

*Thematic Evaluation of European Commission
Support to Conflict Prevention
and Peace Building*

Concept Study

Final Report for the Concept Study

Volume 1: Main report

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Evaluation for the European Commission





PARTICIP GmbH
Germany



A consortium of
Particip-ADE-DRN-DIE-ECDPM-
ODI
c/o Particip GmbH, leading
company:

Headquarters

Merzhauser Str. 183
D - 79100 Freiburg / Germany
Phone: +49-761-79074-0
Fax: +49-761-79074-90
info@particip.de

Belgium office

Avenue des Arts 50 (5th floor)
B-1000 Bruxelles / Belgium
Phone: +32-2-5501160
Fax: +32-2-5501169
info@particip.de

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**Thematic Evaluation of European
Commission Support to Conflict Prevention
and Peace Building**

Concept Study

**Final Report for the
Concept Study**

September 2010

This report was prepared by



The study is being managed by the Joint Evaluation Unit (EuropeAid, DG DEV and DG Relex).

The author accepts sole responsibility for this report, drawn up on behalf of the Commission of the European Communities. The report does not necessarily reflect the views of the Commission.

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List of Abbreviations

3Cs	Coordination, Complementarity and Coherence
3Ds	Defence, Diplomacy and Development
ACP	African, Caribbean and Pacific countries
AFD	Agence Française de Development
AIDCO	EuropeAid Co-operation Office
AMIS	African Union Mission in Sudan
APF	African Peace Facility
AU	African Union
BMZ	German Federal Ministry for Economic Cooperation and Development
CFSP	Common Foreign & Security Policy
COM (2001) 211	Communication from the Commission on Conflict Prevention
Commission	European Commission
CPPB	Conflict Prevention and Peace Building - as covered in the COM(2001) 211
CSO	Civil Society Organisation
CSP	Country Strategy Paper
DCAF	Democratic Control of Armed Forces
DDR	Disarmament, Demobilisation and Reintegration
DE	Germany
DFID	Department For International Development (UK)
DG	Directorate General of the European Commission
DG DEV	Directorate General for Development
DG ECHO	Directorate General for European Community Humanitarian Aid Department
DG RELEX	Directorate General for External Relations of the European Commission
DRC	Democratic Republic of the Congo
EC	European Community
EIDHR	European Instrument for Democracy and Human Rights
ENP	European Neighbourhood Policy
EPLO	European Peacebuilding Liaison Office
EQ	Evaluation Question

ESDP	European Security and Defence Policy
EU	European Union
EU MS	European Union Member States
FCO	British Foreign and Commonwealth Office
GSC	General Secretariat of the Council
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
HQ	Headquarter
I	Indicator
IA	Integrated Approach
IFS	Instrument For Stability
IL	Intervention Logic
INCAF	International Network on Conflict and Fragility
iQSG	interservice Quality Support Group (of the European Commission)
ISAF	International Security Assistance Force
ISIS	International Security Information Service
ISS	Institute for Security Studies
ISSAT	International Security Sector Advisory Team
JC	Judgement Criteria
JEU	Joint Evaluation Unit of the European Commission common to DG RELEX, DG DEV and EuropeAid
LDC	Least developed countries
LRRD	Linking Relief, Rehabilitation and Development
MDGs	Millennium Development Goals
MEDA	Euro-Mediterranean Partnership Programme; Mediterranean members of the partnership
NATO	North Atlantic Treaty Organization
NGO	Non Governmental Organisation
NL	The Netherlands
ODA	Official Development Aid
OECD	Organisation for Economic Co-operation and Development
OECD-DAC	Development Assistance Committee of the OECD
OSCE	Organisation for Security and Cooperation in Europe
PBC	Peace Building Commission

1. Introduction

This document is the *Final Report* for the Concept Study for the forthcoming thematic evaluation of the European Commission (hereafter referred to as “the Commission”) support to Conflict Prevention and Peace Building (CPPB). This evaluation is part of the 2008 evaluation programme approved by the External Relations and Development Commissioners.

This Concept Study has been commissioned by the Joint Evaluation Unit (JEU) common to the Directorates General (DG) External Relations, Development and EuropeAid. Together with a Preliminary Study (see below) finalised in July 2009, the Concept Study is the second step in the process of preparing the thematic evaluation of the European Commission support to CPPB.

1.1 Background and objectives of the Concept Study

As mentioned above, before starting the evaluation as such the Joint Evaluation Unit (JEU) commissioned a **Preliminary study**¹ which provided an inventory and typology of the funding in the field of conflict prevention and peace building (CPPB) and proposed a definition of the scope for the evaluation proper. It thereby identified the intervention logic of the Commission for support in this field, and provided an overview of the evolution of the regulatory framework over the evaluation period.

Both this Preliminary Study and the methodological note which followed it suggested centring the evaluation proper on the examination of the Commission’s “integrated approach” towards CPPB, which was precisely at the heart of the Commission’s strategy as shown in its April 2001 Communication on Conflict Prevention.

Before moving into the evaluation as such the JEU underlined that it would be essential to clarify further this notion of an integrated approach, notably with a view to determining what an evaluation focussing on the integrated approach would precisely examine. The idea was to obtain a thorough understanding of the meaning of the concept of an “integrated approach” (the “what”) and illuminate which guidance and support is provided to facilitate the implementation of this approach (the “how”), by examining the practices of the Commission and other major donors and actors in this respect. Both elements would serve to build an analytical framework which would constitute the basis of the evaluation proper.

That is precisely the purpose of the present **Concept Study**, which aims at clarifying this notion and thus bridging the gap between the Preliminary Study and the evaluation, by:

- building a thorough understanding of the “what” and the “how” of the integrated approach, and

¹ See: http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2009/1266_docs_en.htm.

- constructing an analytical framework that will provide a precise idea of how the evaluation will proceed when examining this integrated approach.

In order to do so, the Concept Study needs to focus on five aspects:

- a review of CPPB concepts and policies (“state of the debate”);
- a proposed definition of the “what” and the “how” of the integrated approach;
- an “analysis grid”, which summarises the elements to be analysed when evaluating the design and implementation of an integrated approach in the field of CPPB;
- a set of maximum 10 evaluation questions, and associated judgement criteria and indicators for the evaluation as such. These questions, judgement criteria and indicators will integrate the results of the above-mentioned analysis grid;
- criteria for the selection of countries and a methodological approach for the evaluation proper.

The Concept Study thus has a descriptive purpose and does not aim at verifying whether, how and to what extent this integrated approach was indeed implemented.

It is useful to note that in agreement with the Reference Group (RG) it has been decided to revise the next steps of this concept study as mentioned in Section 6.

1.2 Structure of the Final Report

The purpose of this Final Report is to present the results of the Concept Study. More specifically it contains a description of the “state of the debate” with respect to CPPB, presents the findings with respect to the “what” and the “how” of the “Integrated Approach” (see also the Preliminary Study in this respect). On this basis, it proposes a set of structured evaluation questions, as well as the main lines of the methodology for the evaluation proper, a proposal concerning the set of countries on which this evaluation should focus, as well as a plan for the work to be undertaken.

Accordingly, the Final Report is structured as follows:

- Section 1 : Introduction
- Section 2 : Findings of the Concept Study²
- Section 3 : Proposed set of Evaluation questions
- Section 4 : Methodology for the evaluation proper
- Section 5 : Proposed country selection
- Section 6 : Next steps

² This section has already been presented in the Inception Report of the Concept Study.

2. Findings of the concept study

This section presents:

- a descriptive account of the work carried out by the evaluation team,
- an outline of the state of the debate on conflict prevention and peace building, and
- the findings on the “what” and the “how” of the integrated approach.

2.1 Description of the work carried out by the evaluation team

In order to gather the maximum amount of information to provide a comprehensive and global overview of the state of the debate on CPPB and to construct a clear understanding of the “what” and “how” dimensions of the integrated approach as used by the Commission and other actors (Government donors, multilateral, specialised Non Governmental Organisation (NGO) and think tanks), an extensive document analysis was conducted and a series of interviews organised. This report is based on the analysis of the information collected through these documents and interviews.

The documentary analysis consisted of the examination of strategy and policy documents of the Commission, other donors, scholars or experts in the field with a focus on elements related to the integrated approach. Moreover, documents on tools and guidance to implement the integrated approach were scrutinised to allow the “how” dimension to be covered (see Annex 4 for the list of documents consulted).

Face-to-face or telephone semi-structured interviews were conducted with 3 categories of key actors in the field of CPPB, located in Brussels and abroad, as illustrated in the figure hereunder (see also Annex 3 for the list of persons interviewed).

Figure 1 : Overview of interviews conducted

<p>EC HQ, Council and Delegations</p>	<ul style="list-style-type: none"> • Former and current representatives from relevant Commission DGs • Council secretariat • Delegations (recommended by RG and interviewees)
<p>Organisations and platforms</p>	<ul style="list-style-type: none"> • Organisations: <ul style="list-style-type: none"> • OECD/DAC - INCAF • UN: UNDP Bureau of Crisis Prevention and Recovery • NGOs: <ul style="list-style-type: none"> • Crisis Management Initiative • International Alert • Saferworld • Search For Common Ground • Swisspeace/ KOFF Centre for peace building • Think tanks and institutes: <ul style="list-style-type: none"> • European Centre for Conflict Prevention • EU Institute for Security Studies (ISS) • European Peace building Liaison Office (EPLO) • International Security Information Service (ISIS-Europe) • Geneva Centre for Security Policy • Geneva Centre for Democratic Control of Armed Forces (DCAF) – International Security Sector Advisory Team (ISSAT) • Clingendael institute
<p>EU MS</p>	<ul style="list-style-type: none"> • Germany (GTZ, BMZ, DED) • France (Ministry for Foreign Affairs and AfD) • The Netherlands (Peace Building & Stabilisation Unit, Ministry for Foreign Affairs) • Sweden (SIDA, Foreign Affairs – Development Dept.) • United Kingdom (DFID, FCO and Stabilisation Unit)

2.2 State of the Debate on conflict prevention and peace building

How best to prevent violent conflict and build a sustainable peace are enormously contentious issues on which there is **no global consensus at present**. Policy understanding and approaches to conflict prevention and peace building for the temporal period of the forthcoming evaluation (2001-2008) are informed by ideology, history, politics, and experience. Policy in the realm of CPPB is also impacted by wider debates and approaches to politics, security, economics, development, as well as local, national and regional global governance. This section attempts to briefly map the state of the 2001-2008 policy debate – it does not seek to cover all the various academic perspectives on CPPB in this period³. A full version of this section is also presented in Annex 5.

In doing so it notes:

- the factors influencing the state of the debate,
- the actors influencing the state of the debate,
- the agendas impacting the state of the debate, and
- the main policy and political trends impacting the state of the debate.

2.2.1 Factors influencing the State of the Debate

Several factors have had a major impact on the nature and focus of the debate on how best to prevent conflict and build a sustainable peace, in particular:

- the interaction between multilateral and bilateral institutions and debates within these institutions themselves amongst different directorates and the political leadership ;
- significant global events, in particular:
 - the end of the Cold War allowed much more latitude for engagement within states on issues of conflict prevention and peace building that were less driven by merely regime protection of “friendly” powers;
 - the 1990-1995 Balkan wars showed the failure of the international community and the European Union (EU) in particular in terms of early and coherent action;
 - the Rwandan genocide in 1994 showed not only the impotency of the then system of conflict prevention but led to analysis of the fact that development and humanitarian aid could fuel conflict;

³ For an overview of the European Union’s actors, actions and policies regarding conflict prevention and crisis management prior to 2001 see: Peter Cross (ed.) *Contributing to Preventive Action, Conflict Prevention Network (CPN) Yearbook 1997/98*, (Baden-Baden: Nomos Verlagsgesellschaft 1998), Alexander Costy and Stephan Gilbert, *Conflict Prevention and the European Union: Mapping Actors, Instruments and Institutions*, (London: International Alert, 1998), Peter Cross and Guenola Rasamoelina (ed.) *Conflict Prevention Policy of the European Union Recent Engagements, Future Instruments. SWP-Conflict Prevention Network (SWP-CPN). Yearbook 1998/99* (Baden-Baden, Nomos Verlagsgesellschaft 1999). Manuela Leonhardt, *Conflict Impact Assessment of EU Development Co-operation with ACP Countries*, (London: International Alert & Saferworld, 1999), and Andrew Cottey, *The European Union and Conflict Prevention: The Roles of the High Representative and the Policy Planning and Early Warning Unit*, (London: International Alert & Saferworld, 1998).

- the terrorist attacks of September 11 2001 again focused on the Western world contributed to the interventions in Iraq/Afghanistan and a policy pressure to address state failure.
- Iraq and Afghanistan focused the attention of Western donors on the link between security and development, and a perceived failure to match and link military and civilian interventions.

There are obviously other events and activities that can also be pointed out in terms of opinion forming in policy debates. The conflicts in West Africa particularly around Sierra Leone and Liberia and in the African Great Lakes Region (Burundi, Rwanda, Democratic Republic of the Congo etc) not only brought to prominence the role that illicit trade in resources can play in fuelling conflict but also that many conflicts have distinctly regional dynamics.

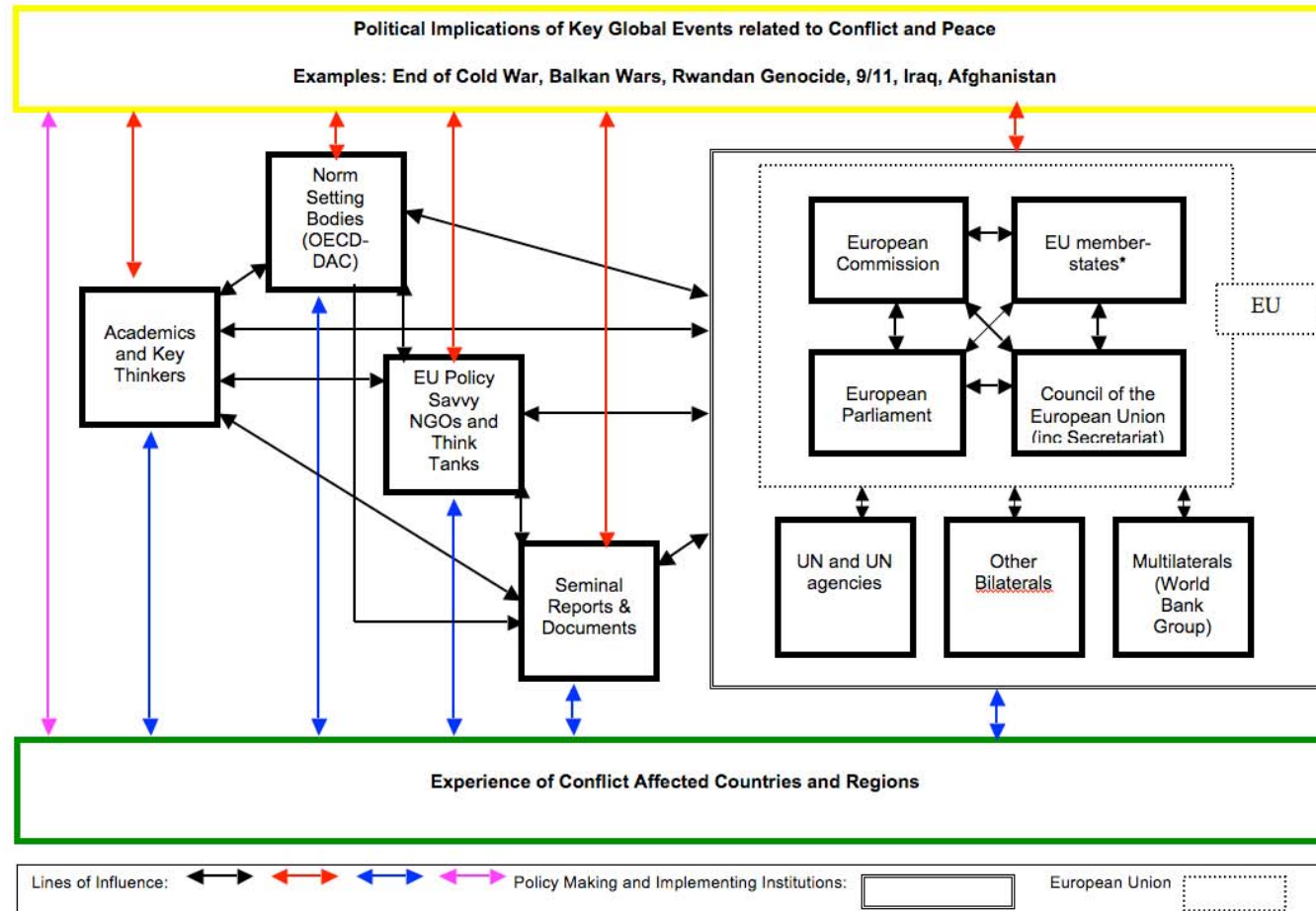
2.2.2 Major actors influencing the State of the Debate

Several actors have all had varying degrees of influence on the evolution of the state of the debate (see figure below). They include academics/key thinkers, policy savvy NGOs, norm setting bodies such as the OECD and the UN, as well as partners such as the African Union. It should be noted that actors reposition and reinvent themselves within the changing global context.

For example:

- the UN is no longer the only, or necessarily the lead, provider of peacekeeping ;
- there is a growing role (supported by the UN) for regional organisations, most particularly the African Union (AU) to take a greater lead in peace and security in Africa. AMIS in Darfur is the strongest of these AU mission commitments though its engagement in Somalia and past engagement also in Burundi.
- the EU has been one of the most consistent and significant political and financial backers of the development of African Peace and Security Architecture and specific AU peacekeeping missions through an innovative funding mechanism known as the African Peace Facility.
- the EU continues to build its military and civilian capacities for crisis management and is undertaking a number of missions in its neighbourhood (Kosovo) as well as further afield (DRC, Georgia). These include border management, police training and rule of law interventions. While many of the missions are UN-mandated there is a rise in EU-led and mandated missions. North Atlantic Treaty Organization (NATO) has reconfigured itself from a Cold War alliance to take on wider peacekeeping and stabilisation tasks as seen in its leadership of International Security Assistance Force (ISAF) in Afghanistan and non-combat military training in Iraq.
- The Organisation for Security and Cooperation in Europe (OSCE) is also seeking an updated role in the post-cold war environment and has moved into conflict- and security-related operations. It is increasingly active in the fields of police training, arms control, military reform, counter-terrorism measures as well as conflict negotiation and media development.

Figure 2 : Factors and Actors Influencing the “State of the Debate” regarding EU Conflict Prevention and Peacebuilding



Source: Originally Developed from Andrew Sherriff, “Policy Analysis for Peacebuilding” Materials for American University, School for International Service Skills Course, 2008.

2.2.3 Agendas impacting the State of the Debate

There are different institutional interests and priorities regarding CPPB in the EU (and within this the Commission). As a result, **multiple “agendas” run concurrently and influence the position and perspectives of the EU actors in the state of the debate.** Table 1 highlights these different agendas.

Table 1: Some agendas and positions in relation to an “integrated approach” to CPPB within the EU

Agenda	Position	Commission institutional entity broadly reflecting position*	EU policy commitment reflective of this position	Commission relevant NGO/think tank grouping reflecting this position
Humanitarian Agenda	To protect the effectiveness of humanitarian operations and the humanitarian principles of neutrality and impartiality. Humanitarian action does not need to be “integrated” into collective EU approaches in zones of disaster and conflict	DG ECHO	EU Consensus on Humanitarian Aid 2007	VOICE
Poverty Focused Development Agenda	To protect the poverty alleviation and MDG focus. There is some recognition of the need for better integrated approaches to conflict prevention and peace building into development concerns. Yet the focus is firmly on poverty alleviation.	DG DEV	EU Consensus on Development 2005	CONCORD
Conflict Prevention and Peace Building Agenda	To ensure that all available resources and political action is brought to bare on preventing conflict and building peace an integrated EC approach is needed	DG RELEX* (particularly Crisis Response and Peace Building Unit)	EU Goteborg Programme on the Prevention of Violent Conflict 2001	EPLO
Crisis Management Agenda	To manage international crises better the EU reactive military and civilian crisis management need to be better integrated and aligned	Council Secretariat / DG RELEX	Headline Goals for ESDP / CFSP	EUISS
Renewed Security Agenda	To provide for the security of the EU there is a necessity to ensure that all resources are marshalled towards this end (implying an integrated approach)	Council Secretariat / DG RELEX	European Security Strategy 2003	Various security related think tanks

While all agendas are relevant to the state of the debate on conflict prevention and peace building, **three agendas** (as illustrated in the table hereunder) -the **Poverty Focused Development Agenda (PFDA)**, the **Conflict Prevention and Peace Building Agendas (CPPB)** and the **Renewed Security Agenda (RSA)**- have dominated how the state of the debate is envisaged. There was competition, conflation, compromise, linking, merging, tension and reinvention between these three agendas throughout the 2001-2008 period and this has impacted the state of the debate.

Table 2: Three dominant agendas – Seminal events and selected key priorities

Agendas	Selected seminal driving events	Selected key priorities
Poverty Focused Development Agenda	<ul style="list-style-type: none"> ▪ End of Cold War ▪ Monterray Consensus on Development - MDGs ▪ Paris Aid Effectiveness Agenda 	<ul style="list-style-type: none"> ▪ MDGs ▪ Aid Effectiveness ▪ Failed states as a development threat ▪ Protecting development from “securitisation” / “politicisation”
Conflict Prevention and Peace Building Agenda	<ul style="list-style-type: none"> ▪ Balkan Wars ▪ Response to Rwandan Genocide ▪ UN Missions in West Africa, Mozambique, East Timor 	<ul style="list-style-type: none"> ▪ Strategic peace building ▪ Conflict sensitivity ▪ Preventive action / preventative diplomacy ▪ Human security
Renewed Security Agenda	<ul style="list-style-type: none"> ▪ Terrorist Attacks of 9/11 ▪ Afghanistan engagement post 2001 ▪ Iraq since 2003 	<ul style="list-style-type: none"> ▪ Failed states as a security threat - Statebuilding ▪ Security and development – security sector reform ▪ Enhanced civilian-military relations

2.2.4 Policy and political trends in the State of the Debate

Several policy and political trends have influenced the state of the debate on CPPB over the period 2001-2008. This sub-section does not aim at being all-encompassing but rather at highlighting a few major policy trends and events to give the reader useful background on the main developments in this field.

