EARLY WARNING - EARLY RESPONSE HANDBOOK
Version 3, 2013

United Nations Department of Economic and Social Affairs (UNDESA)

PEACEBUILDING CENTRE
Promoting People, Peacebuilding & Transformation

SAFERWORLD

WANEFP
WEST AFRICA NETWORK FOR PEACEBUILDING
This Handbook works best when it is printed double-sided

For further information, contact the Peacebuilding Centre, Ottawa, Ontario, Canada

info@peacebuildingcentre.com

The good practice in this Handbook has benefited from contributions and earlier work of:

- Forum for Early Warning and Early Response (FEWER)
- WANEP
- Saferworld
- Interpeace (Geneva)
- UNDESA
- Pearson Peacekeeping Centre
- Centre for Research & Development Somalia

© Copyright 2013

Copyright – this material has been assembled through the collective efforts of peacebuilding donors and practitioners. It may be freely quoted with acknowledgement to the Peacebuilding Centre
INTRODUCTION

It is a sad fact that violent 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. It is broadly recognised that stability and peace are prerequisites for poverty alleviation and a successful development process – and that sustainable development, when successfully pursued, reinforces human security, stability, and peace.

Countries at peace benefit from bilateral donor coordination groups, while humanitarian emergencies have UN coordinating bodies to mobilise action. Countries affected by conflict seldom have such peacebuilding coordination bodies, in fact, quite the opposite, though they are in dire need of thoughtful, collaborative efforts from the international community. Unfortunately, such coordination efforts are normally after the fact in the post-conflict phase. Donors have only recently begun to tackle the challenge of peacebuilding, and this Handbook is one contribution to that effort.

Years of investment in development have been destroyed because of violent conflict, and decades of development gains can be wiped out by one civil war. Many developing countries are fragile though they may not be experiencing violent conflict, and the engagement of outside actors, even in seemingly-unrelated sectors, is likely to have a significant impact on the way that a country’s political, social, and economic tensions evolve or are resolved.

Until recently, conflict and peace issues were considered primarily the domain for political, diplomatic, or military actors. In 1997, the Organisation for Economic Cooperation and Development (OECD) Development Assistance Committee Task Force on Conflict, Peace and Development (www.oecd.org/dac/incaf) issued Guidelines that clearly placed peacebuilding on the development agenda. These Guidelines were supplemented in 2001 and outlined the need to build more capacity “upstream” in conflict prevention and conflict-sensitive development, and advocated greater mainstreaming of these capacities in the civilian sector including civil society and the private sector (business and corporations).

Subsequent deliberations of the Task Force have generated policies and guidelines (2005) in the security sector primarily around building civilian capacity to engage in security sector governance, small arms reduction, disarmament, demobilisation and reintegrations of combatants, etc. They have now also developed Principles for Engaging with Fragile States.

IN, ON OR AROUND CONFLICT

Peacebuilding refers to all activities, whether before, during or after conflict, that deal directly with conflict and peace issues. While peacebuilding may be initiated at any point during a conflict cycle, it is much less costly in both human and financial terms if it is done early.

An institution needs to decide whether to improve its skills in working IN or ON conflict as opposed to AROUND it. There are many tools available to identify countries “at risk” of failure that can assist in determining whether special care needs to be taken for engagement in these communities. An extensive review of project proposals for working ON peacebuilding and end-of-project reports shows that, while well intentioned, most organisations approach the challenge in an “intuitive” fashion as opposed to using documented good practice and a proven “lessons learned” approach.

This Handbook is intended for practitioners who work ON conflict and seeks to mainstream peace and conflict analysis into their long-term development programs, but also applies to non-development actors (i.e. diplomatic, political, security, trade, private sector, finance) to identify possible areas for action. 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.

Early Warning analysis is ideally done in a workshop setting. Participants should represent the range of stakeholders from the community. Donors and other “interveners” may also use it in their program planning. The quality of the analysis depends on the groups that have been assembled. Analysis that reflects the inputs and priority setting of local actors is the optimum approach.
The Handbook contains various tables to organise a Conflict Diagnostic, with accompanying definitions and guiding questions. Sector-specific supplementary questions are provided in the Annex. In addition, there are checklists and operational frameworks from multiple sources to assist the user in doing the analysis and designing short and long-term programs in conflict zones. Tools are available in the Compendium of Operational Tools for Peacebuilding at the Peacebuilding Centre, Ottawa, http://peacebuildingcentre.com

Note: The Early Warning Handbook does not assess the impact of a particular project on the peace and conflict dynamics in a community. Early Warning-Early Response is a methodology designed for those who want to work ON the root causes of conflict. The Peace and Conflict Impact Assessment (PCIA) Handbook is available in the Compendium of Operational Tools at the Peacebuilding Centre web site.

