EARLY WARNING
& EARLY RESPONSE
HANDBOOK

Version 2.3 – September 2005

**A CONFLICT PREVENTION AND
POST-CONFLICT RECONSTRUCTION
(CPR) NETWORK RESOURCE**

Pearson
Peacekeeping
Centre

Centre Pearson
pour le maintien
de la paix

**United Nations Department
of Economic and Social
Affairs (UNDESA)**

WANEP
WEST AFRICA NETWORK FOR PEACEBUILDING

This Handbook works best when it is printed double-sided

About the Conflict Prevention and Post-Conflict Reconstruction Network

The Conflict Prevention and Post-Conflict Reconstruction (CPR) Network is an informal network of senior managers of bilateral donor countries and multilateral agencies dealing with the complex issues of conflict management and response. It arose out of an interest by the Organisation of Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) members of the Conflict, Peace, and Development Network to continue the process of sharing knowledge and experience in best practices in field operations that could serve as a guide to those working in CPR.

The CPR Network meets approximately every six months, and consists of donors and UN agencies with operational response capabilities in conflict prevention and mitigation. It is an informal network that has been established for international donor collaboration to allow for the formulation of strategies for improved operational effectiveness in global peacebuilding and conflict resolution. The group's work is consistent with, and builds upon, that of the DAC Conflict, Peace, and Development Network.

The strength of the self-motivated CPR Network of peace practitioners is in its focus on the practical, operational issues of responding to emerging or current conflict situations. By broad consensus, the group is kept small and the meeting is informal. It has also been the practice that attendance is at a senior decision-making level.

The objectives of the CPR Network include:

- Operational collaboration (at country/regional level).
- Sharing information, knowledge, and experience (practical lessons).
- Improving effectiveness and innovation of CPR programming.
- Development of practical tools.
- Development of lessons learned and applying them in the field.
- Collaborative mobilization/deployment of resources (human and financial).
- Bridging between policy/research and operations.
- Discussing/determining choices (rather than priorities) for selecting countries or situations in which to undertake joint "intervention" (possibly common programs).
- Collaboration on training and developing donor capacity to respond.

It is as a contribution toward these objectives that this Handbook was prepared and training workshops were organized for common-conflict analysis and response identification for CPR Network members.

ACKNOWLEDGMENTS

This Handbook is inspired by the work of a number of agencies.

The following tools serve as its basis:

- 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*
- CPR Network of Peacebuilding Donors. *Compendium of Operational Frameworks for Peacebuilding*
- Department for International Development. U.K. *Strategic Conflict Assessment: Guidance Notes*
- European Commission. *Checklist for Root Causes of Conflict*
- FEWER. *Conflict Analysis and Response Definition (Abridged Methodology)*
- FEWER. International Alert, and Saferworld, *Development in Conflict: A Seven Step Tool for Planners (Version 1)*
- International Institute for Democracy and Electoral Assistance (IDEA). *Democracy and Deep-Rooted Conflict: Options for Negotiators*
- Netherlands Institute of International Relations 'Clingendael'. *Conflict Prognosis: A Conflict and Policy Assessment Framework*
- OECD. *DAC Guidelines on Helping Prevent Violent Conflict*
- Stiftung Wissenschaft und Politik. *Conflict Impact Assessment: A Practical Tool for Prioritising Development Assistance in Unstable Situations, CPN Guide*
- United Nations Department for Economic and Social Affairs (UNDESA). *Conflict Analysis and Early Response Training Manual*
- United Nations Framework Team. Early Warning Indicators/Methodology
- United Nations Staff College. *Early Warning and Preventive Measures*
- USAID. *Participatory Country Program Strategic Planning, and Performance Monitoring*
- West Africa Network for Peacebuilding.
- World Bank. *Conflict Analysis Framework*

INTRODUCTION

It is a sad fact that conflict affects many countries, and that there is an irrefutable link between conflict, peace and development. Countries affected by war suffer from greater poverty, malnutrition, and underdevelopment. Countries at peace benefit from bilateral donor coordination groups, while humanitarian emergencies have UN coordinating bodies to mobilise action. Countries affected by conflict have no such peacebuilding coordination bodies, in fact, quite the opposite, though they are in dire need of thoughtful, collaborative efforts from the international community. Donors have only recently begun to tackle the challenge of peacebuilding, and this Handbook is one contribution to that effort.

This Handbook is intended for development practitioners who seek to mainstream peace and conflict analysis into their long-term development programs. The Conflict Diagnostic Framework enables planners to take a "snapshot" of peace and conflict dynamics in a given country, and stimulates discussion of possible development activities that can support peace. The Handbook can also be used by non-development actors (i.e. diplomatic, political, security, trade, finance) to identify possible areas for action.

The Handbook is ideally used in a workshop setting. Workshop participants should represent the range of stakeholders from the conflict area covered. It may also be used by donors and other "interveners" in their program planning. The quality of the analysis depends very much on the individuals or groups which have been assembled. Analysis which reflects the inputs and priority-setting of local actors is the optimum approach.

The Handbook itself contains various tables that can be used to do a Conflict Diagnostic, with accompanying definitions and guiding questions. Sector-specific supplementary questions are provided in the Annex to the Handbook. In addition, there are checklists and operational frameworks from multiples sources to assist the user in doing the analysis and designing short and long-term development programs in conflict zones that are available in the Resource Library *Compendium of Operational Frameworks for Peacebuilding* at www.cprnet.net/compendium .

