

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

Concept Study

Final Report for the Concept Study

Volume 2: Annexes

September 2010

Evaluation for the European Commission





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Framework contract for
**Multi-country thematic and regional/country-level
strategy evaluation studies and synthesis in the area of
external co-operation**

LOT 5:
**Evaluation of EC main policies and strategies in the
areas of external cooperation**

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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 evaluation was carried out 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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THEMATIC EVALUATION OF THE EUROPEAN COMMISSION SUPPORT TO CONFLICT PREVENTION AND PEACE BUILDING –

phase 2

In the context of the preparation of the thematic evaluation of EC support to Conflict prevention and peace building, a study will be commissioned to lay out a methodological approach for the next stages of the evaluation. This study will allow a better understanding of how the Commission has defined the integrated approach (including the means of implementation), and will better conceptualize the main part of the evaluation.

The study will:

- provide an overall view of the current status of the debate in CPPB among major donors and/or academicians;
- set out how the Commission has translated the strategic orientations on CPPB as defined in the COM(2001) into practical tools and guidance;
- provide where useful an overview of/limited comparison with other tools and guidance existing among other major donors.

On this basis the study will :

- propose a set of Evaluation Questions, and associated Judgement Criteria and Indicators for the evaluation as such. These questions, judgment criteria and indicators will reflect the analysis grid for the country case studies (including regions) to be proposed.
- Propose associated tools such as intervention logic, reading and analysis grids etc.
- Propose criteria for the selection of country / regional case studies.
- In addition, it should be stressed that the *process* of data collection, especially through interviews and discussions groups with Commission staff, is considered important. It will stimulate reflection and debate within the Commission and may assist in clarifying common understandings concerning the mainstreaming of an integrated approach to CPPB.

Issues of visibility, of non-spending activities (notably policy and political dialogues), of the continuum / coordination between political/security approaches and development approaches, as well as of the coordination between 1st and 2nd pillar actions, have to be considered.

The study will fully take into account the completed preliminary 'mapping and scoping' study finalized in July 2009.

The results will be integrated into the draft terms of reference for the evaluation study (attached) which will be modified accordingly.

This study will be delivered in paper (40 copies) and electronic version (25 CD ROMs).

The workplan will be presented in the technical offer by the consultant. The budget will not be higher than 250 000 Euros.



EUROPEAN COMMISSION
EuropeAid Co-operation Office

Evaluation

**THEMATIC EVALUATION OF THE EUROPEAN
COMMISSION SUPPORT TO CONFLICT
PREVENTION AND PEACE BUILDING**

TERMS OF REFERENCE

4. Version

**TERMS OF REFERENCE FOR A THEMATIC EVALUATION OF THE
EUROPEAN COMMISSION SUPPORT TO CONFLICT PREVENTION AND
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MANDATE AND objectives

Systematic and timely evaluation of its expenditure programmes is a priority of the European Commission (EC). It is key to account for the management of the allocated funds and for promoting a lesson-learning culture throughout the organisation. The focus is on the **impact** (effects) of these programmes against a background of greater concentration of external co-operation and increasing emphasis on **result-oriented approaches**, particularly in the context of the programmes of the Relex Family of Directorates-General¹.

The evaluation of the Commission's support to conflict prevention (including crisis resolution) and peace building (including demobilisation, disarmament and reintegration) is part of the 2008 evaluation programme as approved by the External Relations and Development Commissioners.

The main objectives of the evaluation are:

- to provide the relevant external co-operation services of the EC and the wider public with an overall independent assessment of the Commission's past and current cooperation support to Conflict Prevention (including crisis resolution) and Peace Building (including demobilisation, disarmament and reintegration) .
- To identify key lessons in order to improve the current and future strategies and programmes of the Commission.

1. BACKGROUND

2.1 Policy background

In the 1990's there was growing concern that many developing countries were failing to achieve sustainable development owing to conflicts and insecurity.

1992 the Maastricht Treaty on European Union establishing the EU created a distinct 'second' pillar of the EU, namely the Common Foreign and Security Policy (CFSP). The scope of the CFSP is comprehensively defined as covering 'all areas of foreign and security policy', including 'to preserve peace and strengthen international security,...'. The 1992 Report² to the European Council in Lisbon on the likely development of the CFSP stated "the CFSP should contribute to ensuring that the Union's external action is less reactive to events in the outside world and more active in [...] the creation of a more favourable international environment. This will enable the European Union to have an improved capacity to tackle problems at their roots in order to anticipate the outbreak of crises."

Before 2001, conflict prevention was considered essentially in terms of political and military activities. The consciousness of the international community of the need for an integrated approach treating the root causes of conflict grew gradually, based on a number of successes and failures. Concerning the Balkans, for instance, the Commission considered that the integrated Community strategy, based on a transparent and clearly structured

¹ Directorates General of External Relations, (RELEX), Development (DEV) and the EuropeAid Co-operation Office (AIDCO).

² By the Ministers of Foreign Affairs: http://www.europarl.europa.eu/summits/lisbon/default_en.htm

process providing concrete benefits in return for commitment to peace and regional stability, would eventually lead to long-expected stabilisation. El Salvador and Guatemala were also considered good examples of such an integrated approach. A reconfiguration of ideas has taken place in the development policy of the EU since the mid-1990s; greater attention has been paid in development cooperation to civilian crisis prevention and to the socio-economic and political root causes of conflicts. Guidelines for tackling aspects of conflict prevention have appeared in a number of documents, initially focusing on African countries. This paved the way for the Commission's ambitious 2001 Communication on Conflict Prevention, which represented the first comprehensive Commission strategy in this field.

COM(2001) 211 on Conflict Prevention and the Göteborg Council

The central document for the Commission's intervention in the field of CPPB is the **Communication from the Commission on Conflict Prevention, COM(2001) 211 final**, issued on 11 April 2001 during the Swedish presidency of the Council. In this Communication, the Commission postulated the need to address the root causes of conflict throughout the world in an integrated manner. It stated that development policy and other co-operation programmes provided the most powerful instruments at the Community's disposal for treating the root causes of conflict. It stressed the importance of a genuinely long-term and integrated approach, in co-ordination with EU Member States (EU MS) and with international organisations. It identified thereby roles, objectives, tools, and co-operation needs with other organisations; this Communication is further detailed in Chapter 3, as it forms the core of the Commission's intervention logic over the evaluation period.

In the same effort, the **Göteborg European Council** of 15-16 June 2001, ending the Swedish Presidency, gave rise to two important documents relating to conflict prevention: (i) the Presidency Conclusions; (ii) the EU Programme for the Prevention of Violent Conflicts. Moreover, a first Presidency report on European Security and Defence Policy, addressed to this Göteborg European Council, stated that the Commission had an essential role to play in helping to ensure coherence of the EU's external policies, including the Common Foreign & Security Policy (CFSP) and European Security and Defence Policy (ESDP) (*see below*), and to strengthen co-operation with international organisations. The Commission was to contribute to the development of common political approaches, through proposing activities to the Council as well as through managing instruments relevant to crisis management and conflict prevention within its areas of competence. It also stated that the ongoing reform of external aid and financial management rules would make possible more effective delivery of Community support to EU crisis management operations.

Certain aspects, notably the security dimension have been further outlined in subsequent documents, notably concerning Security sector reform, (SSR; COM 2006-658), demilitarization, demobilization and reintegration (DDR; EU concept 2006 and Commission Staff Working Paper); processes, and actions to curb the proliferation of anti-personnel mines (APL; Regulation (EC) N°1724/2001, Regulation (EC) N°1725) and small arms and light weapons (SALW; EU strategy 2005).

The European Consensus on Development (Joint Statement 14820/05) further reiterates the importance of support to conflict prevention, stating " The EU will strengthen its efforts in

conflict prevention work" and explicitly refers to the EU Programme for the Prevention of Violent Conflicts³ in this context.

Between 2002 and 2006, the Rapid Reaction Mechanism was designed to allow the Community to respond urgently to the needs of countries threatened with or undergoing severe political instability or suffering from the effects of a technological or natural disaster.

The Instrument for Stability (IfS) replaced, on 1 January 2007, both the Rapid Reaction Mechanism, and several instruments in the fields of drugs, mines, uprooted people, crisis management, rehabilitation and reconstruction, and allowed support to the United Nations Interim Mission in Kosovo and the office of the High Representative in Bosnia and Herzegovina.

2.2 The Communication on Conflict Prevention sets out 4 main objectives:

1. Make more systematic and co-ordinated use of EU instruments to reach the root causes of conflict.
2. Improve the efficiency of actions targeting specific causes of conflict (so-called "cross-cutting issues", such as trafficking in drugs or human beings, illicit trade in diamonds and small arms, competition over scarce water resources etc).
3. Improve EU capacity to react quickly to nascent conflicts.
4. Promote international co-operation with all EU partners (partner countries, NGOs, international organisations such as UN, G8, OSCE, and ICRC as well as other regional organisations).

In terms of building post-conflict peace, the Commission subscribes to the conflict-sensitive or 'do no harm' approach. This means ensuring that its activities are always carried out sensitively so as not to worsen the conflict dynamics.

The very notion of integrated approach refers to the need to make the concept of conflict prevention a horizontal issue in all common or sectoral policies of the Union. Due respect for the existing pillar structure of the EU still allows for coherent and co-ordinated interaction of European Union instruments. This point was made in the Communication of the Commission and also endorsed by the European Council in Göteborg. The debate within Europe on 'global governance' has focused attention on the direct impact of a whole range of EU policies on the stability of partner countries (e.g. debt relief, economic adjustment and transition, administrative efficiency, reform of International Financial Institutions, free trade agreements etc). Building on this Communication and on its own experience and views in this field, the Swedish Presidency launched, during its Presidency, the initiative of developing an EU Programme for the Prevention of Violent Conflicts. This Programme was adopted by the General Affairs Council on 11-12 June 2001 and endorsed by European Council at Göteborg.

2.3 other EU Policies

³ "EU Programme for the Prevention of Violent Conflicts" Göteborg Summit June 2001

Other policies such as the 'European Initiative for Democracy and Human Rights' also include support for conflict prevention and resolution projects under the overall theme of democratisation, good governance and the rule of law. As well as funds earmarked for conflict prevention specific projects it is important to note that other areas (e.g. addressing impunity through strengthening civil society, International Tribunals and the International Criminal Court, human rights training for relevant officials) all contribute to tackling the root causes of conflict.

The Commission also supports the Kimberley Process to stem the flow of so called 'blood diamonds' – rough diamonds used by rebel movements to finance wars against legitimate governments. The 'Kimberley Process certification scheme' (KPCS) has been in operation since 2003. It imposes extensive requirements on all Participants to certify the conflict-free origin of all exports of rough diamonds and put in place rigorous domestic controls over diamond production and trade to prevent conflict diamonds entering the diamond pipeline. The European Community (EC) is a Participant in the KPCS, implemented by a Council Regulation, adopted on 20 December 2002. The Regulation lays down the procedures and criteria to be followed in the import and export of rough diamonds into and from the EC, and creates a uniform EC Kimberley Process certificate which is used for all shipments.

2.4 Other international initiatives

The OECD/DAC work in the area of conflict prevention and peace-building is carried out primarily through its subsidiary body, the Network on Conflict, Peace and Development Co-operation (CPDC). The European Commission participates actively in this group and uses fully the produced guidelines.

Effective co-ordination with international partners is important in achieving that goal. In accordance with the commitment of the European Union to promoting an effective multilateral system with the United Nations at its core, the EU has devoted particular attention to the activity of the High Level Panel on Threats, Challenges and Change. The Commission continues holding "desk-to-desk" dialogues with integrated UN teams as well as regular contact with the UN Frame Work Team in the area of conflict prevention. A strategic partnership between the Commission and UNDP was signed in 2004, where conflict prevention is one area for closer cooperation.

In 2005/2006 the Commission supported a pilot project to establish a Conflict Prevention Network on the basis of the European Parliament decision. The end result has been the implementation of the Conflict Prevention Partnership (CPP) headed by the International Crisis Group (ICG) in conjunction with three other NGOs working in the conflict prevention and peace building fields: namely International Alert, The European Policy Centre (EPC) and the European Peacebuilding Liaison Office (EPLO). In particular, the Partnership aims to strengthen the capacities of the European Union and its Member States in conflict prevention, crisis management and peacebuilding.

2.5 Definition of Conflict Prevention and Peace-Building

The available Commission descriptions of the scope of possible interventions are given in the Communication from the Commission on Conflict Prevention /* COM/2001/0211. It has to be underlined that subsequent papers, mentioned earlier, also bring additional aspects into the picture.

In order to clearly define the boundaries of the evaluation (the subject and scope) a preliminary study (mapping and scoping) has been conducted and approved.

The results of the preliminary study are fully integrated into the present terms of reference and into the ensuing evaluation.

The departing point for the thematic scope of the evaluation had been agreed as being Commission support to Conflict prevention (including crisis resolution) and peace building (including demobilisation, disarmament and reintegration) as defined by the Communication from the Commission on Conflict Prevention COM (2001) 211 and related subsequent documents. This was further clarified and detailed by the preliminary study which is the thematic basis for this (phase of the) evaluation.

The evaluation will cover only activities for which the Commission has the full responsibility, namely those covered under the first pillar but also coordination and coherence issues with activities and policies under other pillars. It has been decided to put the accent of the 'integrated approach' stipulated by the Communication.

2. SCOPE

2.1. Temporal and legal scope

The evaluation shall cover aid programming and implementation over the period 2001-2009. It is reiterated that the departing point for the evaluation has been interpreted and agreed as being Commission support to Conflict prevention as defined by the Communication from the Commission on Conflict Prevention COM (2001) 211. The evaluation is preceded by the a preliminary study to scope and map the theme. The evaluation will fully integrate the results of the preliminary study. The evaluation will cover only activities for which the Commission has the full responsibility, namely those covered under the first pillar but also coordination and coherence issues with activities and policies under other pillars.

The **purpose** of the evaluation is to assess to what extent the Commission assistance has been relevant, efficient, effective⁴ and sustainable in providing the expected impacts in Conflict Prevention and Peace building.

It should also assess the coordination and complementarity with other donors and actors, the coherence with the relevant EC policies and the partner Governments' priorities and activities as well as with relevant international legal commitments.

The evaluation will also relate to the overall EU support to this domain and particularly in this context to the added value the EC can generate in supporting countries.

⁴ The aid effectiveness agenda entailing many actions that the COM had already engaged e.g.: SPSP guidelines, increased use of GBS, devolution, sectoral concentration in programming, result orientation, etc.

The evaluation should come to a **general overall judgement** of the extent to which Commission policies, strategies, sectoral programmes have contributed to the achievement of the objectives and intended impacts, based on the answers to the agreed **evaluation questions**.

The evaluation should cover activities that fall within the theme, financed from thematic and geographical budget lines/instruments, EDF and other financial instruments.

The evaluation shall lead to **conclusions** based on objective, credible, reliable and valid findings and provide the EC with a set of operational and useful **recommendations**.

The evaluation shall be **forward looking and take into account the most recent policy and programming decisions**, providing lessons and recommendations for the continued support to Conflict Prevention and Peace Building within the present context and relevant political commitments (such as the European consensus and the Paris Declaration⁵), as well as taking into account the current processes within the Commission.

All regions where EC co-operation is implemented⁶ (with the exception of regions and countries under the mandate of DG Enlargement) are included in the scope of this evaluation.

The evaluation will include a comprehensive desk phase followed by **country case studies** to be carried out in **8 different and representative countries**⁷. The evaluators shall identify and formulate in-depth questions and test hypotheses for country case studies, allowing addressing the issues of relevance, effectiveness, efficiency, effects and sustainability of aid delivery. The case studies shall be selected⁸ in consultation with the Reference group, taking into account different experiences in the area of support to the policy as well as different country/regional contexts.

3.2 The evaluation users

The evaluation should serve policy decision-making and project management purposes. DGs DEV, Relex, the EuropeAid Office and the EC Delegations in the countries covered by this exercise will be the main users of the evaluation.

Other EC services like ECHO and DG Elarg may also benefit from the results of this evaluation.

⁵ OECD 2 March 2005

⁶ ACP, ALA, ENP (former TACIS and MEDA)

⁷ To be finalised after discussion.

⁸ Possible criteria for country selection: (1) Importance of Commission support in the country; (2) Covering all major regions; (3) Broader learning potentials; (4) Level of poverty; (5) The political and economic context; (6) Existence of budget support cooperation (not applicable to all regions); (7) Previous country involvement in thematic, sectoral and regional evaluations; (8) Regional programmes; (9) Linking relief, rehabilitation and development.

The evaluation should also generate results of interest to a broader audience, including governments of partner countries, Member States, civil society and others.

3. KEY DELIVERABLES

The overall methodological guidance to be used is available on the web page of the EuropeAid evaluation unit under the following address:

http://ec.europa.eu/europeaid/how/evaluation/methodology/index_en.htm

Within 14 days after the reception of the ToR, the Consultants will present a **launch note**⁹ which should contain:

- their understanding of the ToR;
- a methodological note including the implementation of the quality control;
- the provisional composition of the evaluation team with CVs¹⁰;
- a proposed budget¹¹.

Following the launch note, the main key deliverables are:

- The inception meeting;
- The inception report;
- The desk report;
- The final reports;
- The dissemination seminar in Brussels.

3.1. The inception meeting

Upon approval of the launch note by the Evaluation Unit, the Consultant proceeds to the structuring stage leading to the production of an inception report.

On the basis of the preliminary study and any possibly necessary further information to be collected and analysed, the Consultants will propose evaluation questions and prepare explanatory comments for each. The choice of the questions determines the subsequent phases of information and data collection, elaboration of the methods of analysis, and elaboration of final judgements. The consultants will also identify appropriate judgement criteria.

A meeting will be held with the reference group to discuss, confirm and validate:

- The evaluation's regulatory framework, its context, main users and expected uses (for confirmation);
- The evaluation's central scope (for confirmation);
- The scope extended to related policies (for confirmation);

⁹ In the case of a tender procedure, the launch note will be replaced by the financial and technical proposal of the tender

¹⁰ All birthday dates must be written in the following Format: dd/mm/yyyy

¹¹ In the frame of a "framework contract"

- The intervention logic according to official documents (for confirmation);
- The evaluation questions;
- Explanatory comments associated to each evaluation questions (when possible, indicate judgement criteria).

Upon validation by the Reference Group, the evaluation questions become part of the ToR.

3.2. Inception report

At the end of the inception phase, the consultants must deliver an **inception report**, which finalises the evaluation questions and describes the main lines of the methodological design including the indicators to be used, the strategy of analysis and a detailed work plan for the next stage.

The inception report contains the following elements:

- the intervention logic;
- the validated evaluation questions;
- a limited number of appropriate judgment criteria per evaluation question;
- a limited number of quantitative and/or qualitative indicators related to each judgment criterion;
- a proposal containing suitable working methods to collect data and information in the Commission's headquarters and delegations, including information coming from the country itself and other donors in the country;
- a first outline of the strategy and the methods used to analyse the collected data and information indicating any limitations;
- a chain of reasoning for answering the question;
- a concise description of the development co-operation context of the Commission related to the evaluation questions;
- A detailed work plan for the next stage.

The report will also confirm if necessary:

- the final composition of the evaluation team and
- The final work plan and schedule.

The two latter points will be agreed and confirmed through a formal exchange of letters between the Consultants and the Commission.

3.3. Desk report

Upon approval of the inception report the Consultants proceed to the final stage of the desk phase. At the end of this phase, the Consultants will present a desk report setting out the results of this phase of the evaluation including all the following listed elements (the major part of the inception report will be in the annex of the desk phase report):

- the evaluation questions with the agreed judgement criteria and its quantitative and qualitative indicators;
- the first elements of answer to the evaluation questions when available and the hypotheses to be tested in the field;
- Progress in the gathering of data. The complementary data needed for the analysis and to be collected in the field have to be identified;
- methodological design, including evaluation tools ready to be applied in the field phase: (i) suitable methods of data collection within the country indicating any limitations, describing how the data should be cross-checked and specifying the sources, (ii) appropriate methods for data collection and to analyse the information, again indicating any limitations of those methods;
- an exhaustive list of all the activities covered during the period (see the preliminary report) and an exhaustive list of all activities examined during the desk phase, bearing in mind that activities analysed in the desk phase and the field phase (including ROM) have to be as representative as possible;
- A work plan for the field phase: a list with brief descriptions of activities, projects and programmes for in-depth analysis in the field. The consultants must explain the value added of the visits.

The field missions cannot start before the evaluation manager has approved the desk report.

3.4. Field reporting

The fieldwork shall be undertaken on the basis set out in the desk report and approved by the reference group (which includes the relevant Delegations as soon as countries or regions have been chosen). The work plan and schedule of the mission are agreed in advance with the Delegation concerned. If during the course of the fieldwork it appears necessary to deviate from the agreed approach and/or schedule, the Consultants must ask the approval of the Evaluation Unit before any changes may be applied. At the conclusion of the field study the Consultants present the preliminary findings of the evaluation:

- (1) Presentation during a de-briefing meeting with the respective Delegations;
- (2) Presentation to the reference group shortly after their return from the field.