ABOUT THE EARLY WARNING HANDBOOK

The principal message emerging from this new international consensus is that without peace there can be no-sustainable development, and without sustainable socio-economic development, there can be no sustainable peace. This cannot be achieved without being sensitive to the tensions that divide communities. The result is that considerable efforts have been made to document lessons learned and good practice in engaging with fragile states, particularly in activities that had previously not been handled by the civilian sector. It is relatively straightforward to assemble good practice and “learn” how to act in a conflict-sensitive way, but it takes professional facilitators with directly relevant field experience to assist in building this capacity in the field.

Many member states on the DAC Task Force contributed to the collection of good practice for the first edition of the Early Warning Handbook. In addition, NGOs and expert practitioners assisted in the design of the methodology. The work was initiated by WANEP (West Africa Peacebuilding Network), Sam Gbaydee Doe, and David Nyheim of the Forum for Early Warning-Early Response (FEWER). The Handbook was further developed by a working group consisting of Tracy Vienings (Saferworld), Yvonne Shanahan, Irina Shmakova and Susan Brown (Pearson Peacekeeping Centre). Since the first edition, the Handbook has been used by peacebuilding practitioners in the field, and continues to be refined as a result of new lessons learned in the field.

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, and a stakeholder analysis, peacebuilding practitioners are able to make strategic choices and define entry points for response.

This Handbook is divided into three steps. Each step has 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 is the Community Profile that assesses conflict and peace factors, as well as stakeholder dynamics in the affected community.

Tools to assist in the Community Profile include:

- European Commission. Checklist for Root Causes of Conflict
- Netherlands Institute of International Relations ‘Clingendael’. Monitoring the Rule of Law: Consolidated Framework
- Stiftung Wissenschaft und Politik. EU Conflict Prevention Network. Conflict Impact Assessment Tool
- UK Department for International Development (DFID). Conducting Conflict Assessment: Guidance Notes
- UNDP. Conflict Related Development Analysis
- World Bank. Conflict Analysis Framework (Part 2)
Step 2 takes participants through a process of drawing out **Scenarios and Objectives** for peacebuilding and conflict prevention. Experience in the field has shown that this is an important opportunity to build a consensus amongst local stakeholders and galvanise them to action.

Step 3 helps define **Strategic issues** and choices, as well as key entry point for response and **Recommendations** for action. Donors usually do not have enough resources to tackle all the issues, and choices must be made to focus on the most critical problem areas. Depending on the findings of the Community Profile, solutions may be found in a multitude of documented good practice and operational tools (i.e. business, children, education, gender, governance, measuring results, media, natural resources, security sector, truth and reconciliation, etc.). The tools mentioned above may be found in the Compendium of Operational Tools on the Peacebuilding Centre web site. [http://peacebuildingcentre.com](http://peacebuildingcentre.com)

After these steps, participants bring the key issues of their analysis to the Conflict Diagnostic Framework that is the executive summary of the full Conflict Diagnostic.

The Handbook service as a stand-alone version of a methodology developed by member countries of a donor peacebuilding network through multiple workshops, and has been updated by 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 trends are understood, it is possible to make a judgment on where "things are going" by weighing up conflict and peace indicators, and stakeholder developments.
  - The most useful scenarios 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.
  - For operational purposes, it is useful to assess the likelihood of different scenarios (most 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 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**

<table>
<thead>
<tr>
<th></th>
<th>(P) Political</th>
<th>(E) Economic</th>
<th>(S) Social</th>
<th>(SEC) Security</th>
<th>(I) International/Regional</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Peacebuilding Objectives</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Best Case:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Worst Case:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Conflict Factors</strong></th>
<th>Manifestations</th>
<th>Proximate Causes</th>
<th>Root Causes</th>
<th>Conflict Synergies</th>
</tr>
</thead>
<tbody>
<tr>
<td>(P)</td>
<td>(P)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(E)</td>
<td></td>
<td>(E)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(S)</td>
<td></td>
<td>(S)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Ongoing Peace Efforts</strong></th>
<th>Structures/Processes in Place</th>
<th>Peacebuilding Gaps</th>
<th>Peace Synergies</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(P)</td>
<td>(P)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(E)</td>
<td>(E)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(S)</td>
<td>(S)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Stakeholders</strong></th>
<th>Actions</th>
<th>Positions / Interests</th>
<th>Strengths/Weaknesses</th>
<th>Stakeholder Synergies</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(P)</td>
<td>(P)</td>
<td>(P)</td>
<td>(P)</td>
</tr>
<tr>
<td></td>
<td>(E)</td>
<td>(E)</td>
<td>(E)</td>
<td>(E)</td>
</tr>
<tr>
<td></td>
<td>(S)</td>
<td>(S)</td>
<td>(S)</td>
<td>(S)</td>
</tr>
</tbody>
</table>
**STEP 2: Conflict Analysis**

