



Final Report of Work Packages 2 and 3

(Deliverables D.2.1, D.3.1 and D.3.2.)

# THEORETICAL & METHODOLOGICAL FRAMEWORK AND GUIDANCE FOR THE PROJECT

Research Project

**MULTI-STAKEHOLDER PARTNERSHIPS IN POST-CONFLICT RECONSTRUCTION:  
THE ROLE OF EU**



project progress (months)



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## EXECUTIVE SUMMARY

*Scuola Sant'Anna, CICS, ETC*

This report aims at refining the original theoretical and methodological approach of the project and at giving general basis as well as concrete guidance for MULTIPART researchers who will jointly investigate multi-stakeholder partnerships in Kosovo, DRC, and Afghanistan in work packages 4 and 5. The report has been prepared during work packages 2 and 3 by the Sant'Anna School of Advanced Studies (Scuola Sant'Anna), Pisa (Italy); the Centre for International Co-operation and Security (CICS), University of Bradford (UK); and the European Training Centre for Human Rights and Democracy (ETC), Graz (Austria). The research team comprised Scuola Sant'Anna: Kateryna Pishchikova (Team Leader), Valentina Mele (a collaborator from the Universita Bocconi, Milan), and Claudia Croci; CICS, University of Bradford: Owen Greene (Team Leader), David Lewis, and Valentina Bartolucci; and ETC: Wolfgang Benedek (Team Leader), Sara Moore, Alline Pedra, and Maddalena Vivona.

The initial goal of MULTIPART project, as formulated in the project proposal, was to investigate how, to what extent, and under what conditions multi-stakeholder partnerships can contribute, if at all, to post-conflict reconstruction policies and programmes that positively impact on human security in different societies. This goal has been further refined by work packages (WP) 2 and 3 in order to gain clearer focus and higher researchability for the project. The overall objective has thus been formulated as follows: '*to improve understanding of how multi-stakeholder partnerships (MSPs) can contribute to peacebuilding and human security in countries that are emerging from armed conflict, and to clarify policy and programming implications for the EU and its partners.*'

To meet this objective, MULTIPART research will focus on MSPs that operate in the following issue areas: a) security, b) social and economic development, c) democracy, good governance, and the rule of law, d) confidence-building, reconciliation, and inter-communal bridge building. It will base its empirical investigation on case studies in three countries of core political interest to the EU today: Kosovo, the Democratic Republic of Congo (DRC), and Afghanistan. It has to be noted that at the moment of completion of this report armed conflicts in three case study countries are at different stages. While Kosovo is no doubt a post-conflict environment, both Afghanistan and DRC are still 'in-conflict' to a large degree. This is likely to pose difficulties for

MULTIPART researchers in collecting empirical data as well as in analysing the cases given contextual differences between the three countries.

The theoretical framework presented in this report is based on the identification of a set of building blocks that will form the basis of analysis and evaluation of multi-stakeholder partnerships in post-conflict settings. These building blocks are organized according to three main components of research: the object of research (multi-stakeholder partnerships), the context of research (conflict analysis, assessment, and sensitivity), and the aim of research (impact on peacebuilding and human security).

Multi-stakeholder partnerships represent a new and highly diverse phenomenon, which overlaps with other types of governance structures, such as tri-sector partnerships or policy networks. Nonetheless, it is distinct due to the diversity of actors that are involved in MSPs and to the status of ‘stakeholders’ of its core members, i.e. actors who have specific interest in the outcome and demonstrate some degree of ownership with respect to a particular issue. In order to narrow down the number of possible candidates for case studies and to facilitate the most productive choice by MULTIPART researchers, the project will focus only on MSPs that are composed of at least three types of actors with a compulsory presence of at least one public actor. MULTIPART will also give preference to researching MSPs that aim to contribute to the solution of one or more issues of direct interest and concern in specific countries emerging from conflict.

Even though multi-stakeholder partnerships are becoming a pervasive phenomenon worldwide promoted both globally and locally, there are several distinct contextual dynamics that characterise countries emerging from conflict, that are likely to impact on composition, development, and operation of MSPs. Conflict analysis in each case study country should include identification and assessment of the following aspects: a) underlying or ‘structural’ factors contributing to (or mitigating against) conflict risks and processes; b) interests, relations, capacities, and agendas of relevant actors and their roles in contributing to (or mitigating against) conflict; c) dynamics such as impacts of disasters, elections, reform processes and so on. Further, the extent to which possible policies, programmes and interventions by MSPs are likely to impact peace and conflict and are ‘conflict sensitive’ should be determined as part of conflict assessment.

Finally, if one is to identify the significance of MSPs specifically for countries emerging from conflict, the terms have to be set for defining core dimensions of impact that MSPs can have. These are provided by two broad frameworks: peacebuilding and human security. Multistakeholder partnerships are contributing to peacebuilding, when they are working towards *a set of policies, programmes, and activities which initiate and contribute to broader processes that help to overcome the legacy of armed conflict and prevent any recurrence in the future, including short-*

*term measures to respond to immediate threats to peace and longer-term initiatives to address the structural causes of conflict or strengthen capacity to manage or resolve conflicts peacefully.* The impact multi-stakeholder partnerships can have on their own stakeholders as well as on the community and the country at large could be understood as their contribution towards ensuring human security. For the purposes of the MULTIPART project, the three core dimensions of human security are a) security from violence, crime and illegitimate coercion (*freedom from fear*), b) alleviating poverty and promoting socio-economic development (*freedom from want*), c) *empowering* vulnerable people and communities and promoting their *participation* in public life.

The methodological framework presented in this report offers a set of guidelines for studying empirically the object, the context, and the aim of research, respectively. It also provides recommendations on defining and researching the role of the European Union with respect to promotion and facilitation of multi-stakeholder partnerships in countries emerging from conflict. In addition, there are concrete guidelines on methodologies, on ethical issues and on case selection. Overall, the research is conceived of as qualitative and exploratory. It assumes as a working hypothesis that at least some types of MSPs can in some circumstances be significant for peacebuilding and human security in countries emerging from conflict and aims to explore how exactly and under what conditions this is the case. It is also assumed that the composition, development, and operation of an MSP is likely to be of consequence for the impact that it has (had). This position calls for a combination of qualitative and quantitative methods to examine the selected cases and will also involve some ‘mid-level’ theory development to sharpen and focus research investigations and analysis.

Research questions formulated and further elaborated in this report reflect the three-stage logic of the project: 1. definition and operationalisation of object, context, and impact of research, 2. core empirical analysis of composition, development, and operation of MSPs in three case study countries, 3. conclusions and recommendations for the EU and its member states. These questions represent first order questions that are to be further narrowed down and customised for the purposes of four issue areas and given the peculiarities of each case study country.

Finally, this report is a concluding document of the first stage of research and as such supersedes any guidance written earlier in the project. The guidance provided in this report includes the training material to be used by researchers to guide their research. Annex IV of this report includes additional training materials distributed during the MULTIPART Research Design and Planning Workshop (Pisa, Italy, 26-27 November 2008).

## PART A. INTRODUCTION

*Scuola Sant'Anna, CICS, ETC*

This report provides the theoretical and methodological framework for the MULTIPART Project on ‘multi-stakeholder partnerships in post-conflict reconstruction: the role of the EU.’ It is the joint final Report of work packages 2 and 3 of the MULTIPART Project, prepared jointly by research teams from: Sant’Anna School of Advanced Studies (Scuola Sant’Anna), Pisa (Italy); the Centre for International Co-operation and Security (CICS), University of Bradford (UK); and the European Training Centre for Human Rights and Democracy (ETC), Graz (Austria). The research team comprised Scuola Sant’Anna: Kateryna Pishchikova (Team Leader), Valentina Mele (a collaborator from the Universita Bocconi, Milan), and Claudia Croci; CICS, University of Bradford: Owen Greene (Team Leader), David Lewis, and Valentina Bartolucci; and ETC – Wolfgang Benedek (Team Leader), Sara Moore, Alline Pedra and Maddelena Vivona.

The MULTIPART Project aims overall to improve understanding of how Multi/Stakeholder Partnerships (MSPs) can contribute to peace-building and human security in countries that are emerging from armed conflict; and to clarify policy and programming implications for the EU and its partners. The MULTIPART Project is a collaborative research project funded under EU ‘Framework Programme Seven,’ involving research teams from some eleven research institutions in the EU and also local researchers in Afghanistan, the DRC, and Kosovo.<sup>1</sup>

The MULTIPART Project includes a number of different ‘work packages’ (WP), through which different aspects and phases of the project are organised. Work Packages 2 and 3 are the first two substantive work packages, respectively concerned with developing the theoretical and methodological frameworks for the Project. From the beginning of the Project, it was recognised that these two work packages – though formally distinct in the project proposal - should be approached in a thoroughly integrated way. In practice, this has been the approach that we have adopted. Thus we present this integrated final report of our work.

The primary objectives of this report are to:

- provide a developed theoretical and methodological foundation and framework for the MULTIPART Project, including key definitions, working conceptual understandings, and methodological approaches to be used in this project;
- present a refined and developed set of key research questions to be addressed in the Project;

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<sup>1</sup>For more information about the project and its partners please consult [www.multi-part.eu](http://www.multi-part.eu)

- provide developed guidance on the research approaches and methods to be used to investigate these research questions, sufficient to ensure robust methods and effective focus, coherence and consistency of research undertaken in different elements of the project, while also allowing appropriate flexibility and scope for judgement by research teams;
- Develop guidance to Project researchers on priorities and work-plans, taking into account the challenging nature and scope of this project and resource constraints.

The original MULTIPART Project proposal included substantial detail on the theoretical and methodological approaches that will be used in the project, and on the work plan to be pursued. This report is appropriately consistent with the original proposal. However, it is clear that further work needed to be done to refine the research questions, definitions, frameworks, methods, and priorities for this project. This was the key task of the Work Packages 2 and 3 teams, and our findings are presented in this joint final Report.

This report has been approved by the MULTIPART Steering Committee (28 November 2008), and therefore should be the key reference and guide for subsequent research and planning in the MULTIPART project. It therefore needs to be carefully read and considered by all researchers involved in MULTIPART.

As will become clear, this Report fully recognises the importance of allowing appropriate flexibility and scope for judgement by relevant research teams in research and assessment of the subsequent work packages for this project. It aims at providing key foundations, frameworks and guidance – not a prescription or blueprint to be rigidly followed. Nevertheless, as specifically confirmed at the first MULTIPART Steering Committee meeting (April 2008), it is also vital that MULTIPART researchers focus on a limited number of key research questions in a consistent way, using common understandings, frameworks, and approaches.

In this context, this Report presents definitions and conceptual understandings of key terms for the MULTIPART Project, including ‘multi/stakeholder partnerships,’ ‘conflict analysis and assessment,’ ‘peace-building,’ and ‘human security.’ All MULTIPART researchers are completely aware that these and similar concepts remain much debated and contested in the wider research community. However, they are also conscious of the need to adopt the same ‘working’ definitions and understandings of these terms for the purposes of this Project, in order to ensure appropriate and consistent focus on our key research questions. In this Report, we aim at presenting robust working definitions and understandings of such concepts and approaches, in the sense that they are designed to take account of existing debates and to be acceptable and usable for researchers coming from a variety of perspectives.

The overall structure of this report is as follows

Part B seeks to clarify and present the overall scientific approach, definitions and research questions to be used in this MULTIPART Project. It includes a presentation of the refined primary research questions to be addressed in this project (chapter B.3.). These supersede any formulations of key research questions contained in previous project documents, including those in the original project proposal. Significant MULTIPART Project resources should only be devoted to research that directly relates to one or more of the seven primary research questions stated in this chapter.

Part C develops the wider theoretical frameworks, understandings and approaches to operationalising key concepts to be used in this project. This includes relevant, though brief reviews of the literature and current debates, but focuses on presenting the working frameworks and understandings to be used in our project. Thus, chapters C.2., C.3. and C.4. respectively aim at presenting those key theoretical foundations - as far as this project is concerned - for MSPs, conflict assessments and peacebuilding processes, and human security; and clarifies the ways in which these concepts and approaches should be operationalised in this project.

Part D is concerned with clarifying and presenting the methodological approaches to be used in this project. After a short introduction, chapter D.2. seeks to provide an overview of the approach proposed for planning and conducting research for the MULTIPART Project. Subsequent chapters present more detailed guidance for key aspects of MULTIPART research, including: thematic issue area research (D.3.); case study selection (D.5., D.11.); MSP case study research (D.4. and D.5.); contextual influences (D.6.); impacts of MSPs (D.7.); the roles and significance of the EU (D.8.); researching in countries emerging from armed conflict (D.9); and research ethics (D.10.).

Part D assumes that all MULTIPART researchers are already experienced and skilled in the major relevant social science methods and approaches relevant for MULTIPART thus, does not provide a detailed introduction to such methods. Rather, it seeks to ensure consistent understanding and use of terms amongst researchers, and to clarify the specific methodological frameworks, issues and priorities for designing and conducting MULTIPART research investigations in work packages 4, 5 and 6. Within the ‘mixed methods’ approach recommended for what is primarily a qualitative research project based substantially on case studies, researchers will find that there is substantial scope for judgement by research groups about specific combinations of research methods and approaches used for the investigations for which they are responsible. Nevertheless, the guidance and priorities presented in part D of this report should be carefully taken into account in all research planning for these subsequent work packages.

Part E provides an elaborated work plan, summarising some of the implications for planning of the earlier sections of this Report and building on the work plan presented in the original project

proposal. Some supplementary material relating to previous sub-sections of the Report, and also training materials provided at the MULTIPART workshop (26-27 November 2008) are included in the Annexes.

This Final Report is collectively agreed by all WP 2 and 3, and all core members of the WP 2 and 3 team have contributed to each section and sub-section of this Report, through their comments and revisions. In addition to e-mail exchanges and telephone conferences, the WP2 and 3 teams worked together at two two-day workshops in Pisa (26-27 June 2008) and Bradford (15-16 September 2008).

Nevertheless, it is useful and appropriate to note that WP 2 and 3 researchers have played leading roles in different chapters, sections and sub-sections of this report. Thus:

- Part B lead authors: chapter B.1. - Kateryna Pishchikova, Valentina Mele and Claudia Croci; chapters B.2. and B.3. – Owen Greene; and chapter B.4. – All WP 2 and 3 researchers.
- Part C lead authors: chapters C.1. and C.2. - Valentina Mele and Kateryna Pishchikova; chapter C.3 - Owen Greene; chapter C.4 - Valentina Bartolucci and David Lewis; chapter C.5, Wolfgang Benedek, Claudia Croci, Sara Moore, Alline Pedra and Maddelena Vivona.
- Part D lead authors: chapters D.1., D.2., D.3., D.6., D.7.1., D.7.2., D.9. – Owen Greene; chapters D.4. and D.10 – Valentina Bartolucci; chapters D.5, D.8, and D.10. – David Lewis; and chapter D.7.3 - Wolfgang Benedek, Sara Moore, Alline Pedra and Maddelena Vivona.
- The Executive summary, Introduction (part A) and Elaborated Work Plan (part E) are collectively produced by all WP 2 and 3.

This Report incorporates comments by Scientific Committee members on an earlier draft, and the Report and its implications were presented and discussed at the Research Design and Planning Workshop<sup>2</sup> for MULTIPART researchers on 26-27 November 2008: co-ordinated by CICS (WP3 leader), and hosted by Scuola Sant'Anna (WP2 leader). It was formally approved by the MULTIPART Steering Committee on 27 November 2008 (subject to some corrections and revisions that have been incorporated into this Final Report). Now that it is finalised, questions or requests for clarification about this Report can in the first instance be referred to Kateryna Pishchikova ([pishchikova@gmail.com](mailto:pishchikova@gmail.com)) or Owen Greene ([o.j.greene@brad.ac.uk](mailto:o.j.greene@brad.ac.uk)), or to the lead authors of the specific sub-section under question.

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<sup>2</sup> In the Description of Work this event has originally been referred to as ‘methodology training’. The new name has been adopted by WP 2 and 3 as it reflects better the actual content and purpose of this event.

## PART B. OVERALL SCIENTIFIC APPROACH, DEFINITIONS AND RESEARCH QUESTIONS

### B.1. Framework of the project

*Kateryna Pishchikova, Valentina Mele, Claudia Croci*

The project takes as its starting point the following trends that characterise contemporary politics as well as political theories: 1) the emergence and proliferation of new modes of governance on different levels – from global to local – and in different settings – from developed to developing and countries emerging from violent conflict; 2) change of attitude and an emergence of new approaches to and tools for post-conflict reconstruction and understanding of security.

- 1) The emergence and proliferation of new modes of governance has been labelled as the 'shift from government to governance.' It is characterised by new non-hierarchical modes of coordination that operate alongside traditional command-and-control policy making and policy implementation by public actors. This involves a whole range of public, private, and civic actors that cooperate across the traditional sectorial boundaries in a bid to achieve common goals and resolve complex issues (Pierre and Peters, 1998, 2000; Rhodes, 1996; Mayntz, 2003). Multi-stakeholder partnerships is one of such new forms of cooperation that is emerging as a preferred tool geared towards enhancing participation, legitimacy, and effectiveness of policy-making. For example, the number of UN agencies, programmes, and specialized agencies that engage in multi-stakeholder partnerships spans virtually across all fields of action of the organisation: from the World Health Organization (WHO) to the United Nations Human Settlements Programme (UN-Habitat), from the United Nations Children's Fund (UNICEF) to the United Nations Development Programme (UNDP), from the United Nations Environment Programme (UNEP) to the Office for the Coordination of Humanitarian Affairs (OCHA), and so on. Even though up to date there has been scarce systemic investigation of the specific characteristics, outcomes, and impacts of multi-stakeholder partnerships, its potential could be of particular relevance for countries emerging from violent conflict. This trend is further elaborated on in chapter C.2. of the report.

2) a. New approaches to post-conflict reconstruction can be summarised as the overall shift from peacekeeping to peacebuilding. Practical experience in post-conflict settings has shown that the absence of armed conflict (*negative peace*) is important but might not be enough to ensure long-term peace and security. Presently, academics and practitioners tend to agree that short-term conflict management should be combined with long-term measures aimed at transforming the roots of conflict, thus setting a more ambitious goal of *positive peace* that includes justice, equity, and other core social and political goods that can contribute to transforming the social, economic, and political structures that contributed to the outbreak of violence in the first place (Call and Counsens 2007). Such an understanding of peacebuilding brought to light the need to adopt more comprehensive, integrative, and participatory approaches in post-conflict interventions. This approach to peacebuilding is represented in the latest documents of the UN as well as in the creation of the Peacebuilding Commission. Further discussion on peacebuilding can be found in section B.2.2. of this report.

Multi-stakeholder partnerships could potentially serve peacebuilding goals. One such example is the Kimberley Process Certification Scheme, a joint government, international diamond industry and civil society initiative to stem the flow of ‘conflict diamonds,’ rough diamonds that are used by rebel movements to finance war against legitimate governments. The number of local-level multi-stakeholder partnerships in post-conflict settings is also increasing significantly. One well known initiative in this field is the ‘Mines to Vines’ project in Croatia spearheaded by the NGO and Nobel Peace-Prize co-recipient Roots of Peace. The project, launched in 2000, aimed at transforming mined land in Croatia into vineyards through a partnership forged between the NGO, local authorities and communities, belonging to both Croats and Serbs, the California wine industry, leaders of the Silicon Valley high tech community, and the academia, and supported by the U.S. State Department and by the Croatian government.

b) Parallel to the shift from peacekeeping to peacebuilding, a new understanding of security has emerged giving birth to the concept of human security. The concept of human security represents an attempt to include a focus on security concerns of individuals and communities in their daily life alongside the traditional notions of state and international security. This concept therefore, is concerned with a wide range of different threats to the security of individuals and communities and refers to a condition in which the individual are

safeguarded from critical and pervasive threats that can affect the vital core of their lives: survival, livelihood, and basic dignity. Moreover, the concept of human security is increasingly adopted by different international, regional and local organisations as a framework for their operations. In December 2003 the concept of human security found its way into the European Security Strategy (ESS) and is now increasingly used by European decision-makers (for example, by High Representative for the Common Foreign and Security Policy Javier Solana) as a new defining principle of the EU security strategy and foreign policy. A detailed overview of human security framework is presented in section B.2.4. as well as in chapter C.4.

These important tendencies have provided the starting point for the MULTIPART Project to investigate the concrete impact that multi-stakeholder partnerships have in post-conflict settings, given the criteria of impact provided by peacebuilding and human security frameworks.

#### Overall objective of the project.

Given the state of the art described above, the research broadly aims at investigating how, to what extent, and under what conditions multi-stakeholder partnerships could contribute, if at all, to post-conflict reconstruction policies and programmes. This original objective has been further refined and reformulated as follows:

*MULTIPART Project aims to improve understanding of how multi-stakeholder partnerships (MSPs) can contribute to peacebuilding and human security in countries that are emerging from armed conflict; and to clarify policy and programming implications for the EU and its partners.*

The specific objectives of the project correspond to the three-stage logic of MULTIPART research. Please note that the first group of objectives has been fulfilled by the present report as well as by the MULTIPART Research Design and Planning Workshop.

#### I. Definition and operationalisation of the object, context, and aim of research:

1. Definition and operationalisation of multi-stakeholder partnerships;
2. Identification of tools for conflict analysis, assessment and sensitivity;
3. Identification of dimensions of *potential* impact of MSPs and of their corresponding criteria within the broad frameworks of peacebuilding and human security.

#### II. Empirical study of composition, development and operation of MSPs, and of the *actual* impact they have in countries emerging from conflict:

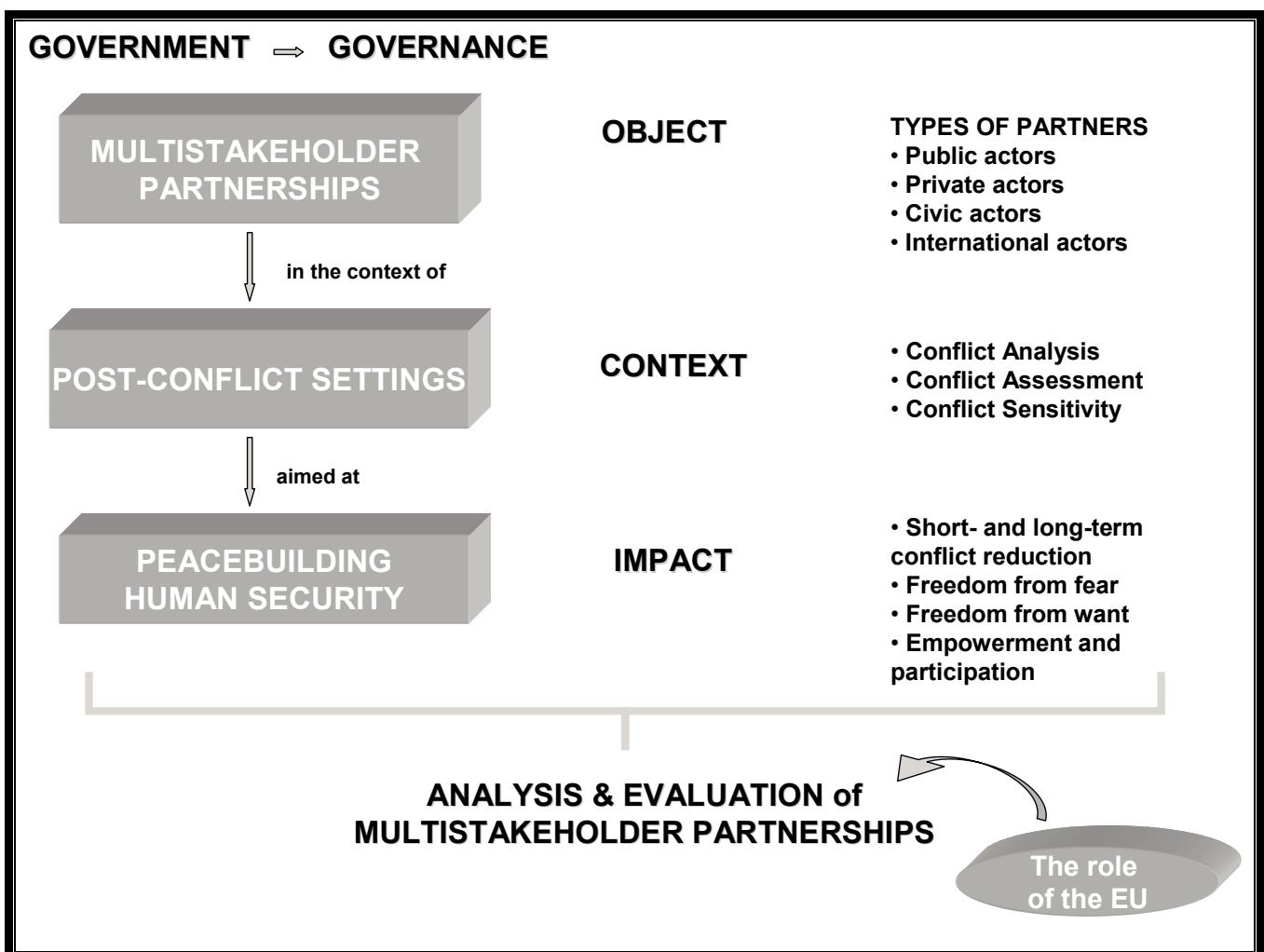
1. Identification and study of MSPs that operate (or operated), globally but particularly in three selected case study countries;
2. Investigation of how being a member of an MSP characterised by particular composition,

development and mode of operation has impacted on its stakeholders;

3. Investigating how MSPs that have a particular composition, development and mode of operation impacted on peacebuilding and human security within the broader community/society.
4. Investigation of whether and how the participation of international actors including the EU has affected MSPs under study (and their effectiveness).

III. Development of recommendations on what types of MSPs should be supported and how this could be done by international actors, including EU and its member states.

**FIGURE 1. : Building Blocks of the Theoretical Framework**



## B.2. Overall research approach to the project

*Owen Greene*

This chapter aims at clarifying key aspects of the overall scientific approach that the MULTIPART Project will take, building on chapter B.1. above and providing a basis for the formulation of the primary research questions for MULTIPART in chapter B.3. below. Whereas chapter B.1. sought primarily to summarise the overall framework for the project as described in detail in the original project proposal, chapter B.2. seeks briefly to present how thinking about the overall priorities and scientific approach for this project has developed through the work of the WP 2 and 3 teams, taking full account of the emerging conclusions from the first MULTIPART Steering Committee meeting (April 2008).<sup>3</sup>

MULTIPART is a challenging and complex project. It addresses important under-researched issues and questions, involving numerous researchers from 11 institutions in different EU countries (plus three groups of local researchers in Afghanistan, DRC and Kosovo) with varying research traditions and strengths. The total combined resources allocated to the MULTIPART Project are substantial, but are in fact modest when compared to the scale of the research challenges. It is therefore important to be clear about the character and priorities of the Project, so that it achieves as much as possible given the circumstances.

### B.2.1. MULTIPART AS PRIMARILY AN EXPLORATORY AND QUALITATIVE RESEARCH PROJECT

The detailed review of relevant literatures conducted by WP 2 and 3 teams has confirmed that remarkably little research has so far specifically been conducted on MSPs in countries emerging from armed conflict – the focus of the MULTIPART Project. Moreover, although the literature is much larger on the development and roles of MSPs in other contexts, much of it is diffuse and there is no substantial body of knowledge on the roles and impacts of MSPs that can systematically be compared or tested in countries emerging from violent conflict.

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<sup>3</sup> See Owen Greene. Emerging Conclusions on MULTIPART Project's Scientific Approach. CICS, 7 May 2008, circulated after the first Steering Committee Meeting. See also concept papers presented to this meeting: Kateryna Pishchikova et al. Outline and Definition of MULTIPART Theoretical Framework, ([Concept Paper No 1](#)) ‘Scuola Sant’Anna, 14 April 2008; Owen Greene and David Lewis. MULTIPART Concept Paper: Methods and Research Questions – some key issues, ([Concept Paper No 2](#)). CICS, University of Bradford, 17 April 2008.

The MULTIPART project must therefore be primarily exploratory and qualitative – focussed on developing research understandings of the roles and impacts that MSPs *can* have in countries emerging from violent conflict, and on generating detailed case studies with refined and developed research hypotheses for future investigations.

Further, the resources for detailed case study research on the roles and impacts of MSPs on peacebuilding and human security are substantial but limited. The project proposal and allocated project resources allow for no more than four detailed case-studies in each of three selected countries emerging from armed conflict: Afghanistan, DRC and Kosovo. There are resources for substantial but limited field work to supplement desk research on these selected case studies. While this is sufficient to dramatically increase the number of such case studies ever conducted on this topic, it is still a tiny number compared to the potential universe of cases and countries. There is no credible way of generating reliable and detailed generalised knowledge about the roles and impacts of MSPs in countries emerging from armed conflict from such a data-base.