- There has been momentum on the **necessary synergies of conflict prevention and development** since the 1990s. The post-Cold War world opened up the possibility of more integrated and international responses to a range of security issues ranging from civil wars, human rights abuses, proliferation of small arms and landmines through to natural resource conflicts, environmental degradation, and HIV/Aids. It was in this environment of 2001 that the first Commission Communication on Conflict Prevention and the EU programme for the prevention of violent conflict were born. Individual countries also responded to this agenda by adopting their own related policies. This agenda has given way, in the **post 9/11** global environment, to debates on **security** and anti-terrorism as shown by the European Security Strategy of 2003. Yet this more focused security agenda comes with concerns that development aid should not be linked to overtly political agendas.
- In the early 1990s there was concern about the **link between security and development** that was originally driven by wider understandings that “security” extended beyond that of the security of states to the security of individuals. This was noted in the 1994 Human Development Report of the UNDP, and was championed on the international stage by the Government of Canada and Japan as well as members of the Human Security Network.⁴ While the term “Human Security” has been used by

⁴ The members of the Human Security Network include Austria, Canada, Chile, Greece, Ireland, Jordan, Mali, The Netherlands, Norway, Slovenia, South Africa (observer), Switzerland and Thailand.

the Commission and European Union it has never been officially accepted into policy in the same way that conflict prevention has, despite some efforts in this regard. Issues of the links between security and development were picked up by a number of EU member states who developed specific policies or initiatives in this regard, including the UK, Sweden, the Netherlands and Denmark.

- The UN reform process and the momentum of such landmark reports as the Report on Conflict Prevention by the UN Secretary-General (then Kofi Annan) and the Brahimi Report on UN Peace Operations have given impetus to a more **comprehensive and integrated approach by the UN to the global security challenges of violent conflict and underdevelopment**. While the term peace building appeared in Boutros Boutros Ghali's Agenda for Peace of 1993 it was within this new generation of peace building and conflict prevention approaches that boundaries among military, humanitarian, political/diplomatic and development approaches have been challenged and transformed⁵. The OECD DAC has been at the forefront of developing international policy, notably in setting guidelines for conflict prevention in development cooperation in 1997 and on security sector reform and governance in 2004. Enduring policy developments from the focus on conflict prevention and peace building, notably at the UN, included well-established and recognised linkages between violent conflict and poverty. It is now accepted by the international community that violent conflict is a serious impediment in many Least developed countries (LDCs) achieving the MDGs.
- The development dimension of conflict prevention and peace building has grown to include **reorienting existing development programmes**, designing appropriate and responsive programmes, and building longer-term governance capacities in-country to resolve conflict and address its causes, triggers and long-term effects. Increasingly, development actors are learning the lessons of **'do no harm'** by recognising the inherent need to **mainstream conflict sensitivity in their programmes** and to be innovative in their planning, if development resources are not to become hostages or fuel to conflict but, in fact, to be conscious resources of peace building. Mainstreaming conflict prevention was a commitment in the Commission Communication on Conflict Prevention of 2001.
- What became increasingly clear in the debate was the appreciation that violent conflict is a complex phenomena not susceptible to a "one size fits all" approach. Therefore there was a recognition that good **context analysis was at the heart of a better response to promoting CPPB** or at least ensuring that activities did not exacerbate conflict. Emerging from academic and activist work towards the end of the 1990s, more specific operational guidance on conflict assessments, conflict analysis and peace

⁵ Policy landmarks in this reshaping of international responses to peace, security and development include: *Conflict, Peace and Development Cooperation on the Threshold of the 21st Century*, 1997, OECD/DAC; "Helping Prevent Violent Conflict: Orientations for External Partners." 2001, Paris, OECD/DAC. These gave rise to the ground-breaking DAC Guidelines for conflict prevention; *The Millennium Declaration*, United Nations, 2001; *Report of the Secretary-General on Prevention of Armed Conflict* (A/55/985-S/2001/574), UN June 2001; *Report of the Panel on United Nations Peace Operations* (A/55/305 – S/2000/809); *The Responsibility to Protect*: Report of the International Commission on Intervention and State Sovereignty, December 2001; *A More Secure World: Our Shared Responsibility*: Report of the Secretary-General's High-Level Panel on Threats, Challenges and Change", UN, December 2004 (A/59/565); *In Larger Freedom: Towards Security, Development and Human Rights for All*, Report of the Secretary-General, UN, March 2005 (A/59/2005); *2005 World Summit Outcome* ("Outcomes Document"); *Progress Report on the Prevention of Armed Conflict*, Report of the Secretary-General, July 2006 (A/60/891).

and conflict impact assessments started to become more prevalent in donor agencies. This was in part recognition of the work done by various individuals and organisations, which demonstrated that even with the best of intentions development and humanitarian programming could exacerbate conflict.⁶ In response to this trend and moving beyond “doing no harm” the Commission developed its own “EC Check List on the Root Causes of Conflict” as a specific tool and undertook detailed specific conflict analyses funded under the RRM in Aceh-Indonesia, Nepal and Sri Lanka. Other EU Member States also developed such analysis at the strategic level with the UK developing the Strategic Conflict Assessment tool through DFID and the Netherlands developed the Stability Assessment Framework. Sweden, Germany, Switzerland, the US and Belgium also developed their own analytical frameworks for either peace and conflict impact assessment or conflict analysis.

- The past decade has witnessed momentum on **gender and the role of women in promoting peace and security**. This springs from the international framework of UN SC Resolution 1325 that was passed on 31 October 2000. It was hailed as an historic landmark in recognising the impact of war on women and the shifts required in thinking and action if the international community wants to improve security for women in war-torn areas of the world. Resolution 1325 aimed to make women more visible and give them a voice in the work of the UN – in peacemaking, peacekeeping and post-conflict reconstruction.
- The terminology of **fragile/ failed States** became very prominent in defining this **post-9/11 world** of new threats. This parameter of the new global policy environment led to a certain growth in acceptability of the term to refer to chronic and acute crises of governance, security and poverty that lead to high levels of lawlessness and ungovernability. That failed states create an enabling environment for non-state groups with criminal and militarised resources to consolidate power is now a major concern of much of the rhetoric and policies underpinning western notions of security. This growing concern has led the EU to note that responses to fragile states are one of the five core areas of its development policy as articulated in the European Consensus on Development in 2005. In 2007, during the Portuguese Presidency of the European Union, particular emphasis was placed on developing a better EU response to fragile states, and since then the topic has been the focus of the first European Commission sponsored European Report on Development.
- The **distinction between ‘fragile states’ and ‘conflict prevention’** is not just linguistic; the diagnostics frame the responses and the former remain very informed mostly by the ‘security’ agenda of statebuilding while the latter remains tied to notions of sustainability, poverty reduction, governance and multi-dimensional approaches to development and security.
- The **2005 World Summit reflected a tense debate on agreeing the nature of complex threats and challenges to global peace, security and development**. Two key reports in this regard are the High-Level Panel on Threats, Challenges and Change

⁶ Organisations such as Collaborative for Development Action, International Alert, Saferworld, International Development Research Centre, DAC-OECD. Amongst the work of individuals that is most influential is, Uvin, Peter, *Aiding Violence. The Development Enterprise in Rwanda*, West Hartford: Kumarian Press, 1998., Bush, Kenneth, “A Measure of Peace: Peace and Conflict Impact Assessment of Development Projects in Conflict Zones”, IDRC Working Paper No.1, Ottawa: IDRC, 1998, Anderson, Mary B., *Do No Harm: How Aid Can Support Peace or War*, Colorado: Lynne Rienner, 1999.

in 2004 and in March 2005 “In Larger Freedom: Towards Development, Security, and Human Rights for All” – the UN Secretary-General’s precursor to the World Summit in September 2005⁷.

- The **Peace Building Commission** (PBC) was one of the more significant outcomes from the 2005 World Summit.⁸ It received significant backing from the Commission and EU member states yet was loaded with the **expectations of improving international responses to increasing complex, insecure and protracted conflicts**. The relapse into violent conflict in countries where peace agreements have been brokered and benchmarks have been passed, reinforce the long-term political and financial commitment required to build lasting peace. The PBC was established as an “inter-governmental advisory body” by concurrent Security Council and General Assembly resolutions in December 2005.⁹
- The **rise of the concept of peace building** since the mid-1990s and its programmatic reach has been a global political phenomenon. It is sometimes related to “statebuilding” or used as an umbrella for all development activities regardless of whether the programmes have been planned and implemented with the reduction of conflict in mind. Some analysts have countered that the term is becoming so wide in its use that it is potentially losing its significance with all activities being potentially repackaged as “peace building.” The OECD/DAC in its ground-breaking and norm-setting Guidelines on conflict prevention defined peace building in the following way: *“Peace building and reconciliation focus on long-term support to, and establishment of, viable political and socio-economic and cultural institutions capable of addressing the root causes of conflicts, as well as other initiatives aimed at creating the necessary conditions for sustained peace and stability. These activities also seek to promote the integration of competing or marginalised groups within mainstream society, through providing equitable access to political decision-making, social networks, economic resources and information, and can be implemented in all phases of conflict.”*¹⁰
*“Peace building involves both long-term preventive measures and more immediate responses before, during and after conflict. It depends upon and, at the same time, seeks to foster a spirit of tolerance and reconciliation. Broad acceptance throughout society of the legitimacy of the state and the credibility of the institutions of governance is a key aspect of forging such a civic spirit. When all people’s human rights are respected, when society is governed by the rule of law, and when ordinary men and women are involved in the political process, resort to violence to effect political change is obviously less likely. Efforts to support participation, democratisation and peace building, through strengthened institutions of governance, are clearly inter-linked.”*¹¹
- Much of the debate and international policy on **peace building** is concerned more with the actions and responses of **external international actors** although the importance of supporting local actors is often noted. This focus on international actors

⁷ In both reports there is broad language that speaks of protecting human rights, the insecurities of living in an interdependent world and the essential requirement of multilateralism to meet these complex challenges. Yet overall, they concede the shift of priorities that focus on what some would say is a western or northern preoccupation with terrorism, organised crime, nuclear proliferation and that this is happening at the expense of the southern agenda where threats are defined more in terms of internal wars, HIV/AIDS, poverty, environmental degradation, and governance.

⁸ See Outcomes Document 2005World Summit Outcome ((A/60/L.1), paras. 97-105.

⁹ Security Council Resolution 1645 (2005); General Assembly Resolution A/Res/60/180.

¹⁰ Source: OECD DAC guidelines, *Box 1, p.10; Conflict, Peace and Development Cooperation on the Threshold of the 21st Century, 1997.*

¹¹ Source: OECD DAC guidelines, paragraph 111, original 1997 edition.

rather than local actors has been one of the principle criticisms of the “state of the debate” on peace building.¹²

- A more operational approach to peace building was arrived at in 2001 when the UN Security Council defined peace building in the following terms:

“Peace building is aimed at preventing the outbreak, the recurrence or continuation of armed conflict and therefore encompasses a wide range of political, developmental, humanitarian and human rights programmes and mechanisms. This requires short and long-term actions tailored to address the particular needs of societies sliding into conflict or emerging from it. These actions should focus on fostering sustainable institutions and processes in areas such as sustainable development, the eradication of poverty and inequalities, transparent and accountable governance, the promotion of democracy, respect for human rights and the rule of law and the promotion of a culture of peace and non-violence. A comprehensive and integrated strategy in peace building must involve all the relevant actors in this field, taking into account the unique circumstances of each conflict situation. A well-planned and coordinated peace building strategy can play a significant role in conflict prevention. International efforts in peace building must complement and not supplant the essential role of the country concerned.”¹³

- A **new generation of peace building and conflict prevention approaches** has challenged and transformed boundaries among military, humanitarian, political/diplomatic and development approaches. As a result we can speak of a **continuum of conflict prevention-peacemaking-peacekeeping-peace building**. The growing mandate for peace building arose, in part, from the failures of peacekeeping in Somalia, Rwanda and Bosnia-Herzegovina in the 1990s and the resulting drive for more integrated operations known as Peace Support Operations. This is a term that grew out of the ground-breaking Brahimi report of 2000 and referred to the new generation of peacekeeping operations that go beyond traditional mandates of lightly armed or unarmed blue helmets to keep the peace where an agreement has already been signed and the Government has invited the UN in. The report suggested a number of possible innovations to UN peace operations. Amongst these were:

- establishing Integrated Mission Task Forces to oversee planning for peacekeeping missions that will draw on cross-UN experience and participation;
- including demobilisation and reintegration programming in assessed budgets for peacekeeping operations ;
- implementing quick impact projects to catalyse recovery ;
- strengthening rule of law institutions and civilian policing ;
- re-establishing local rule of law and local law enforcement capacity in situations of transition.

- **Post-conflict peace building** is now seen as an important part of international peace and security in reducing the likelihood of violent conflict re-erupting by creating the enabling conditions and environment for peace talks to be possible, or for a peace agreement to be fully implemented. Peace building activities can help create the conditions conducive for peacemaking and are also a necessary part of ensuring any

¹² See, Alejandro Bendaña, What Kind of Peace is Being Built?, Critical Assessments from the South, Discussion Paper, Prepared on the occasion of the tenth anniversary of An Agenda for Peace for the International Development Research Centre (IDRC), Ottawa, Canada, January 2003.

¹³ Source: Security Council of 20 February 2001, Statement of the President.

peace agreement is implemented so that the dividends of peace are realised in very concrete and visible ways for all communities/parties involved. This reality is reflected by the debates at the UN, EU, AU and OECD/DAC where the latter has led on guidance for development cooperation in conflict prevention and peace building. This led to an **extension of the existing Official Development Aid (ODA) categories** ('dacability') in 2004-2005 to take account of many of these new generation peace support and peace building programmes.

- As approaches to conflict prevention and peace building grew in prominence **the debate moved in the early part of this decade from the "what" to the "how"**, and for bilateral and multilateral donors "how specifically". While some of these questions were answered by the need for comprehensive conflict assessments (previously referred to), there has also been a trend towards developing more operational guidance in specific thematic spheres. In security sector reform the work of the DAC has been particularly influential while the UN has issued guidance on Disarmament, Demobilisation, and Reintegration of former combatants. Other specific thematic guidance (at the strategic or operational level) has also come from specialist NGOs in the field and think tanks usually overwhelmingly supported by bilateral or multilateral donors. Such guidance has come in relation to a number of areas including integrating women and gender concerns into approaches to CPPB and Security Sector Reform (SSR)/ Disarmament, Demobilisation and Reintegration (DDR)¹⁴.

2.3 Findings on the "what" and the "how" of the Integrated Approach

Having described in the above section the state of the debate in the larger context of international relations and development, security and conflict prevention agendas, this section aims at providing the findings of the evaluation team regarding:

- what is commonly understood by having an "integrated approach" towards CPPB within the Commission but also within other donors and organisations or institutions working in CPPB activities (the "what"), and
- the practical implications linked to the implementation of the integrated approach i.e. what type of means do organisations use to apply an integrated approach in the field of CPPB (the "how").

¹⁴ For a listing of this operational guidance see, Annex 2 of Andrew Sherriff with Karen Barnes, Enhancing the EU Response to Women and Armed Conflict –With particular reference to development policy - *Study for the Slovenian EU Presidency* (European Centre Development Policy Management Discussion Paper 84). Maastricht, 2008 p. 1-111. See also additional 2009 chapter to OECD DAC Handbook on Security System Reform <http://www.oecd.org/dataoecd/33/39/42033010.pdf>.

2.3.1 Findings with respect to the “What”

General observations

Three key observations arise from the interviews conducted and documents analysed:

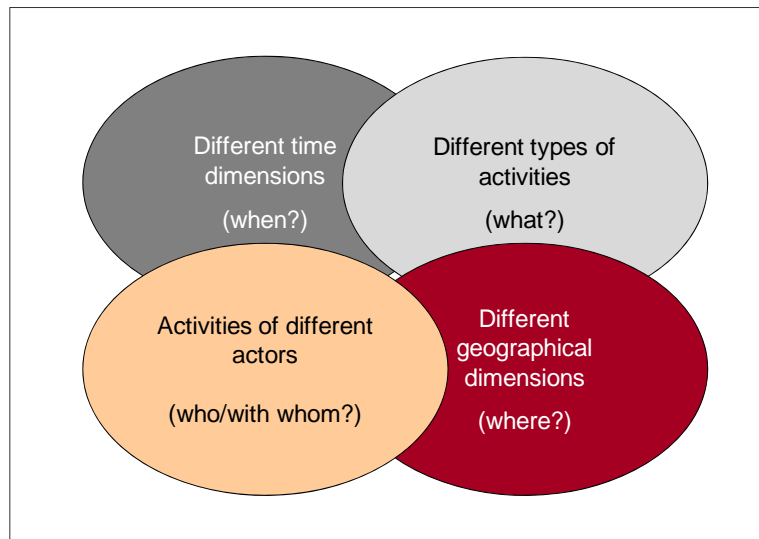
- Firstly, even if different terminologies are used by actors in the CPPB field, varying from “integrated”, to “holistic” or “comprehensive”, the vast **majority of persons interviewed are acquainted with the idea and the importance of having an integrated approach** towards CPPB.
- Secondly, interviewees often underlined that having an **integrated approach is a work in progress**. This should be seen in the light of the evolution of the terminology according to the evolutions observed in the agendas on the international scene. In Section 2.2 above, it is discussed how these agendas are influenced by various driving events which put the emphasis on one or another priority within an integrated approach. Reflecting on this characteristic, some of the actors interviewed described the integrated approach **rather as an ideal** to be reached, bringing together several parameters of action so that interviewees sometimes qualify the integrated approach as “unrealistic” or “overambitious”.
- Finally, when questioned about the integrated approach, **interviewees highlighted different “dimensions” while remaining within an integrated approach framework that is compatible with the main lines of the Commission's 2001 Communication on Conflict Prevention**. Indeed, the spectrum of the integrated approach advocated in the above mentioned Communication (particularly when envisaged in the light of other subsequent EC policy documents) encompasses many dimensions. Depending on the organisation concerned and/or persons interviewed, a specific emphasis was put on one or the other dimension, but in the end these dimensions remained within the spirit of the 2001 Communication.

Cluster of the “what”

Figure 2 below aims at providing a descriptive account of the current understanding of the integrated approach among major donors and actors in CPPB. The multiplicity of meanings provided in the literature and highlighted in interviews can be grouped under four categories of elements to be “integrated”, notably:

- different time dimensions (e.g. short term and long term) ;
- different types of activities (e.g. development, political , security and also including a ‘do no harm’ approach in a mainstreaming manner of integrating conflict sensitivity across a range of actions);
- activities of different actors (e.g. within an organisation, with other organisations, with the beneficiaries); and
- different geographical dimensions (e.g. operating at country level, at regional level).

Figure 3 : Cluster of the “What” : different types of interlinked dimensions



It should be clear that to a certain extent there is an overlap between these categories, depending on the angle from which they are approached. As an example, understanding an integrated approach in CPPB as combining humanitarian aid and development actions is a matter of integrating different types of activities, but also different time dimensions, and also has implications in terms of the type of actors involved. This being said, the primary aim is to provide a reading grid of a multiplicity of different understandings of the integrated approach, not to provide categories mutually exclusive while all encompassing together.

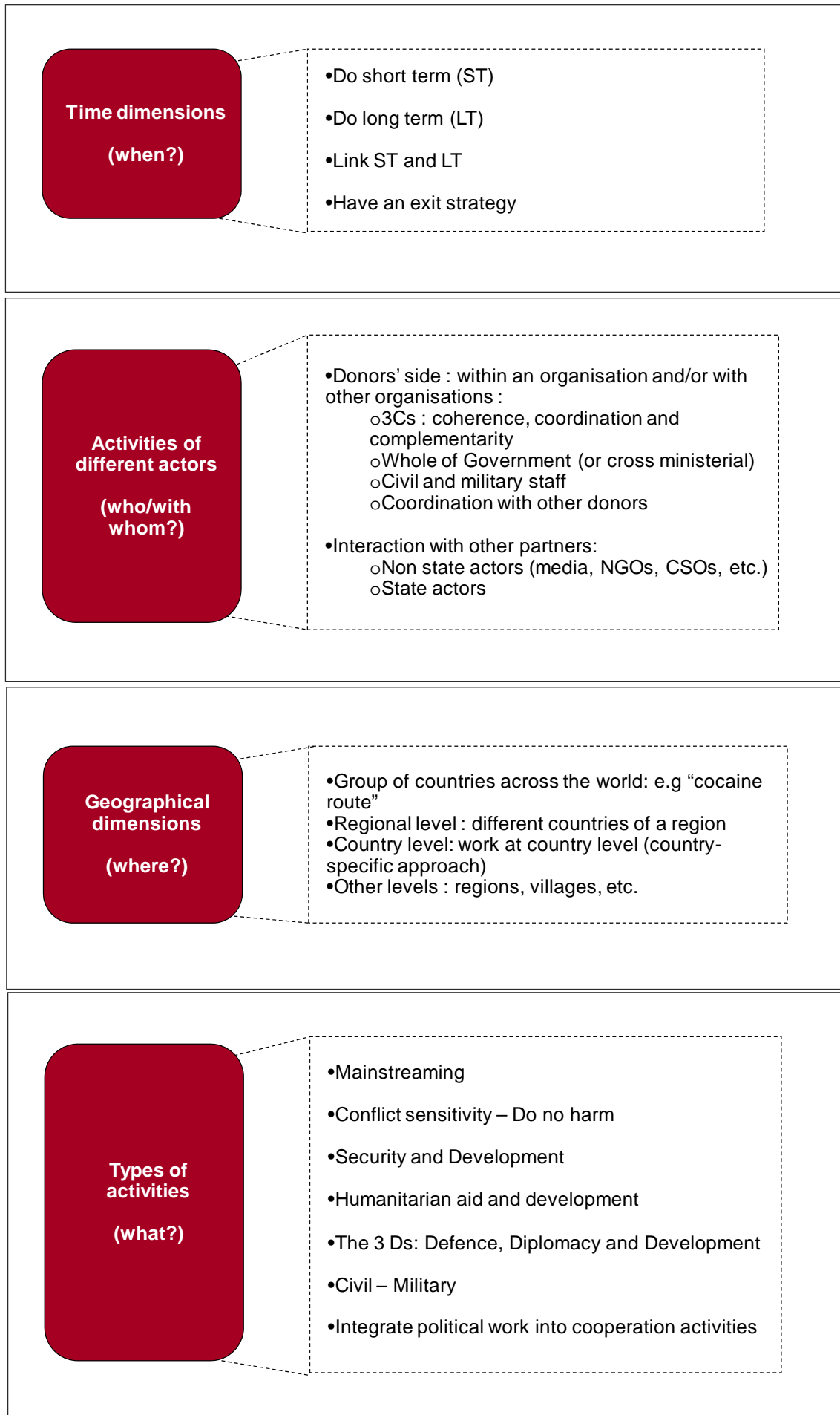
Each of these categories is briefly presented in the figure hereunder. The evaluation team mapped the main notions/elements that can be regrouped under each category.