It is important to note that the Handbook does not help assess the impact of a particular project on the peace and conflict dynamics in a society or fully cover program implementation issues.

HOW TO USE THIS HANDBOOK

The aim of this Handbook is to facilitate the design of a Conflict Diagnostic Framework. Through an assessment of conflict and peace factors, as well as a stakeholder analysis, development practitioners are able to make strategic choices and define entry points for response.

This Handbook is divided into seven steps. Each step has within it an identified objective, definitions of terms used in the tables, questions to stimulate discussion, and an accompanying table. Together, these steps help complete the Conflict Diagnostic Framework. The various steps are briefly described below:

- Step 1 provides an overview of the full Conflict Diagnostic Framework.
- Steps 2, 3 and 4 provide for the assessment of conflict and peace factors, as well as stakeholder dynamics. After these steps, participants return to the Conflict Diagnostic Framework to fill in relevant sections.
- Step 5 takes participants through a process of drawing out scenarios and defining overall peacebuilding objectives. After this step, participants return to the Conflict Diagnostic Framework to fill in relevant sections.
- Steps 6 and 7 help define strategic issues and choices, as well as key entry points for response.

The Handbook itself serves as an abridged and stand-alone version of material used at the CPR conflict analysis workshops, the Pearson Peacekeeping Centre, and applications in the field.

Step 1: Conflict Diagnostic Framework

Objective

To review the full Conflict Diagnostic Framework, understand its various components, and prepare for its completion.

Rationale

The Conflict Diagnostic Framework is based on the following assumptions:

- In order to analyze conflict, three areas need to be tackled: (a) what are the issues (indicators) that underpin and drive community tensions? (b) What are the factors (indicators) that put a brake on conflict and serve as the basis for peace? and (c) Who are the main stakeholders in the community involved?

  - Conflict indicators can be identified at various levels (manifestations, proximate and root causes of conflict).

  - Similarly, peace indicators can be identified at various levels (ongoing peace efforts, structures, and processes in place, and peacebuilding gaps).

  - Stakeholder dynamics can be understood by reviewing actions, agendas/needs, and alliances.

- Scenarios are developed by assessing trends in key conflict/peace indicators, as well as among stakeholders. Once these trends are understood, it is possible to make a judgment on where "things are going" by weighing up (and against each other) conflict and peace indicators, and stakeholder developments.

  - The most useful scenarios in operational terms are those that lay out (a) the best-possible scenario that can be reached under current circumstances, (b) the middle-case scenario, which describes a "muddling through" outcome of the current situation, and (c) the worst-case scenario for which practitioners should be prepared.

- Also for operational purposes, it may be useful to provide an assessment of the likelihood of different scenarios (most likely, less likely, likely), as well as a time frame for their possible realization.

- The additional value of scenarios is that they are easily translated into overall objectives, thus "rooting" peacebuilding objectives in reality. As such, an optimal objective can be focused on realizing a best-case scenario and contingency objectives focused on avoiding—and being prepared for—a worst-case scenario.

- When defining responses to conflict, a number of strategic issues need to be considered: (a) What are the main conflict indicators and synergies among them that need to be addressed? (b) What are the main peace factors, synergies, and peacebuilding gaps we see? and (c) What strategic choices have to be made by the responding institution(s)?

- When going over all of these steps, it is easy to fall into the "hammer seeing every problem as a nail" trap. Hence, in order to encourage practitioners to think more broadly than their own respective disciplines, a series of guiding questions is provided in each step.

Summary

Together, the identification of key indicators, stakeholders, definition of scenarios and objectives, and unpacking of strategic issues set the stage for a comprehensive (and evidence-based) peacebuilding strategy.

Process

Table 1 (Framework) represents the executive summary of the findings which are derived from detailed analysis of the other Tables. First complete Tables 2 (Conflict), 3 (Peace), and 4 (Stakeholders), then bring forward key information to Table 1. Next, complete Table 5 (Scenarios and Objectives). Finally, using the previous analysis, complete Table 6 (Strategic Issues), and move forward to Table 7 (Recommendations for Action).

TABLE 1
CONFLICT DIAGNOSTIC FRAMEWORK

(P) Political	(E) Economic	(S) Social	(SEC) Security	(I) International/Regional

Peacebuilding Objectives
Optimal:

Contingency:

Conflict Factors	Peace Factors	Stakeholders	Strategic Issues
Manifestations •	**Ongoing Peace Efforts** •	**Actions** •	**Conflict Synergies** •
Proximate Causes •	**Structures/Processes in Place** •	**Agendas/Needs** •	**Peace Synergies** •
Root Causes •	**Peacebuilding Gaps** •	**Alliances** •	**Stakeholder Synergies** •

Scenarios:
Best Case –

Middle Case –

Worst Case –

Objective
To understand the history of tensions in the community, their causes, and what fuels them; to identify the priority issues (root causes) of the tensions and identify the priorities for action.

Definitions
Manifestations: Easily identifiable occurrences (what you see) that indicate unrest in the society. Examples may be civil unrest, high unemployment, marginalisation of ethnic or religious groups, refugees and internally displaced persons fleeing, corruption, etc.

