Unclassified **DCD(2008)1**

Organisation de Coopération et de Développement Economiques
Organisation for Economic Co-operation and Development **18-Jan-2008**

English - Or. English

DEVELOPMENT CO-OPERATION DIRECTORATE

DCD(2008)1
Unclassified

DRAFT DAC GUIDANCE ON EVALUATING CONFLICT PREVENTION AND PEACEBUILDING

A joint project of the:
DAC Network on Conflict, Peace, and Development Co-operation and the
DAC Network on Development Evaluation

This draft DAC Guidance is the result of ongoing collaborative work by the OECD DAC Networks on Conflict, Peace and Development Co-operation (CPDC) and Development Evaluation (Evaluation Network).

The work to develop this guidance is in response to a specific need expressed by CPDC members for greater clarity regarding how to evaluate the results of activities and investments in the field of conflict prevention and peacebuilding. A first draft was circulated in July 2007 and has been revised on the basis of an extensive consultation process with valuable contributions from members of both Networks along with experts in member countries and other stakeholders.

The attached draft guidance will be applied to several field evaluations during 2008, which will be discussed in further detail during a meeting in Bern on 21-22 January 2008, hosted by Switzerland. An update on the draft guidance and on the outcome of the Bern meeting will be provided to the DAC. The feedback and experiences acquired during the application phase will inform the next draft version of the guidance which will be submitted to the DAC for approval.

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JT03238934

English - Or. English

FOREWORD

This document develops guidance on conducting effective evaluations of conflict prevention and peacebuilding work. The current working document will be used for a one year application phase through 2008. It is the result of an ongoing collaborative project by the OECD DAC Networks on Development Evaluation and on Conflict, Peace and Development Co-operation (CPDC). The two Networks began this collaboration in 2005, responding to the need expressed by CPDC members for greater clarity regarding techniques and issues of evaluation in their field. An assessment of past conflict and peace evaluations and a study of current practices were undertaken in 2006 and identified a need for further guidance. In 2007 a research piece, "Encouraging Effective Evaluation of Conflict Prevention and Peacebuilding Activities: Towards DAC Guidance", was completed by CDA Collaborative Learning Projects and subsequently published as an input to the development of this guidance.

The current draft reflects valuable contributions from members of both DAC Networks. Especially important have been the contributions of Asbjørn Eidhammer and Cristina Hoyos, the lead members from the Evaluation Network and the CPDC Network, respectively. In the DAC Secretariat, Lisa Williams (CPDC Network) and Hans Lundgren (Evaluation Network) led the two-year process to develop the draft guidance along with Sebastian Ling, Mark Downes and Megan Kennedy; Ms Kennedy finalised this document. The research and drafting process has also benefited from the inputs of experts in member countries and beyond: Beate Bull; Clare Harkin and Julia Compton; advisors in a Critical Review Panel, including Mary B. Anderson and her colleagues at CDA Collaborative Learning Projects, Diana Chigas and Peter Woodrow; Thania Paffenholz; Tony Vaux; Robert Picciotto; Robert Muggah; as well as other members from both Networks and experts in the fields of evaluation and peacebuilding too numerous to list here.

Given the complexity of work in this field and the need to address different audiences, evaluators and peacebuilding practitioners alike, this draft document has extensive annexes containing specific information to complement the shorter main text. The main text is divided into a general introduction, an outline of key planning and programming steps, and a description of the evaluation process itself. Individual readers may choose to focus on particular sections, according to their interest and needs.

The future development of web-based and other multimedia formats for the guidance is also envisioned. This working draft will be applied to field evaluations over 2008 and will be revised for submission to the DAC based on the experience gained during the application period. It is intended to contribute to the larger ongoing processes of promoting rigorous and co-ordinated evaluation of development assistance, while improving donor policies and practices for engaging in conflict-affected areas.

– The DAC Networks on Development Evaluation
and on Conflict, Peace and Development Co-operation

Background: Key donor commitments on evaluation and peacebuilding

DAC Evaluation Quality Standards (for test phase application) (2007) https://www.oecd.org/dataoecd/30/62/36596604.pdf

The Paris Declaration on Aid Effectiveness (2005) http://www.oecd.org/document/18/0,2340,en_2649_3236398_35401554_1_1_1_1,00.html

DAC Guidelines on Helping Prevent Violent Conflict (2001) [including DAC Guidelines on Conflict, Peace and Development Co-operation (1998)] http://www.oecd.org/dataoecd/15/54/1886146.pdf

OECD-DAC Guidelines on Security System Reform and Governance (2005) http://www.oecd.org/dataoecd/8/39/31785288.pdf

DAC Principles for Good International Engagement in Fragile States and Situations (2007) https://www.oecd.org/dataoecd/61/45/38368714.pdf

Development Assistance Manual – DAC Principles for Effective Aid (1992) http://www.oecd.org/dataoecd/31/12/2755284.pdf

Whole of Government Approaches to Fragile States (2006) https://www.oecd.org/dataoecd/15/24/37826256.pdf

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PREFACE

What is the purpose of this guidance?

As growing shares of aid resources, time and energy are being devoted to conflict prevention and peacebuilding projects, programmes, and policy strategies, more evidence demonstrating the effectiveness of these endeavours is essential. There is an increased interest among donors and practitioners, as well as people affected by violent conflict, to learn more about what does and does not work, and why. This quest to improve our understanding of what contributes positively to peace is motivated by the desire to develop more coherent, co-ordinated and effective interventions at all levels.

The primary goal of this guidance is to provide direction to those undertaking evaluations of conflict prevention and peacebuilding projects, programmes, and policies (here after referred to as activities). It aims to assist policy makers and practitioners working in the conflict prevention and peacebuilding field to better understand the role and utility of evaluation, and at the same time to help those working in the area of evaluation better understand the sensitivities that apply in this field. With that dual objective in mind, this guidance will offer advice on those aspects of evaluating conflict prevention and peacebuilding activities that differ from evaluation of humanitarian and development interventions.

Who will benefit from the guidance and how?

Different target audiences will benefit in different ways from this text. The primary audience includes policy staff; field and desk officers from donor development agencies, especially those responsible for conflict prevention and peacebuilding policy strategies or activities who may be involved in commissioning or supporting evaluations; and evaluation managers within donor agencies. Implementers and programme managers, including non-governmental and international organisations (NGOs, IOs), United Nations organisations and other development agencies, will also benefit from enhanced understanding of the use and value of evaluation and its implications for programming. Evaluation consultants working in conflict environments or hired for a relevant conflict prevention or peacebuilding evaluation will gain a clearer view of what commissioners expect from their work.

Specifically, this guidance supports *evaluators* and *those commissioning evaluations* by:

- Providing greater clarity on key emerging concepts in this field and tips for dealing with common problems.
- Suggesting techniques for the use of conflict analyses to better assess whether activities in a particular conflict are relevant and prevent 'doing harm'.
- Furnishing principles for ethical evaluation in conflict environments.
- Demonstrating the importance of assessing assumptions about how peace can be achieved (theories of change).
- Specifying how DAC Criteria for evaluating development assistance can be adapted to this field.
- Providing advice on drafting Terms of Reference and picking effective teams.

The guidance document also helps conflict prevention and peacebuilding *practitioners* and *policy makers* by:

Promoting the use of evaluation to improve learning and accountability, and suggesting ways in which evaluation can provide lessons about operational design (beyond what is learned through audit and monitoring).[1]

Encouraging further critical reflection about what actually contributes to peace and what does not.

Helping to refine theories about the causes and dynamics of conflict (and the links between them), which will in turn lead to more relevant interventions, ultimately enhancing effectiveness.

How to use the guidance

This guidance is not meant to serve as an all-encompassing or constraining manual for conflict prevention and peacebuilding evaluations. Rather, it should contribute to thoughtful approaches by highlighting and clarifying specific challenges for evaluating in this field. It outlines the key steps to take and main points to consider during an evaluation process. This information should be applied intelligently and adapted carefully to specific contexts. The report builds on existing literature and experiences and is thus not exhaustive; a Bibliography provides further general resources for the reader. Given the diversity of the intended audience, some sections may be more or less relevant for individual readers; and the text below aims to clarify the specific targets of each section, including the annexes.

The Introduction highlights the development of and challenges to evaluation in the conflict prevention and peacebuilding field, and is therefore key for all readers. It also outlines key concepts, which will be of particular relevance to those with limited experience in the conflict and peace domains.

The main section walks the reader through the key elements of the evaluation process. This outline will be useful for readers with limited evaluation background and can help provide a footpath for thinking through, planning, supporting and performing the evaluation itself. It also provides seasoned evaluators with further ideas for work in this particular field. The section begins with a description of upstream measures to help programme planners and policy makers create effective, assessable intervention strategies and activities.

Annexes are referred to throughout the text. Annex 1 includes a list of key terms. The final annex is a feedback framework that can be used to comment on this document or provide insight from the test application phase (2007/2008).

[1] A review of more than 75 evaluations in the conflict prevention and peacebuilding field pointed to an overemphasis on financial management issues and a lack of lesson learning (FAFO, 2006).

Emerging lessons from the analytical work underpinning this guidance

The joint process of developing this guidance has begun to reveal some important lessons for donor agencies and others working in the conflict prevention and peacebuilding field. The following list of emerging lessons will be revised and updated once this draft has been field tested.

1) Donors should **promote the systematic use of evaluation for all conflict prevention and peacebuilding work**, and require implementing partners, such as NGOs, to conduct evaluations. Evaluation can support learning and accountability as professionals in this area of development co-operation strive to improve practice and results. Such learning is key to becoming more effective at building peace.

2) A clear need for **a better strategic policy framework for conflict prevention and peacebuilding** work has been demonstrated. There is a need to **evaluate at the strategic** level and to look at the interconnections between strategies, policies, programmes and projects. Policies and operations in this sensitive field need to be more effectively linked – a goal which could be achieved in part by working with practitioners and policy makers to update the existing *DAC Guidelines on Helping Prevent Violent Conflict* (including the 1998 *Guidelines on Conflict, Peace and Development Co-operationI)*, in which donors recognised that work on these issues is a central part of development, extending beyond humanitarian assistance alone.

3) **Evaluations should be facilitated through better programme design, even in the planning stages** when, for instance, objectives should be clearly articulated to facilitate future assessment of results. There is a general need for further development in terms of planning, funding, management and implementation of activities that try to prevent conflict or build peace. In this field in general, there is a need to **build tailored tools for learning and accountability** to contribute to the professionalization of interventions, including the identification of best practices.

4) **Coherent and co-ordinated intervention and policy strategies are needed to make progress towards peace.** Donors cannot rely solely on aid and must look at other policy instruments and their impacts on conflict and the chances for peace. Strategic engagement at various levels and across governments is essential.

5) **Concepts and definitions of peacebuilding and conflict prevention require clarification**. Evaluators should work with staff, policy makers, managers and stakeholders to determine and assess the concepts of peace their activity is operating on.

6) The **results of conflict analysis need to be translated into action**, used to influence the programming and evaluation processes and linked to other forms of analysis, such as governance assessments, power and drivers of change analysis, as well as early warning indicators. (Note: As field applications are conducted and as learning and practices evolve, this list may be refined.)

7) The use of **mixed-method approaches to evaluations** is recommended due the complexity and multi-faceted nature of interventions in this field.

8) **Joint evaluations** allow for more harmonised approaches that demonstrate how efforts of different donors add up. Involving country partners is also important for understanding how change occurs and is a key element of supporting the Paris Declaration.

INTRODUCTION: THE CONFLICT PREVENTION AND PEACEBUILDING CONTEXT

1. Most contemporary armed conflicts take place within states, and the majority of their victims are civilians. Not only is the human cost of armed conflict devastating; its impacts on political, social and economic development are profound. When violent conflict breaks out, development is derailed. The benefits of development assistance can be reversed by violent conflict, which is not only an accompaniment of poverty but one of its main causes. There is also an emerging understanding that development assistance and other donor policies (when not well designed, implemented and co-ordinated) can increase tensions or restrain capacities for peace.

2. While scholars in diverse academic disciplines have long been concerned with issues of war and peace, conflict analysis and peace research only emerged as a distinct interdisciplinary academic field in the 1960s. In the last decade, approaches to understanding and responding to both the immediate and structural causes of violent conflict have evolved significantly. Work in fragile situations[2] and conflict-affected countries has become an integral part of the development challenge, and is now seen as a prerequisite of sustainable development.

3. Policy instruments have been developed to help donors and partner countries design and implement strategies that address multiple threats and insecurities, and to contribute to conflict prevention and peacebuilding. Innovative operational and analytical tools have been proposed, though they are still underused. In particular, conflict analysis has yet to exert a major influence on planning and design.

4. Recognising that much remains to be done to improve the peacebuilding activities, donors – with the help of partner countries – committed themselves in the 2005 *Paris Declaration on Aid Effectiveness* to achieving more synchronised and effective monitoring and evaluation approaches, especially in conflict areas.[3] New donor strategies, such as "whole of government" approaches and an emerging emphasis on policy coherence reflect a growing interest in and commitment to facing these challenges. Still, working coherently across governments and organisations on the complex interface of development, diplomacy, defence, trade and finance remains challenging.

The need for strategic policy development

5. Donors and others working to help prevent violent conflict and support peace have recognised the need to develop more strategic, coherent and co-ordinated policies and programmes in this field. In the late 1990s, as lessons emerged from a major joint evaluation of emergency assistance to Rwanda, and in the aftermath of a devastatingly violent decade, pressure on and from donors to find better ways of preventing violence increased.[4]

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[2] Analysts and donors still hold different notions of what fragility means. In the evolution of the concept among OECD members, fragile states were once equated with "difficult partners". A more nuanced approach has since emerged but different agencies have adopted different concepts. As used here, "fragile situations" refers to national, regional and local territories where the state (the executive, the legislative and the judiciary, including central and local authorities) lacks the capacity and/or political will and legitimacy to support equitable development. These situations tend to be characterised by poor governance, to be prone to violent conflict, and to show limited progress towards the Millennium Development Goals. An aggregate of governance and security criteria, or of capacity, accountability and legitimacy criteria, is usually used to measure fragility.

[3] "The Paris Declaration on Aid Effectiveness" demonstrates donor commitment to adapt to differing country environments and to give increased attention to fragile states and conflict-affected countries. See full text at: http://www.oecd.org/dataoecd/11/41/34428351.pdf.

[4] The Rwanda evaluation was undertaken by 19 OECD-member bilateral donor agencies, the European Union and the Development Assistance Committee (DAC) Secretariat of the OECD; nine multilateral agencies and UN units; the two components

6. Ongoing challenges to work on conflict and peace include the fact that work "in" and "on" conflict involves activities that differ from traditional development operations, and take place in highly politicised environments. Compared to the number of humanitarian and development activities, there is a relatively small sample of conflict prevention and peacebuilding activities *per se* – and therefore of evaluations – from which to draw experience or guidance.[5] In addition, numerous variables affect conflict and peace dynamics and outcomes. Thus, even where useful conclusions or lessons can be gleaned from an experience in one conflict environment, they may not be readily applicable to other conflict contexts, even within the same region. Lesson learning and discernment of good practice is therefore difficult and it is still not clear whether donors are using the "right" objectives and effective strategies to achieve them.

7. Further, the so-called "fishbowl effect" of a highly politicised and often media-dense environment means that there is sometimes great public attention on, and correspondingly high stakes for, evaluators. When human suffering is high and donor contributions large and visible, the desire to see positive results can place additional pressures on evaluators and managers in the field. At the same time there is a tendency for uneven, short-term or unsystematic funding and engagement, which may "follow the headlines" of major violent conflicts and result in the so-called "forgotten crises" and "donor orphans". Such dynamics do not lend themselves to thoughtful learning from and improving upon past experiences.

8. The results of available research studies[6] and operational evaluations[7] have identified a considerable "gap" between the policy intent of donor countries and *de facto* outcomes on the ground. A number of these studies have highlighted the fact that conflict prevention and peacebuilding policies, programmes and projects lack coherence with each other, as well as with an overall country strategy.[8]

9. Clearly, there is a growing need for thoughtful examination of donor practices in these areas. Distinctive approaches are required to effectively deliver conflict prevention and peacebuilding aid – especially in terms of ownership, harmonisation, alignment and results. As evaluation is often an important learning tool, it is hoped that better evaluation will help address some of these concerns. Given the gaps between donor intentions and outcomes in the field, co-ordination problems, and newly emerging aid instruments (especially in the security sector), donors should continue considering how best to adopt more co-ordinated and "whole of government" approaches to evaluation itself. For instance, when planning evaluation strategies or calendars it is important to plan not only to cover individual peacebuilding activities but to look at overall contributions to peace both in and across conflict areas.

10. This work on evaluation therefore represents a contribution to the ongoing process of improved donor policies and more effective interventions in conflict-affected areas and situations of fragility.

Evaluating conflict prevention and peacebuilding

11. Evaluation offers systematic and objective assessments of the relevance, effectiveness, impact, sustainability and efficiency of interventions. It helps to ascertain the quality of policies and programmes, to enhance the performance of participants, to identify good practices and to define appropriate standards for future operations.[9] Proponents of transparent, evidence-based policy making and

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of the International Red Cross and Red Crescent Movement s; and five international NGO organisations (Eriksson, J. et al., 1996). For more on the impacts of the evaluation see Borton and Eriksson, 2004.

[5] FAFO, 2006.

[6] See Dobbins *et al.*, 2005; Paris, 2004; Collier *et al.*, 2003; and Stedman, Cousens and Rothchild, 2002.

[7] Among others: Cutillo, 2006; Dahrendorf, 2003; Donini, 2002; Porter, 2002; Stockton, 2002; Sommers, 2000; Reindorp and Wiles, 2001; Duffield, Lautze and Jones, 1998; and Eriksson *et al.*, 1996.

[8] For instance, the *Utstein* Study, that analyzed 336 peace-building projects supported or implemented by, Germany, the Netherlands, the United Kingdom and Norway determined that there was a strategic deficit between the strategic policy level and the field programmes, and that this 'gap' presented a significant obstacle to sustainable peacebuilding (Smith, 2003).

[9] OECD, 2002.

programme design suggest that evaluation is needed to track the relevant effects of conflict prevention and peacebuilding, inform the design of more strategic approaches, and enhance accountability. A more strategic approach can be encouraged by evaluations that link programme, policy and project levels across governments and among donors. As new instruments for improved aid effectiveness emerge in the conflict field (and in development assistance overall), tools and approaches for evaluation are evolving as well.[10]

12. Yet, aid practitioners and programmers have sometimes resisted evaluation. They frequently assert that evaluation takes time, consumes scarce skills and resources, makes futile attempts to quantify the unquantifiable, puts forward unrealistic recommendations or diverts management and staff attention away from other vital and urgent tasks.[11] Many practitioners feel that established evaluation approaches are inadequate for assessing the nuanced work of conflict prevention and peacebuilding (such as measuring changing attitudes or cultural shifts).[12] As elsewhere, this resistance to monitoring and evaluation must be overcome, not least because evaluation is becoming a nearly universal obligation of many funders (including both public and private donors). Furthermore, policy makers and practitioners have begun to appreciate the need for better evaluation in order to learn from experience, professionalise peace work and improve policy making, co-ordination and programming. It is hoped by many that better learning from evaluation will increase effectiveness.

13. Given this growing interest in and support for evaluation and the large investment of resources in conflict prevention work, it is perhaps surprising that there is still comparatively little evidence demonstrating the effectiveness of conflict prevention and peacebuilding work.[13] Part of the explanation for the lack of systematic evaluation can be explained by the perception that this field pose special challenges to evaluation, including:

> The conflict context, which involves high risks to security and human life, in a complex, rapidly changing environment.
>
> This is an emerging and fast-evolving area, and its policy framework is still developing.
>
> Relatively limited theoretical foundations, including lack of agreed upon or proved strategies of how to effectively work towards peace. Strategies put forth or programmes suggested are often contested, and it can be difficult for those working in this field to back up their actions with sound empirical evidence.
>
> The lack of preconditions and inputs for effective evaluations – including no baselines, little monitoring, and missing, unreliable or contradictory data, as well as the often ineffective articulation of objectives and theories, which makes programmes less easily "evaluable."[14]

[10] See for instance recent work on joint and multi-donor evaluations, country programme evaluations, impact evaluation and general budget support evaluations: www.oecd.org/dac/evaluationnetwork.

[11] Anderson and Olson, 2003.

[12] Church and Shouldice, 2003.

[13] According to the OECD DAC, Official Development Assistance (ODA) for conflict prevention and peacebuilding more than doubled during the period 2000-05, as measured by reporting on the six conflict codes (security system management and reform; civilian peacebuilding, conflict prevention and resolution; post-conflict peacebuilding; reintegration and SALW control; land mine clearance; and child soldiers). Overall, ODA flows increased from about USD 650 million in 2000 to more than USD 1.6 billion in 2005. However, these figures are incomplete, as they do not include large non-ODA expenses for security-related spending in areas such as demilitarisation, the training of military in non-military matters such as human rights, or the extension of ODA in relation to peacekeeping activities.

[14] Evaluability: the extent to which an activity can be evaluated in a reliable and credible fashion, *i.e.* are its objectives adequately defined and its results verifiable? (OECD, 2002).

The lack of clearly stated and testable *theories of change* (the implicit or explicit understandings of how one hopes that what one is doing will contribute to peace).

Differences in terminologies, planning cultures and approaches between various actors working in conflict areas (defence, development, humanitarian, trade, diplomacy, etc.).

The difficulty of understanding impacts and assigning attribution.[15]

14. For these and other reasons, evaluation of conflict prevention and peacebuilding efforts has only recently been carried out systematically. The field needs to build its own learning and accountability tools to contribute to the professionalization of interventions, including the identification of best practices. This guidance works to facilitate an important step in that direction.

Key terms

15. Given the continued evolution in this field, working definitions of key terms and concepts have yet to be settled. Overly flexible and holistic definitions lead to fragmentation of efforts and lack of selectivity in prevention interventions. A lack of consensus on vocabulary can create confusion and forms a barrier to harmonised or co-ordinated approaches. Reaching agreement on terminology would help harmonise policies within the development community. To contribute to this ongoing process, a list of terms and concepts is included in Annex 1. The following explains key concepts as they are used in this guidance.