3.5. Final reports and seminar

4.5.1. The Draft Final Report

The Consultants will submit the draft final report in conformity with the structure set out in annex 2. Comments received during de-briefing meetings with the Delegation and the reference group must be taken into consideration.

The Consultants may either accept or reject the comments but in case of rejection they must justify (in writing) the reasons for rejection (the comments and the Consultants' responses are annexed to the report). If the Consultants don't want to take them in the report, they must explain in a separate document the reasons why.

If the evaluation manager considers the report to be of sufficient quality (cf. annex 3), he/she will circulate it for comments to the reference group. The reference group will convene to discuss it in the presence of the evaluation team.

4.5.2. *The Final Report*

The Consultants will prepare the final report based on of further comments from the reference group, the Delegations and/or the evaluation manager. The final report will be in English, the executive summary (5 pages) will be translated into French and Spanish.

110 copies of the **Final Main Report** (including the executive summary in the three linguistic versions) must be sent to the Evaluation Unit with an additional 10 reports with all printed annexes. A CD-Rom with the Final Main Report and annexes has to be added to each printed report.

The evaluators have to hand over on an appropriate support (electronic or paper) all relevant data gathered during the evaluation.

The contractor shall submit a methodological note explaining how the quality control and the capitalisation of lessons learned have been addressed.

The Evaluation Unit makes a formal judgement on the quality of the evaluation (cf. annex 3).

4.5.3. *The Seminar*

The final report will be presented at a seminar in Brussels. The purpose of the seminar is to present the results, the conclusions and the recommendations of the evaluation to all main stakeholders concerned (EC services, Member States, Members of the European Parliament, representatives of the partner countries and civil society organisations and other donors).

The Consultants shall prepare a presentation (*Power point*) for the seminar. This presentation shall be considered as a product of the evaluation in the same way as the reports and the data basis. For the **seminar** 60 copies of the report (including the executive summary in the three linguistic versions) and 10 reports with full printed annexes (see annex 2 of the ToR) have to be produced.

The Final **presentation** will include slides for:

- Context of the evaluation;
- Intervention logic and focus of questions
- Answers to the evaluation questions (1);
- Conclusions and
- Recommendations

(1) For every question 4-5 slides will present

- The theory of action (part of the intervention logic concerned) with the localisation of the EQ
- One table with Judgement criteria and indicators
- Findings (related to JC and Indicators) and their limits.
- Conclusions and recommendations

The Evaluation Unit makes a formal judgement on the quality of the evaluation (cf. annex 3).

4. EVALUATION QUESTIONS

The evaluation will be based on the seven evaluation criteria: relevance, impact, effectiveness, efficiency, sustainability, coherence and the EC value added. The first five correspond to the traditional practice of evaluation of development aid and have been formalised by the OECD (DAC). The following two apply to all EC policies. The criteria will be given different weightings based on the priority accorded to the evaluation questions.

In general, questions (to a maximum of 10) will refer to the following main areas:

- ***Relevance of the strategy/programme:*** this includes both relevance to the general objectives of the EC and relevance to commitments on an international level the EC has itself committed to.
- ***Design and consistency¹² of the intervention strategy/programme:*** this mainly concerns the extent to which the resources foreseen were adequate in relation to the objectives set out in the programming documents.
- ***Consistency of the implementation in relation to the strategy:*** the Consultants shall verify the extent to which the work plan, schedule and implementation of the activities (all types of interventions, geographical and sectoral distribution, instruments, and aid delivery channels included) were consistent with the strategy. They shall demonstrate who were the real beneficiaries, direct or indirect, of the intervention and compare them to the target population(s) in the programming documents.

The Consultants will also verify the extent to which the intervention modalities (instruments, aid delivery channels, etc.) were appropriate to the objectives.

- ***Achievement of main impacts/effects:*** the Consultants shall identify all recorded results and impacts, including any unintended ones, and compare these to the intended results and/or impacts. The Consultants will also identify the changes, which occurred in the areas in which EC programmes were supposed to produce an impact.
- ***Efficiency of the implementation:*** for the activities which were effective, it will be necessary to question to what extent funding, human resources, regulatory and/or administrative resources contributed to, or hindered the achievement of the objectives and results.
- ***Sustainability of the effects:*** an analysis of the extent to which the results and impacts are being, or are likely to be maintained over time.

¹². The notion of consistency should be understood here as follows: (i) correspondence between the different objectives of a strategy, implying that there is a hierarchy of objectives (with lower level objectives logically contributing to the higher level ones); (ii) extent to which the resources foreseen are adequate in relation to the objectives set out in the strategy

- **Key cross-cutting issues:** for example gender, environment and climate change, human rights, HIV/AIDS, institutional capacity building, etc. Verification should be undertaken, on the one hand, of the extent to which account has been taken of these priorities in the programming documents and, on the other hand, to what extent these issues have been reflected in the implementation modalities and in the effects of the intervention. **The 3Cs (co-ordination, complementarity and coherence):** co-ordination / complementarity with EU Member States and other donors; coherence with EU policies (including the Member States' own policies and eventual interventions of the EIB).

Value added of the EC interventions: The criterion is closely related to the principle of subsidiarity and relates to the extra-benefit the activity/operation generates due to the fact that it was financed/implemented through the EC.

There may be three practical elements to illustrate possible aspects of the criterion:

- 1) The EC has a particular capacity for example experience in regional integration, above those of the Member States;
- 2) The EC has a particular mandate in the framework of the '3Cs' and can draw member states to a greater effort together;
- 3) EC cooperation is guided by a common political agenda embracing all Member States.

5. RESPONSIBILITY FOR THE MANAGEMENT AND THE MONITORING OF THE EVALUATION

The Evaluation Unit (AIDCO 03) is responsible for the management and monitoring of the evaluation with the assistance of the reference group.

Information will be given to the Consultants after the signature of the contract concerning the documents referred in Annex 1.

6. THE EVALUATION TEAM

The evaluation team should possess a sound knowledge and experience in:

- evaluation methods and techniques in general and, if possible, of evaluation in the field of development cooperation;
- in all fields pertaining to the topic of the evaluation : conflict prevention (including crisis resolution) and peace building (including demobilisation, disarmament and reintegration. Ancillary fields are (list not exhaustive): Security sector reform, (SSR), demilitarisation, demobilisation and reintegration (DDR); anti-personnel mines (APL) and small arms and light weapons (SALW).
- Particular institutional structure and relationship of responsibilities between the European Commission and the European Council.
- The following language(s): the main language of the work and the report will be English, but for the country case studies other working languages may be necessary.

The Evaluation Unit strongly recommends that the evaluation team should include consultants from the country or the region (notably, but not only, during the field phase) with in-depth knowledge of key areas of the evaluation.

Consultants must be strictly neutral. Conflicts of interests must be avoided.

It is highly recommended at least for the team leader to be fully familiar with the methodological approach set by the EC.

7. TIMING

After the approval of the launch note and the signature of the contract, the timing of activities will be set according to the following indicative work plan.

The dates mentioned in the following section may be changed with the agreement of all concerned.

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings/Communications</i>
Desk Phase			
Structuring Stage	Short presentation (logical diagram and EQ)		RG Meeting
	Draft Inception Report		Optional: Short preparatory visit of the consultants to the field.
	Final Inception Report		A formal exchange of letters between the Consultants and the Commission confirms the final composition of the evaluation team and the final work plan and schedule.
Desk Study	Draft Desk Report		RG Meeting
	Final Desk Report		
Field Phase			De-briefing meeting with the Delegation.
	Presentation		RG Meeting
Synthesis phase (seminar in Brussels)			
	1st draft Final report		RG Meeting
	Final Main Report		110 copies of the Final Main Report must be sent to the Evaluation Unit. Additional 10 reports with all printed annexes must be sent to the Evaluation Unit as well.
			Seminar in Brussels 60 copies of the report and 10 reports with full printed annexes.

8. COST OF THE EVALUATION

The overall costs include:

- The **evaluation** as such;
- 2.5% of the total budget excluding the costs of the seminar are to be used for **quality control**;
- A **seminar**.

The total of these 3 elements must not exceed

NB: The budget for the seminar (fees, per diems and travel) will be presented separately in the launch note.

10. PAYMENTS MODALITIES

The payments modalities shall be as follows:

- 30% on acceptance of the Inception Report, plus 2.5% of the agreed budget to be used for quality control;
- 50% on acceptance of the Draft Final Report;
- The balance on acceptance of the final report.

Seminar related costs are to be invoiced and paid separately.

ANNEX 1: INDICATIVE DOCUMENTATION FOR THE EVALUATION

General documentation

- Communications of the Commission;
- Various regulations.

Reference documents

1. European Security Strategy: A secure Europe in a better world, adopted by the European Council in December 2003
2. European Union's Development Policy Statement, "the European Consensus" on development, adopted by the Council on 22 November 2005, published in the Official Journal n° C 46 of 24/02/2006
3. The EU strategy 'The EU and Africa: Towards a strategic partnership' (doc. 15702/1/05 REV 1)
4. Cotonou Agreement, 2000
5. EU Concept for ESDP support to Security Sector Reform (SSR) (Council doc. 12566/4/05)
6. Commission's Communication *A Concept for European Community Support for Security Sector Reform* SEC(2006) 658
7. Communication from the Commission to the European Council of June 2006, *Europe in the World – Some Practical Proposals for Greater Coherence, Effectiveness and Visibility*
8. EU Guidelines on Children and Armed Conflict (2003)
9. EU Checklist for the Integration of the Protection of Children Affected by Armed Conflict into ESDP Operations (2006)
10. EU Checklist to Ensure the Implementation of UNSCR 1325 in the Context of ESDP Operations (2005)
11. European Union's Strategy to combat illicit accumulation and trafficking of small arms and light weapons (SALW) and their ammunition, adopted by the European Council in December 2005.
12. Mid Term Evaluation of the African Peace Facility (9ACP RPR 22) Final Report (ECORYS)

Country Case study

- CRIS¹³ (information on the projects and annual ROM¹⁴) and other databases concerning the financed projects, engagements, payments, etc.;
- Cooperation strategies;
- Conclusions of the Mid-term and End-of-Term Reviews;
- Key government documents of planning and policy;
- Evaluation reports of the projects;
- Relevant documentation provided by the local authorities and other local partners, and financial backers, etc.

The three following documents are to be handed to the Consultants:

- 1- On access to the information contained by the ROM system for an evaluation;

¹³ Common Relex Information System

¹⁴ Results Oriented Monitoring

2- Methodological note from Eureval concerning North-South approach to country level evaluations;

3- Template for Cover page.

4- internal note for the file on EC value-added

In addition, the consultant will have to consult the documentation available on Internet (DAC/OCDE and EU Inventory websites in particular) as well as the documentation listed or available within the Evaluation Unit (AIDCO/0/3 Library).

ANNEX 2: OVERALL STRUCTURE OF THE FINAL REPORT

The overall layout of the report is:

• Final report

- Summary
- Context of the evaluation
- Answers to the evaluation questions
- Conclusions (1)
- Recommendations (2)

Length: the final report must be kept short (70 pages maximum excluding annexes). Additional information regarding the context, the programme and the comprehensive aspects of the methodology and of the analysis will be put in the annexes .

(1) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the 5 DAC criteria;
- The chapter on "Conclusions" has to contain a paragraph or a sub-chapter with the 3 to 4 principal conclusions presented in order of importance;
- The chapter on "Conclusions" must also make it possible to identify subjects, for which there are good practices and the subjects, for which it is necessary to think about modifications or re-orientations ;

(2) Recommendations

- Recommendations have to be linked to the conclusions without being a direct copy of them;
- Recommendations have to be treated on a hierarchical basis and prioritised within the various clusters (groups) of presentation selected;

- Recommendations have to be realistic, operational and feasible. As far as it is practicable, the possible conditions of implementation have to be specified;
- The chapter on "Recommendations" has to contain a sub-chapter or a specific paragraph corresponding to the paragraph with the 3 to 4 principal conclusions. Therefore, for each conclusion, options for action and the conditions linked to each action as well as the likely consequences should be set out.

- **Annexes (non exhaustive)**

- **National background country case**

- Methodological approach
 - Information matrix
 - Monograph, case studies
 - List of institutions and persons met
 - List of documents consulted

NOTE ON THE EDITING OF REPORTS

- The final report must:

- § be consistent, concise and clear;
- § be well balanced between argumentation, tables and graphs;
- § be free of linguistic errors;
- § include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text;
- § contain one (or several) summaries presenting the main ideas. For example, the answers to the evaluation questions and the main conclusions could be summarised and presented in a box.

- The executive summary has to be very short (max. 5 pages);

- The final version of the report shall be typed in 1,5 lines spacing and printed double sided, in DIN-A-4 format;

- The font shall be easy to read (indicative size of the font: Times New Roman 12);

- The presentation shall be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout);

- The main report shall not exceed 70 pages including the cover page, the table of content, the lists of annexes and abbreviations. The annexes shall not be too long;

- The content must have a good balance between main report and annexes;

- Reports shall be glued or stapled; plastic spirals are not acceptable due to storage problems.

For the Cover page, please use the template mentioned in Annex 1.

Please, note that:

- The Consultant is responsible for the quality of translations and their conformity with the original;

- All data produced in the evaluation are property of the EC.

ANNEX 3 - QUALITY ASSESSMENT GRID

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Good	Very good	Excellent
1. Meeting needs: Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
2. Relevant scope: Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
3. Defensible design: Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
4. Reliable data: To what extent are the primary and secondary data selected adequate. Are they sufficiently reliable for their intended use?					
5. Sound analysis: Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
6. Credible findings: Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
7. Validity of the conclusions: Does the report provide clear conclusions? Are conclusions based on credible results?					
8. Usefulness of the recommendations: Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
9. Clearly reported: Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?					
Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.					

Annex 2: Launch Note (Main elements)

Thematic Evaluation of the European Commission support to Conflict Prevention and Peace Building

Technical and Financial proposal for a Concept Note for the Evaluation

EVA 2007/main-pol+strat LOT5

Framework contract for

Multi-country thematic and regional/country-level strategy
evaluation studies and synthesis
in the area of external co-operation.

Ref.: EuropeAid/122888/C/SER/Multi

October 2009

Evaluation for the European Commission



A consortium of PARTICIP–ADE–DIE–DRN–ECDPM–ODI c/o Particip GmbH, leading company:
Particip GmbH, Merzhauser Str. 183, D - 79100 Freiburg, Germany, Phone: +49-761-79074-0 Fax: +49-761-79074-90, info@particip.de



Aide à la Décision Economique
Belgium

d.i.e



Deutsches Institut für
Entwicklungspolitik

German Development
Institute

Deutsches Institut für Entwicklungspolitik
Germany



Development
Researchers'
Network

Development Researchers' Network
Italy



European Centre for Development Policy
Management
Belgium



Overseas Development Institute
United Kingdom

LOT 5

Evaluation of EC main policies and strategies in the areas of external cooperation.

**Contract Number:
EVA 2007/main-pol+strat LOT5**

**Thematic Evaluation of the European
Commission support to Conflict Prevention
and Peace Building.**

***Technical and financial proposal for a
Concept Note
for the Evaluation***

October 2009

The evaluation is being managed by the Joint Evaluation Unit (EuropeAid, DG Dev, DG Relex) together with the reference group composed of members of relevant EC services.

This proposal has been prepared by



The opinions expressed in this document represent the authors' points of view, which are not necessarily shared by the European Commission or by the authorities of the countries concerned.

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This technical and financial proposal for a concept study for the thematic evaluation of the European Commission support to Conflict Prevention and Peace Building (CPPB) is a response to a request expressed by the Joint Evaluation Unit (JEU) common to the Directorates General (DG) External Relations, Development and EuropeAid during a meeting held on 27 August 2009 between ADE and the JEU for the forthcoming thematic evaluation mentioned above. This request was formalised in Terms of Reference (ToR) of which the final version was issued on 09/10/2009.

The present proposal consists of the following sections:

1. Understanding of the request
2. Proposed approach and provisional work plan
3. Assumptions / risks / limitations
4. Proposed team
5. Budget

1. Understanding of the request

1.1 Rationale

Before starting the evaluation as such, the Joint Evaluation Unit commissioned a **Preliminary study** which provided an inventory and typology of the funding in the field of conflict prevention and peace building (CPPB)¹ 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.

Following the preliminary study and before moving into the next stages of the evaluation, the team submitted upon request of the JEU a **methodological note** which proposed the methodological approach for the next stages of the evaluation. This note was discussed during a meeting on 27 August 2009.

¹ Section 3.1 of the Preliminary study defined conflict prevention as follows: “Actions undertaken to reduce tensions and prevent the outbreak or recurrence of violent conflict. Beyond short term activities, it includes the notion of long-term engagement. It consists of *operational prevention*, i.e. immediate measures applicable in the face of crisis), and *structural prevention*, i.e. measures to ensure that crises do not arise in the first place, or, if they do, that they do not recur”. Peacebuilding was defined as: “Actions and policies “aimed at preventing the outbreak, the recurrence or continuation of armed conflict”, encompassing, “a wide range of political, developmental, humanitarian and human rights programmes and mechanisms”, including “short and long term measures tailored to addressing the particular needs of societies sliding into conflict or emerging from it. It includes long-term support to, and establishment of, viable political and socio-economic and cultural institutions capable of addressing the proximate and root causes of conflicts, as well as other initiatives aimed at creating the necessary conditions for sustained peace and stability.” Both definitions are based on the OECD-DAC, *Guidance on evaluating conflict prevention and peacebuilding activities, Working draft for application period, 2008.*

The JEU considered that the methodological note responded to a number of concerns in terms of methodology which was rightfully built around the examination of the implementation of the integrated approach towards CPPB. However it underlined that it would be **essential before moving into the evaluation to clarify further the notion of the integrated approach.**

Indeed, the Preliminary Study and the methodological note suggested centring the evaluation proper on the integrated approach.

While subscribing to this approach, which had also been approved by the RG, the JEU underlined the importance of having a concrete view on what an evaluation focussing on the integrated approach would precisely examine. More specifically, there was a need to obtain a thorough understanding of the meaning of the concept of an “integrated approach” as understood within the Commission (the “what”). In addition, it seemed necessary to illuminate which guidance and support (e.g. guidelines, training, specific tools, etc.) the Commission provided to facilitate the implementation of this approach (the “how”). Both elements would serve to construct an analytical framework as the basis for the evaluation proper. Accordingly, it was decided to conduct a specific concept study for this purpose.

1.2 Purpose of the concept study and main tasks

The concept study will precisely aim at bridging this gap between the Preliminary Study and the evaluation proper, by first building a thorough understanding of the “what” and the “how” of the integrated approach and then constructing an analytical framework that will provide a precise idea of how the evaluation will proceed when examining this integrated approach.² It will thus have a descriptive purpose and will not aim at verifying whether, how and to what extent this integrated approach was indeed implemented.

As specified by the ToR, it should do the above while:

- Taking into account the role of non-spending activities (notably policy and political dialogues), of the continuum/coordination between political/security and development approaches, and of 1st and 2nd pillar actions;
- Situating this investigation in the broader context of the debate of CPPB among major donors and/or academics;
- Comparing where useful the Commission’s approach with respect to the “what” and the “how” with that of other major donors;
- Devoting sufficient attention to the process of data collection with a view to stimulating reflection and debate within the Commission (see also section 2.1 on this issue.

² It should be noted that the “integrated approach” has evolved during the time period under consideration (2001-2008), and that greater conceptual and programmatic rigour has been achieved in more recent years. This has an influence on this study in the sense that some developments might be too recent to be already reflected in the Commission’s practice.