Similarly, the MULTIPART Project is not designed or resourced systematically to evaluate a substantial number of EU policies and programmes in relation to MSPs in countries emerging from armed conflict. This, combined with the lack of detailed existing knowledge of the roles and impacts of MSPs, implies that our project needs to focus on clarifying issues and priorities for relevant EU roles, policies, programmes and activities – not on producing detailed policy or programme prescriptions.

The discussions in parts C. and D. below substantiate and develop these statements in more detail. The point here is to strongly confirm that the MULTIPART Project is primarily an exploratory research project. It should seek to open-up an important policy-relevant issue area and to generate refined hypotheses, and develop ‘emerging’ findings and understandings based on a combination of literature review, some new detailed case studies and an examination of the issues and priorities that emerge for researchers, policy-makers and practitioners. This is an important and exciting goal – and is certainly no reason for any disappointment for researchers.

This exploratory, qualitative character of the Project has important implications for the focus and formulation of the primary research questions for MULTIPART.

The original project proposal left open the possibility that MULTIPART would answer generalised research questions with a strong quantitative dimension such as ‘how, to what extent, and under what conditions *do* MSPs contribute to conflict reduction, peacebuilding and human security in countries emerging from armed conflict?’ The more detailed literature review and assessment conducted through WP 2 and3 has shown that the Project cannot realistically aim at answering generalised quantitative questions, only some quantitative aspects relating to a limited

number of case studies ('how, to what extent, and under what conditions did a few specific MSPs contribute to conflict reduction, peacebuilding and human security in their specific country context?'). *Thus, MULTIPART's primary research questions need to be revised and focussed in a way that reflects the exploratory and qualitative nature of the overall project, while recognising that a combination of qualitative and quantitative questions are needed for the specific case studies.* This approach is reflected in chapter B.3. below, which sets out the research questions for the Project.

### B.2.2. A MIXED-METHODS APPROACH

It is obvious that the roles and impacts of MSPs depend greatly on the specific context in which they develop and operate, as well as on the specific characteristics, capabilities and interests of the MSP itself and its participants and stakeholders. The processes and programmes in which they participate are affected by a wide range of factors; particularly in the complex conditions faced by countries emerging from armed conflict. In principle and in practice, it is unrealistic to expect to be able to design research approaches in which all other factors are controlled for, enabling exclusive focus on the roles and impacts of a specific MSP.

This is not unusual in social science research, particularly in a multi-disciplinary research in developing countries emerging from armed conflict. There are a wide range of research methods and approaches that can generate useful and reasonably reliable knowledge in such contexts. Qualitative research methods will obviously be particularly important in view of the qualitative and exploratory overall objectives of the Project, including case studies, process-tracing, participatory methods, in-depth interviews, action research, and so on. However, there is also wide scope for using quantitative methods too – such as survey work or statistical analysis of available data, for example when investigating the impacts of specific MSPs in the case study research.

Overall, therefore, this project needs to adopt a 'mixed methods' approach to its research design and implementation.<sup>4</sup> This allows MULTIPART researchers to employ a variety of different qualitative and quantitative methods according to the particular research questions and work plan elements they are focussing on, and according to the skills and research opportunities (interview

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<sup>4</sup> Most standard social science textbooks on research methods include detailed discussions of not only a range of quantitative and qualitative research methods, but also of the 'mixed methods' methodological approach involving a framework where a combination of quantitative and qualitative methods are used. See, for example, Creswell, (2003); or (Denscombe (2007).

opportunities, data availability, etc) that they identify. These will be combined as appropriate to generate overall research understandings and findings.

The mixed methods approach allows for flexibility and opportunity-taking that is appropriate and important for this complex and multi-faceted project, particularly taking into account its collaborative and multi-disciplinary character.

However, ‘mixed methods’ is not the same as ‘anything goes’ or eclecticism. It involves strategic research design to combine a *selected* set of quantitative and qualitative methods adapted for the specific question, country/case study context, and available research resources. For example, for an in-depth case study of the development, roles and impacts of a selected MSP in a particular country, it will be preferable to combine participatory methods, in-depth interviews, process-tracing, quantitative surveys, and analysis of available statistics relating to potential impacts. These issues are discussed in more detail in part D. The key point here is that, within an overall mixed methods approach, the Project teams for each specific work package, case study or thematic study should design and conform to a specific research strategy using a combination of methods that is not only appropriate for their specific objectives but also consistent with overall project requirements.

### B.2.3. MULTIPART’S RESEARCH PRIORITIES AND FOCUS

The original project proposal lays out our main overall research objectives. On the basis of WP 2 and 3 work and the discussion so far in part B., the overall project objective can be refined to be *‘to improve understanding of how MSPs can contribute to peacebuilding and human security in countries that are emerging from armed conflict, and to clarify policy and programming implications for the EU and its partners’*.

The following paragraphs will highlight some key implications of this refined research objective. It will also clarify the overall approach to be taken in relation to project assumptions, foci and priorities. In doing so, it also clarifies what is NOT a priority for this project.

*Assumption that MSPs can be significant:* As highlighted in B.1. above, the project will not focus on examining whether MSPs have been or can be significant for post-conflict reconstruction, peacebuilding, or human security. We provisionally assume (on the basis of initial research) that MSPs can be, and have been, significant in some circumstances. Thus, for example, we should select case studies that promise to enhance and enrich understanding of the ways and means by which MSPs can contribute to such objectives, and the contexts and determinants of their

effectiveness. We are not so interested in case studies of MSPs that can readily be expected to have little or no significance. Of course, if the Project ultimately finds that major MSPs have had minimal significance even in very promising circumstances, this will help assess the validity of this starting assumption.

*Focus on 'how MSPs can be significant?':* Thus much of MULTIPART's research efforts needs to be focussed on 'how, and in what contexts' can MSPs be significant for peacebuilding and human security in countries emerging from armed conflict. In this context, we are particularly interested in improving understanding of how the particular characteristics and roles of MSPs can affect or enhance the contributions that they make. So substantial research is also necessary on how MSPs have formed, developed and operated; and the inter-relationships between their wider significance and the MSP's objectives, roles, composition, target groups, interests, capabilities and decision-making processes.

*Developing refined characterisations of MSPs:* Many of the most interesting hypotheses of ways in which MSPs can contribute to peacebuilding and human security in countries emerging from armed conflict relate to particular characteristics of MSPs (see chapter D.2.). Our definition of an 'MSP' (see chapter B.4), though constraining, remains wide enough to include vast numbers of MSPs including a wide range of different types and characteristics.

At an early stage in the work of WP 2 and 3, substantial work was done to identify a limited number of 'types' of MSPs, customised to facilitate quantitative as well as qualitative investigation of the determinants of MSP significance and effectiveness. However, as the qualitative and exploratory overall objectives of the MULTIPART Project became increasingly clear, this approach was abandoned as premature. Instead the objective of our research should focus on developing refined and systematic characterisation of the MSPs under investigation, to improve understanding and facilitate further hypothesis generation (see chapters D.2. and D.5.).

*Research process and impacts:* It is clear that much of MULTIPART's research needs to focus on 'process' issues (for example, how MSPs form, develop, operate, and their significance for wider processes). However, research on the impacts of MSPs on peacebuilding and human security is also of central importance for the Project. A good balance needs to be established between research on process and impacts. In this context, it is important to recognise that analyses of process and impacts of MSPs will probably overlap substantially. For example, some key indicators of human security relate to the quality of processes (participation, empowerment, etc).

*Focus research on MSPs and their impacts, not on other interesting contextual factors:* Many interesting and potentially important questions and issues have been raised in initial discussions amongst MULTIPART researchers. These clarify issues such as: the contexts in which

MSPs operate in countries emerging from armed conflict; important factors that can also affect peacebuilding and human security; and factors that can shape the interests, capabilities or roles of members of MSPs. Although it is important to take such factors into account for MULTIPART research, and to use available knowledge of country or issue specific contexts, they should NOT be a significant focus for new research within the MULTIPART Project. In the context of scarce resources, we need to focus project resources on research that is directly relevant to the primary MULTIPART research questions (see chapter B.3 below).

*Framing and operationalising understandings of conflict, peacebuilding and human security:* the MULTIPART Project needs to build on existing literatures and knowledge of conflict, peacebuilding, and human security, in order to investigate roles and impacts of MSPs on peacebuilding and human security in countries emerging from armed conflict. One of the most important tasks of WP 2 and 3, and of this Report, is to define and operationalise these concepts and processes for the purposes of the Project. This has been done (see chapters in part C. and in chapter D.7.), and MULTIPART researchers should use these definitions and operationalisations, and NOT be tempted to conduct further research on them using MULTIPART resources. None of the primary research questions is on conflict, peacebuilding or human security in their own right: they only focus on understanding the development, operation, roles and impacts of MSPs, and the implications for EU policy.

Thus, for example, impacts on ‘human security’ have been operationalised into impacts on three specific conditions of vulnerable people and communities (see chapters C.4. and D.7.):

- security from violence, crime and illegitimate coercion (freedom from fear);
- poverty alleviation and socio-economic development (freedom from want);
- empowerment and participation in public life.

Within each of these broad categories, MULTIPART researchers will need to decide on specific issue areas or indicators to investigate (see section D.7.3.), but they do not need MULTIPART resources to further elaborate or debate ‘human security’ per se. Similarly for ‘peacebuilding’ - the other dimension of MSPs impacts to be investigated. Chapter C.3. and section D.7.2. operationalise this broad term, and provide a framework to be used by MULTIPART researchers when deciding which specific types of indicators of impacts by MSPs on conflict reduction and peacebuilding they choose to investigate empirically.

*The EU as a focus for MULTIPART research:* The overall objective of the MULTIPART Project includes clarifying and examining the implications of our findings on MSPs in countries emerging from violent conflict for the policies and programmes of the EU and its partners. This is the key objective of work package 6. However, it is important to emphasise that the roles of the EU

in relation to MSPs are only one of many potential foci for investigation in our thematic and case study research in work packages 4 and 5.

Thus, it is envisaged that the EU will be a partner or stakeholder in at least some of the MSP case studies examined in work packages 4 and 5, and in this context its roles and impacts will be investigated in case studies in the same way as all other key partners and stakeholder. However, it is important to emphasise that the participation of the EU is not a critical criterion for case selection, and it is envisaged that the EU may not be a key partner or stakeholder in some of our in-depth case studies

Further, one of the main research questions for the project asks ‘how has the participation or support of international actors, including the EU, affected the operation and impacts of selected MSPs?’ (see chapter B.3.). Thus, the EU is specifically included in this key question, but only as one of several potential sets of international actors. This issue is discussed further in part D. (particularly D.2. and D.8.).

*Avoiding EU misperceptions or potential confusion:* EU institutions and their activities are not only an object of research for this project, albeit in a limited way, but also the main funder and a key target audience. At least some EU officials and agencies can be expected to be highly sensitive and potentially confused by random or uncoordinated approaches by MULTIPART researchers: they may, for example, worry that their programme performance is being ‘evaluated.’ Thus special care and co-ordination mechanisms are needed when approaching them for information or interview. Guidelines for such approaches will be presented for adoption by the Steering Committee.

*Understanding country contexts:* the conduct and analysis of the roles and impacts of MSPs in countries emerging from armed conflict will require contextual understandings – particularly of: country context; conflict processes and risks; conflict reduction and peace-building processes and opportunities; the legal/political context for MSP formation and operation; human security situation (in terms of security from violence, crime and illegitimate coercion; poverty and socio-economic development; and participation and empowerment). It will require at least some work by MULTIPART researchers to provide such contextual information and assessment. However, this work should be limited primarily to identifying and circulating reliable information and analyses from existing studies – particularly for the three main countries selected for MSP case study research: Afghanistan, DRC and Kosovo. Substantial MULTIPART resources should not be devoted either to researching such contextual issues or drafting reports on them. This issue is elaborated in chapters D.2. and D.6.

#### B.2.4. CONCLUDING REMARKS

This chapter has highlighted some key aspects and priorities relating to the overall scientific approach to the MULTIPART Project. Effective implementation of this project within this framework will require close co-ordination and iterative relationships between researchers engaged in the different elements of this project – particularly for WP 4 and WP 5 tasks: the planning implications of this are discussed in part D. and summarised in part E. The following chapter B.3. builds on this and presents the primary research questions to be investigated in this project.

## B.3. Research questions

*Owen Greene*

This chapter refines and defines the main research objectives and questions to be addressed in the MULTIPART Project. Although it is fully consistent with the original MULTIPART Project proposal, it focuses, refines and prioritises the research objectives and questions described in that proposal. *Thus, for project purposes, this description of the overall research objectives and questions of the Project supersedes all others (unless they are specifically revised by the Steering Committee at a later point of the Project, to take account of emerging findings).*

This chapter assumes the frameworks, approaches and definitions described in chapters B.1., B.2. and B.4. In chapter D.2. the research objectives and questions described here are systematically embedded in, and linked to the research methods, work package responsibilities and objectives of the project; which are then elaborated in the remainder of part D. and in part E. The relevant theoretical foundations are examined in part C.

### B.3.1. PRIMARY MULTIPART PROJECT RESEARCH OBJECTIVES AND QUESTIONS

As noted above, *the overall research objective of the project is to improve understanding of how MSPs can contribute to peacebuilding and human security in countries that are emerging from armed conflict; and to clarify policy and programming implications for the EU and its partners.*

This is a qualitative and exploratory research objective. It assumes as a working hypothesis that at least some types of MSPs can in some circumstances be significant for peacebuilding and human security in countries emerging from armed conflict, and focuses on examining and exploring how, to what extent and under what conditions MSPs can be significant.

The limited time and resources of the MULTIPART Project, combined with the limited existing research on MSPs in post-conflict contexts, means that the project can NOT realistically aim at reliably answering general quantitative research questions on how different types of MSPs develop and operate in countries emerging from armed conflict, and the circumstances and extent to which they have distinctive impacts on peacebuilding and human security. Rather it attempts to answer these questions for a limited number of MSPs in a few countries, and to explore existing

evidence more generally, in order to enhance understanding of the issues and to generate more refined hypotheses and proposals for future research, policy and programming work.

*Within this framework, the primary research questions for the project are as follows.*

- 1.** What are the characteristics and types of MSPs operating in countries emerging from armed conflict? (This project focuses particularly on MSP case studies relating to four thematic issue areas: security; economic and social development; democracy, good governance and rule of law; and confidence-building, reconciliation and inter-communal bridge-building.)
- 2.** In countries emerging from armed conflict, what is the *potential* significance of MSPs (e.g. what possible mechanisms exist) to impact on:
  - conflict reduction and peacebuilding;
  - improving vulnerable peoples' security from violence, crime and illegitimate coercion;
  - alleviating poverty and promoting socio-economic development;
  - empowering vulnerable people and communities and promoting their participation in public life?
- 3.** How, *in practice*, have selected MSPs formed and developed over time, how have they been composed and how have they operated – both internally and in relation to their external stakeholders and intended beneficiaries?
- 4.** How has participation in an MSP impacted on the MSP's members, in relation to their roles, capacities, empowerment, interests and vulnerabilities relating to:
  - conflict reduction and peacebuilding;
  - security from violence, crime and illegitimate coercion;
  - alleviation of poverty and promotion of socio-economic development;
  - empowerment of vulnerable people and communities and promotion of their participation in public life?

To what extent, and in what ways, have these impacts depended on the characteristics of the relevant MSP (e.g. its multi-stakeholder character; its specific membership; its internal procedures, capacities or decision-making mechanisms; etc)?

**5.** What have been the impacts of selected cases of MSPs on external stakeholders and potential beneficiaries, in relation to:

- conflict reduction and peacebuilding;
- security of vulnerable people and communities from violence, crime and illegitimate coercion;
- alleviation of poverty and promotion of socio-economic development;
- empowerment of vulnerable people and communities and promotion of their participation in public life?

To what extent, and in what ways, have these impacts depended on the characteristics of the relevant MSP (e.g. its multi-stakeholder character; its specific membership; its internal procedures, capacities or decision-making mechanisms; etc)?

**6.** How has the participation or support of international actors, including the EU, affected the MSPs selected for case study in this project; in relation to the MSP's development, operation, sustainability and impacts? What are the lessons for how the EU and other international actors should support or participate in MSPs?

**7.** How can EU (including member states') policies and programmes better support and co-operate with MSPs in countries emerging from armed conflict in order to promote:

- conflict reduction and peacebuilding;
- security from violence, crime and illegitimate coercion;
- alleviation of poverty and promotion of socio-economic development;
- empowerment of vulnerable people and communities and promotion of their participation in public life?

These are the main research questions for MULTIPART. Note that they combine qualitative and quantitative questions, as would be expected for our 'mixed methods' approach.

Each main research question is associated with a number of key associated or sub-questions, as discussed and explored in chapter D.2. and subsequent sections.

*Note that significant MULTIPART Project resources should only be devoted to research that directly relates to at least one of the above questions, either by directly researching the question or by preparing an essential basis for addressing one of these questions.*

It is important to note what is not included in our group of core questions. For example, having elaborated the research frameworks described in this WP 2 and 3 report, the MULTIPART Project does NOT plan to devote substantial resources to further develop knowledge and understanding of:

- Conflict analysis and assessment theories and tools;
- Reconstruction and peacebuilding analysis and assessments theories and tools;
- Concepts of ‘human security’ and their operationalisation *per se*;
- Country analysis
- Analysis of other key factors and processes in countries emerging from armed conflict except where they directly relate to the development, operation and impact of relevant MSPs.

Obviously knowledge of, and assessment tools for such issues will need to be fully used and taken into account throughout the Project in order to address the main project questions. But they should not be a focus for investigation in themselves – particularly in WP 4 and 5 activities.

## B.4. Working definitions

*Scuola Sant'Anna, CICS, ETC*

### B.4.1. MULTI-STAKEHOLDER PARTNERSHIPS

By drawing directly on literatures on governance, on partnerships, and on public networks as well as indirectly on the theories of participation in decision-making and the studies of partnerships for service delivery and for policy implementation, MULTIPART adopts the following operational definition of Multi-stakeholder partnerships.

*Multi-stakeholder partnerships (MSPs) bring together several stakeholders - i.e. actors (private or public) that have a shared interest in the outcome and demonstrate some degree of ownership - to address a particular issue.*

Ownership describes a relationship within an organisation that implies an investment of certain types of resources and a degree of participation in decision-making. By conferring financial, human or material resources actors become partners of an MSP and, as such, share the risks inherent to this endeavour. Material resources include, but are not limited to, skills and know-how, legitimacy or responsibility over a certain service/function. Ownership as degree of participation in decision-making implies that stakeholders are or can be proactive in setting the agenda for the organisation, have a voice in its discussion, and can have their preferences translated into certain decisions. Therefore MULTIPART conception of ownership is different from understanding ‘ownership’ as hierarchy, i.e. as privileged access to resources and gate keeping. It is close to (though not identical to) the notion of ownership largely used in the literature on democracy and democratic models, i.e. ownership as the quality of participation in non-hierarchical modes of governance (Held, 1995; Held and McGrew 2002).

Depending on the nature of the problem, each MSP is formed by a customised constellation of relevant stakeholders. The issue of who is a relevant stakeholder is far from straightforward and several attempts have been made at developing typologies. For example, in the field of management Mitchell et al. offer a typology that classifies stakeholders according to their power, their legitimacy, and the urgency of their claims with respect to the organisation (1997). Another widely used distinction is between ‘primary’, ‘secondary’, and ‘external’ stakeholders. Primary stakeholders are those who benefit from an activity, for example, community groups. Secondary stakeholders are essentially various intermediaries, for example, a Ministry or a UN body. External

stakeholders are actors who are not formally involved but may impact or be impacted by an activity. At the heart of these otherwise different debates, there is a common aspiration to define social, political, and economic actors on the basis of a new type of relationship – one that is driven by shared risks, benefits, and responsibilities with respect to a particular issue of common relevance.

The authors of this report in the course of collaborative work and discussions decided not to adopt any specific typology of stakeholders according to their relevance or importance other than the guidance implicit in the definition of MSP as based on shared interest and ownership. It was agreed that in each MSP selected for in-depth case study, stakeholders will have to be classified given the nature, goals and priorities of the specific MSP as well as its processual characteristics such as activation, governance and coordination mechanisms.

The authors of this report propose the following operational characteristics of MSPs to be used by MULTIPART researchers:

*1) Actors.* For an MSP to be selected for MULTIPART research, there should be at least three types of actors, e.g. public, private or civic, and the involvement of at least one public sector actor is required. By a public sector actor MULTIPART refers to any type and any level of operation, e.g. ministry, municipality, public school, public commission and so on. The presence of ‘external’ actors, i.e. different types of international organisations is not a core requirement. It is however, recommended that the maximum variation on this characteristic is assured during the case selection for in-depth case studies. In other words, an ideal overall set of MSPs studied in-depth by MULTIPART would include for example, a case with an external civic actor, one with an external private actor, another with an international organisation such as a UN agency, and yet another without any external presence at all (the latter case is probably relatively rare in the countries emerging from violent conflict, where international presence is high, but is nevertheless interesting). As for the number of actors involved, a lot depends on the primary function of an MSP. MULTIPART does not have an explicit preference for MSPs with large number of stakeholders but considers actor diversity an important characteristic. It is up to MULTIPART researchers to classify a partnership as an MSP, even if it does not call itself like this. Similarly, not every partnership calling itself an MSP, corresponds to MULTIPART selection criteria.

*2) Geographic range.* MULTIPART will focus on MSPs that are aimed at promoting the solution of one or more issues of national, regional or local interest within specific countries, though this might entail the inclusion of international players. In other words, MULTIPART is not interested in MSPs that aim primarily at addressing global issues and problems through the inclusion of transnational networks of public, private and/or non-governmental players in different countries.

3) *Time scale*. MULTIPART will focus on MSPs that have had a life cycle of at least two years. This is clearly indicative and it remains at the discretion of MULTIPART researchers to ground their choices of case studies that have operated for a slightly shorter period. MULTIPART does not exclude the possibility of studying MSPs that have already concluded their operation, provided that it happened at a reasonable time lapse, so as to enable detailed research including meaningful participant, stakeholder and beneficiary interviews.

4) *Operation and degree of institutionalization*. MULTIPART is primarily interested in MSPs that are (or were) operating in this quality and are (or were) engaged in substantive activities relevant to their primary goals. A minimum degree of institutionalization is another necessary requirement. This does not imply necessarily a legal or contractual agreement between partners but rather that there is at least a identifiable and significant form of governance.

#### **B.4.2. POST-CONFLICT PEACEBUILDING AND MULTI-STAKEHOLDER PARTNERSHIPS**

The MULTIPART project is studying the contribution of multistakeholder partnerships (MSPs) to peacebuilding and improvements in human security in countries emerging from conflict. These MSPs are working in the context of broader processes of conflict, peacebuilding and reconstruction, including a wide variety of policies, programmes and activities that together form a complex process designed to overcome the legacy of conflict and prevent future violence. It is important to have a common understanding of peacebuilding to help build a robust theoretical framework for the project, to enable the contributions of MSPs to peace-building to be assessed; to provide contextual analysis for assessments of MSP impacts on human security; and also to inform the formulation of research questions for further stages in the project.

We have agreed that any adequate definition of peacebuilding must include immediate problem-solving and conflict management and reduction imperatives, alongside longer-term critical approaches that aim to resolve or transform the disputes or structural factors contributing to conflict. This approach recognises the need for immediate action to address ongoing political violence and social breakdown, and acknowledges political and economic limitations on peacebuilding, but nevertheless stresses the need to invest resources and effort in programmes

which will contribute to long-term efforts to prevent the recurrence or continuation of large scale violence in the future.

This approach to peacebuilding builds on the latest understandings developed by the UN, which have finally been reflected institutionally in the creation of the Peacebuilding Commission. Since the 1990s the concept of peacebuilding has moved beyond a narrow, technical scope (essentially ‘peacekeeping plus’), which was focused primarily on immediate security concerns rather than medium and long term conflict transformation. Instead, any working definition must now recognize that peacebuilding also has an important role in challenging and transforming the social, political and economic structures that contributed to the outbreak of violence in the first place.

This contextual understanding leads us to define Peacebuilding as:

*a set of policies, programmes and activities which initiate or contribute to broader processes that help to overcome the legacy of armed conflict and prevent any recurrence in the future; it will include short-term measures to respond to immediate threats to peace and longer-term initiatives to address the structural causes of conflict or to strengthen capacities to manage and resolve conflicts peacefully.*

The latter may include economic and developmental issues, weak institutions, inequitable social structures, inadequate security, authoritarian politics and poor governance, long-standing inter-community and inter-group conflicts, or regional geopolitical tensions. In the contemporary context, in almost all cases, peacebuilding processes will include a major investment in resources and engagement from the international community.

Human security and peacebuilding are understood to be complementary (and partially overlapping) concepts and objectives. ‘Peace building’ is understood as a broad ‘multi-level’ process, occurring over a period of time, involving complex interrelated changes at individual, community, , national and international levels and processes. For our purposes it focuses on preventing, reducing and resolving conflicts that risk developing into large-scale armed violence. It overlaps with ‘human security’ to an extent. But it is distinct from it, in the sense that human security focuses on the security of individuals and communities, and threats to human security arise from a wider range of factors, many of which may not be centrally important for risks or processes of large-scale violent conflict.

Although this ‘working definition’ of peacebuilding is much wider and more holistic than the narrower, security-focused approaches used in the 1990s, for the purposes of this research we do

not adopt an even broader possible definition of peacebuilding, which views the process as proceeding at all levels of all societies, with multiple actors engaged in a constant process of achieving reconciliation in all types of social conflict. For the purposes of this research, peacebuilding is considered to be finite in scope, both in terms of activities and time, and focused on preventing, reducing or resolving large-scale armed conflict.

Within this understanding of peacebuilding we will be able to examine all the sectors that MULTIPART is committed to address, including: security; economic and social development; democracy, good governance and rule of law; and reconciliation, confidence-building and inter-communal bridge-building. All these areas are acknowledged as critical to peacebuilding processes.

Within this working definition of peacebuilding we acknowledge that there are important ongoing debates amongst researchers, practitioners and policy communities. Some of these areas are as follows:

- Peacebuilding tends to be referred to as a process taking place in a 5-10 years time period after large-scale armed conflict ends, but in reality this temporal aspect is much more open. For the purposes of MULTIPART, this aspect will be reflected in questions regarding the sustainability of MSPs as a key element in post-conflict governance architecture. Research questions should address whether the MSP is sustainable in itself, or whether it is designed to develop into sustainable national processes and institutions.
- Models of peacebuilding assert the need for integrated or holistic approaches to peace, involving multiple actors from different sectors operating at different levels (individual, communal, national or international). The emergence of MSPs is one institutional response to this approach, and the project should promote understanding of how this multiple actor involvement is best addressed in the structures of MSPs. Research design should examine the different types of actors involved, their different roles, and the dynamics of their interaction.
- Similarly, peacebuilding models stress different levels of actor involvement in the peacebuilding process, from political elites through ‘mid-level’ actors to grassroots groups. This dynamic is considered important for successful peacebuilding, and it may be appropriate for it to be reflected in MSPs; the importance of this factor in achieving success can be considered an appropriate subject for case-study research.
- Within peacebuilding processes, there is often a tension between external and indigenous stakeholders in the peacebuilding process; in most cases, MSPs will reproduce this combination of internal and external actors. The way this dynamic is managed within an MSP should be a key area of research.

#### B.4.3. CONFLICT ANALYSIS

The MULTIPART project focuses on the development, operation and impacts of MSPs in countries emerging from armed conflict – that is in contexts where conflict processes are not only important and dynamic, but also are of high concern to all of the MSPs members, stakeholders and potential beneficiaries. Much of the research and assessment in MULTIPART will therefore need to take detailed account of conflict analysis and assessments, and of the conflict sensitivity of post-conflict activities and programmes. This sub-section briefly outlines the definitions and approaches on these issues to be adopted in the MULTIPART project.

Conflicts and tensions are intrinsic to all societies, and inherent to beneficial development and political transition processes. This sub-section focuses on understandings relating to violent conflict, or risks of violent conflict.

Conflict analysis and assessments are as important in countries that have recently emerged from war or large scale armed violence as in countries at other phases of the (so-called) conflict cycle. It is well established that the risks of armed violence are particularly high in countries that have recently emerged from war.

The complexity and variety of contemporary violent conflicts implies a need for analytical approaches that can encompass a wide range of types of factors, and guide their use to conduct specific conflict analyses. We should assume that the causes and drivers of risks of violent conflict in the war-torn societies we research are complex, multiple, and often mutually reinforcing. They are intimately related to development issues, understood broadly to include political, economic and social development and issues of governance, human security, and sustainability. Perceptions (and the dynamic ‘construction’ of perceptions and identities) are often as important as ‘objective’ factors, and much of the politics of conflict lies in their interplay.

The MULTIPART approach to conflict analysis makes few pre-suppositions about the primary causes or drivers of violent conflict, except that there are typically many contributing factors and the focus of analysis is to identify and assess each of them and then examine the ways in which their dynamic interaction drives conflict processes and risks.