Understanding peace

16. A frequent complaint heard among evaluators in this field is the lack of clarity and consensus regarding the actual goals of peacebuilding work. What does it tangibly mean to contribute to peace? A variety of definitions or understandings of peace are at play in conflict prevention and peacebuilding contents. For example, Johan Galtung made the distinction between negative (absence of war) and positive peace (society without physical nor structural violence). An emerging common understanding in the field is that the path to sustained peace leads through conflict transformation and social change[16] and finally a set of building blocks needs to be in place when positive peace is approached.[17] There is still debate about what peace is and how it can be achieved; such debates have proved to be an obstacle for evaluations in peacebuilding. Achievements in conflict prevention and peacebuilding cannot be evaluated without a clear vision of what kind of peace should be built – making it all the more important for those planning, implementing or evaluating peace work to be clear about what meanings or implicit definitions are in use. Making implicit understandings of peace explicit will be useful to both evaluator and planner and will help co-ordination.

Peacebuilding

17. "Peacebuilding" has become an overarching term for an entire range of actions designed to contribute to building a culture of peace. The term peacebuilding became part of the policy vocabulary through the *United Nations Agenda for Peace: Preventive Diplomacy, Peace Making and Peacekeeping* of

[15] Attribution is the ascription of a causal link between observed (or expected) changes and a specific intervention. While attribution poses a problem in all social sciences, in fluid conflict contexts attributing the impact of any particular policy or single intervention on the complex array of actors and dynamics can be even more difficult. For example, actors working from other directions beyond the scope of the evaluation (military interventions or trade policy for example) may actually be responsible for changes that are attributed to conflict prevention or peacebuilding activities.

[16] Lederach, 2002.

[17] Paffenholz and Reychler, 2007.

1992, and has evolved considerably among practitioners, policy makers and the general public over the past decade.[18] The mid-1990s witnessed a rapid increase in peacebuilding activities by a variety of actors, ranging from international and regional organisations (the United Nations, the European Union, the African Union) to academic institutions, foundations, civil society groups, social movements, business groups, and the media.

18. Peacebuilding has often been described in the post-conflict context (though the term is used by some before and during conflict) as action to identify and support measures and structures that will strengthen and solidify peace in order to avoid a relapse into conflict.[19] For this guidance, "peacebuilding covers a broad range of measures implemented in the context of emerging, current or post-conflict situations and which are explicitly guided and motivated by a primary commitment to the prevention of violent conflict and the promotion of a lasting and sustainable peace."[20]

Conflict prevention

19. A decade ago, conflict prevention referred only to actions undertaken in the short term to reduce manifest tensions and to prevent the outbreak or recurrence of violent conflict.[21] It now includes long-term engagement as well as short-term responses.[22] It addresses the built-in capacities of societies to deal with conflicting interests without resort to violence.[23] It also extends to the management of disputes with destabilising potentials. Such work helps de-legitimise the belief that violence is an inevitable or acceptable way of resolving disputes, making non-violent alternatives known and more attractive, addressing structural and immediate causes and reducing vulnerability to triggers.

20. The goal is not to prevent *all* conflict. Some conflict is natural, inevitable and often a positive part of development and other change processes. Instead, the emphasis is on preventing harmful *violent* responses to the inevitable diverging interests or clashing objectives extant in all societies.

Conflict prevention, peacebuilding and conflict sensitivity: When to use this guidance?

21. Comparative analysis of activities across contexts and times shows that a policy or approach that was labelled "conflict prevention" or "peacebuilding" in some places is not necessarily described as such elsewhere.[24] The confusion over definitions of conflict prevention and peacebuilding leads many to assume (falsely) that by being "conflict-sensitive" they are *ipso facto* also doing peacebuilding work. It also leads many people working in conflict to assume that advances in critical structural areas will contribute automatically to the reduction of conflict and the promotion of peace. For instance, many donor-funded programmes and policies are undertaken on the assumption that progress towards liberalisation, economic growth, prosperity, human rights and democracy contribute to peace. Evidence shows that this is not always the case – while some of those efforts do contribute to peace, others have negative or negligible

[18] The concept was subsequently elaborated in Security Resolution 1325 on women, peace and security in 2000. In February 2001, a Security Council Presidential Statement recognised that peacemaking, peacekeeping and peacebuilding are closely interrelated. In 2004, the United Nations High Level Panel on Threats, Challenges and Change clarified that peacebuilding should focus on state building, usually but not exclusively in post-conflict countries. The UN has established the Peacebuilding Commission, which now co-ordinates conflict prevention and peacebuilding efforts.

[19] UN, 1992.

[20] DAC Issues Brief, 2005.

[21] See OECD Development Ministers' Statement on Conflict, Peace and Development Co-operation (May 1997) in OECD DAC, 1998 and 2001.

[22] Some policy makers and academics distinguish between *operational* and *structural* prevention or between *early* and *late* prevention. For the purposes of this guidance, conflict prevention comprises all of these categories. See for example Menkhaus in Picciotto and Weaving, eds. 2006.

[23] See OECD Ministers' Statement on Helping Prevent Violent Conflict in OECD DAC, 1998 and 2001.

[24] OECD DAC and CDA, 2007.

effects on violent conflict. Development co-operation should therefore deliberately *work in and on conflict* rather than simply attempting to get *around* conflict.[25]

22. Given this confusion, the following definition of conflict prevention and peacebuilding was developed to serve as the basis for this guidance:

> **"Conflict prevention and peacebuilding activities" are projects, programmes, policies, strategies or other interventions that adopt goals and objectives aimed at preventing conflict or building peace; they are usually (but not always) focused on a particular conflict zone – an area threatened by, in the midst of, or recovering from serious intergroup violence.[26]**

23. Using an intervention's goals and objectives as the determining criteria helps to clarify the difference between "conflict-sensitive programming" and conflict prevention and peacebuilding activities. The focus of this guidance is on policies and activities working *on* conflict – meaning they are intentionally trying to impact conflict and peace prospects, not on conflict-sensitive evaluations *per se* (though some policies or projects working *in* conflict may also benefit from this guidance and some advice will be furnished on conflict sensitivity). All efforts undertaken in conflict areas should be conflict-sensitive. Interventions intended to prevent conflict and build peace must *also* be accountable for their effectiveness in impacting on the specific factors that drive and shape conflict and the contributions they make to peace.[27]

24. Still, a goals-based definition can be difficult to operationalise. In order to provide a more practical definition, four key categories of conflict prevention and peacebuilding action and strategy were outlined while developing this guidance.[28] The first category covers interventions that support the promotion of a culture of justice, truth and reconciliation, which can be critical in post-conflict regions in order to heal the wounds of conflict and reconnect society. Second, capacity building and promotion of good governance are critical to human security, especially where states are unable or unwilling to deploy peaceful means to resolve conflict or sustainably and independently facilitate provision of key basic services. Third, conflict prevention and peacebuilding policies and actions often work to create incentives for systems that promote the peaceful resolution of conflict. Supporting reform of security and justice institutions – including the judiciary, penal, policing, parliaments, defence and military actors – is critical and should be seen as a long-term project to achieve democratic governance over all security institutions and forces while developing a wider justice and security system that upholds the rule of law and respect for the dignity of poor people. Finally, socioeconomic development and the policies to support it also matter, before, after and even during hostilities. Addressing structural violence and inequality is essential to reducing tensions and enhancing a society's capacity to prevent violence – and is thus often a focus of conflict prevention work.

25. Figure 1 outlines examples of these types of work, to which this guidance could be applied, and is meant to promote thinking about the interrelated areas of intervention that are required to promote sustainable peace. This is not an exhaustive list. The list is indicative and should not be interpreted as a

[25] OECD DAC, 1998 and 2001.

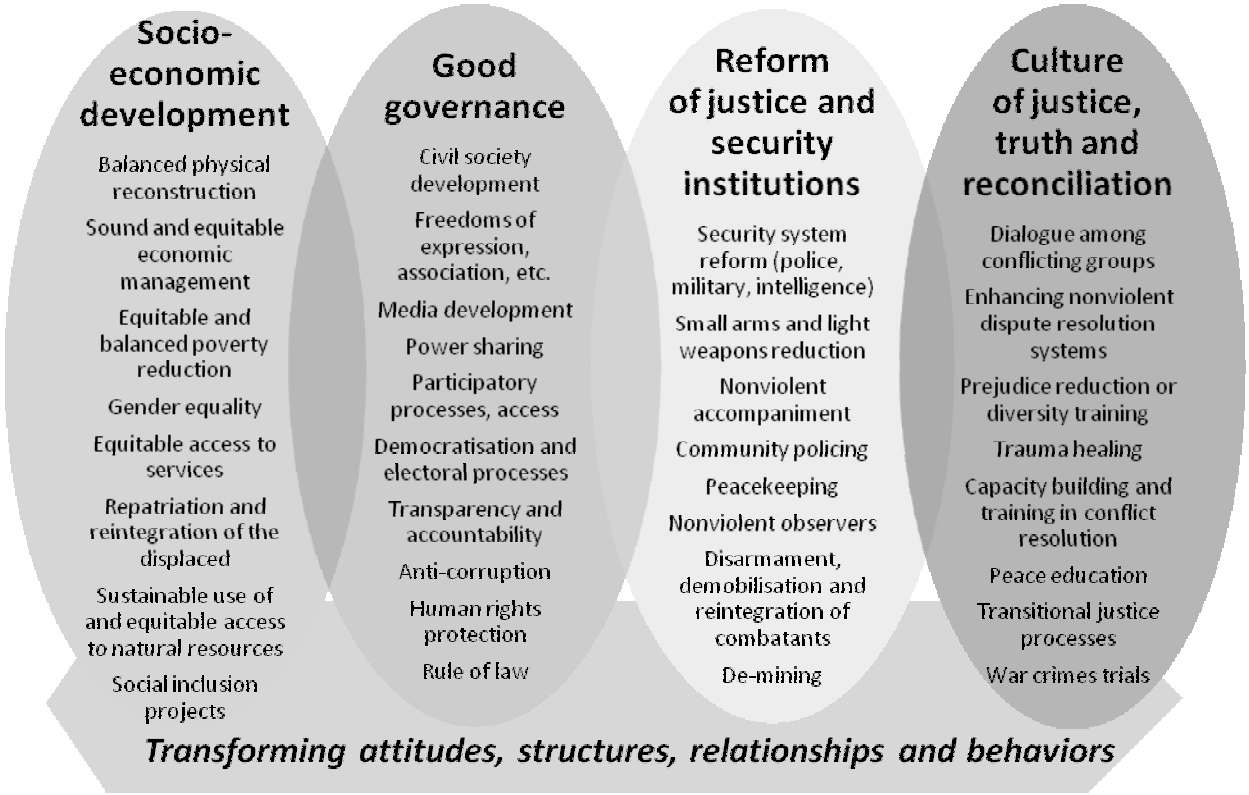
[26] There is no internationally agreed definition of the term "violence". The term "intergroup violence" is used here to distinguish the intentional and illegitimate use of armed force, including both inter- and intra-state conflicts, from other types of violence such as criminal activity and interpersonal violence. While some conflict prevention and peacebuilding activities may address such forms of violence, this guidance deals primarily with intergroup violence (war).

[27] For a more detailed discussion on the differences between conflict-sensitive development and explicit conflict prevention and peacebuilding activities, see the OECD DAC and CDA, 2007.

[28] A joint workshop of the CDA Collaborative Learning Projects and members of the DAC Network on Development Evaluation and the DAC Network on Conflict, Peace and Development Co-operation was held in Oslo in 2006.

limitation on the types of interventions that could contribute to peace – nor do all listed interventions necessarily always contribute to peace.

Figure 1. 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)

OVERVIEW OF KEY STEPS IN PLANNING AND EVALUATING CONFLICT PREVENTION AND PEACEBUILDING WORK

1. Introduction

26. Each of the challenges mentioned in the introduction makes choosing a specific approach to evaluating conflict prevention and peacebuilding activities and policies particularly difficult. Established evaluation approaches may be more or less useful before, during and after widespread violent conflict. Many working in the field, both evaluators and programmers, feel frustrated by "standard" evaluation approaches, claiming that they fail to capture many of the significant dimensions involved in working in situations of conflict and fragility.[29] Questions of measurement, time scale, data, complexity and attribution have repeatedly been highlighted as particular weaknesses of established methods when these are applied to conflict prevention and peacebuilding evaluations.[30]

27. This section contributes to resolving these concerns by outlining general principles for the evaluation process, including a general approach to planning and conducting an evaluation. In addition, a list of common evaluation methods, with highlights of conflict-specific strengths and weaknesses, are outlined in Annex 7. The following principles should be taken into account during planning, included in the Terms of Reference (TOR) and carried throughout the evaluation process. When applied carefully, these principles can enhance the credibility, use and rigour of the evaluation processes and products.

Box 1. Assessing the Impact of Development Cooperation in Conflict Zones

[Possible example from North East Afghanistan to be added by Germany]

Source :

2. Some basic principles

28. There is not one correct or blueprint approach for undertaking conflict prevention and peacebuilding evaluations. Evaluation is a toolbox and the golden rule is to apply the right tool for the right question. It follows therefore that one must first consider the uses of the evaluation and its purpose. What do we need to know for accountability or learning? What information could help improve programme design or influence policy making? Once the use and purpose of the evaluation have been determined, and conflict analysis carried out, the choice of the approach will be more straightforward.

29. Given the complex nature of such interventions it is often necessary to combine different approaches in order to answer the evaluation questions. Today, the most commonly used method in development evaluation is a *mixed method results-based approach*, using both qualitative and quantitative information. Other approaches may also be useful, depending on the context. Most such evaluations provide useful information on results at output and outcome levels, and on processes. Single-method evaluations are not considered adequate for conflict prevention and peacebuilding analysis.[31] The

[29] Church and Shouldice, 2003.
[30] See, among others: FAFO, 2006; OECD DAC and CDA, 2007; Church and Rogers, 2006; USAID and Management Systems International, 2006.
[31] OECD DAC and CDA, 2007.

advantages and disadvantages of a particular approach, or combination of approaches, should be considered in light of the evaluation purpose, context, budget and time available.

Conflict sensitivity

30. Sometimes policies, projects and programmes working in or on conflict *do harm* – often without intending to.[32] Doing harm in a conflict situation means having impacts (intended or not, direct or indirect) that aggravate grievances, increase tension or vulnerabilities, or perpetuate conflict in some way. The notion of *conflict sensitivity* is intended to mitigate such harm by encouraging systematically taking into account both the positive and negative impact of interventions on the conflict contexts in which they are undertaken, and vice versa.[33] This issue first emerged and entered policy discussions in the context of humanitarian interventions, and soon spread throughout the development field. Conflict sensitivity is now a key pillar of development policy and intervention strategies.[34]

31. It has now become clear that efforts to address conflict issues directly or prevent violence can also do harm by failing to account for the inadvertent impacts of their hiring, targeting, timing, and other decisions on the conflict.[35] In other words, just because they are "conflict prevention and peacebuilding efforts", that does not mean they are exempt from being *conflict-sensitive*. It is also evident that evaluations taking place before, during or after a violent conflict should be sensitive to conflict.

32. The evaluation process itself should be conflict sensitive and an evaluation of the evaluators; a self-review or an introductory statement to the evaluation report may explain what measures were or were not taken to ensure the conflict sensitivity of the evaluation itself. In a separate step, the evaluators will also assess whether or not the evaluation target has been conflict sensitive. For a list of tools used in creating and evaluating conflict-sensitive evaluations, policies and programmes, see Annex 5.

Box 2. Conflict (in)sensitive evaluation

[EXAMPLE NEEDED: Example of sensitive or insensitive evaluation? Illustration of problematic "Hawthorn effects"? Staff, translators or others being threatened / harmed after participating in evaluation? Other…]

Gender awareness

33. Field experiences and extensive research show that the way women and men experience, engage in and are affected by violent conflict differs according to their gendered identities.[36] Conflict itself can often play a major role in forming a society's understanding of and responses to gender roles (what it means to be a "man" or "woman" and what is expected of and tolerated from each), and vice versa. Additionally, violent conflict is nearly always accompanied by a surge in violence towards women.[37]

[32] Anderson, 1999a.
[33] International Alert, 2007a.
[34] For instance, the OECD has produced guidelines which assert that international assistance must, at a minimum, avoid negative effects on conflict, and, where possible, make a positive contribution to conflict prevention and peacebuilding. *DAC Guidelines on Helping Prevent Violent Conflict* (2001 and 1998): www.oecd.org/dac/conflict/preventionguidelines.
[35] Anderson, 1999b and Uvin, 1999.
[36] See, among others: International Alert, 2001; USAID, 2007a; United Nations Development Programme, 2002; Sida, 2003.
[37] USAID, 2007a, p. 11.

Specific work has developed in the area of gender, peace and security in recognition of this.[38] Further resources on gender and conflict can be found in Annex 2.

34. A clear and critical understanding of gender within the particular conflict context is therefore extremely important for both evaluators and programmers. Overly simplistic views of men and women in conflict are often based on misleading stereotypes (man as aggressor, woman as victim) which are neither accurate nor useful and can lead to poorly designed or mis-targeted interventions that do not contribute to reducing violence nor consolidating peace, and that can even have harmful effects.

35. Those planning an evaluation will need to determine how this understanding will be taken into account when conducting the evaluation, and whether gender ought to be included as an evaluation theme or focus. The evaluation team should both take this issue into account in their own work *and* consider it during their evaluation of the activity in question.

Box 3. Confronting psycho-social trauma

Psycho-social trauma may affect much larger numbers of people than is often evident to an outsider, particularly one unfamiliar with the local language and untrained in the diagnosis of post-traumatic stress disorders. People being interviewed during or after a major violent conflict may have experienced violence first-hand; they may have been forcibly displaced, had relatives and friends killed, or perhaps seen their personal, social or cultural identities shattered. Chronic insecurity and widespread gender-based violence, including the systematic use of rape and other forms of torture, compound trauma. Widespread trauma will no doubt impact interactions between local people and evaluator teams and should be handled with great care. The value and use of information collected from locals will have to be weighed against the potentially harmful effects of explaining traumatic experiences to evaluators. Exposed to such extreme experiences, and perhaps having themselves experienced or witnessed violence, it is not unheard of for members of evaluation teams to also experience mild forms of traumatic stress disorders. The practice of offering counselling or other support to returning evaluators should not be ruled out.

Source : Adapted from the DAC Guidance on Evaluating Humanitarian Aid in Complex Emergencies (OECD, 1999).

Protection and ethical responsibilities

36. Evaluation managers need to be aware of the fact that conducting evaluations in conflict zones may put evaluation teams and stakeholders at risk. Protection concerns have to be included in evaluation design, budgeting and management – especially when widespread violence is imminent or ongoing. Evaluators or teams should be closely linked to in-country offices and the security management system. In addition, evaluators should keep in mind that the way they act, including both the explicit and implicit messages they transmit, may affect the degree of risk. In this context it is especially important to consider the safety of interpreters and other local staff, partners and beneficiaries, whom evaluators may inadvertently expose to greater risks than they themselves face. Ethical issues that may arise during the evaluation, particularly as they relate to the approach chosen, should be made clear through the conflict analysis, be addressed at the outset of the process and included in the terms of reference. This is part of doing a conflict sensitive evaluation.

Other considerations

37. Fundamental principles of established evaluation practice should be applied (see for example the DAC Evaluation Quality Standards). Independence of an evaluation team, participation, transparency and

[38] See for example the International Alert website: www.conflictsensitivity.org.

inclusiveness are particularly important evaluation principles when working in this field. Local stakeholders should be involved in planning and conducting the evaluation as much as possible, in order to ensure a transparent process that will be valued and accepted by those directly affected. However, particular care must be taken when deciding whom to involve and how in the context of violent conflict. Annex 7 discusses using participatory approaches in conflict zones. Transparency, a basic evaluation principle, can be a key dimension of conflict-sensitive work: a transparent process in both programming and evaluating can help reduce suspicion and tension, though the degree of openness may depend upon security concerns.

3. Outline of the main elements

38. Building on the principles outlined above, this section begins with key "upstream" measures or preconditions for evaluation for policy makers, programme managers and planners (3.1). These suggestions will help staff and policy makers prepare for, support and learn from evaluation. Next, three sections (3.2 – 3.4) overview planning, conducting and reporting evaluations. These sections will be of use to those commissioning, planning, or conducting evaluations as well as those policy and programme staff preparing to be involved in or learn from an evaluation. These sections cover some key steps to consider when evaluating conflict prevention and peacebuilding activities, including dimensions of established evaluation practice as adapted to the specific challenges in this field.

Please note that the elements below are ***not necessarily sequential*** *and may be ordered differently, or may be more or less important, depending on the individual evaluation purpose and context.* The roles of individuals in the various steps are specified where relevant.

3.1 Preconditions: Programming to improve work and strengthen evaluation

Summary: Key steps for policy makers, programme planners and managers

Establish relevant, clear and measureable objectives
State an explicit theory of change and programme logic
Complete and monitor a conflict analysis
Develop and monitor relevant indicators
Focus on strategy and policy coherence
Conduct systematic, rigorous evaluation

39. This is not a guide on how to plan, fund, manage or implement policies or projects that try to prevent conflict or build peace. However, as outlined above, there is a general need for further development in each of these areas. Better intervention strategies and policy coherence are needed to make progress towards peace. Donors cannot rely solely on aid but must look at other policy instruments and their impacts on conflict and the chances for peace. Strategic engagement at various levels and across and between governments is essential.[39] Systematic, independent and rigorous evaluation should be leveraged to help improve practices and policies in this field as well. Consistent, high-quality evaluation at both the project/programme level and the strategic policy level will contribute to improving effectiveness.

[39] For more on policy coherence and international development assistance, visit: www.oecd.org/development/policycoherence.

40. In turn, programme managers and policy makers can *better support and learn from evaluations* by helping to systematically establish certain preconditions for evaluation. Ideally, a number of conditions should be in place before an evaluation process begins. The most essential elements are: baselines (including a conflict analysis) and future scenarios; clear and measurable objectives; a testable programme logic and theory of change; and monitoring tools, including performance information and indicators (in order to measure achievements on the way). Conflict prevention and peacebuilding activities often lack some or all of these preconditions for a variety of reasons, especially when they are performed during and after open armed conflict, (often due to the often limited time for planning). This is similar to evaluations of complex emergencies.[40]

41. To help address the above-mentioned issues, some programme planning, monitoring and management elements are covered in Annex 3. Programme planners, policy makers, implementing staff and managers, and evaluators can work together to strategise about how best to confront these issues before, during and after the evaluation process.