**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. These are the issues that need to be contained.

**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, religions, or other identity?
  - 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 3 key manifestations, proximate and root causes and synergies are to be incorporated into the Conflict Diagnostic Framework, Table 1. Choose from root causes that appear most frequently or have the most synergies with other conflict factors.
<table>
<thead>
<tr>
<th>Left to Right</th>
<th>Manifestations</th>
<th>Proximate Causes</th>
<th>Root Causes</th>
<th>Conflict Synergies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Political</td>
<td>What are the easily identifiable occurrences (what you see) that indicate unrest in the community?</td>
<td>What are the factors that accentuate 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>Which root causes combine to reinforce the effect of other conflict factors? Paying attention to these synergies may identify key targets for containment. Make linkages across the sector lenses. Complete this column after all conflict factors are plotted.</td>
</tr>
<tr>
<td></td>
<td>Example • Rising levels of violence in pre-election period and govt. repressions • Demonstrations &amp; civil unrest • Etc.</td>
<td>Example • Lack of representative parliament • Civil society dissatisfaction with Government</td>
<td>Example • Lack of legitimacy of State (non-inclusive governance) • Absence of opportunities for peaceful reconciliation of group interests</td>
<td>(P-SEC) State illegitimacy leads to increased violence and breakdown in the rule of law</td>
</tr>
<tr>
<td>Economic</td>
<td>• Extreme poverty in certain identity groups • High levels of unemployment, especially for youth</td>
<td>• Economic power vested in elite groups • Poor communities have no influence on economic policy</td>
<td>• Imbalance in economic opportunities along group lines • Ineffective governance (imbalance in economic opportunities)</td>
<td>(E-P) Lack of capacity and imbalance in economic opportunities leads to a fundamental division in social fabric and state illegitimacy</td>
</tr>
<tr>
<td>Social</td>
<td>• Communities divided along ethnic or language lines • Open displays of ethnic nationalism • Etc.</td>
<td>• Colonial legacy of elitist structures and values • Pervasive insecurity &amp; violation of group rights</td>
<td>• Lack of respect for fundamental human rights • Lack of respect for fundamental human rights</td>
<td>(Sec-E) Lack of security and breakdown in the rule of law hampers economic development and promotes the imbalance of economic benefits along group lines</td>
</tr>
<tr>
<td>Security</td>
<td>• High levels of small arms • High level of violent crime • Etc.</td>
<td>• Heightened sense of insecurity, biased justice system, and impunity for violators • Organised crime holds extensive influence</td>
<td>• Break down in rule of law • Ineffective governance (inability to provide security to citizens)</td>
<td></td>
</tr>
<tr>
<td>Regional/ internat'l</td>
<td>• Significant levels of foreign investment are targets for vandalism • Rebel incursions from neighbouring country</td>
<td>• Dissatisfaction with inequitable distribution of economic benefits • Bordering countries are in conflict</td>
<td>• Imbalance of economic opportunities (lack of corporate social responsibility) • Ineffective governance (poor control of borders and security)</td>
<td></td>
</tr>
</tbody>
</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. These are the factors that need to be protected.

**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 to deal 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? (i.e. lack of, absence of ...)

*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?
- What is happening to women and what are they doing?

**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 placate these interests in the short 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)?
- Are there women’s organisations that are peace promoting?

**Key Questions for Peacebuilding Gaps**

- Are there peace-promoting initiatives that need attention?
- Are there sufficient resources devoted to peace promotion (the positives), or is more energy devoted to the conflict (the negatives)?
- What or who can spoil the peace?
- A gap statement should start with a phrase like “lack of”, “absence of”, “weakness of”, etc. It should not re-state the conflict factors.
- What is missing or weak in the peace effort?