1.3 Expected outputs of the concept note

The team's understanding is that the concept study will be concluded with a report ("concept note") focusing on five aspects:

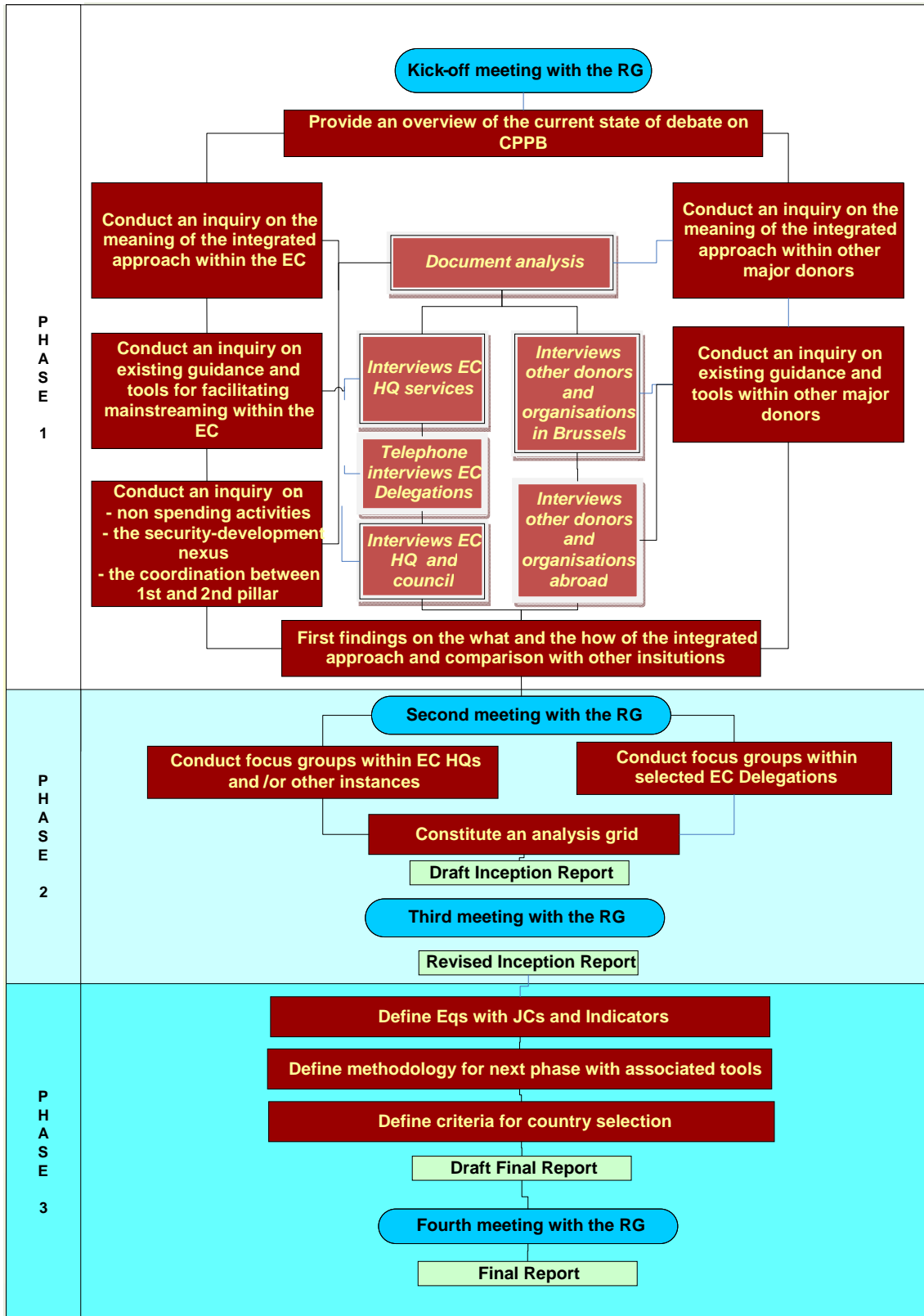
- a review of state of the art CPPB concept and policies, especially with a focus on the work relevant for international actors;
- an outline of a proposed definition of the "what" of the integrated approach, as well as a description of the "how", as they exist within the Commission;
- an "analysis grid", 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 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.

2. Approach and provisional work plan

2.1 Approach, RG meetings and deliverables

The concept study will be conducted in three phases, as illustrated in figure 1 hereunder. The first phase will be dedicated to providing a first description of the "what" and the "how" of the integrated approach within the European Commission. In a second phase, this description will be tested and completed through various focus groups. Then the final phase will consist of constituting an analysis grid and on this basis, defining and structuring a set of evaluation questions, the methodology for the evaluation proper and criteria for country selection. Each of these phases is briefly presented below, as well as the proposed RG meetings and deliverables to be submitted. It is proposed that the evaluation will start with a kick-off meeting with the RG to discuss the rationale and approach proposed for the concept note.

Figure 1: Main tasks of the concept study



Phase 1: Providing a first description of the “what” and the “how” of the integrated approach

The purpose of phase 1 is to construct a first definition of the Commission’s integrated approach and a description of the means it has provided to facilitate the implementation of that approach. Where useful this will be done by situating this approach against the background of tools and guidance existing among other major donors and of the current status of the debate in CPPB among major donors.

The first task in this respect will be to browse a schematic overview of the main concepts and policies on CPPB, in particular concerning the interface of CCPB and development assistance. The aim is to present the different approaches and their evolution over time as well as the current status of the debate in the field of CPPB. The idea here is not to conduct detailed academic research but to provide a schematic overview that serves as background for further investigation.

Once this has been done, the team will examine how the integrated approach has been defined within the Commission and which means the Commission has provided to facilitate the implementation of this approach (i.e. how it has translated the strategic orientations on CPPB as defined in the COM(2001) into practical tools and guidance). In parallel the same issues will be investigated for other major donors and organisations. For the part on the Commission, specific attention will be devoted to the role of non-spending activities, the efforts to focus on the nexus of security and development in particular settings and the coordination between the 1st and 2nd pillar. In both cases this work will be done through document analysis and face-to-face and/or telephone interviews. More specifically, the following interview sessions are foreseen:

- For the EU :
 - interview sessions with representatives from relevant Commission DGs, and the Council Secretariat at the Brussels Headquarters. To ensure the historical perspective is covered it would also be useful to interview to the extent possible those who formerly had specific conflict prevention responsibilities within DG RELEX during the period 2001 – 2008;
 - telephone interview sessions with 10 selected Commission Delegations. Indeed, it seems essential to also collect the views of Delegations that are in charge of implementing the integrated approach in the field;
- For the other major donors and actors (EU MS, relevant NGOs, Think tanks):
 - interview sessions with representatives from organisations located in Brussels (e.g. European Policy Centre, International Crisis Group; European Peacebuilding Liaison Office (EPLO), Crisis Management Initiative, Search for the Common Ground, International Security Information Service- Europe (ISIS)
 - Interviews conducted abroad:
 - Interview in France with the DAC-OECD secretariat. If feasible within the budgetary and time framework of this visit additional interviews either at

- the French Foreign Ministry or at the French Development Agency (AFD) could be envisaged, but are not deemed essential for this study.
- Interviews with key actors in the UK: Conflict Prevention Pool (Foreign and Commonwealth Office, Ministry of Defence and DFID), International Alert and Saferworld;
 - Interviews in Switzerland with the UN (UNDP Bureau of Crisis Prevention and Response; Swiss Agency for Development and Cooperation)
 - Interviews in three additional MS (tentatively Germany (GTZ); Sweden (SIDA and International IDEA); and The Netherlands (Clingendael Institute, European Centre for Conflict Prevention (ECCP), Ministry of Development Cooperation)).

On the basis of the information collected, the team will provide a preliminary description (in *PowerPoint* format) of the Commission's definition of the integrated approach and the means to apply it. This will be placed in the broader context including the views of other major donors in this respect. The presentation will also contain a proposal with respect to the focus groups to be conducted.

This description will be presented at a second meeting with the Reference Group. The purpose of this meeting will be to discuss this preliminary description before conducting the focus groups.

Phase 2: Conducting focus groups and constituting an analysis grid

The purpose of the focus groups is to offer the possibility to stakeholders (in the first place the Commission) met in phase 1, to discuss and complement the findings arising from that phase. This will also be an opportunity to present to the participants the findings arising from the research conducted among other major donors. Although this process might contribute to stimulating reflection and debate within the Commission and to clarifying common understandings concerning the mainstreaming of an integrated approach to CPPB, it is important to note that this is not the primary purpose of this activity, which is to develop a solid basis for the evaluation proper.

Two types of Focus Groups are foreseen:

- Three Focus Group Discussions (FGD) in Brussels. At this stage the FGDs concern EU services only since it is the aim to understand the “what” and “how” of the integrated approach within the context of the EU's international cooperation. It might also be envisaged to conduct them as “pyramidal” focus groups (i.e. first two separate focus groups for audiences with common “characteristics” (e.g. two groups of services within the Commission) and then to bring them together in the third focus group to analyse jointly the results of the first two groups);
- Three focus groups in Delegations. This will allow, as in phase 1, for the collection of views from the field. It is suggested to select, in close coordination with the RG, Delegations that are explicitly interested in participating to such a process (which could be examined in phase 1).

On the basis of the results of these different focus groups, the team will then finalise the description of the “what” and the “how” and present it in the inception report. More specifically, this report will present:

- The rationale, applied methodology and process of the concept note;
- The overview of the current state of debate on CPPB;
- A working definition of the integrated approach and of the means provided by the Commission to facilitate its implementation.³ This will be placed against the background of the approaches of other major donors in this respect;
- An analysis grid for evaluating the support to CPPB through an integrated approach. This grid will aim at listing what should be examined when assessing the integrated approach with respect to CPPB. As an example, it might mention that it should be verified whether a conflict analysis has been carried out, whether personnel in charge have received (adequate) training, etc. It is in this sense different from the set of structured evaluation questions discussed below.

This report will then be discussed with the RG.

Phase 3: Defining and structuring the EQs and approach for the next phases

This stage will be devoted to the definition of structured Evaluation Questions, and associated Judgement Criteria and Indicators. Evaluation Questions (EQs) will be derived from the Intervention Logic presented in the Preliminary study, as well as from the analysis grid constituted in phase 2. The analysis grid will also be of significant interest for the definition of Judgement Criteria and Indicators for each EQ.

On this basis the methodology for the evaluation proper will be defined as well as the tools to be used in the evaluation. This phase will also be dedicated to defining criteria for the country selection for the evaluation proper.

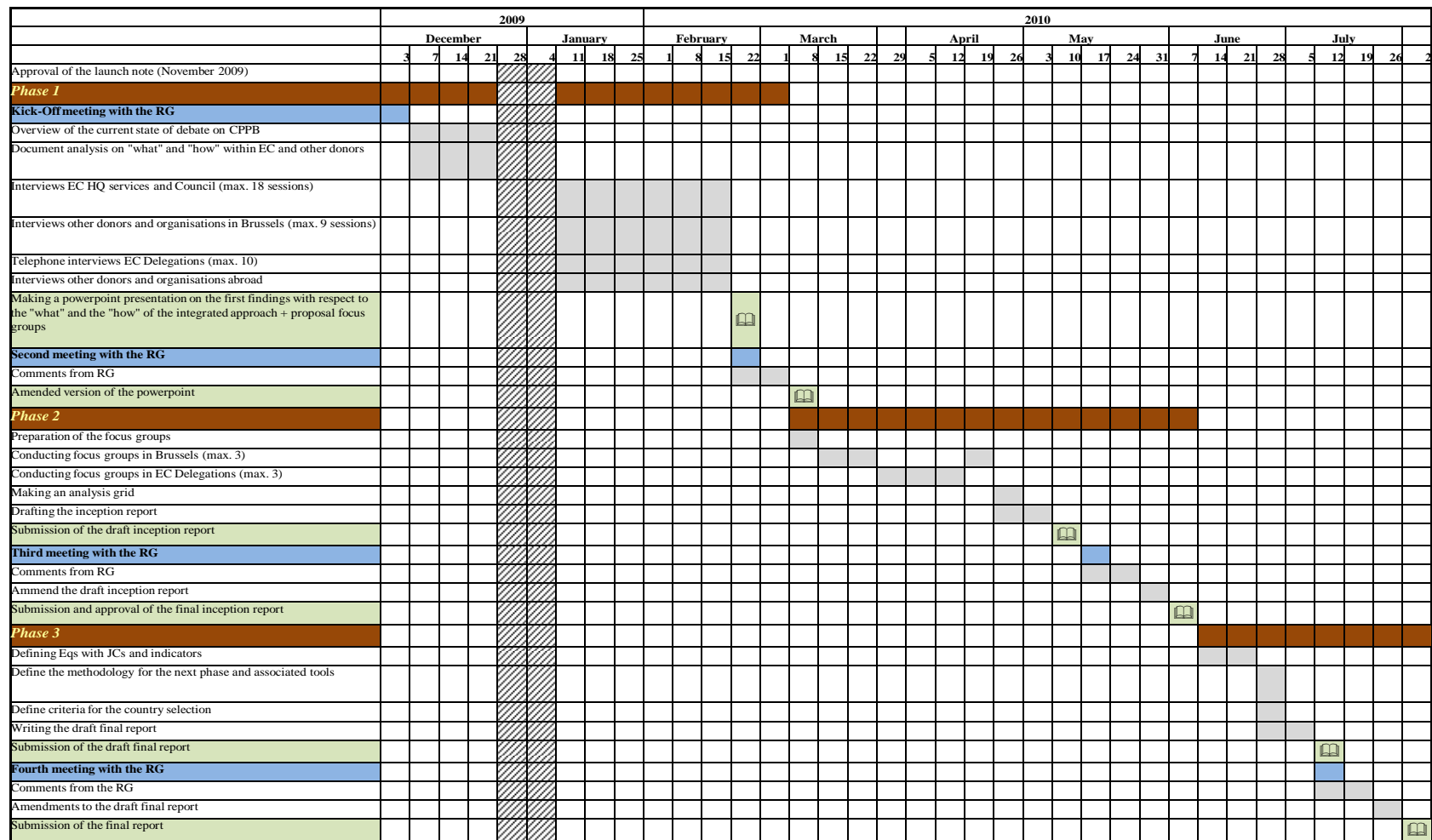
These different elements, together with those of the inception report, will be presented in a draft final report, which will be submitted to the RG and discussed in the fourth RG meeting. On the basis of the feedback received from the RG a final report will be presented for validation.

2.2 Provisional workplan

Figure 2 below summarises the calendar for the concept note.

³ It may well be that there is no common view or consensus within the Commission on the “what” and the “how” of the integrated approach. In that case, the note will reflect the main differences in views that have been observed.

Figure 2 : Provisional workplan



3. Risks / assumptions / limitations

The elaboration of the concept note is based on a number of assumptions, and will be confronted with certain risks and limitations discussed hereafter.

The proposed methodology builds on a close involvement of Commission staff during the process (interviews, focus groups, etc.). This is also the case for other actors. It will be essential to make sure that the team is able to count on the collaboration of these different instances.

In this perspective it will also be important to avoid all risk of ambiguity with respect to the mandate. Indeed, although close collaboration and consultation with Commission staff is foreseen and may contribute to stimulating reflection and debate in the field, this is not the primary purpose of the exercise. The primary purpose is to clarify the understanding of the integrated approach and the means provided to implement it, as a pre-condition for conducting the evaluation. It is essential in this respect to make sure that expectations are in line with the mandate. Indeed, it cannot be expected from the team to create a common agreement between the different stakeholders on the issues studied.

Ambiguity on the nature of the study should also be avoided. Although it takes place within the larger framework of an evaluation, the concept study will not have an evaluative character. It will indeed aim at describing the Commission's understanding of the integrated approach and the means the Commission provided to implement it, not at assessing it, even if it may be expected that useful information will be gathered for such an assessment. Such an assessment might take place in the evaluation proper, but not at this stage. It would also be counterproductive to ambition to gather descriptive information with a view to constructing an evaluative tool and to providing an assessment.

The team will bear these three elements in mind. It will be important for each of these elements that the team can count on the close support of the JEU to ensure the involvement of stakeholders, and clarify when necessary the mandate and nature of the study. It is also for these reasons that the Focus Groups are not conceived as *validation* sessions. The validation of the team's understanding of the Commission's definition of the integrated approach and the means it provides to implement it will be done by the RG and should be conceived as a tool for the evaluation and not as an output on which a consensus exists.

Furthermore, it should be noted that this study aims at clarifying the understanding of the integrated approach and the means provided to implement it as a tool for the subsequent evaluation. This means that it will examine the "what" and the "how" for the 2001 – 2008 period. Although this *might* point at future developments/opportunities (e.g. changes through the Lisbon treaty), this is not the specific purpose of this study nor can any forward looking perspective be guaranteed at this stage. Indeed, the planned introduction of the EEAS is likely to affect the meaning and practices of the integrated approach over time. However, this study roughly coincides with Stage 1 of the introduction of the EEAS that primarily concerns organisational and financial matters and much less the shape and

implementation of policies. Potential changes to the integrated approach will probably only occur during Stage 2 (2010-2013), i.e. when the new structures are fully operational. Thus, in Stage 2 the combination of a new organisation and new political leadership could affect the integrated approach, but -as explained above- this clearly lies beyond the rationale and scope of this study. These cautionary remarks notwithstanding, the team will closely follow the developments related to the introduction of the EEAS. More specifically, this issue will be systematically discussed in interviews and focus groups organised.

Finally, it is important to underline that the approach described requires time to be implemented. Indeed, there are different steps, including visits to the field, which are time-consuming, as it should be made sure that interlocutors are available, that sufficient time is provided to collect inputs gathered from different sources, etc. The proposed calendar takes these requirements into account.

4. Proposed team

ADE proposes a core team to work throughout the duration of the concept study.

The team proposed has been selected taking into consideration the ToR requirements. The experts are experienced professionals with an extensive knowledge of European external policies. Besides their outstanding individual skills, the team has been built up into a coherent multi-skilled group whose combined expertise is complementary and permits coverage of the diverse aspects of this study. The combined knowledge of the team encompasses (i) complex evaluation methodologies, including specific experience with the methodology favoured by the Joint Evaluation Unit, and (ii) the theoretical concepts of conflict prevention and field experience in conflict or post-conflict countries.

The proposed Core Team is presented in the following synthesis table. The full CVs of the experts are included in Annex 1.

Table 1 – The Evaluation team

Name	Position	CV summary
Edwin Clerckx	Team leader	Dr Edwin Clerckx is a Director of ADE and manager responsible for its Evaluation Area. He holds a PhD in Philosophy and a complementary degree in Economics. Since joining the company in 2001, he has worked nearly exclusively on evaluations – as expert and as team leader – in the fields of development cooperation, rural development and agriculture, and structural funds. With respect to development cooperation he has participated in several sector/thematic evaluations. He was recently Team Leader of the Evaluation of EC aid delivery through Development Banks and the EIB, but has also worked on other sector evaluations (micro-projects, private sector development and transport). He has also participated in country evaluations such as the joint evaluation of the cooperation of the European Commission and France with Mali. In 2009 he was team leader of the Preliminary study (scoping and mapping) of the Thematic Evaluation of the European Commission

Name	Position	CV summary
		support to Conflict Prevention and Peace Building. He also intervenes as methodological advisor and/or peer reviewer for several country and sector evaluations. He regularly strengthens his knowledge in the field of evaluation through specialised training courses, conferences (including as speaker) and seminars on the subject. This knowledge has also been valorised and developed through work on evaluation methodologies, notably by participation in the development of Evaluation Guidelines for the Joint Evaluation Unit located in the EuropeAid Co-operation Office.
Eleanor O’Gorman	Senior expert	<p>With a PhD in International Politics, Eleanor O’Gorman has over fifteen years of progressively senior experience in the field of international conflict and development policies and strategies, peacebuilding and post-conflict programming, complex peace operations, and conflict analysis methodologies.</p> <p>Her practical experience includes the UN, EU, the UK Government, the Irish Government, the OECD/DAC, NGOs and academic institutions. Field experience includes Sri Lanka, Israel/Palestine, Zimbabwe, Liberia, Somalia, Guinea-Bissau, Timor Leste, Tajikistan and Kyrgyzstan, and Bosnia-Herzegovina. From 2003 to 2006 she was Senior Policy Adviser at the UN Office in Brussels and advised on UN-EU cooperation strategies in the areas of crisis management and conflict prevention. From 2000 to 2006 she worked on conflict-related policies and programmes with the UNDP including several field support missions to design and evaluate programmes. She is currently engaged with the Conflict Prevention Pool Secretariat of the UK Government to advise and support the monitoring and evaluation strategies and indicators for impact.</p>
Andrew Sherriff	Senior expert	<p>Andrew Sherriff is currently a Senior Programme Officer at the European Centre for Development Policy Management (ECDPM). He has 15 years of professional experience working on aid, conflict and development issues and is an acknowledged expert on the EU and conflict prevention. Most recently he has consulted on “The EU and Children Affected by Armed Conflict” and “EU, Women and Armed Conflict” for major policy initiatives during the Slovenian EU Presidency. From 1994 to 2004 he worked for the leading peacebuilding organisation International Alert. Prior to that he was an academic researcher on aid and conflict at universities in Canada and Ireland in addition to undertaking field research in conflict zones. He has consulted and/or undertaken evaluations on conflict prevention and peacebuilding programmes for DFID, Austrian ADA, Belgian DGDC, SNV-Netherlands Development Organisation, East West Institute, Oxfam, World Vision, UK Global Conflict Prevention Pool, Saferworld, and DCAF. He has over 20 publications on conflict prevention themes (many with a specific EU focus) on Security Sector Reform (SSR), Small Arms and Light Weapons (SALW), conflict analysis, conflict sensitive approaches, strategic peacebuilding and EU conflict prevention capacity and policy. Recently he has undertaken conflict prevention assignments in Albania, Bosnia and Herzegovina, Burundi, the Democratic Republic of Congo, Ethiopia, Georgia, Kenya, Kosovo, Macedonia,</p>