Box 4. Integrating analysis, evaluation and redesign

DFID used a full strategic conflict analysis study as the basis for a conflict prevention and peacebuilding evaluation of its entire programme in Nepal. This "Conflict-sensitive Programme Review" then fed into a revised country strategy. Among the changes that came about was a greater emphasis on transparency, because it had been shown that this could reduce tensions locally and prevent Maoist interference. The review also highlighted the need for an active "equal opportunities" policy to ensure that all social groups were represented among DFID staff. Conflict analysis, strategy and evaluation were integrated.

Source: Vaux for OECD and CDA, 2007.

3.2 Planning and preparing the evaluation

Summary: Key elements of planning an evaluation for those commissioning or preparing evaluations

- ✓ Define the purpose and use of the evaluation
- ✓ Decide the scope of the evaluation
- ✓ Outline key evaluation questions
- ✓ Do or obtain a conflict analysis
- ✓ Take timing and logistical issues into consideration
- ✓ Co-ordinate with other actors
- ✓ Consider conducting a joint evaluation
- ✓ Select evaluation criteria
- ✓ Devise evaluation management
- ✓ Develop Terms of Reference
- ✓ Select the evaluation team
- ✓ Contracting

[40] See DAC Guidance for Evaluating Humanitarian Assistance in Complex Emergencies: http://www.oecd.org/dataoecd/9/50/2667294.pdf.

3.2.1 Define the purpose and use of the evaluation

42. Begin by asking: What is this evaluation meant to ascertain? Defining the purpose and objectives of an evaluation is the most important planning step. If the purpose is not clear, the evaluation will not be clear. An evaluation can have a number of different purposes (sometimes simultaneously), such as:

Learning and improvement: Systematise knowledge of results and performance, which can help improve this or similar activities. Evaluations carried out while a policy is still being applied or a programme implemented are useful for improvement. (This type of purpose is most relevant to immediate stakeholders and those planning or implementing similar projects.)

Accountability, control or documentation: Find out whether an activity has been performed as intended and/or whether the expected results have been achieved. (Accountability-oriented evaluations are mostly useful for donors and the wider public.)

43. Determining the *uses* of the evaluation is closely linked to deciding its purpose. Who is to receive the findings, who is the audience and what will they do with the results? Will the evaluation be used for programme or policy redesign? Renewed funding decisions? For the design of future similar activities? To learn about processes? To test theories of change?

44. The *usefulness* of the evaluation results is an important principle for all evaluations – especially in this field, where, as mentioned previously, there is some resistance to and/or unfamiliarity with rigorous evaluation. Evaluations will be in higher demand if the stakeholders involved find the results of evaluations useful for their own work.

Box 5. What are evaluations used for?

The following examples, from donor agency evaluations of conflict prevention and peacebuilding work, highlight different ways evaluation can be used:

Accountability and documentation: "The aim of the review was **to assess whether support has led to increased stability** in the Palestinian territories."

Control and learning: "This report was prepared **to ascertain whether** Asian Development Bank policy conditions had been met and whether they led to achievement of the Tajikistan Post Conflict Infrastructure Program's stated objectives or purpose."

Learning: "This review was commissioned in order **to provide a better understanding of the quality and effectiveness** of UK assistance to Security and Justice Sector Reform in Africa."

Improvement: "Sida has commissioned an assessment of lessons learned from support to conflict management and peacebuilding **to serve as an input for devising new strategies** …"

Source: Reports can be found on the Development Evaluation Resource Centre (DEReC) website: www.oecd.org/dac/evaluationnetwork/derec.

3.2.2 Decide the scope of the evaluation

45. The scope should be clearly defined by specifying the issues covered, funds spent, the time period, types of interventions, geographical coverage and target groups as well as other elements of the policy or intervention to be addressed in the evaluation. It is important to delimit the evaluation scope according to purpose, resources and time. Also state the evaluation questions for which answers will *not* be sought. Questions to be asked are: How far along the "results chain" (inputs→ outputs→ outcomes → impacts) will the review or evaluation go? (Note that in the fields of conflict prevention and peacebuilding

the links to the "big picture" can be especially important – see Section 3.3.5.) Will it look for immediate and long-term impacts on institutions, on society or on broad conflict dynamics, and, if so, how?

Table 1. Hierarchy of evaluation scopes

Type of evaluation	Definition	Example
System-wide	Evaluation of the response by the whole system to a particular armed conflict or outbreak of violence	Joint Evaluation of Emergency Assistance to Rwanda (1996)
Partial system	Evaluation of a part of the system (such as a thematic or sector study)	Evaluation of co-operation interventions and French NGO's in crisis and fragile institutional contexts (ongoing 2007)
Single-agency response	Evaluation of the overall response to a particular armed conflict (or series of violent events) by a particular funding, channelling, or implementing agency	Peace and conflict impact assessment of the Swiss Angola Programme (2002)
Single agency, single project	Evaluation of a single project, programme or policy undertaken by a single agency	The Mid-term Review of the Palestinian-Finnish Education Programme (ongoing 2007)

Source: Adapted from OECD, 1999. Example titles drawn from DEReC.

3.2.3 Do or obtain a conflict analysis

46. By definition, one of the primary challenges to evaluating conflict prevention and peacebuilding work is that both the intervention in question and the evaluation itself take place within a conflict context. Whether the evaluation (as well as the activity it is assessing) is taking place during the tense periods before an outbreak of violence (where prevention is the priority), during open conflict or immediately following, or in areas that have experienced major violence in the past and are entering a period of recovery and long-term prevention – the conflict context will have major implications. In some cases, an insecure environment will have profound implications for the achievements and modalities of an activity or evaluation.

47. One of the best ways to face the challenge of working in this context is by using some form of *conflict analysis*. A conflict analysis identifies the key factors relating to conflict and the linkages between them, pointing to sources and dynamics of conflict as well as peace. Preferably this includes a baseline analysis performed during the planning stage of the intervention, as well as updates and conflict monitoring (over time). For comparison, a "current" or updated analysis at the time of the evaluation is also needed. A thorough and up-to-date understanding of the conflict is the first step for a conflict sensitive evaluation process. Also, in order to assess relevance, the evaluation team will need to examine the target's design and impacts in relation to a conflict analysis.

48. Evaluators will always need to have some sort of conflict analysis, though they may not necessarily need to perform one themselves. For instance, the evaluation could be based on analysis provided by a donor agency, the evaluation target itself, a third party or a participatory process with stakeholders; or, it could be an assessment commissioned specifically for the evaluation. An activity may have included a conflict or risk analysis in its planning processes. If such a baseline exists, evaluators will need to consider whether this was accurate, whether it was translated into relevant strategies and objectives, whether it was adapted to the conflict over time, and any further constraints that have been

created by the conflict situation. Was the analysis kept up to date and did the programme adapt appropriately?

49. A simple and practical way of developing an analysis is to conduct a workshop with key stakeholders. As it is not always possible to get all competing perspectives from the different parties at the same time, it may be necessary to interview other people (including representatives not necessarily directly involved in the conflict) separately to gain a wider understanding of the conflict. Beware that it will likely be difficult to gain consensus on the nature of the conflict – contending groups will not agree.

50. There are many different models and frameworks for conflict analysis used by development co-operation agencies and others engaged in working in and on conflict. Those commissioning evaluations need to give conflict analysis careful thought and make explicit the basis for analysis in their Terms of Reference. The analysis method selected should be well-adapted to the context, the evaluation scope and available resources. It follows that those funding evaluations should ensure that resources for the conflict analysis provided are proportional to the task envisaged. Key questions to include are listed in Table 2 and a brief summary of different conflict analysis models or techniques has been outlined in Annex 4.

Table 2. Key questions for conflict and peace analysis

Profile	What is the political, economic, and socio-cultural context? What are emergent political, economic and social issues? What conflict-prone/-affected areas can be situated within the context? What are the geographic dimensions? Is there a history of conflict?
Conflict causes and potentials for peace	What are the structural causes of conflict? What issues can be considered as proximate or dynamic causes of conflict? What triggers could contribute to the outbreak/further escalation of conflict? What strategies for dealing with conflict contribute to violence? What new factors contribute to prolonging conflict dynamics? What factors can contribute to peace? What factors are bringing peoples together?
Actors	Who are the main actors (people who perpetuate or mitigate the conflict)? What are their interests, goals, positions, capacities and relationships? What capacities for peace can be identified? Who can make a difference? What actors can be identified as "spoilers" (those who benefit from ongoing violence or who resist movement towards peace)? Why? Are they inadvertent or intentional spoilers?
Dynamics and future trends	What are current conflict trends? Negative reinforcing cycles? What are windows of opportunity? What scenarios can be developed from the analysis of the conflict profile, causes and actors? How might different scenarios play out given likely future developments (short and long run)?

Source: Adapted from International Alert, 2007a and Paffenholz and Reychler, 2007.

3.2.4 Outline key evaluation questions

51. The evaluation management should develop detailed questions (lines of inquiry) that will be answered. These will largely be determined by the type of intervention, the stage of implementation and what the evaluation hopes to achieve. For evaluations of work in and on conflict, focusing on peace-related queries (as outlined here) sets a standard of high performance in terms of contribution to peace – beyond the critically important standard of conflict sensitivity. Some possible evaluation foci for different types of interventions follow.

52. ***Explicit peacebuilding efforts***, which have incorporated specific goals that deliberately seek to exert a positive effect on conflict in a context where there is ongoing or recently halted violence, could be based on the primary inquiry: Is this effort making a relevant contribution to durable peace, by deliberately and effectively addressing key driving factors[41] of conflict among crucial conflict actors/constituencies?

53. ***Explicit conflict prevention efforts*** that have adopted conflict-related goals and objectives in a context in which there are indications, through early warning systems or other mechanisms of alert, that violence is likely in the short or long term might focus on the question: Is this effort making a demonstrable contribution to preventing violence, either by intervening swiftly to avert escalating violence or by addressing long-term structural drivers of conflict?

[41] Key driving forces are the most important forces driving the evolution of the conflict. They are the elements without which the conflict would be significantly different.

54. ***Development interventions in conflict-prone contexts*** are usually primarily aimed at development objectives such as health, education, and infrastructure, but may also have the potential for making a positive contribution to peace. When evaluating such an effort's actual contribution to peace (beyond assessing conflict sensitivity) evaluators might look at: has an assessment of peace-conflict dynamics been undertaken (and maintained) and has this influenced development programming choices? Does this effort (or could it) engage on key social tensions that have been identified as driving factors of past, current or potential conflict?

55. More information and field tests are needed to determine whether or not it would be useful to evaluate ***humanitarian interventions*** in this way. An evaluation of humanitarian work would likely focus on *conflict sensitivity*, rather than achievement of specific peacebuilding objectives *per se*. [42] Key questions might include: Does the intervention avoid creating tensions within the crisis-affected community; between displaced people and host communities; between agencies over the type and quantity of assistance, etc. For more on evaluating humanitarian assistance see OECD DAC (1999), "Guidance for Evaluating Humanitarian Assistance in Complex Emergencies".

3.2.5 Take timing and logistical issues into consideration

56. There are usually standard time frames for conducting evaluations. Schedules and evaluation plans are often decided well in advance. However, the timing for evaluating conflict prevention and peacebuilding interventions should be determined not only by the phase of the policy, programme or project cycle, but also in relation to current conflict realities – this is part of the ethical responsibilities of those planning and conducting evaluations. Timing of the evaluation should be appropriate for current dynamics of the conflict itself, and useful for informing policy discussion and/or programme adjustments (according to objectives). Those commissioning evaluations may have to adjust their expectations given conflict related restraints. The Terms of Reference (TOR) should be clear about realistic time frames. To identify the right time and good entry points for an evaluation, consider the following questions:

> What is happening in the conflict? At what stage is the conflict cycle? Watch out especially for potential conflict triggers (elections, controversial celebrations, etc.).
>
> Would an evaluation at this moment be disruptive to the policy, project or programme itself?
>
> Would an evaluation provoke political reaction that could undermine the intervention, by calling attention to the intervention or by inadvertently feeding political forces in opposition to a peace process?
>
> Would an evaluation put intervention stakeholders at personal or political risk?
>
> Has the effort been in place long enough to provide useful experience and learning? Is the assessment of outputs, outcomes and impacts based on a realistic time scale?
>
> How long has it been since any previous evaluation or review was performed?

[42] Humanitarian interventions in conflict situations usually do not focus on peacebuilding as a core objective (and often cannot due to the over-riding concern to maintain the neutrality and impartiality of humanitarian action). They may, under certain circumstances, still make a contribution to peace, for example by creating "neutral space" in which dialogue can occur. Humanitarian interventions must, however, always be sensitive to the prevailing peace-conflict dynamics and seek to ensure that they do no harm. For example, external shocks, whether human-made or natural, are likely to have upset social structures and heightened tensions over access to scarce resources (food, shelter, medical supplies etc). In such situations, humanitarians must be careful to avoid exacerbating underlying sources of tension or creating new sources of conflict within communities. Therefore, when evaluating humanitarian action, evaluators might, in addition to assessing conflict sensitivity, also examine the peace and conflict impacts of interventions.

Are there any logistical issues that must be taken into consideration (security restrictions, weather patterns, major national holidays, access to transport, etc.)?

3.2.6 Co-ordinate with other actors

57. To work towards a co-ordinated, "whole of government approach", those commissioning an evaluation, particularly donor governments, should consider the roles of and relationships with other actors in the field. Strategise about involving humanitarian, development, military, security and other key actors in addition to those immediately involved with the programme or policy in question. This is important for promoting harmonisation and consistency of donor work. The evaluation planners will also need to determine whether or not participation from the partner country is appropriate and useful in this conflict context.

58. Increasingly, development agencies, humanitarian organisations and security forces are working together in conflict prevention and peacebuilding environments. The current emphasis among many donors and international organisations on "whole of government approaches" can often mean that a great variety of actors from diverse backgrounds will be involved in any one evaluation. The search for greater co-ordination raises delicate issues in the relationship among diplomacy, defence, development and humanitarian establishments.

59. Conflict prevention and peacebuilding actors (*e.g.* development, diplomacy and defence professionals, humanitarian workers, etc.) are motivated by different policy incentives, speak different "languages", do not operate under the same organisational umbrella and must work together while respecting one another's mandates. They often work based on different or even contradictory theories of change (see 3.3.1 and Annex 6). If humanitarian or development agents refuse to become involved in situations where defence may have the lead, those agencies forgo the opportunity to relieve civilians from the costs of war. Yet joining the "whole of government" effort in the midst of a conflict may risk abrogating the principles of impartiality and neutrality on which their credibility depends. Some have claimed that maintaining an acceptable degree of independence for the evaluation in high-profile armed conflict settings is more difficult than usual, especially when there is reliance on the military for security.[43]

60. Co-ordinating such a diverse group will require special consideration of evaluation team size, pre-departure co-ordination, and addressing differences in intervention methods and theories of change. Evaluators should be skilled and knowledgeable about these various actors and their interplay in pre-, post- and open violent conflicts. Working together for evaluation, if handled carefully, can produce positive results and increase learning. Still, evaluators must be critical and rigorous in examining the roles and effectiveness of all actors involved – both in their own work and that of the evaluation target.

Box 6. Working together in Mauritania

In 2006 an interagency team comprised of members from the United States State Department, USAID's Africa Bureau, USAID's Office of Conflict Management and Mitigation, the Department of Defence's European Command and Special Operations Command Europe participated together in a "Trans-Sahara Counterterrorism Partnership Assessment" in Mauritania. Lessons learned on interagency co-ordination for such joint exercises included the need for: standardised pre-deployment orientation and briefings for personnel engaged in the field; harmonised reporting documents; an interagency pilot activity; and appropriate staffing levels to implement a multi-agency initiative.

Source: USAID, 2007b.

[43] USAID, 2006.

3.2.7 Consider conducting a joint evaluation

61. Joint evaluations (across several donors and programmes or involving the partner country) should be promoted because they can contribute to more harmonised approaches and can generate additional learning about how a variety of activities "add up" in a particular conflict. This can help address (though it does not entirely eliminate) the attribution challenges, and provides insight into the emerging role of cross-donor and cross-ministry/department co-ordination. As in the development and humanitarian fields, joint approaches to evaluations of conflict prevention and peacebuilding are evolving – and should be further encouraged and developed – in step with joint assistance strategies and other new aid instruments.

62. Some joint or cumulative evaluations look more broadly at many – or even all – interventions in a particular conflict zone to assess the combined impacts from those multiple efforts. Steps should be taken to manage the politics of multiple actors that can confuse and weaken evaluation, and to ensure that the learning is sufficient to justify the extra costs of co-ordination. Finally, when joint evaluations are performed, it is critical to include local people so that the "external agenda" (*i.e.* donor agenda) does not distort internal concerns (including evaluation agendas). A number of practical suggestions are contained in the DAC Evaluation Network's "Guidance on Managing Joint Evaluations" and "Effective Practices in Conducting a Joint Multi-donor Evaluation".[44]

Box 7. Joint multi-donor evaluation: Learning together about peace

In September 1999, the Japanese Ministry of Foreign Affairs, Japanese International Co-operation Agency and the Canadian International Development Agency held the "Canada-Japan Symposium on Peace-building for Development" in Tokyo, with the co-operation of NGOs and research institutes. They agreed to a joint review of peacebuilding projects by public and private sectors in Guatemala and Cambodia. The "Canada–Japan Joint Peacebuilding Learning Project" brings a new and unique dimension to evaluation, one that provides greater understanding of what is being learned from the efforts of Japanese and Canadian NGOs and strengthens their mutual capacities to contribute to peacebuilding activities.

Source: Jones, George, and Stanley, 2001.

3.2.8 Select evaluation criteria

63. Determine the most important criteria for meeting the evaluation's objectives. When planning and conducting an evaluation and preparing the Terms of Reference, consideration should be given to the five OECD DAC Criteria for Evaluating Development Assistance, namely relevance, effectiveness, efficiency, sustainability and impact.[45] In the course of the participatory process that led to the development of this guidance, it was suggested that the original five should be supplemented by additional criteria (such as the ones used in the DAC Guidance on Humanitarian Assistance in Complex Emergencies), including: coherence, coverage, linkages and values (means and ends). It is hoped that the application phase will result in feedback on the usefulness of these additional criteria. The use of each criteria in evaluation (including key questions for each) is described further in Section 3.3.4.

[44] OECD DAC, 2006b and OECD DAC, 2000.
[45] For a list of the DAC Criteria see: www.oecd.org/dac/evaluationnetwork

3.2.9 Devise evaluation management

64. Determine procedures and responsibilities for management of the evaluation, *i.e.* who is responsible for what (headquarters, field office, evaluators, partners, etc.). State clearly the level of independence of the team, and state who has the lead co-ordination function. Should there be a reference group?[46] If it is a joint evaluation, should there be a steering group or a management group, or both? How will relations with the partner government(s) be managed, and by whom? Time plans, deadlines and funding should be clear and realistic and be sufficiently flexible to adapt to a rapidly changing context.

3.2.10 Develop Terms of Reference

65. The particularities of evaluating in this field, as well as the various planning steps detailed here, should be reflected in the Terms of Reference (TOR). TORs outline what is expected of the evaluator or evaluation team. This document will help guide the evaluation process and is agreed to by those commissioning, planning, managing and conducting the evaluation. TORs should specify to whom exactly reports will be sent and whether or not a final report will be published. Annex 8 has a sample TOR.

3.2.11 Select the evaluation team

66. An evaluation team made up of members with complementary skills and views is recommended. People who are themselves knowledgeable about conflict and peace are critical to the quality of conflict prevention and peacebuilding evaluations. However, it is equally important to have knowledgeable evaluation experts in the team. A mix of insiders and outsiders from the conflict and the intervention contexts and good gender balance are also to be considered. Particular attention needs to be given to the perception of bias of the team. Box 8 outlines key questions to guide choosing the evaluation team.

Box 8. Composing an evaluation team: Questions to consider

Given the purposes of the evaluation and the main lines of inquiry, what are the needed attributes (skills, experience, relationships) of an evaluator or evaluation team?

In particular, does the team have demonstrated knowledge of the conflict prevention and peacebuilding field and practice; ability to perform conflict analysis; knowledge of evaluation approaches and methods; experience in the country/region involved; relevant language skills?

What is the working style of prospective evaluators? Does he/she (do they): a) demonstrate skills and comfort working in potentially dangerous and politically sensitive situations in a calm, non-threatening manner; b) employ interpersonal approaches that are transparent, trusting and evoking trust; and c) exhibit skills for managing conflicts and tension?

How will the team be viewed by conflict actors? Might certain individual characteristics – based on (perceived) religion, skin colour, gender, nationality and language, for instance – expose the team to additional risks or accusations of bias in this particular conflict context?

3.2.12 Contracting

67. Evaluation contracts need to follow the rules and guidelines of the commissioning agency. Once the outline plan of the evaluation is clear, and the TOR complete, the agency or department will either conduct the evaluation in-house or contract out the evaluation. This may depend on the size and complexity of the contract as well as the available expertise and staff resources. When the evaluation is

[46] A reference group is generally an advisory committee that helps provide guidance and serves as an intermediary between management and the evaluators. It may also provide independent oversight of the evaluation. The group is made up of a variety of stakeholders and experts.

contracted out, proposals will be submitted by consultants, research groups or research professionals. The managers will then select from various submitted bids.

3.3 Conducting the evaluation

Summary: Key process elements for evaluators

Identify the implementation logic and theory of change

Deal with missing baselines and other gaps

Gather data

Examine the effort using various criteria

Look at the big picture

3.3.1 Identify the implementation logic and theory of change

68. Implementation logic or programme logic are terms used to describe why an activity or policy is doing what it is doing. A **theory of change** is a term closely related to implementation logic that is often used in this field to describe the links between inputs, the implementation strategy and the intended outputs and outcomes. It describes the assumed or hoped causal relationship between the activity or policy and its (intended) effects on larger peacemaking goals. A theory of change can also be described as a set of beliefs about how and why an initiative will work to change the conflict.[47] Such theories can take the simple format: "We believe that by doing X (action) successfully, we will produce Y (movement towards peace)", or be much more complex. Accurate and clearly stated theories of change are necessary for effective programming and should therefore be the subject of evaluation. See Annex 6 for a detailed outline of theories of change and how they can be evaluated.