Thus the framework for conflict analysis aims first to identify and assess:

- Significant underlying or ‘structural’ factors which contribute to (or mitigate against) conflict risks and processes (such as ‘weak’ states, social/ethnic division or exclusion, bad or authoritarian government, inequality, violent crime, impunity, inadequate institutions or social services, bad laws, environmental scarcity);

- Interests, relations, capacities, perceptions and agendas of relevant actors (such as political parties, military, corrupt elites, warlords, criminal organisations; terrorists, external powers, aid agencies, companies, civil society groups); their roles (and potential roles) in contributing to or mitigating against conflict;
- Dynamics (such as impacts of disasters, elections, reform processes challenging interests, dynamics of ‘identity politics’, scandals, fiscal reforms, migration, terrorism).

It then aims to examine the dynamic inter-relationships between the structural factors and actors that are assessed to be important; to identify the most important overall risks and drivers of conflict.

MULTIPART researchers may exercise discretion in the specific ways in which they choose to conduct or use such conflict analyses, provided that they stay broadly within the frameworks outlined above. In the three countries in which the Multipart Project will conduct in-depth case studies, it will be important to have at least a basic agreed conflict analysis to which all can refer.

### Conflict Assessments

For clarity, Multipart research should distinguish between ‘conflict analysis’ and ‘conflict assessment’. Conflict assessments include conflict analyses, but then build on them to:

- Analyse the likely peace and conflict impacts of possible policies, programmes and interventions (including aid programmes) designed to respond to the conflict processes;
- Identify and assess the extent to which policies and programmes are ‘conflict sensitive’, taking into account the conflict analysis and other relevant programmes and interventions.

Although logically distinguishable, these phases interact. The process of developing a good overall conflict assessment is generally iterative. Analyses of the likely impacts of possible programmes will generate new or refined questions and insights relating to the conflict dynamics, which in turn deepens understanding of likely impacts of peacebuilding initiatives or aid programmes.

Conflict sensitive policies, programmes and practices are those that are carefully designed and implemented to:

- Avoid or reduce the possibility of unintentionally exacerbating or contributing to processes or risks of violent conflict; and
- Take opportunities to help to prevent or reduce violent conflict and to promote peace.

In order to adopt this approach, those responsible for programme design and implementation need to:

- Understand the context in which they are operating, particularly conflict dynamics and peacebuilding processes/opportunities;
- Understand the likely interactions between the proposed policy or programme activities and the country or regional context, particularly in relation to peace and conflict issues;
- Act upon these understandings to design and implement the relevant programmes so that they do no harm (in relation to violent conflict) and where possible positively contribute to conflict prevention and peace building.

Such conflict sensitivity assessments basically divide into two types:

- Assessments of the extent to which the aims, design and implementation of the policies and programmes promoted by the MSP were well-adapted to minimising risks of ‘doing harm’ and taking opportunities to promote peace-building (and human security);
- Assessments of the extent to which the MSP specifically took account of possible peace and conflict impacts in its planned activities, and took sensitive account of emerging concerns and risks during implementation.

Both of these types of assessments need to use an overall conflict analysis to examine and assess risks and opportunities raised by the MSP’s plans and activities.

It is possible that MSPs may have characteristics that promote conflict sensitivity, or that some types of MSPs can contribute more than others to promoting or ensuring conflict sensitive policy or implementation. In practice it is not necessary for an MSP or its partners to have comprehensive reliable understandings or fully developed institutional capacities before embarking on a conflict-sensitive intervention. Provided that it adopts an approach of active learning and appropriate consultation and responsiveness, these can develop over time as the partnerships and processes mature. In this context, it is relevant for MULTIPART researchers to conduct conflict sensitivity assessments of the MSPs themselves and of their processes, outputs and impacts.

#### B.4.4. THE HUMAN SECURITY FRAMEWORK

The concept of ‘human security’ represents an attempt to move beyond the over-simplistic character of traditional concepts of security, toward a notion that focuses on the protection of

individuals and communities in their daily life. It is distinguished in this respect from notions of international, national or ‘regime’ security. At present, a considerable number of definitions of human security are available. For the purposes of the research, we propose a working definition built upon the commonalities that can be identified in the different descriptions of human security, i.e. the concentration on individuals and local communities; the focus on both ‘freedom from want and freedom from fear; and the interdependence between the security of individuals and that of states.

Human security recognizes that more and more contemporary forms of violence threaten the security of individuals and communities. In the human security framework of analysis, the concept of violence and insecurity goes beyond its traditional understanding to embrace a wide range of different sources of threats that stem from the economic, political, criminal and social sectors to the environmental, sanitary and alimentary sectors. In positive terms, human security incorporates both *freedom from want* and *freedom from fear*, and refers to a condition in which the individuals are safeguarded from critical and pervasive threats that can affect the vital core of their lives (i.e. the individual’s requirements for life): survival, livelihood and basic dignity. In addition, the condition of having human security means having the ability to mitigate the critical and pervasive threats to one’s vital core: the capacity to change one’s circumstances, and the ability to participate in decisions which impact one’s life (empowerment and participation). For a human being to have human security, she/he must have a bundle of basic resources, material and psychosocial, which are necessary for well-being. Finally, human security should be understood as complementary to state security, in the sense that these two concepts are distinct, though generally mutually reinforcing and dependent on each other: without human security, state security arguably can not be attained and vice versa.

Combining the different elements, MULTIPART propose a working definition of the objective and meaning of Human Security that reads as follows:

*The objective of human security is to protect the vital core of human lives from critical and pervasive threats (traditional and non traditional), in a way that is consistent with individuals’ survival, livelihood and basic dignity. Human security expands on people’s interests and aspirations (empowerment), in the view of creating a political, social, economic, environmental and cultural system that advances human fulfilment.*

A human security perspective is concerned with both *processes* and *outcomes*. For the purposes of MULTIPART, definitions and analyses of human security are operationalised according to three interrelated dimensions:

- Security of individuals and communities from violence, crime and illegitimate coercion ('freedom from fear')
- Poverty alleviation and socio-economic development of vulnerable people and communities ('freedom from want')
- Empowerment of vulnerable people and communities, and promoting their participation in public life.

These can be objectively identified and assessed. Thus MULTIPART does not in principle require or use normative agendas for analysing human security, although it is concerned with examining how MSPs can promote human security (as well as peacebuilding).

- Nevertheless, it is useful and important to note that applying a 'human security' perspective is often motivated by normative concerns. For those that are committed to the human security perspective, the following normative approaches are important, relating to both research approaches and preferred response strategies: The human security framework should be holistic, i.e. addressing both freedom from fear and freedom from want, which in practice means that conflict-related; crime-related and development-related threats and vulnerabilities need to be addressed;
- Second, the human security framework should recognize the interconnection and interdependence among sources of threats;
- Third, the human security framework should examine and promote participatory approaches, involving the main stakeholders;
- Fourth, the human security framework emphasises the importance of including bottom-up approaches that take into account the perspectives of people affected by threats and vulnerabilities;
- Fifth, human security seeks to empower the people who are affected by threats and vulnerabilities, so that they may mitigate the impacts on their own lives. This goes closely hand-in-hand with a bottom-up approach:

- Sixth, the human security framework aims to be non-discriminatory, with a focus on the specific needs of vulnerable groups;
- Seventh, the human security framework needs to be based on common values of human rights, starting from the human dignity of the individual and including rule of law, good governance, democracy and accountability;
- Eight, the mutually-reinforcing nature of human security and human rights, as well as human development, should be given particular attention in a human security framework.

## PART C. THEORETICAL FOUNDATIONS

### C.1. Introduction

The aim of this Section is to present the theoretical basis for methodological choices and empirical investigations of multi-stakeholder partnerships in countries emerging from conflict. It follows the research approaches and theoretical framework presented in Section B.1., thus, dealing with the object (multi-stakeholder partnerships), the context (conflict and post-conflict reconstruction), and the aim of research (peacebuilding and human security).

Even though multi-stakeholder partnerships are increasingly popular both in the global as well as national policy realms, there is relatively little academic theorizing on their main characteristics and modes of operation. Little has been written on how multi-stakeholder partnerships may be different from other types of collaborative arrangements. Moreover, to our knowledge, no detailed research has been done on multi-stakeholder partnerships in countries emerging from armed conflict and especially on their potential and actual impact on human security and peacebuilding.

This Section proceeds in the following way. Chapter C.2. focuses on the definition and operationalisation of the concept of multi-stakeholder partnerships. First, it discusses the emergence of multi-stakeholder phenomenon and core rationales behind this trend. By highlighting what may be distinct about multi-stakeholder partnerships, it puts forward an operational definition and emphasises how it is different from or similar to other governance models. It further distinguishes several main characteristics that can be used to effectively describe and categorize multi-stakeholder partnerships. Next, it presents a literature overview, in which several academic streams are singled out as “progenitors” of the new study of multi-stakeholder partnerships. These streams include the literatures on governance, on partnerships, and on public networks. There is an interesting connection between the study of multi-stakeholder partnerships and other two sub-fields of academic research – theories on participation in decision-making and studies of partnerships for implementation. These are provided for general reference in appendices. Further, the chapter gives an overview of multi-stakeholder partnerships in practice, both at the national and transnational/global levels. Finally, it offers a taxonomy of multi-stakeholder partnerships that should be used as the basis for MULTIPART research.

Chapter C.3. presents concepts and tools crucial for understanding and systematically describing contextual factors specific of countries emerging from armed conflict. It outlines three related approaches – conflict analysis, conflict assessment, and conflict sensitivity.

Chapter C.4. investigates in detail the concept and the approach of human security. Firstly, it introduces in general terms the debate on human security giving voice both to its proponents and its critics. Building on this theoretical overview, the chapter presents main characteristics of human security of direct relevance to MULTIPART. Next, it builds up several crucial links between the concept of human security and that of peacebuilding, highlighting points of complementarity between the two. Finally, it discusses how human security has become part of the European policy-making.

## C.2. The object of research: Multi-stakeholder partnerships

*Valentina Mele, Kateryna Pishchikova*

Multistakeholder partnerships (MSPs) have recently emerged as a new paradigm in a variety of contexts, from multilateral cooperation to local development, and for different purposes, from decision making to service delivery. The term ‘multi-stakeholder initiatives’ was introduced in the debate on international governance during the follow-up of the Rio Conference on Environment and Development, which, in turn, marked a brand new approach of the UN to decision making and problem solving. Since the early nineties, indeed, NGOs first and corporations shortly after, have been increasingly involved in dialogue events and collective initiatives aimed at addressing global problems. They have moved from being considered ‘external stakeholders’ to being consulted and then included as partners in the activities of public and international organisations.

The rationale for this shift can be traced in the global discontent for the way international and national organizations have dealt with the complex challenges of the last decades, in the consequent rhetoric of inclusion and joined-up governance and in the recognition of the need for interdependent solutions to complex issues more likely to be delivered by a network of multiple actors. The new arrangements have been introduced not only in the context of international cooperation and multilateral relations (Martens, 2007) but also in countries such as the US or the UK where the so-called Third Way ideology has fostered the idea that “societal issues have become

so complex and interdependent that traditional, single sector approaches, involving only the government, business, or the voluntary /civil society sector, are inadequate" (Zammit, 2003: 32).

The common goal of the participants of an MSP is to gain collaborative advantage (Huxham, 2000; Huxham, and Macdonald, 1992), thus achieving 'something that could not be realized by a single organization acting alone' (Huxham, 2000: 338) and dealing with social issues that can be addressed only within the inter-organisational domain (Trist, 1983). As Gray effectively describes, 'the evolution of collaborative relationships can advance the interests of all stakeholders' (Gray, 1985: 913). It is commonly understood that 'bringing together the different resources each partner provides the potential for collaborative advantage' (Huxham, 2000: 348), though it is important to recognise that such different resources are associated with different organisational purposes (Eden and Huxham, 2001), which include instrumental, financial or ideological. The participation in such a partnership can also be the result of external pressure, such as governmental pressure.

In addition to the collaborative advantage there are also 1) an instrumental driver of the partnership, aimed at achieving legitimacy, at opening market opportunities or at carving a role in a certain domain without a clear institutional mandate and 2) a democratising imperative with regards to policy-making, aimed at achieving equity, creating trust, allowing groups un- and under-represented in traditional governance structures to have their say in policy-making. In the latter case the importance is given to achieving equity and accountability in communication between stakeholders and involving equitable representation of different stakeholder groups and their views. As summarised by Hemmati, MSPs 'are designed to put people at the centre of decision-finding, decision-making and implementation' (Hemmati, 2002: 24). The 'democratising' approach to MSPs tends to put a stronger emphasis on the procedural characteristics of MSPs highlighting such procedural aims as participation, genuine partnership, shared power between stakeholders, enhanced learning by participants, increased commitment to both process and outcome, joint action, and finally, representation (putting issues of concern to stakeholders on the political agenda). These are said to be the means of addressing the so-called 'governance deficit' and 'democratic deficit', especially in global governance structures (Haas, 2004; Held and Koenig-Archibugi, 2004) and are often linked to the notions of 'input legitimacy' (legitimacy gained on the basis of participatory quality of decision-making process) as opposed to the traditional notion of legitimacy (Bäckstrand, 2006).

## C.2.1. POSITIONING OF AND BACKGROUND FOR MULTI-STAKEHOLDER PARTNERSHIPS

### C.2.1.1. *Multi-stakeholder partnerships in literature*

The label of multi-stakeholder partnerships emerged during the 1992 Rio Conference, and has become widely used in the discourse of international organizations, NGOs and the media. However, in order to account for the academic developments that contribute to the definition and clarification of MSPs, we should not limit the analysis to this concept. Rather, we should employ at least three streams of literature which could be considered ‘progenitors’ of theorising on multi-stakeholder partnerships. These are the literatures on 1) governance, 2) partnerships and 3) networks. In other words, we should employ the work of those scholars which have either described or prescribed a shift from the old traditional top-down hierarchical approach of governing.

First, the literature on governance is vast and has focused on different levels, from international governance to local governance. Yet, one common assumption is that the shift from government to governance refers to a fundamentally non-hierarchical mode of coordination (Pierre and Peters, 1998, 2000; Rhodes 1990), one in which the task of policy making and policy implementation, rather than being performed in a traditional command-and-control fashion by public actors democratically authorised by their national constituencies to take decisions that are binding for everybody, is exercised jointly by public and private actors. Such kind of coordination implies that non-state actors, both corporate and non-profit organisations (or even private citizens directly), not only participate in the implementation of public policy, but often also in its formulation (Mayntz 2003, 2006).

More distinctively, the shift from government to governance opens the ground to new forms of cooperation among the players of the governance arena – government agencies, elected officials, political organisations (parties and informal organizations), corporations, media, civil society and grassroots organisations -, making partnership the very essence of governance (Bertucci, 1999). Governance is said to increase the potential effectiveness of decisions and services delivered, by allowing to process more information and to take different perspectives and needs into account (Scharpf, 1996). Governance implies the devolution of responsibility for the definition of principles, as well as of the means to achieve them, to local actors (private and public) with intimate knowledge of specific regulatory problems as well as some insights into how such problems should be addressed. Governance, indeed, is an inherently political mechanism (Hughes, 2003) of governing, one that emphasises not only the output but also the process that ultimately leads to the result (Vigoda-Gadot, 2004).

Alongside this 'instrumentalist' rationale for new forms of governance, one can note a 'democratizing turn' in policy making, the main point of which is to bring the citizens back into decision-making by ensuring their participation in various forms – from associations to various deliberative forums (cf. Dryzek, 1989, Warren, 2001). As eloquently summarised by Fung, this is a call for 'transformative democratic strategies that can advance [...] egalitarian social justice, individual liberty combined with popular control over collective decisions, community and solidarity, and the flourishing of individuals in ways that enable them to realize their potentials' (Fung, 2001:6). An important contribution of this literature for the study of MSPs and partnerships in general is the idea that politics has to be opened up to those affected by it and new forms of participation in decision-making have to be endorsed.

Beside their positive elements, certain forms of governance entail some major risks and limitations, which are likely to be exacerbated in countries emerging from violent conflict. First of all, there is the risk of regulatory capture by organised private sectors or organized interest groups that may end up benefiting only or mainly the participating actors. Governance, with its political process, presents also the risk of duplicating the efforts of the democratic institutions and of raising the costs of decision making. The second set of risks is connected to the so-called preconditions of governance, such as a 'strong, functionally differentiated and well-organized civil society' (Mayntz, 2003: 5), and a government that is legitimised and ready to step-in, ultimately enabling governance to work 'in the shadow of hierarchy' (Rhodes, 1996).

Second, the literature on partnerships is the natural progenitor of the studies on MSPs. This stream on partnerships has, in turn, stemmed from the set of works on New Public Management (Barzelay, 1992, Osborne and Gaebler, 1992; Kettl, 1997). In the early nineties, indeed, "the neo-liberal call for reinventing government" (Awortwi, 2004) was matched with three pillars: 1) privatization, 2) the introduction in government agencies of private sector management tools and 3) contracting out or partnerships. The latter were seen mainly as partnerships between the public and the private sector (PPPs). Unlike privatization, where ownership of the service or enterprise is handed over to the private sector, in PPPs the goal is to introduce investment and efficiency into the system while government retains ownership. Thus, in PPPs, while the public sector has the ultimate responsibility for providing service, actual delivery becomes the responsibility of the private players under contractual arrangement (Awortwi, 2004). But what are public private partnerships? Grimsey & Lewis (2004) define PPPs as 'arrangements whereby private parties participate in, or provide support for, the provision of infrastructure, resulting in a contract for a private entity to deliver public infrastructure-based services.' It is important to notice that the term infrastructure encompasses both technical and social infrastructures. While PPPs have a prominent role both in

the academia and in practice, a strand of literature has started to develop an interest for partnerships which include not only governments and businesses but a combination of state, businesses, NGOs or other civil society organisations.

All partnerships share common features because they are based on cooperative working relationships between two or more organisations. The kind of working relations varies, and so does the type of ultimate beneficiaries, or users of the service/infrastructure. Metcalfe (2002: 3) has identified three common factors of any partnership, namely a division of labour among organisations, management processes between the partners to cope with interdependence and a framework of governance to regulate their mutual relationships. It is important to pinpoint that partnerships are based on the premise that there is added value in cooperation and joint action. But, at the same time, there are costs associated in initiating and managing a partnership that have been often overlooked by the first wave of reports on partnerships drafted by international organizations.

Irrespectively of the composition of partnerships, there appear to be four main types of partnerships (Metcalfe, 2002): commercial, professional, administrative, and democratic partnerships. Commercial partnerships, based on exchange and on the negotiation of performance contracts between customer and suppliers. Often these partnerships utilise or simulate competitive market processes in order to secure best value on price, quality and delivery. Professional partnerships are based on know-how and expertise rather than exchange. The basic relationship here is service provided by a professional to client rather than a product/service provided by a supplier to the customer as in the commercial one. Administrative partnerships are based on the extension of hierarchical authorities, between levels of government or from the state to an NGO or to a business. They have much in common with traditional forms of bureaucratic organisation but, instead of being integrated in a chain of command within one organisation, principal and agent are in different organizations. Last, democratic partnerships are based on consensus and participative processes both for joint decision-making and for joint implementation. Metcalfe taxonomy is of particular interest because not only does he lists the four main types of partnerships, but he also investigates the power structure, the organisational roles and the accountability of partners.

Finally, the framework draws on the public networks literature. The concept of public network, defined as a more or less stable pattern of social relations between interdependent actors, first emerged in the mid seventies and early eighties, mainly as a result of the critiques (Scharpf, 1978) to the instrumental logic of goals and means which dominated policy analysis, sustaining that policy formulation and implementation were 'inevitably the result of interactions among a plurality of separate actors with separate interests, goals and strategies' (Scharpf, 1978: 346). Instead, policy analysis had to take into account the inter-organisational network within which policy is made.

Soon the acknowledgement of an inter-organisational approach and of a network was adopted by scholars of public policy and management, both focusing on joint decision-making (Rhodes, 1990, Gage and Mandell, 1990) and on implementation (Sabatier and Hanf, 1985, Agranoff, 1990). The latter was a reaction to the top-down approach (Pressman and Waldawsky, 1975) in which the implementation process was viewed from the perspective of goals formulated by a central actors.

A second wave of scholars investigating public networks has tried to overcome the dichotomy between networks in policy making and in policy implementation and has entered into the hands-on debate on how these networks should be managed (Kickert, Klijn and Koppenjam, 1997, how they challenge the traditional public administration logics (Bogason and Toonen, 1998) and how they operate (O'Toole, 1997). Some have zoomed on networks activation and adaptation (Agranoff and McGuire, 2001, 1998), some on inter-agencies collaboration (Bardach, 1998). More recently scholars have started to question how to solve the conflict of interest implicit in mixed networks (Herranz, 2007) or how to maintain authority and leadership in network (Eglene, Dawes and Schneider, 2007).

This last stream of literature is of particular interest for the purposes of the MULTIPART research project<sup>5</sup>, since it has tried to investigate the dynamics and the process of network functioning and management. Such research agenda, interested in a procedural understanding of how the MSPs are activated, evolve and function, which are the interactions among the stakeholders, how a governance system is put in place and to which extent MSPs deliver the expected results, is really filling a gap, of analytical and practical relevance.

These gaps have been identified in the literature on network management and governance. Starting with Ring and van de Ven (1994: 91), it is has been noticed that 'several research streams provide extremely useful insight on conditions leading to the formation of inter-organisational relationships, and can help researchers make comparative static decisions regarding alternative organisational designs [...]. However, scholars from these research streams have ignored the process. Although knowing the inputs, structure, and desired outputs of a relationship provides a useful context for studying process, these factors do not tell us how a relationship might unfold over time. Process, however, is central to managing inter-organisational relationships.'

Provan and Kenis (2008: 230) have also highlighted,

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<sup>5</sup> The members of the MULTIPART Consortium convened during the Pisa meeting (26<sup>th</sup> and 27<sup>th</sup> June 2008) to discuss the connections between the theoretical framework (WP2) and the research strategy (WP3), have explicitly recognized the importance of including network operations and functioning mechanisms in the conceptual framework for the MULTIPART research.

although networks have been studied from a variety of perspectives, surprisingly little attention has been paid to the governance of whole organizational networks [and that] there seems to be some reluctance among many who study networks to discuss formal mechanisms of control. A common assumption is that since networks are collaborative arrangements, governance, which implies hierarchy and control, is inappropriate.

The next steps of the **MULTIPART** Project, namely drafting the research strategy and conducting the field research, may benefit from four main contributions of this literature stream:

1) The focus on the activation of the MSPs, which 'is a critical component of network management because resources like money, information, and expertise can be the integrating mechanisms of networks' (Agranoff and McGuire, 2001: 298). By investigating MSP activation, researchers should answer such questions as how many and which are the stakeholders that are involved, how and why they establish this common endeavour, which are the drivers and expectations, the resources invested and the risks taken by each stakeholder.

2) The focus on coordination and governance mechanisms of the MSP under analysis. Since MSPs in countries emerging from violent conflict are not necessarily legal entities, the legal imperative for governance is not present as it is for legally established organisations. Thus, some form of governance is necessary 'to ensure that participants engage in collective and mutually supportive action, that conflict is addressed, and that network resources are acquired and utilised efficiently and effectively' (Provan and Kenis, 2008: 231). By investigating MSP governance, researchers should answer such questions as what is the level of trust among stakeholders, how does the MSP find goal consensus among the stakeholders, how is coordination practically achieved (organisational structure and/or coordination mechanisms such as meetings) and whether there is an incentive/disincentive structure in place. Another crucial question is whether the role of network facilitator is exerted by one or more stakeholder.

3) The recognition of the tension between efficiency versus inclusiveness (among the others, Provan and Kenis, 2008, Agranoff and McGuire, 2001, Huxham, 2000). This approach recognises that 'decisions made in networks may simply be better decisions. Not better in the sense of more efficient—there is nothing particularly efficient about making decisions jointly—but better in the sense of being more effective, since, ideally, those involved in any given network are not merely steerers, but stakeholders, suppliers, clients, even customers.' (Agranoff and McGuire, 2001, p.319). In countries emerging from violent conflict the importance of inclusiveness is intensified by the intrinsic goal of reconciliation of any MSP. In such a context, researchers will have to properly address the actual ability of the MSP to deliver on the one hand concrete results, in terms of service, infrastructure or decision instrumental to human security; on the other hand to ensure that the

process of achieving this outcome is, at the same time, promoting inclusiveness and reconciliation. This is likely to create tensions and trade-offs between efficiency and inclusiveness.

4) Last, the research on the MSPs should include some form of processual analysis. As MSPs are not static but dynamic and evolving entities, particularly in a fluid context such as countries emerging from violent conflict, it seems more useful to adopt a processual approach. This has implications for studying the activation, the governance and the outcomes of the MSPs (achieved or expected), as they can change and adapt throughout the existence of a MSP.

#### **C.2.1.2. Multi-stakeholder partnerships in practice**

In practice the call for changing patterns of governance and for enhancing participation has translated into two related phenomena that preceded the recent rise of multi-stakeholder partnerships and therefore, are addressed here briefly as background information. These are 1) participatory policy-making practices and 2) endorsement of various types of partnerships. Importantly, these processes take place both intra-nationally and trans-nationally and are strongly supported by a whole range of external actors and international (donor) organisations.

1) Promoting participation as part of policy making has an almost half a century history. It started back in the 1960s with community development programs both within urban governance especially in the US and UK and as part of development aid (UNDP, 1998). By and large, they entailed soliciting the input of communities on pre-designed policies. In fact, the famous essay by Sherri Arnstein (Arnstein, 1969) was written as a passionate critique of the top-down technocratic manner in which most of community development programs were realised, paying lip service to participation and bringing no real benefit – either in practical material or in normative democratic terms - to community groups.

The 1970s and 1980s saw further elaboration of what participatory policy making meant in theory and practice, and the 1990s are usually presented as a turning point in the way major donor agencies conceived of participatory development (Oakley, 1995, Nelson and Wright, 1995), as for example in terms of various forms of participatory planning and evaluation (Wates, 2000; Chambers, 1994; Chambers, 1983). By today participatory policy making has firmly entered into planning and implementation of programs by various institutions, including the UN, the World Bank and a whole range of big development aid donors (World Bank, 1996).

Even though methods and techniques of participatory policy making are becoming ever more sophisticated, whether or not they deliver on the actual promise of participation remains a

contested issue. MULTIPART should keep a critical eye on whether or not participation is more than a rhetoric device in various MSP cases that it will investigate (for the core participatory principles and literature overview see Annex II).

## 2) Various forms of partnerships and the role of external actors

On the transnational level, MSPs are the result of increasing integration of non-state actors into international politics heralded first and foremost by the UN. As UN Secretary General Kofi Annan said in a speech to the World Economic Forum (1999):

The United Nations once dealt only with governments. By now we know that peace and prosperity cannot be achieved without partners involving governments, international organizations, the business community and civil society. In today's world, we depend on each other.

During the same time period, there was an enormous increase in the number of NGOs accredited to the UN and active in the UN Conference processes. In 1946 for instance, there were only four NGOs accredited; by 1992, this had grown to 928 and by the end of 2000 to over 1900 (Dodds, 2002: 27).

This thinking evolved from arguing for various forms of partnerships to explicitly recognising the primacy of 'stakeholders' for policy-making. The Program Coordination Board (PCB) of UNAIDS, which consists of representatives of donor and recipient countries as well as NGO sector, has been the first UN body to include representatives of affected communities. By today, virtually all UN specialised agencies and subsidiary bodies, especially the World Bank, FAO, UNESCO, WHO, UNDP are engaging in multi-stakeholder partnerships of a sort. These initiatives include both civil society organizations and private actors. This rationale is summarized powerfully by Bertucci:

many of the problems and issues facing humankind at the dawn of the 21<sup>st</sup> Century have dramatic global dimensions. Without taking the global dimension seriously, we muddle about solution hunting at our peril. From global warming to poverty alleviation to economic growth, we are confronted with daunting realities. What happens in other parts of the world affects other parts (1999:37).

Global MSP processes have been heralded as a "new form of multilateral cooperation" (Martens 2007). According to the UNRISD (United Nations Research Institute for Social Developments), some of the most striking examples of MSPs have been activated in recent years directly by UN Agencies and transnational corporations. In turn, they have attracted further actors among NGOs, unions, the academia and, more rarely, local/national governments.

Since 1997, there have been several major developments. These include, for example, the establishment of the United Nations Foundation with a one billion dollar grant from CNN founder Ted Turner; the formation of the Global Alliance for Vaccines and Immunization (GAVI) whose contributors include the Bill and Melinda Gates Foundation; and the Global Compact, which is in the process of enlisting the support of some of the world's largest TNCs and companies in developing countries to promote values and best practices associated with environmental protection, labour standards and human rights. Importantly, many of the global initiatives have spin-offs nationally, sub-nationally or locally. For example, UN Global Compact in-country activities.

Another prominent example is the Global Fund to Fight AIDS, Tuberculosis and Malaria. Composed of governments, civil society, private sector (both business and philanthropy), and affected communities, the Global Fund represents a multi-stakeholder partnership primarily aimed at channelling health funding around the world. It draws on its Country Coordinating Mechanisms in order to ensure most effective provision of funding and its in-country activities go well beyond what a traditional donor organisation would do, including stakeholder dialogues and partnerships for implementation.