The emerging 3 key peace indicators, gaps, and synergies are to be incorporated into the Conflict Diagnostic Framework, Table 1.
<table>
<thead>
<tr>
<th>Left to Right</th>
<th>Ongoing Peace Efforts</th>
<th>Structures &amp; Processes in Place</th>
<th>Peacebuilding Gaps</th>
<th>Peacebuilding Synergies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Political</td>
<td>What are the identifiable manifestations (what you see) that indicate that non-violent solutions, or peace are being sought? Example • Government measures to eliminate corruption including judicial reforms • Etc.</td>
<td>What are the structures or processes in place for dealing with community tensions or sustaining peace? Example • Creation of the National Anti-Corruption Commission</td>
<td>What initiatives require attention to sustain peace that are not currently being undertaken? What or who could spoil the peace? Example • Weakness in transparency measures</td>
<td>What peace factors combine to reinforce other peace factors? Paying attention to peace synergies may identify key targets for support in the pursuit of peace Example (P-Sec) Increasing transparency in government promotes protection of human rights</td>
</tr>
<tr>
<td>Economic</td>
<td>• Local and national anti-poverty groups are active in civil society; some are supported by NGOs. • Etc.</td>
<td>• Female-centered NGO Rural Women Development Council tackles poverty through micro-credit schemes</td>
<td>• Lack of access to empowering technologies for those in rural areas; gender inequality is an obstacle to women in the fight against poverty</td>
<td>(E-S) Demand for infrastructure fosters growth in employment and encourages population to migrate back to rural areas and reduces poverty</td>
</tr>
<tr>
<td>Social</td>
<td>• 2007 Budget commitment to social programs: education, health, housing • Etc.</td>
<td>• Growing GDP as a result of commodity exports; youth ICT training programs announced</td>
<td>• Lack of pluralism, exclusion of poor; people have to pay bribes for school/health care</td>
<td>(P-S) Increasing government commitment to social service programming fosters social stability</td>
</tr>
<tr>
<td>Security</td>
<td>• The basis exists for an independent judiciary • Etc.</td>
<td>• Independent judiciary is constitutionally protected</td>
<td>• Low salaries; high levels of corruption make judiciary vulnerable to highest bidder</td>
<td></td>
</tr>
<tr>
<td>Regional/International</td>
<td>• Country is party to many international treaties on human rights, showing willingness to be monitored by external bodies • Etc.</td>
<td>• Multi-donor commission on corruption; membership in international bodies; Ottawa landmine treaty</td>
<td>• While vocal in support for international treaties, there is often lack of capacity and political will to implement;</td>
<td></td>
</tr>
</tbody>
</table>
**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) of efforts made/activities undertaken by various stakeholders to promote peace or conflict.

*Positions and Interests:* "Positions" are the public face that a stakeholder presents to the outside world. It is often a positive, acceptable position that is intended to justify their actions. (e.g. to promote peace and security in the country). "Interests" refer to their hidden or real agendas - their vested interests in maintaining conflict or working for peace (e.g. to stay in a power). There is not always a multi-layered set of issues. Some stakeholder positions and interests are the same – what they say they want is really what they want, and some stakeholders have legitimate needs or grievances against authorities. It is important to assess if there is a distinction between positions and interests as this will help to identify entry points for future engagement with the stakeholder in question.

*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 Positions, Interests and Strengths and Weaknesses including synergies. Repeat this process until sufficient information is available. Put each stakeholder in a separate row.

**Key questions for Stakeholders**
- Name specific stakeholders (political, economic, social, security), and race, colour, tribe, caste, language, ethnic group, women, vulnerable
- Consider government, military, civil society leaders or groups.
- Identify actors who contribute to conflict tensions or peace capacities
- 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, religious leaders, or intellectuals?
- Consider stakeholders at all levels (local, national, international)?
- What factions or reformist elements exist within identity groups? Are these groups homogeneous? Are there spoilers opposed to peace?

**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 Positions and Interests**
- What public statements are made to justify their actions? (Position)
- What are the central interests or incentives of different actors? What do they really need and would probably settle for? (Interest)
- What visions of peace do the stakeholders have? What are the main elements of their peace agendas (land reform, national autonomy)?
- What are the principle alignments, and do they conform to major social cleavages?
- Did central actors get what they wanted? How much of a threat to peace are those actors who did not get what they wanted?

**Key questions for Strengths & Weaknesses**
- What capacities do the stakeholders have to support conflict or peace?
- Do they have power/ability to communicate?
- Are they representative? Do they have legitimacy or moral authority?
- Do they have weapons, skills, money, large membership, etc.?
- Do they have financial, human, and political resources?
- Do they have formal or informal allies or arrangements for support?
- Look for weaknesses in the above categories.
- What pressures are they subject to from followers, or opponents?
- Are there synergies amongst stakeholders (both positive and negative) whether intended or unintended?

**Distil**

Distil the most important information about the key stakeholder factors and incorporate it into the Conflict Diagnostic Framework, Table 1.
### TABLE 4
STAKEHOLDER PROFILE