69. An important related term used in various fields is **programme theory**: an explicit theory or model of how a programme aims to produce the intended outputs, outcomes and impacts. A programme theory often combines a theory of change and an **implementation model**.[48] Well-founded theories of change are at the heart of effective work in all fields.

70. In the peacebuilding and conflict prevention field it is especially important for evaluators to identify and assess theories of change, because these theories are too often implicit, unexamined and untested. For example, in Kosovo the international community operated for several years under the assumption (theory of change) that peace could be achieved by improving relations between the two main conflicting parties. Based on this theory, it funded many programmes promoting dialogue, exchanges, youth interactions, women's groups, and so forth – all aimed at cross-communal relationship building. However, a study found that work *within* each separate community to create more responsible leadership had a much greater effect on peace than the bi-communal work.[49]

71. Some interventions will already have a clearly stated vision of what they hope to achieve, as this will have been done as part of design and planning. Others will either be less explicit or deliberately avoid

[47] Weiss, 1995; Church and Rogers, 2006, p. 11.
[48] An implementation model describes how staff and resources are used to deliver services (Bamberger and Mabry, 2006, p. 191).
[49] CDA Collaborative Learning Projects, in co-operation with CARE International, 2006.

any such statements (often for political or diplomatic reasons). In many (perhaps most) cases, these theories are *unconscious and unstated*. They are embedded in the skills and approaches that conflict prevention and peacebuilding practitioners and policy makers have learned, the capacities of their organisations, personal attachments to favourite methodologies, and the individual perspectives various decision makers bring to the peacebuilding process. Ideas about what will contribute to peace at both micro and macro levels may also be influenced by donor objectives and international political dynamics.

72. Where the theory is not clearly stated it is possible for an evaluator to elicit or discern the logic behind the activity as part of the evaluation process, especially in discussions with the implementation team. In either case, the evaluation will "unpack" and map out the inputs, outputs and desired future outcomes – and the expected connection between these – in order to evaluate whether the strategy being used is logical and effective.

Box 9. Making theories of change explicit for evaluation

An evaluation should explicitly state the underlying assumptions or theory of change of the target policy or programme, as in the following excerpt from a report on Netherlands assistance for the Palestinian Territories:

"The evaluation *takes as a premise* that balanced socio-economic development and a functioning civil society in the Palestinian territories is favourable to the peace process."

However, clearly stating the expected link between programme actions/strategies and peace outcomes is only a first step. The *causal* relationships and assumptions underlying the theory of change should also be examined. For instance, in this example, examiners would want to verify whether or not and how balanced socioeconomic development and civil society contributed to the peace process as assumed.

Source: Makken and Wijmenga, 1999.

3.3.2 Deal with missing baselines and other gaps

73. As mentioned in the introduction, evaluators and evaluation managers will sometimes encounter deficiencies in policies, strategies and interventions, such as: unclear or unstated objectives, an unarticulated theory of change or programme logic, missing indicators, no monitoring data, or no baseline information. To deal with these gaps, consider ways to (re)construct or compensate for missing baselines and other data during the evaluation process (bearing in mind that this can never fully replace solid planning). Tips on how to compensate or work around such gaps without endangering the quality of the evaluation can be found in a number of other publications, *e.g.* the World Bank's guide on evaluating under time and data constraints.[50]

3.3.3 Gather data

74. A key phase of evaluating involves collecting data and obtaining the "story" of the programme or policy, including explanations by the people involved regarding why it unfolded the way it did. Most often, evaluators gather information from a) programme documents and reports, b) monitoring data (if available), and c) field visits and/or interviews with programme staff, partner organisations, local/national officials, participants, and a range of appropriate "publics".

[50] World Bank, 2005; Bamberger *et al.*, 2004. Further advice on qualitative data measures is provided in the "DAC Guidance for Evaluating Humanitarian Assistance in Complex Emergencies".

Box 10. Data in post-conflict situations

"Post conflict situations teem with all types of information: rumours, conjectures, half-truths, first-hand, second-hand and third-hand information, mis-information and sometimes, too, the right information, at the right time to the right people. Interests and agendas of all kinds, concerns over survival and recovery, daily pressures and hopes for a better future affect the dissemination of information in many different ways. Adding to the confusion, few international staff are likely to speak the local languages and radio and television services may be patchy or non-existent."

Source: Ministry of Foreign Affairs of Japan and UNDP, 2002.

75. During and after major violence and in situations of high tension, significant data problems often limit evaluators' work (to different degrees). This section offers solutions to some of the data problems. Others, however, do not have clear solutions – it is important to be aware of the potential difficulties they may cause and to work over time on strategies for improving data reliability. Some key data challenges in conflict contexts are listed below:

Access to reliable data is scarce and misinformation is rife.

Lack of baseline and monitoring data, due to inconsistent engagement, destruction of records, or incompetent/non-functioning collection mechanisms.

There are often political obstacles limiting evaluators' access across conflicting groups. When there is a political motivation for limiting information, programme staff, policy makers and/or local authorities may even block access to certain regions or groups.

Security concerns or physical barriers (such as roadblocks or military checkpoints) may limit data collection.

Often a rapid turnover of staff and a higher-than-usual proportion of inexperienced staff (especially in "hot" conflicts) compound the lack of baseline and monitoring data.

Emphasis on rapid intervention or working during "windows of opportunity" can hinder establishment of baselines and collection of monitoring data.

76. In a conflict zone or just after a conflict, where/when mistrust is rife and most intervention stakeholders also have a stake in the conflict, the reliability of data and information provided (in addition to its simple availability) is often particularly problematic.[51] Various actors may have diverse or even contradictory interpretations of an intervention's impacts (positive/negative) or relevance, based upon their own position within the conflict.

77. To ensure reliability, if possible, use multiple sources or types of information and sound quantitative *and* qualitative data. The data and information used should be triangulated where possible. As much as possible, information sources should be transparent and reliable. Verify the data's validity before analysing them. This is often done with key stakeholders and interview objects. By combining multiple

[51] Reliability refers to the consistency or dependability of data and evaluation judgements, with reference to the quality of the instruments, procedures and analyses used to collect and analyse data. Evaluation information is reliable when repeated observations under similar conditions produce similar results. Reliability contributes to credibility that can be additionally enhanced through a transparent evaluation process (OECD DAC, 1991).

data sources and validation approaches, evaluators seek to overcome the bias that comes from single informants or single observers.

78. Gathering data to understand impacts can become quite complex in a conflict prevention and peacebuilding evaluation. A variety of opinions and perspectives are at play; each may have some validity for individuals, but may contradict other interpretations. To address this complexity, methods should be rigorous about including the full range of points of view, even when those views conflict with one another. In particular, evaluations should, whenever possible, include perspectives both from within and outside the capital, as well as the perspectives of the variety of groups and subgroups (actors and their constituencies) involved in the conflict, even if the interventions work only with one side. To avoid increasing tension between groups, decisions about how to involve various groups should be based on a clear understanding of stakeholder roles and interests (stakeholder analysis). Some sampling methodologies (random sampling for instance) may fail to be fully inclusive. Where access or security concerns impinge on data gathering, other methods – including consulting with proxies – should be employed to ensure the inclusion of perspectives from all sides of a conflict.

79. Many interventions in this field work to prevent conflict by creating change in people's attitudes, thought processes and relationships. Such work often focuses more on supporting *processes* rather than concrete quantifiable outputs and outcomes. Some established types of quantitative data may not adequately address these issues. It is often important therefore to collect attitudinal data, or conduct interviews, workshops or focus group discussions with stakeholders to collect supplementary qualitative data. Measuring intangible changes in areas such as perceptions has been a frustrating and elusive task for many stakeholders in this field. Such concerns should be incorporated into planning, budgeting, data collection and selection of the evaluation approach.

Box 11. How security affects access and data

"Experience shows that ensuring the security of evaluation teams is a major problem. Often we are unable to recruit the most qualified evaluators to visit [conflict-affected] countries. Even when we field the team, evaluators may be unable to visit the site or even talk to the local people. Under these conditions, many evaluations are written in the safe confines of the offices of host governments or of the major funding agencies … [This has serious] implications for strategies of data collection."

Source: Kumar, 2007.

80. Finally, data collection in particular can exert negative or positive effects on the conflict; therefore, special attention to conflict sensitivity, based on a current conflict analysis, is especially important during this phase. Participatory data collection may prove valuable but should be used with caution, because of potential partisanship and the dynamics of power and dominance in conflict settings. (For more on participatory approaches see Annex 7.)

81. The lack of quality data, including missing baseline and monitoring information, remains a serious challenge for evaluations because such gaps limit possibilities for before/after comparisons and makes it more difficult to understand contributions to change over time. Better planning early on (as described in Section 3.1) should help to improve this situation. Still, further exploration and refinement of strategies for dealing with data problems is needed.

3.3.4 Examine the effort using various criteria

82. Apply the criteria chosen in the planning stages to explore the peace effort. This analysis often forms the main content of an evaluation report. Other evaluative lenses might also be applied to a particular intervention, for instance criteria concerning gender, rights-based approaches, and cultural sensitivity – again, this will depend on the scope.

83. The section below outlines each criterion and illustrates the adaptation of the criteria to the conflict prevention and peacebuilding field.[52] The evaluation criteria are interlinked and interdependent. Each criterion sheds light on the intervention being evaluated from a slightly different perspective, to develop as comprehensive a picture as possible of the intervention. As such they are intended to overlap, but not to duplicate. When read together they should assist the evaluation team in developing a clear, holistic understanding of the activity or policy being evaluated.

Relevance

84. The relevance criterion is used to assess the extent to which the objectives and activities of the intervention(s) respond to the needs of the peacebuilding process. The peacebuilding relevance links the analysis of the conflict situation and the peacebuilding process with the intervention's objectives, and thus seeks to find out whether an intervention is on the right track to contribute to peacebuilding. Relevance of the intervention might change over time with changing circumstances. In order to ascertain the relevance of an intervention for peacebuilding, it is also necessary to assess what other actors are present and whether the intervention ties in with overall strategies and policy frameworks.

85. Assessing the interventions' conflict analysis is a key part of evaluating relevance in this field. If a conflict analysis has already been carried out by staff, managers or others involved in the design and implementation, the accuracy and use of this analysis should be assessed. Assessing whether or not the explanation is proving (was proved) accurate will be important not only as an aspect of this particular evaluation but because it contributes to learning and the refinement of theories about why violence occurs and what are the most important determinants of conflict dynamics. If no process of systematic analysis has taken place before, the evaluator team may discuss with staff and stakeholders to understand what underlying (unarticulated) conflict understanding is guiding their work, or facilitate a more formal exercise to develop a conflict analysis with stakeholder buy-in.

Questions about relevance might include:

> Is the conflict prevention and peacebuilding intervention based on an accurate (and up-to-date) analysis of the conflict? Is it working on the right issues in this context at this time?
>
> Does it therefore address relevant causes of conflicts, key dynamics and driving factors, or key driving constituencies of the conflict?
>
> Are the stated goals and objectives relevant to issues central to the conflict? Do activities and strategies fit objectives?
>
> Has the effort responded flexibly to changing circumstances over time? Has the conflict analysis been revisited or updated to guide action in changing circumstance?
>
> What is the relevance of the intervention as perceived by beneficiaries and external observers?

[52] This adaption of the DAC Criteria is mostly drawn from Paffenholz & Reychler (2007) with additions from CDA (2007) and Anderson (2003). It also draws on the OECD DAC (1991) and the OECD DAC Glossary (OECD, 2002).

Effectiveness

86. Effectiveness is used to evaluate whether an intervention has reached its intended objectives, with respect to its immediate peacebuilding environment, in a timely fashion. The key to evaluating effectiveness and thus the linkage between outputs, outcomes and impacts is finding out to what degree the envisaged objectives have been fulfilled, and noting changes that the intervention has initiated or to which it has contributed. Assessment should cover both the *desired* changes the project aimed to achieve, as well as *unintended* positive and negative changes. Some questions to ask might include:

> Has the intervention achieved its stated (or implicit) purpose, or can it reasonably be expected to do so on the basis of its outputs?
>
> Is (or will) the effort achieve progress within a reasonable time frame? Is it possible to accelerate the process? Should the effort be slowed down for any reason?
>
> Does the effort prompt people increasingly to resist violence and provocations to violence?
>
> Do the stakeholders affected have a significant impact on the conflict? (Are the right/key people or many people being addressed?) Were gender and relevant horizontal inequalities (ethnic, religious, geographical, etc.) taken into consideration?
>
> Does the effort result in an increase in people's security and in their sense of security?
>
> Does the effort improve non-violent forms of conflict resolution or power management?
>
> Does the effort result in real improvement in relations among groups in conflict?
>
> What major factors are contributing to achievement or non-achievement of objectives?

87. The implementation or programme logic and theory of change should be tested. Is this the right thing to be doing at this time in this context? Is it based on a reasonable theory and logic, and are these proving (or have they proved) to be true by data collected on outputs, outcomes and impacts? Remember that a programme or policy may *do good* or *do well* and still not change the underlying dynamics or key driving factors of the conflict. Evaluators should try to determine whether such a result is caused by faulty design logic, a flawed theory of change or other factors. Further strategies and real life examples can be found in Annex 6.

Box 12. Types of success and failure

When evaluating it is important to distinguish between and analyse various types of failure. In this field it helps to distinguish a failure of the theory of change from a failure in implementation. Doing so will help increase knowledge about what is working in conflict prevention and peacebuilding, and why. *Theory failure* indicates the failure of a conflict prevention or peacebuilding activity due to a flawed causal relationship, *i.e.* that underlying assumptions about how to make change in this context are false. A faulty theory of change could be based on an inaccurate conflict analysis, or it could reflect misdirected priorities, unintended impacts or mismatched objectives. *Implementation failure* refers to a problem with the execution of the activity itself (inputs/outputs, staff capability, timing, location, or budget) or management systems. Such problems could include sudden changes in the conflict that disrupt or reverse progress, despite an otherwise well designed activity.

Impact

88. The criterion of impact refers to positive and negative, primary and secondary long-term effects produced by an intervention, directly or indirectly, intended or unintended. In the conflict prevention and peacebuilding context the criterion is used to identify and evaluate the effects a policy or programme has had on the peacebuilding and conflict environment. Impacts can be relatively immediate or longer term. It is not necessary to hold a conflict prevention and peacebuilding intervention to an ultimate standard of "achieving peace". Rather, the evaluation should identify the effects of the intervention on the key driving factors and actors of the conflict.

89. Evaluators should assess results at different levels: project, programme, strategy and policy, as well as from the local level to the regional and national level. Analyse the information gathered and assess the effort's results, following the well-accepted "results chain" (inputs→ outputs → outcomes → impacts). Though there are often long time scales for seeing impacts in building or sustaining peace, not all impacts are long term and some will be immediate. Evaluators always need to look at impacts.

90. Changes in behaviour and attitude, in addition to being difficult to measure and subject to setbacks, often take a long time. With this in mind, if evaluators determine that it is not reasonable to expect significant conflict impacts yet, they should focus on outcomes and test the theory of change and programme logic to predict whether the current strategies are likely (over the long run) to make a contribution to peace. When violent conflict is still raging, evaluators may have to focus more narrowly on output indicators for quick measures of visible results and tangible short time span changes in current conditions, rather than trying to evaluate wider outcomes or impacts.[53] Key questions might include:

> How has the situation changed over time, and what is the contribution of the intervention to those changes?
>
> Which changes in attitudes, behaviours, relationships or practices (of how many people/classified according to horizontal divisions) can be ascertained?
>
> Has the intervention led to policy changes? By whom? How do these relate to the conflict?
>
> Are there any secondary negative effects?
>
> *For individual projects/programmes/policies*: What are the primary and secondary, direct and indirect, positive and negative, intended and unintended, immediate and long-term, short-term and lasting effects of the effort? Does it impact significantly on key conflict or peace factors?
>
> *For country strategies, policies, multi-programme or joint evaluations:* What are the combined and cumulative effects, primary and secondary, direct and indirect, positive and negative, intended and unintended, immediate and long-term, short-term and lasting, of the multiple efforts? How do these relate, in non-trivial ways, to the conflict or peace process and its key elements?

91. Understanding all impacts, positive and negative, should involve looking at *conflict sensitivity*. Evaluators may need to be particularly attentive to examining issues such as: the target agency's own ways of working, including hiring of staff, selection of beneficiaries, selection of partners, programme design, etc.; relations with local authorities, including military actors (protecting mandates and humanitarian space); unequal development (taking former and current trends into consideration); and social hierarchies

[53] Some practitioners feel that output indicators are relatively easier to track and may be less susceptible to attribution failures.

(in staff selection and promotion, in relationships with local communities and local authorities, in relationships with partner organisations, etc.).[54]

Sustainability

92. Sustainability is defined as the continuation of benefits from a development intervention after major assistance has been completed. It includes the probability of continued long-term benefits and resilience to risk over time and includes financial, institutional, human resource, management and other elements. As in other fields, sustainability also includes "ownership" of peace and development processes. Experience and peace research demonstrate that peacebuilding processes are long term and thus need long-term engagement that can weather setbacks.[55] In conflict regions this must include addressing "spoilers" who have an interest in sustaining the conflict.

> Which steps have been taken or are planned to create long-term processes, structures and institutions for peacebuilding?
>
> Will new institutions designed to address conflicts survive? Are they being used?
>
> Will hard-won improvements in intergroup relationships persist in the face of challenges?
>
> Will the parties to a negotiated agreement honour and implement it? Are effective mechanisms and incentives in place to facilitate implementation?
>
> Has a meaningful "handing over" or exit strategy been developed with local partners or actors that enable these partners to build or continue their own peacebuilding initiatives?
>
> Have those who benefit from ongoing violence or instability or who resist movement towards peace ("spoilers") been addressed adequately?
>
> Does the effort result in the creation or reform of political institutions or mechanisms that deal meaningfully with grievances or injustices?
>
> Does the effort contribute to momentum for peace by encouraging participants and communities to develop independent initiatives?

Box 13. Efficiency and spending on security

A recent joint evaluation of humanitarian aid and reconstruction assistance delivered in Afghanistan between 2001 and 2005 states that there was an approximately 20% security overhead overall. The evaluation pointed out that these unexpected (or underestimated) costs made the Afghanistan programmes considerably more expensive than similar programmes in other countries.

Source: Chr. Michelsen Institute, 2005.

[54] Anderson, 1999a.
[55] See among others OECD DAC and CDA, 2007.

Efficiency

93. This criterion is used to assess how economically resources/inputs (funds, expertise, time, etc.) are converted to results. In a conflict context, costs associated with prevention work will often be compared with the estimated costs of war or an outbreak of violent conflict. Yet, as averted conflicts are invisible, "counterfactual" analysis comparing costs of prevention can be difficult. In addition to comparing the cost of supporting peace with the costs of war, evaluation should look at priorities – is this particular way of working against violence the most efficient option?

94. When looking at development or humanitarian interventions in conflict areas, evaluators should determine *efficiency as related to other options for supporting peace in this* (or a similar) *conflict context*. Comparing the target with interventions in areas not experiencing serious conflict is not particularly useful, as the costs and risks involved are usually not comparable.

When looking at efficiency, consider:

Does the intervention deliver its output and outcomes in an efficient manner (results against costs)?

How does this particular programme or policy approach compare in costs to other options for achieving the same goals?

How efficient is the general management of the intervention (steering, management, organisational and governance structures and procedures)?

How well are resources used to achieve results?

Coherence (and co-ordination)

95. In the conflict prevention and peacebuilding contexts, a policy, programme or project cannot be assessed in isolation. What may seem appropriate from the point of view of one activity may not be appropriate from the point of view of the system as a whole. It is important to consider the degree to which the intervention is consistent with or aligned to the larger policy contexts (national and international) within which it is taking place; the degree to which it forms part of and is connected to a conflict strategy or overall country framework; and the degree to which it is co-ordinated with other policies, programmes or projects within its conflict environment, thematic cluster or region.

96. It is also important, however, that close co-ordination with other actors/sectors not be assumed to automatically contribute to achieving results. At least two potential negative effects have been identified, namely undue pressure on local actors as a result of a co-ordinated block approach among international actors, and inappropriate influences on the neutrality, impartiality and independence of humanitarian actors. Evaluations should not only assess coherence and co-ordination, but also the value that was generated (if any) by the time and resources invested in co-ordination and coherence, and what (if any) unintended consequences such efforts may have stimulated. Ask questions such as:

Was co-ordination factored into inputs (was it budgeted for) and outputs (is it explicitly listed as an output, and is it part of the expected evaluation reporting)?

Has a coherent approach been institutionalised? Is harmonisation across actors growing?

How much time and what resources were spent on co-ordination? Was it efficient (cost/benefit and appropriateness)?

Did co-ordinated work result in improved coherence in policy?

How were gender and any relevant conflict-specific inequalities taken into consideration when decisions were taken about with whom and how to co-ordinate (especially in the context of co-ordination with local actors)?

What were the main constraints and challenges for coherence? How was good co-ordination achieved, and is it replicable in other situations?

The following optional criteria are provided for use during the testing application phase.

Linkages

97. In the conflict and peace field this criterion covers the connections between activities and policies at different levels and across sectors. There is evidence that evaluating linkages among individual/personal changes and socio-political changes are critical for cumulative peacebuilding effectiveness.[56] This criterion might also be used to examine the links between peacekeeping or peacebuilding interventions and longer-term development processes.

Coverage

98. The coverage criterion may be used for assessing policy-level conflict prevention and peacebuilding efforts and may also apply to programme efforts. It can be assessed within the conflict in question – for example by looking at the coverage of a target population or geographical area. Are certain regions excluded or included and how does this impact the ability to reach all those in need? How does coverage, or the lack of it, affect current conflict dynamics? It may also be applied at a more global level to look at how much attention is being paid to various conflicts. An evaluator might ask: do donor policies effectively cover all (potential) conflicts? How do contributions to one particular conflict region or country – as opposed to another – relate to need? Are there "hidden or forgotten conflicts" that receive little or no international attention?

Box 14. Coverage example

[Example needed of coverage issues, challenges, affects of lack of coverage, evaluating coverage, etc.?]

Consistency with values

99. Interviews with a number of practitioners in this field highlighted the possible need or desire for an additional criterion that would assess the consistency of values in means and ends.[57] Programmers, managers and evaluators have been frustrated by policies and field programmes that claim to support peace, yet work in ways that increase tension, are biased or disrespectful of differences, promote patriarchy and division, or are generally insensitive. Such actions and attitudes are seen as contradicting the aim of peacemaking work. This criterion could also be used to assess *conflict sensitivity*.