The European Commission has been engaged in several multi-donor initiatives. For example, National Strategies for Sustainable Development (NSSD) aimed at improving the understanding of NSSDs and following up on best practices. This initiative and its several national and local spin-offs can be best qualified as "stakeholder forums" and are aimed primarily at information sharing. A parallel initiative - National Councils for Sustainable Development - instead is explicitly aimed at strengthening national and local level multi-stakeholder mechanisms and activities.

Many of these examples show that MSPs have become a preferred funding mechanism for major international, national, and multi-lateral donors. The authors are not aware of MSP examples that emerged nationally, sub-nationally or locally without one or another form of external donor involvement. This remains an interesting point for case selection in Work Packages 4 and 5.

#### ***C.2.1.3. Risks and shortcomings associated with proliferation of MSPs***

Despite the general consensus on advantages of MSPs both in the academic literature and in the practitioners' debate, it is important to pinpoint some of the main risks associated with this kind of endeavours. Zammit (2003), Utting (2006) and Martens (2007) have identified some critical aspects

of multi-stakeholder partnerships, with emphasis on the business-UN partnerships at the global level.

- Such partnerships have to face particular challenges in countries emerging from violent conflict. For example the poor coordination between partners and official entities presents the risk of duplicating the efforts of the democratic institutions and of raising the costs of decision making.
- Status of government (weak institutional capacity and reputation), especially relevant in countries emerging from violent conflict, poses questions about the strength and legitimacy of the government both as a stakeholder and as an authority with regulatory or facilitating powers.
- Fragmentation of governance. The explosive growth of MSPs can lead to isolated solutions, which are poorly coordinated and contribute to institutional weakening of formal governance structures and hinder comprehensive governance strategies.
- 'Dubious complementarity' (Martens, 2007: 5). In this case MSPs end up being considered as replacements of official decision making and service delivery rather than complementary processes. In other words, an unintended consequence could be that governments escape responsibility.

Concerning the operations of MSPs, Martens (2007) has developed a useful taxonomy of possible limits and side-effects:

- Unequal power positions of different stakeholders, MSPs can enhance rather than reduce the influence of more powerful stakeholders by delegating to them agenda-setting and decision-making powers that they otherwise would not have.
- Distorting competition and pretence of representativeness: MSPs tend to be exclusive with regards to non-partners. They might be mis-used by partners for leveraging resources that otherwise would not be available to them. The question of who exactly nominates/selects stakeholders in the activation phase could be one of the ways to deal with this tension during MULTIPART research.
- Unstable financing of particular relevance for MSPs dealing with the provision of public goods.
- Selectivity and governance gaps: MSPs tackle issues selectively, often choosing those with higher resonance and more likely to deliver short-term successes.
- Trends towards elite models of governance: 'Inasmuch as partnerships give all participating actors equal rights, the special political and legal position occupied

legitimately by public bodies is sidelined‘ (Martens, 2007: 6). Issues of legitimacy and accountability.

- Poor linkage to constituencies.

### C.2.2. DEFINING MULTI-STAKEHOLDER PARTNERSHIPS

Multi-stakeholder partnerships represent one of many new pluri-actor forms of governance. The definitions presented below focus on what makes MSPs distinct from other arrangements drawing on stakeholder theories as well as on the theories on partnerships.

Stakeholder approach first developed in 1980s in management and organisation studies literature and was largely driven by the ‘corporate social responsibility’ debate. As captured by Jones, this was a change that brought firms to change their focus from ‘*stockholders*’ to ‘*stakeholders*,’ i.e. thus going beyond a utilitarian relationship between the firm and its environment (1980). The classic Freeman’s definition of stakeholder reads as follows: ‘any group or individual who can affect or is affected by the achievement of the organisation’s objectives’ (1984: 46). Stakeholders are also said to be risk-bearers as ‘without the element of risk there is no stake’ (Clarkson, 1994: 5).

The specificity of MSPs is that they are themselves constituted by stakeholders and the stakeholders’ objectives to resolve a common issue are their primary rationale for existence. In this context, a stakeholder could be defined as:

*Any actor (private or public) who can affect or is affected by the issue that is to be addressed.<sup>6</sup>*

This has two conceptual implications: first, MSPs are expected to emerge around concrete pressing issues in a spontaneous and creative manner often cutting across the traditional policy categories, and second, MSPs are constituted of a variety of public and private actors, thus reconfiguring the relationships between the state, private sector and the public, shifting the boundaries of the public sphere itself.

In drafting the conceptual framework and the research strategy, as well as in conducting the field research, the Multipart Consortium defines

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<sup>6</sup> An obvious parallel here is to the so called ‘principle of stakeholding’ refers to including in decision-making and decision-finding ‘those affected by, causing or having a stake in the issue at hand’ (Held and McGrew, 2002)

*Multi-stakeholder Partnerships (MSPs) as arrangements that bring together several stakeholders - i.e. actors (private or public) that have a shared interest in the outcome and demonstrate some degree of ownership<sup>7</sup> - to address a particular issue.*

Ownership describes a relationship within an organisation that implies an investment of certain types of resources and a degree of participation in decision-making. By conferring financial, human or material resources actors become partners of an MSP and, as such, share the risks inherent to this endeavour. Material resources include, but are not limited to, skills and know-how, legitimacy or responsibility over a certain service/function. Ownership as degree of participation in decision-making implies that stakeholders are or can be proactive in setting the agenda for the organisation, have a voice in its discussion, and can have their preferences translated into certain decisions. Therefore MULTIPART conception of ownership is different from understanding 'ownership' as hierarchy, i.e. as privileged access to resources and gate keeping. It is close to (though not identical to) the notion of ownership largely used in the literature on democracy and democratic models, i.e. ownership as the quality of participation in non-hierarchical modes of governance (Held, 1995; Held and McGrew 2002).

Depending on the nature of the problem, each MSP is formed by a customised constellation of relevant stakeholders. The issue of who is a relevant stakeholder is far from straightforward and several attempts have been made at developing typologies. For example, in the field of management Mitchell et al. offer a typology that classifies stakeholders according to their power, their legitimacy, and the urgency of their claims with respect to the organisation (1997). Another widely used distinction is between 'primary', 'secondary', and 'external' stakeholders. Primary stakeholders are those who benefit from an activity, for example, community groups. Secondary stakeholders are essentially various intermediaries, for example, a Ministry or a UN body. External stakeholders are actors who are not formally involved but may impact or be impacted by an activity. At the heart of these otherwise different debates, there is a common aspiration to define social, political, and economic actors on the basis of a new type of relationship – one that is driven by shared risks, benefits, and responsibilities with respect to a particular issue of common relevance.

The authors of this report in the course of collaborative work and discussions decided not to adopt any specific typology of stakeholders according to their relevance or importance other than the guidance implicit in the definition of MSP as based on shared interest and ownership. It was

<sup>7</sup> The concept of 'ownership' has been developed by the researchers in work packages 2 and 3 as a result of discussions and brainstorming sessions during coordination meetings in Pisa and in Bradford on 26-27 June and 15-16 September, respectively. It has to be stressed that this is an operational concept developed analytically for the purposes of this research.

agreed that in each MSP selected for in-depth case study, stakeholders will have to be classified given the nature, goals and priorities of the specific MSP as well as its processual characteristics such as activation, governance and coordination mechanisms .

In terms of *output*, it is claimed that MSPs can deliver a range of positive outcomes – from more effective and efficient solutions of a problem at hand to a positive contribution towards transforming modes of collaboration and trust in the society and possibly having an impact on the governance structure as a whole (Cf. Innes and Booher, 2003). From this perspective MSPs can become a promising mechanism for countries emerging from violent conflict as they are argued to be especially productive when dealing with complex and dynamic environments and (potentially) controversial issues.

In addition to Multi-stakeholder Partnerships (MSP), it is important to highlight that many other labels are used to describe 'governance structures that involve cross-organisational working' (Huxham, 2000: 339) or 'multilateral collectivities' (Provan and Kenis, 2008: 231). They include, but are not limited to, 'alliances', 'collaboration', 'coordination', 'cooperation' and 'multi-party working'. New Social Partnerships - a term that describes 'people and organisations from some combination of public, business and civil constituencies who engage in voluntary, mutually beneficial, innovative relationships to address common social aims through combining their resources and competencies' (Nelson and Zadek, 2000:14).

Similar types of governance structures include (multi-sectoral) networks, tri-sectoral partnerships or tripartite mechanisms (tri-partition), and stakeholder processes or forums. Networks are multi-sectoral collaborative alliances, often involving governments, international organisations, companies and NGOs. Tri-partition refers to so-called tri-sector partnerships between business, government, and civil society (for example, the initiatives driven by Business Partners for Development network). Certain examples of networks and of tripartite partnerships could be classified as MSPs.

As for the term 'stakeholder processes' or 'stakeholder forums,' which is widely used at the UN bodies, and 'multi-stakeholder dialogues,' which is a term preferred by the European Commission, even though they fall under the broad umbrella of multi-stakeholder partnerships, it has to be emphasised that these MSPs are essentially limited to consultative roles given to non-governmental actors in the decision-finding process. As summarised by Dodds:

Stakeholders know they are not elected and are not asking for a seat at the table to vote on agreements. What they want is the opportunity to present their ideas and expertise. Governments, as (in most cases) the elected representatives of the population, should make

the final decisions on global regimes. However, those decisions will be better informed, more rooted in reality and more likely to be implemented on the ground if all the relevant stakeholders have been involved in the discussions. This also applies to decision-making at local and national levels. Governments, national or local, should make more informed decision-making by involving stakeholders. They may also find more of the policies actioned if they involve stakeholders (2002: 34).

A prominent example would be UN Commission on Sustainable Development - a platform for stakeholder engagement. These MSPs tend to have high profiles and are sometimes seen as *the* multi-stakeholder partnerships. Therefore, care has to be taken in order to include MSPs that pursue other objectives and have other functions.

The MULTIPART adopts consistently the term MSPs. Yet, the partners have agreed to take full advantage of such variety of contributions without regard to the label that scholars, practitioners and individuals refer to those arrangements whenever it helps the project to clarify its approach.

### C.2.3 MAIN CHARACTERISTICS OF MULTI-STAKEHOLDER PARTNERSHIPS

Multi-stakeholder partnerships can be described and classified according to several main characteristics. Here we refer to composition characteristics without going in much detail into operational features of MSPs. Below we briefly deal with the following main characteristics: 1) actors involved, 2) subject or issue area, 3) function, 4) geographic range, 5) time scale, 6) degree of institutionalisation.

1) *Actors involved*: this refers both to the number and diversity of its partners.

MULTIPART offers a taxonomy of actors that is in essence a division, i.e. between public, private, and civic sector. We follow the argument that pertaining to a particular sector, an actor has primary functions as well as a set of core resources – both material and no – that are distinct from those of other sectors. In defining each category of actors, we follow very broad definitions of each sector.

- Public actors include governments and public bodies with different levels of jurisdiction, whether national, regional or local/municipal, e.g. from national ministries to local councils and public entities, such as schools or hospitals. Participation of these actors in an MSP is crucial for ensuring the minimum level of coordination between the MSP and the state and a recognition of its activities (this does not necessarily imply approval but refers to dialogue). In addition, participation of public actors secures (mostly institutional/administrative)

resources that are available only and exclusively to the state. In the context of countries emerging from conflict, it is possible to argue that some bodies may be ‘public actors’ even if not officially recognised as such by the national government, but this should be regarded as exceptional for MULTIPART

- Private actors are entities that are not controlled by the state, including industries, corporations, business organizations and private foundations that are closely associated with them. Private actors may often be relatively better equipped in terms of financial as well as managerial resources.
- Civic actors – recognizing the contested nature of the term and a multitude of existing definitions – MULTIPART follows the most inclusive definition of civil society as non-governmental voluntary organizations that pursue primarily public (as opposed to private) goals. Civic actors refer to civic organizations of different types, including but not limited to NGOs, community and grass-roots groups, umbrella organizations, academic groups and networks, professional organizations, and trade unions. This type of actors is generally richer in human, information, and symbolic resources and can have an advantage in accessing communities marginalized either geographically or politically.

The role of international organisations. These can include various types of charitable organizations, bilateral and multi-lateral aid agencies, NGOs, and corporations. In other words, international organisations could be public, private or civic. Nonetheless, it is recommended that these actors are kept in a separate category for the purposes of preliminary ‘mapping’ of MSPs and their stakeholders as their primary locus of activity is international. Therefore, they remain ‘external’ to the governance structures of a given country, even if they have a local branch or office that has a significant impact on the social, political or economic sphere.

## 2) Issue area

A particular feature of MSPs is that they usually emerge around a particular issue that often requires holistic cross-sectoral solutions. The practical implication for MULTIPART researchers is that they could find it difficult to isolate specific issues and might need to face more complex and intertwined problems that regard overall subject areas under study: a) security, b) social and economic development, c) democracy, good governance, and the rule of law, d) confidence-building, reconciliation, and inter-communal bridge building.

## 3) Function.

Following a review of literature (Martens, 2007, Hemmati, 2002), we distinguish the following core functions usually fulfilled by MSPs. It should be noted that every given MSP can combine various functions as well as shift from one primary function to the other in the course of its history.

- Advocacy (influencing political and civil discourse), including towards acceptance and fulfilment of international norms, regulations, and standards;
- Information dissemination and independent analysis;
- Creating platforms for dialogue (or forums) among a variety of actors on an issue (or a range of issues);
- Financing (mobilizing private and public financing);
- Coordination (coordinating state and non-state activities in a particular setting);
- Implementation (technical cooperation and service provision).

It is interesting that depending on the function one or another label for an MSP is more diffused in literature or practice. For example, so-called 'multi-stakeholder processes' are most often used in relation to such functions as information dissemination and informing a policy-process, dialogue and consensus-building, whereas partnerships for implementation are more often described as policy networks or tri-sectoral partnerships. Not all of these phenomena are MSPs according to the definition adopted by MULTIPART, however, given the scarcity of theoretical work on MSPs, their respective typologies and models should be drawn upon where applicable.

4) *Geographic range:* MSP processes can take place at the global/international, regional, national, sub-national or local levels. These levels are not always easily separable as some initiatives (e.g. World Commission on Dams) operate on several levels simultaneously and introduce feedback loops between levels. In addition, some local initiatives may represent a spin-off of the global initiative. These distinctions may become even more blurred in the areas emerging from violent conflict where the national borders and the notion of statehood itself are contested.

5) *Time scale* may vary considerably depending on the scope, level, and goals of an MSP. These can be one-off initiatives aimed at a particular event, for example for advocacy purposes, such an initiative would consist of a preparatory phase, an event itself, and a wrap-up in the form of reports and publications. In this case an event itself is not necessarily a single event but a series of events that take place at different institutional or geographical levels. One-off initiatives can grow into a longer-term process through a series of follow-up initiatives. Finally, there are on-going processes

that are not created with a particular closure date in mind, the UN Global Compact being a prominent example.

6) *Degree of institutionalization* can be low, medium or high. Institutionalisation refers to a certain type of governance structure that could be characterised by the presence and character of the following structures: secretariat or a similar body, specifically dedicated platform, constitution and bylaws, governing bodies or executive committees, coordinating groups or umbrella institutions. Governance structures can be multi-layered with higher degree of institutionalisation on one level and lower on the other.

#### C.2.4. MULTIPART CRITERIA FOR MULTI-STAKEHOLDER PARTNERSHIPS

In order to narrow down the scope of MULTIPART research, we offer below a set of operational characteristics that should guide MULTIPART case selection. Some of these compositional features are ‘must haves’ for a partnership to be considered an MSP suitable for the purposes of MULTIPART Project. Others represent a continuum, along which specific MSPs could be placed, the more variation is obtained across MULTIPART in-depth case studies the richer findings are likely to emerge. This taxonomy provides the basis for case selection guidelines elaborated in Chapters D.5. and D.11. of this report.

##### MULTIPART ‘Must Have’ Criteria

1) *Actors*. For an MSP to be selected for MULTIPART research, there should be at least three types of actors, e.g. public, private or civic, and the involvement of at least one public sector actor is required. By a public sector actor MULTIPART refers to any type and any level of operation, e.g. ministry, municipality, public school, public commission and so on. The presence of ‘external’ actors, i.e. different types of international organisations is not a core requirement. It is however, recommended that wide variation on this characteristic is assured during the case selection for in-depth case studies. In other words, an ideal total set of MSPs studied in-depth by MULTIPART would include for example, a case with an external civic actor, one with an external private actor, another with an international organisation like a UN agency, and yet another without any external presence at all (the latter case is probably not very diffused in the countries emerging from violent conflict, where international presence is high). As for the number of actors involved, a lot depends

on the primary function of an MSP. MULTIPART does not have an explicit preference for MSPs with large number of stakeholders but considers actor diversity an important characteristic. It is up to MULTIPART researchers to classify a partnership as an MSP, even if it does not call itself like this. Similarly, not every partnership calling itself an MSP, corresponds to MULTIPART selection criteria.

*2) Geographic range.* MULTIPART will focus on MSPs that are aimed at promoting the solution of one or more issues of national, regional or local interest within a specific country, though this might entail the inclusion of international players. In other words, MULTIPART is not so interested in transnational MSPs that aim at addressing global issues and problems through the inclusion of networks of public, private and/or non-governmental players in different countries.

*3) Time scale.* MULTIPART will focus on MSPs that have had a life cycle of at least two years. This is clearly indicative and it remains at the discretion of MULTIPART researchers to ground their choices of case studies that have operated for a slightly shorter period. MULTIPART does not exclude the possibility of studying MSPs that have already concluded their operation, provided that it happened at a reasonable time lap.

*4) Operation and degree of institutionalization.* MULTIPART is only interested in MSPs that are (or were) operating in this quality and are (or were) engaged in substantial activities relevant to their primary goals. A minimum degree of institutionalization is another necessary requirement. This does not imply necessarily a legal or contractual agreement between partners but rather that there is at least an identifiable and real form of governance.

### MULTIPART variable features

*1) Issue or subject area.* MULTIPART will group issues under study according to four issue areas: 1. security, 2. social and economic development, 3. governance, and 4. reconciliation.

*2) Function.* MULTIPART researchers should be aware of the fact that MSPs can potentially fulfil a whole variety of functions. Therefore, when short-listing possible candidates for case selection, MULTIPART researchers should reflect on whether certain functions are performed by most MSPs, while others are not or little. The emerging tendency, along with contextual specificity of each case, could become a finding in itself that describes the nature of MSPs operating in countries emerging from violent conflict .

### C.3. The context of research: Analysing and assessing conflict processes

*Owen Greene*

This chapter aims briefly to review current research understandings of a key issue area for the MULTIPART project – analysing and assessing conflict processes - and to identify and develop an appropriate set of terms, concepts and analytical approaches to the issue area for the purposes of the Project. These aim at being both ‘robust’ - in the sense that they are acceptable to project partners that may take a variety of distinct positions in this contested area of analysis – and customised for the purposes of the MULTIPART Project. As would be expected, this chapter relates closely to the definitions and brief outline for conflict assessment and conflict sensitivity provided in chapter B.2. on which it elaborates.

As noted in chapter B.2., conflicts and tensions are intrinsic to all societies, and inherent in beneficial development and political transition processes. However, where they become violent, or where people fear violence, such tensions become destructive and damaging.

This chapter focuses on issues and processes relating to violent conflict, or risks of violent conflict. It briefly reviews current research understandings and debates on conflict processes and how to analyse and assess them. There is a wide variety of approaches and theories, and many ongoing debates. Here we provide a brief review of the literature, focussing on identifying and outlining some key issues, analytical approaches, and areas of contestation amongst researchers.

The chapter discusses and identifies key issues relating to analysing conflict processes for the MULTIPART Project. As discussed in chapters B.1. and B.2., the primary research questions for MULTIPART raise issues such as:

- What are the roles, significance and impacts of different types of MSPs on post-conflict conflict reduction, peacebuilding, reconstruction and human security?
- How do MSPs form, develop and operate in countries emerging from violent conflict, and to what extent does their composition and internal characteristics affect their role, significance and impacts?
- How has the EU and other external actors affected the development, roles and effectiveness of MSPs in countries emerging from violent conflict; and how could EU and other external aid and practices enhance the contribution of MSPs to peace-building and human security in the future?

In this context, it is clear that analyses and assessments of conflict risks and processes will be important in research for the MULTIPART Project. They are important for addressing virtually all of the primary research questions presented in chapter B.3.

Key requirements for the MULTIPART Project from this chapter include:

- shared frameworks for characterising and analysing risks and opportunities of violent conflict and conflict prevention/resolution in each country emerging from violent conflict under project investigation;
- shared approaches for assessing the role, significance and impacts of MSPs in a dynamic context of changing conflict risks and opportunities;
- shared frameworks for examination the ways and extent to which MSPs affect the ‘conflict sensitivity’ of post-conflict programmes and activities;

### C. 3.1. ANALYSES OF CONFLICT PROCESSES

#### C.3.1.1. *Overview*

There is a vast literature on the causes, dynamics and risks of violent conflict. Until relatively recently, theories of risks of interstate war, civil war, and large-scale societal/communal violence have tended to be distinct.

Many studies or schools of thought have focussed on establishing that specific single factors (or types of factors) are normally important – often by exaggerating their case (Holsti, 1996). Against these, many other studies have emphasised the complexity and importance of specific context (Van de Goor, 1996). Virtually all detailed case studies of wars and violent conflicts emphasise the significance of contingency, path-dependency, and of dynamic combinations of several factors contributing to (or mitigating against) violent conflict (Ramsbotham et al, 2005). In each of the three broad conflict categories (inter-state war, civil war, and large scale societal violence) there was an emerging consensus that structural factors shape and constrain conflict risks and dynamics, but they rarely determine whether violent conflict actually emerges, or how it runs its course.

Since the 1990s, the trend has been to emphasise the linkages and overlaps between these categories of violent conflict, and to seek analytical frameworks that are adapted to a more integrated analysis. This development, associated with increased attention on complex conflicts have been characterised by some as ‘the new wars,’ or ‘contemporary complex conflicts’ (Kaldor,

1999; Munkler, 2005). Many of the characteristics of such ‘new wars’ can in fact be traced back through the centuries in many parts of the world, particularly in the eras before formation of strong unitary states. However, they combine in modern ways, and are influenced by contemporary processes of globalisation; transnational organised crime; and growing UN and other international engagement through peace support missions.

Examples include recent conflicts in a range of countries and regions, including: the former Yugoslavia; the Mano River (Sierra Leone, Liberia, Cote D’Ivoire); Great Lakes region (DRC, Rwanda, Burundi, etc); Horn of Africa (Somalia, Sudan, Ethiopia, Uganda, etc); Caucasus (north and south); Fergana Valley/Central Asia (Tajikistan, Kyrgyzstan, Uzbekistan etc); South West Asia (Afghanistan, Pakistan); Colombia; Nepal; East Timor; Pacific Islands (Solomon Islands, Papua New Guinea, etc).

Many of these have been civil wars, or complex transnational conflicts in which several interlinked conflicts overlap. The characteristics of these civil wars vary greatly, according to specific local contexts and histories but they share a number of important characteristics (see, for example, Greene et al, 2006, Marshall and Gurr, 2005). These include:

- A multiplicity of armed groups, with irregular militias and guerrilla armies featuring prominently in the conflict, dependent on predatory exploitation of local communities: the state armed forces have tended to be fragmented and undisciplined;
- Extensive use of border regions, taking advantage of weak state controls of these areas; with substantial direct or indirect involvement of neighbouring states;
- Low respect for rules of international humanitarian law, with wide use of child soldiers and torture: civilians have been a high proportion of the direct as well as indirect casualties of war;
- High degree of manipulation and reflection of ethnicity and tribal loyalties by conflict parties, and also of progression of local civilian defence militias into conflict parties;
- Armed conflicts that are sustained and partially motivated by trafficking of natural or mineral resources; with a key role for regional and international flows of arms, particularly small arms;
- Relatively high UN or other international/regional engagement, including peace support missions: large enough to become a major factor in the conflicts but often too limited or constrained to decisively affect the course of the conflict.

In many cases, neighbouring conflicts have overlapped and inter-acted so substantially that it is better to regard the conflict area as a sub-regional ‘conflict complex.’ The recent wars in the Mano River area in West Africa, Sahara-Sahel, and Great Lakes sub-regions are good examples.

The complexity and variety of such contemporary conflicts has implied a need for analytical approaches that can encompass a wide range of types of factors, and guide their use to conduct specific conflict analysis. In this context, there have been a number of different proposed ways of categorising factors that affect conflict risks and of the ways in which they interact. Briefly, these include:

- ‘Root causes,’ proximate/triggering factors, and symptoms of conflict;
- Attitudes; actor behaviour; underlying structural causes (Galtung, 2004);
- Actors, structures, and dynamics (many variants by different authors, e.g. DFID, 2002);
- Political economy (of conflict) – ‘greed’ versus ‘grievance’, ‘resource curse’ (Collier 2000; Collier and Hoeffer 2004, Jacobbeit 2006, Berdal and Malone 2000);
- Dynamic balance between factors contributing to conflict and conflict prevention/management/resolution (Bush, 1998).
- Preconditions and correlates for protracted social conflict (Aznar, 1990).

Each of these differing frameworks overlap, and make no fundamental distinctions between local, national, transnational, regional and international factors. There are on-going cross-cutting debates about the relationships between conflicts and other factors such as: poverty, inequality, democratisation, demography, arms availability, expectations, and good governance.

The distinction between ‘root’ (or underlying) and proximate causes of violent conflict is widely used. Many find it attractive, partly because it highlights the importance of taking structural factors (such as poverty or governance) into account, and partly because it strengthens security arguments for taking action on issues of public concern that they already prioritise.

However, this distinction has proved to be highly problematic in practice. This is particularly true once a conflict dynamic has developed, where distinguishing between ‘root’ and proximate causes can often become a ‘chicken or egg’ argument (‘which came first: chicken or egg?’). The conflict dynamic itself shapes (and can transform) structural factors and their significance. This is particularly true of the ‘post-conflict’ context on which the MULTIPART Project will focus: countries emerging from war face risks of renewed conflict that are profoundly shaped by the recent experience of conflict itself.

Moreover, the ‘root cause approach is sometimes wrongly understood to imply that action on the root cause is an effective approach to ending conflict once violence starts. We therefore propose to downplay the ‘root cause’ concept in the MULTIPART Project.

Aznar’s protracted social conflict model has proven fruitful, particularly in circumstances where profound social divisions have been progressively developed and reinforced over a long

period of time (Azar, 1990). It provides particular insights for understanding the challenges of managing and resolving so-called ‘intractable conflicts.’ For our purposes, it helps particularly to emphasise ways in which social, cultural, economic, political and institutional factors contributing to conflict can often become mutually re-enforcing and interlocking.

The political economy of conflict approaches provide many important insights. It is clear that economic factors play a major role, including competition for resources. Some years ago, there was a prominent debate about the relative importance of ‘greed’ and ‘grievance’ in initiating, driving and sustaining violent conflict (see, for example, Berdal and Malone (eds) 2000). However, the conclusion of these debates is probably quite simple: each of these factors *can* be important (amongst many others), depending on the context (Jacobeit, 2006). It is clear that mineral resources have been important in several recent complex conflicts. Experience in Sub-Saharan Africa and elsewhere has reinforced the view that mineral wealth (oil, metals, diamonds, timber, wild-life, etc) can be a curse rather than a blessing. Violent conflict has been more rampant in countries that are rich in natural resources than in those that have resource scarcity. World Bank econometric studies have indicated that developing countries are more than twice as likely to experience armed conflict if more than 25% of their GDP comes from production and trade of mineral resources or timber (Collier, 2000).

The availability of rich natural resources creates incentives for conflict. The types of factors involved include: (Greene, 2006).

- *Rent-seeking* – control of territories rich in resources create opportunity to gain ‘rents’ from their exploitation. These create greed-based incentives for taking such control.
- *Grievance* – resource wealth can generate grievances that can contribute to the outbreak of armed violence.
- *Economic instability* – high dependence on the export of natural resources can be associated with complacent neglect to diversify the economy, and makes economies highly vulnerable to external trade shocks.
- *Conflict Financing* – once violent conflict begins, the availability of rich natural resources can help to finance the continuation of the conflict.
- *Encouraging ‘spoilers’* – where the continuation or exacerbation of conflict offers opportunities for continued enrichment, some individuals and groups will act as ‘spoilers’ and try to obstruct or undermine efforts towards peace.

However, there are many conflict-prone countries where such ‘political economy of natural resource’ factors are almost certainly not primary drivers of conflict. Thus, their significance should be assessed on a case-by-case basis.

### **C.3.1.2. Conflict analysis after wars end**

Conflict analysis and assessments are as important in countries that have recently emerged from war or large scale armed violence as in countries at other phases of the (so-called) conflict cycle.

After either military victory or a negotiated peace agreement, the conflict context passes officially to a ‘post-conflict’ phase, at which point the UN and other international and regional bodies may establish post-conflict peace support missions to support stabilisation, re-construction and peace-building.