For instance, as illustrated in the figure hereunder, the time dimension regroups various elements. Taking the time dimension into account is often mentioned as an overarching principle to action in the field of CPPB. In conflict prevention, there should be short-term action but also long-term action and these two aspects should be integrated and coordinated. The necessity for long-term approaches targeting needs as far “upstream” as possible is amongst others mentioned in the Commission’s 2001 Communication on Conflict Prevention¹⁵. The same document also advocates the need for the EU to “*react quickly where the situation in a particular country seems to be entering a downward spiral*”¹⁶. The linkage between both time dimensions is also important so that a smooth transition is ensured as the (conflict) situation evolves.

¹⁵ European Commission, Communication on Conflict Prevention, 11 April 2001, page 9.

¹⁶ European Commission, Communication on Conflict Prevention, 11 April 2001, page 20.

Figure 4 : Cluster of the “what” - Examples of elements for each dimension of the “what”



2.3.2 With respect to the “how”

Moving to the “how” dimension, we examine below what means (tools, guidance, etc.) are available within the Commission and in other agencies which help to implement an integrated approach.

Here also, some key observations arise from the analyses carried out.

Firstly, a **wide range of specific means are available** within the Commission or within other donor agencies. However, there **does not seem to be any comprehensive guidance on the implementation of the integrated approach as such**. It is also worth noting that several interviewees questioned whether that would be possible or even desirable.

Secondly, the **means are generally not integrated in a structured and comprehensive approach**. Indeed, they are not explicitly and systematically linked with the integrated approach and its various dimensions, but often appear to be attributable to ad hoc situations. Moreover, the means available are **not always interconnected**.

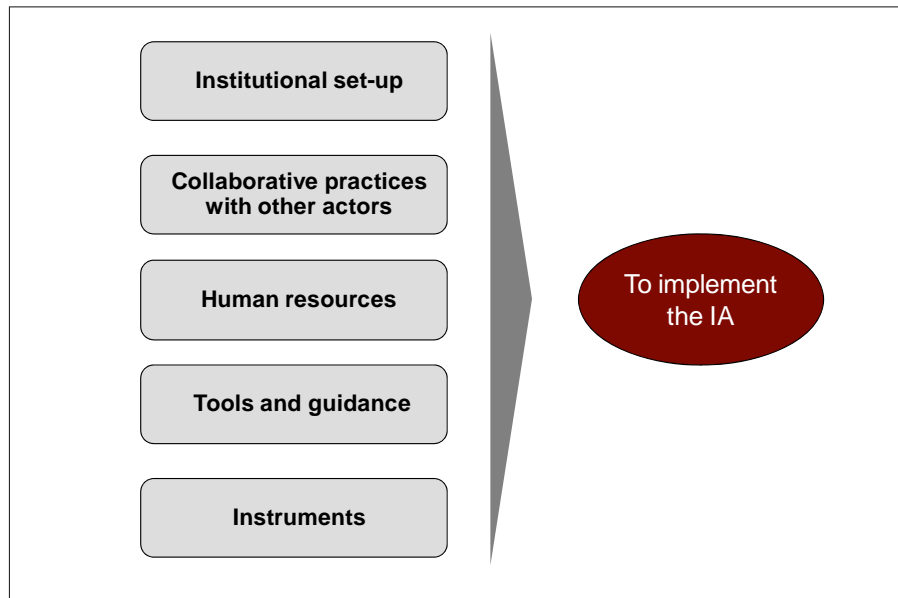
Finally, among interviewees there were two main positions with respect to the strategy to adopt when it comes to means:

- a number of persons are in favour of a structured approach of providing means, including mandatory requirements;
- others are in favour of an “enabling environment” that leaves more room for flexibility and individual initiative especially for actors who are confronted with concrete and specific challenges in the field.

Cluster of the “how”

With regards to the “how” dimension, the evaluation team classified (in 5 categories) the various means existing to apply an integrated approach: institutional set-up or organisational measures, collaborative practices with other actors, human resources, tools and guidance as well as instruments (see figure below).

Figure 5 : “How” to implement an integrated approach: different types of means



The table below provides an overview of the main types of means encountered under each of these categories.

**Table 3: Different types of means to implement an integrated approach -
Examples per type of means**

<p>Institutional set-up</p>	<ul style="list-style-type: none"> • Specific units with a CPPB focus created: e.g <ul style="list-style-type: none"> • Commission : RELEX A2 • Other donors: Stabilisation unit (UK, NL) or other specific units (“Cellule Crises et Conflits” in AfD (France), Peacebuilding and Crisis Prevention Division in Germany)
<p>Collaborative practices with other actors</p>	<ul style="list-style-type: none"> • Coordination mechanisms within an institution: e.g <ul style="list-style-type: none"> • regular meetings gathering various ministries or services implicated in CPPB • Commission : core coordination role of geographical desks and Delegations (political section) • Joint assessments and conflict analyses: e.g <ul style="list-style-type: none"> • Joint between EU (Commission, Council, EU MS) • Joint between donors • Joint with UN-EU-WB (PCNA) • Joint country strategies (Donor-Partner) • Coordination mechanisms for IFS gathering Commission HQ and Delegations, EU MS and civil society • Coordination mechanisms with other actors: e.g <ul style="list-style-type: none"> • thematic or geographic working groups and networks • Awareness raising / communication / work with others: e.g <ul style="list-style-type: none"> • Work with local actors, research institutes, etc. • Communities of practices • Practitioners (development, security and conflict experts) work together • Daily exchange of information

Human resources

- Specialised staff or resources: e.g.
 - Conflict advisors in HQ and country offices (UK)
 - 8 regional crisis response managers in Delegations
 - External pool of experts in CPPB (UK, NL)
 - Rotational system for staff (UK)
 - Development specialists in all ministries
 - Personal exchanges (e.g. between BMZ and MOD)
 - Strengthening embassies by deploying staff from HQ in the field (NL)
- Staff ownership of programmes/themes: e.g.
 - Incentives for staff
 - Specific staff evaluations
- Knowledge management: e.g.
 - Web applications to collect and use lessons learned
- Training: e.g.
 - Joint training of HQ and country offices on CPPB issues
 - Conflict sensitivity training
 - Joint VIP coaching before leaving to duty station (DE)

Tools and guidance

- Conflict sensitivity tools
 - Manual/Resource pack for conflict sensitivity
- Conflict analysis
 - SAF: stability assessment framework (NL)
 - Strategic Conflict Assessment (UK)
 - PCIA: Peace and Conflict Impact (DE)
 - Check list root causes of conflict
 - Guidance for conflict analysis
- Context analysis
- Early warning tools:
 - Watch list, SitCen
 - Guidance for early warning
- Sector guidelines (e.g. governance, SSR, DDR)
- Traffic light system for programming requirements (DE)
- Country strategies: jointly between the 3Ds
- Risk assessment list, special road map

Instruments	<ul style="list-style-type: none"> •Financing instruments: <ul style="list-style-type: none"> •Rapid Reaction Mechanism (RRM) •Instrument For Stability (IFS) •Conflict Prevention Pool & Stability fund (UK) •Reconstruction fund (NL) •African Peace Facility (APF) •European Initiative for Democracy and Human Rights, Governance Facility •Geographical assistance •Non-financing instruments: <ul style="list-style-type: none"> • Political dialogue •High-level mediation (e.g EU special representatives – Track1) • Unofficial high-level (Track 1.5) •Civilian crisis management and military crisis management missions
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2.3.3 Key conclusions with respect to information collection on the “what” and the “how”

The Concept Study has allowed for the gathering and analysis of a substantial quantity of information on the basis of which it was **possible to construct clusters of the “what” and the “how” of an integrated approach**. These clusters provide a global overview of what the Commission and other donors are pursuing when they aim at an integrated approach towards CPPB and the type of means they make available when doing so.

There remains a **gap at the “mesolevel”** between overarching political commitments and what should concretely happen in terms of implementation of these commitments. Elements of information are available, but they are often too scattered and dispersed to bridge this gap.

In this respect, it is essential to bear in mind that the **field of CPPB strategies and means is highly complex and in constant evolution**. Various international and national donor agencies, NGOs and think tanks are active in CPPB and define policies. The latter two often cover a very wide array of issues (as illustrated in the “what” cluster) and are constantly adapted and developed according to major events on the international scene and shifting agendas in the international relations and development community.

3. Proposed set of evaluation questions

This section aims at proposing a set of structured Evaluation Questions (EQ) for the evaluation proper. Firstly, it presents the overall approach and rationale behind the set of proposed EQs. In the second part the questions are presented in detail, together with the judgement criteria (JCs) and indicators to be used to answer them, and the methodology applied to derive these JCs and indicators.

3.1 Overall approach

The information gathered through the Preliminary Study and through the present Concept Study (as displayed in Section 2) constitutes the basis to determine what should be examined by an evaluation on the support to CPPB. In particular, the reconstructed intervention logic, the mapping of funds and the clusters of the “what” and the “how” of the IA will be the basis to define the set of evaluation questions.

As shown in the preliminary study, one of the main reasons why evaluating the Commission support to CPPB is particularly challenging lies in the potentially all encompassing scope of interventions. Indeed support to CPPB spans interventions in border management, Small Arms and Light Weapons (SALW), SSR, trade, regional integration, governance, etc., each of them comprehensive themes or sectors in their own right. Covering these dimensions would entail conducting numerous complex thematic evaluations simultaneously, which would be unrealistic in terms of time and human resources required. Moreover, it would end up with a set of inevitably diverse thematic conclusions which would not convey clear messages in terms of the Commission’s support to CPPB. As explained in the preliminary study, another option that involved identifying, within the intervention logic, specific facets on which the evaluation could focus had also to be abandoned. Not only would this still be unrealistic in terms of complexity, it would also mean covering only certain aspects and not the Commission’s support to CPPB *as such*. Finally, such an approach would also imply missing the “vault key” of the Commission’s strategy with respect to CPPB, namely an *integrated approach* to CPPB.¹⁷

Therefore the preliminary study recommended to precisely centre the evaluation on this “vault key”, by examining whether, how, and with what results the Commission applied the integrated approach when providing support to CPPB. As shown in Section 2 of the present study, this complexity can be brought back to four key dimensions, covering what can be called the “what” of an integrated approach (integration of time dimensions, geographical dimensions, different types of activities and activities of different actors). The section also highlights the “how” of such an integrated approach, or in other words, the means to be provided when supporting an integrated approach towards CPPB.

¹⁷ For more details, see section 6.1.2 of the Preliminary study.

Subsequently, evaluating the Commission's support to CPPB becomes a matter of assessing precisely the "what" and the "how" of the integrated approach.

Remaining at this level would however still be insufficient. Indeed, one cannot assume that examining whether the Commission had an integrated approach towards CPPB and made available the means to implement it, is equivalent to an assessment of its support to CPPB. Indeed, it may well be that having an integrated approach was not sufficient to contribute to CPPB, or conversely, that despite a lack of an integrated approach, valuable contributions were made.

These different elements constitute the rationale behind the proposed set of questions, which aims at:

- Going to the heart of the Commission's strategy with respect to CPPB, by covering the four dimensions of the "what" of the integrated approach ;
- Going beyond the strategic aspects by making the link with programmatic CPPB interventions ;
- Covering more transversal elements, notably with respect to the "how" (means of implementation) and with respect to efficiency issues; and
- Assessing the extent to which the Commission's support had an impact on CPPB.

On this basis, a set of 8 comprehensive questions is proposed as shown in Table 4 below :

- Five questions (EQ 1 to 5) which aim to assess where the Commission stands with respect to the implementation of an integrated approach with a view to contributing to CPPB, and what its concrete contributions were for supporting each of its dimensions ;
- One question (EQ 6) that concerns the Commission's value added to preserving peace and strengthening international security;
- Two more transversal questions: one on the means made available and one on efficiency (EQs 7 and 8).

Table 4: The set of proposed evaluation questions

<p style="text-align: center;">EQ 1 on Mainstreaming</p> <p>To what extent were CP and PB mainstreamed into the Commission's financial and non-financial support?</p>
<p style="text-align: center;">EQ 2 on Root causes of conflicts</p> <p>To what extent has the Commission support contributed to tackling the root causes of conflicts?</p>
<p style="text-align: center;">EQ 3 on Short-term prevention</p> <p>To what extent has Commission support helped to enhance short-term prevention of conflicts, while ensuring the linkage with long-term prevention and peace building?</p>
<p style="text-align: center;">EQ 4 on Geographical dimensions</p> <p>To what extent has the Commission's support to CPPB been designed and implemented to take into account different geographical dimensions of (potential) conflicts (international, region, country and local levels) and to what extent has the support provided at different geographical levels been articulated to foster synergies?</p>
<p style="text-align: center;">EQ 5 on Coordination and complementarity</p> <p>To what extent and with what effect has the Commission's support to CPPB been designed and implemented in coordination and complementarity at different levels both within the EU and with other donors and partners?</p>
<p style="text-align: center;">EQ 6 on Commission's value added on CPPB</p> <p>What has been the value added of the Commission's support in terms of reducing tensions and preventing the outbreak, recurrence or continuation of violent conflict?</p>
<p style="text-align: center;">EQ 7 on Means to facilitate IA</p> <p>To what extent have the means of the Commission facilitated the implementation of an integrated approach to CPPB?</p>
<p style="text-align: center;">EQ 8 on Timeliness and cost-effectiveness</p> <p>To what extent did the pursuing of an integrated approach towards CPPB allow results to be achieved in a timely manner and at a reasonable cost?</p>

The questions are closely linked also to both the Intervention Logic presented in the Preliminary Study and the “how” and “what” (in its four dimensions) presented in this Concept Study. This is illustrated by respectively figures 6 and 7.

Figure 6 : Coverage of the Intervention Logic by the EQ

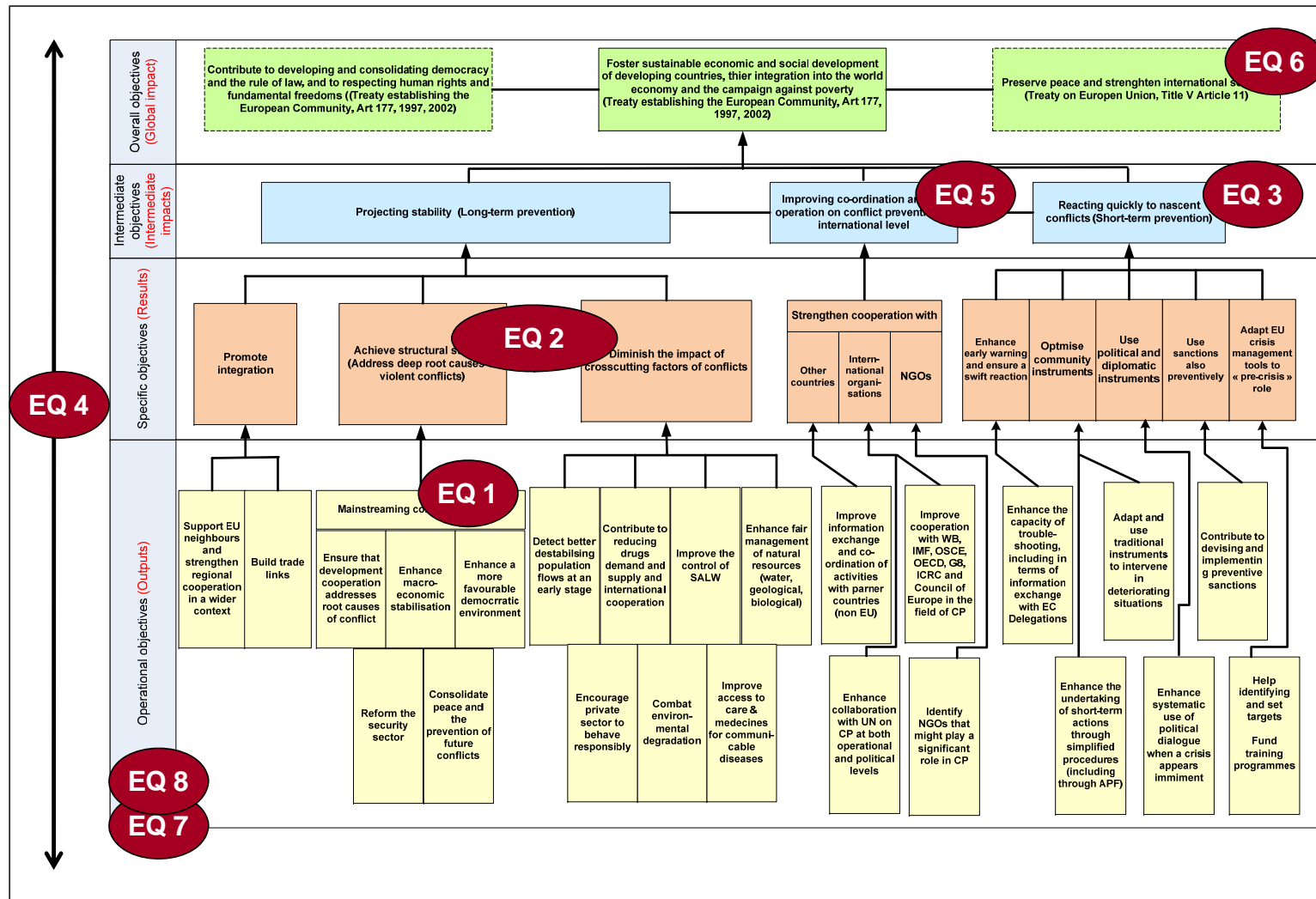
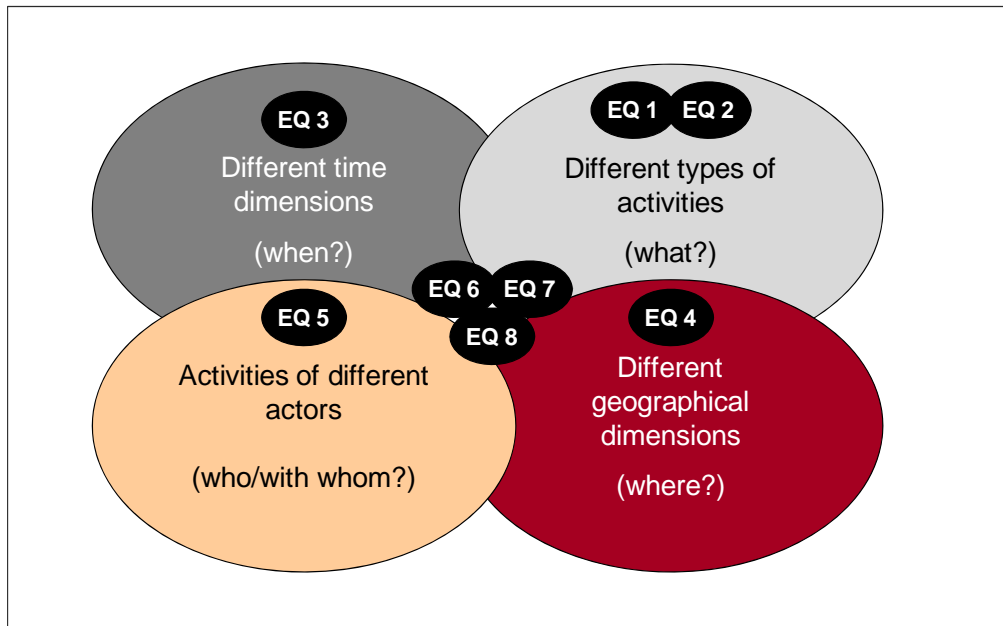


Figure 7 : Coverage of the 4 dimensions of the integrated approach by the EQ



3.2 Detailed presentation of the structured evaluation questions

The eight questions are presented in detail hereafter. For each question, the rationale and coverage of the question is briefly described as well as the link with the evaluation criteria (see figure 8 below) and key issues.