3.3.5 Look at the big picture

100. The success of individual peacebuilding or conflict prevention programmes often depends upon the political and diplomatic pressure that the international community has – or has not – exerted on the involved government(s) and warring parties. Conflict prevention and peacebuilding evaluations focused

[56] Anderson and Olson, 2003.
[57] OECD DAC and CDA, 2007.

only at the project and programme or sector level often fail to identify important effects or constraints at the level of the overall system. Evaluation teams should therefore examine the relationship between interventions and the political or diplomatic pressure that the international community, particularly major donors and neighbouring countries, have exerted or failed to exert. This often means that a broader perspective will be needed for conflict and peace-related evaluations. In addition to assessing the implementation, management and outcomes of activities, evaluators should ask whether the activity has, or is connected to, a larger conflict prevention and peacebuilding strategy.

101. Tensions arising among various policy objectives and instruments used by any one agency or government signal that ***policy coherence*** is needed. Disappointment with *ad hoc* conflict engagement or narrow strategies exclusively reliant on aid has further encouraged a surge in research and strategising around policy coherence. Policy coherence has emerged as a key requirement of development effectiveness: all policy vectors should pull in the same direction.[58]

102. Evaluators will likely need to examine other donor policies beyond the official development assistance or particular peace activity in question. When examining donor policies or country strategies in conflict, it is important to consider the possible usefulness of other policy instruments available to a donor or partner government. Funding for a particular conflict prevention project or peacebuilding initiative can be overshadowed, contradicted, or on the other hand supported and sustained, by other actions of the same government(s).

103. Depending on scope, evaluators looking at single projects or programmes should determine what policies or strategies (country strategies, broader policy statements, diplomatic measures, specific approaches to conflict prevention and peacebuilding) apply to the intervention being evaluated. Do the activities square with the relevant policies? If the project is judged successful yet diverges from overall policies or strategies, what does that suggest regarding the policies themselves? If the interventions comply with the policy yet appear to fail, what are the implications for the policy?

104. While it would not be realistic for every single evaluation to cover the entire programme and policy arena, these links must be taken into consideration when planning individual evaluations and when making overall evaluation plans – for example when agencies plan, schedule and budget for future evaluations. When mapping out longer-term evaluation plans, agencies should seriously consider undertaking evaluations that capture and assess these macro strategic issues, in addition to standard project- or programme-level evaluations.

3.4 Concluding and learning from the evaluation

Summary: Concluding the evaluation process and learning from evaluation for evaluators, managers, policy makers and programme staff

Draw conclusions and make recommendations

Ensure quality

Conduct reporting

Disseminate, feedback and engage in a learning process

[58] Manning, 2003.

3.4.1 Draw conclusions and make recommendations

105. The ultimate goal of any evaluation is to answer the key questions asked and present the results in a useful way. Analysis of the collected data should lead to logical conclusions, findings and recommendations that will help improve the evaluated activity or future activities. Findings, conclusions, recommendations and lessons learned should be rigorous, relevant, targeted to the intended users of the evaluations and actionable (meaning those who receive the information are able to act upon it). This should be presented clearly, showing a clear line of evidence to support the conclusions, or providing an explanation if this is not possible. Logical and evidence-based conclusions will help improve comparability across evaluations and between diverse actors in the conflict prevention and peacebuilding field. Over time, such conclusions will contribute to better strategies for intervention in conflict, for example by demonstrating the accuracy (or lack thereof) of conflict analyses, showing whether or not theories of change work, or identifying appropriate indicators.

106. Depending on the type of evaluation, conclusions and recommendations may be developed in a participatory format. For example, initial findings could be presented to a group of key stakeholders who would then work with evaluators to draw useful conclusions. On the other hand, if the focus of the evaluation is on accountability, the evaluators are likely to take a more independent approach.

107. Evaluators may discover major differences of opinion regarding not only what happened, but the value of outcomes and impacts, particularly because individual and group understandings are highly determined by the conflict and their own roles in it. What is viewed as a successful intervention by some groups may have harmed another group or increased tension. As an evaluator it is important to include and balance insider/outsider perspectives, and maintain as objective a position as possible.

3.4.2 Ensure quality

108. Since evaluation recommendations often have policy and funding implications, it is important that they are subject to reliable quality assurance processes. The evaluation team should explicitly address quality assurance (indeed this may be required by those commissioning the evaluation). This will ensure that the vetting of reports goes through several quality assurance steps, including the team's internal rating as well as the commissioning agency's system. The draft DAC Evaluation Quality Standards is a good guide for reviewing evaluation products (such as the final report) and processes.

3.4.3 Conduct reporting

109. Reporting takes place throughout the evaluation process (including during steps listed in Sections 3.2 and 3.3). There are often three main reporting steps:[59]

> **Inception report:** After conducting a conflict analysis and gathering initial information, the evaluators will draft an inception report describing how the team intends to conduct the evaluation and answer the questions set out in the TOR. It presents risks and challenges, the methodology to be used, data collection tools, indicators if relevant, operationalisation of the main questions, case studies (if not selected prior to commissioning the team), the structure of the report and a work plan for the remaining work. Stakeholders usually comment on the inception reports, often as part of a reference group.

[59] Some agencies may also require an "out-brief" before the team departs from a field visit (between the inception and draft reports), to promote accountability.

Draft report: A draft of the evaluation report is often circulated widely for comments, and is a chance for stakeholders to comment on the evaluation. Sufficient time for commenting should be calculated into the overall time frame.

Final report: Though an evaluation may result in many different outputs, a written report is almost always completed. Reports and presentations will need to be translated into locally relevant language(s) to facilitate sharing with all stakeholders. The final report is sent to stakeholders. Target groups for dissemination should be agreed on in the beginning of the process. Many organisations now use the Internet as an alternate means of publishing the report, either in part or in its entirety. In any case, be careful to protect confidentiality (as needed) and the safety of those who contributed to the evaluation.

3.4.4 Disseminate, feedback and engage in a learning process

110. Implement the plans (determined in the preparation stage) for follow-up and dissemination of lessons learned through appropriate means of communicating the results to the target group(s). The commissioning agency should communicate the main findings and concrete recommendations of the evaluation to managers/decision makers. This should be done together with an assessment of the quality of the evaluation. The evaluation team may play specific roles in this process, but follow-up is normally the responsibility of the person or unit that commissioned the evaluation. Guidance on effective feedback practices can be found in the DAC Evaluation Network's "Evaluation Feedback for Effective Learning and Accountability".[60]

111. Sharing the outcomes of an evaluation can be difficult given practitioners' often strong attachment to their strategies and commitment to their work. Receptivity can be enhanced by emphasising the *learning aspects* of evaluation – this may require tact and facilitation skills.

112. Evaluation should feed back into the upstream measures of planning and programme design (outlined in Section 3.3.1 and Annex 3) and help to address some of the challenges in this field by providing more evidence on the validity (or lack) of various theories and providing data for comparison and reference. Evaluations performed while a policy or programme is still in place can be used to adjust or redesign it. Having completed the evaluation and learning process, stakeholders, decision makers, managers and staff should be better able to understand and improve outcomes and impacts, making more lasting contributions to peace.

[60] OECD, 2001.

CONCLUSION

[Content summarising key points/lessons to be added following application phase]

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ANNEX 1
SELECTED LIST OF KEY CONCEPTS AND TERMINOLOGY

activity – actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce specific outputs (OECD DAC, 2002: 15).

attribution – the ascription of a causal link between observed (or expected to be observed) changes and a specific intervention (OECD DAC, 2002: 17).

baseline study – an analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made (OECD DAC, 2002: 18).

conflict analysis – a systematic study of the political, economic, social, historical and cultural factors that directly influence the shape, dynamics and direction of existing or potential conflicts. It includes an analysis of conflict causes and dynamics as well as assessments of the profiles, motivations, objectives and resources of conflict protagonists (CDA: 2007: 21-32 and *Conflict Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding, Tools for Peace and Conflict Impact Assessment*, 2004: Chapter 2).

conflict mapping – a representation of the main aspects of a conflict analysis, illustrating relationships between actors, causes, causal relationships, etc.

conflict prevention – actions undertaken to reduce tensions and to prevent the outbreak or recurrence of violent conflict. Beyond short term actions, 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 ((OECD DAC, 2001: 86 and United Nations, Report of the Secretary General, Prevention of Armed Conflict, 2001: para. 8).

conflict sensitivity – systematically taking into account both the positive and negative impacts of interventions, in terms of conflict or peace dynamics, on the contexts in which they are undertaken, and, conversely, the implications of these contexts for the design and implementation of interventions (*Conflict Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding, Tools for Peace and Conflict Impact Assessment*, 2004: Introduction).

counterfactual – the situation or condition which hypothetically may prevail for individuals, organisations, or groups were there no intervention. (For example: the war that would have occurred had a peacebuilding intervention not taken place)

country programme – one or more donor's or agency's portfolio of interventions and the assistance strategy behind them, in a partner (recipient) country.

driving factors of conflict – the trends, currents, causes or fundamental influences that affect a conflict and help determine its characteristics, direction and ultimate outcome.

evaluability – extent to which an activity or programme can be evaluated in a reliable and credible fashion. Evaluability assessments call for the early review of a proposed activity or programme in order to ascertain whether its objectives are adequately defined and its results verifiable (OECD DAC, 2002: 21).

evaluation – evaluation refers to the process of determining merit, worth or value of an activity, policy or program. It consists in the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision making process of both recipients and donors. (Michael Scriven, Evaluation Thesaurus, Fourth Edition, Sage, 1991 and OECD DAC, 2002: 21).

ex-ante evaluation – evaluation performed before implementation of an intervention (DAC Glossary).

ex-post evaluation – evaluation of an intervention after it has been completed (DAC Glossary).

formative evaluation – evaluation intended to improve performance, most often conducted during the implementation phase of projects or programmes.

fragile state / fragile situation – national, regional and local territories where the state (the executive, the legislative and the judiciary, including central and local authorities) lacks the capacity and/or political will and legitimacy to support equitable development. These situations tend to be characterized by poor governance, to be prone to violent conflict, and to show limited progress towards the Millennium Goals. An aggregate of governance and security criteria, or of capacity, accountability and legitimacy criteria are usually used as measures of fragility.

goal – the higher-order objective to which a development intervention is intended to contribute (OECD DAC, 2002: 25).

impacts – positive or negative, primary and secondary effects produced by an intervention, directly or indirectly, intended or unintended (OECD DAC, 2002: 24). Results that lie beyond immediate outcomes or sphere of an intervention and influence the intensity, shape or likelihood of a conflict.

indicator – quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor (OECD DAC, 2002: 25).

inputs – the financial, human, and material resources used for the development intervention (OECD DAC, 2002: 25).

intervention – a general term to refer to the subject of the evaluation and may refer to an activity, project, programme, strategy, policy, topic, sector, operational area, institutional performance etc. Examples are policy advice, projects, programs (DAC Evaluation Quality Standards).

joint evaluation – an evaluation to which different donor agencies and/or partners participate (OECD DAC, 2002: 26).

logical framework (Logframe) – management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of development interventions.

monitoring – a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an intervention with information regarding the use of allocated funds, the extent of progress, the likely achievement of objectives and the obstacles that stand in the way of improved performance (OECD DAC, 2002: 27-8).

objective (project or programme objective) – the intended physical, financial, institutional, social, environmental, or other results to which a project or programme is expected to contribute (DAC Glossary).

outcome – the likely or achieved short-term and medium-term effects of an intervention's outputs. (OECD DAC, 2002: 28)

outputs – the products, capital goods and services which result from a conflict prevention and peacebuilding intervention (OECD DAC, 2002: 28).

participatory evaluation – evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation (OECD DAC, 2002: 28).

peace analysis – an assessment of the peacebuilding environment, including existing peace efforts, actors, de-escalating factors (reduce armed conflict or tensions), and connectors. (Paffenholz and Reychler, 2007).

peacebuilding – 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 programs and mechanisms," including "short and long term actions tailored to address the particular needs of societies sliding into conflict or emerging from it" (UN Security Council Presidential Statement, S/PRST/2001/5, 4278th meeting, February 2001). 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 (OECD DAC, 2001: 86).

peacebuilding relevance assessment – the aim is to assess whether the overall direction of a planned or ongoing intervention corresponds to the country's (conflict area's) peacebuilding needs as mapped out in the conflict/peace analysis. A PB Relevance Assessment compares the objectives and main activities of the planned or existing intervention with the identified peacebuilding needs, examines how and to what extent they are consistent with needs, helps avoid duplicating other actors' past and present activities (Paffenholz and Reychler, 2007).

policy coherence – the systematic promotion of mutually reinforcing policy actions across government departments and agencies creating synergies towards achieving the agreed objectives (OECD DAC, 2003: 2). There are four dimensions of coherence: a) consistency between ends and means of a policy; b) consistency of policies and activities across government departments; c) consistency of policies and activities pursued by different actors; and d) alignment of policies, activities and processes between external actors and conflict affected or conflict prone countries (Picciotto, 2006: 3).

quality assurance (panel) – quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention or its compliance with given standards (DAC Glossary).

results based management (RBM) – a Management strategy focusing on performance and achievement of outputs, outcomes and impacts.

results – the output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.

risk assessments / risk analysis – an analysis or an assessment of factors (called assumptions in the logframe) affect or are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment poser by an intervention; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for (DAC Glossary).

stakeholders – agencies, organisations, groups or individuals who have a direct or indirect interest in the intervention or its evaluation (DAC Glossary).

steering group – a joint group of members from the DAC Network on Development Evaluation and Network on Conflict, Peace and Development Co-operation who helped guide the development of this guidance. Members include: Norway (Lead for Evaluation Network), Sweden, Switzerland (lead for CPDC) and the United Kingdom.

summative evaluation – a study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the programme (DAC Glossary).

terms of reference (TOR) – a written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resource and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are "scope of work" and "evaluation mandate" (DAC Glossary).

theory of change – the assumptions that link a program's inputs and activities to the attainment of desired ends. A set of beliefs about how and why an initiative will work to change the conflict. It includes both implementation theory and programme theory (Weiss, 1995; Church & Rogers, 2006:11).

theory-based evaluation – an evaluation that tracks the anticipated sequence of linkages from inputs and activities to outcomes and impacts (Weiss, 1995).

triangulation – the use of multiple theories, methods and/or data sources to verify and substantiate an assessment. It is used to overcome the biases that come from unitary disciplines, single observers, self interested informants and partial methods (OECD DAC, 2002: 37; Weiss, 1995).

validity – the extent to which the data collection strategies and instruments measure what they purport to measure (DAC Glossary).

ANNEX 2
USEFUL WEBSITES AND RESOURCES

As mentioned previously there is no single blue print for doing an evaluation and much remains to be learned about how best to confront situations of fragility and conflict. Many resources already exist – the appropriate ones should be drawn upon based on the specific needs of the reader and the particular evaluation. This annex contains some key resources as a point of departure. **[List to be edited/added to during application phase]**

Evaluation guidance and tools

- OECD DAC Principles for the Evaluation of Development Assistance
- OECD DAC Guidance for Evaluating Humanitarian Assistance in Complex Emergencies
- ALNAP Evaluating Humanitarian Action: Using the OECD DAC Criteria
- DFID Guidelines for Monitoring and Evaluating Information and Communication for Development (ICD) Programmes
- UNDP Handbook on Monitoring & Evaluating for Results, United Nations Development Programme (Note that some of the handbook's language and guidelines are specific to UNDP and may not be applicable to non-UNDP evaluations.)
- OECD DAC Glossary of Key Terms in Evaluation and Results Based Management

Approaches to evaluation

- Performance Monitoring & Evaluation Tips: Conducting A Participatory Evaluation, U.S. Agency for International Development (USAID) (1996) http://www.dec.org/pdf_docs/pnabs539.pdf
- David Fetterman (2000) Foundations of Empowerment Evaluation, Thousand Oaks, CA: SAGE
- Michael Quinn Patton (2002) Utilisation-Focused Evaluation (U-FE) Checklist, http://www.wmich.edu/evalctr/checklists/ufe.pdf
- Rothman, J. (1997) Action Evaluation and Conflict Resolution Training: Theory, Method and Case Study, International Negotiation, vol. 2: 451-70.

Evaluating peacebuilding

- A Measure of Peace: Peace and Conflict Impact Assessment of Development Projects In Conflict Zones, Kenneth Bush (IDRC's Peacebuilding and Reconstruction Programme Initiative – PBR PI) http://web.idrc.ca/uploads/user-S/10757546941Working_Paper1.doc
- Peace and Conflict Impact Assessment (PCIA), Handbook Version 2.2 September 2005, a conflict prevention and post-conflict reconstruction (CPR) network resource. http://cpr.web.cern.ch/cpr/library/Tools/PCIA_HandbookEn_v2.2.pdf

Conflict prevention and peacebuilding

- DAC Guidelines Helping Prevent Violent Conflict www.oecd.org/dac/conflict/preventionguidelines
- OECD DAC Principles for Good International Engagement in Fragile States and Situations http://www.oecd.org/dataoecd/61/45/38368714.pdf

- Whole of Government Approaches to Fragile States http://www.oecd.org/dataoecd/15/24/37826256.pdf
- Jereon de Zeevw and Krishna Kumar (eds.) (2006) Promoting Democracy in Post conflict Societies, Lynne Rienner Publishers
- The Reality of Aid 2006 – Focus on Conflict, Security and Development Cooperation
- Conflict-sensitive programme management. SDC January 2006 http://162.23.39.120/dezaweb/ressources/resource_en_24650.pdf
- FEWER, International Alert, Saferworld, CECORE, Africa Peace Forum, CHA, "Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding – A Resource Pack"
- World Bank, 2002: The conflict analysis framework: identifying conflict-related obstacles to development.
- CPR Network. Compendium of Operational Frameworks for Peacebuilding at www.cprnet.net
- United Nations Department for Economic and Social Affairs (UNDESA). Conflict Analysis and Early Response Training Manual
- Netherlands Institute of International Relations 'Clingendael'. Conflict Prognosis: A Conflict and Policy Assessment Framework
- Association of the U.S. Army and Center for Strategic and International Studies. Post-Conflict Reconstruction Task List
- Canadian International Development Agency. Programming for Results in Peacebuilding – Objectives Tree and Performance Indicators
- Stiftung Wissenschaft und Politik. Conflict Impact Assessment: A Practical Tool for Prioritising Development Assistance in Unstable Situations, CPN Guide
- Department for International Development. U.K. Strategic Conflict Assessment: Guidance Notes
- European Commission. Checklist for Root Causes of Conflict

<u>Understanding violence and conflict dynamics</u>

Horizontal inequality

Stewart, F, (Forthcoming, 2008) Horizontal inequality and conflict – Understanding group conflict in multiethnic societies, Palgrave Macmillan.

Natural resource competition / Green wars / Environmental conflict

Diehl, P. F. and Gleditsch, N. P., (eds.) (2001), *Environmental Conflict*, Westview Press: Boulder and Oxford.

Homer-Dixon, T. F. (1999), *Environment, Scarcity and Violence*. Princeton University.

R. Matthew, M. Halle and J.Switzer, (eds. 2002), *Conserving the peace: resources, livelihoods and security*, IUCN/IISD.

Gender and conflict

DAC Gender Tipsheet on Evaluation, https://www.oecd.org/dataoecd/2/13/1896352.pdf

"Gender and Do No Harm : Dos and don'ts" Kompetenzzentrum Friedensförderung Center for Peacebuilding http://www.swisspeace.ch/typo3/fileadmin/user_upload/pdf/KOFF/genderdonoharm.pdf

"Gender-sensitive programme design and planning in conflict-affected situations - Research Report," Judy El-Bushra, Asha El-Karib and Angela Hadjipateras, ACORD, January 2002.

ANNEX 3
PLANNING AND MONITORING PROGRAMMES, PROJECTS AND POLICIES IN CONFLICT PREVENTION AND PEACEBUILDING CONTEXTS

1. Evaluation and its requirements must be an integral part of aid programming from the start.[61] In order to promote and support good evaluation of conflict prevention and peacebuilding programmes, practitioners in this field and evaluators can work together to bridge the gap between planning, programme design and evaluation. This gap is often characterised by broad or inconsistent objectives that may not be well-linked to an overarching strategy or policy; a lack of conflict analysis; sketchy needs assessments often coupled with the problem of little baseline data; poorly articulated theories of change and related programme objectives; and weak or non-existent monitoring systems. Instead of waiting for an evaluation to uncover this, programme managers can strive to improve planning and programming, therefore leaving scarce evaluation resources to focus on the more important questions of relevance, effectiveness, efficiency, sustainability, and coherence.

2. By focusing on the challenging interconnections between planning, monitoring and evaluation, this annex supports conflict prevention and peacebuilding practitioners to improve standards of programming and consequently enhance evaluation.

Planning

3. Planning in conflict prevention and peacebuilding is about identifying the most relevant contribution(s) that donors, practitioners and their organisations can make to provide support in this field to a specific country. This involves designing the intervention or programme in such a way that it can reach its objectives effectively.

Conflict analysis

4. One of the first steps in planning for conflict prevention and peacebuilding programmes is to conduct a conflict analysis. This will develop an understanding of the context in which any intervention may take place. An understanding of the conflict then becomes the basis on which all other activity is planned. Conflict analysis is often used to make a map of what a strategic response to conflict would look like and should be integrated into programme design. A 'strategic response map' can also be used as an input to other planning processes.

5. As a simple rule, conflict analysis should be undertaken whenever strategic plans are formed or revised. In countries where there is no actual conflict but increasing tension or a history of conflict, there may still be a case for conflict analysis. This could be combined with other forms of risk mapping, covering events such as natural disasters, as a way of identifying tensions and risks.

6. Where conflict analysis has been integrated into strategy and programme design the programme can be evaluated against its stated aims and objectives. Unfortunately, such analysis is often lacking amongst conflict prevention and peacebuilding programmes, making evaluation more challenging. Aid agencies should therefore integrate conflict into their planning cycles and overall strategies rather than treat it separately. Even where this is done evaluators may need to update or test the analysis, but this is relatively easy compared with doing a new conflict analysis.

[61] "Clear identification of the objectives which an aid activity is to achieve is an essential prerequisite for objective evaluation." (OECD DAC, 1992).