<table>
<thead>
<tr>
<th>Stakeholders</th>
<th>Actions</th>
<th>Positions/Interests</th>
<th>Strengths &amp; Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Political</strong></td>
<td></td>
<td>Have the technically identifiable manifestations (what you see) of activities by each stakeholder to promote peace or conflict?</td>
<td>Assess which groups have (or don’t have): significant numbers, support from their constituency, financial resources, etc. See above</td>
</tr>
</tbody>
</table>
| Example:         | • XYZ People’s Party                                                   | Example: • Introduced Public Order Act  
|                  |                                                                        | • Repress civil dissent                                                             | Example: • **Position:** promote peace & security, to appear governing for the people  
|                  |                                                                        |                                                                                   | • **Interests:** to stay in power, to reduce international & public pressure          |
|                  |                                                                        |                                                                                   |                                                                                       |
| **Economic**     | • ABC Trade Union                                                      | • Position: seek employment equity                                                 | • **Strengths:** moral authority, legitimacy, representative, int’l allies            |
|                  | • Etc.                                                                 | • Interests: same                                                                 | • **Weaknesses:** few financial resources, no military might                          |
| **Social**       | • XYZ newspaper                                                        | • Position: to publish the news                                                    | • **Strengths:** financial resources, legal authority, freedom to operate            |
|                  | • Etc.                                                                 | • Interests: to remain in favour and promote govt. agenda                          | • **Weaknesses:** biased reporting, lack of legitimacy, no moral authority           |
| **Security**     | • ABC Dissident Faction                                                | • Position: to overthrow Government  
|                  |                                                                        | • **Interest:** respect for human rights, freedom of association and right to practice religion | • **Strengths:** access to weapons, financing, support of disenfranchised population, legitimacy in community, support of international HR orgs |
|                  | • Etc.                                                                 |                                                                                   | • **Weaknesses:** growing conflict-fatigue, no power to win militarily               |
| **Reg’l / Int’l**| • XYZ Foreign multinational company                                    | • Position: to operate a profitable business in collaboration with Govt.  
|                  |                                                                        | • **Interest:** to maintain profitability with minimal costs for social responsibility | • **Strengths:** financial resources, legal authority to operate, international allies |
|                  | • Etc.                                                                 |                                                                                   | • **Weaknesses:** lack of legitimacy amongst populace, infrastructure vulnerable to vandalism |
STEP 5: SCENARIOS AND OBJECTIVES

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

Definitions
1. Scenarios basically answer the question, "What will happen next?" A time frame (e.g. 9-12 months) is normally given on scenarios. 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. 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.

Scenarios tell a story of what you see if certain trends continue. They should be plausible based on your analysis so far, and be written in the present tense as if you were describing a "picture" of what you see. They should be brief, and contain 3 conflict and 3 peace factors for balance.

Best-case Scenarios describe 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 Scenarios 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.

Worst-case Scenarios 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.

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.

Objective statements start with a verb, and are written from the point of view of your organisation. They should address root or proximate causes of conflict (not just manifestations), and be written at a strategic programme level (e.g. provide technical assistance to develop government capacity for economic reform and equitable distribution of benefits). They should not contain references to what the government or others "should" or "must" do, but reflect on your objectives.

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 or stakeholders getting stronger or weaker?
- Are stakeholders getting stronger or weaker?
- 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 objectives for engaging in this community are appropriate and realistic?

Write an objective by completing the sentence "My organisation proposes to .... support, advocate, provide, promote, etc." Do not limit your objectives to your own capacity to respond as you can lobby for others to act.

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. Sometimes maintaining the status quo is difficult to achieve, but it can attempt to 'nudge' towards peace, and may assist in 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 (75 words each max), describing the state of affairs if the optimal, status quo, or most negative situation evolved. Next, define an objective for your engagement (75 words max) for each scenario that specifically addresses the key factors you have identified in the Community Profile (conflict root causes; peace opportunities, capacities, gaps; stakeholder needs, and synergies).

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 or stakeholders getting stronger or weaker?
- Are stakeholders getting stronger or weaker?
- 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 objectives for engaging in this community are appropriate and realistic?

The best and worst case objectives should be incorporated into the Conflict Diagnostic Framework Table 1.
<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Best Case</strong></td>
<td><strong>Optimal Objective</strong></td>
</tr>
<tr>
<td>Describe the optimal (most positive) outcome (e.g. rebels decide to negotiate) of the current situation. It may be based on certain assumptions. (75 words max)</td>
<td>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. (75 words max)</td>
</tr>
<tr>
<td><strong>Middle Case</strong></td>
<td><strong>Status Quo Objective</strong></td>
</tr>
<tr>
<td>Describe a &quot;muddling through&quot; outcome of the current situation. It is largely based on an assumption that the status quo (e.g. fighting between parties continues.) (75 words max)</td>
<td>Translate the middle case scenario (muddle through) that would nudge the situation towards peace or contain it from getting worse. (75 words max)</td>
</tr>
<tr>
<td><strong>Worst Case</strong></td>
<td><strong>Contingency Objective</strong></td>
</tr>
<tr>
<td>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. (75 words max)</td>
<td>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). (75 words max)</td>
</tr>
</tbody>
</table>
Step 6: STRATEGIC ISSUES

Objective
To look holistically at the relationship between conflict, peace, and stakeholder dynamics, and review identified synergies and peacebuilding gaps.

In this step, participants look at many possible options for response to each of the key issues that have arisen in the previous analysis in order to define possible response strategies.

Definitions

Conflict Root Causes: From a programming viewpoint these are generally the root problems one would want to contain or minimise. Paying attention to the current trends and synergies may identify key targets for action or sanction. Bring forward a distilled (reduced) version of the key root causes from the previous conflict analysis.

Peace Capacities: From a programming viewpoint, these are generally the initiatives one would want to support or strengthen. Paying attention to peace capacities may identify key targets for support. Bring forward a distilled (reduced) version of the previous peace analysis.