Name	Position	CV summary
Sven Harten	Medium expert	<p>Rwanda, and Serbia.</p> <p>Sven Harten is a permanent consultant in Evaluation at ADE. He holds a PhD in Political Science and a Masters Degree in Comparative Politics (Mayor in Conflict Studies and African Development), both from the London School of Economics. As a researcher, trained and experienced in a broad array of qualitative and quantitative evaluation methods and techniques, he has produced various types of papers in the field of Political Science related to democratisation, good governance and conflict prevention. Most recently, he has been responsible as the Commission's interim Desk Officer for Ecuador for the Mid-Term Review of the Commission's Country Strategy in Ecuador and worked also on the MTR for Bolivia. In addition, he evaluated for DG RELEX the compliance of Ecuador with the conditions for Sector Budget Support and co-designed an Instrument for Stability action in Bolivia (4M€). He has several years of experience in evaluation of development cooperation, most notably in Kenya and Bolivia, where he was a team leader responsible for the reform of the Evaluation Unit of the Ministry of Public Works. Moreover, he conducted an evaluation of key projects of the Ministry trained local staff in M&E. Prior to that he led the evaluation of 11 development projects in Bolivia. In Kenya, he worked on a participative evaluation of an HIV-prevention/livelihood project with Focus Group Discussions (FDGs) and Lesson Learning Reviews (LLRs). During an internship at the European Foundation Centre, he provided evaluation and best-practice services for more than a dozen international clients (philanthropic organisations) financing development projects in Africa, Eastern Europe and Latin America.</p>
Antoine Hanin	Junior expert	<p>Antoine Hanin is a permanent consultant in Evaluation at ADE. He holds a B.Sc in Economics and a Masters Degree in International Relations and Conflict Management. During his Masters Degree he gained good knowledge of the theoretical concepts of conflict prevention. He has also analysed case studies/best practices of management and resolution of conflicts in African countries. He has worked on various evaluations for the EuropeAid Joint Evaluation Unit including two "channel" evaluations, i.e. the Commission's external cooperation with partner countries through the UN family; and the Commission's aid delivery through Development Banks and EIB. He has also participated in the evaluation of Commission support for statistics in third countries and in the evaluation of Commission support to Mali. Through these working experiences he has been able to fully develop his understanding and use of the EC information systems and databases for evaluation purposes.</p>
Virginie Morillon	Junior expert	<p>Virginie Morillon is a permanent consultant in Evaluation at ADE. She holds a BA in Economics and a Masters Degree in Development Economics. She has actively participated in complex evaluations for the Joint Evaluation Unit in which she has acquired experience on evaluation methodologies and in post-conflict countries: her experience includes <i>inter alia</i> an evaluation of the Commission's support for the Mediterranean Partner Countries with</p>

Name	Position	CV summary
		a field mission in Lebanon, and an evaluation of the Commission's support for the rural development sector in partner countries. She gained further experience on country evaluations, e.g. an evaluation of the Commission's support to Guyana. Prior to joining ADE she worked for one year in Benin for the French Ministry for Foreign Affairs where she was seconded to a Beninese consultancy to carry out a study on the impact of illegal oil trading between Benin and Nigeria on the Beninese economy. She also carried out an internship at the Development Directorate-General of the European Commission where she was following the 9 th EDF Mid-Term Review for Central African countries and the Demobilisation, Demilitarisation and Reintegration process in the Democratic Republic of the Congo.
Jean-Marie Wathelet	Quality control	Jean-Marie Wathelet is an agro-economic engineer. He has been a Director of ADE since its creation in 1990 and has been Managing Director since 2007. He has carried out some 30 advisory and evaluation missions of which several pertained to rural development and support for SMEs. These assignments and studies were financed by various donors, mainly the European Commission and the World Bank. He has acquired a sound knowledge of the management tools of project cycles as well as the application of evaluation methods of the logical framework and participative approach types. He is a director and founding member of the SWEP (Wallonia Evaluation Bureau). He has recently conducted an evaluation of EC support to the rural development sector in partner countries. He also conducted mid-term evaluations of the RDPs in Wallonia and the Grand-Duchy of Luxembourg. In 2003 he was the team leader for the <i>ex post</i> evaluation (at EU level) of the Objective 5b programmes 1994-1999. He has further conducted evaluations of Objective 2, Objective 5b, Leader II and Interreg programmes and has been involved in numerous international evaluations and missions.

Dr Edwin Clerckx is an experienced team leader of complex evaluations. As team leader for the present study he will be responsible mainly for:

- the overall study process and the drafting of all deliverables;
- conduct of interviews and Focus Group Discussions (FGDs);
- coordination of the team and verification of each output; *and*
- representation of the team to the Reference Group and the JEU.

The medium-level expert, Dr Sven Harten, has solid experience of both conflict studies and evaluation methods. He will assist the team throughout the concept study process and will participate in the drafting of all intermediary and final deliverables. He will be mainly involved in the following tasks:

- collection and analysis of information concerning the state of debate on CCPB;

- analysis of documents of the EC and major donors concerning the “what” and “how” of an integrated approach;
- preparing and conducting interviews and FGDs;
- contribution to the drafting of all deliverables; *and*
- preparation of and participation in the RG meetings.

The junior experts, Mr Antoine Hanin and Ms Virginie Morillon, will assist the team throughout the preliminary study process in collecting information and also in maintaining an overall view of the entire preliminary study as well as in participation in the drafting of all intermediary and final deliverables. They will have a key role during the first part of the preliminary study. This will mainly involve the following tasks:

- retrieving information on CCPB as well as on the practices of an integrated approach by the EC and among other donors;
- contribution to the preparation of and participation in interviews and FGDs;
- data processing; *and*
- contribution to the preparation of and participation in the RG meetings.

The sector experts Ms Eleanor O’Gorman and Mr Andrew Sherriff will strengthen the team by providing sector advice on particular areas of concentration in the preliminary study. Their main tasks will be:

- analysis of documents concerning CCPB and an “integrated approach”;
- participate in and/or conduct interviews and Focus Group Discussions;
- participation in the drafting of the study and checking of deliverables.

The senior experts will also participate to the RG meetings.

All the experts of the core team will be involved throughout the whole process of the study. The experts are fully convinced of the added value accruing from working as a team compared to the inputs from a collection of individuals, not only in terms of complementarity of skills and experience, but also in terms of creating a dynamic interchange of ideas.

Annex 3: List of persons met

European Commission - Brussels

Surname, name	Institution/Organisation/ Unit/Department	Function
Daniela Dicorrado Andreoni	EC DG AIDCO & DEV	DEV, Head of Sector Peace and Security
Dorothee Starck	EC DG AIDCO & DEV	DEV, Policy Desk Officer, Panafrican issues and institutions, governance and migration
Anna Strzaska	EC DG AIDCO & DEV	DEV, Administrator, African Peace Facility
Jens Moeller	EC DG AIDCO & DEV	AIDCO, African Peace Facility
Simona Palma	EC DG AIDCO & DEV	AIDCO, African Peace Facility and African Union
Gwenda Jeffrey Jones	EC DG RELEX F3	International Relations Officer – Desk Officer Middle East Peace Process
Cristina Famea	EC DG RELEX A3	CFSP, Assistant Programme Manager- EU Policies
Francesca Mosca	EC DG AIDCO E	Director E "Quality of Operations"
Dominique Dellicour	EC DG AIDCO E4	Head of Unit, "Quality of Operations" for Governance, security, human rights and gender
Corrado Scognamillo	EC DG AIDCO E4	Expert prévention des conflits et post conflits
Marc Van Bellinghen	EC DG RELEX A2	Deputy Head of Unit
Katia Ahlfors	EC DG RELEX A2	Policy Officer - DESP G
Joaquim Tasso Vilallonga	EC DG RELEX A2	Project Manager - External Relations - Crisis Response Planner
Emma Achilli	EC DG RELEX B1	International Relations Officer - DHB - Policy desk officer-human rights and democratisation
Magdalena Gorska	EC DG RELEX B1	Policy desk officer-human rights and democratisation
Andrew Byrne	EC DG RELEX A2	Policy Officer - Conflict Prevention/Crisis Preparedness (Peace-building Partnership - PBP)
Pedro Andreo Andreo	DG Enlargement	Evaluation Officer
Jose Torres Lacasa Antonio	DG Enlargement D3 Regional Programmes	Deputy Head of Unit
Vassilis Maragos	DG Enlargement	Deputy Head of Unit, Albania - Macedonia
Ana Yturriaga Saldanha	DG Enlargement	Programme Manager - EU policies
Rebekka-Maria Edelman	DG Enlargement	Desk Officer Bosnia and Herzegovina

Council of the European Union - Brussels

Surname, name	Institution/Organisation/ Unit/Department	Function
Massimo Bianchi	External Relations - DG E IV	Desk Officer Horizontal Issues, including Counter-Terrorism
Iván Calabuig-Williams	DGE IV:Transatlantic Relations, Latin America,UN/ICC & Counter-Terrorism	Desk Officer Counter-Terrorism
Pedro Andreo Andreo	DG Enlargement	Evaluation Officer
Jose Torres Lacasa Antonio	DG Enlargement D3 Regional Programmes	Deputy Head of Unit
Vassilis Maragos	DG Enlargement	Deputy Head of Unit, Albania - Macedonia
Ana Yturriaga Saldanha	DG Enlargement	Programme Manager - EU policies
Rebekka-Maria Edelmann	DG Enlargement	Desk Officer Bosnia and Herzegovina
Mika-Markus Leinonen	Council Directorate Civilian Crisis Management	Director
Gyorgy Tatar	Cabinet of Director General External Relations – Policy Unit	Head of Task Force Horizontal Security Issues and Conflict Prevention

European Commission - Delegations

Surname, name	Institution/Organisation/ Unit/Department	Function
Guy Banim	Formerly RELEX A2 and DEL Nepal	Consultant to EC Delegation to AU/Ethiopia
Predrag Avramovic	Delegación de la Unión Europea en Cuba	Consejero - Encargado de Cooperación
Karolina Hedström	Delegation of the European Union to India	Regional Crisis Response Planning Officer - South Asia
David Spence	Delegation of the European Union to Switzerland	Political Counsellor
Soenke Schmidt	Delegation of the European Union to Switzerland	First counsellor
Duccio Bandini	Delegation of the European Union Lebanon	IFS Contract Agent
Michael Miller	Delegation of the European Union Lebanon	Head of Political, Commercial and Economic Affairs Section
Jussi Närvi	Delegation of the European Union Lebanon	Head of Cooperation Section
Michel Cervone	Delegation of the European Union Yemen	Head of Delegation
Patrick Simonnet	Delegation of the European Union South Africa	Head of Sector - Operations
Alistair Macdonald	Delegation of the European Union Philippines	Head of Delegation

OECD HQ - Paris

Surname, name	Institution/Organisation/ Unit/Department	Function
Rory Kean	OECD, INCAF, Policy Co-Ordination Development Co-operation Directorate	Team Leader
Asbjorn Wee	OECD, INCAF, Development Cooperation Directorate	Administrator
Anna Hellström,	OECD Review and Evaluation, Development Cooperation Directorate	Policy Analyst
Lisa Williams	OECD, Governance, Accountability and Human Rights, Policy coordination, Development Cooperation Directorate	Policy Analyst

UNDP, HQ, Switzerland

Surname, name	Institution/Organisation/ Unit/Department	Function
Peter Batchelor	UNDP BCPR	Chief
Anita Ernstorfer,	UNDP BCPR	Conflict prevention specialist

Belgium

Surname, name	Institution/Organisation/ Unit/Department	Function
Think Tanks &NGOs		
Catherine Woollard	EPLO	Director
Chiara Biscaldi	EPLO	Policy Officer
Abou Fassi Fihri	Search for Common Ground (SFCG)	Representative Policy and Programmes
Tuija Talvitie	Chr. Michelsen Institute (CMI)	Executive Director
Antje Herrberg	Chr. Michelsen Institute (CMI)	Director Mediation and Dialogue
Kristiina Rintakoski	Chr. Michelsen Institute (CMI)	Director Programmes
Giji Gya	ISIS Europe	Director

France

Surname, name	Institution/Organisation/ Unit/Department	Function
Government Bodies		
Laurence Païs	French Ministry For Foreign and European Affairs, Direction de l'Economie globale et des Stratégies du Développement, Mission de la Gouvernance Démocratique	Chef du Pôle Etat de droit, libertés et Reconstruction
Camille Grousselas	French Ministry For Foreign and European Affairs, Direction de l'Economie globale et des Stratégies du Développement, Mission de la Gouvernance Démocratique	Pôle Etat de droit, libertés et Reconstruction
Jean-Bernard Veron	French Agency for Development, Cellule prévention des crises et sortie de conflit	Responsable de la cellule prévention des crises et sortie de conflit
Olivier Ray	French Agency for Development, Direction Générale	Chargé de mission auprès du Directeur Général
Think Tanks		
Dr Damien Helly	Institute for Security Studies (ISS), Paris	Research Fellow
Carolin Goerzig	Institute for Security Studies (ISS), France, Paris	Researcher

Germany

Surname, name	Institution/Organisation/ Unit/Department	Function
Government bodies		
Wolfgang Garatwa	Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH	Planning and Development Senior Officer
Christine Toetzke	Federal Ministry for Economic Cooperation and Development	Head of Division Peace-Building and Crisis Prevention; Research
Matthias Ries	Deutscher Entwicklungsdienst (DED)	Head of Division Civil Conflict Transformation and Peace Building
Michaela Zintl	Federal Ministry for Economic Cooperation and Development	Head of Division - Evaluation

Netherlands

Surname, name	Institution/Organisation/ Unit/Department	Function
Government bodies		
Ronald Wormgoor	Minbuza, Peacebuilding and Stabilisation Unit	Senior Policy Officer
Luc Vande Goor	Minbuza, Peace building and stabilisation unit	Coordinator security sector development
Thinks Tanks & NGOs		
Peter van Tuijl	European Centre for Conflict Prevention, (ECCP)	Executive Director
Darynell Rodriguez Torres	European Centre for Conflict Prevention, (ECCP)	Advocacy officer
Louise Anten	Netherlands Institute of International Relations, Clingendael, Netherlands, Den Haag	Head of conflict research unit

Sweden

Surname, name	Institution/Organisation/ Unit/Department	Function
Government bodies		
Torgny Holmgren,	Ministry of Foreign Affairs, Department of Development Policy	Deputy Director General
Mikael Lindvall	Ministry of Foreign Affairs, Department of Security Policy – Humanitarian issues	Deputy Director
S. Tolomanoska	Ministry of Foreign Affairs, Department of Security Policy	Policy Officer
Linnea Ehrnst	SIDA	Deputy Director Conflict Prevention
Katarina Kotoglou	SIDA	Evaluation Officer

Switzerland

Surname, name	Institution/Organisation/ Unit/Department	Function
Think Tanks and NGOs		
Lt. General Marc Caron	International Security Sector Advisory Team (ISSAT), part of the Geneva Centre for the Democratic Control of Armed Forces (DCAF)	Interim Deputy Head of ISSAT
Victoria Walker	ISSAT	SSR Advisor
Ana Kantor	ISSAT	SSR Advisor
Anita Muller	Swiss Peace	Programme Director
Fred Tanner	Geneva Centre for Security Policy (GCSP)	Director
Gustav Lindstrom	Geneva Centre for Security Policy (GCSP)	Head Euro-Atlantic Security Programme
Thierry Tardy	Geneva Centre for Security Policy (GCSP)	Faculty member

United Kingdom

Surname, name	Institution/Organisation/ Unit/Department	Function
Government bodies		
Mary Shockledge	British Foreign & Commonwealth Office (FCO)	Team leader, Conflict Prevention Team
Matthew Preston	British Foreign & Commonwealth Office (FCO)	Head of International Security and Institutions Research Group
Rebecca Dale	UK Department for International Development (DFID)	Conflict adviser, Conflict institutions team (within CHASE)
Fiona Ritchie	UK Department for International Development (DFID)	Conflict adviser, Team leader Conflict team (within CHASE)
Babu Rahman	UK Department for International Development (DFID), Stabilisation Unit	Head of planning unit, Deputy Head of Stabilisation Unit
Bela Kapur	UK Department for International Development (DFID) Stabilisation Unit	Conflict adviser
Thinks Tanks & NGOs		
Dan Smith	International Alert	Director
Hesta Groenewald	Safer World	Team Leader Policy and Advocacy

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BMZ	Concept Paper 149: Entwicklungsorientierte Transformation bei fragiler Staatlichkeit und schlechter Regierungsführung	2007
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Council of the EU	Council Decision of 22 January 2001 setting up the Political and Security Committee (2001/78/CFSP) OJ L 27/1	2001
Council of the EU	Council Regulation (EC) No 381/2001 of 26 February 2001 creating a rapid-reaction mechanism (OJL 57/5)	2001
Council of the EU	EU Programme for the Prevention of Violent Conflicts	2001
Council of the EU	Council Joint Action of 12 July 2002 on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons and repealing Joint Action 1999/34/CFSP	2002
Council of the EU	Council Regulation (EC) No 2368/2002 of 20 December 2002 implementing the Kimberley Process certification scheme for the international trade in rough diamonds (OJL 358/28)	2002
Council of the EU	Implementation of the EU Programme for the Prevention of Violent Conflicts	2002
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Council of the EU	Headline Goal 2010 Approved by General Affairs and External Relations Council on 17 May 2004 Endorsed by the European Council of 17 and 18 June 2004	2004
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European Council	EU Programme for the Prevention of Violent Conflicts, Göteborg	2001
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European Peacebuilding Liaison Office (EPLO)	Five years after Göteborg: the EU and its conflict prevention potential Conflict Prevention Partnership Report	2006
European Policy Centre	The EU and international organisations: partners in crisis management EPC Issue Paper No. 41	2005
European Policy Centre - Antonio Missiroli	Revisiting the European Security Strategy – beyond 2008	2008
European Policy Centre - Fraser Cameron in collaboration with Rosa Balfour	The European Neighbourhood Policy as a conflict prevention tool EPC Issue Paper No.47 Conflict Prevention Partnership Report	2006
European Security Review	The EU's progress in mainstreaming conflict prevention	2002
European Union (Troika)	The Africa-EU strategic Partnership, a Joint Africa-EU Strategy (endorsed by the Africa-EU Ministerial Troika meeting of 31 October 2007)	2007

Author	Title	Year
Federal Government Germany	Krisenprävention als gemeinsame Aufgabe	2008
FEWER, International Alert, Saferworld, et al.	Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack	2003
FriEnt, FES, GTZ: Katharina Hübner- Schmid, Bodo von Borries, Armin Hasemann	PCIA: Methodenleitfaden zur Konfliktanalyse und zur Entwicklung von Handlungsoptionen für gesellschaftspolitische Kooperationsprogramme.	2003
G8	G8 Miyazaki Initiatives for Conflict Prevention	2000
Gelditsch et al	Armed Conflict 1946-2001: A New Dataset	2002
GTZ	Guidelines on Conflict Impact Assessment for Development Projects.	2001
High Representative and European Commission	Climate Change and International Security (2008): Paper from High Representative and the European Commission to the European Council (S113/08)	2008
INCORE	The EU: Who Does What in Conflict Prevention and Resolution	2002
INCORE: Chayenne Church	The Evaluation of Conflict Resolution Interventions Part II: Emerging Practice and Theory	2003
INCORE: Chayenne Church	The Evaluation of Conflict Resolution Interventions: Framing the State of Play	2003
Instituto per gli studi di politica internazionale	Conflict Management in Africa. Who cares?	2009
International Alert	DDR: Supporting Security and Development : The EU's added value	2006
International Alert, Sarah Bayne	Conflict prevention and the EU: From rhetoric to reality	2004
Joint Council Secretariat – Commission Services	Working Paper on Security and Development: Food for thought to strengthen EU policy coherence	2007
Lotta Harbom, Erik Melander & Peter Wallensteen	Dyadic Dimensions of Armed Conflict, 1946-2007	2008
Manuela Leonhardt	Conflict Impact Assessment of EU Development Co-operation with ACP Countries	1999
Mary B. Anderson	Do no harm : how aid can support peace – or war	1999
No author specified	A secure Europe in a better world : European security Strategy	2003
No author specified	Support to peacebuilding: examples of EU action MEMO/05/313	2005

Author	Title	Year
No author specified	Report on the Implementation of the European Security Strategy - Providing Security in a Changing World - (S407/08) - Approved by the European Council held in Brussels on 11 and 12 December 2008 and drafted under the responsibilities of the EU High Representative Javier Solana	2008
No author specified	Support Study in view of the follow-up to the 2007 Commission Communication, Council conclusions and European Parliament Resolution on situations of fragility - "Mapping of donors, actors, financial instruments and assessment tools in situations of fragility" Contract n°2008/156520	2008
Norwegian Agency for Development Cooperation (NORAD)	Evaluation of the Norwegian Research and Development Activities in Conflict Prevention and Peace-building	2008
OECD-DAC	Guidelines on conflict, peace and development cooperation	1997
OECD-DAC	The DAC Guidelines: Helping Prevent Violent Conflict	2001
OECD-DAC	Guidelines on Security System Reform and Governance	2005
OECD-DAC	DAC Guidelines and Reference Series : Whole of Government Approach to Fragile States	2006
OECD-DAC	Handbook on Security System Reform	2007
OECD-DAC	Principles for Good International Engagement in Fragile States and Situations	2007
OECD-DAC	Fragile states policies, lessons learned and instruments (Summary - version 21 January 2008)	2008
OECD-DAC	Guidance on evaluating conflict prevention and peacebuilding activities - Working draft for application period	2008
OECD-DAC INCAF	Draft Justice and Security Monitoring and Evaluation Toolkit	2010
Peter Cross	Contributing to Preventive Action, Conflict Prevention Network (CPN) Yearbook 1997/98	1998
Peter Cross and Guenola Rasamoelina	Conflict Prevention Policy of the European Union Recent Engagements, Future Instruments. SWP-Conflict Prevention Network	1999
Quaker Council for European Affairs	Mainstreaming Conflict Prevention. A Study of EU Development Cooperation with ACP Countries	2009
Quaker Council for European Affairs (QCEA)	The EU's Role in Peacebuilding	No date
Research Institute for European and American Studies (RIEAS)	European Conflict prevention: Is there a role for the European Union Presidency in policy-making? Research paper n°123	2008