Figure 8 : Coverage of Evaluation criteria and Key Issues by the EQ

	EQ1 Mainstreaming	EQ2 Root causes of conflict	EQ3 Short term prevention	EQ4 Geographical dimensions	EQ5 Co-ordination and complementarity	EQ6 Commission's value added on CPPB	EQ7 Means to facilitate IA	EQ8 Timeliness and cost-effectiveness
Evaluation criteria								
Relevance	■	■	□	■				
Effectiveness	□	■	■		■			
Impact		■			■	□		
Sustainability		□	■					
Efficiency							■	■
Coherence				■				
EC added value					□	■		
Key issues								
3Cs					■			

Largely covered
 Tackled

It also presents the results of the structuring of the EQs in judgement criteria and indicators, which has been a specific challenge. Indeed, as explained above, there is an information gap at the “mesolevel” between high level commitments and how to implement these commitments. In this perspective, when the evaluation needs to examine the issue of coordination for instance, as in EQ 5, it remains to be determined how such analyses will take place.

Here again, the significant amount of information collected in Phase 1 of the present study has proven essential. It has been used not for its own sake but as food for thought to decide what elements should be examined under each evaluation question, i.e. which judgement criteria and indicators needed to be developed. Accordingly for each question, a conceptual and analytical background is presented that explains some key definitions and sources that are relevant for the questions as well as some key elements to be taken into account. On that basis, a set of indicators is proposed for each judgement criterion. It is important to underline that the former (the conceptual background) is provided in a merely pragmatic approach, i.e. with a view to better reflecting on which indicators should be used. Finally, one should bear in mind that given the comprehensive ambition of an integrated approach, the coverage of several evaluation questions is potentially overlapping. Indeed, tackling the issues of the linkage between short term and long term prevention (EQ 3) covers elements in terms of coordination between the actors in charge of these aspects that also fall under EQ 5. To the extent possible this has been taken into account, first by delimiting clearly the ambition of the question in terms of coverage, and, second, by making clear and explicit under what question different issues are covered.

EQ 1 To what extent were CP and PB mainstreamed into the Commission’s financial and non-financial support?

Rationale and coverage of the question

One of the key features of the integrated approach towards CPPB is the need to make sure that the conflict dimension is taken into account throughout the different types of interventions a donor conducts in a country. This means that CPPB should be a concern in the broad sense throughout all initiatives taken by a donor in a country, through the mainstreaming of CPPB issues which can also be referred to as “do no harm” approaches or conflict sensitivity. Such mainstreaming should concern both financial and non-financial support (such as the integration of political work into cooperation activities).

Evaluation Criteria / issues

It is a question of **relevance**, but it also concerns effectiveness. Indeed, the question concerns in the first place issues on strategy, design and needs in terms of tackling CPPB. It aims at checking to what extent the conflict context and its interaction with the assistance provided were appropriately analysed and taken into account in the Commission’s country/regional strategies and interventions. The effectiveness dimension is also important as integrating CPPB in a transversal manner is precisely an objective of the Commission in the delivery of its assistance in the field of CPPB.

Evaluation approach to EQ1

Conceptual and analytical background to mainstreaming / conflict sensitivity / do no harm

1. Key definitions and sources

“Do no harm” approaches focus on how assistance that is given in conflict settings interacts with the conflicts: *“when international assistance is given in the context of a violent conflict, it becomes a part of that context and thus also of the conflict. (...) Aid can reinforce, exacerbate, and prolong the conflict; it can also help to reduce tensions and strengthen people’s capacities to disengage from fighting and find peaceful options for solving problems (...) Aid should not feed into and exacerbate the conflict.”*¹⁸

Mainstreaming CP into programming and policy-making has been introduced in the Commission’s approach to CPPB by the COM 2001 on CP. *“Mainstreaming conflict prevention means that conflict prevention is systematically incorporated into all areas of EU policy and engagement in third countries. This implies conflict sensitivity in all areas of programming”*¹⁹. Similarly, the OECD states in its 2001 Guidelines on helping prevent violent conflict that *“donors are learning to apply a conflict prevention “lens” to policies i.e a metaphor for looking at how conflict prevention can be incorporated into all arenas of policy (e.g. from development to trade, investment and foreign policy). (...) They recognise that all aid can influence conflict situations and create incentives or disincentives for peace.”*

Conflict sensitivity can be described as follows:

“Conflict sensitivity is defined as the ability of an organisation to:

- *understand the context in which it operates;*
- *understand the interaction between themselves, their activities and the context;*
- *act upon the understanding of this interaction, in order to avoid negative impacts and maximize positive impacts.”*²⁰

A similar definition of conflict sensitivity is also provided by the OECD in its 2008 *“Guidance on evaluating conflict prevention and peace building activities”*.

2. Key elements to be analysed

From a pragmatic point of view, the elements to be tackled when examining to what extent mainstreaming, do no harm and conflict sensitivity took place can be summarised under the broader umbrella of what should be looked at when assessing the conflict sensitivity of support.

¹⁸ Source: Mary B. Anderson, *“Do no harm : how aid can support peace – or war”*, 1999

¹⁹ Source: The Quaker Council for European Affairs (QCEA) : *“Mainstreaming Conflict Prevention : A Study of EU Development Cooperation with ACP Countries”*, January 2009

²⁰ Source: Africa Peace Forum, Consortium of Humanitarian Agencies, Center for Conflict Resolution, Forum for Early Warning and Early Response, International Alert and Saferworld, *“Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”*, London: 2004 (see also <http://conflictsensitivity.org/?q=resourcepack>)

Indeed, being conflict sensitive entails the following:

- *“Organisations should carry out a **conflict analysis** and update it regularly - in order to understand the context they operate in.*
- *Organisations should **link their conflict analysis to the programming cycle of the intervention** (in planning, implementation, monitoring and evaluation) - in order to understand the interaction between themselves, their actions and the context.*
- *Organisations should **plan, implement, monitor and evaluate in a conflict-sensitive fashion and be prepared to change the intervention if necessary** - in order to avoid negative impacts and maximise positive ones.*

Note: the word ‘context’ is used rather than ‘conflict’ to make the point that all socio-economic and political tensions, root causes and structural factors are relevant to conflict sensitivity because they all have the potential to become violent.²¹”

These three points are further clarified in the *Resource Pack* previously referred to. The following elements should be kept in mind for each point:

2.1 On “Organisations should carry out a conflict analysis and update it regularly - in order to understand the context they operate in”

Conflict analysis is central to integrating conflict sensitivity into projects and programmes. It should be understood as the **systematic study of the profile, causes, actors, and dynamics of conflict** as further detailed in the box below.

Conflict analysis – Key questions²²

Key questions for a conflict profile:

- *What is the political, economic, and socio-cultural context?*
- *What are emergent political, economic, ecological, and social issues?*
- *What specific conflict prone/affected areas can be situated within this context?*
- *Is there a history of conflict?*

Key questions for an analysis of conflict causes:

- *What are the structural causes of conflict?*
- *What issues can be considered as proximate causes of conflict?*

²¹ Source: Africa Peace Forum, Consortium of Humanitarian Agencies, Center for Conflict Resolution, Forum for Early Warning and Early Response, International Alert and Saferworld, “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”, London: 2004. (see also <http://conflictsensitivity.org/?q=resourcepack>)

²² Source: Africa Peace Forum, Consortium of Humanitarian Agencies, Center for Conflict Resolution, Forum for Early Warning and Early Response, International Alert and Saferworld, “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”, London: 2004 (see also <http://conflictsensitivity.org/?q=resourcepack>)

- *What triggers can contribute to the outbreak / further escalation of conflict?*
- *What new factors contribute to prolonging conflict dynamics?*
- *What factors can contribute to peace?*

Key questions for an actor analysis:

- *Who are the main actors?*
- *What are their main interests, goals, positions, capacities, and relationships?*
- *What institutional capacities for peace can be identified?*
- *What actors can be identified as spoilers? Why?*

Key questions for an analysis of conflict dynamics:

- *What are the current conflict trends?*
- *What are the windows of opportunity?*
- *What scenarios can be developed from the analysis of the conflict profile, causes and actors?*

Conflict analysis should be carried out at various levels (eg local, national, regional, etc.) and seek to establish the linkages between these levels.

2.2 On “Organisations should link their conflict analysis to the programming cycle of the intervention (in planning, implementation, monitoring and evaluation) - in order to understand the interaction between themselves, their actions and the context.”

Needs assessment frameworks (e.g. sustainable livelihood assessments, participatory poverty assessments, participatory rural appraisals, good governance assessments, gender analyses) **can usefully be complemented by conflict analyses** because such exercises help to better understand the changing nature of contexts.

In order to **integrate conflict analyses into needs assessment**, organisations should:

- Examine the impact of politics and power relations on poverty and an establishment of the sources of power in a particular community;
- Refine the understanding of individual identities, group membership and group identity and how they affect vulnerability;
- Examine how the wider conflict dynamics impact on institutions, relations within a community and between communities, as well as understand processes of dominance, alignment and exclusion; and
- Link local processes (eg displacement) to political and economic interests and strategies at regional, national and international levels (eg land appropriation, war economy).

2.3 On “Organisations should plan, implement, monitor and evaluate in a conflict-sensitive fashion and be prepared to change the intervention if necessary - in order to avoid negative impacts and maximise positive ones.”

Conflict-sensitive planning means paying attention to the interaction between (potential) conflict dynamics and design of an intervention. It brings in an additional ingredient

(conflict analysis of the actors, causes, profile and dynamics in a given context) with the aim of ensuring that the project or programme does not inadvertently increase the likelihood of violent conflict, but rather serves to reduce potential or existing violent conflict. It relates to both interventions that are defined through the conflict analysis, and to sensitising other interventions. In other words, conflict sensitivity is relevant to projects and programmes that directly address conflict as well as those which seek simply to avoid indirectly exacerbating conflict. Every activity is part of the conflict dynamic, whether focused on or around a particular conflict or not.

At the planning stage, the **development of three types of indicators** will be of crucial importance:

- *“**Conflict indicators**, developed during the conflict analysis stage, are used to monitor the progression of conflict factors against an appropriate baseline, and to provide targets against which to set contingency planning*
- ***Project indicators** monitor the efficiency, effectiveness, impact and sustainability of the project*
- ***Interaction indicators**, developed during the planning stage by taking the information gathered during the conflict analysis and applying it to the project planning process, are used to monitor and evaluate the interaction between the project and conflict factors by (a) measuring the impact the project is having on conflict (eg restricted access to safe drinking water no longer antagonises an ethnic minority); and, obversely, (b) measuring the impact conflict factors are having on the project (eg number of staff approached by militants for financial ‘donations’; rising tensions make inter-group activities difficult to conduct).²³”*

Conflict sensitive implementation *“additionally involves close scrutiny of the operational context through regularly updating the conflict analysis, linking this understanding of the context to the objective and process of achieving the activities, and adjusting these activities accordingly (i.e changing the plan in response to unforeseen changes of circumstance).²⁴”*

Integrating **conflict sensitivity into monitoring and evaluation** does not change the basic steps of the monitoring and evaluation exercise but will have specific implications on:

- **Timing:** the exercise should be rescheduled to be better adapted to the local context (e.g postponing of the monitoring exercise if elections are ongoing in the country)
- **Process:** a conflict sensitive monitoring process will: understand the changing context, understand the project implementation, and understand the interaction between the context and the project

²³ Source: Africa Peace Forum, Consortium of Humanitarian Agencies, Center for Conflict Resolution, Forum for Early Warning and Early Response, International Alert and Saferworld, “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”, London: 2004 (see also <http://conflictsensitivity.org/?q=resourcepack>)

²⁴ Source: Africa Peace Forum, Consortium of Humanitarian Agencies, Center for Conflict Resolution, Forum for Early Warning and Early Response, International Alert and Saferworld, “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”, London: 2004 (see also <http://conflictsensitivity.org/?q=resourcepack>)

- **Information collection:** organisations should acknowledge the potential impact of the monitoring or evaluation process itself on the conflict dynamics. In that respect, finding ways of safely interacting with respondents, including specific training of the evaluators, in these types of environments will be crucial.

Another dimension is conflict sensitive **risk management** which entails assessing the potential risks resulting from conflicts on the interventions and its staff, how these can be avoided at the design stage or mitigated at the implementation stage.

Proposed set of Judgement Criteria and Indicators

The set of judgement criteria and indicators presented hereunder is **based on the above described conceptual background on mainstreaming / conflict sensitivity / do no harm**. It also takes into account the fact that this conceptual background presents the ideal conditions for conflict analysis. In that respect, specific attention will be paid to the existence of elements of conflict analysis (either written or oral) if formal conflict analyses do not exist. Broadly speaking, they can be brought back to three main elements: there is an analysis of the conflict or elements of conflict analysis; this analysis is used in the programming; this analysis is regularly updated and the programming adjusted accordingly.

JC 1.1	(Elements of) conflict analyses have been carried by the Commission or the Commission used existing (elements of) conflict analyses commonly agreed upon
I.1.1.1	Existence of documented (elements of) conflict analyses (produced by the Commission or other instances)
I.1.1.2	Type of content of these (elements of) conflict analyses (the conflict profile, the conflict causes, the analysis of actors and conflict dynamics)
I.1.1.2	Stakeholders' views on the relevance and quality of these (elements of) conflict analyses
JC 1.2	The financial and non-financial support provided by the Commission is informed by (elements of) conflict analyses
I.1.2.1	Within the Commission there were explicit mechanisms to ensure that (elements of) conflict analyses were used in the design of specific country/regional strategies
I.1.2.2	The Commission's needs assessments, strategy and programming documents explicitly referred to these (elements of) conflict analyses at the level of the overall strategy, and at the level of the programming, both for programmes addressing directly CPPB as for the others
I.1.2.3	The Commission's strategy and programming documents presented an analysis of the conflict related risks for the interventions (or elements of it)
I.1.2.4	The Commission's political dialogue focused on the conflict dynamics with the main actors of conflict and has been reflected in Commission's strategy documents
I.1.2.5	Stakeholders considered that the financial and non-financial support took into account the (elements of) conflict analysis
JC 1.3	The Commission took measures to ensure that during implementation and evaluation its interventions -either directly or indirectly addressing the conflict- did not inadvertently increase the likelihood of conflict
I.1.3.1	Conflict and interaction indicators have been used to respectively follow the evolution of conflict factors and monitor the interaction between the intervention and the conflict factors
I.1.3.2	The (elements of) conflict analyses have been regularly updated
I.1.3.3	Commission activities have been adjusted in response to unforeseen changes of circumstance during implementation

I.1.3.4	The Commission adapted the timing of the implementation, monitoring and evaluation of its interventions to the local context
I.1.3.5	The Commission devoted specific attention to security power considerations in its interactions with stakeholders during the implementation, monitoring and evaluation of its interventions

EQ2 To what extent has the Commission support contributed to tackling the root causes of conflicts?

Rationale and coverage of the question

As mentioned by the 2001 Communication on Conflict Prevention, “*the major challenge of conflict prevention is finding effective and appropriate ways to address the causes of tension and violent conflict*”. These root causes can be very context specific and every context is unique. There are also root causes that are common to all conflicts and that are referred to as “cross-cutting factors”. A non-exhaustive list of such “crosscutting factors of conflicts” is provided in the 2001 Communication: drugs, small arms, access to and management of natural resources, environmental degradation, communicable diseases, massive population flows, human trafficking and the private-sector. “*Treating the root causes of conflict implies creating, restoring or consolidating structural stability in all its aspects.*” It therefore aims at contributing to long term prevention.

The purpose of this question is to examine to what extent the Commission support addressed the root causes of conflicts, including the cross-cutting factors of conflicts, and contributed to mitigating the impact of the root causes. Such assessment will be made on a case by case basis as the root causes might vary strongly from one conflict to another. It will consist of verifying to what extent the Commission attempted to precisely tackle such root causes in specific situations. It will however also need to look at what kind of initiatives were taken at a more general level concerning the crosscutting factors of conflicts and to what extent these initiatives had effects in specific situations. The purpose will thus not be to examine whether the Commission addressed with positive effects each specific root cause (i.e. the question does not aim at checking, for instance, whether the Commission achieved positive results in its combat to human trafficking), but rather to examine whether in specific contexts (countries and regions) the Commission contributed to tackling the root causes as a whole.

Evaluation Criteria / issues

The question puts strong emphasis on both **relevance** and **effectiveness/impact**, but also concerns sustainability. Indeed, the issue of the root causes is first an issue of pursuing objectives that are in line with needs. The first element to examine is whether the support precisely aimed at and did tackle the root causes, before verifying to what extent this was done successfully and in a sustainable manner.

Evaluation approach to EQ2

Conceptual and analytical background to the root causes of conflict

1. Key definitions and sources

The 1997 OECD-DAC guidelines on conflict, peace and development cooperation mentioned the **potential impact of development cooperation on the alleviation of the root causes of conflicts** : *“Over the long-term, development cooperation can contribute to alleviating the root causes of conflict and help to develop institutions capable of managing and resolving disputes in a peaceful manner.”* They further describe the root causes of conflicts: *“structural factors, which must be viewed on a long-term horizon, are those which create a potential climate for violent conflict without, however, making its eruption inevitable. They include such interrelated political, social and economic factors as population density, the level and distribution of wealth and opportunity, the state of the resource base, the structure and ethnic make-up of society, and the history of inter-group relations. (...) The causes of conflict are varied and intertwined. It is difficult to delineate clearly or weigh the influence of different elements. These range from destabilising social conditions, such as extreme social disparities and exclusion, to government lacking the appropriate mechanisms for the peaceful conciliation of differing interests within society.”*

The Report of the Secretary-General of the UN on *The Prevention of Armed Conflict* in 2001 drew on the work of the Carnegie Commission on Preventing Deadly Conflict and set out new norms of action for the international community on conflict prevention. It sets out two aspects of prevention: *“operational prevention, which refers to measures applicable in the face of immediate crisis, and structural prevention, which consists of measures to ensure that crises do not arise in the first place or, if they do, that they do not recur.”* The structural aspect relates in particular to addressing root causes.

In its 2001 Communication on CP, the Commission defines the root causes of conflict as follows: *“poverty, economic stagnation, uneven distribution of resources, weak social structures, undemocratic governance, systematic discrimination, oppression of the rights of minorities, destabilising effects of refugee flows, ethnic antagonisms, religious and cultural intolerance, social injustice and the proliferation of weapons of mass destruction and small arms are factors which aggravate conflict.”* As underlined above, the Commission also identifies several cross-cutting factors of conflicts: drugs, small arms, management and access to natural resources, environmental degradation, the spread of communicable diseases, population flows and human trafficking, and the role of the private sector in unstable areas.

2. Key elements to be analysed

The 1997 OECD-DAC guidelines on conflict, peace and development cooperation point to a **series of actions for external support in conflict situations with a view to addressing the root causes**: *“visible actions to address root causes of unrest, based on suitable early warning, analysis of information, and the rapid flow of signals, are vitally important. Activities could be aimed at improving the allocation and management of natural resources, reducing poverty, targeting sociopolitical activities in support of participatory development, promoting good governance, limiting the flow and diffusion of arms, especially light weapons, civic education, ensuring respect for human rights as well as*

measures supporting the self-help potential among crisis-threatened population groups, and promoting the creation of dialogue and mediation structures.”

In its 2001 Communication on CP, the Commission stresses **the need to analyse the root causes of conflicts early on**: *“There is an evident need for enhanced common analysis of root causes of conflict and of signs of emerging conflict. (...) These signs should not only to be analysed - appropriate action needs to be taken as well. An early identification of risk factors increases the chances of timely and effective action to address the underlying causes of conflict.”* It also stresses the importance of tackling the root causes as a whole: *“the Commission will ensure that its development policy and other co-operation programmes are more clearly focused on addressing root causes of conflict in an integrated way.”*

The 2001 OECD-DAC guidelines also stress the importance of analysing the conflict dynamics: *“the international community needs to better analyse the causes and dynamics of conflict and peace in order to understand how their actions will affect the “structural stability” of a society or country. (...) A comprehensive and integrated knowledge of the needs for state and civil society to work properly together is key to understanding the origins and dynamics of violent conflict.”*

Proposed set of Judgement Criteria and indicators

The set of judgement criteria and indicators presented hereunder is **based on the above described conceptual background on the root causes of conflicts**. Broadly speaking, judgement criteria can be brought back to two main elements: (i) the Commission’s support (i) tackled the root causes of conflicts and (ii) contributed to mitigate the impact of the root causes of conflicts.

As highlighted above, it should be remembered that:

- the “root causes of conflicts” include the “cross-cutting factors of conflicts”;
- it is clear that the root causes might vary strongly from one conflict to another and be very context specific. This element will be taken into account when collecting information for the indicators, in particular those under JC 2.2. Examining the effectiveness of the Commission in addressing the root causes of conflict will be made on a case by case basis.

JC 2.1	The Commission’s support to CPPB aimed at tackling the root causes of conflict to ensure that conflicts did not arise or reappear
I.2.1.1	(Elements of) conflict analyses or other Commission reference documents at strategy or intervention specific levels took into account the “root causes of conflicts” or equivalent and identified them (cf. EQ 1)
I.2.1.2	The Commission’s strategy documents aimed at tackling the root causes of conflicts or equivalent
I.2.1.3	The Commission addressed the root causes of conflicts through its political dialogue
I.2.1.4	The Commission took specific initiatives at a general level to tackle the cross-cutting factors of conflicts
I.2.1.5	Stakeholders considered that the Commission’s strategy was geared towards tackling the root causes of conflict

JC 2.2	The Commission's support has contributed to mitigating the impact of root causes of conflict
I.2.2.1	The Commission's interventions which aimed at tackling the root causes of conflict included indicators to monitor their results
I.2.2.2	These interventions have been monitored and corresponding monitoring reports evidenced positive results, which have been maintained over time without further Commission support
I.2.2.3	For interventions that have not been monitored, stakeholders' reported positive results which have been maintained over time without further Commission support
I.2.2.4	The extent to which observed improvements in specific conflict situations can be linked to the Commission's support

EQ 3 To what extent has Commission support helped to enhance short-term prevention of conflicts, while ensuring the linkage with long-term prevention and peace building?