Proximate Causes: Factors that accentuate and make more severe the underlying causes of conflict. They can support or create the conditions for violent conflict, and are time-wise closer to the outbreak of armed violence. They may change over time. Examples may be poor personal security, availability of weapons, increase in the poverty level, shocks, etc.

Root Causes: Structural or underlying causes of conflict. They are necessary, but not sufficient, causes of violence, and are mostly static, changing slowly over time. Examples may be poor governance, absence of the rule of law, lack of respect for fundamental rights, ethnic diversity, colonial history, etc.

Conflict Synergies: There is no single cause of a conflict. Factors vary in importance and can reinforce each other. Conflict analysis must involve assessing the relative importance of various conflict factors and their interrelationship. The combined effect of conflict factors produces an effect that enhances or reinforces the effect of individual conflict factors.

Process
Left-to-Right logic applies to this Table. Identify a manifestation of tensions first, then burrow down through proximate and root causes. Repeat this process until sufficient information is available to get a broad overview of the context of tensions in the community. Identify synergies last, as reinforcing relationships become apparent.

Key Questions for Manifestations:
- What are the indicators of tension in the community?
- What are the stated reasons for the tensions or conflict?
- Are there tensions within the community or between communities?
- Are there indications of civil unrest, high unemployment, and corruption?
- How do these tensions directly impact community members?

- Are there groups that face political, economic or social discrimination?
- Are people leaving their homes because of rising violence?
- Do the indicators selected reflect the concerns of various sectors of the population (women, elderly, poor, children, rich) and the vulnerable?

Key Questions for Proximate Causes
- What are the factors that give rise to, or support the tensions?
- How have existing political processes and institutions fuelled tensions?
- What are the mechanisms that people use to voice their political views?
- How is competition for resources managed? What inequities exist?
- To what extent is identity manipulated for political or economic gain?
- What legal institutions, formal or informal, including dispute resolution mechanisms exist? Have they played a role in the tensions?
- Is the delivery of social services declining or improving?
- Are there systems that support the availability of small arms?

Key Questions for Root Causes
- Legitimacy of the state
  - Does the community participate politically in fair elections?
  - What is the level of citizen representation or degree of decentralisation?
- Rule of Law
  - How strong is the judicial system?
  - Does the law protect people equally and fairly? Do they have rights to a fair trial that treats them as innocent until proven guilty?
  - Is there biased law application and enforcement?
  - Does civilian power control the military system?
- Respect for fundamental rights
  - Is there evidence of social exclusion or marginalisation of ethnic groups,
  - Are political, civil and religious rights respected?
- Active civil society and media
  - How free are people to express their political or ideological opinions or practice the religion of their choice?
  - How free are people to gather to share ideas or form groups?
  - Are effective dispute resolution mechanisms absent?
- Sound economic management
  - Are inequities related to particular identity groups?
  - Are there unique historical legacies, or issues surrounding the distribution of economic, social, or political resources?

The emerging key manifestations, proximate and root causes and synergies are to be incorporated into the Conflict Diagnostic Framework, Table 1.

<table>
<tr><th colspan="5">TABLE 2
CONFLICT PROFILE</th></tr>
<tr><th>Left to Right</th><th>Manifestations</th><th>Proximate Causes</th><th>Root Causes</th><th>Conflict Synergies</th></tr>
<tr><td>Political</td><td>What are the easily identifiable occurrences (what you see) that indicate unrest in the community /country?</td><td>What are the factors that accentuate and make more severe the underlying causes of conflict? They can create the conditions for armed conflict</td><td>What are the structural or underlying causes of conflict?</td><td rowspan="5">What are the root causes of tension that combine to enhance or reinforce the effect of individual conflict factors? Paying attention to these synergies may identify key targets for containment or prevention.</td></tr>
<tr><td>Economic</td><td></td><td></td><td></td></tr>
<tr><td>Social</td><td></td><td></td><td></td></tr>
<tr><td>Security</td><td></td><td></td><td></td></tr>
<tr><td>Regional/ internat'l</td><td></td><td></td><td></td></tr>
</table>

STEP 3: PEACE Analysis

Objective

To understand what factors can contribute to a sustained peace, reduce the incidence of violence, or prevent the outbreak of violent conflict.

Definitions

Ongoing Peace Efforts: Easily identifiable manifestations or occurrences (what you see, the evidence) that indicate that non-violent solutions are being sought, i.e. groups advocating non-violence, media promoting tolerance, etc.

Peace Structures and Processes in Place: Structures or processes in place for dealing with unrest or violence, and sustaining peace may include: traditional courts, inter-village meetings, a process where elders meet, etc. The mechanisms put in place specifically for dealing with the conflict may include truth commissions, tribunals, etc., or systemic supports that uphold peace or reduce the "conflict carrying capacity" of society such as the existence of rules governing relations between villages and groups, a culture of tolerance, etc.

Peacebuilding Gaps: Regional or international political, economic, social, and security initiatives requiring attention to sustain peace that are not currently being undertaken either from domestic or external actors. What or who could spoil the peace?

Peacebuilding Synergies: There is no single precondition for sustainable peace. Factors vary in importance and can reinforce each other. Peace analysis must involve assessing the relative importance of the various peace efforts and opportunities and their interrelationships. The combined effect of a number of peace factors can produce an effect that enhances or reinforces the effect of individual peace factors. Paying attention to peace synergies may identify key targets for support in the pursuit of peace.