Author	Title	Year
Robert Schuman Centre for Advanced Studies	European Report on Development - Development in a context of fragility, Focus on Africa	2009
Royal Norwegian Ministry of Foreign Affairs	Towards a Strategic Framework for Peacebuilding: Getting Their Act Together Overview report of the Joint Utstein Study of Peacebuilding Evaluation Report 1/2004	2004
RTI International - Catherine Elkins	Monitoring and Evaluation (M&E) for Development in Peace- Precarious Situations	No date
SDC	Conflict Sensitive Program Management (CSPM). Ein Prozessvorschlag zum Einbau der Konfliktperspektive in den Programm- und Projektmanagementzyklus der DEZA	
Sicurelli Daniela, Università di Trento	The European Commission and EU peacekeeping in Africa. Pushing for a supranational security policy Paper preparato per la XXI Conferenza della Società Italiana di Scienza Politica, Università di Catania, 20-22 settembre 2007	2007
SIDA	Promoting Peace and Security through development cooperation	2005
SOGES	Support study in view of the follow-up to the 2007 Commission Communication, Council conclusions and EP resolution on situations of fragility - "Mapping of donors, actors, financial instruments and assessment tools in situations of fragility"	2009
Stewart, E.	Capabilities and Coherence? The evolution of European Union Conflict Prevention	2008
The Federal Trust for Education and Research	A More Coherent and Effective European Foreign Policy?	2009
TRANSTEC-ADE	Evaluation de la stratégie de financement LRRD à l'Est de la RDC - Rapport final	2008
UN University for Peace, Christopher Miller	A Glossary of Terms and Concepts in Peace and Conflict Studies	2005
UNDP	Mainstreaming Conflict Prevention in Analysis and Programming: A Review of CCA/UNDAF Processes	2001
UNDP Crisis Prevention and Recovery Practice Network (CPRPnet)	Conflict Prevention: A Resource Pack	2009
United Nations	The Millennium Declaration	2001
United Nations	Report of the Panel on United Nations Peace Operations (A/55/305 – S/2000/809; The Responsibility to Protect	2001

Author	Title	Year
United Nations	A More Secure World: Our Shared Responsibility: Report of the Secretary-General's High-Level Panel on Threats, Challenges and Change	2004
United Nations	In Larger Freedom: Towards Security, Development and Human Rights for All, Report of the Secretary-General	2005
United Nations	2005 World Summit Outcome ("Outcomes Document"); Progress Report on the Prevention of Armed Conflict, Report of the Secretary-General	2006
United Nations Secretary-General	Report of the Secretary-General, Prevention of Armed Conflict	2001
United Nations Security Council	Identical letters dated 21 August 2000 from the Secretary-General to the President of the General Assembly and the President of the Security Council, Comprehensive review of the whole question of peacekeeping operations in all their aspects ("Brahimi Report")	2000
United Nations Security Council	Resolution 1325 (2000) on Women and peace and security	2000
United Nations Security Council	Resolution 1645 (2005) on Establishing the UN Peacebuilding Commission	2005
Uppsala Conflict Data Program (UCDP), Departement of Peace and Conflict Research, Uppsala University	UCDP Dyadic Dataset Codebook (version 1-2009)	2009
Uppsala Conflict Data Program (UCDP), Centre for the Study of Civil Wars, International Peace Research Institute, Oslo (PRIOR)	UCDP/PRIOR Armed Conflict Dataset Codebook (version 4-2009)	2009
World Bank	Toward a Conflict-Sensitive Poverty Reduction Strategy : Lessons from a Retrospective Analysis	2005

Annex 5: State of the Debate on Conflict Prevention and Peace building

1. State of the Debate - Introduction

There are contentious issues on how best to prevent violent conflict and build a sustainable peace on which there is no global consensus at present. Policy understanding and approaches to conflict prevention and peace building (CPPB) for the 2001-2008 period of the forthcoming evaluation 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 annex 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 period.¹ In doing so it notes the evolution of certain trends and the key factors and institutions influencing this debate.

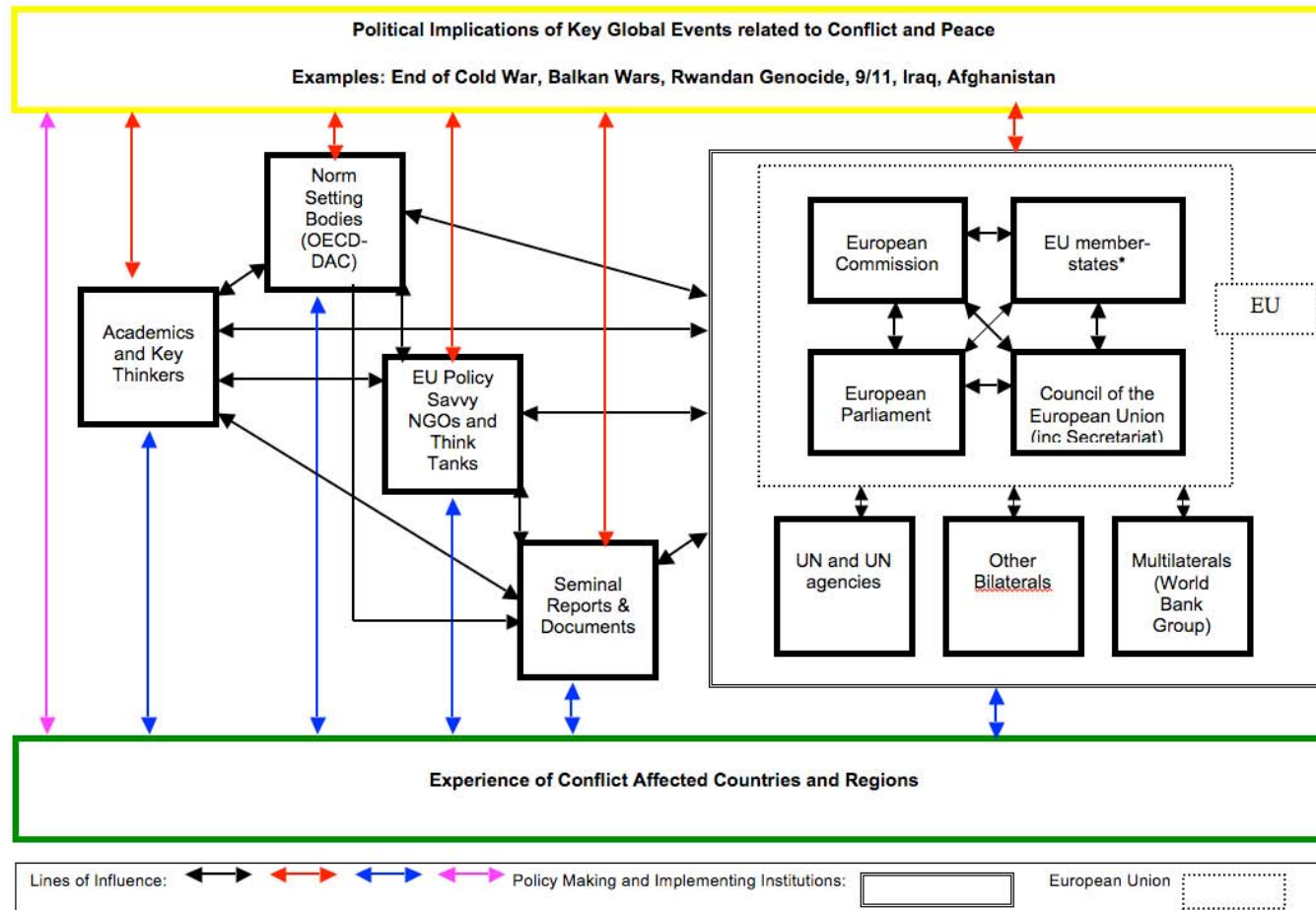
There is a dynamic system influencing the status of the policy debate on CPPB and the EU in particular (see Diagram 1). Academics/key thinkers, policy savvy NGOs, norm setting bodies such as the OECD and the UN, as well as partners such as the African Union and key reports have all had varying degrees of influence on this evolution. One of the most important influencing factors is interaction between multilateral and bilateral institutions and debates within these institutions themselves amongst different directorates and the political leadership. Significant global events have also had a major impact on the state of the debate with the political fall out from the end of the Cold War, the Balkan wars, Rwandan genocide, 9/11, the Iraq war and Afghanistan engagement all having significant impacts on the nature and focus of the debate on how best to prevent conflict and build a sustainable peace. Credible lines of causality can be drawn from these particular events and significant policy shifts (or at least the beginning of them to gain momentum) as demonstrated in both policy statements but also in other more institutional indicators.

¹ 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).

1. The end of the Cold War allowed much more latitude for an engagement within states on issues of conflict prevention and peacebuilding that were less driven by merely regime protection of “friendly” powers.
2. The 1990-1995 Balkan wars clearly showed the failure of the international community and the EU in particular in terms of early and coherent action.
3. 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.
4. The terrorist attacks of 9/11, 2001 again focused the Western world contributed to the interventions in Iraq/Afghanistan and a policy pressure to address state failure.
5. 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, DRC etc) not only brought to prominence the role that illicit trade in resources played in fuelling conflict but also that many conflicts have distinctly regional dynamics.

Diagram 1: Factors and Actors Influencing the “State of the Debate” regarding EU Conflict Prevention and Peacebuilding



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

2. Level of Analysis Issues

Noting exactly the position of the European Commission in the “state of the debate” in relation to CPPB and specifically to an “integrated approach” there is a level of analysis problem. This is that in the absence of a strong central and coherent message on CPPB (outside of the 2001 Communication on Conflict Prevention) and an agreed definition of an “integrated approach”, different levels and units of analysis within the European Union have different ‘positions’ (these are not usually formal “positions” more of an outlook), understanding and of course interests (see Table 1). This issue is not unique to the European Commission, as most EU member-states have similar issues (see Table 2) when it comes to conflict prevention and peacebuilding. Other multi-dimensional international challenges (such as climate change) that do not easily reside only in one part of a government or multilateral entity such as the European Union also face similar issues.

Table 1 : Example - Unit of Analysis for the EU related to Conflict Prevention and Peace building

<i>Level of Analysis</i>	<i>Examples</i>
European Union	Council, Commission, Parliament, MS collectively
European Commission	European Commission
Directorate-Generals	RELEX, DEV, AIDCO, ECHO
Directorates	DG Relex’s Directorate A: Crisis Platform – Policy Coordination in Common Foreign and Security Policy (CFSP)
Units	DG Relex’s Crisis Response and Peace Building Unit, AIDCO, DEV Units on security and development
Individuals	Individual Officials

Table 2 : Example Unit of Analysis for the UK related to Conflict Prevention and Peace building

<i>Level of Analysis</i>	<i>Examples</i>
United Kingdom Government	Collective, Cabinet Office of No. 10 Downing St (Prime Minister’s Office)
Ministries	Ministry of Defence, Foreign and Commonwealth Office (Ministry of Foreign Affairs), Department of International Development (also a Ministry in its own right)
Directorate-Generals	DFID’s Directorate General International
Directorates	DFID’s United Nations, Humanitarian and Conflict Division
Units	DFID’s Conflict, Humanitarian Affairs and Security (CHASE) Department, DFID/FCO/MOD Conflict Prevention Pools Secretariat, FCO Conflict Prevention Team, and FCO International Security and Institutions Research Group
Individuals	Individual Officials

3. Agendas Impacting the State of the Debate

The consequence of the different institutional interests and priorities is that that debate about CPPB in the EU (and within this the EC) has multiple “agendas” running concurrently that influence their position and perspectives in the state of the debate. While at the high level there is a commitment to complementarity, coherence and coordination within EU policy there are important differences in goals and emphasis given in relation to particular issues. This is clearly linked to the institutional agendas and core policy documents that have been produced by the European Union on specific issues that have a relevance for CPPB. See Table 3 for an example of the different agendas.

Table 3 : Some agendas and positions in relation to an “integrated approach” to CPPB within the EU

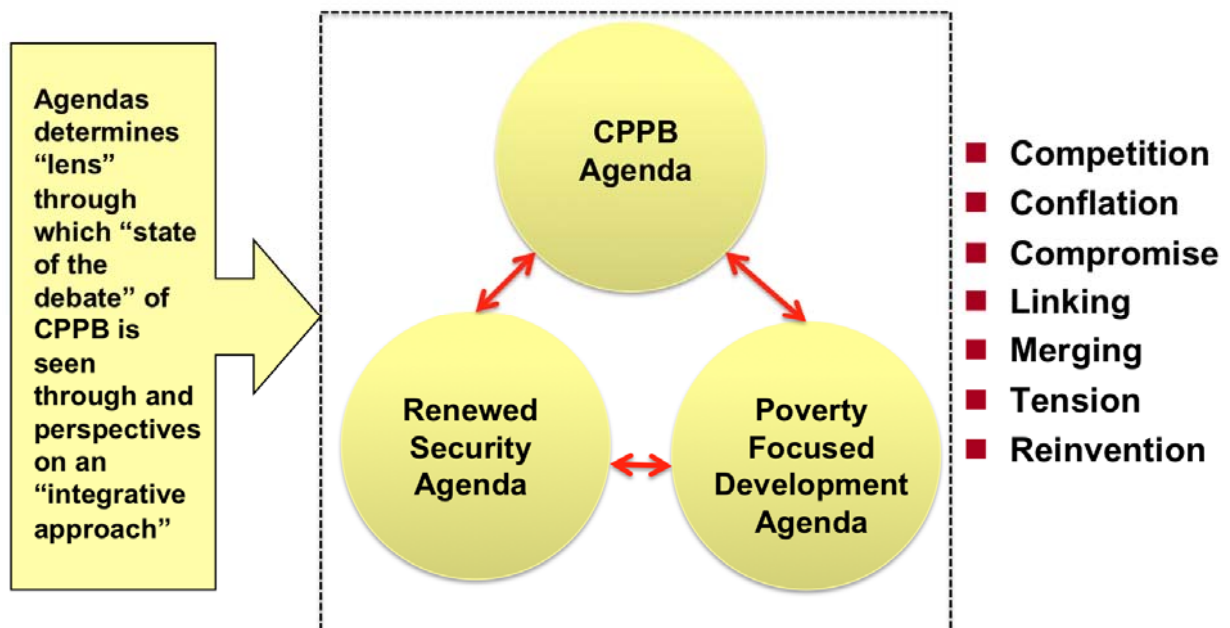
Agenda	Position	EC Institutional Entity Broadly Reflecting Position*	EU Policy Commitment Reflective of this Position	EC relevant NGO/think tank grouping reflecting this position
Humanitarian Agenda	To protect the effectiveness of humanitarian operations and the humanitarian principles of neutrality and impartiality Humanitarian action NOT 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 peacebuilding 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	DG RELEX* (particularly Crisis Response and Peace Building Unit)	EU Goteburg 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 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 and seen”. There was competition, conflation, compromise, linking, merging, tension and reinvention between these three agendas throughout the 2001 period and this has impacted the state of the debate.

Table 4 : Three Dominant Agendas – Seminal Events and Selected Key Priorities

Agendas	Selected Seminal Driving Events	Selected Key Priorities
Poverty Focused Development Agenda	End of Cold War Monterrey Consensus on Development - MDGs Paris Aid Effectiveness Agenda	MDGs Aid Effectiveness Failed states as a development threat Protecting development from “securitisation” / “politicisation”
Conflict Prevention and Peace Building Agenda	Balkan Wars Response to Rwandan Genocide UN Missions in West Africa, Mozambique, East Timor	Strategic peacebuilding Conflict sensitivity Preventive action / preventative diplomacy Human security
Renewed Security Agenda	Terrorist Attacks of 9/11 Afghanistan engagement post 2001 Iraq since 2003	Failed states as a security threat - Statebuilding Security and development – security sector reform Enhanced Civilian-military relations

Table 5 : Relationship between the Agendas on the State of the Debate



Policy and Political Trends in the State of the Debate on Conflict Prevention and Peacebuilding

International Policy Convergence on Conflict and Development

1. 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 in 2001 that the first EC Communication on Conflict Prevention and the EU programme for the prevention of violent conflict were born. Other countries also responded to this agenda by adopting their own related policies². This agenda has given way, in the post 9/11 global environment, to debates on security and anti-terrorism as evidenced 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.
2. 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 lent impetus to a more comprehensive and integrated approach by the UN to the global security challenges of violent conflict and underdevelopment. While the term peacebuilding appeared in Boutros Boutros Ghali's *Agenda of for Peace* of 1993 it was within this new generation of peacebuilding and conflict prevention approaches that boundaries among military, humanitarian, political/diplomatic and development approaches have been challenged and transformed.³ 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 peacebuilding, 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 LDCs achieving the MDGs.

² See for example Germany, the UK, Sweden Matrices for examples of policy developments for the period.

³ 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);

3. As a result of these policy developments, the ways of working in and around conflict have evolved very rapidly. This has included **dedicated units** in multilateral and bilateral institutions working on conflict prevention, resolution and peacebuilding. In the EC as the Unit A2 (originally Crisis Management now Crisis Response and Peace Building) in DG RELEX, and more conflict/security expertise in the Pan-African Unit C2 of DG DEV as well as the African Union and Peace Facility Unit C6 and Governance, Security, Human Rights and Gender Unit of E4 of AIDCO. In addition there were **new funding mechanisms** at times to facilitate rapid response and flexibility through smaller interventions, or more strategic interventions such as the EC's Rapid Reaction Mechanism followed by the Stability Instrument, or the UK's Conflict Prevention Pools. Updated staffing profiles in the expertise and experience required to design and implement conflict-sensitive programmes was also developed throughout 2001-2008, with a number of bilaterals employing for the first time and then steadily increasing the number of "conflict advisors" (UK, Sweden, Netherlands, Germany) or similar specialists to guide this work. Specialised civil society organisations have also proliferated and in 2000 within the European Union the network of specialist NGOs and think tanks the European Peacebuilding Liaison Office was established. All these developments share:
- A sense of going beyond 'business as usual' in development programmes in conflict-affected countries and adapting programmes to complex realities on the ground, at least on the least principle of 'do no harm'.
 - A willingness to take risks in supporting fledgling initiatives that might support peacemaking efforts in the short-term even if there is no immediate sense of sustainability in the actions themselves.
 - Being opportunistic in creating and seizing entry points to act.
 - Mainstreaming conflict-awareness into overall development planning and longer-term development programmes.
 - Building new partnerships that reflect the broad range of actors involved in conflict resolution.
4. The development dimension of conflict prevention and peacebuilding 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 peacebuilding. Mainstreaming conflict prevention was a commitment in the EC Communication on Conflict Prevention of 2001. Examples can be found, the development of guidelines for CCA/UNDAF and PRSPs and conflict assessment training and tools for development programming, as well as networks for sharing best practices and monitoring the

efficacy of these new tools. The aim is to ensure that development programmes in conflict-prone and post-conflict situations have the flexibility, responsiveness and context-specific analysis to lay the foundations for longer term recovery, vulnerability reduction and prevention of recurrence of conflict. The EC has also provided guidance through a programming fiche on conflict prevention for the drawing up of country strategy papers. Yet independent assessments of the extent of this ‘mainstreaming’ of conflict sensitivity have usually concluded that progress has been limited.⁴

5. New programmes have developed around this a dedicated framework of conflict and development and include:

- support to peace processes and the implementation of peace agreements
- electoral support and institution building for parties and parliaments
- quick impact projects to support fragile peace, create opportunities to revitalise economic incomes, and generate safer livelihoods
- small arms reduction and mine action
- civilian aspects of policing and broader security sector reform
- reintegration of IDPs and demobilised combatants
- Strengthening governance and rule of law including access to justice, arbitration, criminal justice system, penal reform, grievance mechanisms and human rights and truth commissions
- Support to international (UN) regional organisations (AU, ECOWAS, SADC, OSCE) to develop their capacity to respond to conflict and peace issues

6. 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 conflict prevention and peacebuilding or at least ensuring that activities didn’t exacerbate conflict. Emerging from the academic and activist work towards the end of the 1990s, more specific operational guidance on conflict assessments, conflict analysis and peace and conflict impact assessments began to become more prevalent in donor agencies. In responding to this trend and to move beyond “doing no harm” the European Commission developed its own “EC Check List on the Root Causes of Conflict” as a specific tool and even undertook detailed specific conflict analyses funded under the RRM in Aceh-Indonesia, Nepal and Sri Lanka. Other member-states of the European Union also developed such analysis at the strategic level with the UK developing through DFID the Strategic Conflict Assessment tool and the Netherlands development the Stability Assessment Framework. Sweden, Germany, Switzerland, the

⁴ See, EPLO, International Alert and Saferworld, *Acting on commitments: How EU Strategies and programming can better prevent violent conflict*, (Brussels and London: EPLO, International Alert and Saferworld, 2007). Available at <<http://www.eplo.org/documents/IA-SW-EPLO-final3.pdf>> and Saferworld, *Improving the impact of Country Strategy Papers and programming on peace and stability* (London: Saferworld, 2006).