Rationale and coverage of the question

One of the four key dimensions of the “what” of the integrated approach is the time dimension. This encompasses different aspects: ensuring both short and long term prevention and that they are both articulated. While EQs 1 and 2 focus on long-term prevention aspects, this question focuses on the short term aspects and on their linkages with long term prevention. The question aims at verifying whether the mechanisms and instruments available to the Commission allowed it to react quickly to nascent conflicts, while making sure that the transition to the long term perspective was also taken into account. In that respect, it will assess whether appropriate links between these two aspects were made.

Evaluation Criteria / issues

It is a question of relevance, **effectiveness** and **sustainability**. Indeed, the question will examine whether the Commission had the appropriate instruments to intervene in deteriorating situations and the extent to which its instruments and mechanisms enhanced its capacity to act quickly and flexibly. It will also assess the extent to which short-term actions were framed in the context of longer term requirements of development. This latter aspect also concerns the sustainability aspect in the sense that the articulation of the short term and the long term is precisely a manner to ensure that “reacting quickly” generates effects that remain, once the intervention is over.

Evaluation approach to EQ3

Conceptual and analytical background to short-term prevention and its linkage with long-term prevention

1. Key definitions and sources

Short-term prevention

In the 2001 Commission Communication on Conflict Prevention, short-term prevention is defined as *“the ability to react quickly where the situation in a particular country seems to be entering a downward spiral”*. This may occur *“in cases of large-scale human rights violations, recurrent outbreaks of violence, electoral unrest, collapse of the machinery of the government or ethnic marginalisation”*. Ideally, short-term prevention should happen early enough to help prevent an unstable situation becoming a major crisis.

Long-term prevention

As outlined in the 2001 Commission Communication on Conflict Prevention, long-term prevention is a continued engagement which *“seeks to ensure that all development policy and other cooperation programmes are more clearly focused on targeting the root causes of conflict in an integrated way”* and *“which will address all aspects of structural stability in countries at risk.”*

Linking short-term and long-term prevention

According to the 2001 OECD/DAC Guidelines on Helping Prevent Violent Conflicts: *“experience and analysis constantly point to a tension between the need to act quickly and flexibly in complex conflict situations, where matters can rapidly deteriorate and many lives can be lost, and the need to ensure that actions contribute to positive recovery in the long term. (...) There is a need to frame relief actions in the context of longer term requirements of reconstruction and development.”*

Along the same lines, the Commission first developed a rationale for Linking Relief, Rehabilitation and Development (LRRD) in its 1996 Communication.²⁵ In its 2001 Communication, “Linking Relief, Rehabilitation and Development”²⁶, it further stresses that *“disasters and crises disrupt economic and social development. Short-term relief mechanisms do not - and in some cases can not - systematically take into account long-term development issues. Development policy, at the same time, should be better prepared to cope with natural disasters, conflicts and other crises, and the need to protect vulnerable households by helping them to develop coping strategies. The 1996 Communication noted that if relief and development are appropriately linked, these deficiencies can be reduced. (...) The pursuit of effective linkage is not simply a matter of ensuring a smooth transition from emergency to development assistance. It must be seen in a broader context, as part of an integrated approach towards preventing crises and disasters, in particular through disaster preparedness, as well as preventing and resolving conflicts and assuring a return to structural stability.”*

Similarly, the 2001 “EU Programme of Action on the Prevention of Violent Conflicts”²⁷ notes that *“successful prevention must be based on accurate information and analysis as well as clear*

²⁵ COM (1996)153 final of 30.04.1996

²⁶ COM(2001)153 final of 23.04.2001

²⁷ European Council, *EU Programme for the Prevention of Violent Conflicts*, European Council Göteborg, June 2001.

options for action for both long- and short-term prevention. (...) The Union has an extensive set of instruments for structural long-term and direct short-term preventive actions. The long-term instruments include development co-operation, trade, arms control, human rights and environment policies as well as political dialogue. The Union also has a broad range of diplomatic and humanitarian instruments for short-term prevention. Structures and capabilities for civil and military crisis management, developed within the framework of the ESDP, will also contribute to the capabilities of the EU to prevent conflicts.”

2. Key elements to be analysed

Short-term prevention

The 2001 Communication on Conflict Prevention calls for the reinforcement of the EU's capacity for troubleshooting and responding quickly to imminent crises. Along the lines of the 2001 Communication and taking into account more recent developments, the following key elements should be kept in mind to assess the Commission's support with respect to short-term prevention :

- Enhance early warning mechanisms : the Commission will work with the Secretary General/High Representative on regular reviews of potential conflict zones, including the establishment of early warning mechanisms so as to assess the situation and act in the early phases of a conflict,
- Optimise community instruments :
 - Adapt and use traditional instruments to intervene in deteriorating situations (e.g actions to permit rapid deployment of trained EU election observers, emergency economic assistance, use of rolling programming in development cooperation to allow more flexibility)
- Enhance the undertaking of short-term actions through simplified procedures
- Use political instruments:
 - Enhance systematic use of political dialogue when a crisis appears imminent. In that respect the Commission proposes to integrate more systematically into the political dialogue with partner countries discussions on early-warning systems and regular monitoring of potential conflict zones (e.g preventive diplomacy).
- Use sanctions preventively (e.g export control regimes targeting small arms, etc.) : the Commission will initiate a debate within the Council to enable the EU to devise preventive sanctions
- Adapt the EU crisis management tools to pre-crisis role:
 - Support to training programmes in the field of rule of law and civil administration to make staff rapidly available for civilian missions

Linking short-term and long-term prevention

In its 2001 Communication on “Linking Relief, Rehabilitation and Development”, the Commission makes several policy proposals to link relief, rehabilitation and development:

- *“In countries prone to natural disasters, increased attention will be paid to disaster preparedness and prevention both in humanitarian assistance, and particularly in development co-operation strategies and programmes (e.g development of suitable indicators of country vulnerability and contingency planning mechanisms such as early warning systems)*
- *In countries prone to violent conflicts, the link must be seen in a broader context: political, developmental and humanitarian:*
 - *The Commission should take into account the pre-crisis phase to define its post-crisis strategy. In particular, it should pay specific attention to factors that lead to crises and to mechanisms that can prevent escalation;*
 - *A consistent EU approach towards crises that links Commission and EU interventions and instruments in an integrated way is needed;*
 - *A long-term perspective must be adopted from the start of the conflict and influence the nature of emergency interventions (particular attention should be paid to the needs of the affected populations);*
 - *Assistance should be planned and adjusted to a particular situation so as to not have a negative impact;*
- *In countries prone to structural crises, assistance to countries where there is no humanitarian emergency should be phased out. If the Commission is committed to continue its assistance, appropriate longer term instruments will have to be mobilized in a timely fashion;*
- *Better organized and increased coordination between the various multilateral, regional and non-governmental actors should strengthen the synergies in the international response to crises.”*

The Communication also identifies three major problems in ensuring the linkage between emergency and development instruments: slow decision-making procedures, choice of implementing partners and the ability to mobilise resources through appropriate instruments. It proposes the following responses:

- *“The linkage issue will become an integral part of the Country Strategy Paper (CSP) in countries prone to crises and emergencies and as soon as ECHO intervenes an addendum to the CSP will be elaborated and adopted using simplified and adapted procedures*
- *The Commission will review its own instruments and procedures with a view to reduce time delays, mobilize adequate resources in a timely fashion and ensure the involvement of appropriate partners. This will take place in the framework of the reform of the external assistance.”*

Proposed set of Judgement Criteria and Indicators

The set of judgement criteria and indicators presented hereunder is **based on the above described conceptual background on short-term prevention and its linkages to long-term prevention**. Broadly speaking they can be brought back to two main elements: mechanisms and instruments were operational and enhanced the capacity to deal with deteriorating situations, and the linkage with long-term prevention has been ensured at strategy and intervention-specific levels.

JC 3.1	Commission's mechanisms and instruments for rapid reaction were operational, have improved the detection of deteriorating situations and the capacity to deal with them
I.3.1.1	Regular regional and country reviews occurred to monitor closely potential conflict zones
I.3.1.2	Early warning mechanisms to alert EU decision-making have been set up
I.3.1.3	Political dialogue with partner countries included discussions on early-warning systems and regular monitoring of conflict zones
I.3.1.4	Stakeholders' views on the extent to which these mechanisms enhanced the Commission's capacity to deal with nascent conflicts
I.3.1.5	Traditional Commission instruments have been used in a timely-fashion to intervene in deteriorating situations (e.g deployment of trained EU election observers, emergency economic assistance)
I.3.1.6	Non-financial instruments (such as mediation) have been used in a timely fashion
I.3.1.7	Short-term actions have been undertaken through simplified procedures
I.3.1.8	Monitoring and evaluation reports evidenced a positive contribution of these interventions to CP
I.3.1.9	Stakeholders' views on the extent to which Commission's instruments enhanced its capacity to deal rapidly with nascent conflicts
JC 3.2	The Commission's strategy and interventions contributed to prevent the recurrence of crises and consolidate peace
I.3.2.1	The Commission's strategy documents included support to the immediate consolidation of peace (e.g through political dialogue or specific interventions)
I.3.2.2	The Commission had a strategy at country level to sequence its peace building activities
I.3.2.3	Stakeholders considered that the Commission's strategy was geared towards tackling the immediate consolidation of peace
I.3.2.4	The Commission's interventions which aimed at immediately consolidating peace included indicators to monitor their results
I.3.2.5	These interventions have been monitored and corresponding monitoring reports evidenced positive results, which have been maintained over time without further Commission's support
I.3.2.6	For interventions that have not been monitored, stakeholders considered that they immediately contributed to ease tensions and/or to consolidate peace agreements
JC 3.3	The Commission's strategy and interventions have been designed and implemented so as to ensure the transition to long term prevention
I.3.3.1	In countries prone to conflicts, the Commission's strategy explicitly referred to linkages between crisis management and conflict prevention
I.3.3.2	Short-term interventions were designed on the basis of identified and prioritised needs
I.3.3.3	Short-term interventions were designed in the full knowledge of the Commission's support to structural stability and with due consideration of their potential impact on longer-term interventions
I.3.3.4	Short-term interventions have not negatively impacted on the longer-term interventions
I.3.3.5	An exit strategy was envisaged from the outset of short-term interventions to ensure a continuum with long-term prevention
I.3.3.6	Short-term interventions were gradually phased out when appropriate (i.e were not extended beyond reasonable limits)

EQ 4 To what extent has the Commission's support to CPPB been designed and implemented to take into account different geographical dimensions of (potential) conflicts (international, region, country and local levels) and to what extent has the support provided at different geographical levels been articulated to foster synergies?

Rationale and coverage of the question

Conflicts may occur at different geographical levels and there may be conflict dynamics that link these different levels. They may be very local, specific to a given country, concern one or several countries or an entire region, or even the international level, such as is the case in some of the crosscutting factors of conflicts, for instance in drugs related conflicts that concern the entire "drug route". Therefore it is essential that CPPB support intervenes at the adequate geographical level and at the interlink between these levels. This may for instance imply having an adequate regional strategy when a conflict affects an entire region or when causes have a regional dimension. As illustrated in Section 2, this integration of the appropriate geographical dimensions is one of the four key features of an integrated approach. Accordingly, the present question aims precisely at verifying to what extent this was taken into account.

Evaluation Criteria / issues

This question is one of **relevance and internal coherence**. Indeed, it aims first at verifying to what extent the strategy with respect to CPPB took into account the geographical features of the conflict. It also concerns coherence as it aims at verifying to what extent the support at different geographical levels (e.g. country and regional levels) was articulated and coherent.

Evaluation approach to EQ4

Conceptual and analytical background to the geographical dimensions of conflict

1. Key definitions and sources

The 2001 Commission Communication on conflict prevention notes the importance of addressing conflict at regional, national and local levels of particularly in reference to strengthening regional organisations with a conflict prevention mandate, combating the trade in conflict resources, and supporting regional integration to address the causes of conflict.

In its 1997 Guidelines on conflict, peace and development cooperation and in its 2001 Guidelines on helping prevent violent conflicts, the OECD underlines the importance of **understanding the various geographical dimensions of conflict**²⁸ : "*an intimate understanding of the local, national, regional and international dynamics of the conflict is crucial.*"

The OECD characterises **intra-state conflicts** as follows: "*increasingly, violent conflict is taking place within, rather than between states. This intra-state conflict occurs primarily in developing countries,*

²⁸ The 2001 OECD-DAC Guidelines on helping prevent violent conflict are built upon the 1997 OECD-DAC Guidelines on conflict, peace and development cooperation. Quotations presented in this section are taken from the 1997 OECD-DAC Guidelines on conflict, peace and development cooperation.

many of which suffer from cycles of civil violence, and its principal victims are civilians. Beyond their direct toll of death and destruction, these conflicts leave behind a legacy of deep and enduring social, political and psychological wounds. They can reverse decades of economic progress and impede future development.”

It highlights the **links between intra-state conflict and regional stability** and puts a specific **emphasis on the regional dimensions of conflict**: *“many serious inter-group tensions and structural inequalities might be effectively addressed by initiatives at a regional level. Political participation, decentralisation and power-sharing arrangements, constitutional and legal guarantees, and reform of the role of the military are all crucial issues which have regional dimensions. In the economic sphere, long-term reconstruction will be better secured with concrete steps towards greater regional integration of markets. In addition, the harmonisation of human rights norms and practices (particularly as regards minority rights) among governments at the regional-level can contribute greatly to stability and decrease the possibility of external support for insurgents. (...) The international community has learned from experience that multilateral preventive engagement in an internal conflict may often be best mediated through the relevant regional organisation or group. Regional approaches (whether they are ad hoc plurilateral contact groups or take place through regional organisations) have an advantage in that they can often accommodate sovereignty issues effectively by engaging state authorities in a process that is at once supra-state and localised.*

The **local level** is also considered key to conflict prevention : *“in the case of “failed states”, or in countries where certain areas are controlled by non-government or anti-government authorities, local level, non-state mechanisms may be the most effective means through which peacebuilding and conflict management can be animated.”*

2. Key elements to be analysed

2.1 A key general principle

A **key general principle** stressed in the 2001 OECD-DAC Guidelines should be kept in mind to assess the geographical dimensions of conflicts: *“work in a flexible and timely manner, guided by long-term perspectives and political and socio-economic analyses of regional, national and local situations, even for short-term actions.”*

2.2 Key elements centered around the different geographical levels of conflicts

2.2.1 Regional level

In its 2001 Guidelines, the **OECD recommends that donors’ action focuses on the strengthening of the capacity of regional institutions**: *“even with the predominance of intra-state conflicts, there are cross-border and regional linkages in conflicts. Strategies for prevention, peacekeeping, and recovery can be regionally designed. Many national conflicts can only be dealt with effectively in their regional contexts, taking account of cross-border influences. Regional co-operation and integration – through economic, environmental and other measures – can contribute to peace-building, particularly around scarce common goods such as water. Donor support should focus on strengthening the capacity of relevant regional institutions.”*

Support to regional integration as a means to prevent violent conflict is also **one of the main lines of the Commission’s support to long-term prevention** in its 2001 Communication on CP: *“the Commission will give higher priority to its support for regional integration and in particular regional organisations with a clear conflict prevention mandate.”* This is also widely shared and held by a number of actors including the UN and NGOs.

The 2001 OECD-DAC Guidelines point to several specific areas of support:

- *“Help ensure that regional engagement is supported through regional diplomacy and flexibly resorts to sub-regional bodies, where appropriate.*
- *Assist in forging regional networks between community groups and civil society engaged in peace activities to stimulate mutual learning in transforming communal conflicts.*
- *Protect and promote the role of regional mechanisms in areas such as human rights. Neutral legal forums can offer balanced solutions to concrete cases of human rights violations that may be too politically contentious for national systems.*
- *Further support regional and sub-regional capacities for early warning, with a clear understanding of the criteria for predictable regional response.*
- *Support regional and sub-regional response capacities whenever such capacity has a comparative advantage in addressing situations of emerging or escalating conflict.*
- *Recognise and support the role of regional bodies in addressing cross border issues such as security and the illegal economy.*
- *Support measures to reduce the production, export, redistribution and recycling of small arms and light weapons.*
- *Assist in the development and financing of integrated programmes for peace and post-conflict reconstruction among countries of sub-regional groupings emerging from conflict situations.*
- *Help support longer-range work on regional economic, environmental and resource management co-operation.*
- *Regional approaches to military and security sector reform should, wherever possible, draw upon the expertise of other regional partners in such areas as demobilisation and reintegration. This may take the form of intra-regional exchanges of military and police officers to share lessons on enhancing their professionalism and strengthening civilian control.”*

2.2.2 Local and national levels

At local and national levels, the OECD underlines that donors will address democracy, security and better governance as major issues. In that respect, the OECD identifies as one of the priority area of focus of post-conflict recovery *“the restoration of internal security and the rule of law: rebuilding credible institutions is vital at the central level as well as at the local and community levels, as they will have a determining influence on the entire reconstruction effort, ranging from the restoration of productive sectors of the economy, the return of capital, to the collection and disposal of weapons. (...) At the community level, donors can specifically help facilitate negotiations and reconciliation processes, particularly in the case of weak states or where large areas or regions are outside the control of the central government. Such assistance, having a primary peacebuilding and reconciliation objective, should focus on nurturing the appropriate social or institutional networks and organisations that can act as stabilizing points in society in tandem with efforts aimed at the national-level. This can include support for the development of intermediary social organisations such as local NGOs, business associations, multi-ethnic committees, women’s organisations and helping marginalised groups obtain better access to justice systems, the civil administration and the media.”*

2.3. Programme design

In terms of programme design, the following aspects should be kept in mind to assess the geographical dimensions of conflict:

- **“Geographical area focus:** *the selection of specific geographical areas for programme implementation allows the programme to avoid making artificial distinctions among population segments and to address the needs of displaced persons, refugees, demobilised former combatants and other victims of war, without discrimination. The programmes also promote the participation of vulnerable populations in local development initiatives ensuring an appropriate balance between the*

interests of the most active and organized local groups and those of lesser means. This can provide concrete support to broader policies of promoting the consolidation of the peace process and social solidarity. This is essential to avoid creating new inequities and tensions at the community level, to foster reconciliation at the community level. Areas selected for programme implementation are identified as those where the peace process is most fragile, and social exclusion most acute, or where large numbers of displaced persons are to resettle.

- **Linkages between local initiatives and national policies:** *another central objective of these programmes is to establish close linkages between local-level institutions and their counterparts at provincial and national levels, in order to ensure consistency of approaches. The long-term sustainability of the infrastructure and administrative systems developed at the local level hinges on their integration within national-level systems. In certain cases, institution-building carried out as part of an area-based rehabilitation scheme has created opportunities for more general reforms, with some of the systems of governance developed at the local level being subsequently used on a larger scale.*
- **Ownership:** *national and local authorities or groups, including representatives of the parties in conflict, should participate in the formulation of programmes, paving the way for national ownership of the development process.²⁹*

Proposed set of Judgement Criteria and Indicators

The set of judgement criteria and indicators presented hereunder is **based on the above described conceptual background on the geographical dimensions of conflict**. Broadly speaking they can be brought back to four main elements: has the Commission intervened at the appropriate geographical level? Has the Commission's support addressed local and national needs? Has the Commission devoted specific attention to the regional dynamics of conflicts? Has the Commission's support been articulated at the different geographical levels? JC 4.2 applies to conflicts at the local and national level while JC 4.3 is applicable to conflicts where the regional dimension is relevant.

JC 4.1	The Commission's support to CPPB intervened at the appropriate geographical level
I.4.1.1	(Elements of) conflict analyses included political and socio-economic analyses of regional, national and local situations (see also EQ 1)
I.4.1.2	The Commission's strategies and interventions have been built upon these analyses and present a justification of the geographical level at which they intervene
I.4.1.3	Stakeholders consider that the Commission's support tackled the appropriate geographical level
JC 4.2	The Commission's support to CPPB addressed local and national needs
I.4.2.1	Vulnerable populations have been included in local development initiatives
I.4.2.2	National and local authorities or groups, including representatives of the parties in conflict, have participated in the formulation of the interventions
I.4.2.3	Areas selected for programme implementation were those where the peace process was most fragile and social exclusion most acute
I.4.2.4	The Commission ensured that the local initiatives it supported (in particular in the area of good governance) were accompanied by national-level efforts
JC 4.3	The Commission devoted specific attention to the regional dynamics of conflicts
I.4.3.1	The Commission supported regional networks between community groups and civil society engaged in peace activities to stimulate mutual learning

²⁹ Source : OECD-DAC, "Guidelines on conflict, peace and development cooperation", 1997

I.4.3.2	The Commission promoted the role of regional mechanisms/bodies in specific areas (e.g. human rights, cross-border issues, etc.)
I.4.3.3	The Commission supported regional and sub-regional capacities for early warning
I.4.3.4	The Commission financed programmes for peace and post-conflict reconstruction among countries of sub-regional groupings emerging from conflict situations
I.4.3.5	The Commission supported cross-border cooperation (e.g capacities for technical training and research) with a view to addressing issues associated with the causes of conflict
I.4.3.6	The Commission supported a comprehensive settlement integrating political negotiations, aid engagement and refugee protection and repatriation under a common international strategy
JC 4.4	The Commission's support has been articulated at the different geographical levels of intervention with a view to fostering synergies
I.4.4.1	The Commission's strategies and interventions at international, regional, country and local levels have been designed and implemented with appropriate reference to each other
I.4.4.2	The Commission's strategies and interventions at international, regional, country and local levels addressed either the same sectors or different sectors with a view to addressing the same overall objectives
I.4.4.3	Monitoring and evaluation reports as well as stakeholders evidence that Commission's strategies and interventions at international, regional, country and local levels mutually reinforced each other

EQ 5 To what extent and with what effect has the Commission's support to CPPB been designed and implemented in coordination and complementarity at different levels both within the EU and with other donors and partners?