Peacebuilding Gaps: These represent the absence or weakness of initiatives to address the root causes of conflict, or sustain the peace capacities, either from domestic or external actors.

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

Strategies for Action: Building on the analysis, synergies, gaps, and capacities of all participants including local actors and donor agencies, list plot as many options for action as you can – both short-term and long-term (10 word maximum).

Process

Left to right logic applies to this Table. 1) Identify one of the root causes 2) identify if there are any ongoing peace efforts that 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 multiple strategies for dealing with this issue (10 words max per strategy). 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 responses have been identified.

Do not allow your own capacity to respond bias your analysis or options for action. If you are a hammer, do not look only for nails. This analysis focuses on what the country needs and not only on your capacity to engage. Allocating responsibilities for action to local actors or donors should happen after the needs are identified.

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?

Note: The best use of this framework is in a workshop setting involving local actors that reflect 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 will prepare you for the next and final analysis and should not be incorporated into the Conflict Diagnostic Framework Table 1.
<table>
<thead>
<tr>
<th>Left-to-right</th>
<th>Conflict Root Causes</th>
<th>Peace Capacities</th>
<th>Peacebuilding Gaps</th>
<th>Key Stakeholders</th>
<th>Strategies for Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Political</strong></td>
<td>Example: • Lack of legitimacy of State • Constitutional protection for political opposition • Etc.</td>
<td>• Existence of political opposition parties • Constitutional protection for political opposition</td>
<td>• Weakness in transparency measures</td>
<td>• XYZ People’s Party • Parliament • Opposition parties • Electoral Commission</td>
<td><strong>Short-term</strong> • Open dialogue with government and civil society • Set up multi-stakeholder group to oversee dialogue process <strong>Long-Term</strong> • Provide technical assistance to National Electoral Commission</td>
</tr>
<tr>
<td><strong>Economic</strong></td>
<td>• Ineffective Governance in economic management of State • Etc.</td>
<td>• Active civil society anti-poverty groups; some are supported by NGOs</td>
<td>• Lack of access to empowering technologies for rural areas • Gender inequality is an obstacle in fight against poverty</td>
<td>• XYZ political party • Department of Finance • Anti-Corruption Commission • Civil society NGOs</td>
<td>• Engage civil society groups working on poverty reduction • Offer technical assistance to govt. departments for budget planning and corruption</td>
</tr>
<tr>
<td><strong>Social</strong></td>
<td>• Lack of respect for fundamental human rights • Etc.</td>
<td>• Budget commitment to social programs: education, health, housing</td>
<td>• Lack of pluralism, exclusion of poor</td>
<td>• Judiciary • Dept. of Finance / Planning • XYZ newspaper • Independent news outlets</td>
<td>• Promote human rights watch dog groups • Advise on legislation to protect human rights • Provide journalist training</td>
</tr>
<tr>
<td><strong>Security</strong></td>
<td>• Break down in rule of law • Etc.</td>
<td>• Constitutional basis exists for an independent judiciary</td>
<td>• Low salaries; high levels of corruption make judiciary vulnerable to highest bidder</td>
<td>• Judiciary • Police</td>
<td>• Provide training to judges and improve judicial processes • Promote human rights training for police</td>
</tr>
<tr>
<td><strong>Regional/International</strong></td>
<td>• Imbalance of economic opportunities (lack of corporate responsibility) • Etc.</td>
<td>• Multi-donor commission on corruption • Signatory to international environmental protocols</td>
<td>• Lack of capacity and political will to implement</td>
<td>• XYZ Corporation • Department of Finance • Department of Environment</td>
<td>• Raise awareness on corporate social responsibility • Enlist support of int’l regulators to force company to comply</td>
</tr>
</tbody>
</table>

TABLE 6
STRATEGIC ISSUES
**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 that have arisen from this analysis, what are the most critical activities that need to be undertaken?

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

- 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? How will this recommendation impact the root causes of conflict and community tensions or peace capacities?

- Which agency or group has the greatest capacity to respond? What can you do to mobilise them to act?

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

**Tips for Writing Recommendations**

Recommendation statements should begin with a verb. Complete the sentence “It is recommended that we …” i.e. promote, train, support, etc.
<table>
<thead>
<tr>
<th></th>
<th>Recommendations for Action</th>
<th>Rationale</th>
<th>Lead actors</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Political</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Economic</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Social</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Security</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Regional / International</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### CONFLICT-PEACE ANALYSIS

#### SUPPLEMENTARY QUESTIONS

<table>
<thead>
<tr>
<th>CONFLICT ANALYSIS</th>
<th>FACTORS FOR CONSIDERATION</th>
</tr>
</thead>
</table>
| Identifying 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)?  
▪ How are women affected by all of these lenses and questions below? |