US and Belgium also developed their own analytical frameworks for either peace and conflict impact assessment or conflict analysis.

7. The past decade has also 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. 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. It called on Member States to, *inter alia*:
 - Reaffirm existing commitments under humanitarian law as applied to women
 - Reaffirm specific undertakings such as the Beijing platform of action
 - Consider different needs of male and female ex-combatants
 - End impunity and seek to prosecute those responsible for war crimes including rape and sexual violence
 - Mainstream a gender perspective into peace operations
 - Take into account gender considerations and the rights of women in UN missions
 - Increase participation of women in decision-making and peacemaking at all levels
8. The further impact of later SCRs on sexual violence in conflict (1820 in 2008 and 1888 in 2009) have added to this focus on actions around gender in conflict prevention and peacebuilding and has led to dedicated action plans by many countries. The EU in December 2008 adopted a Comprehensive Approach to implementing 1325 and 1820 that included Council, Commission, Parliament and Member States. The UN has recently (February 2010) appointed a Special Representative on Sexual Violence with a dedicated remit to ensuring actions to end sexual violence in conflict are an integral part of UN operations.
9. The Peacebuilding Commission (PBC) was one of the more significant outcomes from the 2005 World Summit.⁵ It received significant backing from the EC 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 such as elections have 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

⁵ See Outcomes Document 2005 *World Summit Outcome* ((A/60/L.1), paras. 97-105.

Assembly resolutions in December 2005.⁶ Specifically, the Peacebuilding Commission is empowered to

- Propose integrated strategies for post-conflict peacebuilding and recovery;
- Help ensure predictable financing for early recovery activities and sustained financial investment over the medium- to longer-term.
- Extend the period of attention by the international community to post-conflict recovery;
- Develop best practices on issues that require extensive collaboration among political, military, humanitarian and development actors.

10. Burundi and Sierra Leone were selected as the first cases for the Peacebuilding Commission. Some challenges have ensued:

- Questioning of remit to set peacebuilding strategies for countries or to facilitate and support strategies already agreed and worked through at the country level
- Potential for and overlap with ongoing resource mobilisation and operations on the ground by other parts of the UN system
- Legitimacy and ability to challenge Government priorities and actions, particularly in situations where Governments might be part of the problem rather than the solution.⁷
- Ability to directly address development and security nexus of post-conflict situations

11. What is clear is that post-conflict peacebuilding 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. Peacebuilding activities can help create the conditions conducive for peacemaking and are also a necessary part of ensuring any 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 and conflict prevention and peacebuilding. This led to an extension of the existing ODA categories ('dacability') in 2004-2005 to take account of many of these new generation peace support and peacebuilding programmes.

12. As approaches to conflict prevention and peacebuilding 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

⁶ Security Council Resolution 1645 (2005); General Assembly Resolution A/Res/60/180

⁷ This is an intrinsic problem for the UN as an inter-governmental body and surfaces in all debates on intervention whether development, peacekeeping or humanitarian actions.

answered by the need for comprehensive conflict assessments (previously referred to), there has also been a trend towards developing specific operational guidance, in particular 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 integrating women and gender concerns into approaches to CPPB and SSR/DDR.⁸

Political Context and Trends

13. The shifting definitions of security, threats and risks are critical to analysing conflict situations and devising appropriate responses, including strategies for conflict prevention and peacebuilding. The events of 9/11, 2001 in the US transformed the global security agenda and impacted further on the nature and perception of peacebuilding in particular. There followed a rapid reconfiguration of threats to security for the 21st century and appropriate collective responses. The hierarchy of threats emerging in Western countries in the post 9/11 world is reflected in the European Security Strategy outlined in the paper of Javier Solana called '*A Secure Europe in a Better World*' and was adopted by the European Council in December 2003. This outline while accepting some aspects of the conflict prevention and peacebuilding agenda, was more aligned to a renewed security agenda.

- Terrorism
- Proliferation of Weapons of Mass Destruction
- Regional Conflicts
- State Failure
- Organised Crime

14. Poverty, conflict prevention and peacebuilding seemed to fall down the agenda. 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

⁸ 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 additional2009 chapter to OECD DAC Handbook on Security System Reform <http://www.oecd.org/dataoecd/33/39/42033010.pdf>

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.

15. The 2005 World Summit reflected this 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* 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 2005. 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.
16. The High-level Panel settled on the hierarchy of:
 - Economic and social threats, including poverty, infectious diseases and environmental degradation
 - Inter-State conflict
 - Internal conflict, including civil war, genocide and other large-scale atrocities
 - Nuclear, radiological, chemical and biological weapons
 - Terrorism
 - Transnational organised crime
17. Interestingly, the UN High-level Panel on Threats, Challenges and Change in 2004 resisted the use of the term 'failed states' and referred consistently to the needs and challenges of *weak* states. The donor forum of the OECD DAC established a network on 'Fragile States' parallel to its pre-existing and successful network on conflict prevention and development cooperation (CPDC) that addressed a broader remit of human security. Indeed the co-existence and interactions of these two networks reflect the double-handed response to conflict and security threats that the international community, and western states in particular, feel they now face.
18. The distinction between 'fragile states' and 'conflict prevention' is not just linguistic; the diagnostics frame the responses and the former remain very informed by 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.

19. This analysis also led to a conception of the problems of conflict and peace through the lens of the “security and development” nexus. 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.⁹ While the term “Human Security” has been used by the European 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. Some worried that this approach was the securitisation of development yet few countries developed explicit policies linking development or counter-terrorism (Australia and Denmark being the exceptions).¹⁰ The statement “no security without development” did draw wide currency in EU policy circles and does feature in the European Security Strategy. Yet the state of the debate moved beyond the idea of human security with regards to what could be done to promote it. While some saw this as promotion of freedom from want, others saw it as the promotion of “freedom from fear”. An agenda designed to address the “freedom from fear” aspect called on a notion of the “Responsibility to Protect” an idea that state sovereignty could not guarantee non-interference in the face of gross threats to human security and that other states and global actors had a responsibility to intervene in the face of these. Yet others saw it as a combination of the two.
20. In the UN context, peace support actions cover a gamut of peacemaking, peacebuilding, and conflict prevention activities. These actions take the form of mainly diplomatic and development support, though in some cases they extend to the involvement of military (peacekeepers and military observers) and civilian (police, judiciary support to peace operations) specialists. This mix of political, diplomatic, military, humanitarian and development components in international responses has since the Brahimi report on 2000 on peacekeeping come to define expanded peace operations as *integrated missions*. The global architecture of peace support missions and operations is changing with many implications for people affected by war and for institutions and organisations traditionally associated with conflict resolution, humanitarian and development assistance, peacekeeping and peacebuilding. In many conflict situations, actors need to take account of the moving targets of “peacebuilding” and “peace support operations.”

⁹ 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.

¹⁰ Australian Aid, *Counter-Terrorism and Australian Aid* – Canberra, August 2003 and Dandia’s new priorities document for 2005-2009, Copenhagen. It made it a principle of development assistance to fight against the ‘new terrorism’.

21. The rise of the concept of *Peacebuilding* since the mid-1990s and its programmatic reach has been a global political phenomenon. It is sometimes collapsed into “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 repacked as “peacebuilding.” The OECD/DAC in its ground-breaking and norm-setting *Guidelines on conflict prevention* defined peacebuilding in the following way:

Peacebuilding 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. (Box 1, p.10; *Conflict, Peace and Development Cooperation on the Threshold of the 21st Century*, 1997)

Peacebuilding 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 peacebuilding, through strengthened institutions of governance, are clearly inter-linked. (para. 111, original 1997 edition)

22. Much of the debate and international policy on peacebuilding is concerned more with the actions and responses of external international actors although the importance of supporting local actors is often named. This tendency to focus on the agency of external international actors is pervasive despite the general acceptance of the principle that a sustainable peace cannot be imposed by external actors. Theoretically, a sustainable peace is believed to be the result of the action of internal actors that will determine the legitimacy, effectiveness and ultimately sustainability of any peacebuilding process. This focus on international actors has been one of the principle critics of the “state of the debate” on peacebuilding.¹¹

¹¹ 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.

23. A more operational approach to peacebuilding was arrived at in 2001 when the UN Security Council defined peacebuilding in the following terms:

"The Security Council recognises that peacebuilding 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.

The Security Council further reaffirms that a comprehensive and integrated strategy in peacebuilding must involve all the relevant actors in this field, taking into account the unique circumstances of each conflict situation. The Council emphasises that a well-planned and coordinated peacebuilding strategy can play a significant role in conflict prevention. In this connection, the Council underlines that international efforts in peacebuilding must complement and not supplant the essential role of the country concerned."
(Security Council of 20 February 2001, Statement of the President)

24. A new generation of peacebuilding 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-peacebuilding*. The growing mandate for peacebuilding arose, in part, from the failures of peacekeeping in the 1990s in Somalia, Rwanda and Bosnia-Herzegovina 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 into 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
25. The most enduring impact of the Brahimi report is the momentum it lent to peacebuilding and prevention as overarching aspects of UN action for peace and security as well as revealing the security-development nexus that challenges countries emerging from conflict. The shorthand used in the UN for “peace operations” now covers a range of missions that may include peace enforcement, peacekeeping in the traditional sense, electoral observation, support to political negotiations, observing human rights, demobilisation, gender protection work, and community-based development projects. All however are defined by a previous or ongoing UN military presence. East Timor, Cambodia, and Haiti are some recent examples. This terrain of definition is very fluid and so we can speak of a ‘working definition’ until the next Security Council mandate for the next mission refines and extends it. In 2005 Guidelines were agreed by the UN on the planning processes for integrated missions.
26. In the middle of the 2000s a number of countries at the leading edge of responses to conflict began to reflect on their experience of peacebuilding in terms of what had been learnt and what could be improved. One influential piece of work on the state of the debate was a joint evaluation of peacebuilding at the Peace Research Institute of Oslo (PRIO). It was a comprehensive evaluation of the peacebuilding experiences of the United Kingdom, Norway, Germany and the Netherlands known informally as the “Ustein Study on Peacebuilding”. The main finding of this study was that limiting the impact of peacebuilding activities was the lack of overarching strategies and country and regional strategies informed by a solid analysis to guide practice. This “strategic deficit” led to a “scatter gun” approach whereby individual peacebuilding activities did not add up to the sum of their parts, nor was appropriate creativity in mixing and linking activities and approaches explored. A similar conclusion was arrived at when the UK government embarked upon a comprehensive evaluation of its Global Conflict Prevention Pools mechanism. In attempting to address this strategic deficit the four countries evaluated in the Utstein Study, Germany and Norway issued new higher level policy commitments to conflict and peacebuilding setting out their approach. The UK continued to develop its overarching policy regarding conflict prevention and peacebuilding as well as concentrating on undertaking regional and national conflict assessments to guide the development of specific geographic strategies.¹² The Utstein study also resulted in the concept of “Strategic Peacebuilding” and the “Peacebuilding Palette” (see Diagram 2 below) noting the wide variety of activities that need to be linked and mixed creatively to build peace. This palette was further developed by the OECD-DAC in its guidance on evaluating peacebuilding (see Diagram 3).

¹² For an explanation of one of these see, Andrew Sherriff, 2009. “All of Government Conflict Assessment and Civil Society Consultation: Critical Reflections from Bosnia-Herzegovina”, *Journal of Peacebuilding and Development*, Vol. 5, No. 1.

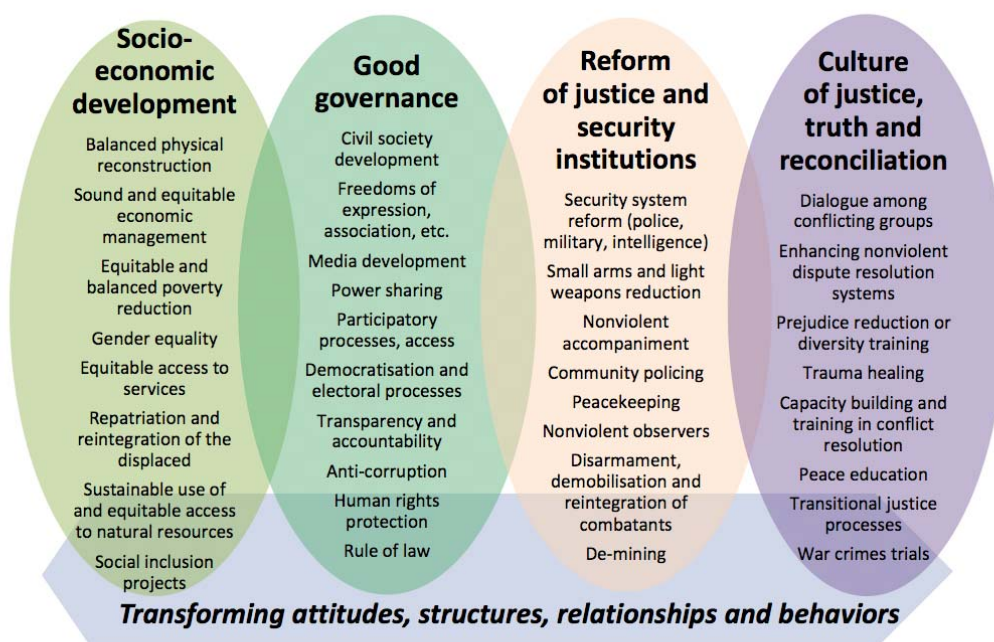
Diagram 2



Source: Originally developed by Dan Smith for the Utstein Study on Peacebuilding, further developed by Dan Smith and International Alert.

Diagram 3

Conflict prevention and peacebuilding work



Source: Inspired by the Joint Utstein Study of Peace Building, "Utstein palette" (Smith, 2004a, pp. 27-28) and modified during a workshop of the DAC Networks in Oslo in 2006. Bottom text from: International Alert (2007b p. 6)

Drawn from: OECD – DAC: Evaluating Conflict Prevention and Peacebuilding Activities, Paris: 2008.

27. The changing global security agenda in the post-Cold War world has been accompanied by the proliferation of actors as many organisations 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 and we have witnessed a growing role (supported by the UN) for regional organisations, most particularly the AU to take a greater lead in peace and security in Africa. AMIS in Darfur is the heaviest of these AU mission commitments though it is also active in Burundi and Somalia. 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. At the same time NATO has reconfigured itself from a Cold War alliance to take on wider peacekeeping and stabilisation tasks as seen in its leadership of ISAF in Afghanistan and non-combat military training in Iraq. The 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. The EU continues to build its military and civilian capacities for crisis management and is undertaking a number of missions in its near 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.

Current Debates: Whither Conflict Prevention and Peacebuilding?

28. The convergence of recent policy debate is found in the presentation of peacebuilding/statebuilding as coterminous in post-conflict settings. There are tensions regarding the grassroots origins of local peacebuilding initiatives and how the term has expanded to now cover the full range of post-conflict development and recovery activities. Likewise, how statebuilding in the context of Afghanistan and Iraq has supplanted governance and rule of law in more conventional frameworks of post-conflict institution-building and development including support to transitional administrations. There is little doubt that both these exceptional international situations are driving changes in the understanding and practice of peacebuilding and statebuilding. The direction of this dual concept - peacebuilding/statebuilding – is toward notions of social contract and in some sense a return to ‘old’ state versus civil society debates in political development. This direction points to the need in post-conflict settings to ensure both the functioning institutions of the state to provide core services to its people (water, health, education, rule of law and is now argued to include security) and the need to enable citizenship and strengthen state-society relations and institutions.

A recent flurry of academic publications reflects these debates.¹³ This convergence is also evident in the policy literature¹⁴ – in fact it could be said to some extent that research is catching up with policy in the current debate rather than leading or driving policy.

29. The evidence of this trend is finding its most practical expression in the institutional adaptations and embedding of the peacebuilding/statebuilding agenda and framework. This convergence of the current state of the debate on peacebuilding/statebuilding is manifesting itself in strategic planning processes related to conflict, security and development and also internal institutional restructuring. The merging of the OECD networks of Conflict Prevention and Development Cooperation and Fragile States in 2008 into the new network on International Conflict and Fragility (INCAF) reflects the convergence of policy and practice from conflict prevention and peacebuilding to take on more explicitly notions of statebuilding and fragility. This trend can also be seen in the UK where there is a vigorous debate on the link between statebuilding and peacebuilding in DFID, and within the European Union with a decision in late 2009 to merge the EU action plans on state fragility and security and development. The World Bank has selected “fragile and conflict-affected countries” as one of its six strategic themes since 2007. In 2008 it replaced its previous funding mechanisms of the post-conflict fund and the LICUS fund (Low income countries under stress) with the new State- and Peacebuilding Fund. 2010 also marks the occasion of a review of 5 years of the UN Peacebuilding Commission in seeking to give it renewed impetus and relevance and 2011 will mark the 10th anniversary of the Goteburg Agenda on conflict prevention in Europe that has so shaped the field over the past decade and now faces its own review and questioning of relevance and renewed impetus.

¹³ Chauvet, Lisa, Paul Collier and Anke Hoeffler (2007) *The Cost of Failing States and the Limits to Sovereignty*, Research Paper No. 2007/30, UNU-WIDER, Helsinki; Chandler, David (2004), “The Responsibility to Protect? Imposing a Liberal Peace”, *International Peacekeeping*, 14 (2), pp.59-81; Doyle, Michael W. and Sambanis, Nicholas (2006) *Making War and Building Peace*, Princeton: Princeton University Press; Duffield, Mark (2007) *Development, Security and Unending War*, Cambridge: Polity; Jarstad, Anna K., and Sisk, Timothy D. (eds.) (2008) *From War to Democracy: Dilemmas of Peacebuilding*, Cambridge: Cambridge University Press.; Paris, Roland (2004), *At War's End: Building Peace After Civil Conflict*, Cambridge: Cambridge University Press; Paris, Roland and Sisk, Timothy D. (eds.) (2009) *The Dilemmas of Statebuilding: Confronting the Contradiction of Postwar Peace Operations*, New York: Routledge.

¹⁴ Some examples include: BMZ (2007) *Transforming Fragile States – Examples of Practical Experience*, German Federal Ministry of Economic Cooperation and Development; Chand, S. and R. Coffmann (2008), “How Soon can Donors Exit from Post-Conflict States”, Centre for Global Development, Working Paper 141, Feb 2008, Washington; DFID (June 2009) *Building the State and Securing the Peace*, Emerging Policy Paper; DFID (2008) “Protecting Basic Services Programme: A DFID Practice Paper”, London; Faria, F., and P.M. Ferreira (2007) “An Adequate EU Response Strategy to Address Situations of Fragility and Difficult Environments”, July 2007, ECDPM and Institute de Estudos Estrategicos Internacionais; Rosser, A. (ed.) “Achieving Turnaround in Fragile States”, IDS Bulletin, Vol. 37, No. 2, March 2006, IDS; Foster, Mick (2007), *Aid Instruments in Fragile and Post Conflict States: A Desk Review for DFID Nepal*, Chelsford: Mick Foster Economics Ltd.; Fritz, V., and A.R. Menochal (2007), “Understanding State-Building from a Political Economy Perspective: An Analytical and Conceptual Paper on Processes, Embedded Tensions and Lessons for International Engagement”, Report for DFID’s Effective and Fragile States Team, Sept. 2007, London: Overseas Development Institute; Joint Donor Team (JDT) (2008), paper by P. Murphy “Managing the Middle Ground in South Sudan’s Recovery from War: Basic Service Delivery during Transition from Relief to Development”, report for DFID Sudan and JDT; OECD/DAC (2010) *Do No Harm: International Support for Statebuilding*, Report for INCAF; OECD/DAC (2008) “Concepts and Dilemmas of State building in Fragile States”, Research Paper, Fragile State Group. Prepared by Centre for International Cooperation and International Peace Academy, New York. The institutional matrices annexed to the Concept Study elaborate on these and other documentary sources for policy development by different organisations.