Rationale and coverage of the question

CPPB requires a holistic approach, not only in terms of activities conducted, integration of time-frames and of different geographical dimensions, but also in terms of coordination and complementarity between the activities of different actors, at all levels. This concerns activities between different entities (directorates, departments) within a single donor organisation, but also with other donors and organisations (including non-state actors), as well as different governing bodies within the partner countries. Accordingly, the question will aim at verifying to what extent coordination and complementarity took place:

- within and between different Commission services with relevance to CPPB, mainly DG Dev, DG Relex and EuropeAid but also with other DG such as ECHO;
- with other governing bodies within the EU such as the Council, the European Union Special Representatives (EUSR), but also EU MS, notably on civil – military aspects;
- with other donors, international and regional organisations; *and*
- with the partner countries and the civil society.

Evaluation Criteria / issues

This question concerns mainly **coordination and complementarity**, but also **effectiveness/impact** and Commission added value. Indeed, within an integrated approach, ensuring coordination and complementarity within the EU and with other donors active in the field of CPPB is more than a means of providing aid in an effective and efficient manner. It is a genuine objective *per se* because providing a coherent international response to conflicts is key to contribute to structural stability.

Evaluation approach to EQ5

Conceptual and analytical background to coordination and complementarity

1. Key definitions and sources

Improving coordination and cooperation on conflict prevention at international level is one of the main objectives of the Commission expressed in its COM 2001 on conflict prevention. It further specifies that the Commission seeks to strengthen cooperation with other countries, international organisations and NGOs.³⁰

The Preliminary study had already highlighted that improving coordination could be seen in the context of CPPB at two levels: as a mean of enhancing the effectiveness, efficiency and impact of the Commission's interventions with respect to CPPB; and as an objective in its own right. The documents analysed on this issue present indeed coordination as a way to improve donors' engagement in CPPB and provide practical tools to enhance coordination (as presented here under). Coordination is an objective to reach in order to provide a coherent international response to conflict which is especially important in such context.

In 1997, the OECD *DAC guidelines on conflict, peace and development cooperation* highlighted the **importance of coordination within the international community and in-country**. It underlines in this perspective that “*resources should be delivered as efficiently and effectively as local conditions allow; the contributions of the many donors involved should be complementary and allocated in line with indigenous priorities and policies. Furthermore, external assistance must be managed so as to ease the burdens on partner countries and not add to their own co-ordination problems.*” In situation of conflict it is recognised that the need of a coherent and coordinated approach among donors is especially important because countries faces multi-dimension problems (political, security, economic and social) needing the interventions of various actors (national, regional and international state actors and non-state actors) in different phases of insecurity and conflict situations (humanitarian relief, crisis management, post-conflict peace-building, reconstruction and state building). This has been re-emphasised in the 2001 OECD *DAC guidelines Helping prevent violent conflict* which states that “*promoting peace-building and conflict prevention require that donor agencies work with other relevant branches of their governments and other actors in the international community*”

³⁰ European Commission COM(2001)211 on conflict prevention, p. 25-28

Since then, the concept of coordination and complementarity in the field of CPPB has evolved. New principals, guidelines and practical recommendations have emerged from the international community regarding coordinated and complementary actions in fragile states. The Paris Declaration of 2005 contains a specific paragraph on delivering effective aid to fragile states where donors commit to *harmonising their activities (including joint assessments, joint strategies, coordination of political engagement, and practical initiatives such as the establishment of joint donor offices)* and *align to the maximum extent possible behind central government-led strategies*.

In 2007, the OECD published the “*Principles for good international engagement in fragile states and situations*”. This document emphasises, among other things, the need for:

- a “whole of government” approach within donor government, *involving those responsible for security, political and economic affairs, as well as those responsible for development aid and humanitarian assistance*.
- *Practical coordination mechanisms between international actors*. It proposes practical initiatives such as *joint donor offices, an agreed division of labour among donors, delegated cooperation arrangements, multi-donor trust funds and common reporting and financial requirements*. It also underlines that where possible, *international actors should work jointly with national reformers in government and civil society*.

The EU has endorsed those guidelines and principals. They are referred to in the Commission’s Communications and EU Council Conclusions on fragile states and security and development issues³¹. These documents provide actions to be taken in terms of:

- Having a “whole of government” and “whole of EU” approach when addressing fragility³².
- Strengthening the partnership with other international, regional and local actors.

³¹ COM(2007)643 Towards on EU response to situations of fragility ; Conclusions of the Council on an EU response to situation of fragility, 2007 ; Conclusion of the Council on security and development, 2007

³² For example, the Council Conclusions on an EU response to situation of fragility mention that: *The Council recognises that the EU should make more effective use of the full range of existing EU policy tools and external action instruments to address, in a coherent and timely manner, situations of fragility in partner countries. The EU response should therefore combine political, diplomatic, development, security and humanitarian instruments*. The COM(2007)643 Towards on EU response to situations of fragility explains that a *mapping of bilateral and EU aid modalities under the different pillars will be carried in order to determine their ability to respond adequately to situations of fragility and to assess their impact and the way they interact on the ground. Particular attention will be devoted to the complementarity between crisis management related instruments such as CFSP/ESDP joint actions, the Instrument for Stability, the African Peace Facility and long term cooperation instruments*

2. Key elements to be analysed

2.1 Key elements of the whole-of-government approach

The Commission and Council documents³³ shed light on a certain number of actions to be taken by the various EU actors in order to ensure a whole-of-government approach (within the Commission) and a whole-of-EU approach between different EU governing bodies (Commission, Council, EUSR, EU MS):

- *Regular exchanges of risk analyses and relevant EU responses at the field level through EU Heads of Mission meetings and at headquarters through desk-to-desk dialogues between institutions and member states and across Council groups should take place in order to ensure whole-of-government approaches*
- *Regular and increased coordination between the Commission, the general Secretariat of the Council (GSC) and Member States at headquarter level and in the field*
- *An improved framework for joint analysis and exchange of information, both at headquarter level and in the field*
- *Adapting staff management, in particular through joint training and appropriate incentives to work in fragile situations*

The OECD *Whole of Government approach to Fragile States* (2006) provides good practices and recommendations for a whole-of-government approach in fragile states. According to this document, five key elements are needed:

- An overall framework for managing the whole-of-government approach:
 - a joint policy statement shared by all relevant actors with the rationale for working together, the aims and how it will be achieved
 - commitment for an effective dialogue between the relevant actors and work on bridging differences in organisational culture
- Country specific joint strategy:
 - Joint assessment missions; joint analysis
 - Joint strategy and planning with joint objectives
- Commitments and leadership from the highest political levels:
 - clear political guidance and leadership to provide the different actors involved with an understanding of the importance of their involvement
 - clear sequencing of the different actors engagements, keeping flexibility and allowing parallel involvement
- Right incentives:
 - Provide the means and resources (human and funds)
 - Provide the political backup for working together
 - Encourage collaborative work by identifying win-win situations for all actors
 - Joint training
- Right mechanisms and instruments:
 - Pooled funding (with ODA and non-ODA resources)
 - Joint reporting and open communication tools between HQ and field offices and among different departments

³³ COM(2007)643 Towards an EU response to situations of fragility ;Conclusions of the Council on an EU response to situation of fragility, 2007 ; Conclusion of the Council on security and development, 2007

These key elements of the whole-of-government approach help structuring the indicators under the judgement criteria (JC 5.1). They provide a guide to ensure coordination and complementarity within a government from the political decisions to individual incentives. The purpose is not to evaluate this approach which has been developed very recently but rather to fill in the gap between the high level commitments and the concrete actions to undertake in order to ensure coordination and complementarity.

2.2. Key elements of coordination with other international, regional and local actors

The OECD *DAC guidelines on conflict, peace and development cooperation* of 1997 highlight a number of key elements of coordination with other international, regional and local actors in fragile situations under the “*building-blocks for effective donor coordination*.”

- *A common strategic framework for assistance.*
- *Timely access to resources allowing for flexible implementation.*
- *Leadership among international actors.*
- *Mechanisms for field-level consultation and sharing of information.*
- *The availability of resources specifically earmarked for coordination purposes.”*

In 2007, the OECD *Principles for good international engagement in fragile states and situations* also provided practical initiatives for coordination mechanisms between international actors:

- *“joint donor offices,*
- *an agreed division of labour among donors,*
- *delegated cooperation arrangements,*
- *multi-donor trust funds and common reporting and financial requirements,*
- *international actors should work jointly with national reformers in government and civil society.”*

Proposed set of Judgement Criteria and Indicators

The set of judgement criteria and indicators presented hereunder is **based on the above described conceptual background on coordination and complementarity**. It is centred on four different levels of coordination and complementarity:

- **Within the Commission** (JC 5.1), i.e. between and within the Commission’s DGs, primarily, DG RELEX, DG DEV and AIDCO but also with other DGs such as ECHO (concept of “Whole-of-Government Approach”);
- **Within the EU** (JC 5.2): the Commission with the General Secretariat of the EU Council, the European Union Special Representatives (EUSR) and with EU Member States (concept of “Whole-of-EU Approach”);
- **With other donors** (JC 5.3) i.e. the Commission with international and regional organisations (e.g. UN system and agencies, WB, OECD, OSCE, AU) and with other OECD donors (e.g. US, Canada, Japan, Norway);
- **With partner countries** (JC 5.4) (government of aid beneficiary countries) **and local non-state actors**.

JC 5.1	Policies and formal and/or informal mechanisms existed and were implemented in order to ensure a “whole-of-government approach” between and within the Commission’s DGs and Directions
I.5.1.1	Existence of joint political overall frameworks with the rationale, the aim and actions for coordination within the Commission’s DGs
I.5.1.2	Involvement of relevant Commission DGs in the drafting of Commission country/regional strategies
I.5.1.3	Existence of joint training in the field of CPPB carried out between the Commission’s DGs
I.5.1.4	Existence of joint missions/needs or conflict assessments carried out by several Commission’s DGs
I.5.1.5	Existence of financing instruments involving different Commission’s DGs in terms of the decision process and/or implementation
I.5.1.6	Existence of working groups/committees exchanging information related to CPPB at HQ and in the field gathering different Commission’s DGs
I.5.1.7	Specific benefits of these practices for the partner countries and the donor community
JC 5.2	Policies and formal and/or informal mechanisms existed and were implemented in order to ensure coordination and complementarity between the Commission and the General Secretariat of the EU Council, the European Union Special Representative and with EU Member States (“whole-of-EU approach”)
I.5.2.1	Existence of joint political overall frameworks with the rationale, the aim and actions for coordination within the EU
I.5.2.2	At country level, clear political guidance and leadership to provide a clear sequencing of the different actors engagements, keeping flexibility and allowing parallel involvement (between development, diplomatic and military actions)
I.5.2.3	Existence of joint training in the field of CPPB carried out between the Commission and other EU institutions
I.5.2.4	Existence of joint missions/needs or conflict assessments carried out between the Commission and other EU institutions
I.5.2.5	Crisis management and long term instruments led by different EU actors were mapped and gaps were identified before intervening in a country
I.5.2.6	Existence of working groups/committees exchanging information related to CPPB at HQ and in the field common to the Commission and other EU institutions
I.5.2.7	Specific benefits of these practices for the partner countries and the donor community
JC 5.3	Commission’s support was coordinated with and complementary to other non-EU donors, international and regional organisations
I.5.3.1	Existence of common strategic framework between the Commission and other donors/international/regional organisations for intervening in CPPB
I.5.3.2	At country level, clear leadership from one international/regional actor and clear division of labour between donors
I.5.3.3	Existence of joint missions/needs or conflict assessments in the field of CPPB carried out between Commission and other donors and partners
I.5.3.4	Participations of the Commission to multi-donors pooled funds/trust funds
I.5.3.5	Existence of working groups/committees exchanging information related to CPPB at HQ and in the field gathering the Commission and other donors and partners
I.5.3.6	Specific benefits of these practices for the partner countries and the donor community
I.5.3.7	Specific role of the Commission in leading or supporting these actions

JC 5.4	Commission's support was coordinated with and complementary to partner countries governing bodies and with non-state actors
I.5.4.1	Commission's country strategies take into account partner government strategies and needs
I.5.4.2	Commission's country strategies take into account the civil society's needs
I.5.4.3	Views of national partners on donors' interventions as a complement to their actions or needs
I.5.4.4	Views of non-governmental implementing partners and other informed observers at the global, regional and national level
I.5.4.5	Specific role of the Commission in supporting coordinated actions with the partner government and non-state actors

EQ 6 What has been the value added of the Commission's support in terms of reducing tensions and preventing the outbreak, recurrence or continuation of violent conflict?

Rationale and coverage of the question

Ultimately the Commission's support to CPPB aims at preserving peace and strengthening international security. In addition to EQs 1 to 5 which examine the role of the different dimensions of an integrated approach in this respect, the current question aims at assessing what was the extra-benefit generated due to the fact that the support was financed and implemented through the Commission. The value added of the Commission's support to CPPB could consist of an extra-benefit generated by the fact that the Commission has played an important role in addressing CPPB issues in an integrated way and/or of other intrinsic elements to the Commission's support (e.g specific financial and non-financial instruments).

Evaluation Criteria / issues

This question concerns **value added (VA)** and impact. Indeed, it aims at assessing the value added generated by the Commission's support to contributing to reducing tensions and preventing conflicts. In particular, it will assess (i) the extent to which the Commission had a specific role in the promotion of an integrated approach to tackle CPPB and (ii) the extent to which the Commission's support generated other types of extra-benefits.

Evaluation approach to EQ6

Proposed set of Judgement Criteria and Indicators

Judgement criteria can be brought back to two main elements: the extent to which the Commission's support had value added with respect to CPPB and the specific role played by the IA to generate this added value. It is difficult to judge *ex ante* what different types of VA the Commission could have brought. Accordingly, the indicators under JC 6.1 suggest a number of possible categories of VA. This list should however not be considered as exhaustive. On the contrary, the evaluation itself will also seek other types of VA the Commission may have had in this respect.

JC 6.1	The Commission had a specific role in promoting the integrated approach
I.6.1.1	The Commission had a leading role in the elaboration of strategies promoting the IA to address CPPB
I.6.1.2	Other donors built on the experience of the Commission in terms of implementation of an IA to design and implement their assistance and, as a result, articulated their assistance to CPPB around an integrated approach
I.6.1.3	Other elements of VA of the Commission with respect to the implementation of an integrated approach
JC 6.2	In the countries where it provided support, the Commission had a specific value added with respect to reducing tensions and/or preventing the outbreak, recurrence or continuation of violent conflict
I.6.2.1	The Commission had a long standing proven positive experience in the field of CPPB or in related fields of significance to contribute to the reduction of violent conflict (e.g security sector, good governance, etc.)
I.6.2.2	EU MS gave a mandate to the Commission to tackle CPPB
I.6.2.3	The Commission's financial and non-financial support was of significant importance compared to the one provided by other donors
I.6.2.4	The Commission's financial and non-financial support was more predictable and longer term compared to the one provided by other donors
I.6.2.5	The Commission's financial and non-financial support was more flexible compared to the one provided by other donors
I.6.2.6	The Commission had a specific VA to work in, on and/or around conflict
I.6.2.7	The Commission's support rapidly complemented EU MS' bilateral contributions in response to crisis
I.6.2.8	The Commission was the only European actor in the conflict and took over, upon request of EU MS, tasks of the MS.
I.6.2.9	Other types of VA

EQ7 To what extent have the means of the Commission facilitated the implementation of an integrated approach to CPPB ?

Rationale and coverage of the question

This question aims at verifying whether the Commission provided its staff with the means required to successfully set-up and implement an integrated approach towards CPPB. It concerns the “how” of the integrated approach. More specifically, it aims at verifying the extent to which the Commission’s institutional set-up and its human resources policy allowed it to implement an integrated approach. Apart from this more organisational elements in the broad sense, the question aims also at examining whether specific guidance and tools and specific financial and non-financial instruments were provided to favour an integrated approach.

Evaluation Criteria / issues

The question does not tackle one specific dimension or aspect of the Intervention Logic but is a transversal one. It is a question of **efficiency** as it aims at verifying whether adequate means were available to make sure that an integrated approach was implemented.

Evaluation approach to EQ7

Conceptual and analytical background to the Commission’s means for the implementation of the integrated approach

1. Key definitions and sources

As highlighted in the 2001 Communication on CP, *“the European Union has a duty to try to address the many cross-cutting issues that generate or contribute to conflict. It is well placed because it has the means to make a real impact.”*

However, the Communication does not provide a detailed and all-encompassing guidance on the means required to set-up and implement an integrated approach to CPPB. In this respect, one of the purposes of this Concept Study was precisely to construct a clear understanding of the “how” dimension of the integrated approach. Accordingly, Section 2 of this Concept Study proposed a mapping of the set of means developed by the Commission and other donors to operationalise their commitments to CPPB. In particular, the evaluation team identified five categories of means:

- institutional aspects,
- human resources,
- collaborative practices with other actors,
- tools and guidance, and
- financing and non-financing instruments.

2. Key elements

Building on the work presented in Section 2 of this Concept Study, on the Preliminary Study and on the Resource Pack “Conflict-sensitive approaches to development, humanitarian assistance and peace building: tools for peace and conflict impact assessment³⁴”, the set of means that could be used is the following:

- Institutional aspects:
 - Setting-up of specific units with a CPPB focus within the Commission, including for early warning (e.g Commission’s crisis room)
 - Institutional commitment:
 - existence of an internal policy statement,
 - issues high on the organisational agenda : e.g are conflict issues regularly discussed in staff meetings?
- Human resources:
 - Specialised staff (e.g conflict advisors, crisis response managers in Delegations, external pool of experts in CPPB, staff exchanges, etc.)
 - Accountability : rewards and incentives to encourage staff to consider their tasks through a conflict-sensitive lens and implement and monitor their actions in those terms)
 - Capacity development :
 - Support staff to acquire conflict analysis skills through staff development plans
 - Training programmes in the sub-fields of CPPB such as the rule of law and civilian administration for staff to be deployed in civilian crisis missions
- Collaborative practices with other actors:
 - Awareness raising / communication:
 - communities of practices,
 - practitioners (development, security and conflict experts) work together,
 - exchange of information including reporting from Delegations and desk officers on issues related to economic and political development in the countries.

One should note that other aspects related to collaborative practices with other actors are dealt with under EQ6.

- Tools and guidance:
 - Tools for conflict analysis :
 - conflict assessment/analysis,
 - conflict impact assessment,

³⁴ Source: Africa Peace Forum, Consortium of Humanitarian Agencies, Center for Conflict Resolution, Forum for Early Warning and Early Response, International Alert and Saferworld, “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”, London: 2004 (see also <http://conflictsensitivity.org/?q=resourcepack>).

- other allied “political economy analysis” and governance assessment with a conflict component,
- EC checklist for root causes of conflicts
- Sector guidelines (e.g governance, SSR, DDR, SALW, Gender and Conflict, Reconciliation, Resource Conflict)
- Early warning tools (EC checklist for root causes of conflicts, “watch list”)
- Guidance from the interservice Quality Support Group (iQSG) to ensure that programming documents meet minimum requirements (e.g “*where the country has not reached a situation of “structural stability”, or shows signs of becoming unstable, more emphasis should be given in the CSPs to the analysis of security and stability measures including conflict prevention and management, postconflict strategies (demobilisation, reconstruction etc) and the introduction of the rule of law and democracy including the wider participation of civil society and a more equitable distribution of power*³⁵).
- Instruments:
 - Financial instruments:
 - Specialised sectoral assistance instruments (RRM, IfS, APF, EIDHR, Food security, rehabilitation and reconstruction, anti-personnel landmines, aid to uprooted people),
 - Suspension/selectivity of cooperation assistance, and
 - Long-term geographical assistance
 - Non-financial instruments (political dialogue, high-level mediation, deployment of civilian crisis management missions, preventive sanctions)

Proposed set of Judgement Criteria and Indicators

The set of judgement criteria and indicators presented hereunder is **based on the above described conceptual background on the Commission’s means for the implementation of the integrated approach**. Broadly speaking, judgement criteria can be brought back to five main elements: the extent to which (i) the institutional set-up, (ii) the human resources policy, (iii) specific tools and guidance as well as (iv) financial and (v) non-financial instruments facilitated the implementation of an IA.

It should be noted that :

- Coordination-related aspects linked to the means are dealt with under EQ5;
- The evaluation will not evaluate as such each Commission’s financial and non-financial instruments relevant to CPPB but will assess the extent to which these instruments allowed the Commission to implement an IA.