Goals and objectives

7. The next step in programme development, following a conflict analysis and identification of key points of intervention, is to articulate the programme goals and objectives. Clarity and specificity in the goals and objectives will facilitate subsequent monitoring and evaluation. Assuming that conflict analysis points to appropriate objectives, it is important to then determine how these are linked to specific interventions and ultimately outcomes. Developing a 'theory of change', a clear articulation of the assumptions underpinning the causal pathways of an intervention, is one way to identify whether these linkages are appropriate. (See Annex 6 for more information on theories of change.) Ensuring that theories of change are explicit and adopted as central to the planning process will facilitate both evaluation and monitoring.

8. In the conflict prevention field, programme or policy goals are too often very general or vague, formulated something like this:

"The programme will contribute to peacebuilding in country X through peace journalism."

9. Such a goal is difficult to evaluate, because it is general and lacks a clearly stated assumption of causal relationships. It is difficult to plan a successful intervention around such a vague goal and the work will therefore be less focused and effective. Where goals have not been made clear by managers or policy makers, the evaluator will have to unpack or reconstruct the intended or implicit goals as best she/he can. Policy makers, programme staff and managers can work to improve and clarify their goals and objectives. Reformulated, the goal might read as follows:

"The programme will contribute to the reduction of inter-group tension by raising the awareness of journalists regarding the impacts of reporting on conflict. It will improve their skills regarding how to handle issues of stereotypes constructively."

10. This goal is more measurable and observable. In this goal, the expected result is clear (reduced tension) and the measurable or observable outcomes are also stated (increased awareness and skill). A programme with goals stated this way will be easier to evaluate.

Performance management: frameworks and monitoring

11. Performance management can be improved through the use of specific tools, including logical frameworks, results-based management techniques, and coherent monitoring processes.

Frameworks

12. Logical frameworks (logframe) are instruments designed to facilitate the design, implementation and monitoring of discrete policies and projects. A logframe can help articulate objectives and goals. It can identify the relationships between inputs, outputs, outcomes and impacts. It can also ensure that 'indicators' are tight and robust, while signalling potential risks and ways to mitigate them. There is a risk that logframes are used as checklists, but as long as they are treated as programming tools, they offer certain advantages over other programme management techniques. They can for example help systematise thoughts around assumptions and help make the rationale for the programme transparent.

13. Results-based management (RBM) is an approach to management that integrates strategies, stakeholders, resources and measurements metrics to improve decision-making, transparency, and accountability. RBM essentially requires that planners and implementers carefully articulate performance and outcome indicators. The approach is frequently linked to the use of logical frameworks. In some cases, a results chain, together with a logframe, may be adopted to allow for longitudinal measurement. This can

be depicted as a flow chart (see Figure 3.1) and illustrates the causal sequence for an intervention that begins with inputs and activities, moving through processes, outputs, outcomes and impacts, that may be expected to occur over a period of time. Figure 3.1 depicts a sample for work in security system reform, a fast-growing area of conflict prevention and peacebuilding activities.

Figure 2. Sample results chain for security system reform

Inputs⇨	Processes/Activities⇨	Outputs ⇨	Outcomes ⇨	⇨ Impacts
Measure the resources a programme uses: • Personnel • Equipment • Funds	Measures the activities a programme undertakes: • Public education • Training programmes • Institutional dialogue	Measures the result of the activities: • Police trained • Paralegal support established • Court user committees established	Measures the consequences of the programme: • Improved police performance • Available legal advice • Reduced prison overcrowding	The ultimate achievement for the wider community: • More effective and responsive security system that delivers justice and safety to local people

Source: adapted for the OECD DAC Manual on Security System Reform: Supporting Security and Justice from, "The Monitoring and Evaluation Framework", Evaluation Office, UNDP, 2002.

Monitoring

14. Monitoring is at the heart of good performance management. Monitoring processes reveal how a programme is progressing and can not only encourage the re-calibration of programmes as conflict contexts shift, they can also make an evaluation easier to conduct and more in-depth. Measuring the performance of conflict prevention and peacebuilding activities is central to improving practice and to donor accountability. Unless interventions are having a demonstrable influence on clearly-defined indicators of 'conflict prevention' and 'peace', they may be perceived as lacking credibility and ultimately legitimacy amongst stakeholders. Monitoring should, therefore, be developed as a central pillar of any programmatic or project-level investment. Monitoring involves training, information collection and management, analysis and communication.

15. It is important to differentiate between monitoring, which is an ongoing subjective internal process of collecting information in order to provide feedback on an activity's progress, and evaluation, which is typically an external and independent review or assessment of an on-going or completed activity. See Table 3.1 for an outline of the differences.

Table 3. Evaluation vs. Monitoring

Monitoring	Evaluation
Continuous or Periodic	Episodic, ad hoc
Programme objectives taken as given	Programme objectives assessed in relation to higher-level goals or to the development problem to be solved.
Pre-defined indicators of progress assumed to be appropriate	Validity and relevance of pre-defined indicators open to question
Tracks progress against a small number of pre-defined indicators	Deals with a wide range of issues
Focus on intended results	Identifies both unintended and intended results
Quantitative and qualitative methods	Qualitative and quantitative methods
Data routinely collected	Multiple sources of data
Does not answer causal questions	Provides answers to causal questions
Usually an internal management function	Often done by external evaluators and often initiated by external agents

Source: SIDA, (2007) www.sida.se.

16. There are a host of challenges to developing effective monitoring methods in crisis, conflict and post-conflict contexts. First, there are intrinsic difficulties in establishing causality in complex and dynamic open systems, i.e. whether outcome Y can be attributed to investment X. Some have described this as the "attribution gap" and observed how a host of factors can influence outcomes and impacts of specific interventions in conflict contexts. Second, there is frequently a shortage of reliable surveillance and survey data and/or local capacity to undertake robust longitudinal assessments. Third, there is often little international or domestic will to invest in additional procedures for establishing causal relationships in contexts where 'need' and the dynamics between donors/recipients drive interventions. As such, there is frequently a reluctance – in some cases even resistance – among policy makers and practitioners to demonstrate quantifiable "impacts." [62]

17. Donors and practitioners can mitigate these constraints by recognising that many "risk factors" may affect programme/project performance as effectiveness can be measured if other factors are considered. It is equally crucial that donors introduce incentives for monitoring. Donors should aim to support stakeholder ownership of monitoring processes through adequate financing, local capacity development and the introduction of checks and balances to ensure that data quality and analysis is of a high standard.

18. Good monitoring should be based upon the baseline data collected during the design phase, which is then continuously updated. It makes most sense to monitor at outcome levels, as this allows for assessing the intervention's relationship to conflict and/or peace. For example, a peace journalism training project might report the amount of training courses that have taken place and then assume that this training

[62] Indicators can also be misused and should be handled with care, as seen in the explosion of governance indicators where even the most carefully constructed of these lack transparency and comparability over time, suffer from selection bias, and are not well suited to help developing countries improve the quality of local governance. See: Arndt, C. and C. Oman (2006), *Uses and Abuses of Governance Indicators*, OECD.

will lead to changes in reporting (assumed impact). Good monitoring methods should rather assess the *outcomes* of the training, e.g. have the journalists trained actually changed their reporting style? Do they for example use fewer stereotypes about the conflicting actors, etc.? Data collection for such monitoring (such as assessment of articles, radio or TV news) would have to be part of the project design from the very beginning.

19. There is no universal monitoring template or set of generic indicators that applies to all conflict prevention and peacebuilding contexts. Rather, form should follow function and be tailored to local dynamics. The minimum parameters of creating a monitoring process are straight-forward. For example, the monitoring process requires the articulation of realistic indicators of performance that rationally follow from well articulated programme/project objectives. These indicators can be "etic", derived externally (e.g. number of consultations between primary stakeholders; reductions in homicide and incidents of armed violence; increased access to justice and policing institutions; increased participation in social networks and associations), and/or "emid", determined internally (e.g. quality of consultations between primary stakeholders; changed perceptions of security in areas where the project was undertaken; improved confidence in specific institutions/services). In ideal cases, indicators are developed through participatory processes, including focus groups and consultative meetings, with local stakeholders and beneficiaries. The process of indicator development is central to the legitimacy of monitoring and evaluation processes. Regardless of how they are determined, indicators must be SMART (specific, measurable, attainable, relevant and time bound)[63].

20. Using multiple monitoring methods may be especially useful in conflict zones where certain sources of data are not available or have questionable accuracy. Monitoring strategies should be grounded in local capacities and the conflict context. For instance, the instruments introduced to monitor specific interventions in a comparatively data-rich country such as South Africa may be very different than those proposed in Afghanistan or Somalia. Monitoring can passively draw from existing national and municipal surveillance systems (e.g. public health statistics, judicial/police records, mortuary data, education curricula surveillance), from periodic cross-section household surveys and/or from specific studies undertaken by academic and practitioner organisations. Monitoring can also involve more proactive methods ranging from robust longitudinal surveillance of secular trends through specially designed surveillance and surveys or media/incident monitoring mechanisms, to regular site visits; small-scale purposive panel surveys; participant observation and participatory assessments undertaken with local partners and project beneficiaries. A key criterion for effective monitoring is that it is achievable and linked to adequate training and investment.

[63] DAC Evaluation Quality Standards (OECD DAC, 2006).

Table 4. A sample of impact indicators and methods

Table 4. A sample of impact indicators and methods

Indicator Type	Minimum Data Needs	Data Source and Methods	Reliability/ Validity
Changes in intentional mortality	Fatal injury profile.	Morgues, Parishes, and INGOs. Monthly reporting from primary sources.	Deductive/ Low
Changes in intentional mortality and morbidity	Fatal and non-fatal injury profiles.	Referral Hospitals, Clinics and health posts. Sentinel surveillance and administered weekly/monthly .	Deductive/ Medium
Changes in human rights violations	Objective indicators of victimisation, kidnapping, disappearance, detention, displacement, and sexual and gender based violence.	Human rights/gender monitoring mechanisms, international and national human rights reports, police registration data. Archival review administered on a weekly or monthly basis.	Deductive/ Medium
Changes in real and perceived security	Qualitative indicators of insecurity and locally defined indicators of victimisation, for example in security providers.	Small representative samples (women, men, youth, gang members, community leaders, etc) and weekly or monthly focus groups administered by trained practitioners or community interlocutors.	Inductive/ Low
Changes in social capital formation	Qualitative and quantitative indicators of socio-economic variables, including association membership, networks and local exchanges.	Small cluster/panel surveys of a defined population group (e.g. beneficiaries, host communities, control group) in catchment areas. Cohort panel surveys on a quarterly basis.	Inductive/ Medium
Changes in household and community victimisation	Quantitative and representative indicators of socio-economic impacts, armed violence and victimisation.	Large-scale simple random/cluster survey (confidence interval needs to be decided) to assess impacts. Epidemiological team could be developed to support the process and carry out pre/post surveys in urban and rural centres.	Inductive/ High

21. In summary, a range of conditions for reliable and comprehensive monitoring will contribute to successful evaluating in the conflict prevention and peacebuilding context. When a conflict prevention and peacebuilding intervention has been on-going for some time, an evaluation should be planned to triangulate the monitoring findings and to ask broader relevance and strategy questions.

ANNEX 4
CONFLICT ANALYSIS

Introduction

1. In Section 3, this guidance suggests the use of conflict analysis in evaluating conflict prevention and peacebuilding programmes and policies. Conflict analysis helps to identify what is needed to address the conflict and to understand the context in which an intervention will be implemented. As such, many practitioners will already be familiar with the use of this tool in the design of projects and programmes. The methodology is equally relevant for evaluation teams, who need to understand the causes and the context of conflict and peace in order to evaluate the relevance, effectiveness and impacts of the programme or policy. This annex further explains the role of conflict analysis in the context of evaluation.

2. A variety of conflict analysis frameworks are available to practitioners and evaluators. While different in approach and coverage, most of these frameworks bring the user through the same steps of identifying: the primary causes of conflict and peace at various levels; key stakeholders (actors and groups) who are affected by or influence on the evolution of the conflict; the context in which conflict and peacebuilding is taking place (political, economic, social etc)[64]; and an assessment of the dynamics of the conflict, how it might evolve into the future and what opportunities exist for interrupting escalation.

3. There are a number of different approaches and tools available to analysing these elements, which are not mutually exclusive; they are often used in combination with each other. The choice of approach will depend on the purpose of evaluation, the level at which the programme or policy is being implemented, and the kinds of impacts sought or anticipated.

Conducting or reviewing a conflict analysis for an evaluation

4. Evaluation teams are primarily concerned with conflict analysis from two perspectives. First, in assessing "relevance" it will be important to understand whether and how a programme implementation or policy development group developed their understanding of the conflict and context. In other words, what was the basis for their determination of priorities at the policy level or programme directions. Second, in order to assess the "impacts" of policies or programmes, the evaluation team needs to understand the conflict that programmes and policies are attempting to influence or change. An evaluation team thus needs to understand the different approaches to, and tools for, conflict analysis to be able to review the adequacy of the analysis performed or conduct its own analysis if one does not exist.

Checklist for reviewing a conflict analysis

5. If a conflict analysis has been done as part of the programme design, the evaluation team will need to review the analysis and assess its quality and appropriateness (relevance) at the outset of the programme and how it was adapted (or not) over time. They may find, for example, that the original analysis was correct and objectives and strategies a 'good fit' at that time, but changes in the conflict have

[64] See "Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: A resource pack," available at http://conflictsensitivity.org.

rendered the original approach irrelevant or inappropriate. The evaluation team will also need a current analysis against which to assess the original analysis for wanted impact. In this process, the evaluation team should pose the following questions:

Given the resources and capacities of the agency or organisation being evaluated, was the appropriate conflict analysis tool chosen to guide the design and implementation of the programme(s) or policy(ies)? Did the tool generate adequate information to determine the relevance of the intervention to the needs of the peacebuilding process; to the effectiveness of the programme designs and implementation; and to assess the appropriateness of the theory of change?

Is the conflict analysis up to date? Does it capture the evolution of the conflict from the time the programme or policy was initiated? (If not, the evaluation team may need to update the analysis.)

Was the process of conflict analysis appropriate and effective?

Was the analysis conducted by skilled people with an understanding of conflict and of the context and related history?

Did the analysis gather information from a wide range of sources? Did it include perspectives from all the main stakeholders in the conflict?

Was the analysis conducted in a conflict-sensitive manner? For example, did it avoid exacerbating divisions by the way questions were asked? If the analysis was conducted by convening stakeholder workshops, did the facilitators possess, or lack, sufficient skills to engage conflicting parties in a productive discussion? Did the analysis process put researchers (and local partners) at risk by sending them to insecure areas? Did it put interviewees at risk by exposing them to retaliation?

Was the analysis done at the appropriate level? For example, if a programme is to be initiated at the provincial level, was a national analysis supplemented by an analysis of conflict dynamics within the province?

Were the conclusions reasonable? Were critical elements missing from the analysis? To what degree was the analysis shaped by the expertise of the agency or their general beliefs about how to bring about positive change?

Was the analysis linked to strategy?

Checklist for choosing the appropriate tool for conflict analysis[65]

6. If the project, programme or policy being evaluated did not conduct a conflict analysis in the design phase, or if the analysis is not up-to-date, the evaluation team may need to undertake one itself. The level of effort and resources dedicated to the analysis should be scaled to the scope of the programme or policy. The analysis could range from building into beneficiary and stakeholder interviews a few questions about the conflict, to conducting a desk study and limited set of additional interviews in the field, to undertaking an extensive process using one of the comprehensive tools developed by bilateral and multilateral donors (see Table 4.1). Evaluators might consider a few questions in deciding what tool or combination of tools to use:

1. Purpose

[65] International Alert – www.conflict sensitivity.org

Does the tool provide sufficient information on causes, actors, dynamics and the context of conflict and peace to assess the relevance of the programme or policy to the needs of the peacebuilding process?

Does the tool provide information on the appropriate issue areas, at the appropriate level and depth, to help evaluate the effectiveness and impacts of the programme or policy?

2. Assumptions

Do the evaluators share the assumptions about conflict underlying the tool? Is the tool's understanding or assumption about the nature of conflict appropriate for the specific context in which the programme or policy is being implemented?

Does this perspective correspond to the mandate and values of the organisation being evaluated?

3. Methodology and resource implications

Does the tool's proposed methodology match the purpose of the analysis?

Does the tool's proposed methodology agree with the ways of working of the evaluation team?

Does the evaluation team have the capacity (skills, expertise, access, etc.) to use the tool well?

How long does it take to produce a reliable conflict analysis?

What are the resource implications of the selected tool (staff time, travel, seminar costs, facilities, data management)?

Is the evaluation team able to allocate or secure the required resources?

A range of resources for conflict analysis:

7. Below is an outline of a number of conflict analysis tools developed and used by donors; government and multilateral agencies; and NGOs. It is not an exhaustive list, but is intended to provide a representative sample of the variety of tools developed to facilitate design of programmes with different goals vis-à-vis conflict prevention and peacebuilding, as well as of a range of approaches to analysis. For each tool, the table summarises the main field of activity for which the tool is relevant: Development (DEV), HA (humanitarian assistance), PB (peacebuilding), FP (foreign policy), as well as the purpose, potential users, assumptions, methodology and resource requirements. The far right column describes how/when the tool is being applied to evaluation.

Table 5. Summary of selected conflict analysis tools

Purpose	Potential users	Assumptions	Methodology and effort	Evaluation application
1. Strategic Conflict Assessment (SCA) - DFID – DEV http://www.dfid.gov.uk/Pubs/files/conflictassessmentguidance.pdf				
Assess effects of conflict on programme, of programme on conflict, and identify opportunities to contribute to peacebuilding	DFID and partner bilateral and multilateral agencies' desk officers	Combine political and economic dimensions; greed/grievance; structures and actors	- Combination of desk study and field consultations - Assessment team (5 people). - Consultation meetings in-country - 6 weeks to 2 months, with minimum 2 weeks for field research	- Comprehensive; covers both conflict sensitivity, prevention and peacebuilding - Good for national level; may not be sufficient for sectoral micro-level projects - Short life-span
2. Conflict Analysis Framework (CAF) - World Bank - DEV http://siteresources.worldbank.org/INTCPR/214574-1112883508044/20657757/CAFApril2005.pdf				
Country strategic planning to ensure that Poverty Reduction Strategy Papers do not exacerbate conflict	Multilateral organisations' desk staff and planners	- Poverty and conflict interlinked. - Development assistance can help countries become more “resilient” to violent conflict	- Checklist of risks followed by analysis of specific variables - Full CAF analysis resource-intensive but can be simplified	- Primarily useful for conflict sensitivity, with emphasis on weakening causes of conflict, actors pursuing conflict and opportunities for violence
3. Conflict Assessment Framework – USAID – DEV http://rmportal.net/tools/conflict-assessment-and-management-tools/higherlevel_conflictassmt/view				
Country and programme strategic planning to identify and prioritise causes of conflict based on understanding of impact	Donor desk officers, implementing partners, mission staff, embassy staff, other government officials	Pulls together best research on causes, level and nature of conflict to identify windows of opportunity	- Combination of desk study, in-country visits, workshops and interviews. - Includes significant staff time - Takes about 2 months	- Relevant to both conflict sensitivity, prevention and peacebuilding - Quality may vary depending on robustness of methodology used to gather data
4. Conflict-related Development Analysis – UNDP -- DEV www.undp.org				
Conflict related programme planning and review aimed to understand linkages between development and conflict, increasing positive impact of development efforts.	Development agency staff and donors working in conflict prone and affected situations	- Conflict caused by combination of security, political, economic and social causes and actor interests - Development can cause violence	- Data collection and analysis followed by workshop or expert study to analyse current responses and suggest ways forward - Effort depends on method for data collection	- Development-focused and linked to programming - Useful at country or sector-level, less at micro level - Quality of analysis depends on rigor of data collection
5. Manual for Conflict Analysis – SIDA – DEV/HA http://www.sida.se/sida/jsp				
Country/ programme/ project planning to improve effectiveness of development cooperation and humanitarian	Development agency staff, implementing partners	Conflicts driven by structural instability, struggle for power and influence, and mutual fear and insecurity	- Desk study, consultations and workshop to consider programme implications - Local ownership of analysis important	- Focus on different levels of programming. - Relevant both for conflict sensitivity and planning at country and sector

assistance in areas affected by violent conflict			- 6-12 weeks, pending scope of desk study	levels - No methodology
6. Aid for Peace – Paffenholz/Reychler – DEV/HA Paffenholz, T. and Reychler, L. (2007).				
Assess peace and conflict relevance, risks and effects of development and humanitarian projects or programmes	Development and foreign ministry officials	- Examines both conflict and peace factors - Framework for analysis of peacebuilding deficiencies and needs, conflict risks and effects of intervention on conflict	- Desk study/survey of other interventions; field mission with 3-5 day training and workshop - Potentially time consuming and costly, pending time for baseline study and mapping and number of field visits and workshops	- Addresses both conflict sensitivity and peace and conflict programming - Provides specific guidance on integrating peace and conflict lens into evaluation
7. Do No Harm / Local capacities for peace project – CDA Collaborative Learning Projects – DEV/HA Anderson, M. (1999) and www.cdainc.com				
Improve design and implementation of conflict sensitive projects/ programmes through impact assessment and lessons learned for project redesign	Donor, NGO (international and local) staff	Focus on dividers and connectors in conflict, followed by analysis how programme components affect them	- Workshop, integration into standard procedures - Effort limited to workshop	- Useful for conflict sensitivity; not sufficient for conflict prevention and peacebuilding - Rapid results - Potentially good for micro conflict analysis
8. Working with conflict: skills and strategies for action - Responding to conflict – PB Responding to Conflict, 1046 Bristol Road, Selly Oak, Birmingham,B29 6LJ,UK. www.respond.org				
Conflict analysis focusing on conflict transformation to improve programme planning, implementation and impact monitoring	Local and international NGO staff, field and HQ	- Analysis not objective - aimed to improve understanding of conflict reality on ongoing basis - Emphasises perceptions of parties and structural factors	- Collection of tools for participatory conflict analysis, to improve understanding of conflict and different perspectives - Effort depending on format (workshop, meetings etc.) - Requires significant facilitation and conflict resolution skills	-Individual and flexible tools with wide applicability - Mainly for project and local levels, not for strategic planning
9. Making Sense of Turbulent Contexts - Analysis tools for humanitarian actors - World Vision - DEV / HA Contact World Vision International, Peacebuilding and Reconciliation, www.wvi.org				
Aims to improve ability to analyse dynamics of conflicts to impact programme and project planning and advocacy in emergency situations	NGO emergency response, development and advocacy staff	- Focus on chronic political instability, not just violent conflict - Sees conflict as cyclical with periods of peace followed by conflict	- Collection of tools to analyse actors, symptoms and political economy of conflict, generate future scenarios, and analyse strategic and operational implications - Effort pending on scope of data collection and workshop	- Focuses on macro level; how conflict will affect programme in future - Flexible and adaptable to specific contexts - Can be used for analysis of clusters of countries
10. Conflict analysis and response definition - FEWER – PB http://fewer-international.org/images/lib/160_6.pdf (for WANEP training module on framework) http://www.reliefweb.int/library/documents/studman2.pdf				