However, it is well established that the risks of armed violence are particularly high in countries that have recently emerged from war (ICRC, 1999). This is not surprising. Virtually all of the main theories or analytical frameworks for ‘complex conflicts’ would predict this. Violence often continues at high levels even after the official end of war. Conflict parties mostly continue to pursue their differences in the new ‘post-conflict’ context. The structural factors, actors, attitudes, and fears typical of war-torn countries both pose conflict risks and limit societal or institutional capacity to prevent renewed conflict.

It is tempting to aim at developing specific analytical frameworks for conflict analysis for countries emerging from armed conflict, which take specific account of the characteristics of a ‘post-conflict’ environment. However, there are good reasons to resist this temptation. In practice, characteristics of post-conflict environments vary greatly and attempts to distinguish these categorically from other ‘conflict prone’ societies are highly contestable. Moreover, it is unnecessary: good ‘general-purpose’ conflict analysis frameworks can be used effectively in countries emerging from violent conflict.

## **C.3.2. THE ANALYTICAL FRAMEWORK FOR CONFLICT ANALYSIS AND ASSESSMENTS TO BE USED IN THE MULTIPART PROJECT**

In summary, the following overall approach is proposed for conflict analysis in the MULTIPART project. MULTIPART researchers should assume that the causes and drivers of risks of violent conflict in the war-torn societies that they research are complex, multiple, and often mutually

reinforcing. They relate to perceptions as well as ‘objective’ factors, and to dynamic identity politics. They are intimately related to development issues, understood broadly to include political, economic and social development and issues of governance, human security, and sustainability. There are almost always many factors contributing to conflict. The key is how they combine and develop. These factors include:

- underlying or ‘structural’ factors (such as ‘weak’ states, social/ethnic division or exclusion, bad or authoritarian government, inequality, violent crime, impunity, inadequate institutions or social services, bad laws, environmental scarcity);
- the interests, relations, capacities, perceptions, ‘identities’ and agendas of relevant actors (such as political parties, military, corrupt elites, warlords, criminal organisations; terrorists, external powers, aid agencies, companies, civil society groups);
- dynamics (such as impacts of disasters, elections, reform processes challenging interests, scandals, identity politics, fiscal reforms, migration, terrorism).

None of these factors on their own necessarily leads to violent conflict. Most conflict processes are highly dynamic, and are driven by complex and shifting combinations of several factors and actors. Conflict analyses consist of detailed examinations of the structural factors and actors, and how they all combine in relation to conflict dynamics.

This recommended overall framework for conflict analysis and assessment has the advantage that it is relatively open and robust. It makes few pre-suppositions about the primary causes or drivers of such conflict, except that there are typically many contributing factors and the focus of analysis is to identify and assess each of them and then examine the ways in which their dynamic interaction drives conflict processes and risks. The approach is well-tried, and used by a range of conflict analysts, government agencies and NGOs (e.g. Goodhand 2000; Saferworld/International Alert 2005; DFID, 2002)

### **C.3.2.1. Conflict analysis**

Thus the recommended framework for conflict analysis seeks first to identify and assess:

- Significant *underlying or structural factors*, which contribute to (or mitigate against) the risks and processes of conflict in the region concerned;
- Important ‘*actors*’ (their interests, attitudes, perceptions, capabilities etc), and their roles (and potential roles) in contributing to, or mitigating against, conflict in the country/region concerned.

It then aims at examining the *dynamic inter-relationships* between the structural factors and actors that are assessed to be important; to identify the most important overall risks and drivers of conflict.

In each case, the ways of identifying and characterising ‘actors’ will sometimes be debateable. For example, to what extent can certain institutions be considered to be actors? In some circumstances, for example, it makes sense to consider the EU, Germany, the UN, or ‘the government’ to be a single actor. In other cases, they may be better considered to be an institutional framework within which several actors operate. This framework leaves such judgements to the researcher, to be decided according to their requirements and to the specific context. The only overall guidance is that, where in doubt, disaggregate. In each country, many potentially significant actors can readily be listed – the task is to assess which are most important in relation to actual or potential conflict risks and processes.

In countries emerging from armed conflict, there are typically a range of local and regional actors (and types of actors), which have already become identified with specific interests, capabilities, affiliations and attitudes towards violent conflict and conflict prevention/peacebuilding. It is particularly important to be sensitive to the ways in which these may have evolved in the post-conflict environment, and also to be alert to new and emerging actors and coalitions and to the dynamics of communal affiliations and identity politics.

Similarly, the category of ‘structural factors’ is complex, and could be divided into a number of sub-categories. Examples of these include:

- *Geographical and historical contextual factors*, including the history of past conflict processes (or legacies of previous unresolved conflicts), where they shape or constrain current actors, institutions or social relationships;
- *Social factors*, including marginalisation, exclusion, divisions relating to language, religion or ethnicity, ‘identities’ and identity formation, characteristics of civil society, class or caste divisions, demographics; cross-border social links, customary/traditional sources of authority;
- *Economic factors* including: patterns and trends of poverty, unemployment, inflation, access to resources and social services, economic inequalities (and extent to which these align with social, political or security divisions), macro-economic instability or vulnerabilities, large or growing black market, transnational trade and trafficking, vulnerability of natural resources to rent-seeking or capture;
- *Political factors*, including: weakly institutionalised or unrepresentative political system, bad government, weak government capacities, oppressive state, corruption, democratisation or problematic electoral processes; structures and characteristics of political parties,

clientelism, characteristics of the media (controlled, divided, irresponsible), political manipulation of ethnic or social divisions, ideological divides, political exclusion on basis of gender, age, ethnicity, availability of legitimate or effective decision-making or conflict resolution mechanisms;

- *Security factors* including: characteristics and capacities of military, police, judicial, intelligence, border or other security institutions; access to justice and dispute resolution mechanisms; poorly controlled borders, levels and characteristics of social or criminal violence, human rights status, political use of violence, availability of arms, unstable regional or cross-border context, influence of criminal gangs, vulnerability to transnational criminal or terrorist groups.

Obviously, there are many potential structural factors contributing to risks of conflict (or mitigating against conflict and contributing to peacebuilding) in any country and society. In each case, trends need to be considered as well as current patterns or structures; and structured perceptions of such factors need to be taken into account as well as ‘objective facts’. The objective is to identify the most important actual or potential structural factors (or combinations of structural factors) in the relation to conflict risks in the country concerned.

In countries emerging from armed conflict, it is particularly important to ensure that structural analyses are up-to-date, and take into account changes that took place during or as a result of violent conflict.

Finally, the analysis of ‘dynamics’ is similarly open-ended. The aim is to identify specific processes by which combinations of structural factors and actors may inter-relate in ways that pose particular risks of initiation or escalation of conflict. Virtually all countries have a range of structural factors that lead to conflict vulnerabilities, and at least some actors interested in exploiting these; and yet overall risks of violent conflict are often low. Potentially good foci for analysis of dynamics in this context are:

- Trigger events (such as elections, food price rises, leadership transitions) which may stimulate processes of violent conflict;
- Primary drivers of conflict or change: the most powerful coalitions of actors or structural processes that can determine or obstruct processes of change with implications for violent conflict.

In countries emerging from armed conflict, trigger points and key drivers of peace and conflict are likely to be associated substantially with the programmes and processes associated with post-conflict stabilisation, peacebuilding and reconstruction themselves, as well as with the ways in

which so-called ‘spoilers’ try to undermine or obstruct peacebuilding efforts. International actors, including the UN, will often be key factors in their own right or in re-shaping existing coalitions.

MULTIPART researchers have discretion in the specific ways in which they choose to conduct and use such conflict analyses, provided that they stay broadly within the frameworks outlined above. In the three countries where the Project will conduct its in-depth case studies it will be important to have at least a basic agreed conflict analysis assessment to which all MULTIPART researchers can refer.

Research on specific MSPs can then develop specific aspects of this basic conflict analysis for the specific purposes of case study analysis. For example, an MSP may have played a specific role in mitigating a key structural factor; or affecting the interests, capabilities or attitudes of a number of conflict actors; or reducing the risks associated with specific trigger events (such as election or disarmament processes). The significance of these effects can only be assessed in the context of a relevant conflict analysis (what might have happened if the MSP had not operated or acted differently; etc?).

### **C.3.2.2. *Conflict assessments***

As noted in chapter B.2., MULTIPART researchers are advised to distinguish between ‘conflict analysis’ and ‘conflict assessment.’ Conflict assessments include conflict analysis, but then build on them to:

- Analyse the likely peace and conflict impacts of possible policies, programmes and interventions (including aid programmes) designed to respond to the conflict processes; and thus provide the basis for peacebuilding strategies;
- Identify and assess the extent to which policies and programmes are ‘conflict sensitive’, taking into account the conflict analysis and other relevant programmes and interventions.

Although logically distinguishable, these phases interact. The process of developing a good overall conflict assessment is generally iterative. Analyses of the likely impacts of possible programmes for conflict reduction and peacebuilding will generate new or refined questions and insights relating to the conflict dynamics, which in turn deepens understanding of likely impacts of local initiatives and aid programmes to contribute to peacebuilding and human security.

Such assessments are important for MULTIPART, for example, in assessing the roles, significance and impacts of MSPs in countries emerging from armed conflict in relation to conflict reduction and peacebuilding.

### C.3.2.3. *Conflict Sensitivity*

As discussed, the possible effects of MSPs on conflict sensitivity of policies and programmes are particularly important for our project. It is therefore important at least to clarify and agree key terms and assessment strategies in this context (Anderson, 1999; Greene and Veinings, 2006).

*Conflict sensitive policies, programmes and practices* are those that are carefully designed and implemented to:

- avoid or reduce the possibility of unintentionally exacerbating or contributing to processes or risks of violent conflict; and
- take opportunities to help to prevent or reduce violent conflict and to promote peace.

In order to adopt this approach, those responsible for design and implementation need to:

- Understand the context in which they are operating, particularly conflict dynamics;
- Understand the likely interactions between the proposed policy or programme activities and the country or regional context, particularly in relation to peace and conflict issues;
- Act upon these understandings to design and implement the relevant programmes so that they do no harm (in relation to violent conflict) and where possible positively contribute to conflict prevention and peace building.

All this is easier said than done. The country contexts and their associated conflict risks are typically complex. So too are their possible interactions with policy or programme activities (Anderson, 1999). Developing necessary understanding can demand considerable time and resources. Acting on this to design and implement appropriate programmes that achieve both the direct and peacebuilding goals may require institutional capacities and skill-sets that most internal and external actors in the country of concern do not adequately possess.

It is possible that MSPs may have characteristics that promote conflict sensitivity, or that some types of MSPs can contribute more than others to promoting or ensuring conflict sensitive policy or implementation. In this context, it is relevant for MULTIPART researchers to conduct conflict sensitive assessments of the MSPs themselves or of the policies or programmes that they aim to promote or implement.

In practice it is not necessary for an MSP or its partners to have comprehensive reliable understanding or fully developed institutional capacities before embarking on a conflict-sensitive intervention. Provided that the MSP has an approach of active learning and appropriate consultation and responsiveness, these can develop over time as the partnerships and processes mature.

Such conflict sensitivity assessments basically divide into two types:

- assessments of the extent to which the aims and design and implementation plans of the policies and programmes promoted by the MSP were well-adapted to minimising risks of ‘doing harm’ and taking opportunities to promote peace-building (and human security);
- assessments of the extent to which the MSP specifically took account of possible peace and conflict impacts in its planned activities, and took sensitive account of emerging concerns and risks during implementation.

Both of these types of assessments need to use an overall conflict analysis to examine and assess risks and opportunities raised by the MSP’s plans and activities.

### C.3.3. PRACTITIONER APPROACHES TOWARDS CONFLICT ASSESSMENTS

In relation to approaches to conflict analysis developed by EU institutions and members, the EU as a whole has not adopted a specific approach towards conflict assessments, except to emphasise their importance. Some ministries of EU member states, including the UK, Sweden, Netherlands, and Germany have developed or adopted preferred methodological approaches, with DFID’s ‘strategic conflict assessment’ guidance being particularly influential (DFID, 2002). The approach recommended in this paper for MULTIPART is itself close to this approach. Others have adopted models proposed by other institutions, such as the World Bank (World Bank (see Annex IV).

The European Commission’s adopted guidance for conflict analysis is relatively rudimentary. It attempted to promote a conflict-sensitive approach to EC interventions with the help of a Checklist for Root Causes of Conflict, developed for desk officers and staff by the Conflict Prevention Unit in DG Relex in 2001. This identifies eight political, economic and social indicators used in the drafting of Country Strategy Papers (CSPs) and Regional Strategy Papers (RSPs) (see Box).

The aim is to provide a simple framework for EC desk officers and delegation staff to apply. Whilst it does not provide a detailed conflict analysis, it does help to ensure that a range of key factors is considered in the development of an assessment and agenda for conflict-sensitive programming. It has reportedly proven useful to desk officers, though there are major problems of inconsistent use and uneven quality in practice. The tool is meant to be supplementary to other EC mechanisms for monitoring and early warning. However, it appears that (much) more needs to be done to achieve systematic conflict sensitivity for EC CSP and RSPs.

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### BOX: EU Checklist for Root Causes (EC, 2004)

The EC Checklist for Root Causes focuses on the following issues and indicators:

- *Legitimacy of the State* (inclusiveness, accountability systems, levels of corruption);
- *Rule of Law* (access to justice, criminal justice system, degree of criminalisation, etc);
- *Respect for fundamental rights* (respect for political, civil, religious, human rights);
- *Civil society and media* (openness to civil society; media pluralism/professionalism);
- *Inter-community relations and dispute resolution systems* (their character, etc);
- *Sound economic management* (economic robustness, macro-economic stability, etc);
- *Social and regional inequalities* (are regional and social inequalities addressed?);
- *Geo-political situation* (regional stability, external threats, government policies in region).

Each indicator is rated between 0 – 4, on an overall qualitative assessment, with higher ratings indicating greater degrees of concern; and then added to provide an overall indication of risk of violent conflict. Countries with high overall ratings are placed on a watch list.

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In relation to incorporating the EU into conflict analyses, it is important to be alert to its roles as an actor, structural factor, and in relation to conflict dynamics.

Some would argue that the EU has increasingly developed its ‘actorliness’ in external affairs, and particularly in countries emerging from armed conflict. The EU as a whole has specific policies, programmes and high-level representatives in relation to Kosovo, DRC and Afghanistan, for example. However, for the purposes of conflict analysis, it is normally highly misleading to consider the EU as a unitary or coherent actor. Thus it is probably best to disaggregate it into key component parts in actor assessments, including: EU Council; EC; EU Agencies (ECHO, etc); EU Member states; EU Missions.

The EU's role as both a structuring factor and an institution with profound implications for some local structures needs to be emphasised in many contexts. This is obvious for countries of the Western Balkans, for example, where structural and institutional agendas are substantially driven and shaped by the prospects of EU membership. However, there are many other EU factors in this context, including the impacts of the Common Agricultural Policy, governance or civil society support programmes, and many others.

As for assessments of the EU institutions and members' roles in promoting, shaping or constraining MSPs in countries emerging from armed conflict, it is particularly relevant for MULTIPART researchers to assess the extent to which conflict sensitivity considerations affected such EU engagements. In general, the EC has a reputation for being rather rigid and conflict

insensitive, although it declares good intentions in this regard. When it is a member of a core group that also includes the EU Council and strongly engaged EU member states, the track record is a little more promising. It is clearly an important objective of this MULTIPART Project to identify ways in which the EU could engage with MSPs in ways that promote both conflict sensitivity and concern with human security.

## C.4. The aim of research: peacebuilding and human security

### C.4.1. THE CONCEPT OF PEACEBUILDING

*David Lewis and Valentina Bartolucci*

#### C.4.1.1. Overview

Given the broad definition of peacebuilding that is now widely used (see below), covering a huge range of potential activities, over differing periods of time, involving multiple actors, (international, national, regional, local), it is clear that the traditional institutions of governance in countries emerging from violent conflict are no longer adequate to cope with the increasing demands placed upon them. Multi-stakeholder partnerships (MSPs) are one way of tackling this challenge of governance, and their emergence and structure is ultimately linked to these changes in the understanding of both global governance in general and of peacebuilding in particular. Therefore it is useful for MULTIPART partners to have a common understanding of peacebuilding to inform further work on the theory and methodology of the project, and to refine more closely the research questions for the Project. A more nuanced understanding of both conflict and of peacebuilding should provide more focus for the development of a common and agreed initial research agenda. Developing a common conception of peacebuilding will also contribute to developing a more focused and agreed approach in the later stages of research, both in the study of sectoral MSPs, and in the case-studies in Afghanistan, DRC and Kosovo.

The literature on peacebuilding is extensive, and the term is highly contested and frequently used in ways that lack conceptual clarity. Peacebuilding has been “variously and often confusingly defined” (Cousens and Kumar, 2001:5), and is used to denote a variety of different processes and response to pre and post-conflict situations; in policy discussions peacebuilding is often used interchangeably with other activities in conflict or post-conflict situations, such as reconstruction, peacekeeping or peacemaking, leading to considerable conceptual confusion. Similarly, confusion remains with regard to ‘what comprise its appropriate objectives’ and ‘what are likely to be its most effective methods’ (Cousens and Kumar, 2001).

During the Cold War, with a few exceptions, international interventions in post-conflict environments were conducted primarily in relation to inter-state war, and took the form of

initiatives to manage conflict, notably the deployment of peacekeeping forces. In most cases, such forces had no direct impact on domestic governance or on social and economic structures. There was little or no overlap between external assistance for economic development and peacekeeping operations. In the 1980s, and particularly after 1990, the focus of international operations in post-conflict environments shifted, both conceptually and operationally, to intrastate conflict. This shift brought with it new goals, approaches and concepts. One significant aspect was a new focus on the causes of conflict, and a search for the root causes of violent conflict, not only in the actions of leaders or of governments, but in deeper structural causes in society, in the economy, and in political systems.

This operational change in the activities of international institutions was both a response to changing external environments, and also the result of a new generation of theorists of peace and conflict. The initial proposals for a peacebuilding approach came from peace studies theorists, such as Johan Galtung. Galtung and others (for example, Kenneth Boulding and Adam Curle) suggested that activities designed to achieve simply a cessation of armed violence were insufficient, and only achieved a ‘negative’ peace; instead a significant transformation of society would be required to achieve sustainable ‘positive peace,’ which would also address structural causes of conflict, including injustice. This approach is summed up by one scholar as “call[ing] for a radical transformation of society away from structures of coercion and violence to an embedded culture of peace” (Keating, 2004, p. xxxiv).

#### ***C.4.1.2. Peacebuilding: the institutionalisation of an idea***

This understanding of peacebuilding as including not just conflict management but long-term conflict resolution and transformation, has gradually entered more mainstream thinking, at least rhetorically. In reality there remains a tension between the broad and deep transformations expected by more radical theorists, and the kind of activities promoted by the UN and other international organisations, which tend still to be reactive to crisis and focused on short-term, top-down problem-solving approaches.

However, in official discourse at least, the view of peacebuilding as little more than ‘peacekeeping plus’ has gradually faded away.<sup>8</sup> Mainstream theorists now suggest that “since

<sup>8</sup> The following conclusions, from a conference in the mid-1990s, now sound dated and out of touch with contemporary peacebuilding practice and rhetoric: ‘Firstly., peace-building is ... in the first place a political undertaking, and not a developmental or humanitarian one; secondly, its priority is not the ending of conflict as such, but to prevent the resumption of violence; thirdly, the time dimension of post-conflict peace-building is short and medium term, whereas development and nation-building is long-term.’ W. Kuhne (ed), ‘Winning the Peace: Concept

peacebuilding looks at ensuring a lasting peace, it is expected to involve much more than a cessation of hostilities. It must include such essentials as economic development, human rights, the rule of law, democracy, social equity, and environmental sustainability" (Keating and Knight, 2004, p. xxx).

This mainstream understanding of 'liberal peacebuilding' is now broadly accepted at least rhetorically by UN agencies, the World Bank and other IFIs, and other international organisations, including many non-governmental organisations. It first emerged in the official discourse through UN SG Boutros Boutros Ghali, in his 1992 *Agenda for Peace*. He defined peacebuilding as "...action to identify and support structures which will tend to strengthen and solidify peace in order to avoid a relapse into conflict" (Boutros Ghali, 1992: 46). It was listed as distinct from other elements in the UN strategy for conflict resolution which consists of four components: Preventive Diplomacy, Peacemaking, Peacekeeping, and Post-conflict Peacebuilding (Boutros Ghali, 1992).

In 1995 Boutros-Ghali refined the concept in the "Supplement to An Agenda for Peace" (Boutros-Ghali, 1995). Peacebuilding was considered instrumental in achieving peace, not only in post-conflict settings but also for the first time in preventative diplomacy. Thus, the concept of peacebuilding was defined not primarily according to its sequencing in a peace process, but rather broadly by its activities and objectives (Cockell, 2000). The concept, however, still remained vague (Cousens and Kumar, 2001).

Kofi Annan further refined the concept of peacebuilding and promoted its introduction into official rhetoric, policies and institutions. Peacebuilding was a primary focus of the 2004 UN High-Level Panel report (UN, 2004), and the report went further than previous initiatives in linking development and peacebuilding in explicit ways, including urging IFIs to be involved in peacebuilding work more systematically. The work of the High-Level Panel fed into Kofi Annan's proposal for a new Peacebuilding Commission (PBC), a UN body which is designed to avoid the failures of peacebuilding in the past (Annan cited Angola and Rwanda in particular [Annan, 2005]). The PBC was designed to articulate integrated peacebuilding strategies, to counter claims that UN agencies found it difficult to coordinate in peacebuilding programmes, and to fit with more holistic understandings of peacebuilding. The PBC represents the final stages in the institutionalisation of the idea of peacebuilding, dating back to 1992, and forms the main element in an emerging architecture designed to keep pace with new thinking on peacebuilding. However, its early progress has been slow (CIC/IPI 2008), and there has been scepticism expressed elsewhere of the reality of integrated programming.

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and lessons learned of post-conflict peacebuilding', Report from an International Workshop, Berlin, Stiftung Wissenschaft und Politik, Ebenhausen, Germany, 4-6 July 1996, p. 5.

#### C.4.1.3. Disputed issues in peacebuilding and their relevance for MULTIPART

Several issues in the mainstream agenda of peacebuilding remain subjects of debate, and many of these questions relate to issues that MULTIPART researchers should take properly into account. These relate, for example, to the temporal nature of peacebuilding and issues of sustainability, and the role and inclusion of different actors, defined not only by their status (governmental/non-governmental, etc) but by their level in society (government elite, grassroots etc), and by their locus (external/local).

##### Sustainability

The temporal scope and duration of the peacebuilding process remains disputed, with the broader definitions of peacebuilding tending to imply a long-term or open-ended commitment while the realities of funding and organisational horizons have tended to view it as a relatively short or medium term enterprise. The original concept, in *An Agenda for Peace*, maintained a distinction between preventative diplomacy or conflict prevention, and post-conflict peacebuilding, but later reports erased this temporal distinction, effectively permitting peacebuilding to apply to any stage in a conflict, even before armed violence has occurred. Some states are particularly wary of this even broader understanding of the concept, fearing that notions of ‘preventative peacebuilding’ could be used to justify early external intervention without the consent of the state. Peacebuilding as a form of conflict prevention or preventative diplomacy is also extremely hard to delimit; a broad definition of the causes of conflict permits pre-conflict peacebuilding to address almost any aspect of political, social or economic development.

In practice, the term continues to be applied primarily in post-conflict environments, but here there is also lack of clarity over how long an international peacebuilding mission might run. Work for the World Bank defines peacebuilding as ‘activities aimed at preventing and managing armed conflict, and sustaining peace after large-scale organized violence has ended. The scope of peacebuilding covers all activities that are directly linked to this objective within a 5-10 year period’ (World Bank, 2006: 5). This definition, while narrow in its objectives, also sets clear timeframes for implementation. Local and national actors and institutions of the concerned country will tend to have longer-term perspectives, and should hopefully focus on peacebuilding for as long as the residue of past armed conflict, and the divisions that contributed to it, continues to obstruct or shape the countries’ political, economic and social development. In practice, each case will be

different, and the time for peacebuilding will depend on the external as well as internal environment.

The World Bank definition also includes a strong preventive aspect to it, although it refers to *post-conflict* peacebuilding. One of the prime motivations for institutionalising peacebuilding in the UN was to somehow address the regular relapse of states back into conflict after some temporary peace has been achieved and large-scale violence ended (Annan, 2005). Hence peacebuilding in a post-conflict environment is not just about reconstruction, but also needs to retain a strong preventive aspect to its programmes and activities to address potential relapses into renewed conflict.

In this context, a key issue for Multipart will be to examine to what extent MSPs are sustainable institutions, which are capable of developing and adapting to different external environments over the longer term. There will, no doubt, be cases where MSPs are designed primarily to implement effectively short-term crisis management policies. However, we suggest that there should also be a focus within the project research on what kind of institutional mechanism within the MSP framework can best promote long-term sustainability and institutionalisation. For example, it may be hypothesised that those MSPs, designed with a strong degree of partnership, and which incorporate a high level of local ownership, will be most likely to promote long-term sustainability of peacebuilding activities, possibly sequencing into predominantly national activities once the formal peacebuilding phase involving international actors is completed. However, there may be other factors, either institutionally or in the external environment, that contribute to sustainability and long-term impact.

### Actors

Another area of discussion relates to the multiplicity and type of actors involved in peacebuilding, an area of particular interest to the MULTIPART project. The complexity of the peacebuilding concept inevitably leads to multiple agency involvement, both from international actors and indigenous parties. Disputed areas include the balance between international and local actors; the level of actors involved (elite versus grassroots); and the type of actors involved (governmental, non-governmental, private sector, individual, etc.).

There has been broad consensus that traditional international actors are often not best placed to meet the demands of a new, much broader agenda of peacebuilding. For example, on the basis of operations in Sierra Leone, Jennifer Hazen argues that military peacekeepers are poorly placed to act as peacebuilders, not having the required mandates, leverage, resources, duration or capacity (Hazen, 2007). Other studies, on the other hand, emphasise the new role played by civil society in

peacebuilding (World Bank, 2006) or the potential contribution of business and the private sector (Peacebuilding Commission, 2008; Kanagaratnam and Brown, 2005). MSPs are often designed to be able to institutionalise links with both civil society and the private sector.

For MULTIPART, the issue of actors and agency should be a central element in the research projects. On the one hand, inclusion of multiple actors and stakeholders obviously defines the essence of the multi-stakeholder approach. However, there are numerous institutional approaches to involvement of multiple stakeholders, and these will need to be discussed as part of the typologisation of MSPs. In this context, the reality of formal and informal modes of participation is important (see below). Perhaps more fundamentally, the MULTIPART Project may also consider the limitations that multiple actor inclusion places on process and outputs. For example, one hypothesis suggests that the institutional inclusion of multiple actors may limit organisational efficiency in the short term, but that deliberately inclusive institutions achieve more sustainable outcomes. There are a range of similar hypotheses and research questions relating to multiple stakeholder inclusion that will need to be developed for application in later working groups.

### External/internal

Most peacebuilding operations are still construed as international, external interventions, and as such, there is a frequent tension between peacebuilding and state sovereignty. It is widely agreed that ‘Interventions to date have tended to reflect asymmetrical distributions of power in which Northern states have determined where, when and how such interventions will occur’ (Keating and Knight, 2004: xli). However, beyond that simple claim there is a much broader debate, with some observers casting some peacebuilding operations increasingly as neo-colonial in nature. While for the most part these labels are designed as criticisms, there are also those who advocate a type of liberal colonialism as the only effective route to long-term peacebuilding. In milder form this approach suggests various forms of trusteeship being implemented by the UN.

This external/internal tension has led to considerable discussion around issues of participation, partnership and ownership. Issues of local ownership of peacebuilding processes, whether at grass roots or elite level, have become of key importance, both conceptually and in terms of programme design (Chopra, 2004). There are interesting current debates about participation in broader contexts, which have critiqued previous approaches (Cooke and Kothari, 2001). Clearly the need for broad partnership both with local actors and among international parties has been a significant stimulus for the development of MSPs and we would expect this aspect of the process of peacebuilding to be an important consideration in the framing of research questions for the Project.

The level of involvement by various actors in the peacebuilding process is also a subject of discussion in the literature, notably in the approach of Lederach, who is discussed below, as one of the advocates of a more “bottom-up” approach that involves grassroots activism as much as elite negotiations. A related concept is the extent to which peacebuilding activities should be centralised and coordinated, or to what extent multiple initiatives and actors can produce a pluralism of peacebuilding that provides complimentary and multi-track approaches to peacebuilding.

For MULTIPART, the engagement between international and domestic actors through MSPs is an extremely interesting and fruitful area of research. MSPs are at least partially designed to provide new and more productive channels for this engagement. Researchers should therefore examine in some detail the reality of this partnership between the external and the local, the extent to which institutional equality translates into real equality of decision-making, and the impact on formal institutional partnerships of unilateral funding arrangements and various conditionality regimes.