Process

Left-to-Right logic applies to this Table. First, identify a manifestation of peace, and then identify whether there are processes or structures in place to support sustainable peace, or if gaps exist. Repeat this process until sufficient information is available. Identify synergies last as the reinforcing relationships become apparent.

Key questions for Ongoing Peace Efforts

- Are there groups seeking non-violence or calling for meetings?
- What is the public media saying? Are there independent, private messaging sources?
- Are there groups calling for negotiations, including civil society?

Key questions for Structures and Processes in Place

- Have parties agreed to demobilise their forces or turn in their arms?
- Is there demonstrated commitment on the part of the major conflicting parties to implement a settlement?
- What are the incentives and disincentives to pursue non-violence? Are central actors getting what they want? How much of a threat to peace are those actors who did not get what they wanted?
- What would it take to placate these interests in the short, medium, and long term?
- What degree of consensus exists among political actors and stakeholders? What is the consensus based upon?
- Have trends emerged during the process of discussions or negotiations? Do these trends have any 'predictive' value?
- Are there processes that have been used which appear to have led to some problem resolution? Are these processes worth repeating?
- What are the forms of conflict resolution, and judicial enforcement relied upon by the community, both legal/judicial or traditional?
- Have you considered indicators at all levels (local, national, international)?

Key Questions for Peacebuilding Gaps

- Are there peace-promoting initiatives that are not being undertaken that need attention?
- Are there sufficient a resource devoted to peace promotion (the positives), or is more energy devoted to the conflict (the negatives)?
- What or who can spoil the peace?

The emerging key peace indicators, gaps, and synergies are to be incorporated into the Conflict Diagnostic Framework, Table 1.

	TABLE 3 PEACE PROFILE			
Left to Right	**Ongoing Peace Efforts**	**Structures & Processes in Place**	**Peacebuilding Gaps**	**Peacebuilding Synergies**
Political	*What are the identifiable manifestations (what you see) that indicate that non-violent solutions, or peace are being sought?*	*What are the structures or processes in place for dealing with community tensions or sustaining peace?*	*What initiatives require attention to sustain peace that are not currently being undertaken? What or who could spoil the peace?*	*What are the peace factors which combine to enhance or reinforce the effect of individual peace factors? Paying attention to peace synergies may identify key targets for support in the pursuit of peace.*
Economic				
Social				
Security				
Regional/ Internati'l				

STEP 4: Stakeholder Profile

Objective

To understand the potential and actual motivations of various stakeholders and the actions they may take to further their respective interests.

Definitions

Stakeholders: Primary, secondary, and external parties to the conflict. These actors represent the groups and/or individuals with a stake in maintaining the conflict and/or building peace.
Actions: Easily identifiable manifestations or occurrences (what you see, the evidence) of efforts made/activities undertaken by various stakeholders to promote peace or conflict.
Agendas/needs: The vested interests of key stakeholders in maintaining the conflict or working toward peace - opposing or overlapping requirements affected by the conflict or peace. e.g. access to land for pastoralist groups, or medical supplies for guerrillas. Note: wants are different than needs, and some stakeholders have legitimate needs or grievances against authorities..
Stakeholder Synergies: Actors can vary in importance and reinforce each other. Stakeholder analysis should assess the relative importance of the various actors and interrelationships. The combined effect of stakeholders can produce an effect that enhances, or reinforces, the effect of individual actors. Synergies can exist without being consciously pursued. Paying attention to synergies between the actors may identify key targets for support or preventive action.

Process
Left-right logic applies to this Table. First, identify a stakeholder, then plot their actions, their agendas (what they want), needs, and alliances. Repeat this process until sufficient information is available. Identify synergies last as the reinforcing relationships become apparent.

Key questions for Stakeholders
- Consider all stakeholders (political, economic, social, and security), and race, colour, tribe, caste, language or ethnic group
- Consider relevant government, military and civil society leaders as well as communities or groups, and latent actors
- Do the stakeholders selected reflect the concerns of various sectors of the population (women, elderly, poor, children, rich, etc.)? Are there stakeholders who have no voice or are difficult to hear?

- How do they define themselves? What are the core identity features?
- Who are the real leaders of these groups - politicians, soldiers, and religious leaders, intellectuals? Are they representative? Do they hold legitimate authority?
- Have the key actors changed over time?
- Consider stakeholders at all levels (local, national, international)?
- Consider the importance of historic, present, and future stakeholders?

Key questions for Actions
- How do the key actors mobilise (i.e. via political parties, armies)?
- Do they hold political power or are they subject to discrimination?

Key questions for Agendas and Needs
- What are the central interests and incentives of different actors?
- *Peace agendas:* What visions of peace do the stakeholders have? What kind of peace do they want? What are the main elements of their peace agendas (land reform, national autonomy)?
- What factions or reformist elements exist within identity groups? Are these groups homogeneous or not? Are there spoilers opposed to peace? How great a threat do they pose?
- What are the principle alignments, and do they conform to major social cleavages? Are they diffuse, shifting or stable? What is their base?
- Did central actors get what they wanted? How much of a threat to peace are those actors who did not get what they wanted?
- Are your stakeholders reflective only of the current phase of the conflict? Consider whether other phases are relevant.