Early warning, country strategic planning	Diplomats, donor desk officers, NGOs	Focus on conflict dynamics and identification of overall trends	- Ongoing participatory analysis by local civil society and government organisations - Effort modest for desk study; more for training or workshops	- Comprehensive, mainly country-level, but can be adapted to local communal conflicts - Quality largely depending nature of participation
11. Systems Analysis –DEV/PB For further information contact CDA Collaborative Learning Projects, www.cdainc.com or Berghof Research Center, www.berghof-center.org				
Strategic planning for programmes and projects to identify driving factors of conflict and peace and interrelations among them	Donor and foreign ministry staff; NGO staff	- Views conflict as a collection of parts that interact together and influence each other - Conflict dynamics affected to stakeholders' understandings of conflict	- Identifies factors for conflict and peace, actors and triggers; through mapping interactions of factors - 1-3 days effort, usually in a workshop setting, to produce systems map; additional time to gather information about causes and actors	- Useful for macro and meso analysis aimed to determine relevance and impact for strategic planning - Useful for joint analysis/evaluation - Not sufficient to guide project implementation or activity design
12. EC Checklist for root causes of conflict - European Commission - DEV http://ec.europa.eu/external_relations/cfsp/cpcm/cp/list.htm				
Ensure EU policies contribute to conflict prevention through early warning and awareness raising in EU decision forums of problems of countries with high assessed risk of conflict	Multi- and bilateral donor desk officers, diplomatic actors	Focus on presence/absence of elements of liberal democratic state + identity goup relations and social/regional inequalities	- Checklist based on existing knowledge; external research capacity - Limited effort as mainly desk-based	- Mainly for monitoring and early warning - Proposes a generalised list of structural root causes; does not tie factors to conflict in particular countries/regions
13. Conflict and Policy Assessment Framework (CPAF) - Clingendael Institute - DEV / F http://www.clingendael.nl/publications/2000/20000602_cru_paper_vandegoor.pdf				
Aims to link early warning to policy planning and implementation	Donor and embassy staff involved with foreign policy and develop-ment issues	- Focus on indicators of internal conflict and state failure - Uses Fund for Peace's measures for sustainable security as goal	- External research and analysis to track indicators and identify problem areas and aspects for response for discussion in workshop setting - Effort depends on size of workshops, and involvement of external consultants	- Not progamme specific, but focuses on broad policy or programme development - Facilitates clarity on developments and trends, not causes
Purpose	**Potential users**	**Assumptions**	**Methodology and effort**	**Evaluation application**

ANNEX 5: CONFLICT SENSITIVITY

1. The principles of conflict sensitivity, adopted by the OECD in 2001, assert that international assistance must, *at a minimum*, avoid negative effects on conflict – 'do no harm' – and, where possible, make a positive contribution to conflict prevention and peacebuilding. Box 5.1 illustrates an example of the unintended harm that can be caused when interventions are poorly planned or implemented in relation to the conflict. One of the more widely used tools for conflict sensitivity is the Do No Harm Framework (see Anderson, 1997 below), which is particularly useful in drawing attention to the unintended consequences of aid planning and practice. Although it was originally developed for humanitarian aid it is also regularly applied to development and peacebuilding interventions.

2. Being conflict sensitive and evaluating the conflict sensitivity of the target, are two important dimensions of evaluating conflict prevention and peacebuilding work. Those planning and implementing policies or programmes should consider ways to make their work conflict sensitive. A clear and critical assessment of an activity or policy's impacts will cover both intended and unintended consequences and will therefore provide insights on the sensitivity of the target. Evaluators can help assess whether or not this standard has been achieved – as well as provide insights on how to make interventions more conflict sensitive. As mentioned in Sections 3.2 and 3.3, those involved in commissioning and conducting evaluation itself must also be conscious of possible impacts on the conflict (and vice versa) and should therefore consider do no harm and other conflict sensitivity principles when planning and conducting an evaluation. The following list of resources, though by no means exhaustive, provides the reader with some initial tools for understanding the basic principles of conflict sensitive engagement.

Resources for Conflict Sensitivity: [more resources to be added]

DAC Guidelines Helping Prevent Violent Conflict www.oecd.org/dac/conflict/preventionguidelines

Do No Harm: How Aid Can Support Peace—or War by Mary B. Anderson (1997), Lynne Rienner Publishers, Boulder, London,

International Alert - Conflict Sensitivity http://conflictsensitivity.org/

"Conflict-Sensitive Programme Management in the International Cooperation." SDC (2005) http://www.sdc.admin.ch/ressources/resource_en_24650.pdf

"Peace and Conflict Sensitivity in International Cooperation. An Introductory Overview" Thania Paffenholz - Internationale Politik und Gasellschaft, 2005

International Federation of Red Cross and Red Crescent Societies 2003: Aid: supporting or undermining recovery? Lessons from the Better Programming Initiative.

Toward a Conflict-Sensitive Poverty Reduction Strategy – World Bank, 2005

Box 15 .Do No Harm: An Example from Tajikistan

At the end of the civil war in Tajikistan, one international NGO undertook massive housing reconstruction in a southern province. The intent of the effort was: i) to encourage people who had been displaced during the fighting to return to the region; and ii) to support reconciliation between the two groups who had fought by getting them to work together in rebuilding the destroyed villages. Priority for reconstruction went to the villages that had suffered the most damage. In these, the NGO worked with local people to decide which houses would be rebuilt and to organize work crews to do the construction. They agreed that "anyone from the village who wanted a job" would be hired in these crews.

A few months later, they had successfully sponsored the reconstruction of almost 60 per cent of the damaged housing in the region. However, one day a local man came into the NGO compound with a Kalashnikov and threatened the staff, saying, "Why are you favouring that group that we defeated in the war? If you don't start building some houses for my clan, I will kill you." The NGO staff members were astounded. They had meant to be completely inclusive and to ensure that everyone who suffered in the conflict received equal attention. What they had not known, until this moment, was that a) during the conflict, the greatest damage was done in villages occupied by only one (rather than both) of the local, warring groups. By focusing their assistance on the areas of greatest damage, and by hiring people to work on the construction who came from those villages, they had inadvertently provided almost all of their assistance to one side of the conflict (and the "losing side" at that). Their project design had unintentionally reinforced existing inter-group divisions by focusing on villages that were mono-ethnic and providing all their support to these groups.

With a project redesign, the NGO was able to supply building materials and support to multi-ethnic villages, to damaged homes of the other ethnicity, and to community buildings that both groups shared such as schools, clinics and mosques.

Source: Anderson, 1997; and CDA Collaborative for Development Projects, 2000.

ANNEX 6: UNDERSTANDING AND EVALUATING THEORIES OF CHANGE

What are theories of change?

1. Aid work in relation to conflict and peace is often based on approaches and tactics that are rooted in implicit theories of change.[66] In many cases such theories are subconscious and unstated. They are embedded in the skills and approaches of individual practitioners and peacebuilding organisations, their capacities and "technologies," attachments to favourite methodologies, and the perspectives they bring to the peacebuilding process.

2. In the case of an anti-bias programme for journalists, the question would be how the planned workshops, consciousness raising, and skill development will actually change conflict reporting. The programme could track the language used in reporting before their effort and after, and might also survey public attitudes. At the same time, the programme could see whether their activities were achieving the expected results—or if unexpected obstacles appeared. For instance, it might turn out that individual journalists have very little influence over the use of inflammatory language. Instead, it might be discovered that editors and owners determine the use of "colourful: language to boost sales, suggesting that the "theory" about inducing change in reporting by training journalists was flawed.

3. One task related to this is to identify the sources of the theories. Are they a) experience-based (i.e. from the programme designers own personal and professional experience, or based on the experience of the stakeholders and beneficiaries consulted during the programme design period) or b) research-based? Evaluation can contribute to improve design and implementation of ongoing programmes, and can uncover whether lack of success, or success, is due to programme design and programme theory, or programme implementation.

4. A useful first step in enhancing strategies in conflict prevention and peacebuilding programming and evaluation is to become more explicit about underlying assumptions about how change comes about—that is, theories of how to achieve peace. Conflict prevention and peacebuilding activities are carried out based on specific ideas and goals for what they hope to achieve. Such decisions are based on a number of factors—including assumptions about how to bring about peace and theories about how to bring about change. Peace practitioners select methods, approaches and tactics that are rooted in a range of "theories" of how peace can be achieved in a specific context. It is important to disclose these "theories of change", both to test the theories against the realities of the conflict and to provide the basis for evaluating progress towards related objectives.

5. Theories of peacebuilding include those presented at the end of this annex, though a systematic inquiry into ongoing and past conflict prevention and peacebuilding work would likely reveal other

[66] A programme theory is an explicit theory or model of how a programme is intended to produce the intended outputs, outcomes and impacts, and the factors affecting or determining its success. A programme theory often combine a theory of change and an implementation model. A theory of change model describes the linkage between project inputs, the implementation strategy and the intended outputs and outcomes. An implementation model describes how staff and resources are used to deliver programme services to target population. Source: *Real World Evaluation*, by Bamberger, Rugh, Mabry, p. 191, 2006.

theories underlying peacebuilding programmes.[67] Note that these theories are **not** mutually exclusive—a single programme can be based on two or more of them.

6. Some theories focus on ***who*** needs to change: which individuals and groups in society or which relationships need to change. Other theories concentrate on *what* needs to change: an institution, a policy, a social norm. Still other theories are tied directly to a particular methodology or approach: *how* the change can or should happen.

Evaluating conflict prevention and peacebuilding theories of change

7. The impacts, effectiveness, relevance, efficiency and sustainability of a conflict prevention and peacebuilding activity rest to a large extent on the accuracy of its underlying theory of change. A false or incomplete theory may be a key explanatory factor for a programme, project or policy's failure. In contrast, good theories (based on an up-to-date, thorough conflict analysis) contribute to effective conflict prevention and peacebuilding action and successful interventions. Analysis of the theory of change is therefore a key aspect of any conflict prevention and peacebuilding evaluation. The pertinent theory should be reviewed in the evaluation report and be covered in the evaluation's findings, conclusions and lessons learned. Such analysis will help contribute to a more refined understanding of how to bring about change for peace.

8. When conducting an evaluation, the evaluator or evaluation team should ascertain the theories of change of the peacebuilding intervention in question. While they are often variations on the generic theories presented in the table at the end of this annex, for the purpose of evaluation, the theories should be reframed using the intervention's particular terms and in relation to the specific context.

9. At times, the theories in operation are obvious, even if unstated, in programme proposals and other documents. More often, the theories need to be uncovered through interviews with implementing staff and other stakeholders —or can be confirmed by those discussions. The evaluation process may also reveal that different staff members are proceeding on different assumptions (theories) about how their efforts will promote change towards peace. Thus, the evaluation process itself can be useful for helping to clarify this important dimension of intervention strategy.

The two real life examples which follow illustrate these points.

Example 1: Evaluating grassroots conflict prevention in Liberia

10. In the wake of the 14-year civil war in Liberia, a large international NGO received donor funding to develop Community Peace Councils (CPCs), a community-based mechanism for resolving a range of disputes, with an explicitly inter-ethnic approach. The CPCs were designed to promote greater democratic participation through leadership development. The evaluation team first identified underlying theories of change and programme assumptions (derived mainly from discussions with local and international staff members):

Theories of change for the Community Peace Councils:

> **Theory #1**: By establishing a new community-level mechanism for handling a range of dispute types, we will contribute to keeping the peace and avoiding incidents that have the potential for escalating into serious violence.

[67] An initial list of these theories was derived from reviewing the Reflecting on Peace Practice cases studies; see [http://www.cdainc.com/cdawww/project_profile.php?pid=RPP&pname=Reflecting%20on%20Peace%20Practice] for a full list of the cases studies.

Theory #2: By creating inclusive structures for community problem solving, we can improve communication, respect, and productive interactions among subgroups in the community, and improve the access of disenfranchised groups to decision making.

Theory #3: By creating a new leadership group infused with democratic concepts and provided with critical skills, we can foster more effective and responsive leadership.

11. The evaluation team then discussed whether and how these theories of change were appropriate for the situation in Liberia, and how they were playing out in the programme. To begin, the team conducted an updated conflict analysis, based on interviews and focus groups with a wide range of people in the communities themselves. The team then examined whether the programme was having the effects envisioned in the theory of change. For example, the team examined what kinds of conflicts the CPCs handled, and whether those conflicts had the potential for escalating and inciting widespread violence. If they did, then the CPCs would directly contribute to stopping a key factor in violent conflict. If, however, those conflicts were unconnected to the driving factors of the conflict or the local level conflict handling mechanisms were not able to address the types of conflict most likely to escalate, then the CPCs would make little or no contribution to Peace Writ Large.

12. The evaluation team found that the CPCs were, for the most part, **not** handling the most serious and volatile disputes, which concerned land issues. The team then explored whether this was due to a failure in programme implementation, or, alternatively, a theory of change that was incomplete or inaccurate. The main conclusion was that, while the CPCs were set up and trained well, as communities were repopulated and traditional leadership patterns were re-established, the CPCs were mostly excluded from handling land issues. At the same time, the hope (and theory) regarding alternative leadership models proved unfounded, as traditional leaders gained control over the CPCs or used them to address issues they preferred that someone else deal with. The evaluation recommended that the agency work to expand the mandate and capability of the CPCs for handling land disputes, by connecting them to land commissions and other emerging government structures. It should also be said that the CPCs did represent a useful developmental advance, even if they were unable to fulfil, as completely as hoped, a contribution to Peace Writ Large.

Example 2: The impact of international peacebuilding policies and programming in Kosovo

13. CDA Collaborative Learning Projects performed an extensive study regarding the reasons for the recurrence of inter-ethnic violence in Kosovo in the spring of 2004, and the relationship of that violence to policies and programmes undertaken by the international community. Among other things, the study identified the theories of change underlying the various approaches to improving ethnic relations. As is often the case, these underlying theories were strongly influenced by the policies and (unspoken) assumptions of the international community. The multiple aid and development programmes were directly linked to implementation of internationally-established "Standards for Kosovo" and widely held beliefs regarding refugee returns, inter-ethnic relations, and a future multi-ethnic state as the basis for peacebuilding.

14. The Kosovo example concerns many agencies and multiple programmes. The study identified major programming approaches, and associated theories of change, some of which are listed here, and then examined the effectiveness of each, and their relationship (if any) to preventing violence.

A. Inter-ethnic and inter-religious dialogue

15. In Kosovo, the bulk of what agencies and community members identified as peacebuilding was labelled “dialogue.” “Dialogue” encompassed a wide range of activities: from social contact to structured

conversations about identity and promotion of mutual understanding, to problem-solving related to concrete issues, to negotiation and mediation of agreements on land use in the Municipal Working Groups on Return. The most frequent theories of change for dialogue efforts in Kosovo were:

> **Theory #1:** By involving Kosovar Serbs and Albanians in mutual discussions, we can develop the conditions for the safe, successful and peaceful return of IDPs to their homes. This, in turn, will promote reintegration, stabilisation of the environment and will reverse one of the negative consequences of the conflict.
>
> **Theory #2:** If we engage community members in participatory approaches to decision making and implementation of development activities, we can strengthen community relationships.
>
> **Theory #3:** If we promote cooperation across ethnic lines regarding non-political issues of common interest (HIV/AIDS, drug use, business and entrepreneurship, women's rights, infrastructure, etc.), we can build stronger inter-ethnic ties and understanding.

B. Training and peace education

16. Training in conflict resolution, human rights, nonviolent communication and related topics was done in many communities, and, with dialogue, was one of the most popular approaches to peacebuilding programming. Youth camps, peace camps, archaeological camps, art camps and many others were widespread, as were multi-ethnic programmes of technical training in computers, project management, marketing, and other technical or professional topics. To a lesser extent, school-based peace education programmes were developed, including human rights education and tolerance education for children.

> **Theory #1:** If we provide people with better skills for conflict resolution, this will increase the ability of communities to settle disputes nonviolently and reduce the likelihood of violence.
>
> **Theory #2:** If people talk and play together they will build relationships and breakdown stereotypes.

C. Multi-ethnic projects and institutions

17. Along with dialogue and training, joint (inter-ethnic) projects and institutions comprised a significant proportion of the peacebuilding programming in the communities that were included in the Kosovo study. Some of the projects were the outcome of or follow-up to dialogue, aiming to take the communication and relationship-building beyond mere talk.

> **Theory #1**: If we develop activities that provide economic benefits to both ethnic communities (economic interdependence), people will have incentives to resist efforts to incite violence.
>
> **Theory #2**: If we provide opportunities for people to work together on practical issues across ethnic lines, it will help break down mistrust and negative stereotypes, as well as develop habits of cooperation.
>
> **Theory #3**: If people have jobs and economic stability, they will be less hostile to the other ethnic group.

D. Democratic governance and capacity-building

18. Many international donors, agencies and NGOs have implemented peacebuilding activities designed to strengthen municipal government institutions to support integration of minorities, better communication and dialogue, and sustainable returns.

> **Theory #1**: If we can improve administration and service delivery and establish non-discriminatory policies, this will reduce inter-ethnic tensions and demonstrate the viability of a multi-ethnic Kosovo.

19. Many programmes and policies integrated *several approaches and theories of change*. For example, a programme to facilitate returns of Kosovo Serb minorities included several activities and approaches reflecting a combination of different theories:

> dialogue between the host community and returnees was facilitated on the assumption that dialogue would allay fears and re-establish relationships that would allow returnees to return to their homes in peace (theory A #1);
>
> multi-ethnic committees to decide community priorities for development aid (theory A #2);
>
> provision of equipment and seeds to a multi-ethnic agricultural cooperative (theories C #1, 2).

20. Once the theories had been identified, they could be assessed in relation to the driving factors of conflict and the factors contributing to the absence of violence in some places in March 2004. The Kosovo study identified patterns of inter-ethnic violence and identifying factors that contributed to the prevention of inter-ethnic violence – through extensive interviews in communities (including some that experienced violence in March 2004 and some that did not). The team then examined the programming approaches and their relationship (if any) to the factors that helped communities avoid violence.

21. The study found that the failure of peacebuilding programming to achieve desired impacts was due in part to faulty theories of change, and in part to problems in programme design and implementation.

22. Design problems included failures in the participant selection processes, fragmentation of programming, insufficient follow-up and limited resources for "soft" aspects of programming. In terms of implementation strategy, returnees were not central actors with respect to violence, although they were important victims of the conflict. The channelling of aid to returnees and communities accepting returns, it turned out, prompted resentment, increasing inter-ethnic divisions rather than improving relations between groups.

23. In part, the theory of change on which the programming was based was faulty. With respect to inter-ethnic dialogue between host communities and returnees, the study found that while dialogue activities opened space for inter-ethnic interaction that might otherwise not have happened, and had some powerful personal effects and led to some cooperative activities across ethnic lines, they neither strengthened community relationships nor led to collective opposition to violence.

24. The assumption that the changes in attitude resulting from dialogue would lead to changes in political attitudes and actions, or trickle out to influence others in the community or trickle up to influence key decision makers, proved to be wrong. In both Kosovo Albanian and Kosovo Serb communities, implicit intra-community pressures, or "rules of the game," restricted the boundaries of permissible interaction to generally non-visible business interactions and made maintenance and expansion of inter-ethnic linkages difficult.

25. These two examples illustrate just some of the common theories of change underlying policies and projects working for peace. Others are listed, along with example methods for each in Table 6.1.

Table 6. Common theories of change

Theory of change	Examples of methods
Individual change: If we transform the consciousness, attitudes, behaviours and skills of many individuals, we will create a critical mass of people who will advocate peace effectively.	Individual change through training, personal transformation or consciousness-raising workshops or processes; dialogues and encounter groups; trauma healing.
Healthy relationships and connections: Strong relationships are a necessary ingredient for peacebuilding. If we can break down isolation, polarisation, division, prejudice and stereotypes between/among groups, we will enable progress on key issues.	Processes of intergroup dialogue; networking; relationship-building processes; joint efforts and practical programmes on substantive problems.
Withdrawal of the resources for war: Wars require vast amounts of material (weapons, supplies, transport, etc.) and human capital. If we can interrupt the supply of people and goods to the war-making system, it will collapse and peace will become possible.	Campaigns aimed at cutting off funds/national budgets for war; conscientious objection and/or resistance to military service; international arms control; arms (and other) embargoes and boycotts.
Reduction of violence: If we reduce the levels of violence perpetrated by combatants and/or their representatives, we will increase the chances of bringing security and peace.	Cease-fires; creation of zones of peace; withdrawal/retreat from direct engagement; introduction of peacekeeping forces/interposition; observation missions; accompaniment efforts; promotion of nonviolent methods for achieving political/social/economic ends; reform of security sector institutions (military, police, justice system/courts, prisons).
Social justice: If we address the underlying issues of injustice, oppression/exploitation, threats to identity and security, and peoples' sense of injury/victimisation, it will reduce the drivers of conflict and open up space for peace.	Long-term campaigns for social and structural change; truth and reconciliation processes; changes in social institutions, laws, regulations, and economic systems.
Good governance: Peace is secured by establishing stable/reliable social institutions that guarantee democracy, equity, justice, and fair allocation of resources.	New constitutional and governance arrangements/entities; power-sharing structures; development of human rights, rule of law, anti-corruption; establishment of democratic/equitable economic structures; economic development; democratisation; elections and election monitoring; increased participation and access to decision making.
Political elites: If we change the political calculus and perception of interests of key political (and other) leaders, they will take the necessary steps to bring peace.	Raise the costs and reduce the benefits for political elites of continuing war and increase the incentives for peace; engage active and influential constituencies in favour of peace; withdraw international support/funding for warring parties.
Grassroots mobilisation: "When the people lead, the leaders will follow." If we mobilise enough opposition to war, political leaders will be forced to bring peace.	Mobilise grassroots groups to either oppose war or to advocate positive action; use of the media; nonviolent direct action campaigns; education/mobilisation effort; organising advocacy groups; dramatic/public events to raise consciousness.
Peace agreements/accords: Some form of political settlement is a prerequisite to peace – we must support a	Official negotiations among representatives of key parties; "track 1½" and "track 2" dialogues among influential

Theory of change	Examples of methods
negotiation process among key parties to the conflict and violence.	persons; civil society dialogues in support of negotiations.
Economic action: People make personal decisions, and decision makers make policy decisions based on a system of rewards/incentives and punishment/sanctions that are essentially economic in nature. If we can change the economies associated with war-making, we can bring peace.	Use of government or financial institutions to change supply and demand dynamics; control incentive and reward systems; boycotts and embargoes.
Public attitudes: War and violence are partly motivated by prejudice, misperceptions, and intolerance of difference. We can promote peace by using the media (television and radio) to change public attitudes and build greater tolerance in society.	TV and radio programmes that promote tolerance; modelling tolerant behaviour; symbolic acts of solidarity/unity; dialogue among groups in conflict, with subsequent publicity.
Transitional justice: Societies that have experienced deep trauma and social dislocation need a process for handling grievances, identifying what happened, and holding perpetrators accountable. Addressing these issues will enable people to move on to reconstruct a peaceful and prosperous society.	Truth and reconciliation commissions; criminal prosecutions and war crimes tribunals; reparations; community reconciliation processes; traditional rites and ceremonies; institutional reforms.
Community reintegration: If we enable displaced people (IDPs/refugees) to return to their homes and live in relative harmony with their neighbours, we will contribute to security and economic recovery.	Negotiation and problem solving to enable returns; intergroup dialogue; ex-combatant-community engagement; processes for handling land claims; trauma healing.
Culture of peace: If we transform cultural and societal norms, values and behaviours to reject violence, support dialogue and negotiation, and address the fundamental causes of the conflict, we can develop the long-term conditions for peace.	Peace education; poverty eradication; reduction of social inequalities; promotion of human rights; ensuring gender equality; fostering democratic participation; advancing tolerance; enhancing the free flow of information/knowledge; reducing the production of and traffic in arms.