### Level of engagement

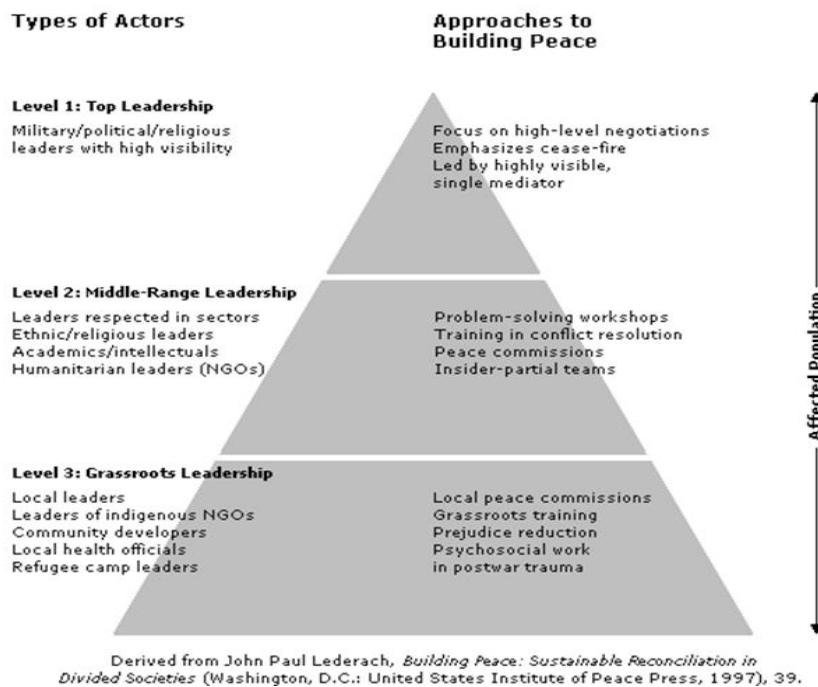
The prime recent examples of liberal peacebuilding (such as Kosovo, Timor Leste, Bosnia, Liberia and Sierra Leone) have all tended to involve a top-down approach, with only limited local ownership and various forms of restrictions on sovereignty, in some cases formalised for a period of quasi-trusteeship (Bosnia, Kosovo). The 1995 Dayton peace accords in Bosnia were typical of such an approach, involving peace negotiations among political leaders, with the wider population largely excluded from the process. Since the mid-1990s there has been more emphasis on multi-track diplomacy as part of peace processes, but also a new approach to peacebuilding that has emphasised the involvement of actors at all levels of society.

In this context, the work of Jean Paul Lederach has been particularly important in characterising overall approaches. He developed an holistic and multilayered approach, where the “problem-solving approach to conflict resolution is combined with a public, process-oriented approach in order to address the multidimensional nature of protracted social conflicts in the context of a nonlinear peace-building process. This emphasizes the need for a multisectoral approach to conflict transformation that brings in grassroots, local, and NGO actors in order to create a sustainable process” (Richmond, 2001).

According to Lederach, in order to achieve successful peacebuilding, multiple actors and activities are needed and all actions have to be directed at achieving and sustaining reconciliation, a central concept in his analyses. This approach is represented in his work by a pyramid structured

into three levels of engagement of actors corresponding to different approaches to building peace (see fig.2).

**FIGURE 2.: Actors and Approaches to Peacebuilding**



Lederach outlines three levels of leadership (political and military leaders; mid-ranking leaders in different sectors; grassroots of society), which correspond to three different approaches to peacebuilding. The ‘top-level approach’ is orientated towards achieving a cease-fire or a cessation of armed violence before engaging in more substantive negotiations, carried out by political elites, that will lead to an agreement paving the way from war to peace. The assumption is that “the accomplishment at the highest level will translate to, and move down through, the rest of the population” (Lederach, 1999: 45). Level 2, the “middle-out” approach, focuses on leaders that have a determinant “location” in the conflict and a particular knowledge of it. They operate at an informal level and they are believed to be able “to provide the key to creating an *infrastructure* for achieving and sustaining peace” (Lederach, 1999: 46, original emphasis). Level 3, the “grassroots” approach, proposes a ‘bottom-up’ approach, which will instigate and support peacebuilding from the lowest level upwards. In Lederach’s view, the involvement of all three levels is necessary to

construct a peace process. Peacebuilding is not seen as a mere activity, but as a long-term process made up of multiple functions, roles, and activities.

Lederach's views have been influential on peacebuilding theory and practice, particularly encouraging multi-level or multi-track diplomacy, and also widespread participation in peacebuilding by all social groups and sectors. However, his rather broad and holistic approach has attracted some criticisms: De Zeeuw, for example, argues that defining peacebuilding in a broad sense is one of the obstacles to reach an international consensus on the aims of an appropriate peacebuilding operation (De Zeeuw, 2001).

Lederach's approach has directly or indirectly led to new institutional innovations in peacebuilding, of which MSPs are one of the most interesting, with their attempts to link governments, international organisations, and grassroots civil society in coherent organisations. This discussion of Lederach suggests several research directions, but primarily we suggest that his three-tier approach to peacebuilding provides a useful framework for the analysis of different levels of participation within MSPs. Research groups should be reflecting on the different levels of stakeholders that should be involved in MSPs from their inception, the challenges posed to MSPs by inclusion of both grassroots and government-level leaders, and the impact on both MSP process and MSP outputs of having multi-level inclusive decision-making processes.

#### *C.4.1.4. Critiques of 'liberal peacebuilding'*

One of the most common critiques of contemporary peacebuilding has been of its insistence on political and economic liberalisation as a core value in its approach. The proposal and basic documents of the Multipart project suggest that Multipart partners accept the general legitimacy of peacebuilding missions in post-conflict environments. However, both reformist and radical critiques of peacebuilding are worth examining to ensure that their insights are at least recognised in our own research agenda.

In this context, MULTIPART research should not uncritically accept examine the explicit and implicit assumptions of liberal peace building, with its strong valuation of individual political rights, democracy, 'participation', and encouraging an influential civil society and SME sector. The contributions of MSPs towards progress on these issues to impacts on peacebuilding and human security are matters for investigation rather than assumption.

A number of authors question whether the 'liberal peace' approach is justifiable for post-conflict environments. One view, primarily but not only from the political left, is particularly

critical of what are viewed as neoliberal economic policies at the core of many international peacebuilding programmes (Pugh, 2005). Scholars in this school are critical of the involvement of IFIs in post-conflict peacebuilding, unlike some, such as the UN High-Level Panel, who have called for more involvement of IFIs in peacebuilding, representing a further step in the merging of development and peacebuilding initiatives. Critics on the other hand argue that "...without transformation of the IFIs, and the liberal agenda itself, subjugation rather than emancipation will continue to be injected into the political economy of peacebuilding" (Pugh, 2005: 13).

A further view questions the widespread assumption in peacebuilding models that political liberalization is a necessary condition of success. Paris notes that "For many [...] governmental and non-governmental organizations, liberalization was an uncontroversial solution for reconstituting war-torn societies" (Paris, 2004: 33). He criticises this assumption and the imposition of what he views as Western models of political and economic liberalisation on war-torn societies and states, arguing both that the process of liberalisation in a period of political upheaval is profoundly conflict-inducing (Paris, 2004). Paris' alternative approach is not, however, a wholesale rejection of the ideology of what he terms Wilsonianism, but rather a modification of its tenets.

"Peacebuilders should continue to seek to transform war-shattered states into liberal market democracies, but with a different technique – by constructing the foundations of effective political and economic institutions before the introduction of electoral democracy and market-oriented adjustment policies..." (Paris, 2004: 179).

There are more radical views, and there is a fundamental split among critics of liberal peacebuilding, between those who advocate a reform of present practices, and propose alternative policies or sequencing of activities while maintaining broad agreement with the concept of peacebuilding as presently constructed (Paris, 2004; Ashdown, 2007), and those who reject these reformist notions, claiming instead that the whole issue of peacebuilding as the export of liberal political and economic models is problematic. Some scholars emphasise what they view as the neo-colonial nature of peacebuilding missions. Chandler argues that peacebuilding effectively reproduces many of the elements of empire, behind a façade of 'partnership' (Chandler, 2006). Others suggest that these attempts to introduce alien models of governance into non-Western societies are ultimately counterproductive in terms of peacebuilding (Cramer, 2006; Richmond, 2005; Englebert and Tull, 2008).

The original proposal and design of this project implies that Multipart partners accept in principle that international projects of peacebuilding can be legitimate and can help to promote peacebuilding and human security. In that sense, Multipart will engage primarily in the sphere of

reformist policy, promoting ideas and strategies to implement better policies already largely accepted by the international community. In this sense, we would not expect an explicit engagement with the broader, at times ideological, critique of liberal peacebuilding. However, investigation of the roles of MSPs can play in mobilising concern or societal critiques of the design and implementation of peacebuilding initiatives can certainly be included in MULTIPART research. In any case, researchers should be aware of the more radical critiques, and be aware of the illuminating aspects of much of the work. In particular, it is important that MULTIPART researchers take account of such critiques and deconstruct and investigate the realities behind claims and agendas for ‘participation’, ‘ownership’, ‘partnership’, ‘good governance’ and ‘conditionality’, and will help the project to include appropriate correctives to unexamined notions of partnership in institutions such as MSPs.

#### ***C.4.1.5. Proposed analytical framework***

As pointed out above, peacebuilding remains a contested term, and there is no broadly accepted definition that is used by all policymakers and academics in this field. The narrow definition of peacebuilding alluded to above is gradually losing its resonance as peacebuilding operations become more complex and multifaceted. At the other extreme, very broad definitions may lose their focus and become impossible to operationalise.

A narrow definition ... may exclude a number of aspects relevant to the achievement of lasting peace. A broad definition, by trying to encompass ‘everything’ that seems to have a connection to peaceful human relations, runs the risk of rendering the concept superfluous, imprecise and useless for academic purposes or as a guide to political decisions (Haugerudbraaten, 1998).

We follow Keating and Knight in proposing a relatively pragmatic understanding of peacebuilding, “that combines both problem-solving and critical approaches”. While this view “recognises and accepts the view that something must be done to address the immediacy of the breakdown in societal structures”, it also recognises political and economic limitations on peacebuilding, and seeks to promote sustainable peacebuilding. Central to the concept is conflict prevention and social transformation through development. Social, political and economic development is therefore a key dimension of peacebuilding, which must also “... have the long-term objective of bringing about a fundamental transformation of conflict-ridden societies” (Keating and Knight, 2004: 358).

Kenneth D. Bush echoes this approach with a useful working definition: “peacebuilding refers to those initiatives which foster and support sustainable structures and processes, which

strengthen the prospects for peaceful coexistence and decrease the likelihood of the outbreak, reoccurrence, or continuation of violent conflict. The process entails both short and long-term objectives, for example, short-term humanitarian operations, and longer-term developmental, political, economic, and social objectives” (Bush, 1995: 76).

Bush and Keating’s approaches provide a broad understanding of peacebuilding that we propose as appropriate for framing the Multipart project. This conception of peacebuilding will be sufficiently broad to encompass the different aspects of peacebuilding addressed in Work Package 4, including security, economic and social development, democracy, good governance and rule of law; and reconciliation, confidence-building and inter-communal bridge building. At the same time, this approach remains sufficiently narrow as a concept to avoid losing its specificity and meaningfulness for the study of MSPs in post-conflict environments.

In summary, we define peacebuilding as: *a set of policies, programmes and activities which initiate or contribute to wider processes that help to overcome the legacy of armed conflict and prevent any recurrence in the future; it will include short-term measures to respond to immediate threats to peace and longer-term initiatives to address the structural causes of conflict or to increase capacities to manage and resolve conflicts peacefully.*

Our approach to peacebuilding should be read in conjunction with the complimentary work in WP 2 and WP3 on analysing conflict processes and assessing constructive conflict reduction and reconstruction initiatives in countries emerging from conflict, and is designed to contribute to the framing approaches to be adopted in the project.

#### **C.4.1.6. Priority issues for MULTIPART**

We have spent some time discussing contemporary understanding of peacebuilding, because we think it provides much needed contextual understanding to the emergence of MSPs as a key element of the institutional architecture of contemporary peacebuilding operations and processes. We identified some areas of dispute within the literature on peacebuilding, and suggested that several of these disputed areas have useful implications for WP 2 and 3 as they develop broader theoretical frameworks and research questions, as well as methodological clarity and more developed ideas on research methods.

## C.4.2. THE CONCEPT OF HUMAN SECURITY

### C.4.2.1. Introduction

Sara Moore, Maddalena Vivona

The term *human security* came into use in the context of a world where increasingly the primary security threats are not affecting nations, but rather populations or individuals, or where states are not able or willing to protect their own people. While initially the term was introduced principally by organizations concerned with economic and social development, it has now emerged also as a key concept for use by organizations concerned with security from violence, crime and illegitimate coercion.

The human security concept has been criticized as endeavouring to address every kind of threat a human can face, meaning anything that threatens a person's *freedom from fear* or *freedom from want* and for being too vague to have practical utility. In spite of this critique, the human security concept is useful in performing practical analyses of the threats human beings can face – as individuals or in communities - in daily life, being a relevant tool for performing practical analysis. The concept of human security was therefore adopted in this research project in relation to investigating the impacts of MSPs on the security and well-being of individuals and communities in countries emerging from armed conflict.

### C.4.2.2. Human Security Concepts and Critiques

Although the philosophical roots of human security date well before 1994, much of the literature attributes the official launching of the concept to the 1994 UNDP Human Development Report. In the wording of the Report:

Human security is a child who did not die, a disease that did not spread, a job that was not cut, an ethnic tension that did not explode into violence, a dissident who was not silenced. Human security is not a concern with weapons – it is a concern with human life and dignity (...). It is concerned with how people live and breathe in a society, how freely they exercise their many choices, how much access they have to market and social opportunities – and whether they live in conflict or peace. (UNDP, 1994: 22)

Human security is described by the UNDP as implying two main aspects: safety from such chronic threats as hunger, diseases and repression (*freedom from fear*), and protection from sudden and hurtful disruptions in the patterns of daily life (*freedom from want*). The report lists the four essential attributes of human security that remain invariable throughout the debate surrounding the definition of human security: a focus on the individual as a unit of reference; universality of its application; interdependence of its components; preference for early prevention over late intervention.

The condition of having human security meant also having the ability to mitigate the critical and pervasive threats to one's vital core, that which is essential to survival. This involves the capacity to change one's circumstances (empowerment), and the ability to participate in decisions which impact one's life (participation). For a human being to have human security s/he must have a set of basic resources, material and psychosocial, which are necessary for her/his well-being.

The UNDP Report's definition initiated the so-called *broad school of thought*, in whose framework are rooted most of the subsequent definitions of human security. This approach sets the boundaries of human security very broadly and proposes a definition that encompasses practically everything that can affect the security and well-being of an individual. Following the broad approach, human security includes *freedom from fear* and *freedom from want*, and avoids any prioritisation between the two (examples can be found in the works of UNDP, Jorge Nef, Independent Commission on Human Security, 2003). Critics of a broad definition of human security state that without a framework for prioritization, it gives an unmanageable array of variables (Newman, 2004) or that it results in a total paralysis of our ability to prioritize (Khong, 2001).

On the other end of the spectrum, the *narrow school of thought* restricts the parameters of human security to *freedom from fear*, violent threats against the individual, clearly separating human security from the more expansive and already established field of human development (an approach used in the 2004 Human Security Report). This approach is probably now the most widespread and preferred by international organizations and governments, as at first sight its implementation appears to be clearer. Defining human security narrowly has the advantage of facilitating the identification and evaluation of the threats of violence that affect individuals, as well as the design of specific measures to counter them. It can be criticised however in assuring multi-dimensionality, one of the pillars of human security.

The working definition we propose for use in this study is based on that of the Commission on Human Security and reads as follows:

*The objective of human security is to protect the vital core of human lives from critical and pervasive threats (traditional and non traditional), in a way that is consistent with individuals' survival, livelihood and basic dignity. Human security expands on people's interests and aspirations (empowerment), in the view of creating a political, social, economic, environmental and cultural system that advances human fulfilment.*

For the purposes of Multipart, this understanding of human security is thus operationalised into three aspects:

- Security of vulnerable people and communities from violence, crime and illegitimate coercion;
- Alleviating poverty and promoting social and economic development;
- Empowering vulnerable people and communities and promoting their participation in public life.

#### **C.4.2.3. Human Security, Human Rights and Human Development**

*Sara Moore, Maddalena Vivona*

Human security, human rights and human development share an approach centred on the individual. They are strictly interlinked and mutually reinforcing (Benedek, 2006). The concept of human security was introduced in the human development field 'as a guarantor of the continuation of human development as well as a prioritisation of its most urgent variables' (Tadjbakhsh and Chenoy, 2007: 105). While human development concentrates on *growth with equity*, a process of widening the range of people's choices, human security concentrates on *downturns with security*, exercising people's choices safely and freely and being relatively confident that the opportunities they have today are not totally lost tomorrow (Commission on Human Security, 2003: 8-9). This holistic human security approach connects economic and developmental issues with war and other traditional security issues.

Detractors of the concept of human security reject the term as *political pandering* to allow human rights to be discussed in a national security context, rather than providing a needed tool for studying the interplay of state-based security agendas and social/civil liberties (Buzan, 2004). Tomuschat maintains that:

it would appear that this new approach is largely the result of bureaucratic over zeal which has lost sight of the existing achievement in the field of human rights. Almost all of the security items mentioned ...are nothing else than a reflection of the rights enunciated in

the two International Covenants of 1966. There is no real need to coin new concepts. (Tomuschat, 2003).

Indeed human security proponents often tried to integrate human rights as a normative backbone into the human security concept. These attempts were made in order to better clarify and make the human security concept more practical, but this resulted also in a loss of the distinctive character of human security. Oberleitner (2005) explains that while human security and human rights may join forces to advance common goals, they should be well aware that they do so in different ways:

- Where human rights give entitlement and impose obligations, human security rests on feasibility and choice;
- Where human rights protect from violations of rights, human security protects from threats;
- Where human rights do not allow for a hierarchy and call for indivisibility, human security allows for prioritisation.

Other critics allege that, while it can be positive to include human rights and human development under human security, thereby making those issues more urgent in the hierarchy of state and inter-state concerns (Khong, 2001), there are fears that human security could serve as a pretext for actions which could result in human rights abuses, such as protecting *community security* at the expense of personal freedoms. The concerns of human security being used as a basis for intervention is primarily related to the activities of the International Commission on Intervention and State Sovereignty, which argues that states are responsible for their citizens, and whenever they are unable or unwilling to take that responsibility, it should be borne by the broader community of states (ICISS, 2001).

#### **C.4.2.4. Characteristics of Human Security**

*Wolfgang Benedek, Maddalena Vivona*

The following paragraphs give normative recommendations for a *human security framework* that calls the attention to both *processes* and *outcomes*.

The human security framework is holistic: it concentrates on the dignity and well-being of the individual and therefore addresses both *freedom from fear* and *freedom from want*. In recognising that insecurity is the result of a number of social, political and economic factors, the

human security framework also recognises the interconnection and interdependence between sources of threats: ‘Poverty, infectious diseases, environmental degradation and war feed one another in a deadly cycle.’ (High Level Panel, 2004: 15). The High-Level Panel thus argued that ‘broadly based development was indispensable for the establishment of the new collective security, development that would entail greater intergovernmental cooperation and for which partnership between national, regional and civil society actors was an essential element.’ (Tadjbakhsh, 2005: 13). In particular, the acknowledgement of the interconnectedness and interdependence of sources of threats is absolutely critical both to understand the casualty and the properly addressing policy (Owen, 2004).

Ultimately, human security seeks to empower the people who are affected by threats and vulnerabilities so that they may mitigate the impacts on their own lives. Human security focuses on the specific needs of vulnerable groups (those mainly affected by human security threats) and bases its policies and actions on common values of human rights, starting from the human dignity of the individual and including rule of law, good governance, democracy and accountability. Human security does not imply therefore just *protecting* and *providing*, but involves fostering the empowerment and participation of the people: ‘Human security as a public good constitutes a responsibility for the state, but there is a complementary duty for the people themselves to become engaged in the process.’ (Tadjbakhsh, 2005: 24). This duty is a distinguishing element of the human security approach and should be supported by public education about the human rights that the state and the international community should provide. As stated by Human Security Network in the Graz Declaration on Principles of Human Rights Education and Human Security,

Human rights education is a strong instrument for conflict prevention and the prevention of human rights violations, but also in processes of post-conflict transformation and consolidation, thus a key factor for achieving human security. (HSN, 2003: 3)

Both the human security and multi-stakeholder partnership frameworks tend to prefer a participatory, bottom-up and inclusive approach that advocates peace from within the affected societies. Both frameworks highlight the role and importance of including a variety of stakeholders in the decision-making process. In one of the background documents prepared for the Commission on Human Security, Michael stresses the role of NGOs in providing human security especially in situations where the state is challenged and unable to tackle the human security needs of its population: ‘NGOs are among many other actors (...), who have shown themselves to be adept at complementing or supplementing the human security efforts of government agencies around the world.’ (Michael, 2002: 7). The establishment of the International Criminal Court and the adoption

of the Ottawa Treaty on the prohibition of anti-personnel mines can be regarded as examples of what a coalition of like-minded states, international organizations and non-state actors can achieve working together. NGOs played a major role in the Ottawa process in educating the public, lobbying governments and formulating policies, a role that resulted in the awarding of the 1997 Nobel Peace Prize to the International Campaign to Ban Landmines.

Acknowledging that human security and multi-stakeholder partnerships have preferences for protecting, providing and fostering empowerment and participation, the concept of human security in the framework of this project is an essential basis of analysis. A human security framework includes giving attention to the prevention of conflict and to making peace-building sustainable. Addressing human security is likely at the same time to address factors contributing to risks of large-scale armed conflict and vulnerabilities which undermine freedom from fear, freedom from want and empowerment and participation whereas the work of MSPs focus basically on enhancing human security.

Therefore, considering the working definition of human security, MULTIPART will investigate the characteristics of human security in the context of not only the *processes* by which MSPs are developed but also the *outcomes* that those MSPs achieve.

#### C.4.3 HUMAN SECURITY AND PEACEBUILDING

*Claudia Croci*

Over the last two decades, the UN and other multilateral organizations (such as the OSCE, EU, and AU) responded to shortcomings in external interventions in conflict-torn societies, by trying to improve approaches to post-conflict situations. The international community sought to create a more participatory approach, aiming not only at the re-establishment of law and order, ending resurgent violence (short-term interventions), but also at the rebuilding decision-making bodies and the foundations of economic development (long-term interventions).

This approach to post-conflict reconstruction – an approach directed not only toward the preservation of peace in strict sense but also toward the resolution of the underlying causes of violence - was formalized for the UN in the 1992 Boutros Boutros Ghali Agenda for Peace and its supplement, as discussed in section C.3 above. The document, underlining the link existing between peace-making, peace-keeping and peace-building, stresses the fact that:

Peace-making and peace-keeping operations, to be truly successful, must come to include comprehensive efforts to identify and support structures which will tend to consolidate peace and advance a sense of confidence and well-being among people. Through agreements ending civil strife, these may include disarming the previously warring parties and the restoration of order, the custody and possible destruction of weapons, repatriating refugees, advisory and training support for security personnel, monitoring elections, advancing efforts to protect human rights, reforming or strengthening governmental institutions and promoting formal and informal processes of political participation.

Since then – as pointed out by Catherine Morris in “What is Peacebuilding” – the term peacebuilding has become broadly used – although often ill-defined – to connote all the activities that point toward structural transformation and capacity building at different levels and in different sectors of a country emerging from violent conflict.

As discussed in the earlier chapter on peacebuilding (C.3.), peacebuilding involves a full range of approaches, processes and stages, stemming from careful and participatory planning, coordination among various efforts and sustained commitments both by local and international partners. In the metaphor used by John Paul Lederach (Lederach, 1997, 20, 82-83):

peace-building involves a long-term commitment to a process that includes investment, gathering of resources and materials, architecture and planning, coordination of resources and labour, laying solid foundations, construction of walls and roofs, finish work and ongoing maintenance.

Lederach also emphasizes that peacebuilding centrally involves the structural transformation of relationships, in the direction of a "sustainable reconciliation" in the countries emerging from violent conflict.

In recent years, human security has been increasingly associated with an approach to post-conflict reconstruction that is based on integrated, comprehensive, multidimensional and multilevel actions to address the sources of insecurity of individuals and within communities as well as inter-related efforts to rebuild war-torn States in the political, normative, economic and social field.

Human security dimensions of Post-conflict reconstruction efforts by the UN were first emphasised (although not specified) in the above-mentioned Agenda for Peace, which stressed the indispensable role of the UN “in an integrated approach to human security” as one of the new requisites of peace-making, peace-keeping and post-conflict management. But it was Kofi Annan who first adopted the human security agenda in a personal quest for a new UN mandate, presented in the 1999 Millennium Declaration. Starting from the acknowledgement of the malfunctioning of international interventions, the Declaration asserted the need to compensate for these failures by involving the UN in a more global forum where NGOs could dialogue with governments in order to implement more feasible development agendas. Defining peace as “much more than the absence of

war”, the former Secretary General called for human security to encompass economic development, social justice, environmental protection, democratization, disarmament and respect for human rights and rule of law. Since 1999 organizations such as the European Union have been increasingly adopting human security as a building block of their strategies for conflict management (see 4.3.).

The link between human security and post-conflict reconstruction can be made explicit relating the basic attributes of the two concepts in a single definition. By these means, the achievement of human security is presented as an end of post-conflict reconstruction activities. To make explicit the link, we should start from the concept of peace-building as defined earlier in this paper: *peace building is a set of policies, programs and activities which initiate or contribute to wider processes that help to overcome the legacy of armed conflict and prevent any recurrence in the future; it will include short-term measures to respond to immediate threats to peace and longer-term initiatives to address the structural causes of conflict, and also to increase capacities for managing and resolving conflicts peacefully.*

This links with the proposed objective of human security, as described above. Human security is distinct from peace-building in several senses. It is relevant in all contexts, including in countries which are neither at high risk of large-scale violence conflict nor emerging from war. It focuses on the security and well-being of individuals and communities, and not so much on national and international security concerns. Threats to human security overlap with risks or process of large-scale violent conflict, but they overlap only partially, and are typically broader than those that are of central concern to peace-building. Human security focuses on individuals and communities, whereas peace-building is intrinsically a multi-level concept. Nevertheless, this should not distract from the deep interrelationships between promoting human security and peacebuilding.

#### C.4.4. HUMAN SECURITY AND THE EUROPEAN APPROACH

*Wolfgang Benedek*

The concept of human security is very relevant for the Common Foreign and Security Policy (CFSP) as well as the European Security and Defence Policy (ESDP), but also for the activities of the European Union in the field of reconstruction and development and with regard to its enlargement policy. The threats to human security, as indicated in the European Security Strategy (European Council, 2003), clearly focus on the human person, whether as civilians in armed conflict or as individuals affected by poverty, hunger or endemic health problems. Freedom from

fear and freedom from want, the two pillars of the concept of human security are inherent in the EU approach – as is the principle of empowerment. Terrorism, weapons of mass destruction and organized crime, as identified as threats by the European Security Strategy (ESS), mainly target civilians and victimize them, as the case of trafficking in human beings illustrates.

In the ESDP context, several guidelines that touch upon topics connected with human security have been developed. These includes the *Generic Standards of Behaviour for ESDP Operations* (European Council, 2005) or the handbook on *Mainstreaming Human Rights and Gender into European Security and Defence Policy* (General Secretariat of the Council, 2008b), the *Checklist for the Integration of the Protection of Children affected by Armed Conflict into ESDP Operations* (European Council, 2007) and the *Council Conclusions on Promoting Gender Equality and Gender Mainstreaming in Crisis Management* (European Council, 2006a), which also show the interrelatedness of human security and human rights.

The primary objectives of the European Union with regard to peace and stability, as indicated in the chapeau of its Regulation on Establishing an Instrument for Stability of 2006, is ‘the promotion of stable conditions for human and economic development and the promotion of human rights, democracy and fundamental freedoms’ (European Council, 2006b). Accordingly, security measures have to serve a higher purpose, i.e. the promotion of human rights and the rule of law. In its Security Strategy, the European Union commits itself to the multilateralism enshrined in the Charter of the United Nations. The EU also emphasizes the importance of conflict prevention and peace building, which, according to the results of its security conference of 12-13 November 2007, is to be achieved by a multi-stakeholder approach. For this purpose, a peace-building partnership has been launched to enhance cooperation with civil society and think-thanks, including academia. In short, the ESS meets almost all criteria for what is being discussed as a human security approach (Benedek, 2004). EU officials have said that the European Union is actually pursuing a human security approach without calling it by name.