Key questions for Capacities and Vulnerabilities
- What capacities do the stakeholders have to support conflict or peace or otherwise affect it?
- Which individuals/groups have power/influence?
- What pressures are they subject to from followers, constituents, or opponents?
- What financial, human, and political resources are available to them? Look for vulnerabilities as well as capacities.
- Do they have formal or informal arrangements of support for continued conflict or peace?
- Are there synergies amongst stakeholders whether intended or unintended?

Distil the most important information about the <u>key</u> should be incorporated into the Conflict Diagnostic Framework, Table 1.

	TABLE 4 STAKEHOLDER PROFILE			
Left to Right	**Stakeholders**	**Actions**	**Agendas/Needs**	**Capacities & Vulnerabilities**
Political	*Identify the groups in the community and external parties to the tensions. These actors represent the groups or individuals with a stake in maintaining the tensions or building peace.*	*What are the easily identifiable manifestations (what you see) of efforts made/activities by various stakeholders to promote peace or conflict?*	*What are the vested interests of key stakeholders in maintaining tensions or working toward peace? What do they want and what do they really need?*	*Which groups have significant numbers that are self-reliant, independent, confident, share values, cooperate, show mutual respect, or have coping mechanisms? Which groups do not?*
Economic				
Social				
Security				
Regional/ Internati'l				

Objective

To draw out the best, middle and worst-case scenarios in order to prepare and define realistic objectives for engagement.

Definitions

1. Scenarios: Scenarios basically answer the question, "What will happen next?" A time frame (e.g. six months) is normally given on scenarios, as are judgments on their likelihood (e.g. most likely, likely, less likely). Scenarios are developed by assessing **trends** in indicators (i.e. are they getting stronger or weaker, or are they on the rise or decline?) and among stakeholders, and weighing conflict-indicator trends against peace-indicator and stakeholder trends. At this stage, one may look at what might **trigger** a change in the current situation (i.e. the death of a key actor), or what might ignite a change in the current situation.

Best-case Scenario describes the optimal (most positive) outcome of the current situation. It may be based on certain assumptions (e.g. rebels decide to negotiate) about stakeholder actions.

Middle-case Scenario describes a "muddling through" outcome of the current situation. It is largely based on an assumption that the status quo (e.g. fighting between parties) continues.

Worst-case Scenario describes the worst-possible outcome of the current situation. It may be based on assumptions (e.g. government launches a large counter-offensive) of stakeholder actions.

2. Objectives provide much-needed strategic direction for responses to conflict. They need to reflect a combination of "ground realities" and response capacities, as well as scenarios.

Optimal Objectives are translations of the best-case scenario (e.g. support the negotiated settlement of the conflict). In essence, it is an objective that will direct efforts to realize the best-case scenario.

Status Quo Objectives reflect the middle (muddle through) case. It is debatable whether an objective for the status quo is needed, since the purpose of engaging in a fragile state is generally accepted to be about promoting the best case and preventing the worst case from happening.

Contingency Objectives seek to ensure that practitioners are prepared for a worst-case scenario and prevent these from happening (e.g. develop preparedness plans and discourage a military counter-offensive).

Process

Using the key conflict, peace, and stakeholder factors and their trends, build the scenarios first (approximately 50 words each), describing the state of affairs if the optimal, status quo, or most negative situation evolved. Next, define an objective for your engagement (50 words max) for each scenario that specifically addresses the key factors you have identified in the Community Profile (conflict root causes; peace opportunities, capacities, and gaps; stakeholder needs, and synergies). No objective is required for the middle case, unless your objective is to 'muddle through'.

Key questions

- What are trends in key conflict indicators/synergies, peace indicators, and stakeholder dynamics?
- Is violence on the rise or decline?
- Are peace initiatives getting stronger or weakening?
- Are stakeholders getting stronger or weaker? Which direction are things going?
- What event might trigger or "tip" the balance towards violence or peace?
- What is your judgment about best, middle, and worst-case scenarios when considering the overall (conflict, peace, stakeholder) picture?
- Given your scenario, what objective for engaging in this community is appropriate and realistic?

The scenarios and objectives are to be incorporated into the Conflict Diagnostic Framework Table 1.

TABLE 5
SCENARIOS AND OBJECTIVES

Scenarios	Objectives
Best Case *Describe the optimal (most positive) outcome (e.g. rebels decide to negotiate) of the current situation. It may be based on certain assumptions.*	**Optimal Objective** *Translate the best-case scenario (e.g. support the negotiated settlement of the conflict). In essence, it is an objective that will direct efforts to realize the best-case scenario.*
Middle Case *Describe a "muddling through" outcome of the current situation. It is largely based on an assumption that the status quo (e.g. fighting between parties) continues.*	**Status Quo Objective** *Translate the middle case scenario (muddle through)*
Worst Case *Describe the worst possible outcome of the current situation. It may be based on assumptions (e.g. government launches a large counter-offensive) of stakeholder actions.*	**Contingency Objective** *Translate the worst-case scenario to ensure that you are prepared for worst and prevent this from happening (e.g. develop preparedness plans and discourage a military counter-offensive).*

Step 6: STRATEGIC ISSUES AND CHOICES

Objective

To look holistically at the relationship between conflict, peace, and stakeholder dynamics, and review identified conflict synergies and peacebuilding gaps. In this step, participants also look at strategic choices to be made in order to define possible response strategies.