ANNEX 7: EVALUATION APPROACHES FOR CONFLICT PREVENTION AND PEACEBUILDING EVALUATIONS

1. The following section lays out some of the principle evaluation approaches commonly used in development evaluation, specifying how and why they may (or may not) be useful in conflict contexts. Specific evaluations may draw on elements from various approaches depending on the purpose of the evaluation. A further overview of "pros" and "cons" of various approaches is also contained in Church & Rogers (2006).

It is hoped that further detailed information about the best types of evaluation methods in this field will emerge during the application of this guidance and contribute to providing more specific guidance on the most useful evaluation approaches in various conflict situations.

Results-based evaluation approach

2. The objective is to assess whether activities have achieved the intended results (outputs, outcomes or impacts). Have governments and organisations truly delivered what they promised to stakeholders? Were results achieved? How where results achieved, or why were they not achieved? This approach responds to growing demand on the part of donors and the public at large for results, and is a reaction to the more process-oriented evaluations. To measure the results of an intervention a before-and-after comparison is usually used, with the help of baseline studies or an initial conflict analysis, and indicators. When baseline studies and result chains (i.e. theories of change) are weak or non-existent, evaluators have to construct them as part of the evaluation process. Most of the preconditions for results-based evaluations are often lacking in conflict prevention and peacebuilding projects, policies or programmes.

3. A benefit of a results-based evaluation process– especially when it is a participatory one – is that stakeholders of an activity get to understand the usefulness of baseline studies, conflict analysis and monitoring benchmarks such as indicators and can be inspired to make greater place for it in future activities. A weakness of many results based evaluations is that by using a before and after comparison, they often do not capture what happened in the implementation process and inside the project (the 'Black Box' approach) a weakness which can be particularly detrimental in complex conflict settings where *how* a project or policy is implemented might be just as important as *what* it produced. Sometimes an additional focus on this can shed light on why or why not intended results were achieved.

Participatory evaluation approach

4. The participation of different stakeholders of an intervention in a conflict prevention and peacebuilding evaluation can be beneficial in terms of becoming a shared learning experience for the participants. Participation can also be vital because it can contribute to increased transparency, as well as to bringing out different perspectives and voices. In this way, conflict prevention and peacebuilding evaluation can also make a contribution to peacebuilding in itself. There are different degrees of participation from high (intervention stakeholders included into evaluation team) to low participation (stakeholders involved through briefings, de-briefings and other forms of information sharing). However, it must again be stressed that potential for biased and distorted findings could arise from participatory evaluation methodologies when local people are, themselves, involved in a conflict. One should therefore

not assume that participatory evaluations are always best. Evaluation planners should explore whether and how participatory methodologies affect the quality and results of the conflict prevention and peacebuilding evaluation in a given context.

5. This type of evaluation approach puts emphasis on the involvement of primary stakeholders of the intervention (intervention staff, partners or donors) into the evaluation team. Participatory approaches ensure ownership and seek to enhance use and relevance of the evaluation results. For conflict prevention and peacebuilding evaluations participatory evaluation approaches can be very useful as they contribute to a number of evaluation principles that are important in highly sensitive political environments such as transparency, credibility, and inclusiveness of views or ownership. Moreover, they contribute to learning and capacity building about evaluation and planning and thus to the professionalization of the conflict prevention and peacebuilding field.

6. However, as described in Section 3, the degree of participation and the actors involved is a delicate issue and needs to be decided for each evaluation context. Problems with participatory approaches in conflict situations can come for example from the involvement of partner governments or their agencies. While most agree that partner governments or local government authorities should be involved in evaluations in general, many advise against the government taking a lead role or full partnership in conflict prevention and peacebuilding evaluations. The concerns are that if the government is part of the conflict, then partnership with government in evaluation can bias the evaluation and have negative effects on the conflict itself. The same is true for activities involving conflict parties. Here the issue of participation, degree and level needs to be carefully decided upon as it might conflict with other evaluation principles.

7. With regard to the use of participatory evaluation, donors and evaluators should consider when and how to involve local people from government to beneficiaries and others in the design of the evaluation, based on:

The degree of politicisation and polarisation in the situation

The degree to which a shared definition of the problem exists. Is it possible to define a set of indicators, criteria or domains for change that is shared by all major groups of stakeholders?

The power relations among the various parties and their relation to the programme. What is the danger that one perspective or group will dominate the process of defining indicators or evaluating success? *For example: consider power dynamics when choosing the language evaluation workshops will be held in – will the choice of language put one group at an advantage?*

Is it possible to access all relevant stakeholder points of view at all critical stages of the participatory process? Are all sides able to participate if not equally, at least in a substantial and meaningful way in the evaluation? *For example, if participation in the evaluation involves travel, who has access to means of transport, do visa requirements affect different groups differently, will military closures or other security threats prevent certain groups from joining in?*

Theory-based evaluation approach

8. Any evaluation that identifies implicit or explicit assumption, hypotheses or theories can be categorised as theory-based evaluation. A good theory based approach for evaluation goes beyond simply drawing a programme logic model but investigates the casual linkages between different variables in order to find out whether the underlying assumptions or theories of change are correct. An important question for the programme designer is whether the assumptions underpinning a programme theory are based on

evidence, experience, or beliefs.[68] Theory based evaluation techniques are useful to assess conflict prevention and peacebuilding theories of change because these interventions often lack a clear baseline to compare or measure against.

9. To therefore unpack (i.e. make explicit) the theory use(ed) and assumptions they are based on, can contribute to fostering understanding about why, or why not, things work and is therefore very useful for learning and accountability purposes. For example, questions such as these can be answered: what is and how is the programme logic correlated with the conflict analysis, - what is and how does the theory of change correlate with the findings from the conflict analysis.) The approach allows us to test whether the intervention was ineffective because of poor implementation or flawed theories. For interventions with no explicit theories of change, more resources must be allocated to the evaluation team and project staff provided up front to uncover assumptions and their sources.

Process evaluation

10. Process evaluation is an evaluation (or part of an evaluation) that focuses on the process of implementation, i.e. the way in which the interventions work, rather than concentrating on the achievement or non-achievement of objectives. Process evaluation should be an integral part of conflict prevention and peacebuilding evaluation as processes are often just as important as outcomes. For example, peace negotiations focus mainly on the process of bringing the conflict parties together and should be seen as an important element of the peace process. In case there is not an immediate peace accord as an outcome, but the very negotiation round has contributed to a process commitment of the involved parties, it can be seen as a success.

11. Moreover, many conflict prevention and peacebuilding activities are indirectly trying to achieve their conflict prevention and peacebuilding objectives. This means that some process elements are themselves important objectives and should therefore be assessed. For example, adversary groups are brought together due to a 'technical' reason like Israeli and Palestinian filmmakers that are jointly organising a film festival. The objective is the attitude change among the participants related to the process, rather than the effectiveness of the film festival. If the festival took place, but was planned exclusively by only Israeli filmmakers it would not have achieved the same success towards peacebuilding.

Action evaluation

12. Action evaluation is a method where evaluators/facilitators work with the intervention team, its partners and donors in an iterative process throughout the life of the activity to define goals, examine assumptions and values underlying the goals, and define and implement methods for testing whether the goals are being met. This is thus an integrated planning, monitoring and evaluation approach. Action evaluation is useful for long term projects operating in highly dynamic conflict contexts, and which need to be nimble if they are going to create change. In terms of result measurement, this approach is better used together with other approaches that have a more "classic" focus on data collection and evaluation judgement.[69]

Self-evaluation

13. Sometimes it will be useful to include self-evaluation. A process of self-examination can be useful for the implementation staff (at the project or programme level, or at the level of donor or "whole of government" strategy level). Intervention efforts often use such a process as a simple means of mid-course

[68] Bamberger, Rugh and Mabry, 2006.

[69] Church and Rogers, 2006

review. It can also be incorporated as a step in a larger evaluation/review exercise or prior to a larger evaluation and could be used as a basis for developing terms of reference.

Goal-free evaluation

14. An evaluation in which the evaluation team deliberately avoids learning what the goals of an intervention are, or were, so as to avoid being overly focussed on *intended* outcomes. The rationale behind this approach is that unintended results of interventions are as important as intended ones. The results identified by the evaluator as a result of the programme are then compared to the needs of the affected population to determine if the programme was effective.[70]

15. Goal free evaluation is sometimes called needs-based evaluation because needs assessment is one of the important tools used to determine the effects to be investigated. This can prove helpful to evaluation in fast-changing contexts such as conflict situations and peace processes. This may be especially true when the former objectives of an activity are not relevant any more, but where the activity nevertheless might have resulted in valid contributions to the peace process. It is also maintained that goal-free evaluation minimises bias in the evaluation process because it is not based on the programme logic of the programme team. Goal free evaluation is generally more costly than using a goal-based approach, as the evaluation team must consult a broader set of issues and a wider range of stakeholders.[71]

Outcome evaluation approach

16. This approach can be part of an evaluation or an entire assessment that focuses on outcomes of an intervention, i.e. the changes that have been achieved between outputs and impacts by the interventions, intended or unintended. The outcome evaluation referred to here works backwards from the outcome. They involve making judgments about the interrelationship between inputs and outputs on the one hand and outcomes on the other but do not start by analysing projects. This approach is suggested in the UNDP guidelines on outcome evaluation.[72]

17. A perceived advantage with this approach for conflict prevention and peacebuilding evaluation is that it starts with what normally comes last in other evaluations: with analysing changes in the outcome. For instance: if the intended outcome was that journalists should change their style of reporting, and if it was found that there has been no change in reporting, then one could work backwards and find the reasons for this, and consider how to improve the chances of achieving this change in reporting. If the evaluated intervention has failed to contribute and other factors have been more important, this is an important lesson.

[70] Church and Rogers, 2006: 116-117.
[71] Church and Rogers, 2006.
[72] UNDP, 2002, www.undp.org

ANNEX 8: SAMPLE TERMS OF REFERENCE (TOR)

The following terms of reference example is provided to give readers an idea of the type of information to include in a conflict prevention and peacebuilding TOR – ***it is indicative and should not be taken as a form model***. In a real TOR, the information might be provided in a different sequence and more detail would be given where needed. Further tips on drafting TORs can be found in the "Guidance for Evaluating Humanitarian Assistance in Complex Emergencies," (OECD DAC 1999) and "Effective practices in conducting a joint multi-donor evaluation," (OECD DAC 2000).

Terms of Reference:
Evaluation of the Agency's "Peace Journalism" programme in conflict area X (2000-2003)

1. **Define the purpose and use of the evaluation**. Is the purpose learning or control? Will the evaluation be used to decide on future funding? To inform future support? To provide input to new strategy?

The purpose of this evaluation is to determine whether or not the peace journalism programme was implemented according to agency regulations (control/accountability) and what contribution the peace journalism training has made to conflict prevention in country x (learning) and if peace journalism makes a significant contribution towards peace (testing the theory of change). The evaluation will be published and provided to programme managers and country field staff. …

2. **Description of the evaluation object and scope.** What are the specific objectives of the evaluation? Is it to document achievements? Assess some or all of the activity's objectives? Will it look at implementation strategies and processes? Will the evaluation have a participatory focus? Will it look at underlying assumptions for the programme/ the programme's theory of change? Which DAC evaluation criteria will be used (impact, relevance, sustainability, efficiency and effectiveness)?

The evaluation will examine the entire peace journalism programme from 2000-2003, including outputs, outcomes and impacts on peace and conflict dynamics. Specifically it will assess whether or not peace journalism is an effective and efficient contribution to peacebuilding. The five DAC evaluation criteria will be used to assess the programme, as well as an examination of coverage of the conflicted affected population. …

3. **Describe the rationale of the evaluation**: Why this evaluation at this point of time? Describe the longevity, amount of funding, and risks tied to the intervention. Are there any specific events that have triggered the evaluation (unveiling of corruption, results that run counter to intentions in the intervention, new research coming out)?

The conflict situation is worsening in country X and the public in the donor country is demanding to know how our agency has been involved in recent changes. Also, the agency is considering funding similar journalism programmes in other regions and would like to know if this is an effective strategy to pursue.

4. **Describe the scope, timeframe, objectives and nature of the activity you want to evaluate**. Specifying issues to be covered, budget and funds spent, the time period to be evaluated, types of activities, geographical coverage, target groups, as well as other elements of the conflict prevention and peace building intervention addressed, such as contextual issues.

The peace journalism programme involved the training of 50 journalists from 8 municipal districts and four workshops for interior ministry staff. The trainings took place over the course of two days and were run by agency staff and local organisation partners… The total funds dispersed were €500,000. The programme was meant to contribute to peace by reducing bias in reporting and make journalists more away of the sources and dynamics of conflict in relation to their work (theory of change)…Each training involved activities lead by country staff of agency…The workshops were held… Participants included 57% women, and were 30% of the dominant religious group (70% from minority religious group), 40% from minority ethnic group A and 60% from B…

The programme has not been reviewed. Country and programme staff provided twice yearly self-assessments showing outputs and achievement of basic outcome objectives including number of journalists trained…Evaluations of workshops and trainings were completed by participants, …While staff has felt this was a successful programme overall, recent escalations in violence have raised concerns about impact. Many participants have changed their views of the programme in light of the changing situation on the ground….

5. **Provide directions in terms of approaches to be used**. What will be involved in the evaluation, how should the evaluation be conducted, etc. What will be the level of stakeholder involvement in evaluation process?

The evaluators will undertake a thorough conflict analysis and then draft and inception report. The evaluation will include a desk review of the programme self-evaluations and participant evaluations, as well as spending and country reports from the agency and other donors in the region. The evaluation team will visit country X for a participatory workshop with programme staff and embassy staff, as well as to interview programme participants. Evaluators should use a standard theory based approach to assess whether or not peace journalism is an effective, efficient, sustainable, relevant and impactful programme choice in this context. …

6. **Logistical and safety concerns**: address ethical behaviour in conflict environments and provide guidance on safety and logistics.

Due to safety concerns, the evaluation team will visit regions 1 and 2, but will not conduct interview in region 3. For region 3, evaluators will instead meet with proxies in the donor country and the capital of country X instead. The visit should take place during March…As needed, security units will be provided to enter region 2.

7. **Principles:** What standards and principles are to be followed. Refer the team to any relevant policy documents or agency agreements.

The evaluation should follow our agency's "Principles for engagement in conflict situations" and adhere to the draft DAC Evaluation Quality Standards. The team is also expected to adhere to our

Agency's Guidelines on Gender Sensitive Development Assistance. The final report will be reviewed according to DAC Quality Standards before being accepted. …

8. **Management arrangements, quality control and reporting.** Who will be in charge of each task and oversight? Who will the evaluation team report to? Who will be involved in drawing and assessing conclusions? What reports will be generated? Will they be public or confidential? Will they be published or placed on the internet? Will the reports and conclusions be checked? What quality control systems will be used?

The team will report directly to the evaluation department country programme manager Mrs. X and will also work with a small reference group including X, Y, Z who will review and comment on the inception report …The team will complete a field report which will be presented in a participatory workshop to country staff before completing the field mission. The final report will be reviewed by…before being accepted for publication.

9. **Requirements of the team** (including composition). Who should do the evaluation and what characteristics do they need to have? What is the size of the time? What time commitment is involved? What types of individuals are needed for this particular evaluation in this particular context?

The team should include experts in ethnic conflict and land-based disputes, with experience in this region. The team should be balanced in terms of gender and should also include experienced evaluators. The lead member should have conflict evaluation experience in this (or another) conflict region. At least two members should be fluent in language A and language B and all members should be comfortable working under difficult circumstances and should have good communication skills and non-aggressive attitudes…

10. **Budget and schedule.** How will the evaluation be funded? Have there been arrangements made for security costs or other additional costs associated with working in a conflict environment? Are funds available for conflict analysis? (Bids may also be accepted and then compared to establish the appropriate funding needed.) When will the evaluation be conducted?

The final draft report should be completed in August. The budget for the conflict analysis and desk study is €X, and for the field visit (including security detail if needed) €X,000…

ANNEX 9
FRAMEWORK FOR FEEDBACK

In order to contribute to improving this document and building a knowledge base of lessons in evaluating conflict prevention and peacebuilding work, the Secretariats of the DAC Networks on Development Evaluation and Conflict, Peace and Development Co-operation would appreciative reader input – particularly during applications of this working draft.

Please detach and send responses via email to: dacevaluation.contact@oecd.org
or by post:
DCD / Evaluation Network Secretariat
2, rue André-Pascal
75775 Paris Cedex 16
FRANCE

The survey can also be completed online at: www.oecd.org/dac/evaluationnetwork

1. Please provide the following information on yourself and your organisation:

Name, position:_____
Contact email:_____
Organisation, ministry or agency:_____
Division / department:_____
Country:_____

2. Overall how would you rate the guidance in terms of:

	Excellent	Very good	OK - Satisfactory	Unsatisfactory	Poor	Not sure
usefulness						
clarity						
relevance to your work						
completeness						
accesability ("user friendly")						

quality of information						

3. How have you used the working guidance document (during the application phase)?
Please describe the details: how it was applied, when, where, with whom, in what context, etc.

4. Did you experience any difficulties or challenges when using the guidance?

☐ Yes ☐ No ☐ Not sure

Please describe any problems (such as areas not sufficiently covered in the guidance, misunderstandings of the text, areas you need more information on, etc.).

5. If there are any specific examples or insights ("lessons learned") from your application(s) that might be interesting or useful to include in the final guidance (particularly in the empty example boxes in the text), please describe these in detail *on a separate sheet.*

6. Please provide specific feedback on the quality and usefulness of content sections of the guidance using the matrix below. Clarifying comments can be added at the bottom or on a separate sheet.

	Excellent / Vital information	Useful and Complete	Incomplete / Unclear / Needs more info*	Not useful / Should be removed
Introduction: The Conflict Prevention and Peacebuilding Context				
The need for strategic policy development				
Evaluating conflict prevention and peacebuilding				
Key terms				
Understanding peace				
Peacebuilding				
Conflict prevention				
Conflict prevention, peacebuilding and conflict sensitivity: When to use this guidance?				
Overview of key steps in planning and evaluating conflict prevention and peacebuilding work				
1. Introduction to section				
2. Some basic principles				
Conflict sensitivity				
Gender awareness				
Protection and ethical responsibilities				
Other considerations				
3.1 Preconditions: Programming to improve work and strengthen evaluation				
3.2. Planning and preparing the evaluation				
3.2.1 Define the purpose and use of the evaluation				
3.2.2 Decide the scope of the evaluation				
3.2.3 Do or obtain a conflict analysis				
3.2.4 Outline key evaluation questions				

3.2.5 Take timing and logistical issues into consideration				
3.2.6 Co-ordinate with other actors				
3.2.7 Consider conducting a joint evaluation				
3.2.8 Select evaluation criteria				
3.2.9 Devise evaluation management				
3.2.10 Develop Terms of Reference				
3.2.11 Select the evaluation team				
3.2.12 Contracting				
3.3 Conducting the evaluation				
3.3.1 Identify the implementation logic and theory of change				
3.3.2 Deal with missing baselines and other gaps				
3.3.3 Gather data				
3.3.4 Examine the effort using various criteria				
3.3.5 Look at the big picture				
3.4 Concluding and learning from the evaluation				
3.4.1 Draw conclusions and make recommendations				
3.4.2 Ensure quality				
3.4.3 Conduct reporting				
3.4.4 Disseminate, feedback and engage in a learning process				
ANNEX 1 SELECTED LIST OF KEY CONCEPTS AND TERMINOLOGY				
ANNEX 2 USEFUL WEBSITES AND RESOURCES				
ANNEX 3 PLANNING AND MONITORING				
ANNEX 4 CONFLICT ANALYSIS				
ANNEX 5 CONFLICT SENSITIVITY				
ANNEX 6 UNDERSTANDING AND EVALUATING THEORIES OF CHANGE				
ANNEX 7 EVALUATION APPROACHES				
ANNEX 8 SAMPLE TERMS OF REFERENCE (TOR)				

If you checked incomplete/unclear please explain in more detail what is missing or what information you would like to see. Also, feel free to refer to section numbers to provide more specific comments on content sections or the overall structure of guidance. Continue on a separate sheet if needed: