards a harmonised approach within the European Union*, Brussels, 30 August 2006, COM (2006) 421 final http://ec.europa.eu/development/icenter/repository/COM_2006_421_EN.pdf

⁷ Cooperation programmes refer to programmes with countries not considered as developing countries in the OECD/DAC list.

⁸ Beside the already mentioned ‘Governance and Development’ (COM 615/2003) see also the Draft Handbook on promoting good governance in EC development and cooperation (2004).

⁹ COM(2003) 615 ‘Governance and Development’: Governance concerns the state’s ability to serve the citizens. Governance refers to the rules, processes, and behaviour by which interests are articulated, resources are managed, and power is exercised in society. The way public functions are carried out, public resources are managed and public regulatory powers are exercised is the major issue to be addressed in this context. Governance is a basic measure of the stability and performance of a society. (...) A society develops into a more sophisticated political system and governance evolves into good governance.

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Support/Promote Democracy and Democratization	The strategic objectives of democracy, democracy building and human rights protection are not discussed on their own, but within the notion of 'democratic governance'	Mainstream and re-enforce dialogue on governance as part of aid programming initiatives, particularly in: <ul style="list-style-type: none"> • ACP countries • Latin America • Asia 	The processes of democratic governance will be supported more effectively by dialogue than by sanctions and conditions
Protect and Promote Human Rights	An explicit discussion about definitional issues is a plus of this document. However, the notion of 'democratic governance' becomes so broadly conceived as to encompass a wide array of phenomena	With its governance initiative for the ACP countries, the EU is creating a new 'incentive mechanism' that will give partner countries access to additional funding according to their governance commitments. This mechanism is comprised of six different steps to assess the 'state of governance' and monitor trends over time	<i>Dialogue</i> with EC partner countries must be the preferred means of encouraging 'good governance' reforms. This dialogue should be translated into coherent approaches to aid programming and coordinated support for reform programmes
Support Good Governance	There is no particular institutional model for democratic governance, which simply affirms the rights of all citizens on the road to sustainable development. It includes: respect of human rights and fundamental freedoms (including freedom of expression, information and association); support for democratization processes and the involvement of citizens in choosing and overseeing those who govern them; respect for the rule of law and access to an independent justice system; access to information; a government that governs transparently and is accountable to the relevant institutions and to the electorate		<i>Cooperation</i> must take place between the EC and Member States and other international players to <i>harmonize approaches</i> and thus enhance aid effectiveness

Council of the European Union, the European Parliament and the Commission Joint Statement on European Union Development Policy: *The European Consensus on Development*¹⁰

EU Documents on Development Policy and Cooperation

What is this about? An overview

This policy statement reflects the EU's willingness to eradicate poverty and build a more stable and equitable world. In practice, this document outlines a new framework for the implementation of EC development policy. This new development policy is firmly grounded on the principle of sustainable, equitable and participatory human and social development. The promotion of human rights, democracy, the rule of law and good governance are an integral part of it. The Consensus provides 'for the first time, a common vision that guides the action of the EU, both at its Member States and Community levels, in development cooperation' (p. 2). It is divided into two sections:

- the *first section* outlines the *EU vision of development* and identifies shared values, goals, principles and commitments which the European Commission and EU Member States will implement in their development policies;
- the second section sets out the *European Community development policy* to guide the implementation of the above vision at the Community level and further specify priorities for concrete action.

What contributions for the mapping study? Some reflections

The Consensus states that 'the primary and overarching objective of EU development cooperation is the eradication of poverty in the context of sustainable development, including pursuit of the Millennium Development Goals (MDGs)'.

Despite the fact that the main focus of this document refers to the EU vision of development, the document does provide some information on how democracy, human rights and democracy building can be integrated within the EU development policy.

Among the specific sectors in which EC development cooperation should be concentrated, the document identifies institutional capacity building (and in particular for democracy and good governance) as a strategic area for Community activities. It also identifies the promotion of human rights, equality between men and women, and children's rights among the principles to be mainstreamed into cooperation activities.

Another remarkable contribution of this EU document is its strong *gender component*: 'the promotion of gender equality and women's rights is not only crucial in itself but is a fundamental human right and a question of social justice, as well as being instrumental in achieving all the MDGs'.

¹⁰ Joint Statement by the Council and the Representatives of the Governments of the Member States Meeting Within the Council, the European Parliament and the Commission on European Union Development Policy, 'The European Consensus on Development', Brussels, 24 February 2006, *Official Journal of the European Union* 2006/C 46/01 http://ec.europa.eu/development/icenter/repository/eu_consensus_en.pdf

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
<p>Support/Promote Democracy and Democratization</p>	<p>‘Democracy’ is understood – albeit implicitly – as a defining feature of ‘sustainable development’: ‘Sustainable development includes many development activities from democratic governance to political, economic and social reform ... promoting human rights’ (p. 3)</p> <p>“Progress in the protection of human rights, good governance and democratisation is fundamental for poverty reduction and sustainable development’, thereby contributing to the achievement of the Millennium Development Goals (MDGs)</p> <p>Democracy and human rights are understood as <i>the means towards an end</i> (poverty eradication and MDGs)</p>	<p>‘The Community will be active primarily in the following areas, a number of which will be considered its comparative advantage’ (p. 11):</p> <ul style="list-style-type: none"> • trade and regional integration • the environment • infrastructure, communications and transports • water and energy • rural development and food security • governance, democracy, human rights and support for economic and institutional reform 	<p>Internally: Improve coordination and complementarity between the Community and the Member States</p> <p>Externally: Enhance cooperation with partner countries, other bilateral development partners and multilateral players such as the UN, International Monetary Fund, and the World Bank to prevent duplicate efforts and to maximize the impact and effectiveness of global aid</p> <p>Monitoring: ‘The community should develop a set of measurable objectives and targets for implementing this Policy and assess progress against this on a regular basis’</p>
<p>Protect and Promote Human Rights</p>	<p>See above</p>	<p>‘The community will actively seek to promote human rights as an integral part of participatory in-country dialogue on governance’ (p. 13)</p>	

European Commission: *Financing for Development and Aid Effectiveness – The challenges of scaling up EU aid 2006–2010*¹¹

6

EU Documents
on
Development
Policy
and
Cooperation

What is this about? An overview

This statement, together with two other related EU Policy documents ('EU Aid: Delivering more, better and faster' and 'Increasing the impact of EU aid: a common framework for drafting country strategy papers and joint multiannual programming') is an aid-effectiveness package that follows up on the EU's commitments in 2005 to increase development aid and improve impact and speed of delivery to meet the Millennium Development Goals by 2015.

This EC Communication provides the first assessment of the implementation of the new EU commitments established by the Council in May 2005 to which the 'European Consensus' and the 'EU Strategy for Africa' refer. Preliminary estimates indicate that the majority of Member States have introduced the necessary measures to achieve the 2010 official development assistance (ODA) targets. However, the individual performance of some Member States is still insufficient: these countries must increase their aid volumes to avoid jeopardizing the strong performance of the EU as a whole. The ability of the new Member States to meet their commitments is evaluated very positively; they have agreed to individual baselines adapted to their specific situations. They have committed themselves to striving to reaching the goal of the EU in 2002 (0.33% ODA/gross national income) by 2015 through gradual increases of their ODA, with an intermediate target of 0.17% by 2010.

What contributions for the mapping study? Some reflections

The main goal on this EC Communication is to report on the progress made at EU level towards attaining the Millennium Development Goals and assess the 'financial component' of EU commitments towards ODA. Consequently, it is not designed to address areas directly related with democracy building and democracy promotion and is not informative for the purposes of this mapping study.

In light of the above considerations, *no grid analysis is attached to this EU document.*

¹¹ European Commission, 'Financing for Development and Aid Effectiveness – The challenges of scaling up EU aid 2006–2010', COM 2006, 85 final, Brussels, 2 March 2006
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2006:0085:FIN:EN:PDF>

Council of the European Union: *Council Conclusions: Accelerating progress towards achieving the millennium development goals*¹²

What is this about? An overview

The policy framework this document refers to is the so-called ‘Monterrey Consensus’ (2002). The Conference on Financing for Development in Monterrey addressed the two issues of the necessary ‘means’ (i.e., financing) and the most effective ‘ways’ (i.e., aid effectiveness) of achieving the MDGs. The underlying principle informing the Monterrey Conference is the idea that these are two mutually reinforcing objectives, and progress should be made on both. The EU contributed to the ‘Monterrey Consensus’ through the so-called ‘Barcelona Commitments’ (see annex 1 of this Communication for further details). Drawing on this framework, this Communication is divided into three main sections:

- the *first section* provides an update of the state of implementation of the eight ‘Barcelona Commitments’ which the EU made in the context of the Monterrey Conference on Financing in 2002;
- the *second section* assesses which of them need to be renewed. More precisely, this section outlines a way towards a new interim target for increased ODA volumes in the EU by 2010 and towards the UN target for ODA of 0.7% of gross national income (GNI) by 2015. The Commission suggests new detailed arrangements for aid, maps out options for innovative sources of finance and proposes ways to address the debt problems of low-income countries;
- the *third section* presents concrete proposals and recommendations for new EU commitments.

What contributions for the mapping study? Some reflections

The emphasis on ‘coordination’ and ‘complementarity’ between the EU and Member States as necessary conditions to improve the effectiveness of official development assistance is worth reporting as it represents a common pattern across EU policy documents on development:

‘In order to enhance, implement and monitor EU coordination and complementarity the EU should seek to agree on a true European Development Strategy or a framework for guiding principles and rules to make its huge amount of aid more effective and genuinely “European”. (...) A qualitative jump is necessary ... through enhanced operational complementarity’ (p. 3).

¹² Council of the European Union, ‘Council Conclusions: Accelerating progress towards achieving the millennium development goals’, Brussels, 24 May 2005, External Relations Council Meeting <http://www.unmillenniumproject.org/documents/EUExternalRelations24May.pdf>

The focus of this Council Conclusion is to report on the progress the EU has made towards the Millennium Development Goals and assess the implementation of the EU commitments on MDGs. Consequently, it is not designed to address areas directly related to democracy building and democracy promotion and is not informative for the purposes of this mapping study. In light of the above considerations, *no grid analysis is attached to this EU document.*¹³

¹³ The same considerations apply to the Council of The European Regions, 'Accelerating progress towards achieving the millennium development goals'. The Council Communication does not provide new information on the subject area and is redundant with respect to the EC conclusions. Therefore, it has been excluded from this grid analysis.

European Commission: *Governance and Development* ¹⁴

What is this about? An overview

This policy framework underlines the EU approach to supporting governance in developing countries. It endorses the UN Millennium Declaration view that the elimination of poverty and promotion of sustainable development depends, inter alia, on good governance, and follows up the Monterrey Consensus (2002) that good governance at all levels is essential for sustainable development, for sustained economic growth and for poverty eradication.

The document is divided into two main sections:

- the *first section* develops the EU approach to governance, looking at definitional issues, normative values and basic principles;
- the *second section* seeks to outline an EU policy agenda for governance and presents a number of measures to promote governance under three different scenarios: (i) effective partnerships; (ii) difficult partnerships; and (iii) post-conflict situations.