<table>
<thead>
<tr>
<th>LEVELS OF ANALYSIS</th>
<th></th>
</tr>
</thead>
</table>
| ▪ Local            | Sub-national (provincial, district)  
▪ National          | Regional  
▪ International     | |

<table>
<thead>
<tr>
<th>SOCIAL FACTORS</th>
<th></th>
</tr>
</thead>
</table>
| ▪ 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 their 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)? |

<table>
<thead>
<tr>
<th>ENVIRONMENTAL ASPECTS</th>
<th></th>
</tr>
</thead>
</table>
| ▪ 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?  
▪ Do these issues affect women differently?  
▪ Consider:  
  ▪ Contextual Factors  
  ▪ Borders  
  ▪ Size of the space where conflict is occurring  
  ▪ Topography  
  ▪ Vegetation & Climate  
  ▪ Natural & Strategic Endowments/Resources  
  ▪ Distribution of Resources |
<table>
<thead>
<tr>
<th>POLITICAL FACTORS</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ Have political processes and institutions fuelled the conflict?</td>
</tr>
<tr>
<td>▪ Are the former or current systems proportional, majoritarian, or mixed?</td>
</tr>
<tr>
<td>▪ What is the level of citizen representation, or the degree of decentralisation?</td>
</tr>
<tr>
<td>▪ 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?</td>
</tr>
<tr>
<td>▪ Are there socio-economic and ethnic cleavages? To what extent are they manipulated for political gain?</td>
</tr>
<tr>
<td>▪ Are there electoral options available? Is the election process free and fair, or flawed election process?</td>
</tr>
<tr>
<td>▪ Is the governance accountable and transparent?</td>
</tr>
<tr>
<td>▪ What is the State capacity to provide &amp; distribute basic services along identity lines (religion, culture, ethnicity, language, etc?)</td>
</tr>
<tr>
<td>▪ Is there political exploitation based along lines of identity/ethnicity?</td>
</tr>
<tr>
<td>▪ What is the level of inclusiveness and representation in the political system?</td>
</tr>
<tr>
<td>▪ How do women engage in the political decision-making process?</td>
</tr>
<tr>
<td>▪ Is the regime legitimate? Does it draw its legitimacy from the citizens?</td>
</tr>
<tr>
<td>▪ What is the status of State &amp; Society relations?</td>
</tr>
<tr>
<td>▪ Is there stability of political institutions (weak institutions, unrepresentative)?</td>
</tr>
<tr>
<td>▪ Is there equal access to rule of law and access to judiciary system?</td>
</tr>
<tr>
<td>▪ What is the level of independence of judiciary system from the state?</td>
</tr>
<tr>
<td>▪ Is there corruption?</td>
</tr>
<tr>
<td>▪ What is the role of political parties? Is there and opportunity for open dialogue or competing visions?</td>
</tr>
<tr>
<td>▪ Is there a level of respect for national authorities?</td>
</tr>
<tr>
<td>▪ 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)?</td>
</tr>
<tr>
<td>▪ If these actors exist, what are their mandates? What are there goals?</td>
</tr>
<tr>
<td>▪ 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:</td>
</tr>
<tr>
<td>▪ the balance of power in transition and future governments at the national level</td>
</tr>
<tr>
<td>▪ decision-making processes, particularly with regard to distribution of resources</td>
</tr>
<tr>
<td>▪ the degree of centralisation of power to regional, state, and local authorities</td>
</tr>
<tr>
<td>▪ the nature and degree of citizen representation at the national and local levels</td>
</tr>
<tr>
<td>▪ who has responsibility for determining and implementing next steps in the transition. What condition, mandates and limitation apply to these processes?</td>
</tr>
<tr>
<td>▪ On balance, is there an opportunity to leverage change through existing political processes, or only the appearance of one?</td>
</tr>
<tr>
<td>▪ Do these issues affect women differently?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>PHASES OF CONFLICT</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ 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.</td>
</tr>
<tr>
<td>▪ Do these issues affect women differently?</td>
</tr>
<tr>
<td>SECURITY FACTORS</td>
</tr>
<tr>
<td>------------------</td>
</tr>
<tr>
<td>▪ Is there a past history of violent conflict, especially in the past 10 years?</td>
</tr>
<tr>
<td>▪ Have there been regional conflicts and the presence of IDPs, or refugees?</td>
</tr>
<tr>
<td>▪ Has this region been affected by International conflicts?</td>
</tr>
<tr>
<td>▪ What is the role of non-military security forces?</td>
</tr>
<tr>
<td>▪ What is the level of control over borders (porous/non porous)</td>
</tr>
<tr>
<td>▪ What is the level of military spending?</td>
</tr>
<tr>
<td>▪ Is there civilian control of armed forces?</td>
</tr>
<tr>
<td>▪ Is there ethnic distribution in security forces?</td>
</tr>
<tr>
<td>▪ Are there child soldiers?</td>
</tr>
<tr>
<td>▪ Is there a proliferation of small arms?</td>
</tr>
<tr>
<td>▪ Are non-state military actors present?</td>
</tr>
<tr>
<td>▪ Is there abuse of human rights by security forces?</td>
</tr>
<tr>
<td>▪ What is the behaviour of military, security forces, or other armed forces?</td>
</tr>
<tr>
<td>▪ Have combatants agreed to demobilise their forces? Are these plans likely to work?</td>
</tr>
<tr>
<td>▪ Have the parties to the conflict agreed to turn over arms? What is the state of this process?</td>
</tr>
<tr>
<td>▪ 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?</td>
</tr>
<tr>
<td>▪ Do these issues affect women differently?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DEMOGRAPHY</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ What are the demographics of the community - categories of people - women, children, elderly, cultural groups, vulnerable groups?</td>
</tr>
<tr>
<td>▪ Consider the following:</td>
</tr>
<tr>
<td>▪ Contextual Factors</td>
</tr>
<tr>
<td>▪ Population Size and Population Density</td>
</tr>
<tr>
<td>▪ Gender Distribution</td>
</tr>
<tr>
<td>▪ Ethnic Distribution</td>
</tr>
<tr>
<td>▪ Geographic Distribution</td>
</tr>
<tr>
<td>▪ Relationship between Groups</td>
</tr>
<tr>
<td>▪ Impact of Environment on People and Vice versa</td>
</tr>
<tr>
<td>▪ Population Density</td>
</tr>
<tr>
<td>▪ What is the role of diaspora?</td>
</tr>
<tr>
<td>▪ 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)?</td>
</tr>
<tr>
<td>▪ If these actors exist, what are their mandates? What are their goals?</td>
</tr>
<tr>
<td>▪ What is the role of diaspora in supporting the tensions in the community? Do they finance dissenting groups by financial remittances from abroad?</td>
</tr>
<tr>
<td>▪ Do these issues affect women differently?</td>
</tr>
</tbody>
</table>
### TEMPORAL CONSIDERATIONS
- Consider the historical context of the conflict. What are the issues that started the conflict?
- What important events in history (assassination of a religious leader, slave trade, genocide, previous conflict, etc.) fuel 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?
- Do these issues affect women differently?