Annex 6 : Tools and Sources for the Structured Evaluation Questions

EQ1 To what extent were CP and PB mainstreamed into the Commission's financial and non financial support?														
	Information collection approach	Sources of information	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire
					Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
J.1.1	<i>(Elements of) conflict analyses have been carried by the Commission or the Commission used existing (elements of) conflict analyses commonly agreed upon</i>													
I.1.1.1	Existence of documented (elements of) conflict analyses (produced by the Commission or other instances)	(elements of) conflict analyses, CSPs/RSPs, Interviews		x	x							x	x	
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)	(elements of) conflict analyses, CSPs/RSPs, Interviews		x	x							x	x	
I.1.1.3	Stakeholders' views on the relevance and quality of these (elements of) conflict analyses	Interviews		x	x	x	x	x	x			x	x	
J.1.2	<i>The financial and non financial support provided by the Commission is informed by (elements of) conflict analyses</i>													
I.1.2.1	Within the Commission there were explicit mechanisms to ensure that (elements of) conflict analyses are used in the design of specific country/regional strategies	iQSG reports, Interviews		x	x							x		
I.1.2.2	The Commission's needs assessments, strategy and programming documents explicitly refer 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 and for the others	CSPs/RSPs, NIPs/RIPs, identification and formulation reports, FAs		x							x	x	x	
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)	CSPs/RSPs, NIPs/RIPs		x								x		
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	CSPs/RSPs, NIPs/RIPs and interviews		x	x	x		x				x		
I.1.2.5	Stakeholders considered that the financial and non financial support took into account the (elements of) conflict analysis	Interviews			x	x	x	x	x			x		

	Information collection approach Sources of information	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire
				Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
J.1.3 <i>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>													
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	(elements of) conflict analyses, CSPs/RSPs, conflict impact assessments, ROM and evaluation reports		x	x							x	x	x
I.1.3.2 The (elements of) conflict analyses have been regularly updated	(elements of) conflict analyses, CSPs/RSPs, ROM		x	x							x	x	x
I.1.3.3 Commission activities have been adjusted in response to unforeseen changes of circumstance during implementation	Addendum to RSPs/CSPs and NIPs/RIPs, ROM and evaluation reports, Interviews		x	x		x	x	x	x	x	x	x	x
I.1.3.4 The Commission adapted the timing of the implementation, monitoring and evaluation of its interventions to the local context	ROM and evaluation reports, Interviews		x	x		x	x	x	x	x	x	x	x
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	CSPs/RSPs, NIPs/RIPs, identification and formulation reports, Fas, ROM and evaluation reports, Interviews		x	x	x	x	x	x	x	x	x	x	x

EQ2 To what extent has the Commission support contributed to tackling the root causes of conflicts ?														
	Information collection approach	Sources of information	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire
					Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
J.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)	(elements of) conflict analyses, CSPs/RSPs, NIPs/RIPs		x								x	x	
I.2.1.2	The Commission's strategy documents aimed at tackling the root causes of conflicts or equivalent	CSPs/RSPs, NIPs/RIPs		x									x	x
I.2.1.3	The Commission addressed the root causes of conflicts through its political dialogue	Interviews			x	x		x					x	
I.2.1.4	The Commission took specific initiatives at a general level to tackle the cross-cutting factors of conflicts	Commission's policy docs		x										
I.2.1.5	Stakeholders considered that the Commission's strategy was geared towards tackling of the root causes of conflict	Interviews			x	x	x	x	x	x	x		x	
J.2.2 The Commission's support has contributed to mitigate 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	FAs		x								x		
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's support	ROM and evaluation reports		x								x		
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	Interviews			x	x	x	x	x	x	x	x		x
I.1.2.4	Extent to which observed improvements in specific conflict situations can be linked to the Commission's support	International reports and studies, Interviews		x	x	x	x	x	x	x	x		x	x

EQ3 To what extent has the Commission support helped enhancing short-term prevention of conflicts, while ensuring the linkage with long-term prevention and peace building?													
	Sources of information	Information collection approach	Inventory	Deskwork	Interviews with							Case studies	Questionnaire
					Quantitative analysis on	Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors		
J.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	Regional and country reviews		x	x	x	x					x	
I.3.1.2	Early warning mechanisms to alert EU decision-making have been set up	Reports and studies, Interviews		x	x	x	x	x		x		x	
I.3.1.3	Political dialogue with partner countries included discussions on early-warning systems and regular monitoring of conflict zones	Interviews			x	x	x	x				x	
I.3.1.4	Stakeholders' views on the extent to which these mechanisms enhanced the Commission's capacity to deal with nascent conflicts	Interviews			x	x	x	x					
I.3.1.5	Traditional Commission's instruments have been used in a timely-fashion to intervene in deteriorating situations (e.g deployment of trained EU election observers, emergency economic assistance)	ROM and evaluation reports, Interviews		x	x		x	x	x	x	x	x	
I.3.1.6	Non-financial instruments (such as mediation) have been used in a timely fashion	ROM and evaluation reports, Interviews		x	x	x	x	x	x	x	x	x	x
I.3.1.7	Short-term actions have been undertaken through simplified procedures	Council Regulations of specific instruments using simplified procedures, Inventory, Interviews	x	x	x			x				x	x
I.3.1.8	Monitoring and evaluation reports evidenced a positive contribution of these interventions to CP	ROM and evaluation reports		x								x	
I.3.1.9	Stakeholders' views on the extent to which Commission's instruments enhanced its capacity to deal rapidly with nascent conflicts	Interviews			x	x	x	x		x	x		
J.3.2	The Commission's strategy and interventions contributed to prevent the recurrence of crises and consolidated 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)	CSPs/RSPs, NIPs/RIPs, Interviews		x	x	x		x				x	x
I.3.2.2	The Commission had a strategy at country level to sequence its peace building activities	CSPs/RSPs, NIPs/RIPs, Interviews		x	x	x		x				x	x
I.3.2.3	Stakeholders considered that the Commission's strategy was geared towards tackling the immediate consolidation of peace	Interviews		x	x	x	x	x	x	x			
I.3.2.4	The Commission's interventions which aimed at immediately consolidating peace included indicators to monitor their results	FAs		x								x	
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	ROM and evaluation reports		x								x	
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	Interviews			x	x	x	x	x	x	x		x

	Information collection approach Sources of information	Quantitative analysis on inventory	Desk work	Interviews with							Case studies		Questionnaire
				Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
J.3.3 <i>The Commission's strategy and interventions have been designed and implemented so as to ensure the transition to long term prevention</i>													
I.3.3.1 In countries prone to conflicts, the Commission's strategy explicitly referred to linkages between crisis management and conflict prevention	CSPs/RSPs, NIPs/RIPs		x									x	
I.3.3.2 Short-term interventions were designed on the basis of identified and prioritized needs	Formulation and identification reports, FAs, ROM reports, Interviews		x	x	x	x	x	x	x	x	x	x	
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	Formulation and identification reports, FAs, ROM reports, Interviews		x	x	x	x	x	x	x	x	x	x	
I.3.3.4 Short-term interventions have not negatively impacted on the longer-term interventions	ROM and evaluation reports, Interviews		x	x		x	x	x	x	x	x	x	
I.3.3.5 An exit strategy was envisaged from the outset of short-term interventions to ensure a continuum with long-term prevention	Formulation and identification reports, FAs, ROM reports, Interviews		x	x		x	x	x	x	x	x	x	
I.3.3.6 Short-term interventions were gradually phased out when appropriate (i.e were not extended beyond reasonable limits)	Evaluation reports, Interviews		x	x		x	x	x	x	x	x	x	

EQ4 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?		Information collection approach	Sources of information	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire
						Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
J.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	(Elements of) conflict analysis, Interviews			x	x							x		
I.4.1.2	The Commission's strategies and interventions have been built upon these analyses and presented a justification of the geographical level at which they intervene	CSPs/RSPs, NIPs/RIPs, Interviews			x								x	x	
I.4.1.3	Stakeholders considered that the Commission's support was tackling the appropriate geographical level	Interviews				x	x	x	x	x	x	x	x	x	
J.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	Formulation and identification reports, FAs, ROM and evaluation reports, Interviews				x	x			x	x				
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	Formulation and identification reports, FAs, ROM and evaluation reports, Interviews				x	x			x	x				
I.4.2.3	Areas selected for programme implementation were those where the peace process was most fragile and social exclusion most acute	CSPs/NIPs, RSPs/RIPs, Formulation and identification reports, FAs, ROM and evaluation reports, Interviews				x	x	x	x	x	x	x	x	x	
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	CSPs/NIPs, RSPs/RIPs, Formulation and identification reports, FAs, ROM and evaluation reports, Interviews				x	x			x	x	x			

	Information collection approach Sources of information	Inventory	Quantitative analysis on	Deskwork	Interviews with							Case studies		Questionnaire
					Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
J.4.3 The Commission devoted a 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	CSPs/NIPs, RSPs/RIPs, FAs, ROM and evaluation reports, Interviews		x	x		x	x		x	x	x		
I.4.3.2	The Commission promoted the role of regional mechanisms/bodies in specific areas (e.g human rights, cross-border issues, etc.)	CSPs/NIPs, RSPs/RIPs, FAs, ROM and evaluation reports, Interviews		x	x		x			x	x	x		
I.4.3.3	The Commission supported regional and sub-regional capacities for early warning	CSPs/NIPs, RSPs/RIPs, FAs, ROM and evaluation reports, Interviews		x	x		x			x	x	x		
I.4.3.4	The Commission financed programmes for peace and post-conflict reconstruction among countries of sub-regional groupings emerging from conflict situations	CSPs/NIPs, RSPs/RIPs, FAs, ROM and evaluation reports		x	x		x			x	x	x		
I.4.3.5	The Commission supported cross-border cooperation (e.g capacities for technical training and research) with a view to address issues associated with the causes of conflict	CSPs/NIPs, RSPs/RIPs, FAs, ROM and evaluation reports, Interviews		x	x		x			x	x	x		
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	CSPs/NIPs, RSPs/RIPs, FAs, ROM and evaluation reports, Interviews		x	x	x	x		x	x	x	x		
J.4.4 The Commission's support has been articulated at the different geographical levels of intervention with a view to foster 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	CSPs/RSPs, NIPs/RIPs, Formulation and identification documents, FAs		x										
I.4.4.2	Commission's strategies and interventions at international, regional, country and local levels addressed either the same sectors or different sectors with a view to address the same overall objectives	CSPs/RSPs, NIPs/RIPs, Formulation and identification documents, FAs, Interviews		x	x						x	x		
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	ROM and evaluation reports, Interviews		x	x	x	x	x	x		x	x		

EQ5 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?		Information collection approach	Sources of	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire	
						Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions		
J.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	COMs and official statements/policies; interviews			x	x										x
I.5.1.2	Involvement of relevant Commission DGs is the drafting of Commission country/regional strategies	CSP/RSP; interviews			x	x							x			x
I.5.1.3	Existence of joint training in the field of CPPB carried out between the Commission's DGs	training schedules/reports; interviews			x	x										x
I.5.1.4	Existence of joint missions/needs or conflict assessments carried out by several Commission's DGs	missions' reports; interviews			x	x							x			x
I.5.1.5	Existence of financing instruments involving different Commission's DGs in terms of the decision process and/or implementation	Commission's financial regulations, interviews			x	x							x			x
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	working groups/committees meeting notes; interviews			x	x							x			x
I.5.1.7	Specific benefits of these practices for the partner countries and the donor community	Progress reports and M&E reports; interviews			x	x	x	x	x	x	x	x	x	x		x
J.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	COMs and official statements/policies; interviews			x	x	x	x								x
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)	Country/regional strategies; Country report; interviews			x	x	x	x					x			x
I.5.2.3	Existence of joint training in the field of CPPB carried out between the Commission and other EU institutions	training schedules/reports; interviews			x	x	x	x					x			x
I.5.2.4	Existence of joint missions/needs or conflict assessments carried out between the Commission and other EU institutions	missions' reports; interviews			x	x	x	x					x			x
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	Country/regional strategies; Country report; interviews			x	x	x	x					x			x
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	working groups/committees meeting notes; interviews			x	x	x	x					x			x
I.5.2.7	Specific benefits of these practices for the partner countries and the donor community	Progress reports and M&E reports; interviews			x	x		x	x	x	x	x	x	x		x

	Information collection approach	Sources of	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire
					Commission officials	Council officials	EU/MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
J.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	Official statements/policies; interviews			x	x	x	x			x			x	x
I.5.3.2 At country level, clear leadership from one international/regional actor and clear division of labour between donors	interviews			x	x	x	x			x			x	x
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	missions' reports; interviews			x	x	x	x			x			x	x
I.5.3.4 Participations of the Commission to multi-donors pooled funds/trust funds	inventory; interviews		x	x	x					x			x	x
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	working groups/committees meeting notes; interviews		x	x	x	x				x			x	x
I.5.3.6 Specific benefits of these practices for the partner countries and the donor community	Progress reports and M&E reports; interviews			x	x		x			x	x	x	x	x
I.5.3.7 Specific role of the Commission in leading or supporting these actions	interviews			x	x		x			x	x	x	x	x
J.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	CSP/RSP, interviews			x	x		x			x	x		x	x
I.5.4.2 Commission's country strategies take into account the civil society's needs	CSP/RSP, interviews			x	x		x			x	x		x	x
I.5.4.3 Views of national partners on donors' interventions as a complement to their actions or needs	interviews			x	x		x			x	x		x	x
I.5.4.4 Views of non-governmental implementing partners and other informed observers at the global, regional and national level	interviews			x	x		x			x	x		x	x
I.5.4.5 Specific role of the Commission in supporting coordinated actions with the partner government and non-state actors	interviews			x	x		x			x	x		x	x

EQ6 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?												
	Sources of information	Quantitative analysis on inventory	Deskwork	Interviews with						Case studies		Questionnaire
				Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	
J.6.1 The Commission had a specific role in promoting the integrated approach												
L.6.1.1	The Commission had a leading role in the elaboration of strategies promoting the IA to address CPPB	International reports and studies, Commission's communications, Interviews	x	x	x	x	x	x	x	x	x	x
L.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	International reports and studies, Commission's communications, Interviews	x	x	x	x	x	x	x	x	x	x
L.6.1.3	Other elements of VA of the Commission with respect to the implementation of an integrated approach	International reports and studies, Commission's communications, Interviews	x	x	x	x	x	x	x	x	x	x
J.6.2 In the countries where it has provided support, the Commission has had a specific added value with respect to reducing tensions and/or preventing the outbreak, recurrence or continuation of violent conflict												
L.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.)	International reports and studies, Commission's communications, Interviews	x	x	x	x	x	x	x	x	x	x
L.6.2.2	EU MS gave a mandate to the Commission to tackle CPPB	Commission's communications, EU official statements, Interviews	x	x	x	x						
L.6.2.3	The Commission's financial and non-financial support was of significant importance compared to the one provided by other donors	Data on aid provided by other donors in the field of CPPB, Inventory, Interviews	x	x	x	x	x	x	x	x	x	x
L.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	International reports and studies, Interviews	x	x	x	x	x	x	x	x	x	x
L.6.2.5	The Commission's financial and non-financial support was more flexible compared to the one provided by other donors	International reports and studies, Interviews	x	x	x	x	x	x	x	x	x	x
L.6.2.6	The Commission had a specific VA to work in, on and/or around conflict	International reports and studies, ROM and evaluation reports, Interviews	x	x	x	x	x	x	x	x	x	x
L.6.2.7	The Commission's support rapidly complemented EU MS' bilateral contributions in response to crisis	ROM and evaluation reports, Interviews	x	x	x	x				x	x	x
L.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	ROM and evaluation reports, Interviews	x	x	x	x			x	x	x	x
L.6.2.8	Other types of VA	ROM and evaluation reports, Interviews	x	x	x	x	x	x	x	x	x	x

EQ7 To what extent have the means of the Commission facilitated the implementation of an integrated approach to CPPB ?														
	Sources of information	Information collection approach	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire
					Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions	
JC 7.1	<i>The institutional set-up was conducive to an integrated approach towards CPPB</i>													
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	Commission's policies, Interviews		x	x									
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)	Interviews			x	x	x							
I.7.1.3	Stakeholders' views on the extent to which these institutional commitments favoured the implementation of an integrated approach to CPPB	Interviews			x	x	x							
I.7.1.4	Existence within the Commission of specialised units with a CPPB focus	Commission's organisational chart, Interviews		x	x									
I.7.1.5	Stakeholders' views on the extent to which these units/networks facilitated the mainstreaming of CPPB	Interviews			x	x	x	x	x			x		x
JC 7.2	<i>An appropriate HR policy was designed and set-up to facilitate the implementation of an integrated approach</i>													
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	Commission's policies, Interviews		x	x									
I.7.2.2	Existence of dedicated staff (conflict advisors, pool of EC experts on CPPB, etc.)	Commission's organisational chart, Interviews		x	x	x						x		x
I.7.2.3	Existence of regular training in HQ and Delegations aiming at developing the conflict analysis skills of the staff	Training material, interviews		x	x							x		
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	Training material, interviews		x	x	x								
I.7.2.5	Existence of initiatives (reward mechanisms) for units or individuals to adopt a conflict sensitivity lens	Documents on specific initiatives, Interviews		x	x									x
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	Commission's policies, Interviews		x	x									
I.7.2.7	Existence of communities of practices in CPPB field where Commission staff participates (headquarters and field)	International studies, Interviews		x	x	x				x	x			
I.7.2.8	Stakeholders' views on the extent to which HR means favoured the implementation of an integrated approach	Interviews			x	x	x	x	x	x		x	x	

	Information collection approach	Sources of information	Quantitative analysis on inventory	Deskwork	Interviews with							Case studies		Questionnaire	
					Commission officials	Council officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	COSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions		
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)	(elements of) conflict analyses, conflict impact assessments, EC check list for root causes of conflicts, Interviews		x	x	x									x
I.7.3.2	Existence and flexible use of early warning tools (e.g EC check list for root causes of conflicts, "watch list")	EC check list for root causes of conflicts, "watch list", documents on other early warning tools, Interviews		x	x	x	x	x							
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	Commission's sector guidelines		x											
I.7.3.4	Stakeholders' views on the extent to which these tools facilitated the implementation of an IA	Interviews			x	x	x	x	x	x					x
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	Regulations of instruments, Interviews		x	x	x	x	x	x	x	x	x	x	x	x
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	Interviews			x	x	x	x	x	x	x	x	x	x	x
I.7.4.3	Commission's financial instruments have been used in support of ESDP crisis management tools and Council political-led activities	CSPs/RSPs, RIPs/NIPs, Interviews		x	x	x	x	x	x	x	x	x	x	x	x
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	Commission's policies and/or official statements, Interviews		x	x	x									
I.7.5.2	The Commission conducted a political dialogue with the partners that covered both ST and LT prevention aspects	CSPs/RSPs, RIPs/NIPs, Interviews		x	x	x	x								
I.7.5.3	Stakeholders' views on the extent to which non-financial tools (political dialogue, mediation, sanctions) facilitated the implementation of an IA	Interviews			x		x		x	x					

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?													
Sources of information	Information collection approach	Quantitative analysis on interviews	Deskwork	Interviews with							Case studies		Questionnaire
				Commission officials	EU MS officials	Partner Governments / Regional organisations	Final beneficiaries	Other donors	CSOs/NGOs/Think-tanks	Selected interventions	Selected countries/regions		
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	Progress, ROM and evaluation reports, Interviews	x	x	x	x	x	x	x	x	x	x	
I.8.1.2	Specific patterns in observed delays, if any, and factors explaining them	Progress, ROM and evaluation reports, Interviews	x	x	x	x	x	x	x	x	x	x	
I.8.1.3	Planned schedule of activities adapted during implementation following monitoring and evaluation results	Progress, ROM and evaluation reports, Interviews	x	x	x	x	x	x	x	x	x	x	
J.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	Commission's guidelines	x										
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	Commission's organisational chart, Interviews	x	x	x	x							x
I.8.2.3	Specific instruments have been designed to quickly mobilise resources and enhanced timeliness and cost-effectiveness	Regulations of instruments, Interviews	x	x	x	x							
I.8.2.4	Decision-making procedures at the level of instruments enhanced timeliness and cost-effectiveness	Regulations of instruments, Interviews	x	x	x	x							
J.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	Commission's guidelines and policies, Interviews	x	x								x	x
I.8.3.2	The findings of EQ 7 – JC 7.2 point to the existence of skilled staff in CPPB	Training material, Interviews											
I.8.3.3	Stakeholders' views on the extent to which HR are sufficient and sufficiently skilled to fulfil the mandate	Interviews		x	x	x	x		x	x	x		
J.8.4 The implementation of an integrated approach has not been hampered by requirements in terms of timeliness and cost-effectiveness													
I.8.4.1	Stakeholders considered that mainstreaming CPPB in the Commission's support has not increased transaction costs (both for the Commission and partners) nor implied delays	Interviews	x	x	x	x	x	x	x	x	x	x	x
I.8.4.2	Stakeholders considered that conducting both short-term and long-term prevention has not increased transaction costs (both for the Commission and partners) nor implied delays	Interviews	x	x	x	x	x	x	x	x	x	x	x
I.8.4.3	Stakeholders considered that intervening at different geographical levels has not increased transaction costs (both for the Commission and partners) nor implied delays	Interviews	x	x	x	x	x	x	x	x	x	x	x
I.8.4.4	Stakeholders considered 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	Interviews	x	x	x	x	x	x	x	x	x	x	x
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.)	Progress, ROM and evaluation reports, Interviews	x	x	x	x	x		x	x	x	x	

Annex 7: Countries/sub-regions main characteristics used for the selection of case studies

This annex presents for each country/sub-region benefitting from the Commission's financial contribution in CPPB detailed information on the main characteristics that were used for the selection of case studies.