What contributions for the mapping study? Some reflections

The strategic objectives of democracy, democracy building and human rights protection are not discussed in this document, but within the broader notion of governance. Hence, *no grid analysis is attached to this EU document.*

However, two aspects are still worth reporting, as they provide useful insights for the purposes of this mapping study:

- Both the introduction and the first section of the document provide clear statements about definitions (what governance is about) and what basic principles underlie the EU approach to governance. This is a quite common pattern in EU documents dealing with governance (see doc nr. 4) and presents a difference from the way concepts such as ‘democracy’ and ‘democracy building’ are presented.
- The document emphasizes the need for a more dynamic and proactive approach to governance, and makes specific policy recommendations for three different ‘scenarios’:
 - *The difficult partnerships*
 - *The post-conflict situations*
 - *The effective partnerships*

Possibly, future work on fostering an EU policy agenda for democracy building should pay more attention to such different ‘scenarios’ and further elaborate the policy framework outlined here when designing and implementing ad-hoc instruments and action plans.

¹⁴ European Commission, ‘Governance and Development’, Brussels, 20 October 2003, COM (2003) 615 final. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2003:0615:FIN:EN:PDF>

Council of the European Union: *Council Conclusions on Security and Development*¹⁵

9

EU Documents on Security and Conflict Prevention

What is this about? An overview

The underlying principle informing this EU document is the idea ‘there cannot be sustainable development without peace and security’ and that ‘without development and poverty eradication there will be no sustainable peace’.

Drawing on this principle, the document points out the Council’s vision of the security-development nexus. This nexus between security and development ‘should inform EU strategies and policies in order to contribute to the coherence of EU external action’.

The document identifies four main initiatives or ‘pragmatic actions’ aiming at enhanced coherence in the security-development nexus:

- strategic planning
- security sector reform (SSR)
- partnership with regional and sub-regional organizations
- humanitarian aid and security

What contributions for the mapping study? Some reflections

This document is not designed to address areas directly related to democracy building and democracy promotion. Its focus is deliberately narrow and summarizes the Council’s recommendation about possible ‘pragmatic actions’ to increase coherence between security and development. That said, its silence on democracy-related policies is worth noting, as it exposes the lack of attention devoted to democracy building in the EC security agenda. On one hand, problems such as democratic deficit, fragile states and human rights abuses are considered among the root causes of conflict. On the other hand, conflict-prevention initiatives devote considerable attention to poverty reduction and sustainable development as the major policy tools to contribute to security, and vice versa.¹⁶ In light of this consideration, *no grid analysis is attached to this EU document*.

¹⁵ Council of the European Union, *Council Conclusions on Security and Development*, Brussels, 19–20 November 2007, 2831st External Relations Council Meeting. http://www.consilium.europa.eu/uedocs/cms_Data/docs/pressdata/en/gena/97157.pdf

¹⁶ On the security-development nexus, see also the 2003 *European Security Strategy* and the 2005 *European Consensus on Development* (see doc nr. 5 in the grid analysis).

European Commission: *Towards an EU response to situations of fragility – engaging in difficult environments for sustainable development, stability and peace*¹⁷

What is this about? An overview

The underlying principle endorsed by this EC Communication is the idea that security and development are interdependent issues. In short, if a country's internal security is compromised through spiralling crime, public disorder or internal crisis it will struggle to provide a stable platform for long-term economic growth.

Drawing on this perspective, this document reviews the existing EU policy framework and instruments available to identify, address and (ultimately) prevent situations of fragility. By doing so, the document outlines the ongoing international debate and the EU comparative advantage and experience in the field of conflict prevention and post-conflict management, while also suggesting a plan to launch an EU response strategy to situations of fragility (to be developed together with the Council and EU Member States).

What contributions for the mapping study? Some reflections

This is a well-structured policy paper describing the existing policy framework available at the EU level for dealing with conflict preventions and the multiple dimensions of fragility.

Section 4.1. on 'identifying fragility' and especially section 4.7, 'democratic governance and human rights in situations of fragility', are the most relevant for this mapping study. Although democracy and democracy promotion are not the issue areas considered in this document there are significant efforts to mainstream the democracy-building agenda into the analysis of risk factors associated with fragility and the root causes of conflict.

Another relevant aspect of this EC Communication is section 5, regarding the policy instruments to be improved for achieving better coherence and consistency in the EU approach to fragility. According to the EC perspective, 'the EIDHR is very relevant to fragile situations, due to a special focus on situations where there is a serious lack of fundamental freedoms and human security, where civil society and human rights defenders in particular are under most pressure, and where political pluralism is reduced. The *EIDHR* will aim at assisting democratic political participation and representation, and contribute to the peaceful conciliation of group interests'.

¹⁷ European Commission, 'Towards an EU response to situations of fragility – engaging in difficult environments for sustainable development, stability and peace', Brussels, 25 October 2007, COM (2007) 643 final. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2007:0643:FIN:EN:PDF>

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
<p>Promote/Support Democracy and Democratization</p>	<p>No particular attention is given to definitional issues. Democracy and democracy building are not the primary subject areas covered in this EC Communication</p> <p>‘Fragility’ as a concept is defined and its defining features made clear in the EC Communication:</p> <p>‘Fragility refers to weak or failing structures and to situations where the social contract is broken due to the State’s incapacity or unwillingness to deal with its basic functions, meet its obligations and responsibilities regarding service delivery, management of resources, rule of law, equitable access to power, security and safety of the populace and protection and promotion of citizens’ rights and freedoms’ (p. 5)</p>	<p>The political dimension of fragility is emphasized: ‘Public institutions, political processes and social mechanisms that lack effectiveness, inclusiveness or legitimacy drive fragility’</p> <p>‘Fragility is most often triggered by governance shortcomings and failures, in form of lack of political legitimacy compounded by very limited institutional capacities linked to poverty’</p> <p>‘Supporting democratic governance, state building, reconciliation processes and human rights protection, as well as promoting political will for reform through dialogue and incentives, rather than through conditionality and sanction, should guide EU action’</p> <p>‘Promoting democratization requires prioritising needs. Elections are necessary but not sufficient for moving towards democratic development. An upstream work to promote an inclusive political society and functioning multiparty systems, with a focus on institutional development is needed as well as downstream work to promote effective functioning of newly elected institutions. Moreover focusing exclusively on electoral process may be counterproductive if it leads to an early donors’ disengagement’</p> <p>‘In the most extreme cases, the central government is not committed to democratic governance. Engaging with other actors, such as civil society, local authorities or parliaments is necessary’</p>	<p>‘Further coordination is needed within the EU. Joint training, planning and assessments involving staff from the Commission, the council Secretariat and Member States should take place more systematically’</p> <p>(...) The UN, other multilateral partners, donors, civil society organizations and institutions other than central governments (parliaments, local and decentralized authorities, regional and continental organizations) should also be involved in this coordination process</p> <p>The EU should strengthen its partnership with the UN and other multilateral actors</p> <p>The use of EICHR should be improved, as this policy tool is very relevant to fragile situations ... it can fund activities without partner country governments’ approval. This can be an additional advantage in certain fragile situations (p. 11)</p>