Definitions

Conflict Synergies: From a programming viewpoint these are generally the problems one would want to contain or prevent. Paying attention to these synergies may identify key targets for action or sanction.

Peacebuilding Synergies: From a programming viewpoint, these are generally the initiatives one would want to support or strengthen. Paying attention to peace synergies may identify key targets for support in the pursuit of peace.

Peacebuilding Gaps: These are root causes or conflict synergies requiring attention where there is no initiative to contain them or sustain peace currently being undertaken, either from domestic or external actors.

Stakeholder Synergies: From a programming viewpoint, these are the groups or individuals one would want to promote or contain. Paying attention to synergies between actors may identify groups for support or preventive action.

Process

Left to right logic applies to this Table. 1) Identify one of the root causes or conflict synergy requiring attention, 2) identify if there are any ongoing peace efforts which address this issue, or if there is a "peacebuilding gap", 3) identify the key stakeholders (positive promoters or negative spoilers) related to this issue, 4) identify a strategy(ies) for dealing with this issue (10 words max). Strategies could include something to support, contain, prevent, or be a new initiative. Continue plotting the Strategic Issues Table until a

broad range of possible Strategic Responses have been identified. Do not allow your own capacity to respond bias your analysis or recommendations for action. If you are a hammer, do not look only for nails.

Key questions

- In view of the full analysis, review identified conflict root causes and synergies. Are they complete?

- Are key peacebuilding synergies and gaps adequately defined?

- In view of the previous analysis, have you heard the voices of all the stakeholders? Not everyone has the power to speak, but they need to be heard.

- Do the strategies for action address all the objectives described in the scenario-building and objective-setting exercise both in terms of what needs promotion and what needs prevention?

Building on the analysis, synergies, gaps, and capacities of all participants including local actors and donor agencies, make short-term and long-term recommendations for action.

Note: The best use of this framework is in a workshop setting involving local actors which reflects local priorities and needs. It is also possible to use this assessment tool as a desk exercise for external actors, or in donor groups in their program planning or collaboration activities.

The emerging strategic issues should be incorporated into the Conflict Diagnostic Framework.

TABLE 6 STRATEGIC ISSUES					
Left-right	*Previous Analysis*				*Strategic Choices*
	Conflict Root Causes	**Peace Capacities**	**Peacebuilding Gaps**	**Stakeholder Synergies**	**Strategy for Action**
Political					Short-term Long-term
Economic					
Social					
Security					
Regional/ Internatl	'				

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STEP 7: PEACEBUILDING RECOMMENDATIONS

Objective

To make specific recommendations for action (political, economic, social, security) at a regional and international level.

To assign leadership and accountability for each of the recommended actions.

Key Issues

- Once the possible strategies for action (Table 6) have been identified, they need to be looked at in terms of:

  ❑ Overall peacebuilding objectives
  ❑ Coherence of the strategy

- It is not possible for every actor to tackle every issue. Capacity and resources are usually limited. Choices need to be made. In order to make strategic choices, there is a need to assess the initiatives of other agencies and the capacity of one's own agency in the different fields (governance, economics, socio-cultural and security). Key questions include:

  ❑ What peacebuilding initiatives are being undertaken?
  ❑ What is my agency's comparative advantage and capacity?

- Specifically look at your capacity in various fields (political, economic, social, security) at all levels (local, regional and international). What can be mobilized to impact on conflict synergies and peacebuilding gaps? For example:

  ❑ Should you advocate and implement policies and practices that allow for the development of more-inclusive government, or are such efforts adequately supported?

  ❑ Is there a need to assist in budget reform in order that civil servants are paid a living wage and that tensions are reduced, especially in the security forces?

- Given the key issues which have arisen from this analysis, what are the most critical activities which need to be undertaken?

- What initiatives need to be taken before others can be implemented?

- What initiatives need to be taken which might enable other things to happen?

- What stakeholders need to be supported to move the peace agenda forward? What stakeholders need to be contained or included? Are women or vulnerable groups being included or heard?

- Do some actors, either local or external, have a special capacity to respond?

- What is the rationale for the specific initiative being recommended?

- Which agency or group has the greatest capacity to respond?

- What mechanisms need to be put in place to promote collaboration or coordination amongst external actors such as donors?

TABLE 7
PEACEBUILDING RECOMMENDATIONS

Left to Right	Recommendations for Action	Rationale	Lead actors
Political			
Economic			
Social			
Security			
Regional / International			

CONFLICT ANALYSIS
SUPPLEMENTARY QUESTIONS

CONFLICT ANALYSIS	FACTORS FOR CONSIDERATION
Identifying relevant conflict factors is facilitated by the use of a number of different 'lenses'. These should be considered when identifying conflict factors.	▪ What are the key economic, social or political issues facing the nation? ▪ What are the priority problems of both citizens and government authorities that need addressing (immediate, medium and long-term)?
LEVELS OF ANALYSIS	▪ Local ▪ Sub-national (provincial, district) ▪ National ▪ Regional ▪ International
SOCIAL FACTORS	▪ In general, how is the local population experiencing the conflict? ▪ How secure do people feel? ▪ How do people assess the current situation? What is the behaviour of civilian or military authorities? ▪ What are there expectations? ▪ What is the scope of the conflict's effect on the population? What regions or geographic areas suffer most, and why? ▪ What is the role of identity (religion, language, and ethnicity)? ▪ How are the experiences of conflict impacting on different genders? ▪ What is the level of civic engagement or presence of civil society? ▪ Is there respect for civil, political, religious, and cultural rights? ▪ What is the status of the media? Is there freedom of speech? What is the level of independence from the state? ▪ What is the level of militarization in society? Are there many who hold small arms or weapons of war? ▪ What are the relations between communities? Are their traditional rivalries between communities? Are the grievances solvable with technical approaches (i.e. hardware - can be fixed with a bridge or water well), or deep-rooted (i.e. software - based on attitudes, perceptions, stereotypes, racism, or historic hatreds)?