### FACTS AND PERCEPTIONS
- In conflict analysis, understanding 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 the conflict is critical and needs to be considered in 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.)?
- Do these issues affect women differently?

### PEACE ANALYSIS
Identifying peace-generating factors is facilitated by using a number of different 'lenses'. These should be considered when identifying peace factors.

### FACTORS FOR CONSIDERATION

<table>
<thead>
<tr>
<th>SYSTEMIC FACTORS</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is the system that upholds peace?</td>
</tr>
<tr>
<td>How strong is it? Examples may be rules governing relations between villages and groups, etc.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>PROCESS FACTORS</th>
</tr>
</thead>
<tbody>
<tr>
<td>What are processes for dealing with conflict and that sustain peace? Examples may be inter-village meetings, council of elders, etc.</td>
</tr>
<tr>
<td>Is there a demonstrated political commitment on the part of the major conflicting parties to implement the peace settlement?</td>
</tr>
<tr>
<td>What are the incentives and disincentives to support peace?</td>
</tr>
<tr>
<td>Did central actors get what they want or are there serious unresolved needs?</td>
</tr>
<tr>
<td>How much of a threat to peace are those actors who did not get what they wanted?</td>
</tr>
<tr>
<td>What would it take to placate these interests in the short and long-term?</td>
</tr>
<tr>
<td>What degree of consensus exists among political parties? What is the consensus based upon?</td>
</tr>
<tr>
<td>Did trends emerge during the process of negotiations? Do these trends have any predictive value? What processes were used, and what was their outcome?</td>
</tr>
</tbody>
</table>
| TOOLS                                                                 | ▪ What are the tools, processes or systems 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                                                  | ▪ Identifying relevant stakeholders is facilitated by the use of a number of different 'lenses'. Consider the following when doing a stakeholder analysis.  
| FACTORS FOR CONSIDERATION                                              | ▪ 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?  
| PEOPLE & RELATIONSHIPS                                                | ▪ 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/positions of the parties?  
▪ Distinguish between the needs/interest and position of men and women.  
| NEEDS/INTEREST/POSITION                                               | ▪ Identifying relevant stakeholders is facilitated by the use of a number of different 'lenses'. Consider the following when doing a stakeholder analysis.  
|                                                                         | ▪ 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?  
|                                                                         | ▪ 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/positions of the parties?  
▪ Distinguish between the needs/interest and position of men and women.  

Early Warning-Early Response Handbook, v3 April 2013
| 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, and 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? |
For further information, contact the Peacebuilding Centre, Ottawa, Ontario, Canada

info@peacebuildingcentre.com

PEACEBUILDING CENTRE