The EU approach can be called a *European approach to human security*, although the European Union avoids to qualify it as such due to the problem to get all member states to agree to it. This did not prevent the High Representative for the Common Foreign and Security Policy and Secretary-General of the Council of the European Union, Javier Solana, to commission a report by a group of experts convened by Mary Kaldor of the London School of Economics on a *Human Security Doctrine for Europe*, which was presented in Barcelona in 2004 (Glasius & Kaldor, 2004). In the Barcelona Report of the Study Group on Europe’s Security Capabilities, human security is presented as the new doctrine for the implementation of the ESS and as a *useful framework for*

*guiding different initiatives in the field of restoration and promotion of peace and security.* The Report starts from the recognition that the new threats the European Union faces do not have a purely military character, and they cannot be tackled by purely military means. Thus, it is crucial for the European Union to limit the gap between the current security instruments and the real security needs.

According to the report the doctrine comprises three elements: First, seven principles for operations in situations of insecurity. They include: the primacy of human rights, clear political authority, multilateralism, a bottom-up approach, regional focus, the use of legal instruments, and the appropriate use of force; these principles should guide the development of a comprehensive doctrine for the implementation of peacebuilding operations.

Second, a 15,000-heads strong *Human Security Response Force*, which, however, has not been realized yet, and third, the establishment of a new legal framework to govern decisions relating to intervention and operations on the ground, which was part of the Lisbon Treaty – and therefore postponed until the ratification process is finished.

In 2006 the Finish presidency of the European Union again took up the concept of human security and commissioned a second report, which was presented in November 2007 in Madrid by Mary Kaldor and Javier Solana (Human Security Study Group, 2007). Building on the development of the ESDP, the Madrid report, which consists of a proposal and a background report, proposes a more comprehensive human security concept for ESDP missions which should ensure more coherence in, and legitimacy of, the external actions of the EU. The report recognizes that the concept of human security encompasses conflict prevention, crises management and civil-military coordination, but also stresses the wider civil aspects of human security, which were defined as ‘helping to meet human needs at the moment of crises’, providing safety for people in a physical and material sense, corresponding to personal and social security. The interrelationship between human security and human rights as well as human development is emphasized and six principles are identified, in which the principle of use of legal instruments and the appropriate use of force is not explicitly contained anymore and the principle of a clear and transparent strategic direction (of missions) is added.

The *key proposals* the report suggests include a public declaration of human security principles and a new strategic framework for ESDP missions. Every ESDP mission should be *‘placed within a planning and operational framework headed by a civilian commander.’* ESDP missions should be firmly legitimated by human security mandates, existing coordination

procedures and participation of people on the ground should be improved and a common operating culture of civilian and military staff should be developed.

What is the specificity of the human security approach of the European Union? If compared to Canada and Japan, which both are committed to a human security approach in their foreign relations (Debiel & Werthes, 2006), the European strategies are characterised by balancing the conflict-oriented Canadian approach, emphasising freedom from fear and the development-oriented Japanese approach based on freedom from want by combining both, with an emphasis on conflict prevention and conflict management.

What are the conclusions of these findings for conflict management, ranging from armed conflict or crises prevention to post-conflict reconstruction and post-crises, capacity-building? Importantly, that the emphasis on integrated missions or measures, which include civil affairs, mainstream human rights and have a focus on the rule of law are in line with the human security approach. Civil objectives must not be ignored when undertaking military action. This can be assured by institutionalizing civilian concerns. Civil-military cooperation plays a major role in this context.

Human security concerns also have to be integrated into training programmes. A pilot project for a human security-oriented training was organized in Finland in 2008. Trainings in human rights and the gender perspective, as they have been conceptualized for example for the Irish Defence Forces, constitute an important part of a human security training approach, too. A solid knowledge of humanitarian law is part of conventional trainings of military forces, but when using a human security approach, the guiding principles on internal displacement also need to be taught. In addition, UN Security Council Res. 1325 on women in armed conflict and the child protection strategy of the UN are of relevance. On the procedural side, the training and later practice should include the capacity to cooperate with international and local NGOs as representatives of civil society, but also with other non-state actors, such as transnational companies. Other issues of concern are trafficking in human beings, how to deal with organised crime and other personal threats to civilians related to conflict and crises. The *do no harm-principle* also applies with regard to local populations.

For example, measures of humanitarian assistance need to be clearly distinguished for military mandates as the military protection of the population and humanitarian support may get confused leading to attacks on humanitarian NGOs.

A case study undertaken for the Madrid Report of the Human Security Study Group on the EU Engagement in Kosovo (Sabovic, n.d.) shows that the European Union had to perform multiple mandates in Kosovo and was faced with problems of coordination and coherence which made it unable to address the root causes of the conflict. Among the problems reported were a lack of a bottom-up approach, of capacity building and of local ownership. The NGO sector was flushed with money but lacked qualitative development towards sustainability and local empowerment. Reconciliation and confidence building measures proved largely ineffective (Sabovic, n.d.). Human Rights and the rule of law need significant further improvements for which purpose a rule of law mission of the EU (EULEX) has been established (European Council, 2008a). This should also contribute to political stability and strengthen the institutions of the state. Accordingly, there is a need to further operationalise human security in terms of ESDP in each given context.

However, the three-pronged human security approach goes beyond that inasmuch as it also addresses social needs and the question of participation and empowerment. In this respect, the European Union has other important instruments like its development programmes in DR Congo and Afghanistan or its enlargement strategy in South-East Europe, which is of great relevance to Kosovo. These tools can also make remarkable contributions towards promoting human security of the people. The human security approach is less common with development programmes although it was originally suggested by the UN Development Programme (UNDP, 1994) and the freedom from want plays a major role in its conceptual evolution through *Human Security Now*, the report of the Commission on Human Security of 2003 (Commission on Human Security, 2003).

This means that the European Union has the clear potential for a holistic approach to crises management as suggested by the human security concept adopted here. This promising approach, however, has not yet been implemented in the respective strategies in practice. One proposal of the Madrid Report – the adoption of a human security parlance, a human security discourse and the decision to turn human security into a truly European strategic narrative (Kaldor, Martin & Selchow, 2007) – has the potential to meet, more tangibly, the human security related needs and make for a clearer understanding of the European Union action on the ground, which would intend allow for an easier evaluation of human security needs as proposed by this project.

## PART D. RESEARCH METHODS

### D.1. Introduction

*Owen Greene*

This Chapter aims at elaborating guidance on methods and approaches for conducting research for the MULTIPART Project. As discussed in part B., it incorporates a ‘mixed methods’ approach, involving a combination of qualitative methods and also some quantitative methods. It adopts the approaches and questions described in part B., and assumes and uses the theoretical frameworks described in part C. above.

As noted in the Introduction to this Report (Part A.), we assume that all partners will ensure that their researchers for the project are fully professional, well-trained and adequately experienced in the main social science methods and approaches relevant to this project; and are capable of making skilled judgements (in consultation as usual with colleagues) about appropriate combinations and use of methods in conducting their specific research tasks. This section is therefore not aimed at providing a full introduction to relevant standard social science methods.

Rather, this section will elaborate guidance on the methods and approaches recommended for use specifically for the MULTIPART Project. It further aims at outlining key approaches, to help ensure shared understandings of terms amongst project partners and of any specific methodological approaches and choices that are customised for this project

Chapter D.2. attempts an overview of the recommended methods and approaches for WP 4, 5 and 6 addresses the main MULTIPART research questions (as described in chapter B.3.), to clarify linkages across the elements and phases of the Project as well as the methods to be used within each element.

The subsequent chapters (D.3. – D.8.) are intended to elaborate key aspects of the research methods and approaches to be used in the project, as they relate to thematic research, case studies, researching MSPs, researching contextual factors, examining and measuring impacts of MSPs on peacebuilding and human security, and the roles and significance of the EU. In each of these chapters, we aim briefly to outline the main methods to be used (with suggestions for further reading), and go on to provide practical guidance to project partners on how to design and conduct their research. The penultimate two chapters (D.9. and D.10.) highlights issues to be considered by

all project partners in designing and conducting their research – relating to ethical issues and issues relating to researching countries emerging from armed conflict. Finally, chapter D.11. will summarise the implications for criteria for in-depth case study selection.

It is important to emphasise that we have sought to strike an effective balance, to achieve an appropriate combination of flexibility and common approaches in research methods. The MULTIPART methods and approaches presented in Part D. aim to encourage appropriate flexibility for researchers and partners to select and use a variety of methodological approaches in this project, to facilitate innovation, adaptation to circumstances, and robustness of approach (risk mitigation). However, in this Project, there are certainly some areas where common, harmonised, methodological approaches will be essential – for example to ensure comparability and cumulative findings between clusters in WP 4; comparability of in-depth case studies (WP 5); and to ensure that combinations of thematic and in-depth case study evidence from WP 4 and 5 enable overall project research questions to be addressed.

The guidance provided here also takes careful account of the substantial but limited time and resources for this MULTIPART Project. In practice, resources are scarce, so it is important to prioritise.

## **D.2 Overview of Recommended Methods and Approaches for MULTIPART Project Research**

*Owen Greene*

### **D.2.1. OVERALL PROJECT OBJECTIVE AND PRIORITIES**

It is useful to begin by highlighting some key points from chapter B.2. As discussed, the overall research objective of the project is to improve understanding of how MSPs can contribute to peacebuilding and human security in countries that are emerging from armed conflict; and to clarify policy and programming implications for the EU and its partners. This is primarily a qualitative and exploratory research objective.

The Project assumes as a working hypothesis that at least some types of MSPs can in some circumstances be significant for peacebuilding and human security in countries emerging from armed conflict, and focuses on examining and exploring how, to what extent and under what

conditions MSPs can be significant. The limited time and resources of the MULTIPART Project, combined with the limited existing research on MSPs in post-conflict contexts, means that the project can NOT realistically strive to answer general quantitative research questions on how different types of MSPs develop and operate in countries emerging from armed conflict, and the circumstances and extent to which they have distinctive impacts on peace-building and human security.

*The overall objective of the MULTIPART Project is to improve understanding of how MSPs can contribute to peacebuilding and human security in countries that are emerging from armed conflict, and to clarify policy and programming implications for the EU and its partners.*

It is above all the objectives of WP 4 and 5 combined to provide a variety of empirically rich, reliable and theoretically aware evidence and findings relating to this aim. This will include a combination of a range of qualitative and quantitative methods to examine selected thematic issue areas and a number of case studies.

*On the basis of analysing the findings from such case studies, and of analysis of wider available information, the project hopes to generate and develop empirically grounded hypotheses for further research, and to examine the implications for relevant EU policies and programmes.*

The project will therefore involve some ‘mid-level’ theory development, based on initial reviews of a wide range of existing evidence, to sharpen and focus research investigations and analysis.

Such work will be a contribution in itself, and also provide the basis for the integrative and summative analysis to be undertaken in WP 6. WP 6 seeks primarily to examine the findings and lessons identified in earlier work packages to identify and explore lessons and recommendations for the EU (overall and for the EC and its agencies, EU Council, EU Parliament, and EU member states), and also its international partners. The policy and programming implications of these will then be analysed and explored in relation to specific major types and spheres of EU and EC policies and programmes. On the basis of this analysis, policy and programme relevant findings and recommendations for the EU (and its partners) will be developed. These will then be disseminated, discussed and critically examined with relevant EU officials and institutions in WP 7.

## D.2.2. OVERALL PROJECT PHASING

The overall phasing of the MULTIPART Project remains as described in the Project proposal. Within this framework, it is useful to further elaborate on phasing issues as they relate to WP 4, 5 and 6.

In summary, in the original proposal, the phasing of activities for work packages 4, 5 and 6 was planned as follows:

- WP 4: begins in Month 9 of the project (i.e. December 2009) and continues until Month 23 (i.e. March 2010).
- WP 5: begins four months later in Month 13 (i.e. May 2009) and continues through to month 19 (i.e. December 2009). WP 5 in-depth case studies were therefore expected to take place during the middle period of WP 4 activities.
- WP 6: begins in Month 24 (April 2010) and takes 4 months. In practice, preparations for WP 6 should begin earlier, to ensure that emerging implications for EU policies and programmes are identified and if necessary further investigated during WP 4 and 5 research.

Although these formal work-periods continue to be valid, in practice, there is not only extremely strong overlap between the tasks of WP 4 and WP 5, but also even the distinction between WP 4 and 5 can cause confusion, since virtually all of the project partner resources are allocated under WP 4. In practice, resources under WP 5 are solely allocated to: limited researcher time for each WP 5 country leader to co-ordinate and contribute to in-depth case study work; resources for the local in-country researchers; and the funds for travel and subsistence for the in-depth case studies and the in-country workshops with stakeholders. All of the rest of project resources, in the form of researcher time for WP 4 and 5 tasks – for both thematic and in-depth case study research -are allocated under WP 4. *It is therefore clearer to think in terms of 'thematic' and 'in-depth case study' research under combined WP 4 and 5, than it is to distinguish between WP4 and WP5 per se.*

In this framework, it is important to further refine phasing of combined WP 4 and 5 work, including provision for initial reviews of emerging findings to prepare for WP 6. This chapter briefly discusses these issues, particularly in order to facilitate effective co-ordination and planning during WP 4 and 5.

Broadly, the completion of WP 2 and 3, with this final Report, brings to an end an overall inception period for the MULTIPART Project, in which overall theoretical and methodological frameworks and approaches are established and primary research questions are finalised.

*If we then focus on the period of thematic and in-depth case study research of WP4 and 5, during months 9 – 23 (January 2009 – March 2010), three phases of WP4/5 work can broadly be identified:*

- WP 4 and 5 Inception, research design, initial thematic research and case selection;
- WP 4 and 5 Case study and thematic research, and identification and review of emerging findings;
- WP 4 and 5 Completion of case study and thematic research and analysis and write-up of findings.

The following paragraphs briefly elaborate on the priorities and tasks in each of these phases of WP 4 and 5 work. The overall aim of this discussion is not only to provide a more detailed outline of tasks, but also to clarify these in a way that facilitates integrated planning for WP4 and WP5 research. .

### **Phase I of WP 4 and 5: Inception and Research Design/Case Selection**

Within the frameworks established by this WP 2 and 3 Final Report, the each of the research teams for WP 4 need to conduct their own inception phase, develop research strategies and designs customised for their responsibilities, and select cases for in-depth case study research (in consultation with the relevant (WP5) country leader). At the same time, each WP5 country leader is responsible for ensuring the preparation and circulation of some specific country analyses and an initial mapping of MSPs in their allocated country (see below for details), and to contribute to case study selection.

*Each WP 4 team (see D.3. for more discussion):*

- Desk Review of available information on characteristics and roles of MSPs in relation to the relevant thematic issue area (security; economic and social development; democracy, good governance and rule of law; and confidence-building, reconciliation and inter-communal bridge-building)
- Elaboration of *possible* ways and means (mechanisms) by which MSPs might be significant for peacebuilding and the three aspects of human security (freedom from fear; freedom from want; participation and empowerment) in the relevant thematic issue area.

- Initial elaboration of secondary research questions specific to the area of concern to the WP 4 team (based on primary Project research questions)
- Review and development of priority proposals for MSP in-depth case studies in relevant thematic issue area (including at least one for each WP 4 thematic team in each of DRC, Kosovo, Afghanistan)
- Development and circulation of the proposed research strategy and plan for the (including proposed in-depth case study selection, and research priorities and research design for each case study), for comment by all project partners. This should take the form of a substantial research proposal for each WP4 thematic issue area team, rather than simply a ‘work-plan’, in order that the specific proposed research strategies, priorities and methodologies are clear and explicitly justified, to facilitate review by project partners and help to ensure focussed high-quality research.

*Each WP 5 Country Leader is responsible for ensuring the following*

- Identification, collation, and circulation to MULTIPART project partners of appropriate documents for the relevant country providing (i) a country context (ii) a reasonably up-to-date and comprehensive conflict assessment; (iii) a reasonably up-to-date assessment of the conflict reduction and peacebuilding process; and (iv) overview data and assessments of the human security situation in the relevant country they are responsible – for project circulation. These are not expected to involve significant original MULTIPART research, but rather to bring together appropriate high-quality existing available analyses and assessments, to provide a reliable basis for in-depth case study research and analysis. These tasks might therefore take a combined total of 2 – 5 weeks total researcher time.
- Overview survey of range, characteristics and roles of MSPs, and particularly of the legal and political context in which they operate, for the relevant country; – for project circulation
- Initial mapping and identification of potentially-relevant MSPs in the relevant country, and consultation and advice to WP4 thematic issue area teams to assist with the selection of proposed in-depth case studies and the design of the case study research.
- Orientation and initial involvement of local researcher teams

WP 4 and 5 Phase 1 ends with an overall review and reflection across project of:

each proposed research strategy for thematic and in-depth case study research, to facilitate improvements and to ensure viability, effectiveness and consistent direct relevance to the key overall project research questions of each specific research strategy for thematic and in-depth case studies;

the overall balance and profile of the proposed thematic and case-study research, to ensure that the overall aims and objectives of the MULTIPART project are met.

Once this project review has taken place, and appropriate revisions to thematic and case study research strategies and plans have been made, the detailed WP 4 and 5 research then proceeds, in phase 2 work.

Phase 2 of WP 4 and 5: Part I of detailed thematic and in-depth case study research and identification of emerging findings

- Combined WP 4 and 5 teams: work on the selected in-depth MSP case studies in the three key countries; with a combined total of between 9 – 12 in-depth case studies. In practice, each in-depth case study will involve a combination of desk and field research, and will be conducted by a specific team of researchers, including: the relevant WP5 country leader; the local researchers; and selected researchers from the relevant WP4 thematic issue area team. During this Phase of WP 4 and 5 research, case studies will probably focus primarily on researching the initiation, development, characteristics and operation of the selected MSP, with only initial field research on impacts.
- WP 4 teams: further develop and refine thematic research, review and analysis within their relevant thematic area; involving desk research that draws on a combination of: available data and literature; information, knowledge and experience of WP4 research teams; and emerging findings from in-depth case studies. This *may possibly* also involve further ‘mini-case studies’ of the roles or impacts of relevant MSPs in countries other than Afghanistan, DRC and Kosovo, where this can be done without undue diversion of MULTIPART resources from the key in-depth case studies and thematic work (Note that this is optional, and depends on readily available opportunities).
- WP4 teams: development for each respective thematic issue area of initial findings relating to each of the key MULTIPART research questions 1 – 6.

- WP 4 teams: initial review emerging possible implications for EU policies and programmes (preparatory for WP 6)

Phase 2 ends with a major mid-project review of research progress and of emerging findings and priorities, leading to a possible re-focussing of subsequent WP 4 and 5 research.

#### Phase 3 of WP 4 and 5: Part II and completion of case studies and analysis

- WP4 and 5 in-depth case study teams complete each of in-depth case studies, taking into account results of mid-project review, and write up each case study.
- WP 5 country leaders, with co-operation from relevant WP4 teams, conduct meetings/workshops with relevant stakeholders in their respective countries
- WP 4 teams: further develop thematic research, addressing each of the key MULTIPART research questions 1 – 6 and their associated secondary research questions (as previously developed by each WP thematic issue area according their specific issue area characteristics and initial hypothesis relating particularly to research question 2).
- WP 4 team each prepare reports of their research findings and analyses, systematically addressing MULTIPART research questions 1 – 6 and drawing on both their thematic research and the in-depth case study research.
- Circulate, comment revise and publish agreed WP 4 and WP 5 outputs.

The MULTIPART project proposal specifies that the outputs of WP 4 and 5 will include: ‘Country Papers’ for the Afghanistan, DRC, and Kosovo; and ‘Thematic Papers’ for each of the four thematic issues areas. In practice, we envisage that these will be comprise of the following:

**Country Papers** comprise the following: Introduction; Overview of country context, the roles and characteristics of MSPs in that country and the political/legal context in which they operate; in-depth case study findings (3 – 4 of these for each country); Annexes providing conflict assessment, peacebuilding assessment and human security context. WP 5 country leaders will have overall responsibility for the final collation of each Country Paper, and for the Introduction, Overview and Annexes outlined above. The report of each in-depth case study will be the responsibility of each relevant WP4/5 case study team.

**Thematic Papers** comprise the following: In-depth report of the findings from a combination of thematic and in-depth case study research that systematically addresses each of the primary research questions 1 – 6 and the associated secondary questions developed by each WP4 thematic issue area team. As discussed in section D2.3 below, these reports should aim to develop and examine grounded elaborated hypotheses relating to research questions 1 and 2, and as well-development answers as possible to research questions 3 – 6. The leader of each WP4 thematic issue area team has overall responsibility for the preparation and submission of their respective Thematic Paper, although every project partner involved in each WP4 team will obviously be expected to substantively contribute (proportionally to their allocated resources).

Note that each of these phases for WP 4 and 5 include concurrent work on a mixture of qualitative and quantitative investigations. The precise design and planning of each WP 4 and 5 thematic and in-depth case study team is for them to decide, within the framework established in this Final Report of WP 2 and 3, and taking account of comments from partners at project review points.

### **D.2.3. ADDRESSING THE PRIMARY MULTIPART RESEARCH QUESTIONS**

This section aims at briefly discussing methodological and planning issues for research to address each of the main research questions for the project. The aim of this section is to further assist with an overall orientation, and to provide a context for using the later parts of part D. on research methods.

#### ***D.2.3.1 Contextual Analysis***

As discussed, some contextual information and analysis will be essential for WP 4 and 5, particularly for in-depth case studies of selected MSPs in Afghanistan, DRC and Kosovo, and much is potentially relevant. Our guidance to project researchers is designed to reduce risks that valuable time and resources are unnecessarily diverted to contextual work that is not absolutely essential to the task of addressing the main project research questions.

*Essential contextual analysis for WP 4 and 5:* Identification and collection of existing publications or documents providing an adequately detailed and timely set of the following: a country context; a sufficiently reliable and comprehensive and up-to-date conflict assessment; good and up-to date assessments of the peace-building process; and at least a summary of the situation and key priorities for human security – for each of Kosovo, DRC and Afghanistan. This is a key

task of each WP 5 Country Leader during the phase 1 of WP 4 and 5 work (possibly with support from other partners with relevant country experience). Preferably, the collation of such contextual analyses and assessments will not involve significant new work, but rather identification or combination of good existing assessments that are adequate for MULTIPART purposes. These should be collated, and combined with appropriate cover notes to provide guidance relevant to MULTIPART. WE envisage that the collation and preparation of these documents will take a total of between 2 – 5 weeks researcher time. Consultation with relevant WP 2 and 3 researchers can help to clarify requirements in this context, if there are questions

*Overview of the distinctive and characteristics of MSPs, and the political and legal context in which MSPs form, develop and operate in each of DRC, Afghanistan and Kosovo:* This provides an important context for case study selection, research design and interpretation of case study findings. The overview of the political and legal context aims to clarify any relevant generic characteristics or constraints on the formation and operation of MSPs in the country concerned arising from political and legal frameworks, institutions, cultures and practices. For example, the country may have laws strongly constraining the formation, composition or declared objectives of MSP, which will affect the ways in which MSPs actually form, operate and present themselves. Similarly, there may be political parties, institutions or traditions that facilitate, constraint or shape the roles and effectiveness of MSPs. These contextual factors may not be apparent to MULTIPART and other researchers who are not familiar with the country concerned, and therefore need to be made clear at an early stage. However, it is envisaged that much of the key political and legal context for MSPs will already be familiar to the relevant WP5 country leader and the local researcher team (and perhaps also to some other MULTIPART partners). Thus the preparation of this overview is only expected to take between 1 – 4 weeks total researcher time.

Otherwise, MULTIPART resources should not be devoted to any other research on contextual factors except where this is essential as part of in-depth case study or thematic research to address primary MULTIPART research questions.

Contextual research is further discussed in Chapter D.6. below.

#### **D.2.3.2. Case Study Research**

Case study research on the development, operation and impacts of specific MSPs is a primary focus of WP 4 and 5. They are essential for addressing most of the project's main research questions.

For the purposes of promoting clear communication within the project, we label the major case studies in DRC, Kosovo and Afghanistan envisaged in the project proposal as ‘In-depth Case Studies.’

In principle, it would be best for there to be a total of 12 such in-depth case studies for this MULTIPART Project (a case study selected for each thematic issue area in each of our three project countries). In practice however, it may be that one MSP case study will be highly relevant for more than one thematic issue area, reducing the total number of in-depth case studies. [There is also limited scope for WP 4 teams also to conduct an additional case study of an MSP in another country if they have the necessary resources and data (for example from other recent project work)].

Scarce resources imply that MULTIPART’s in-depth Case Studies need to be carefully selected. Once selected, project resources need to be focussed involving appropriate research teams to enable each in-depth case study to be researched comprehensively for MULTIPART purposes. In each of the DRC, Afghanistan and Kosovo, each WP 4 thematic issue area team should have a strong research interest and engagement with at least one of the selected in-depth case studies.

#### ***D.2.3.3 The Primary Project Research Questions***

In this sub-section we briefly discuss each of the primary project research questions in turn, to elaborate how they may be addressed in MULTIPART research.

##### **1. What are the characteristics and types of MSPs operating in countries emerging from armed conflict?**

Key Research Question 1 has been initially reviewed as part of WP 2 and 3 research, but it needs to be further developed in WP 4 and 5. For Kosovo, DRC and Afghanistan, the relevant WP 5 Country Leader team (perhaps with the help of other WP4/5 partners) should conduct an initial mapping and identification of relevant MSPs in ‘their’ country. Similarly, each WP 4 thematic team should conduct a desk review of the characteristics and types of MSPs operating in a wide range of countries emerging from armed conflict relevant to their specific thematic issue area – overall and perhaps in more detail in a few selected sub-issue areas.

The in-depth case studies will directly contribute to answering this question in relation to the specific MSPs selected; and further light will be cast on this through case selection processes.

During the course of WP 4 and 5 research, it will be important to develop, elaborate and refine ways of characterising MSPs in countries emerging from armed conflict; building on the characteristics identified by WP 2 and 3 (see sub-section C.2.1.2. above), which include: actors

involved, issue or subject area; function; geographical range; time scale/duration; degree of institutionalisation; quality of internal MSP decision-making and capacity-building processes; and outputs. This will primarily be a responsibility for each WP4 team.

Ultimately, our aim is to develop empirically-grounded understandings and refined hypotheses addressing this Research Question 1. This is an important question, on which the project will aim substantially to improve knowledge. However, it is not an objective of MULTIPART to comprehensively and reliably answer it: our resources are too limited to realistically aim for this while at the same time properly addressing all of the other key research questions.

**2. In countries emerging from armed conflict, what is the *potential* significance of MSPs (e.g. what possible mechanisms exist) to impact on:**

- conflict reduction and peace-building;
- improving vulnerable peoples' security from violence, crime and illegitimate coercion;
- alleviating poverty and promoting socio-economic development;
- empowering vulnerable people and communities and promoting their participation in public life?

This question engages with the objective of developing ‘middle-level’ theory and potential hypotheses to inform WP 4, 5 and 6 and wider future research.

Primary Research Question 2 has been partially addressed, in a generic way, in earlier chapters of this WP 2 and 3 Final Report. On the basis of this, we have elaborated some initial ideas on this issue, which we hope will provide a basis for further thematic exploration and examination in by WP4 teams. BOX D.2.3.3 thus provides notes that elaborate briefly on some possible ways and means (or mechanisms) by which MSPs could *potentially* contribute to the four types of impact specified in this research question.

**BOX D.2.3.3**

**Initial Ideas on Possible Ways and Means by which MSPs could significantly impact on conflict reduction and peacebuilding, freedom from fear, freedom from want, or participation or empowerment, in countries emerging from armed conflict**

**A: Some possible mechanisms relating to an MSP's internal characteristics**

- Mechanisms arising from the membership and composition of the MSP

- Mechanisms relating to the degree and character of institutionalisation
- Mechanisms relating to the governance structures
- MSP enables collective use of capacity and resources of one or more MSP members
- Pooling of resources and capacities enables MSP to cross ‘thresholds for access or influence;
- Involvement of community-based organisations, enabling greater connection between MSP priorities/programmes and beneficiary communities
- Involvement of business actors enhances resources and access
- MSP membership commitments enhance sustainability
- MSP membership facilitates active participation in public life
- MSP mixed-actor composition provide multi-functionality and capacities with synergy effects.
- Confidence-building impacts if MSP membership crosses social or ethnic divisions
- Membership by international actors empowers (or disempowers) local members
- Membership by international donors facilitates match-making between donors and recipients, or the development of conflict-sensitive aid programmes
- MSP rules or membership composition enables better risk management

#### **BOX 2.3.3 B: Possible mechanisms relating to the internal operation and dynamics of an MSP**

- Participation in MSP involves capacity-building of members
- Participation empowers MSP members (some or all)
- MSP enhances communications between members and their stakeholders
- Membership enhances access to information by members
- Internal capacity building processes for MSP members
- Internal operation and dynamics of MSP enhances sustainability
- MSP operation facilitates effective strategy building and problem solving
- MSP dynamics and operation facilitates flexibility and creativity
- Flexibility (or constraints) on membership enables obstacles to be overcome
- Membership of MSPs reduces vulnerability and increases security of its members
- Participation of state agencies enhances wider state-building benefits of programmes
- MSP enables better communication or co-ordination within and between donors and local

stakeholders

- MSP composition and operation promote awareness of conflict sensitivity by government agencies, businesses etc.
- MSP procedures and governance arrangements provide ‘good practice’ lessons that members use or promote elsewhere (e.g. transparency, consultation, democratic participation)
- Qualities of MSP operation contribute to confidence-building between members or between their stakeholder groups or associates.