³⁵ Source : European Commission, “Commission staff working paper: Community co-operation: framework for country strategy Papers”, 2000

JC 7.1	The institutional set-up was conducive to an integrated approach towards CPPB
I.7.1.1	Existence of a Commission strategy with respect to the implication in terms of institutional set-up of the need to implement an integrated approach towards CPPB
I.7.1.2	CPPB is high on the organizational agenda (i.e regularly discussed during staff meetings, on the agenda of high level officials, Heads of Delegation)
I.7.1.3	Stakeholders' views on the extent to which these institutional commitments favoured the implementation of an integrated approach to CPPB
I.7.1.4	Existence within the Commission of specialised units with a CPPB focus
I.7.1.5	Stakeholders' views on the extent to which these units/networks facilitated the mainstreaming of CPPB
JC 7.2	An appropriate HR policy was designed and set-up to facilitate the implementation of an integrated approach
I.7.2.1	Existence of a policy which requires that staff working on CPPB activities have the required knowledge and or expertise in conflict prevention and peace building
I.7.2.2	Existence of dedicated staff (conflict advisors, pool of EC experts on CPPB, etc.)
I.7.2.3	Existence of regular training in HQ and Delegations aiming at developing the conflict analysis skills of the staff
I.7.2.4	Existence of training programmes in related CPPB fields such as rule of law, women and armed conflict, SALW, transitional justice and civilian administration for staff to be deployed in civilian crisis missions
I.7.2.5	Existence of initiatives (reward mechanisms) for units or individuals to adopt a conflict sensitivity lens
I.7.2.6	Existence of policies/guidelines and incentives/disincentives ensuring that various practitioners (e.g development, security and conflict experts) will work together
I.7.2.7	Existence of capitalisation mechanisms and/or communities of practices in CPPB field where Commission staff participate (headquarters and field)
I.7.2.8	Stakeholders' views on the extent to which HR means favoured the implementation of an integrated approach
JC 7.3	Specific tools and guidance were provided within headquarters and to delegations and facilitated the implementation of an integrated approach
I.7.3.1	Existence and use of tools for conflict analysis (e.g EC check list for root causes of conflicts, (elements of) conflict analyses included in CSPs, conflict impact assessments carried out at intervention-specific level)
I.7.3.2	Existence and flexible use of early warning tools (e.g EC check list for root causes of conflicts, "watch list")
I.7.3.3	Existence of sector guidelines in related sectors (e.g governance, SSR, DDR, SALW, reconciliation, resource conflict) that provide specific guidance on how to mainstream CPPB in these fields
I.7.3.4	Stakeholders' views on the extent to which these tools facilitated the implementation of an IA
JC 7.4	Commission's financial instruments facilitated the implementation of an integrated approach
I.7.4.1	The Commission designed specific instruments to favour the undertaking of both ST and LT actions in CPPB
I.7.4.2	Stakeholders' views on the extent to which the combination of both long-term geographical assistance and specialised sectoral instruments facilitated the implementation of an IA
I.7.4.3	Commission's financial instruments have been used in support of ESDP crisis management tools and Council political-led activities

JC 7.5	Commission's non-financial instruments were geared at the facilitation of an integrated approach
I.7.5.1	Existence of a specific approach which promotes an IA to conduct the political dialogue
I.7.5.2	The Commission conducted a political dialogue with the partners that covered both ST and LT prevention aspects
I.7.5.3	Stakeholders' views on the extent to which non-financial tools (political dialogue, mediation, sanctions) facilitated the implementation of an IA

EQ8 To what extent did the pursuing of an integrated approach towards CPPB allow results to be achieved in a timely manner and at a reasonable cost?

Rationale and coverage of the question

The question aims at verifying the extent to which the implementation of an integrated approach in the field of CPPB enabled the Commission to reach the intended results in a timely and cost-effective manner. Indeed, implementing an integrated approach raises challenges in terms of efficiency. In particular, delivering assistance in the field of CPPB in ensuring that the four dimensions of the integrated approach are all duly taken into account can be time-consuming and costly. Mainstreaming CPPB in the Commission's support, devoting efforts to both short-term and long-term prevention, intervening at all geographical levels in a coherent way, and ensuring coordination and cooperation within the EU and with other donors active in the field implies that considerable efforts, in terms of human resources and time spent are deployed.

The question will tackle "classical" aspects of efficiency, in particular the extent to which the regulatory and institutional set-up and the Commission's capacities, in terms of human and financial resources, were conducive to a timely and cost-effective implementation of the support. It will also devote specific attention to the ambition to implement an integrated approach and the impact it has had in terms of timely and cost-effective delivery of support. Finally, as the channelling of funds through international organisations accounted for a significant share of the Commission's support to CPPB³⁶, this question will assess the extent to which channelling through international organisations was an efficient way of delivering aid.

It is important to note that addressing timeliness and cost-effectiveness in the context of conflict prevention is delicate. Indeed, the Commission's support to CPPB addresses conflict or conflict prone situations in which human life and security are often at stake. Human life and dignity are of unquantifiable value. These elements will be taken into account when addressing this question.

³⁶ The inventory of Commission's funds directed to CPPB presented in the Preliminary Study showed that for 83% of the funds, 66% was channeled through international organisations (mainly UN and WB).

Evaluation Criteria / issues

This question concerns **efficiency**. It mostly looks at the links between the resources used and the outputs generated.

Evaluation approach to EQ8

Proposed set of Judgement Criteria and Indicators

JC 8.1	The Commission's interventions remained in line with planning and were cost-effective
I.8.1.1	Comparison of planning of operations and effective implementation in terms of timing and costs
I.8.1.2	Specific patterns in observed delays, if any, and factors explaining them
I.8.1.3	Planned schedule of activities adapted during implementation following monitoring and evaluation results
JC 8.2	The regulatory and institutional set-up for the Commission's support in the field of CPPB enhanced timeliness and cost-effectiveness
I.8.2.1	Internal guidelines explicitly mentioned the importance of timeliness and cost-effectiveness
I.8.2.2	Clear responsibilities and decision-making procedures in the field of CPPB between the Commission and the EU Council and within the Commission have been defined and enhanced timeliness and cost-effectiveness
I.8.2.3	Specific instruments have been designed to quickly mobilise resources and enhanced timeliness and cost-effectiveness
I.8.2.4	Decision-making procedures at the level of instruments enhanced timeliness and cost-effectiveness
JC 8.3	The Commission's human resources were sufficient and skilled enough to ensure timely and cost-effective support
I.8.3.1	The findings of EQ 7 – JC 7.2 point to the existence of an internal policy intended to ensure sufficiently skilled staff in HQ and in the field
I.8.3.2	The findings of EQ 7 – JC 7.2 point to the existence of skilled staff in CPPB
I.8.3.3	Stakeholders' views on the extent to which HR are sufficient and sufficiently skilled to fulfil the mandate
JC 8.4	The requirements in terms of timeliness and cost-effectiveness have not hampered the implementation of an integrated approach
I.8.4.1	Stakeholders consider that mainstreaming CPPB in the Commission's support has not increased transaction costs (both for the Commission and partners) nor implied delays
I.8.4.2	Stakeholders consider that conducting both short-term and long-term prevention has not increased transaction costs (both for the Commission and partners) nor implied delays
I.8.4.3	Stakeholders consider that intervening at different geographical levels has not increased transaction costs (both for the Commission and partners) nor implied delays
I.8.4.4	Stakeholders consider that ensuring coordination and cooperation within the EU and with other actors has not increased transaction costs (both for the Commission and partners) nor implied delays
I.8.4.5	Specific measures have been taken to ensure a timely and cost-effective support while implementing an IA (e.g such as channeling through international organizations, NGOs, etc.)

4. Main lines of the methodology for the evaluation proper

This section describes the proposed methodology for the evaluation proper. Indeed, although broadly speaking the Joint Evaluation Unit's overall methodology and process for thematic or sector evaluation can be applied to this specific evaluation, a major difference concerns the role of country case studies in the evaluation.

Accordingly, this section presents:

- The central role the country case studies will have;
- How the country case studies will be complemented by other data collection tools;
- How these different elements fit into the overall evaluation approach; *and*
- Other elements of attention.

4.1 Role of the country case studies

As explained in Section 2 and as shown by the evaluation questions proposed, evaluating the Commission's support to CPPB is particularly challenging given the encompassing scope of the support to CPPB.

Indeed, as shown by the present study, an integrated approach implies by definition, different dimensions that can only be evaluated by lifting the investigation up to a strategic level. To understand to what extent CPPB was mainstreamed throughout different activities, was integrating different time dimensions and different geographical dimensions and was coordinated between all the relevant actors, obtaining a holistic picture is indispensable. Therefore it is key to build the evaluation around country case studies, where all these elements are expected to be brought together.³⁷

In this perspective, the following two subsections draw attention to the specific weight of the country case studies in the evaluation and the overall approach to be adopted for these country case studies (further developed in Section 4.3).

4.1.1 Weight of the country case studies

The country case studies require by definition in-depth study. It is necessary to acquire a thorough understanding of the country contexts with respect to conflict, as well as of the extent to which the Commission's strategy responded to this situation. This also includes the wider context of collaboration with other actors (e.g. with the Council,

³⁷ Section 4.2 highlights additional investigations to be undertaken at a more transversal level to complement the country case studies.

international organisations, NGOs) and interaction with the political and diplomatic roles of the international community.

The country case studies will also have a broad coverage. This owes to the almost all-encompassing scope of the Commission's strategy with respect to CPPB. These case studies indeed do not aim at verifying how interventions in a well defined sector have been applied in a specific country (e.g. private sector development interventions in one country), but at verifying to what extent the overall support strategy and interventions in a country were built around a multi-sector, integrated approach towards CPPB.

These country case studies will thus be of much more weight than case studies in "classical" thematic evaluations, both in the sense of their contribution in terms of information sources for the evaluation and in terms of time and resources dedicated to them. The substantial work required for every country case study in this evaluation distinguishes them from an approach characterised by 'usual' case studies or even more so by the analysis of a 'selection of interventions' followed by country visits as in most thematic evaluations. These case studies will actually be closer to individual country evaluations (with examination of the overall strategy, uncovering theories of change, etc.) than to study of series of interventions as in "classical" thematic evaluations. Section 4.1.2 below details the specific tasks to be undertaken in the case studies. This case study approach has an impact in terms of the number of cases (countries/regions in this evaluation) that can be covered.

These country case studies should nevertheless be distinguished from country or regional evaluations as such, notably because:

- The country/regional strategies will only be examined from the perspective of CPPB;
- Only interventions (directly or indirectly) relevant to CPPB will be examined. Within those, a selection of a limited number of specific interventions will be made (*see Sections 4.3 and 5.2*);
- The Evaluation Questions (EQs) will be those of the overall evaluation and will not be country-specific;
- There will be no country-specific answers to the EQs, conclusions or recommendations. The country or regional studies should remain case studies with a view to substantiating findings together with information drawn from other sources (*see Section 4.2*) as to answer the EQs and formulate conclusions and recommendations with respect to Commission support to CPPB in general.

4.1.2 Overall approach for the country case studies

Country case studies will be based on a desk study based on documentary review for all countries selected, followed by country visits in certain cases

- **Desk study** for countries selected for case study will be of substantial weight, much more than for “classical” sector evaluations (*see also above*). It will indeed focus on the country/regional strategy, rather than only on a selection of projects as in most sector/thematic evaluations. It will also include a conflict analysis lens in interpreting and setting up the background information;
- **Country visits** will complement the desk study for a limited number of countries initially selected for desk study.

Findings, lessons learnt or best practices from the case studies will be integrated into the report where appropriate, in the core argumentation or in specific boxes.

4.2 Additional data collection tools

The evaluation should provide answers to EQs, conclusions and recommendations on support to CPPB in general. Accordingly it cannot be a mere addition of the above mentioned country case studies, but it should also be based on other sources. It should moreover tackle some transversal issues relevant to the evaluation (e.g. for EQ 7 in terms of support provided by Commission Headquarters, internal organisation, capitalisation and coordination mechanisms, etc).

The country case studies will thus be complemented by additional information sources, the following in particular (*see also Figure 9 below*):

- **Survey to Commission representatives (Headquarters and Delegations):** A survey will be conducted among Commission representatives. This survey will aim mainly at tackling issues that are transversal but also issues that can easily be checked for the different countries. Issues that can be investigated are for instance the existence of conflict analyses, of local/regional/global capitalization mechanisms, of CPPB-related trainings, the level of coordination with other donors, etc.;
- **Review of country and regional evaluations:** Reviewing existing reports of evaluations of Commission support to partner countries or regions is expected to provide information on the Commission’s support to CPPB (the absence of information in this respect might also be relevant). Examples include the evaluations for Chad (2009), Jordan (2007), Rwanda (2006), West-Africa (2008) or the ACP-Pacific region (2007). Such examination will rely exclusively on these evaluation reports; they will not have the weight and importance of case studies and will be conducted for a limited selection of countries/regions;

- **Examination of general documents:** Study of strategic or general-level policies, reports, studies, mechanisms, and so on is a proven source of valuable information particularly for thematic evaluations;
- **Interviews at Headquarters,** with Commission staff and possibly also with Brussels-based representatives of EU MS, international or multilateral donors.

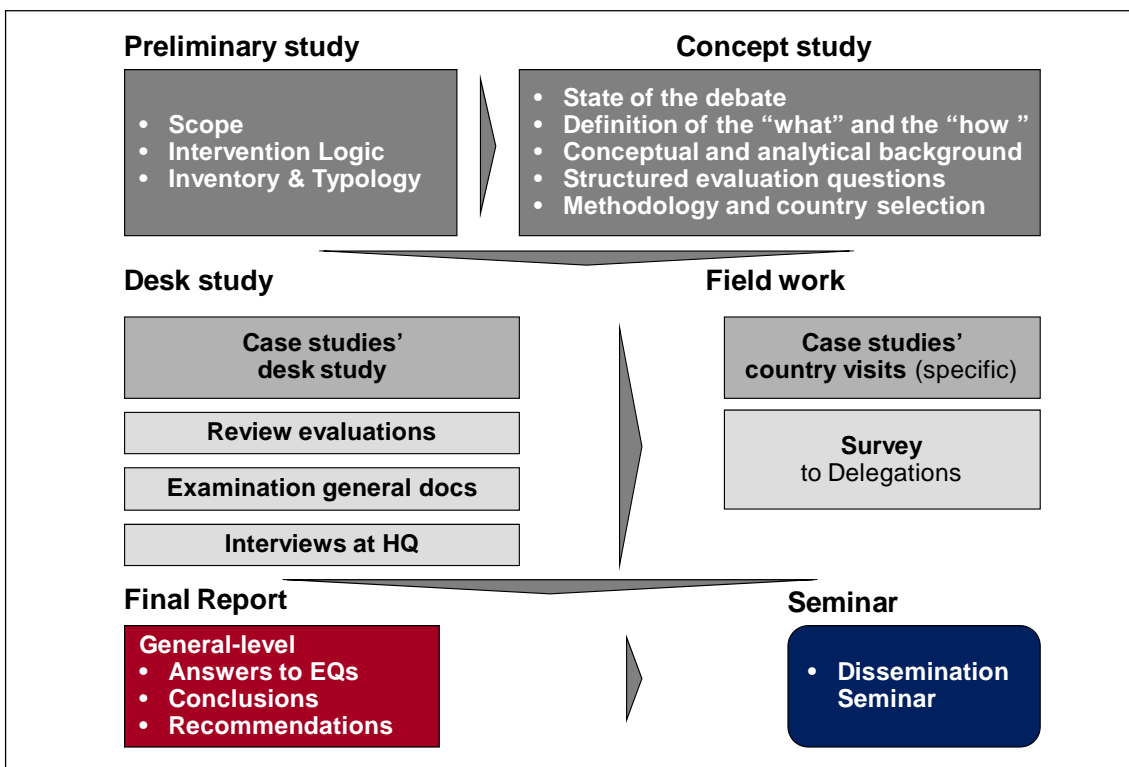
The combination of in-depth, specific country case studies, transversal information sources and the examination of existing country and regional evaluations will provide the necessary triangulation to provide overall responses to the EQs, and Conclusions and Recommendations at general level.

4.3 Overall process of the evaluation

The structured sequence of the evaluation process will be primarily based on the Joint Evaluation Unit’s methodological bases for evaluation³⁸ and its specific guidelines for thematic evaluations³⁹. The specific methodological approaches and tools required for this complex CPPB evaluation are furthermore in line with the Joint Evaluation Unit’s evaluation tools⁴⁰ (described in Sections 4.1 and 4.2 above).

A schematic overview of the different steps is provided in the figure below. The different steps starting from the desk study are described in further detail below.

Figure 9 : Evaluation approach



³⁸ Methodological Bases for Evaluation – External Assistance (volume 1), Joint Evaluation Unit, 2006, and updates on the Joint Evaluation Unit’s website.

³⁹ Guidelines for Geographic and Thematic Evaluation – External Assistance (volume 2), Joint Evaluation Unit, 2006

⁴⁰ Evaluation Tools – External Assistance (volume 3), Joint Evaluation Unit, 2006

Desk study

The desk study will consist of the following activities:

- **Country case studies (desk study)**, in particular:
 - Examination of strategic documents and evaluations relating to selected countries/regions;
 - Extraction of list of Commission interventions in the countries/regions;
 - Examination of intervention specific documents, for up to four interventions for each country case study (*see Section 5.2*);
 - Interviews with Commission HQ staff in charge of the countries/regions (maximum three interviews);
 - Examination of relevant ROM reports in the countries/regions selected; *and*
 - Formulation of preliminary findings, hypothesis and information gaps at country/regional level.
- **Review of country evaluations** for other countries (*see Section 4.2*);
- **Examination of general documents** (non country-specific) (*see Section 4.2*);
- **Overall interviews at HQ level** for strategic, non country-specific issues (*see Section 4.2*);
- **Formulation of overall preliminary findings, hypothesis and information gaps** (non country-specific), on the basis of all the above sources;
- **Drafting survey** in light of the above;
- **Proposal for country visits**, amongst the initial selection of country/regional case studies for Desk study; *and*
- **Definition of final approach for country visits.**

Field work

The Field Phase will consist of **two main activities**, which will be undertaken simultaneously:

- **Survey** to Commission staff: this will be launched at the beginning of the Field Phase, with responses processed and analysed during the course of that phase. The results of the survey will be integrated in the final report. For details on the survey's coverage and content, see Section 4.2 above.
- **Country visits:** visits could be undertaken to a number of countries/regions selected for case study. This will depend on the TOR of the evaluation proper.

Briefing and debriefing PowerPoint presentations will be given in those countries which constitute the focus of a mission (where at least 5 days in the country)

At the end of the field phase, the team will present to the Reference Group the key findings emerging from information collected through desk study, survey and country visits.

Final report

The Synthesis Phase consists essentially of drafting the (Draft) Final report. The following activities will be carried out:

- Drafting an answer to the (general-level) Evaluation Questions; *and*
- Drafting an Overall Assessment, Conclusions and Recommendations, for the overall Commission's support to CPPB.

Dissemination seminar

A dissemination seminar (in Brussels) will close the evaluation process, aiming at presenting the lessons learnt from this evaluation to Commission services and the wider public.

4.4 Challenges and elements of attention

The following challenges and elements of attention will be of particular importance for the evaluation's approach:

- **Answering the EQs:** the team is aware of the evolving character of the integrated approach towards CPPB. Therefore it will be cautious when answering the EQs, notably by avoiding assessment of the past on the basis of norms set by more recent developments or assessing the Commission's achievements on the basis of other donors' policies. It will also take into account possible constraints (e.g. current institutional set-up) to implementing an integrated approach and seek the identification of these potential constraints. Finally, it will take into account the ongoing and expected evolutions in the area of CPPB and the institutional organisation of the EU to make sure conclusions are useful in the current context.
- **Measuring the effectiveness of the Commission's support to CPPB:** the team is aware that it will be particularly challenging to assess the extent to which the Commission reached its objectives in the field of CPPB because of (i) the importance of the context of each country/region; (ii) the absence of a systematic monitoring/evaluation of Commission's interventions; and the importance of the political dimension (e.g. the perceptions of different stakeholders on the effectiveness of the Commission's support might be linked to current political tensions). In order to cope with these challenges, the evaluation team proposed a specific evaluation approach, articulated around country-case studies, which will enable the team (i) to define the objectives of the Commission in a given country or region and (ii) to assess the extent to which these objectives were met. All these tasks will be carried out through extensive documentary analysis (strategy and intervention-specific documents)

and interviews, both in HQ and in the field -for the countries selected for the field phase- with all main stakeholders concerned. Moreover, due attention will be dedicated to the triangulation of information in order not to have a bias in the findings of the evaluation in favour of the judgement of specific interviewees.

- **Strategy-level evaluation:** this evaluation aims at drawing answers, conclusions and recommendations at a general level and not at the level of specific interventions. The purpose of the review of a selection of interventions (*see section 5.2*) as part of the work to be carried out for the country-case studies is to gather information that will be analysed to serve as a basis for conducting a general evaluation of the Commission's support to CPPB by illustrating, from these individual interventions, the way in which the cooperation strategy was implemented. The intention is not to conduct specific "evaluations" of each one of these single interventions.
- **Conflict sensitivity:** CPPB is per se a delicate and sensitive subject, at national level but often also within the EU and the international community. The DAC Guidance on Evaluating CPPB activities⁴¹ mentions a number of good practices in CPPB evaluations, and in particular consideration for conflict sensitivity. In addition to evaluating conflict sensitivity, the evaluation should be conflict sensitive itself, i.e. avoid negative effects of the evaluation process on conflict ("do no harm"), and where possible make a positive contribution to CPPB. The evaluators will therefore aim at consulting Commission staff in charge of support to selected case study countries or regions at HQ or Delegation level, on conflict-sensitive timing and approach for country visits and in drafting the case studies. The DAC Guidance also recommends planning sufficient time for validation of all deliverables throughout the process.
- **Security:** Security might become a serious issue in this specific CPPB evaluation, in particular for the country visits. The level of insecurity in a country/region will be considered a criterion for not selecting a country/region for country visit. The decision of travelling to a particular country/region/zone should in any case be considered in light of the degree of importance of doing so for the purpose of this evaluation. Evaluators (and accompanying staff) will in any case not travel to zones where they might be exposed to serious security threats, such as zones where the Commission takes particular security measures for its staff. Evaluators should be kept closely updated by the Commission on its security information.

⁴¹ *Guidance on Evaluating Conflict Prevention and Peacebuilding Activities, Working draft for application period*, OECD-DAC, 2008 (from page 39 onwards)

5. Proposed approach for the selection of case studies

The approach for the selection of case studies is based on work carried out in the Preliminary study (inventory and intervention logic), as well as on work carried out in the present Concept study. This section presents the rationale behind the selection of i) the countries for the case studies and ii) the interventions within each country selected that will be analysed in detail by the evaluation team.