ENVIRONMENTAL ASPECTS	▪ Were economic/distributional issues (i.e. distribution of land, access to natural resources or proceeds from natural resources) fundamental causes of the conflict?
	▪ Were distributional issues addressed in ending the conflict?
	▪ Consider:
	    ❑ Contextual Factors
	    ❑ Borders
	    ❑ Size of the space where conflict is occurring
	    ❑ Topography
	    ❑ Vegetation & Climate
	    ❑ Natural & Strategic Endowments/Resources
	    ❑ Distribution of Resources

POLITICAL FACTORS	- Have political processes and institutions fuelled the conflict? - Are the former or current systems proportional, majoritarian, or mixed? - What is the level of citizen representation, or the degree of decentralisation? - What are the existing legal procedures and institutions? What types of formal and informal mechanisms exist, including dispute resolution mechanisms? Have they played a role in the conflict? - Are there socio-economic and ethnic cleavages? To what extent are they manipulated for political gain? - Are there electoral options available? Is the election process free and fair, or flawed election process? - Is the governance accountable and transparent? - What is the State capacity to provide & distribute basic services along identity lines (religion, culture, ethnicity, language, etc?) - Is there political exploitation based along lines of identity? - What is the level of inclusiveness and representation in the political system? - Is the regime legitimate? Does it draw its legitimacy from the citizens? - What is the status of State & Society relations? - Is there stability of political institutions (weak institutions, unrepresentative)? - Is there equal access to rule of law and access to judiciary system? - What is the level of independence of judiciary system from the state? - Is there corruption? - What is the role of political parties? Is there and opportunity for open dialogue or competing visions? - Is there a level of respect for national authorities? - Is there political space for actors other than the leadership of former warring parties or the ruling party to operate (i.e. local governments, media, civil society, traditional elders)? - If these actors exist, what are their mandates? What are there goals? - To what degree is there a truly accepted and feasible agreement, temporary or permanent, which addresses the fundamental issues that have driven the crisis or conflict including basic agreement on: - the balance of power in transition and future governments at the national level - decision-making processes, particularly with regard to distribution of resources - the degree of centralisation of power to regional, state, and local authorities - the nature and degree of citizen representation at the national and local levels - who has responsibility for determining and implementing next steps in the transition. What condition, mandates and limitation apply to these processes? - On balance, is there an opportunity to leverage change through existing political processes, or only the appearance of one?
PHASES OF CONFLICT	Often the urgency or immediacy of the conflict phase affects perspectives on what the most pertinent conflict factors are. As such, it is important to consider identified conflict factors in view of previous or forthcoming phases of conflict.

SECURITY FACTORS	- Is there a past history of violent conflict, especially in the past 10 years? - Have there been regional conflicts and the presence of IDPs, or refugees? - Has this region been affected by International conflicts? - What is the role of non-military security forces? - What is the level of control over borders (porous/non porous) - What is the level of military spending? - Is there civilian control of armed forces? - Is there ethnic distribution in security forces? - Are there child soldiers? - Is there a proliferation of small arms? - Are non state military actors present? - Is there abuse of human rights by security forces? - What is the behaviour of military, security forces, or other armed forces? - Have combatants agreed to demobilise their forces? Are these plans likely to work? - Have the parties to the conflict agreed to turn over arms? What is the state of this process? - Is there a commitment to creating an integrated, disciplined, professional army that is subject to civilian oversight? What are the incentives and disincentives for doing so?
DEMOGRAPHY	- What are the demographics of the community - categories of people - women, children, elderly, cultural groups, vulnerable groups? - Consider the following: - Contextual Factors - Population Size and Population Density - Gender Distribution - Ethnic Distribution - Geographic Distribution - Relationship between Groups - Impact of Environment on People and Vice versa - Population Density - What is the role of diaspora? - Is there political space for actors other than the leadership of former warring parties or the ruling party to operate (i.e. local governments, media, civil society, traditional elders)? - If these actors exist, what are their mandates? What are their goals? - What is the role of diaspora in supporting the tensions in the community? Do they finance dissenting groups by financial remittances from abroad?

TEMPORAL CONSIDERATIONS	- Consider the historical context of the conflict. What are the issues which started the conflict? - What important events in history (assassination of a religious leader, slave trade, genocide, previous conflict, etc.) relate to or feed the current conflict? - Are these events being exploited? - Have the driving issues changed over time? - Consider the future context of the conflict. - What important events in the future (exploitation of resources, return of expelled ethnic groups, withdrawal of military bases, etc.) might relate to, or feed the current conflict? Are such factors being exploited? - Which conflict generating factors are rooted in history and which ones are seen as important in the future?
FACTS AND PERCEPTIONS	- In conflict analysis, understanding both facts as well as perceptions is important. Examples abound in the field where violence has been triggered by unfounded rumours; therefore, understanding local perceptions of different conflict factors is critical and needs to be factored into the analytical framework. - Assess the interplay of facts and perceptions. - Are there specific factors/issues that are particularly sensitive for key groups (symbolic attachment to land, temples, churches, mosques, the right to march in different locations, access to water or wells, etc.)? - How do different groups perceive the conflict factors identified? - What factors are seen as more important than others? - Are certain groups associated to specific factors (e.g. economic marginalisation, political exclusion, etc.)?