<p>Protect and Promote Human Rights</p>	<p>As for democracy, no particular attention is given to definitional issues. Human rights is not the primary subject area covered in this EC Communication</p>	<p>Overall, the issue of human rights is only indirectly dealt with when considering existing policy framework, often implicit in the 'broad, developmental approach to security, that integrate <i>human security</i> concerns' (p. 8)</p> <p>'Human rights promotion is not always ensured in fragile situations, where they are often violated. In addition to direct support to civil society organisations, to human rights defenders and to national institutions such as Human Rights Commissions or Ombudsman, and engagement with Parliaments and decentralised authorities, dialogue is critical to identify and address constraints' (p. 9)</p>	<p>The issue of human rights is only indirectly covered at the level of policy recommendation:</p> <p>'The potential of Country Strategy Papers to prevent fragility need to be enhanced: root causes of conflict, expressions of violence, insecurity and risk of vulnerability must be more systematically addressed through development programmes and ensuring that conflict-sensitive approaches are applied'</p>
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European Council: *A Secure Europe in a Better World: European Security Strategy*¹⁸

11

EU Documents on Security and Conflict Prevention

What is this about? An overview

According to the European Security Strategy, Europe is ‘to share in the responsibility for global security and in building a better world’ (p. 1). The document is divided into three main sections:

- in the *first* section, global challenges and key security threats are outlined;
- in the *second* section, three strategic objectives are identified to defend EU security (addressing the threats; building security in the EU neighbourhood; promoting effective multilateralism);
- in the *third* section, the documents outlines the policy implications and recommendations for building a coherent and effective EU security policy.

What contributions for the mapping study? Some reflections

This is a descriptive account of the EU’s vision of security, highlighting the major security threats, the available strategies to address them, and the policy implications for Europe.

Despite the specific information regarding the issue area (security) and the recurrent idea that ‘security is a precondition for development’ (p. 2), this document is not informative for this mapping study. Democracy building and democracy-promotion policies are never mentioned within the framework of EU security policy. Neither are specific democracy-related initiatives suggested as tools to address the security threats (one exception is the reference about ‘fostering democracy’ in the Balkans as a way of dealing with organized crime within the EU; see p. 6).

The understanding of democracy promotion as part of EU security policies is entirely missing in this document. Whenever references to democracy building exists, these are either indirect – made as part of broader concepts (state failures)—or too general to be truly informative. See, for example, the statement that the new security threats cannot be tackled by purely military means and that ‘*political solutions*’ and ‘*a mixture of... military and other means*’ might be necessary. Another example of this vague understanding of democracy building may be the statement ‘*to promote a ring of well governed countries to the East of the European Union and on the border of the Mediterranean*’ (p. 8).

¹⁸ *A Secure Europe in a Better World: European Security Strategy*. Report approved by the European Council, Brussels, 12 December 2003 and drafted under the responsibilities of the EU High Representative Javier Solana. <http://www.consilium.europa.eu/uedocs/cmsUpload/78367.pdf>

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	No discussion about democracy and/or democracy-building policies is carried out within the framework of an 'EU security agenda'. Hence, no definitions of the terms are provided	<p>Albeit democracy is NOT explicitly mentioned throughout the document, some indirect, often vague statements are worth reporting</p> <p>For example, the mention of 'bad governance' as an underlying factor producing security threats: 'bad governance— corruption, abuse of power, weak institutions and lack of accountability corrodes States from within (...). State failure is an alarming phenomenon that ... adds to regional instability' (p. 4)</p> <p>Also: 'restoring good government to the Balkans, fostering democracy ...' is one of the most effective ways of dealing with organized crime within the EU</p>	<p>The same general (often vague) reference to democracy noted in the policy section can be detected in the recommendations</p> <p>The following statement represents a remarkable exception: 'The quality of international society depends on the quality of the governments that are its foundation. The best protection for our security is a world of well-governed democratic states. Spreading good governance, supporting social and political reform, dealing with corruption and abuse of power, establishing the rule of law and protecting human rights are the best means of strengthening the international order' (p. 10)</p>
Protect and Promote Human Rights	No discussion about human rights and human rights policies is carried out within the framework of an 'EU security agenda'. Hence, no definitions of the term are provided	No specific instruments or policies regarding human rights are discussed in the document	See above

European Commission: *Communication from the Commission on Conflict Prevention* ¹⁹

12

EU Documents on Security and Conflict Prevention

What is this about? An overview

This document outlines the European Commission's approach to conflict prevention by describing the root causes of conflicts and how to build sustainable peace. An early identification of risk factors increases the chances of timely and effective action to address the underlying causes of conflict. Moreover, it is stated that 'the European Union has a duty to try to address the many cross-cutting issues that generate or contribute to conflict' (p. 5).

This Communication, divided into three main sections²⁰ summarizes a broad range of EU instruments directly or indirectly relevant to preventing conflict, and suggests possible activities as well as practical recommendations for improving the coherence and effectiveness of EU action in the field of conflict prevention:

- the *first* section outlines long-term prevention (*'Projecting stability'*);
- the *second* section looks at short-term prevention (*'Reacting quickly to nascent conflicts'*);
- the *third* section identifies ways to enhance international cooperation on conflict preventions with third countries, international organizations and NGOs.

What contributions for the mapping study? Some reflections

One major contribution of this document is its emphasis on how conflict prevention must be incorporated in cooperation programmes. According to this Communication, violent conflict rarely springs out of nowhere, but is the result of a gradual deterioration. Development policy and cooperation programmes are therefore effective instruments for dealing with the root causes of conflict. At the same time, conflict-prevention measures must be incorporated in the cooperation programmes of countries facing conflict-related 'risk factors'.

Another remarkable contribution is the discussion of the EU initiatives aimed at 'mainstreaming conflict prevention in co-operation programmes' and the section on 'support for democracy, the rule of law and civil society'. Finally, a significant gender component is emphasized in the description of actions to be implemented for democracy-promotion purposes. This Communication fully endorses the principles that a gender perspective must be paramount in emergency operations and crisis prevention, implying efforts to encourage the participation of women in official conflict-resolution processes²¹ (p. 14).

¹⁹ European Commission, 'Communication from the Commission on Conflict Prevention', Brussels, 11 April 2001, COM(2001)211 final. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2001:0211:FIN:EN:PDF>

²⁰ The Annex attached to this EC Communication contains a list of recommendation for the three sections.

²¹ See also European Council Resolution on Integrating Gender in Development (20 December 1995); European Parliament report on women's participation in the peaceful resolution of conflicts (October 2000).

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
<p>Promote/Support Democracy and Democratization</p>	<p>Democracy support is understood as one of the policy tools that can be used at the EU level as ‘long-term conflict prevention’ measures</p> <p>No explicit definition of democracy is presented, nor does the document provide conceptual discussion on the notion of ‘democracy-building’</p> <p>The underlying principle is that ‘a democratic deficit’ goes hand in hand with the potential for conflict. Countries at risk therefore tend to have a poorly developed democratic process. However, the focus remains on describing policy instruments that can be used to further democracy building</p>	<p>Because democratic deficit is understood as a potential ‘risk factor’ for conflict, targeted actions can be implemented to open the way to a more favourable democratic environment</p> <p>The Commission is particularly active in the following areas:</p> <ul style="list-style-type: none"> • democratic transition and elections, through voter education projects, for example, and training courses for electoral observers; • parliamentary activities, through actions to enable parliamentarians to exercise their democratic function; • civil and political rights, through providing legal assistance for victims of human rights violations; • freedom of expression and an independent media, through supporting development of independent press and broadcast media; and • good governance 	<p>The Annex lists many recommendations regarding conflict-preventions measures</p> <p>Yet, only a few recommendations refer to democracy building. It states:</p> <ul style="list-style-type: none"> • ‘The EC will give higher priority, through the European Initiative for Democracy and Human Rights, to activities that contribute to the prevention of conflicts and help to deal with the consequences of conflicts’ • ‘For countries showing conflict potential, more targeted actions will be implemented (...) to open the way to a more favourable democratic environment. (...) In doing so, the Commission will in particular promote the equal participation of men and women in social, economic and political life’

What is this about? An overview

This document outlines the European Commission's approach to conflict prevention. This document lays out three priority areas: (1) Support to Regional Integration, (2) Policy and Know-How based Cooperation (Environment, Energy and Climate Change; Higher Education and Support to Research Institutes; and Cross-border Cooperation in Animal and Human Health); and (3) Support to Uprooted People.

In addition, the document addresses the promotion of human rights and democracy, gender equality, good governance, the rights of the child and indigenous peoples' rights, environmental sustainability and combating HIV/AIDS. All of these issues will be addressed in thematic programmes and instruments and streamlined in each component of the Regional Programme.

What contributions for the mapping study? Some reflections

There is a clear commitment in the document for the EU to mainstream issues such as democracy, good governance and human rights where relevant even through the priority policy areas are less directly related to these issues. This mainstreaming agenda is consistent with 2001 EC Communication 'Europe and Asia', but the absence of a regional human rights system and the great variation in regime type in the region present a number of challenges to the EU in pursuing the promotion of democracy, good governance, and human rights alongside its other strategic objectives.

²² European Commission, 'Regional Programming for Asia: Strategy Document 2007–2013', Revision 1, 31 May 2007. http://ec.europa.eu/external_relations/asia/rsp/07_13_en.pdf

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	<p>Democracy, good governance, and human rights are to be pursued alongside other policy objectives</p> <p>No definitions of democracy, good governance, or human rights are provided but reference is made to earlier Commission Communications</p>	<p>The main objectives outlined in the document are not directly related to democracy, good governance, or human rights, but where relevant, these three issues will be pursued alongside the main priority areas</p> <p>‘The promotion of human rights and democracy, gender equality, good governance, the rights of the child and indigenous peoples’ rights, environmental sustainability and combating HIV/AIDS are the relevant main cross-cutting issues. They will be addressed at regional levels and streamlined throughout the programme, as appropriate, in particular with regard to support to uprooted people and cross-border cooperation on animal and human health during the implementation phase, by carrying out specific assessments, when relevant</p>	<p>The Asian region does not have its own set of supranational mechanisms or institutions to promote and protect human rights, and it has great variability in regime type</p> <p>Through pursuit of more ‘neutral’ policy objectives, the cross-cutting issues of gender, human rights, democracy, etc., can be addressed</p>
Protect and Promote Human Rights	Human rights are grouped alongside other cross-cutting issues; there are no specific policy objectives relating to human rights	No specific instruments or policies to promote human rights are discussed in the document	See above

What is this about? An overview

This is a supplementary and complementary document to the ‘Regional Programming for Asia: Strategy Document 2007-2013’ and provides further details on the allocation and disbursement of funds for the three main policy objectives: (1) Support to Regional Integration, (2) Policy and Know-How based Cooperation; and (3) Support to Uprooted People.

What contributions for the mapping study? Some reflections

Provides insight into concrete realization of policy objectives, but makes no specific reference to democracy, good governance, and human rights other than reference to the Asia-Europe Foundation.

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	No direct reference to democracy promotion	No democracy-related policy objectives	N/A
Protect and Promote Human Rights	Promotion of cross-cutting issues and other specific issues in the field of business that have a human rights dimension, such as corporate and social responsibility, decent work conditions and social protection in line with International Labour Organization (ILO) Conventions, small and medium-sized enterprises, and intellectual property rights		

²³ European Commission, ‘Multi-Annual Indicative Programme for Asia 2007–2010’ http://ec.europa.eu/external_relations/asia/rsp/mip_0710_en.pdf

Communication from the European Commission: *A new partnership with South East Asia*²⁴

What is this about? An overview

This document revitalizes EU relations with ASEAN and the countries of South East Asia and follows up the Commission's September 2001 Communication on 'Europe and Asia: a Strategic Framework for Enhanced Partnerships'. It proposes to engage with the region across six main areas: (1) supporting regional stability and the fight against terrorism; (2) human rights, democratic principles and good governance; (3) mainstreaming justice and home affairs issues; (4) injecting a new dynamism into regional trade and investment relations; (5) continuing to support the development of less prosperous countries; and (6) intensifying dialogue and co-operation in specific policy areas.

What contributions for the mapping study? Some reflections

This document makes an explicit commitment to human rights, democratic principles and good governance and links them to stability, prosperity, and the fight against the causes of international terrorism. Economic, political, and security interests are all linked, while democracy, good governance, and human rights are seen as a key pillar to the realization of broader EU objectives.

²⁴ 'Communication from the European Commission – A new partnership with South East Asia', 9 July 2003, /* COM/2003/0399 final */ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52003DC0399:EN:NOT>

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
<p>Promote/Support Democracy and Democratization</p>	<p>‘The promotion of democracy, the rule of law, and respect for human rights and fundamental freedoms constitute core objectives in external relations of the European Union and its development co-operation with third countries’</p>	<p>New bilateral agreements with countries of the region should contain the ‘essential element’ clause, providing both parties with an agreed set of references for dialogue</p> <p>The EU and particular countries in the region may decide to launch human rights-specific bilateral dialogues</p> <p>Specific cooperation activities should support these dialogue processes: ‘In order to pursue these objectives, we need to build constructive and positive partnerships in this field with ASEAN and the governments of the countries of South East Asia, based on dialogue, encouragement and effective support’</p> <p>The use of ‘essential element’ clauses in agreements: ‘This clause stipulates that respect for fundamental human rights and democratic principles, as laid down in the Universal Declaration on Human Rights, underpins the internal and external policies of the parties and constitutes an “essential element” of the agreement’</p>	<p>Ratification and implementation of fundamental human rights instruments</p> <p>‘EC’s assistance and co-operation programmes should support the functioning of democratic structures (including through giving support to electoral processes), building the capacity of institutions, improving the rule of law and governance, strengthening civil society, facilitating the accession to the Rome Statute of the International Criminal Court, and addressing the issues of trafficking in human beings, sexual exploitation of children and women, and indigenous peoples’ rights’</p>
<p>Protect and Promote Human Rights</p>	<p>As above</p>	<p>As above</p>	<p>As above</p>

Communication from the European Commission: Europe and Asia: *A Strategic Framework for Enhanced Partnerships*²⁵

What is this about? An overview

The Communication updates the 1994 strategy ('Towards a New Asia Strategy'), and takes into account key developments in the intervening years, establishing a comprehensive strategic framework for EU relations with Asia and its sub-regions. There are six main objectives: (1) contribute to peace and security in the region and globally; (2) further strengthen mutual trade and investment flows with the region; (3) promote the development of the less prosperous countries of the region, addressing the root causes of poverty; (4) contribute to the protection of human rights and to the spread of democracy, good governance and the rule of law; (5) build global partnerships and alliances with Asian countries; and (6) help strengthen the awareness of Europe in Asia (and vice versa).

What contributions for the mapping study? Some reflections

This is the foundation upon which subsequent policy documents are based for the Asian region. It states that the promotion of democracy, human rights, good governance, and the rule of law will feature as a key objective in EU relations with Asia. While it does not provide definitions for these concepts, it identifies specific policy instruments and countries in the region.

²⁵ 'Communication from the Commission – Europe and Asia: A Strategic Framework for Enhanced Partnerships', 4 September 2001, /* COM/2001/0469 final */ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52001DC0469:EN:NOT>

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	General commitment to democracy and democratic principles	Cooperation at all levels	Document envisages long-term engagement with the Asian region through a variety of policy instruments, dialogues and bilateral agreements
Protect and Promote Human Rights	Specific commitment to human rights and the associated mechanisms for their implementation	<p>‘...work together with Asia to uphold the universality and indivisibility of human rights, and pursue a constructive dialogue both in bilateral fora (for example in our human rights dialogue with China), and in regional and multilateral fora, notably in the UN and its different agencies, in particular the ILO’</p> <p>‘...encourage the signing and ratification of the principal human rights instruments by those countries [which] have not yet done so’</p> <p>‘...encourage the strengthening of civil society across the region, and promote a broader civil society dialogue between our two regions’</p> <p>‘...mainstream human rights and governance issues in our cooperation activities with Asia’</p>	As above

Communication from the European Commission to the Council and the European Parliament: *The European Community's Development Policy*²⁶

EU Documents on the Regions

What is this about? An overview

This EU development policy makes references to democracy (as a projection of a European value), human rights, rule of law, and peacemaking.

What contributions for the mapping study? Some reflections

The document sets out EU development policy and how it links with democracy promotion and in turn human rights and good governance, but it does not offer explicit definitions of any of the concepts. The policy does strive to avoid 'unintended incoherence' in linking politics, trade and development.

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	Democracy seen as the projection of a European value 'The global projection of European values of democracy, social justice and sustainable development calls for an EU policy of solidarity. A trade and agricultural policy that takes greater account of the interests of developing countries should support this policy. The Community's exclusive powers in these areas reinforce the responsibility of the Community to adopt a coherent policy mix'	Democracy is linked to human rights, rule of law, good governance, and a general policy of solidarity, but no specific mechanisms are articulated Some commitment to strengthening civil society and building institutional capacity	'...cross-cutting principles (good governance, human rights and the rule of law, effect on poverty reduction, institutional and capacity building, gender equality, environment...) will apply and be mainstreamed...'
Protect and Promote Human Rights	Human rights and the rule of law are linked to democracy and good governance	No explicit discussion of how to promote human rights and the rule of law other than in general terms	As above

²⁶ 'Communication from the Commission to the Council and the European Parliament – The European Community's Development Policy', 26 April 2004, /* COM/2000/0212 final */ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52000DC0212:EN:NOT>

European Commission: *The Africa-EU Strategic Partnership: A Joint Africa-EU Strategy*²⁷

What is this about? An overview

This is a call for a renewed and strengthened relationship between the EU and Africa that recognizes the shared colonial history and set of values and principles. The main objectives outlined in the document include: (1) to reinforce and elevate the Africa-EU political partnership to address issues of common concern; (2) to strengthen and promote peace, security, democratic governance and human rights, fundamental freedoms, gender equality, sustainable economic development; (3) promote and sustain a system of effective multilateralism; and (4) to facilitate and promote a broad-based and wide-ranging people-centred partnership.

What contributions for the mapping study? Some reflections

This document reiterates the pledge to link development cooperation with democracy and human rights. The document makes the promotion of democracy, good governance, and human rights as specific policy objectives in their own right, even though they are also linked to broader questions of development cooperation.

²⁷ The Africa-EU Strategic Partnership: A Joint Africa-EU Strategy. http://ec.europa.eu/development/icenter/repository/EAS2007_joint_strategy_en.pdf

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	'...joint responsibility, and respect for human rights, democratic principles and the rule of law, as well as the right to development'	<p>'...strengthened political dialogue, co-management and co-responsibility in our bilateral cooperation and towards global issues, burden-sharing and mutual accountability, solidarity and mutual confidence, equality and justice, common and human security, respect for international law and agreements, gender equality and non-discrimination and, not least, a long-term approach'</p> <p>Building capacity within existing African Union institutions and mechanisms for peace, democracy, and human rights. 'Commission to Commission dialogue' is seen as essential</p> <p>Strong emphasis on African Peer Review Mechanism, the African Charter on Democracy, Elections and Governance, the Pan-African Parliament, and the AU Economic, Social and Cultural Council</p> <p>Special attention given to 'situations of fragility'</p>	<p>Implementation of a series of Action Plans to pursue strategic objectives</p> <p>Identification of financial instruments</p> <p>Development of monitoring and evaluation mechanisms</p>
Protect and Promote Human Rights	Human rights linked to democracy and the rule of law, and well as principles of good governance. Articulation of the right to development	As above, but the document makes little mention of the human rights mechanisms available in the African Union	As above

Communication from the European Commission to the Council and the European Parliament: *A stronger Partnership between the European Union and Latin America* ²⁸

What is this about? An overview

The document proposes a fresh impetus to an EU-Latin American partnership that faces a number of challenges. Its main objectives are to: (1) establish an enhanced strategic partnership through a network of association agreements; (2) conduct political dialogues that increase the influence of both regions on the international scene; (3) develop effective dialogues to reduce inequalities and promote sustainable development; (4) contribute to the development of a stable and predictable framework to attract more European investment; (5) tailor aid and cooperation more to the needs of the countries concerned; and (6) increase mutual understanding through education and culture.

What contributions for the mapping study? Some reflections

This document commits the EU to the promotion of democracy, good governance, and human rights in a region that has a long history of such ideals and which has made great progress since the 1970s in consolidating democracy, truth and memory processes in relation to past human rights abuses, as well as developing a regional system to promote and protect human rights.

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	The document is clear about consolidating democratic achievements in the region, but places great emphasis on public disillusionment with democracy as evidenced in recent opinion poll data Implicit links made between poverty, social exclusion, and the quality of democratic governance	The main initiatives to achieving the goals include (1) increasing and focusing political dialogue, (2) creating a climate favourable to trade and investment, (3) supporting the efforts of countries in the region to contribute to stability and prosperity, (4) cooperating more effectively and increasing mutual understanding	The EU seeks to establish a Euro-Latin American parliamentary assembly
Protect and Promote Human Rights	Some mention of illicit drugs and violence in the region and how these problems relate to human rights Very little discussion of economic and social rights, but much is made of the diversity of the region	No specific policy measures aimed at the promotion and protection of human rights	No mention of Inter-American Human Rights System or ways in which EU-Latin American cooperation can benefit human rights in the long term

²⁸ A stronger partnership between the European Union and Latin America: Communication from the Commission to the Council and the European Parliament, 2006, {COM(2005)636 final}. http://ec.europa.eu/external_relations/la/docs/com05_636_en.pdf

European Commission: *Latin America Regional Programming Document 2007–2013*²⁹***What is this about? An overview***

This document describes programming for the Latin American region, including (1) improving social cohesion (poverty reduction, addressing inequality and exclusion, strengthening democracy and human rights); (2) new impetus to improved economic relations (trade relations and investment, increased growth rates); and (3) tackling regional challenges (stability and sustainable development, environmental protection).

What contributions for the mapping study? Some reflections

The document is explicit about pursuing democracy, human rights, and good governance as well as the development of civil society and the rights of women and indigenous people throughout the region. There is a strong link between poverty and social exclusion on the one hand, and disillusionment with democracy and the compromise of rights commitments on the other. It lays out future concrete plans and monetary costs for a variety of programmes.