The table below contains:

- the name of all the countries or sub-regions where interventions in CPPB were financed by the Commission during the period 2001-2008. This information come from the inventory done in the Preliminary Study (see annex 8) which was based on data extracted from the Common Relex Information System (CRIS).
- the Commission financial contributions by country/sub-region for CPPB interventions. The figures presented are amounts in Euro that were contracted by the Commission between 2001 and 2008 as extracted from CRIS in 2009.
- indication on whether armed conflicts have occurred or not in each country/sub-region; where do the armed conflicts stand (is it still on-going or has violence stopped?); and the type of armed conflict. This information comes from the UCDP/PRIO Armed Conflict Dataset¹ (version 4-2009) and the UCDP Dyadic Dataset² (version 1-2009). The evaluation team has focused on data since 2001, in order to respect the evaluation temporal scope 2001-2008. If a country had experienced armed conflicts 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 has been taken into account. These datasets contains information until 2008 and thus the most recent armed related events do not figure in the table. For further definitions of what is considered as an armed conflict and other details on these datasets, please refer to the UCDP/PRIO Armed Conflict Dataset Codebook (version 4-2009) and the UCDP Dyadic Dataset Codebook (version 1-2009) on: http://www.pcr.uu.se/research/UCDP/data_and_publications/datasets.htm
- indication on the presence or not of civilian or military operations led by the EU Council or the UN in each country/sub-region. The number of operations is indicated and some are ended and other still on-going. Operations before 2001 have not been counted. This information come from the EU Council web site: <http://www.consilium.europa.eu/showPage.aspx?id=268&lang=en> and the UN peacekeeping website: <http://www.un.org/en/peacekeeping/>

¹ Gelditsch et al. 2002. "Armed Conflict 1946-2001: A New Dataset." *Journal of Peace Research* 39(5): 615-637

² Lotta Harbom, Erik Melander & Peter Wallensteen. 2008. "Dyadic Dimensions of Armed Conflict, 1946-2007." *Journal of Peace Research* 45(5): 697-710

- the Commission financial contributions channelled through the UN and the WB as well as contribution to Regional Organisations such as the African Union. The figures presented are amounts in Euro that were contracted by the Commission between 2001 and 2008 as extracted from CRIS in 2009
- indication on whether CPPB is a focal sector or a non-focal sector in the Commission's strategy with each country/sub-region. This information has been extracted from Country Strategy Papers (CSP) and Regional Strategy Papers (RSP) for the programming periods 2000-2007 and 2008-2013. Around 200 CSP/RSP were thus screened in order to understand the priorities of the Commission in its cooperation with each country and sub-region benefitting from its funds for CPPB interventions.
- the total Commission financial contributions (amount contracted in €) by country of its entire cooperation support between 2001 and 2008. These figures were extracted from CRIS using each country acronym used in this database. Figures are not the most updated because these data had been extracted by the evaluation team in mid 2009. It thus only provides an order of magnitude of the Commission support to these countries. It also allows having an idea of the share of Commission CPPB support compared to the total Commission support by country.

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	2	-	797.459.660	44%	-	-	CPPB as focal sector	2.111.513.056	84,90%
AFGHANISTAN	ASIA	695.354.988	11,25%	yes	on-going	Internationalized internal	1	-	624.808.748	90%	-	-	no	1.212.296.564	57,36%
IRAQ	ASIA	668.363.523	10,81%	yes	on-going	Internationalized internal	1	1	662.188.872	99%	-	-	no CSP found	668.673.230	99,95%
SUDAN	ACP	478.651.695	7,74%	yes	on-going	Internal	2	2	118.424.924	25%	#####	0,63	PB as non-focal sect	478.651.695	100,00%
CONGO (DEMOCRATIC REPUBLIC OF)	ACP	290.139.719	4,69%	yes	on-going	Internal	6	1	197.179.187	68%	-	-	no	706.144.941	41,09%
ANGOLA	ACP	146.251.148	2,37%	yes	on-going	Internal	-	-	83.938.298	57%	-	-	CPPB as focal sector	368.859.480	39,65%
COLUMBIA	LATIN AMERICA	141.010.878	2,28%	yes	on-going	Internal	-	-	3.900.000	3%	-	-	CPPB as focal sector	238.365.638	59,16%
ALL COUNTRIES	MULTI REGION	130.807.812	2,12%	no	N/A	N/A	-	-	31.992.468	24%	-	-	N/A	18.833.718.726	0,69%
IVORY COAST	ACP	128.544.208	2,08%	yes	31/12/2004	Internal	-	1	51.857.323	40%	-	-	CPPB as focal sector	334.797.222	38,39%
HAITI	ACP	125.219.791	2,03%	yes	31/12/2004	Internal	-	1	22.103.153	18%	-	-	no	367.784.711	34,05%
SOMALIA	ACP	114.536.924	1,85%	yes	on-going	Internationalized internal	2	-	25.603.142	22%	#####	0,31	CPPB as focal sector	296.848.236	38,58%
TACIS REGION	ENP - TACIS	99.004.360	1,60%	no	N/A	N/A	-	-	65.488.951	66%	-	-	CPPB as focal sector	740.676.685	13,37%
BANGLADESH	ASIA	94.473.935	1,53%	no	N/A	N/A	-	-	56.567.254	60%	-	-	no	630.330.596	14,99%
LIBERIA	ACP	85.926.771	1,39%	yes	18/08/2003	Internal	-	1	20.458.043	24%	-	-	no	138.453.826	62,06%
UKRAINE	ENP - TACIS	68.690.435	1,11%	no	N/A	N/A	1	-	28.515.493	42%	-	-	CPPB as focal sector	833.919.369	8,24%
CENTRAL AFRICAN REPUBLIC	ACP	67.478.165	1,09%	yes	31/12/2006	Internationalized internal	1	1	3.930.000	6%	#####	0,79	no	119.975.603	56,24%
TIMOR LESTE	ASIA	54.048.384	0,87%	yes	on-going	Internal	-	3	46.772.117	87%	-	-	PB as non-focal sect	131.747.300	41,02%
ACP COUNTRIES	ACP	50.481.221	0,82%	no	N/A	N/A	-	-	24.559.315	49%	7.500.000	0,15	N/A	381.330.597	13,24%
INDONESIA	ASIA	50.097.700	0,81%	yes	12/10/2005	Internal	1	-	39.750.143	79%	-	-	PB as non-focal sect	484.623.650	10,34%
ERITREA	ACP	47.990.914	0,78%	yes	on-going	Interstate	-	1	32.135.179	67%	-	-	CPPB as focal sector	155.630.636	30,84%
GHANA	ACP	45.991.192	0,74%	no	N/A	N/A	-	-	2.610.000	6%	-	-	no	517.165.406	8,89%
ETHIOPIA	ACP	42.421.939	0,69%	yes	on-going	Interstate	-	1	13.012.333	31%	-	-	PB as non-focal sect	1.018.196.332	4,17%
SIERRA LEONE	ACP	41.508.168	0,67%	yes	on-going	Internal	-	1	5.712.142	14%	-	-	CPPB as focal sector	377.135.568	11,01%
BURUNDI	ACP	34.775.999	0,56%	yes	on-going	Internal	-	-	8.646.241	25%	#####	0,40	CPPB as focal sector	366.350.860	9,49%
MEDITERRANEAN REGION	ENP - MEDA	33.807.466	0,55%	no	N/A	N/A	-	2	7.229.615	21%	-	-	CPPB as focal sector	785.456.305	4,30%
NIGERIA	ACP	33.754.339	0,55%	yes	30/10/2004	Internal	-	-	28.949.447	86%	-	-	CPPB as focal sector	553.185.198	6,10%
REGIONAL EDF	ACP	33.387.070	0,54%	no	N/A	N/A	-	-	-	0%	#####	0,87	N/A	-	-
UGANDA	ACP	30.647.733	0,50%	no	N/A	N/A	-	-	1.432.131	5%	-	-	no	694.283.243	4,41%
CAMBODIA	ASIA	28.753.944	0,47%	no	N/A	N/A	-	-	13.082.261	45%	-	-	no	200.370.295	14,35%
LEBANON	ENP - MEDA	27.131.208	0,44%	yes	14/08/2006	Internal	-	1	13.109.363	48%	-	-	no	227.027.967	11,95%
SRI LANKA	ASIA	26.359.791	0,43%	yes	on-going	Internal	-	-	10.897.423	41%	-	-	CPPB as focal sector	174.755.874	15,08%
GEORGIA	ENP - TACIS	24.085.100	0,39%	yes	on-going	Internationalized internal	2	1	17.338.921	72%	-	-	CPPB as focal sector	201.033.329	11,98%
NICARAGUA	LATIN AMERICA	22.529.548	0,36%	no	N/A	N/A	-	-	3.178.600	14%	-	-	no	306.807.330	7,34%
CHAD	ACP	21.454.113	0,35%	yes	on-going	Internal	1	1	15.000.000	70%	-	-	no	391.854.657	5,48%
NEPAL	ASIA	18.210.943	0,29%	no	N/A	N/A	-	-	2.889.000	16%	-	-	CPPB as focal sector	95.603.690	19,05%
TOGO	ACP	15.740.235	0,25%	no	N/A	N/A	-	-	15.730.718	100%	-	-	no	78.356.083	20,09%
PHILIPPINES	ASIA	14.935.708	0,24%	yes	on-going	Internal	-	-	3.942.583	26%	-	-	PB as non-focal sect	116.172.260	12,86%
MAURITANIA	ACP	14.714.695	0,24%	no	N/A	N/A	-	-	12.341.651	84%	-	-	no	249.591.892	5,90%
WEST AFRICA REGION	ACP	14.311.886	0,23%	no	N/A	N/A	-	-	3.670.000	26%	-	-	CPPB as focal sector	375.737.011	3,81%
MOZAMBIQUE	ACP	14.172.548	0,23%	no	N/A	N/A	-	-	11.889.318	84%	-	-	no	982.276.946	1,44%
CONGO (BRAZZAVILLE)	ACP	13.304.555	0,22%	yes	31/12/2002	Internationalized internal	-	-	10.892.500	82%	-	-	CPPB as focal sector	144.828.416	9,19%
RWANDA	ACP	13.133.765	0,21%	no	N/A	N/A	-	-	4.442.806	34%	-	-	no	427.328.612	3,07%
GUATEMALA	LATIN AMERICA	12.158.227	0,20%	no	N/A	N/A	-	-	3.572.000	29%	-	-	CPPB as focal sector	146.805.627	8,28%
GUINEA BISSAU	ACP	11.571.017	0,19%	yes	on-going	Internal	2	-	6.475.497	56%	-	-	CPPB as focal sector	135.663.366	8,53%
YEMEN	ASIA	11.564.222	0,19%	no	N/A	N/A	-	-	10.220.599	88%	-	-	no	102.143.529	11,32%
ASIA	ASIA	11.538.510	0,19%	no	N/A	N/A	-	-	1.955.335	17%	-	-	no	367.730.624	3,14%
ZIMBABWE	ACP	11.023.985	0,18%	no	N/A	N/A	-	-	800.000	7%	-	-	no CSP found	243.437.845	4,53%
ALGERIA	ENP - MEDA	10.716.884	0,17%	no	N/A	N/A	-	-	-	0%	1.000.000	0,09	CPPB as focal sector	300.163.376	3,57%
PAKISTAN	ASIA	10.514.673	0,17%	yes	on-going	Internal	-	-	8.248.090	78%	-	-	no	239.673.371	4,39%
REGION NEIGHBOURHOOD	ENP	10.258.107	0,17%	no	N/A	N/A	-	-	5.814.443	57%	-	-	CPPB as focal sector	25.882.660	39,63%
RUSSIA	ENP - TACIS	9.894.760	0,16%	yes	on-going	Internal	-	-	2.335.105	24%	-	-	no	715.143.221	1,38%
KENYA	ACP	9.122.450	0,15%	no	N/A	N/A	-	-	4.740.884	52%	-	-	PB as non-focal sect	495.779.255	1,84%
JORDAN	ENP - MEDA	8.655.290	0,14%	no	N/A	N/A	-	-	2.516.595	29%	-	-	PB as non-focal sect	425.128.016	2,04%
COMOROS	ACP	8.500.000	0,14%	no	N/A	N/A	-	-	-	0%	8.500.000	1,00	no	41.136.593	20,66%
ISRAEL	ENP - MEDA	8.156.229	0,13%	yes	on-going	Internal	-	-	-	0%	-	-	no	24.592.970	33,16%
BELARUS	ENP - TACIS	8.122.181	0,13%	no	N/A	N/A	-	-	7.130.315	88%	-	-	no	50.406.764	16,11%

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SOUTH EAST ASIA REGION	ASIA	7.611.411	0,12%	no	N/A	N/A	-	-	2.644.045	35%	-	-	no	49.079.530	15,51%
LATIN AMERICA COUNTRIES	LATIN AMERICA	7.017.706	0,11%	no	N/A	N/A	-	-	2.401.758	34%	-	-	CPPB as focal sector	233.701.028	3,00%
ECUADOR	LATIN AMERICA	6.285.161	0,10%	no	N/A	N/A	-	-	3.099.354	49%	-	-	PB as non-focal sector	132.082.973	4,76%
LAOS	ASIA	6.217.157	0,10%	no	N/A	N/A	-	-	991.628	16%	-	-	no	51.430.045	12,09%
CENTRAL ASIA REGION	ASIA	5.925.465	0,10%	no	N/A	N/A	-	-	959.663	16%	-	-	CPPB as focal sector	5.925.465	100,00%
KIRGHIZSTAN	ENP - TACIS	5.390.667	0,09%	no	N/A	N/A	-	-	2.000.000	37%	-	-	no CSP found	96.803.667	5,57%
PERU	LATIN AMERICA	5.355.898	0,09%	yes	on-going	Internal	-	-	1.309.000	24%	-	-	no	223.123.774	2,40%
CENTRAL AFRICA REGION	ACP	5.225.884	0,08%	no	N/A	N/A	-	-	-	0%	-	-	CPPB as focal sector	149.064.296	3,51%
EL SALVADOR	LATIN AMERICA	5.185.315	0,08%	no	N/A	N/A	-	-	4.662.853	90%	-	-	CPPB as focal sector	121.747.501	4,26%
VENEZUELA	LATIN AMERICA	4.762.094	0,08%	no	N/A	N/A	-	-	4.064.141	85%	-	-	no	65.497.937	7,27%
BOLIVIA	LATIN AMERICA	4.663.795	0,08%	no	N/A	N/A	-	-	3.658.736	78%	-	-	no	293.833.599	1,59%
IRAN	ASIA	4.623.053	0,07%	yes	on-going	Internal	-	-	2.880.000	62%	-	-	no CSP found	8.793.937	52,57%
AZERBAIJAN	ENP - TACIS	4.276.623	0,07%	yes	5/12/2005	Internationalized internal	-	-	3.651.254	85%	-	-	CPPB as focal sector	91.160.124	4,69%
TANZANIA	ACP	4.261.464	0,07%	no	N/A	N/A	-	-	1.565.145	37%	-	-	no	845.453.853	0,50%
ARMENIA	ENP - TACIS	4.210.895	0,07%	no	N/A	N/A	-	-	1.948.704	46%	-	-	no	126.984.989	3,32%
MADAGASCAR	ACP	4.194.737	0,07%	no	N/A	N/A	-	-	3.000.000	72%	-	-	no	714.573.172	0,59%
SENEGAL	ACP	3.933.264	0,06%	yes	31/12/2003	Internal	-	-	1.113.566	28%	-	-	no	461.807.625	0,85%
THAILAND	ASIA	3.703.596	0,06%	yes	on-going	Internal	-	-	-	0%	-	-	no	56.743.120	6,53%
ZAMBIA	ACP	3.582.394	0,06%	no	N/A	N/A	-	-	3.297.128	92%	-	-	no	664.901.765	0,54%
MALAWI	ACP	3.543.116	0,06%	no	N/A	N/A	-	-	1.990.000	56%	-	-	no	500.251.697	0,71%
MOROCCO	ENP - MEDA	3.066.748	0,05%	no	N/A	N/A	-	1	-	0%	-	-	no	1.699.337.990	0,18%
EGYPT	ENP - MEDA	3.050.338	0,05%	no	N/A	N/A	-	-	-	0%	-	-	no	739.972.818	0,41%
TADZHIKISTAN	ENP - TACIS	2.994.234	0,05%	no	N/A	N/A	-	-	1.425.850	48%	-	-	no CSP found	92.340.513	3,24%
INDIA	ASIA	2.978.334	0,05%	yes	on-going	Internal	-	-	-	0%	-	-	no	597.395.465	0,50%
MOLDOVA	ENP - TACIS	2.851.772	0,05%	no	N/A	N/A	1	-	2.036.277	71%	-	-	CPPB as focal sector	144.396.549	1,97%
NIGER	ACP	2.839.483	0,05%	yes	on-going	Internal	-	-	-	0%	-	-	PB as non-focal sector	551.595.538	0,51%
MYANMAR	ASIA	2.824.419	0,05%	yes	on-going	Internal	-	-	1.786.000	63%	-	-	no	92.157.315	3,06%
LIBYA	ENP - MEDA	2.792.741	0,05%	no	N/A	N/A	-	-	2.000.000	72%	-	-	no CSP found	5.577.597	50,07%
FIJI	ACP	2.777.309	0,04%	no	N/A	N/A	-	-	1.164.170	42%	-	-	no	54.275.252	5,12%
BOTSWANA	ACP	2.498.842	0,04%	no	N/A	N/A	-	-	1.499.892	60%	-	-	no	127.347.981	1,96%
GUINEA (CONAKRY)	ACP	2.308.454	0,04%	no	N/A	N/A	-	-	1.900.000	82%	-	-	no	234.509.025	0,98%
HONDURAS	LATIN AMERICA	2.119.921	0,03%	no	N/A	N/A	-	-	-	0%	-	-	PB as non-focal sector	216.300.775	0,98%
MALI	ACP	1.599.729	0,03%	yes	on-going	Internal	-	-	-	0%	-	-	no	709.081.863	0,23%
KAZAKHSTAN	ENP - TACIS	1.475.647	0,02%	no	N/A	N/A	-	-	-	0%	-	-	no CSP found	50.423.579	2,93%
SOUTH AMERICA REGION	LATIN AMERICA	1.301.396	0,02%	no	N/A	N/A	-	-	-	0%	-	-	CPPB as focal sector	262.711.033	0,50%
CHILE	LATIN AMERICA	1.000.000	0,02%	no	N/A	N/A	-	-	1.000.000	100%	-	-	no	61.790.997	1,62%
BURKINA FASO	ACP	942.324	0,02%	no	N/A	N/A	-	-	-	0%	-	-	no	673.080.741	0,14%
SURINAME	ACP	925.312	0,01%	no	N/A	N/A	-	-	306.318	33%	-	-	no	74.358.066	1,24%
BHUTAN	ASIA	798.500	0,01%	no	N/A	N/A	-	-	788.500	99%	-	-	no	13.241.824	6,03%
EQUATORIAL GUINEA	ACP	755.785	0,01%	no	N/A	N/A	-	-	-	0%	-	-	CPPB as focal sector	12.091.039	6,25%
CARIBBEAN REGION	ACP	725.675	0,01%	no	N/A	N/A	-	-	-	0%	-	-	no	166.701.745	0,44%
SOUTH AFRICA	ACP	625.983	0,01%	no	N/A	N/A	-	-	625.983	100%	-	-	no	834.854.985	0,07%
GAMBIA	ACP	535.000	0,01%	no	N/A	N/A	-	-	535.000	100%	-	-	no	70.427.828	0,76%
JAMAICA	ACP	354.589	0,01%	no	N/A	N/A	-	-	-	0%	-	-	no	334.208.387	0,11%
MALDIVES	ASIA	333.026	0,01%	no	N/A	N/A	-	-	-	0%	-	-	no	17.778.763	1,87%
VIETNAM	ASIA	183.687	0,00%	no	N/A	N/A	-	-	89.561	49%	-	-	no	217.992.782	0,08%
CAMEROON	ACP	102.646	0,00%	no	N/A	N/A	-	-	-	0%	-	-	PB as non-focal sector	351.405.514	0,03%
DOMINICAN REPUBLIC	ACP	96.600	0,00%	no	N/A	N/A	-	-	-	0%	-	-	no	265.928.172	0,04%
SWAZILAND	ACP	82.883	0,00%	no	N/A	N/A	-	-	-	0%	-	-	no	75.199.113	0,11%
BENIN	ACP	55.152	0,00%	no	N/A	N/A	-	-	-	0%	-	-	no	437.421.037	0,01%
LESOTHO	ACP	37.649	0,00%	no	N/A	N/A	-	-	-	0%	-	-	no	114.132.408	0,03%
PANAMA	LATIN AMERICA	23.768	0,00%	no	N/A	N/A	-	-	-	0%	-	-	no	24.922.208	0,10%