PEACE ANALYSIS	FACTORS FOR CONSIDERATION
Identifying relevant peace generating factors is facilitated by the use of a number of different 'lenses'. These should then be considered when identifying peace generating factors.	
SYSTEMIC FACTORS	- What is the system that upholds peace? - How strong is it? Examples may be rules governing relations between villages and groups, etc.
PROCESS FACTORS	- What are processes for dealing with conflict and that sustain peace? Examples may be inter-village meetings, council of elders, etc. - Is there a demonstrated political commitment on the part of the major conflicting parties to implement the peace settlement? - What are the incentives and disincentives to support peace? - Did central actors get what they want or are there serious unresolved needs? - How much of a threat to peace are those actors who did not get what they wanted? - What would it take to placate these interests in the short, medium and long-term? - What degree of consensus exists among political parties? What is the consensus based upon? - Did trends emerge during the process of negotiations? Do these trends have any predictive value? What processes were used, and what was their outcome?

TOOLS	- What are the tools available for dealing with conflict? - How are these and the above factors sensitive to the gender (both male and female) sensitive? - Do effective communications exist for parties to resolve outstanding issues or differences?
CROSS CUTTING QUESTIONS	- What issues were not resolved which could reignite the hostilities? - Among the peace generating factors, which ones are perceived as opposed to factual? - Have you identified the main peace generating factors at all levels (local, national, international)? - Are the peace generating factors identified a manifestation of this current phase of the conflict? - Are there any peace factors which have been missed because of too much emphasis on this phase? - Which peace generating factors are rooted in history and which ones are seen as important in the future?
STAKEHOLDER ANALYSIS	**FACTORS FOR CONSIDERATION**
Identifying relevant stakeholders is facilitated by the use of a number of different 'lenses'. These should be considered when completing the stakeholder analysis.	
PEOPLE & RELATIONSHIPS	- Identify who the stakeholders really are (visible and invisible) - Which of the stakeholders epitomise the conflict? - Has there been change in the key stakeholders during the conflict life? - How many and what is the level of polarisation of the stakeholders? - Determine the constituencies of the key stakeholders? - Assess the relationships between the stakeholders? - What is happening with the gender dynamics? - Are there groups who have no voice? How can they be heard? - Have you identified the main stakeholders at all levels (local, national, international)? - Are the stakeholders identified a manifestation of the current phase of the conflict? Are there any who have been missed because of an emphasis on this phase? - Which stakeholders are rooted in history and which ones are seen as important in the future? - What is the role of regional actors in the conflict: how were they affected or involved? What incentives exist to sustain a peace settlement or to undermine it?
NEEDS/INTEREST/POSITION	- Distinguish between needs, interests and positions of the stakeholders - What are their shared needs? - Are the needs fully-defined? - Are the parties aware of the range of ''satisfiers' of their needs? - Are the 'satisfiers' available and accessible? - Who controls access to the 'satisfiers'? - What are the opposing and overlapping interests and positions of the parties? - Distinguish between the needs/interest and position of men and women.

GOAL/AGENDA: PEACE OR WAR	- What does stakeholder hope to achieve? (goal) - Are their goals open and known or hidden? - Have the goals changed during the conflict life? - Are the goals tangible or intangible? - Are the goals practical or is there a middle ground? - Do the goals reflect the legitimate needs of the group? - How are the goals articulated by men and women?
POWER BASE	- Identify the power bases of the stakeholders. What are the principal political alignments among key actors? - What attitudes about their own and the other's power does each party have? - What is the level of mutual dependency of the stakeholders? - To what pressures are relevant actors subject? Have different "levers" been used successfully to influence their actions in the past? - What is the balance of power between relevant actors emerging from the peace settlement? Is the current balance sustainable? Are there efforts underway to shift the balance? Are these efforts being carried out with or outside agreed upon transitional processes? - Is there political space for actors other than the leadership of former warring parties or the ruling party to operate (i.e. local governments, media, civil society, traditional elders)? - If these actors exist, what are their mandates? What are their goals? - What are the limits (internal and external) on their activities? - What level of support do they have from local populations? - To what degree are they respected and included in the processes and decision-making? - What is the overall trend? What factors have and will influence that trend? - What are the key power currencies that determine the power of the various stakeholders: political legitimacy, expert power, informational, coercion, material resources? - What power currencies do you see that the parties are not aware of? - In what ways do the stakeholders disagree on the balance of power between them? - What impact does the power assessment of the stakeholders have on their choices in the conflict? - How organised are the stakeholders? - What external or international alliances do the stakeholders have and why? i.e. what do the stakeholders have to offer external parties to get them interested in their cause? - Are there any existing institutions through which actors can conduct a dialogue with one another to resolves disputes or address policy issues?

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