²⁹ European Commission, 'Latin America Regional Programming Document 2007–2013' 12 July 2007, (E/2007/1417). http://ec.europa.eu/external_relations/la/rsp/07_13_en.pdf

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	Democratic systems are linked to the social question as well as the promotion and protection of human rights	<p>Strengthening partnerships between and among civil society organizations</p> <p>Reduction of inequality</p> <p>Combating natural disasters</p>	Continued cooperation along similar lines as in the past after positive evaluations of the first set of activities
Protect and Promote Human Rights	Explicit attention to the promotion and protection of human rights	'capacity-building of democratic institutions, consolidation of the rule of law, participation of civil society, prevention of torture, promotion of the rights of indigenous peoples, education in the promotion and observance of human rights'	<p><i>Non-State actors and local authorities in development:</i> Part of this programme's funding is earmarked for action in Latin America. Most Latin American countries have been identified as priorities for the first multiannual programme (2007–2010), with the principle target being 'difficult partnerships' and the second 'remote communities'. It is expected that civil society in all sub-regions of Latin America will benefit from the programme's regional component</p> <p>A new strategy is being prepared as part of the new Human Rights Initiative. Following the guidelines laid down in Article 5 of the Development Cooperation Instrument Regulation, the European Initiative for Democracy and Human Rights programme should benefit non-state actors, civil society organizations and local authorities in most Latin American countries</p>

Communication from the European Commission to the European Parliament and the Council: *Barcelona Process: Union for the Mediterranean*³⁰

EU Documents on the Regions

What is this about? An overview

The document pledges that the EU will build on existing Euro-Med relations under the auspices of the 'Barcelona Process: Union for the Mediterranean', which is a multilateral partnership. It encompasses all EU Member States and the European Commission, together with the other members and observers of the Barcelona Process (Mauritania, Morocco, Algeria, Tunisia, Libya, Egypt, Jordan, Palestinian Authority, Israel, Lebanon, Syria, Turkey and Albania), and the other Mediterranean coastal states (Croatia, Bosnia and Herzegovina, Montenegro and Monaco).

What contributions for the mapping study? Some reflections

While the document makes reference to a common interest in democracy and human rights, it is primarily concerned with economic and institutional relations between the EU and the Mediterranean countries.

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	Formal mention of democracy and human rights as common interests to the EU and the Mediterranean countries	Nothing explicit	A series of formal summits
Protect and Promote Human Rights	As above	As above	<i>As above</i>

³⁰ Communication from the Commission to the European Parliament and the Council, 'Barcelona Process: Union for the Mediterranean', Brussels, 20 May 2008, COM(2008) 319 (Final). http://ec.europa.eu/external_relations/euromed/docs/com08_319_en.pdf

European Commission: *Barcelona Declaration, 27–28 November 1995, and Euro-Mediterranean partnership*³¹

22

EU Documents on the Regions

What is this about? An overview

The 1995 Declaration formalizes EU-Mediterranean relations. The comprehensive Euro-Mediterranean partnership focuses on three key aspects: (1) establishing a common area of peace and stability; (2) creating an area of shared prosperity; (3) developing human resources and promoting understanding between cultures and exchanges between civil societies.

What contributions for the mapping study? Some reflections

The Declaration contains language that commits all parties to develop democracy, rule of law, and to ‘respect their sovereign equality and the equal rights of peoples and their right to self-determination’.

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	‘The parties agree to develop the rule of law and democracy in their political systems, while recognising in this framework the right of each of them to choose and freely develop its own political, socio-cultural, economic and judicial system’	No specific policy instruments for ensuring these commitments, but laterally, there is an assumption that enhanced cooperation and exchanges will yield positive development in these issues areas	Euro-Med conferences
Protect and Promote Human Rights	‘The signatories also undertake to respect their sovereign equality and the equal rights of peoples and their right to self-determination. Respect for territorial integrity, the principles of non-intervention in the internal affairs of another partner and the peaceful settlement of disputes were highlighted as key elements of the relations between the Conference participants’	As above	<i>As above</i>

³¹ Barcelona Declaration, 27–28 November 1995, and Euro-Mediterranean partnership. http://ec.europa.eu/external_relations/la/docs/com05_636_en.pdf

European Commission: *Euro-Med Five Year Work Programme 2005–2010*³²

What is this about? An overview

A five-year programme document that aims to realize a region of peace, security, prosperity and opportunity and to reach a just, comprehensive and lasting settlement of the Arab-Israeli conflict, as well as the promotion of a peaceful, stable and secure Euro-Mediterranean region through partnership-building measures, joint regional projects, sustainable development and strengthened rule of law, democracy and respect for human rights.

What contributions for the mapping study? Some reflections

Pledges the Euro-Med relationship to strengthen the rule of law, democracy, and human rights. It also seeks to ‘extend political pluralism and participation by citizens, particularly women and youth’, through (1) fair and competitive political environment; (2) participation in decision-making at the local level; (3) increase the participation of women in public decision-making; (4) ensure freedom of expression and association; (5) foster the role of civil society; and (6) enable the further implementation of UN and Regional Charters and Conventions on civil, political, social and economic rights.

EU policy objectives	How are objectives described? <i>Definitions and terminology</i>	How are objectives achieved? <i>Current policy initiatives</i>	What remains to be done? <i>Future policy initiatives</i>
Promote/Support Democracy and Democratization	Explicit mention of democracy as an end in itself	Neighbourhood Action Plans	Deepened cooperation and summits between all Euro-Med partners
Protect and Promote Human Rights	Explicit mention of the promotion and protection of human rights, and enumeration of key human rights, such as freedom of expression and association	Dialogue on human rights issues Engage in measures to prevent gender inequality and discrimination	<i>As above</i>

³² ‘Euro-Med Five Year Work Programme 2005–2010’, Euromed Summit, Barcelona, 27–28 November 2005. http://ec.europa.eu/external_relations/euromed/summit1105/five_years_en.pdf