5.1 Selection of countries

As explained in section 4, the country case studies will have a substantial weight in the evaluation, both in terms of work required and of importance for answering the evaluation questions. In this respect, it is proposed to base their selection on a number of key criteria, which will ensure, in a methodologically-sound manner, the coverage of the elements which the EQs focus on. Essentially the selection should reflect the diversity of the support provided, not in a detailed level but rather by focusing on their key features. To this end, it is suggested to select a set of countries which:

- reflects the geographical diversity of CPPB-support beneficiaries. The Commission supports CPPB in all regions where its external cooperation is implemented (ACP, Asia, ENP-TACIS, ENP-MEDA and Latin America);
- covers all phases of the conflict cycle, i.e. countries at risk, in conflict and post-conflict;
- covers the main “country issues” addressed in the evaluation questions, notably: the time dimension, mainstreaming, the activities of different actors and the geographical dimension. The country characteristics chosen to cover the above are detailed in table 5 below, which also specifies the sources of information; *and*
- covers a substantial share of the funding.

Table 5: The four dimensions of the “what”

Dimension of the integrated approach	Characteristics proposed to reflect the different dimensions	Source of information
Time	Countries with on-going or recently-ended conflict situations can receive short-term and long-term support from donors	Uppsala Conflict Data Program (UCDP) datasets on armed conflicts provides information by country on on-going or ended conflict situations from 1946 to 2008 ⁴²
Type of activities	Commission’s focal sectors in partner countries and Commission’s intentions to mainstream conflict prevention, as expressed in its country strategy, can reflect the variety of CPPB activities	Commission’s Country Strategy Papers
Other donors’ activities	<ol style="list-style-type: none"> 1) Council and/or UN civilian and/or military operations in countries where the Commission has supported CPPB 2) Channelling of Commission funds to International and/or regional organisations 	<ol style="list-style-type: none"> 1) EU Council and UN Peacekeeping websites 2) Inventory of the Commission support to CPPB interventions
Geographical location	Type of conflict situation: within a country, between two countries or with an international dimension	UCDP datasets on armed conflicts which provide information on types of conflict (internal, interstate or internationalised internal)

In order to ensure that selected case studies cover each dimension, the evaluation team has characterised each CPPB beneficiary country/sub-region (i.e. potential candidates for the selection) with information to feed each dimension. Annex 7 presents, for each country/sub-region, the information gathered by characteristic.

The proposed selection takes also into account the RG members’ comments sent to the evaluation team after the presentation of a first selection of countries in the Draft Final Report, namely:

Avoid selecting too many large beneficiary countries of Commission’s CPPB funding (i.e. WB&GS, Afghanistan, Iraq, etc.) because it may not reflect the situation of the majority of countries receiving CPPB activities from the Commission (more than 100 worldwide over the period 2001-2008);

⁴² The evaluation team has focused on data from 2001 onwards, in order to respect the evaluation temporal scope 2001-2008. If a country experienced conflict situations which ended before 2001, it has not been taken into consideration. Moreover, if a country experienced more than one conflict situation during the period 2001-2008, only the data on the most recent conflict was taken into account.

Look at the possibility of selecting a country at risk or in conflict with a substantial aid financial portfolio but with little direct CPPB interventions;

Have at least one country that is on the agenda of the UN Peace building Commission (currently 4 countries are: Sierra Leone, Burundi, Central African Republic and Guinea-Bissau);

Have at least one country where conflict has not erupted but where substantial CPPB activities have been financed by the Commission; *and*

Avoid selecting countries with on-going or recently-ended evaluations carried out by the Commission (notably with respect to the field visits).

The table below shows the 8 countries selected for the case studies with their main characteristics. These countries have been selected in order to fulfil the requirements described above. In financial terms, the selected countries represent 34% of the total Commission CPPB funding.

Table 6: The proposed selection of countries and their main characteristics

Country/sub-region	Region	Commission's financial contributions for CPPB interventions contracted amount between 2001 and 2008 (in €)	% on total contracted amount	Armed conflict	Status of armed conflict (on-going or date when violence stopped)	Type of armed conflict	Number of EU Council operations	Number of UN peacekeeping operations	Commission's financial contribution channelled through international organisation (UN and WB) - contracted amount between 2001 and 2008 (in €)	% of channelled funds on total amount contracted per country/sub-region	Commission's financial contributions to regional organisations - contracted amount between 2001 and 2008 (in €)	% of contributions to regional organisation on total amount contracted per country/sub-region	CPPB as a focal sector or non-focal sector expressed in Country Strategy Paper/Regional Strategy Paper	Total Commission financial support between 2001 and 2008 (in €)	% of CPPB interventions on total financial support
WEST BANK AND GAZA STRIP	ENP - MEDA	1.792.683.448	29,00%	yes	on-going	Internal / internationalized	2	-	797.459.660	44%	-	-	CPPB as focal sector	2.111.513.056	84,90%
IVORY COAST	ACP	128.544.208	2,08%	yes	31/12/2004	Internal / internationalized	-	1	51.857.323	40%	-	-	CPPB as focal sector	334.797.222	38,39%
CENTRAL AFRICAN REPUBLIC	ACP	67.478.165	1,09%	yes	31/12/2006	Internationalized internal	1	1	3.930.000	6%	53.205.094	79%	no	119.975.603	56,24%
TIMOR LESTE	ASIA	54.048.384	0,87%	yes	on-going	Internal / internationalized / interstate	-	3	46.772.117	87%	-	-	CPPB as non-focal sector	131.747.300	41,02%
SIERRA LEONE	ACP	41.508.168	0,67%	yes	on-going	Internal / internationalized	-	1	5.712.142	14%	-	-	CPPB as focal sector	377.135.568	11,01%
GEORGIA	ENP - TACIS	24.085.100	0,39%	yes	on-going	Internationalized internal / interstate	2	1	17.338.921	72%	-	-	CPPB as focal sector	201.033.329	11,98%
KIRGHIZSTAN	ENP - TACIS	8.856.586	0,09%	no	N/A	N/A	-	-	2.000.000	23%	-	-	no CSP found	96.803.667	9,14%
BOLIVIA	LATIN AMERICA	4.663.795	0,08%	no	N/A	N/A	-	-	3.658.736	78%	-	-	no	293.833.599	1,59%

This selection covers:

- The geographical diversity of the Commission support to CPPB: 3 countries in Africa, 1 country in Asia, 1 country in Central Asia, 1 country in Eastern Europe, 1 country in the Mediterranean and 1 country in Latin America.
- All phases of the conflict cycle: 2 countries at risk, 4 countries in conflict and 2 countries in post-conflict situation⁴³. Timor Leste and Sierra Leone could also be considered as post-conflict countries⁴⁴.
- It includes West Bank & Gaza Strip (WB&GS) which has an on-going conflict where the EU is highly involved (among others with 2 on-going EU Council missions: EUPOL COPPS and EUBAM Rafah). A large number of other donors and international organisations are active in WB&GS through which the Commission is channelling part of its funds. CPPB is a focal sector in the Commission's country and regional strategy. Moreover it is the highest beneficiary county of CPPB interventions financed by the Commission (29% of total CPPB financial contributions). The other main beneficiaries, i.e. Iraq, Afghanistan, Sudan and DRC were not selected because of on-going evaluations carried out by the Commission⁴⁵ in these countries on CPPB issues and the particularities of the situation that may not reflect the majority of countries benefitting from Commission CPPB interventions.
- The other 5 countries with on-going conflict/post-conflict situations are Ivory Coast, Timor Leste, Sierra Leone, Central African Republic and Georgia. They are interesting cases for the regional dynamics of conflict (e.g. Ivory Coast and Sierra Leone), long-term/short-term involvement (e.g. Georgia), engagement of UN peacekeeping operations (e.g. Timor Leste) and channelling of funds and coordination with other actors/regional organisations, including through the African Peace Facility (e.g. Central African Republic). Two of these countries are also currently on the agenda of the UN Peace Building Commission (Sierra Leone and Central African Republic). All these countries have also been suggested by the RG members.
- The two countries at risk are Kirghizstan and Bolivia. These countries have a small share of CPPB interventions financed by the Commission compared to their overall aid portfolio. For Kirghizstan, 9.1% of total Commission cooperation funds are for CPPB interventions. Bolivia is the second largest beneficiary in Latin America (after Nicaragua) and only have 1.6% for CPPB interventions (between 2001 and 2008). However, this country received important funding from the Instrument For Stability in 2009 and 2010.

⁴³ This categorisation is based on the information extracted from the UCDP datasets on armed conflict. No other comprehensive source of information on phases of conflict has been found or provided to the evaluation team. In the UCDP dataset, when an end date of a conflict episode is provided and no other conflict has erupted, countries have been classified by the evaluation team as "post-conflict". When no end date is provided, countries are considered to be 'in conflict'. When countries are not indicated in the UCDP dataset, but are known to be at risk, they have been classified as such.

⁴⁴ Source: UNDP, *Crisis Prevention and Recovery Report*, 2008, table 1.2 List of post-conflict countries

⁴⁵ These evaluations might be analysed by the evaluation team in a specific task foreseen in the next phase of the CPPB evaluation. The main lessons learnt on these countries would thus be part of the overall assessment of the Commission support to CPPB.

As explained in the previous section, out of these 8 countries, 4 will be subject of field missions in addition to Desk work. They will be selected in agreement with the RG members at the end of the Desk phase.

5.2 Selection of interventions in each selected country

The present selection of interventions is based on the inventory of the Commission support to CPPB between 2001 and 2008 provided in the Preliminary Study (published in July 2009). As a reminder, this inventory is based on data extracted from CRIS in January 2009 by the evaluation team. A specific methodology was developed by the evaluation team in order to identify CPPB interventions among all Commission financed interventions worldwide (except countries under the mandate of DG Enlargement, as specified in the ToR). This methodology and its limits are presented in the Preliminary Study.

The inventory provides a global overview of the Commission's financial support (contracted amounts and disbursements) to CPPB in terms of evolution of funds, geographic and thematic breakdowns, financing instruments (budget lines) and channels of delivery used.

The selection of interventions hereunder proposed aims at gathering data to conduct a general-level evaluation of the Commission's support to CPPB and tries to reflect to the extent possible within the 8 selected countries for the case studies the main aspects of the overall financial support to CPPB.

The selection should thus:

- Reflect the all-encompassing approach of the Commission with respect to CPPB since the evaluation aims at assessing the extent to which the Commission implemented an IA. For instance, the analysis of the following proposed intervention “projet d'appui à la conciliation nationale et à la prévention des conflits en RCA” will enable the team to collect data on the extent to which the Commission's approach to CPPB was integrated;
- Provide useful data at the level of the indicators defined for each EQ. The selection should therefore enable the team to cover all the aspects to be analysed in the EQ, and in particular the mainstreaming, the root causes, the time dimension and coordination aspects. For instance, the “programme d'urgence de réhabilitation post crise” in Ivory Coast will enable the team to cover the short-term dimension of conflict while the “estudio integral de la hoja de coca” in Bolivia will allow a coverage of the cross-cutting factors of conflicts ; *and*
- Reflect the main aspects of the overall financial support to CPPB in the 8 selected countries, and in particular:
 - a substantial financial share of the total funding for CPPB interventions within each country selected for the case studies;
 - the main CPPB thematics identified in the inventory (e.g. peace consolidation and prevention of future conflict; rapid intervention; democracy, rule of law and civil society; etc.);

- the financing instruments (budget lines) used by the Commission to intervene in CPPB (e.g. IFS-RRM; EDF; EIDHR; etc.); *and*
- the channels of aid delivery used by the Commission in CPPB (e.g. international organisations; regional organisations; NGOs; etc.).

It should be remembered that this evaluation will not provide specific “evaluations” of each one of the single interventions proposed for in-depth study (*see also section 4.4*). Indeed, the analysis of these interventions will mostly be based on the examination of the programmes documents (financing agreements, progress reports, monitoring and evaluation reports, etc.) and on the conduct of interviews with key stakeholders but a detailed assessment of each one of these interventions will not be provided.

For each country selected for the case studies, the evaluation team extracted all the CPPB interventions financed by the Commission over the period 2001-2008 from the inventory (presented in the Preliminary Study). It then selected 2 to 4 interventions per country in order to reflect the above listed criteria. In addition, one regional intervention in West Africa (because the only two countries selected in a same region are in West Africa, i.e. Sierra Leone and Ivory Coast) was selected so as to collect data on the regional dynamics of conflict. The table below presents the 24 proposed interventions to be analysed in detail during the Desk phase (and during the Field phase for the ones implemented in the countries chosen for the field visits).

Table 7: The proposed selection of interventions

Title of interventions selected	Country	Date of first contract signature	Financial contributions (contracted amount in €)	CPPB thematic categories	Financing instrument (budget line)	Channel of delivery	Decision ref / contract n°
ELE - EU EOM Constituent Assembly Election and Referendum on Regional Autonomy in Bolivia 2006	BOLIVIA	2006	1.413.107	Democracy, rule of law and civil society	EIDHR	International Organisation	DDH/2006/018-151
Estudio Integral de la Hoja de la Coca en Bolivia	BOLIVIA	2008	674.000	Anti-drug actions	IFS-RRM	Not specified in CRIS	IFS-RRM/2007/019-663
SUPPORT TO THE PEACE FACILITY FOR AFRICA (FOMUC - MICOPAX)	CENTRAL AFRICAN REPUBLIC	2004	53.205.094	Peace consolidation and prevention of future conflict	EDF	Regional Organisation	FED/2004/016-581 + FED/2007/020-809 + FED/2007/020-876
Appui aux enfants en difficulté dans un contexte post-conflit	CENTRAL AFRICAN REPUBLIC	2006	1.930.000	Peace consolidation and prevention of future conflict	EDF	NGO	FED/2007/019-286
Projet d'appui à la conciliation nationale et à la prévention des conflits en RCA	CENTRAL AFRICAN REPUBLIC	2008	1.100.000	Peace consolidation and prevention of future conflict	IFS-RRM	NGO	Contract n°164633
Joint Programme EC-CoE to promote and strengthen democratic stability and prevent conflict in the South Caucasus region	GEORGIA	2001	1.149.300	Democracy, rule of law and civil society	EIDHR	Not specified in CRIS	DDH/2001/002-838
Support to mitigate the consequences of the recent armed conflict	GEORGIA	2008	14.999.172	Peace consolidation and prevention of future conflict / Population flows and human trafficking	IFS-RRM	International Organisation	IFS-RRM/2008/020-612
TACIS 2004 Georgia Rehabilitation Programme	GEORGIA	2005	2.090.000	Peace consolidation and prevention of future conflict	TACIS	International Organisation	TACIS/2004/017-048
APPUI A LA SORTIE DE CRISE	IVORY COAST	2008	21.824.320	Democracy, rule of law and civil society / Peace consolidation and prevention of future conflict	EDF	Development Agency / International Organisation	FED/2008/020-924
APPUI AU MAINTIEN DE LA PAIX EN COTE D'IVOIRE	IVORY COAST	2004	2.953.552	Peace consolidation and prevention of future conflict	EDF	Not specified in CRIS	FED/2003/016-461
PROGRAMME D'URGENCE DE REHABILITATION POST CRISE (1, 2 et 3)	IVORY COAST	2003	89.907.435	Peace consolidation and prevention of future conflict	EDF	National Government / Development Agency / International Organisation / NGO / Private company	FED/2003/016-269 + FED/2004/016-572 + FED/2006/017-938
Support to Judiciary Reform in the Kyrgyz Republic	KIRGHIZSTAN	2008	2.369.447	Democracy, rule of law and civil society	IFS-RRM	Development Agency	IFS-RRM/2008/019-816
Rural Development and Cross-Border Cooperation - towards a peaceful and dynamic environment in the Ferghana Valley (Tajikistan, Kyrgystan, Uzbekistan)	KIRGHIZSTAN	2003	1.226.821	Multisector	Other Thematic BL (NGO)	NGO	contract n°19976
Addressing Social Consequences of Transition in the Ferghana Valley (Kyrgyz Republic) - UNDP	KIRGHIZSTAN	2005	2.239.098	Population flows and human trafficking	TACIS	International Organisation	Contract n°85399
The Gola Forest- a new practical model for achieving sustainable protected areas in post-conflict Sierra Leone, a Least Developed Country	SIERRA LEONE	2007	3.006.984	Environment & natural resources	Other Thematic BL (ENV)	Not specified in CRIS	Contract n°138206
ELE - EUEOM Sierra Leone	SIERRA LEONE	2007	3.015.000	Democracy, rule of law and civil society	EIDHR	International Organisation	Contract n°141307
POST CONFLICT BUDGET SUPPORT (PCBS)	SIERRA LEONE	2004	18.180.000	Economic support and trade cooperation	EDF	National Government	FED/2000/015-223
Assistance to Rehabilitation and Reconstruction in EastTimor. Contribution to the World Bank multilateral Trust Fund for East Timor (TFET)	TIMOR LESTE	2001	16.380.000	Reconstruction & infrastructure	Other Thematic BL (REH)	International Organisation	REH/2001/004-634 + REH/2002/004-288
SUPPORT TO THE TIMORESE ELECTORAL CYCLE	TIMOR LESTE	2007	1.500.000	Democracy, rule of law and civil society	EDF	International Organisation	FED/2007/020-766
Timor Leste Rural Development Programme	TIMOR LESTE	2004	24.179.156	Multisector	Other GEO BL (ASIA)	International Organisation	ASIE/2003/005-795
CONFLICT PREVENTION AND PEACE-BUILDING	WEST AFRICA REGION	2005	4.464.600	Peace consolidation and prevention of future conflict	EDF	International Organisation / Regional Organisation	FED/2005/017-805
Infrastructure Facility (Reinforcement of Customs, Immigration and Border Management of the PA)	WEST BANK AND GAZA STRIP	2006	7.119.658	Population flows and human trafficking / Rapid intervention / Security sector	MEDA	International Organisation / NGO	MED/2005/017-673
PEGASE Support to Recurrent Expenditures of PA (1, 2 and 3)	WEST BANK AND GAZA STRIP	2008	258.000.000	Rapid intervention	ENPI	National Government / International Organisation / Private company	ENPI/2008/019-776 + ENPI/2008/020-254 + ENPI/2008/020-425
Support to the Palestinian Civil Police	WEST BANK AND GAZA STRIP	2008	5.000.000	Security sector	IFS-RRM	International Organisation	IFS-RRM/2008/020-143

This selection represents 25% of the total CPPB funds in the 8 countries selected for the case studies and for the West Africa region (*see table 8 below*). In addition, the table shows the share of the selected interventions in the total of CPPB funds for each country and for the West Africa region. Table 9 presented below aims at showing that the selected interventions cover all the main characteristics of the full inventory in terms of CPPB thematic, financing instruments (budget lines) and channels of delivery.

Table 8: Share of the selected interventions on the total CPPB funds for each country

Countries selected	Inventory (amounts in €)	Interventions selected (amounts in €)	Share by country selected
BOLIVIA	4.663.795	2.087.107	45%
CENTRAL AFRICAN REPUBLIC	56.235.094	67.478.165	83%
GEORGIA	24.085.100	18.238.472	76%
IVORY COAST	128.544.208	114.685.308	89%
KIRGHIZSTAN	8.856.586	5.835.366	66%
SIERRA LEONE	41.508.168	24.201.984	58%
TIMOR LESTE	54.048.384	42.059.156	78%
WEST AFRICA REGION	4.464.600	14.311.886	31%
WEST BANK AND GAZA STRIP	1.792.683.448	270.119.658	15%
Total	2.136.179.741	537.926.744	25%

Source: CRIS and ADE analysis

Table 9: Coverage of the main characteristics of the full inventory

CPPB thematic categories	Inventory (amounts in €)	Interventions selected (amounts in €)
Anti-drug actions	59.000.897	674.000
Democracy, rule of law and civil society	911.384.112	27.446.854
Economic support and trade cooperation	356.602.015	18.180.000
Environment & natural resources	63.041.103	3.006.984
Multisector	176.983.723	25.405.977
Peace consolidation and prevention of future conflict	1.286.419.175	164.175.001
Population flows and human trafficking	898.247.890	14.055.928
Rapid intervention	1.232.783.939	260.352.000
Reconstruction & infrastructure	889.449.402	16.380.000
Security sector	280.069.540	8.250.000
Total	6.181.712.137	537.926.744

EC Financing Instrument (budget line)	Inventory (amounts in €)	Interventions selected (amounts in €)
EDF	1.583.887.577	193.965.001
EIDHR	305.463.397	5.577.407
ENPI	785.895.104	258.000.000
IFS-RRM	150.365.972	24.142.619
MEDA	1.543.855.211	7.119.658
Other GEO BL	989.138.376	24.179.156
Other Thematic BL	687.686.828	20.613.805
TACIS	135.419.672	4.329.098
Total	6.181.712.137	537.926.744

Channel of delivery	Inventory (amounts in €)	Interventions selected (amounts in €)
Development Agency	97.608.174	11.744.165
International Organisation	3.257.832.712	121.416.059
National Government	826.824.550	219.748.525
NGO	162.211.195	8.969.106
Private company	384.583.143	68.952.167
Regional Organisation	451.901.770	53.205.094
Not specified in CRIS	1.000.750.593	53.891.628
Total	6.181.712.137	537.926.744

Source: CRIS and ADE analysis

6. Next steps

It was decided, in agreement with the RG, to launch the evaluation work still within the framework of the contract for the current Concept study. Indeed, some of the initially foreseen tasks (e.g. the focus groups with representatives from Commission Headquarters and Delegations) have been replaced with more evaluative tasks. More specifically, four of the desk country case studies have been launched as pilots. These desk country case studies concern the following countries: Central African Republic, Bolivia, Georgia and West Bank and Gaza Strip. These desk country case studies will be presented in the Desk Report of the evaluation proper which has been launched in parallel⁴⁶. This desk report will also present the four other desk country case studies.

⁴⁶ A detailed technical and financial proposal for the evaluation has been submitted to the JEU on 19 July 2010.