#### **BOX 2.3.3 C: Possible mechanisms for impacts relating to external linkages of an MSP**

- Involvement of mixed actors (state, non-state) facilitates co-operation with, and influence over, the government, state institutions, and wider civil society (e.g. through enhanced legitimacy, contacts, etc)
- MSP characteristics and connections facilitate access to external funds
- MSP characteristics or dynamics facilitate external donor engagement and support
- MSP facilitates linkages with political authorities to reduce vulnerability and insecurity of MSP members or of beneficiaries
- MSP facilitates external linkages to increase agenda-setting capacity or power.
- MSP linkages (of constituencies, stakeholders etc) promotes access to information, communications, consultation, etc.
- MSP track-record or positioning facilitates mediation, reconciliation or inter-communal bridge-building activities by the MSP or by one of its members;
- MSP external linkages facilitates timely mobilisation of external resources and support, including external mediators etc.

These possible mechanisms remain undeveloped and incomplete at this stage, and are presented primarily to provide a basis for more systematic elaboration of answers to Research Question 2.

It is expected that WP 4 teams will during Phase 1 of their work (see above) further develop ideas about possible mechanisms for MSP impacts in their respective thematic issues areas, and

begin to refine possible hypotheses on the basis of initial desk reviews. These can then help to inform the in-depth case study and further thematic research and analysis by WP4/5 teams.

Emerging answers to this question will be reviewed and refined during the mid-point review at the end of Phase 2 of WP4/5 work; and then in phase 3 on WP4/5 and in WP6.

Overall, the project aims to:

(i) provide a developed mapping of the potential mechanisms by which MSPs can impact on conflict reduction and peacebuilding and human security in countries emerging from armed conflict; and

(ii) develop an empirically-grounded set of refined and developed hypotheses on the ways and circumstances in which MSPs do and can contribute to conflict reduction and peacebuilding and human security in countries emerging from armed conflict – overall and for each thematic issue area – the merit further investigation in future research.

(iii) establish which mechanisms and processes operated to explain outcomes and selected impacts in our selected in-depth MSP case studies.

Note that it is not a realistic or proposed objective of MULTIPART to systematically test each of these emerging hypothesis across a range of countries emerging from armed conflict (or within the whole of Kosovo, DRC, or Afghanistan) within the time and resources available to MULTIPART. This will be a focus for future research, building on the substantial findings generated in the MULTIPART project.

### 3. How *in practice* have selected MSPs formed and developed over time; how have they been composed and how have they operated – both internally and in relation to their external stakeholders and intended beneficiaries?

Primary Research Question 3 is particularly central to MULTIPART, and much of the in-depth case studies will be devoted to answering it for the specific MSPs.

Unpacking this question highlights a number of secondary and associated research questions; relation to:

- MSP formation processes: identification and establishment of core MSP participants and objectives; development and agreement of participation, consultation and decision-making rules/procedures; development and characterisation of MSP resources; engagement with external actors (international, transitional, national); development and coherence of objectives; further development of above issues over time; etc, etc

- Roles, influence and interests of MSP participants: interactions between MSP members; burden-sharing issues; problem solving operations; resilience mechanisms; linkages with other actors/MSPs.
- Evidence of distinctive characteristics and types of MSPs

WP 2 and 3 guidance to WP 4 and 5 researchers is that all in-depth case studies should address this question systematically and in detail, at key points in the MSP's lifetime and also dynamically.

The question is important in its own right, in order to add to knowledge about the development, operation and roles of MSPs relevant to peacebuilding and human security in countries emerging from armed conflict.

More importantly for this project, the findings from Research Question 3 for selected case study MSPs are important to provide a basis for answering Research Questions 4 and 6, and most importantly the second part of Research Question 5 - that is for examining whether and how the characteristics, operation and development of these MSPs affected their impacts on peacebuilding and human security. Such examinations can provide examples of specific mechanisms for MSPs' influence and impact, such as the potential mechanisms listed above (under Research Question 2).

#### 4. How has participation in an MSP impacted on the MSP's members, in relation to their roles, capacities, empowerment, interests and vulnerabilities relating to:

- conflict reduction and peacebuilding;
- security from violence, crime and illegitimate coercion;
- alleviating poverty and promoting socio-economic development;
- empowering vulnerable people and communities and promoting their participation in public life?

To what extent, and in what ways, have these impacts, depended on the characteristics of the relevant MSP?

Research Question 4 thus focuses on understanding the ways in which members of an MSP are affected through their participation in it, particularly in relation to the types of issues of particular interest to MULTIPART. This question is expected primarily to be investigated through the in-depth case studies, but we also hope that thematic research will address this question too.. It is thus envisaged that this question will be systematically investigated in each in-depth case study. WP4 thematic issue area teams should further seek to address this question through desk research, and also possibly by drawing on small 'mini' case studies where opportunities allow.

This question is particularly relevant to the question of how MSPs can contribute to empowerment and enhanced participation capacity of relevant participants and members. This provides a direct mechanism for MSPs to contribute to at least this aspect of human security for local participants.

Answer to this questions are also required to provide a basis for investigating whether and how some of the potential mechanisms by which MSPs could contribute to peace-building and human security (as listed, for example, under Research Question 2 above) could actually provide an actual at least partial explanation to the second part of Question 5 below. .

5. What has been the impacts of selected MSPs on external stakeholders and potential beneficiaries, in relation to:

- conflict reduction and peacebuilding;
- security of vulnerable people and communities from violence, crime and illegitimate coercion;
- alleviating poverty and promoting socio-economic development;
- empowering vulnerable people and communities and promoting their participation in public life?

To what extent, and in what ways, have these impacts depended on the characteristics of the relevant MSP (e.g. its multi-stakeholder character; its specific membership; its internal procedures, capacities or decision-making mechanisms; etc)?

Research Question 5 is also a particularly high priority question for WP 4 and5.

The first part of the question relates to assessment of impacts of MSPs. It is essential that each case study assess such impacts carefully. This will involve specific design of a research strategy customised to the specific case study. Impacts may be direct or indirect, and they may arise due to outputs or the processes involving the MSPs.

For each in-depth case study, the selection process will already have highlighted specific high potential for impacts on conflict and peacebuilding and for at least one dimension of human security (security from violence/crime; poverty and development; empowerment); and these are obvious foci for analysis.

Specific sets of indicators or proxies will need to be selected to investigate impacts, according to: the issue areas selected for impact investigation; available reliable baseline and outcome data; possible mechanisms for impact, and so on. In in-depth case studies, unintended outcomes and impacts should also be examined. In this context, issues of peace and conflict

sensitivity can be included in each in-depth case study, making use of the relevant contextual conflict assessment. These issues are discussed further in Chapter D.7. below.

WP4 thematic research should also aim to address this question, drawing on available literature and data from a range of countries as available.

The second part of the question focuses on investigating whether and how the findings relating to Research Question 3 – the characteristics, development and operation of the MSPs in question – help to explain the findings from the first part of Question 5. It will also clarify whether the case study research can confirm and illuminate any of the potential mechanisms for impact (as identified through Question 2 above).

6. How has the participation or support of international actors, including the EU, affected the MSPs selected for case study in this project; in relation to the MSP's development, operation, sustainability and impacts? What are the lessons for how the EU and other international actors should support or participate in MSPs?

Key research question 6 is primarily concerned with questions relating to the significance of different types of external and international actors for the findings of Questions 3, 4 and 5. It is not particularly important to focus on the significance of one or more EU actors/programmes, although opportunities should be taken to do this where possible and appropriate in both the in-depth case studies and wider thematic research.

The Project is interested in the significance of a wide range of levels or types of engagement by external international actors; ranging from full or secondary participation as a member of the MSP, through direct support to the MSP, support to one or more of the MSP members; to unintended influence.

It is envisaged that findings relating to this question will come mainly from in-depth case studies in WP 4 and 5. The selection of such cases should seek to ensure a balance across the overall set of case studies between different types of engagement by different types of international actors. In this context, it is expected that EU actors will be significant supporters or participants in at least some of the selected in-depth case studies, though not in all of them.

WP4 desk research should further aim to examine experience relating to this research question 6, on the basis of available information (perhaps including specific programme evaluations or assessments where available) and also on any other cases with which they are familiar through their previous or other research activities.

The findings from research on this question will contribute particularly directly to WP 6 assessments. This is the motivation for the second part of this question, which focuses on the lessons for the EU, or its component institutions or partners, in relation to whether and how to participate as a member of an MSP.

7. How can EU (including member states') policies and programmes better support and co-operate with MSPs in countries emerging from armed conflict in order to promote:

- conflict reduction and peacebuilding;
- security from violence, crime and illegitimate coercion;
- alleviating poverty and promoting socio-economic development;
- empowering vulnerable people and communities and promoting their participation in public life?

Findings addressing Research Question 7 are expected to emerge through WP 6 analysis of the findings of WP 4 and 5. They will directly draw upon the findings relating to all of the Research Questions 1 – 6. Direct investigation of this question is not expected to be a major focus of most WP 4 and 5 research, though where opportunities arise to illuminate this question in the course of WP 4 and 5, they should be identified and the opportunity costs of pursuing them should be assessed.

#### **D.2.4. RESEARCH DESIGN AND PLANNING FOR WP 4, 5 AND 6**

As discussed in section D.2.2. above, a key element of the first phase of WP 4 and 5 work is the development of a specific research strategy for each WP 4 thematic issue area team and for each case study. Provided that they apply the definitions, frameworks and guidance in this WP 2 and 3 Final Report, WP 4 thematic issue area teams have wide discretion on how best to focus and prioritise their research work. Guidance on such WP 4 thematic issue area research is discussed in more detail in chapter D.3. below.

In-depth case study selection is expected to take time and resources. Criteria for case selection depend not only on the potential interest in the case, but also on the feasibility of systematically answering at least Research Questions 3, 4, and 5 for the case study (an essential requirement) and preferably also Research Question 6.

Specific research strategies should be developed to enable each of these primary research questions to be investigated in detail through each case study. Investigation of the formation,

development, characteristics and operation of the MSP will require access to adequate data, including participants for qualitative and semi-structured interviews, for example. These issues are discussed in more detail in chapter D.5.

Similarly, specific strategies will need to be developed to investigate the impacts of the selected MSPs. Assessing impacts can be complex and demanding. In the MULTIPART context, it is envisaged that such impact assessments will include focussed empirical work on only a few specific issue areas or target groups/potential beneficiaries. Guidance on this issue is detailed in chapter D.7 below.

By the end of Phase 1 of WP 4 and 5, a detailed research strategy and proposal for each selected in-depth case study should be prepared and circulated for review by all project partners. This should be a developed and substantial document, similar to what might be included in a research funding proposal to an academic funding body. This should clarify, *inter alia*, how each aspect of the strategy is important and appropriate to address the relevant key MULTIPART research questions for that case.

Similarly WP4 thematic issue area teams are expected to devote substantial resources during Phase 1 of WP4/5 work to the development of a research strategy relating to their specific thematic issue area. This should also be prepared and circulated for comment to all project partners by the end of Phase 1 of WP 4 and 5 work. As for each in-depth case study, this should take the form of a substantial and development research proposal, similar in nature to what might be expected of a research funding proposal to an academic funding body. It should clarify, *inter alia*, how each element of the research strategic is directly relevant and important for addressing MULTIPART research questions 1 – 6, and any associated secondary research questions that may have been developed by the WP4 team.

Systematic analysis for WP6 will begin in a concerted way once WP4 and 5 are finished. But we recommend that possible or emerging implications for EU policies and programmes are noted and highlighted as they emerge during WP4 and WP5 work. We presently envisaged that MULTIPART conducts an initial review of these emerging possibilities at the MULTIPART meeting in July 2009, so that promising areas can be explored in the later phases of case study research. The work of WP 6 itself will involve developing and exploring the general implications of WP 4 and 5 findings for the EU and its members, and then examining and developing these in more detail in relation to specific important spheres of EU policies, programmes and activities. These will then be explored with relevant EU officials and institutions, during the later parts of WP 6 and in WP 7.

## D.3 Conducting MULTIPART thematic issue area research

*Owen Greene*

This chapter builds on Chapter D.2. to provide guidance for WP 4 thematic issue area teams. The Project includes teams to work on the roles, significance and impacts of MSPs in relation to four broad thematic issue areas:

- WP 4.a. – security
- WP 4.b. – economic and social development
- WP 4.c. – democracy, good governance and rule of law
- WP 4.d. – confidence-building, reconciliation and inter-communal bridge building.

Each WP 4 team has wide experience of researching within the respective thematic issue areas, and it is not necessary to provide general research methods guidance. Rather this chapter aims to build on Chapter D.2., and focus on providing guidance about priorities and tasks for thematic dimensions of WP 4 research.

The primary purposes of separating examination of these four thematic areas in the Project proposal were to:

- Ensure systematic examination of the roles, significance and impact of MSPs across a number of distinct thematic areas of direct relevance to post-conflict peace-building and human security;
- Enable (up to a point) comparisons between findings on the operation, significance and impact of MSPs in these different types of issues
- Enhance the research basis of the MULTIPART Project to develop policy-relevant findings and recommendations for the EU in different policy and programming areas.

It is important to recognise that these four thematic issue areas are intended broadly to indicate the types of objectives or policy spheres that MSPs operate in. They are not intended to imply that a specific thematic issue area team focus only on the most directly related categories of possible impacts of MSPs.

Thus WP 4.b. teams are broadly expected to include within their work plan investigations of impacts of selected MSPs on poverty alleviation or socio-economic development, but it is also expected that they include investigations on some other categories of impact (such as security from violence; or empowerment of vulnerable groups). An MSP concerned with promoting employment,

for example, might also investigate impact on aspects of peacebuilding or security from violent crime.

Each WP 4 team is expected to conduct desk research to review available literature on the roles and significance of MSPs in countries emerging from armed conflict across their issue area, and to map out (in co-operation with WP 5 Country Leaders) MSPs operating in their issue area in Afghanistan, DRC and Kosovo. This will be based on available literature, and may also make use of detailed information, research or experience available to one or more of the research institutions and teams due to their previous or concurrent project experience, indeed this is encouraged.

Each WP 4 team is also expected to identify and develop potential mechanisms and hypotheses for the significance and impacts of MSPs related to their issue area on peace-building and the three operationalised categories of human security. Each is expected to start with the identification of a substantial number of such mechanisms, probably based on the types of possible mechanisms listed in BOX D.2.3.2. above (close to discussion of research question 2). These should then be elaborated and refined as judged appropriate, to highlight mechanisms that may be particularly relevant for that issue area.

Once this initial overview and hypothesis development is completed however, WP 4 teams are encouraged to focus their research on selected aspects or sub-issues. For example, WP 4.a. might select 2 – 3 sub-issues from amongst such as: SSR; mine action, SALW control, violent crime, domestic violence, sexual violence or protection from confiscation of property/land. WP 4.b. might focus on 2 – 3 issues such as education, sanitation, health, employment, de-criminalisation of the economy, or poverty alleviation for specific vulnerable groups. WP 4.c. might focus on 2 – 3 issues such as corruption, electoral processes, access to justice, respect for specific human rights, women's participation in public life, for government reform. WP 4.d. might focus on 2 – 3 issues including confidence-building measures; mediation, conflict-sensitivity of aid or development programmes; reconciliation, transitional justice, addressing marginalisation or alienation of specific groups, or development of sustainable peace-building coalitions.

Once these thematic foci for WP 4 teams are established, they can guide case selection for in-depth case studies, and provide a focus for middle-level theory building and testing. Issues and guidelines relating to case study research on MSPs and their impacts are discussed in chapters D.4., D.5. and D.7. below. Each WP4 thematic issue area team is normally expected to contribute to at least one detailed case study that is directly relevant to their area in each of the three countries (Afghanistan, DRC and Kosovo). In some cases, a rich case study will be directly of interest to more than one WP 4 team, in which case they will co-operate in conducting that case study.

Each WP4 thematic issue area team is expected to not only to contribute to their relevant selected in-depth case study research and analysis (at least one in-depth case study in each of Afghanistan, DRC and Kosovo), but also to engage in substantial and systematic thematic desk research to investigate and analyse experience relevant to addressing each of key research questions 1 – 6.

As WP 4 and 5 research develops, and case studies are well underway, each WP 4 team will be responsible for reviewing and analysing relevant emerging findings – for WP6 (research questions 6 and 7) as well as those relating to Research Questions 3, 4, 5 and 6. After the project mid-point review in July 2009 (at the end of Phase 2 of WP 4 and 5 research), they will be responsible of refocusing and developing the remainder of the case study and thematic research according to relevant aspects of wider project priorities identified in that review. This will include addressing research questions 1 and 2 (as discussed in section D.2.3.3) as well as research questions 3 – 6 more directly, drawing on in-depth case studies as well as available wider research. One issue for WP 6 work is the extent to which the policy and programming implications of MULTIPART findings for the EU depend on the thematic issues area in which the MSP operates. It is not necessarily expected that this will be a major factor, but this is to be determined through our research. However, it is certainly envisaged that the implications will be explored through specific EU/EC policies and programmes, at least some of which will be entirely or partly focussed on thematically-specific objectives.

## D.4. Conducting case study research for the project

Valentina Bartolucci

Detailed guidance for researchers on MULTIPART MSP case-study research is addressed in chapter D.2., which discusses the overarching methodological framework and in D.5., which focuses on researching MSPs. Researchers should also refer to sections D.7.2. and D.7.3., which address research methods on measuring impacts in case-studies. Chapter D.11. provides a useful overview of case selection criteria for case-studies.

This chapter provides key background and framing assumptions for participants engaged in case-study research, and discusses the broad methodology of case study research. It aims to provide a framework that informs the customization of case study research within the MULTIPART Project, and offers an overview of key stages in case-study research design and key skills required from researchers..

### D.4.1. OVERVIEW OF CASE STUDY METHODOLOGIES

#### Case studies and theory

Case studies are an essential form of social science inquiry (Yin, 1993). They are fundamental in developing theory in social science research (De Vaus, 2001) and they are ideal for providing an in-depth account of events, processes and relationships within a particular setting (Denscombe, 2007). Doing a case study is much more than simply doing fieldwork: case study is a method with its own design and analytical specificities that distinguish it from other methods (Yin, 1993). Although literature on methodological guidance on how to carry out case study research has grown in the recent years, the most focused works remain those of Robert Yin, in particular *Case Study Research: Design and Methods* (1989) and *Applications of Case Study Research* (1993) and of George and Bennett *Case studies and theory development in the social sciences* (2004).

There are several reasons to choose a case study methodology. Case study research is of advantage when the aim is to define topics broadly, to cover not only the phenomenon of study but also contextual conditions, and finally to rely on multiple sources of evidence (Yin, 1993). These three conditions are present in the MULTIPART project formulation. Firstly, the definitions of key elements of the Project (Human Security, Multi-stakeholder Partnerships, Post-conflict setting and

Peacebuilding) are sufficiently broad to include a wide range of data. Secondly, case-studies permit the kind of micro-level analysis and process tracing (e.g internal processes, individual or group actions, or power dynamics within a specific organisation), which is not always possible in other methodological approaches, but case-studies also permit the study of contextual conditions. Thirdly, case study methods allow the adoption of multiple sources of evidence that are considered crucial to facilitate triangulation, in order to avoid bias (Denscombe, 2007). Either quantitative or qualitative data collection methods may be used under case study research.

There are several approaches within the broader case-study research method. Case study research can be based on single or multiple case studies. MULTIPART adopts a multiple case study approach. MULTIPART does not carry out multiple ‘country’ case studies but rather the units of analyses are MSPs, which are chosen for their intrinsic characteristics within specific geographical locations (Afghanistan, DRC and Kosovo).

There are three types of case study: exploratory, descriptive or explanatory. In this project, the type of preferred case study is the explanatory one. This type of case study presents data bearing on cause-effect relationships - it aims at explaining how events happened (Yin, 2003).

To conduct this kind of case study –explanatory- the researcher should initially ascertain the questions to be asked, the broad hypotheses of the study, the data collection method, accessibility to data, the data analysis method, and so on. Good case studies have to respond to the four criteria of: external validity, internal validity, construct validity, and reliability (see Yin: 1989: 40-45). External and internal validity can be achieved through the “specification of the units of analysis, the development of a priori rival theories, and the collection and analysis of data to examine and test those rivals (Yin, 1993: 40). Construct validity “deals with the use of instruments and measures that accurately operationalise the constructs of interest in a study” (Yin, 1993: 40). It has been a source of criticism because of potential investigator subjectivity. However, three remedies have been proposed to deal with that: using multiple sources of evidence, establishing a chain of evidence, and having a draft case study report reviewed by key informants (Yin, 2003). Reliability is achievable through the use of formal case study protocols and the development of a case study database (Yin, 1993).

In the design and implementation of case studies, three (interrelated) phases are necessary:

- 1) the objective, design and structure of the research are formulated;
- 2) each case study is carried out in accordance with the research design;
- 3) the researcher draws upon the findings of the case study (George and Bennett: 2004: 73).

#### D.4.2.CONDUCTING CASE STUDY RESEARCH FOR MULTIPART

As already pointed out, case study methodology is mostly appropriate in cases when the phenomenon under study is not readily distinguishable from its context. Indeed, case studies tend to be ‘holistic’ rather than dealing with isolated factors (Denscombe, 2007). Moreover, case study is an ideal methodology when an in-depth investigation is needed as in this case (Feagin and Sjoberg, 1991). In this particular context, the case studies under analysis have to be chosen for their specificities of multi-stakeholder partnerships (in the Kosovo, DRC, and Afghanistan); their role and impact on peace-building and human security; and the relevance of external actors in the process.

A well-articulated research design is one of the most important factors in doing a good case study. The case study design has to remain dynamic, and it is important to take into account that the original design can undergo multiple redesigns, in response to new information. However, before starting the detailed design of the case study, some preliminary steps should be taken:

- (i) Literature review;

*A review of all available documentation in the public sphere directly related to the selected MSP, and also literature addressing the specific context in which the MSP is working, and its potential impacts; other related literature on related phenomena in the context of the case-study (civil society or private sector involvement in development, for example in this country or sector context) should also be identified.*

- (ii) Collection of as many potential sources as possible related to the case-study;

*This stage involves identifying the availability and applicability of a wide range of qualitative and quantitative data sets, including potential sets of interviewees and internal documentation, and assessing the availability of reliable data on impacts.*

- (iii) Development of relevant hypotheses;

*Specifically, developing mid-level theory questions related to the case-study in question [see subsection D.2.3.3.], within the remit of the primary research questions; these will be further developed and refined as the research design progresses;*

- (iv) Understanding the context;

*Within MULTIPART much of the contextual analysis will take place in two forms. The relevant WP 5 Country leader is responsible for collating reliable contextual information at a country (or provincial) level on: country situation; conflict analysis and assessment; assessment of the peacebuilding process; information on the human security situation. In addition, the in-depth case*

*study team will refine and develop such analyses for the specific context of the selected MSP in its initial literature review. Detailed study of context is not a primary aim of researcher, except where this is essential for the specific analysis of the selected MSP's development, operation or impact. Research undertaken to understand the context must be geared to addressing the primary research questions, and the mid-level hypotheses relevant to the MSP.*

- (v) Defining the unit of analysis (see D.4.2.1.)

#### **D.4.2.1. Unit of Analysis**

One of the fundamental challenges that first arises in conducting a case study is the choice of the unit of analysis. Yin reminds researchers that “no issue is more important than defining the unit of analysis” (1993: 10). Identifying the unit of analysis, thus, is the analytical priority in MULTIPART. The chosen unit would not necessarily be a single organization or a single initiative. A joint initiative such as multi-stakeholder partnership can be a unit of analysis. The analysis can be situated at different levels of complexity: at the level of joint projects, programs, inter-organizational level, and so on. For MULTIPART this is specifically the case: the primary unit of analysis is the selected MSP.

The choice of the unit of analysis allows the researcher to limit the boundaries of the study and it has to be clearly defined at the outset of the study. In addition to that, the choice of the unit of analysis is also relevant for the generalisability of the study. Indeed, the case study pertains to specific theoretical propositions that will later be the means for generalizing the findings of the case study to other similar cases with the same unit of analysis (Yin, 1993). Thus, the definition of the unit of analysis dominates the entire design of the case study as well as its potential theoretical significance. It is useful to keep in mind that “one reason why so many case studies of a particular phenomenon in the past did not contribute much to theory development is that they lacked a clearly defined and common focus” (George and Bennett, 2004: 70).

A single unit of analysis is sufficient for simple design. However, more complicated designs can have multiple units of analyses embedded with each others. In that case, multiple research questions and instruments are needed for each unit of analyses (Yin, 1993). In the case of MULTIPART, the proposed unit of analysis is a selected multi-stakeholder partnership. This principal unit of analysis will be subdivided in embedded sub-units of analyses, such as the members of the partnership. For instance, one of our MSP can be a community based one, operating in three regions. One of the sub-units could be the activities undertaken in the three localities. The

principal unit of analysis would be the MSP redefined in these specific local areas that will be analysed as sub components of the principal unit of analysis.

At the same time, the principal unit of analysis together with the embedded units (how the MSP operates, what are the impacts and so on) will itself be embedded in a wider dimension that deems necessary to look outside the MSP per se. So for instance, in order to understand the mechanisms of the MSP under analysis, it could be important to look at under which rules it operates (the decision making process and so on).

#### **D.4.2.2. Selection of the Case Study/ies**

The selection of a case study is also of paramount importance. Case studies cannot be randomly selected, but rather are chosen on the basis of known attributes (Denscombe, 2007). The criteria used for the selection of cases need to be explicit and need to be justified in the methodology (Denscombe, 2007). In this project, the adoption of a multiple case studies methodology is considered most appropriate, but the constraint is that only a small number of case studies of multi-stakeholder partnerships can be subject of the study. However, that responds to the desire to investigate the dynamics within each case extensively. A first selection criterion can be that every case has to demonstrate (prior to the final selection) the occurrence of exemplary outcomes. The replication question would then be whether similar events within each arrangement account for these outcomes.

To select a case, (some of ) these criteria can be useful (Yin, 2003:34):

- (i) the case is critical for the hypotheses or theories being tested;
- (ii) the case offers rich opportunities for improving understanding of the primary phenomena or processes under research
- (iii) the case has a topical relevance; and
- (iv) the case is feasible and accessible.

Details such as size, numbers of partnerships to be analyzed, are crucial because they justify the choice of that particular unit of analysis and they form the basis of any future generalization. It is worth to note that the case selection process can be lengthy and it must be avoided to have a screening process so extensive to be a study in its own. Ideally, the cases should cover different country regions and organizational modes. It is necessary to plan sufficient time and resources to support this screening process that can begin by contacting individuals in the field and consulting the literature.

Researchers should refer to Chapter D.11. for specific advice on case selection in the MULTIPART Project.

#### D.4.3. DATA COLLECTION

The use of multiple sources of evidence converging on the same set of issues is necessary within the case study methodology. In the case of MULTIPART, it is suggested to concentrate primarily on documentary analysis and semi-structured interviews. That should be complemented with analysis of archival data. Quantitative and qualitative data are both considered potentially relevant, but quantitative data should be gathered primarily from secondary sources, and not be a primary research aim. Care should be taken with all data sources: King, Keohane and Verba remind us that “the most important rule for all data collection is to report how the data were created and how we came to possess them” (1991: 51).

The data collection process ideally culminates in the creation of a case study database-including field notes, archival documents, and all the rest the investigator collected- in a readable way for a hypothetical external observer. The final case study report has to be independent from the database. This process is a necessary requirement to produce high quality case studies in a rigorous way (Yin, 1989).

#### D.4.4. GENERALISATION

In issues around the ‘generalization and representativeness of case studies’ findings need to be assessed in any case study research. According to Denscombe (2007), “the extent to which findings from the case study can be generalized to other examples in the class depends on how far the case study example is similar to others of its type” (43). Indeed it has been pointed out that although each case is unique, it is also one of a type (Hammersley, 1992; Ragin and Becker, 1992). The research should clarify to what extent the case under analysis is unique and at the same time emphasise significant features on which comparison with other cases can be made. As pointed out by Payne and Williams (2005) “what really matters is the *quality* of the *original* piece of research providing the platform on which generalization can be built. If the quality of the base study is satisfactory, then generalisation is assumed to be potentiated” (297).

In the case of MULTIPART, initial comparisons can be made on the type of MSPs, the size of the partnership, types of internal procedures, varied patterns of stakeholder involvement, issues

of ownership and power relations, and so on. These research outcomes should provide the basis for ‘modest and moderate’ generalisations, which may in some cases serve as the basis for further hypotheses, but can also be used by WP 6 in developing interim policy recommendations. There remains a common perception that case study research produces “soft-data” (Denscombe, 2007). The researcher should be aware of that and try to be as rigorous as possible. It is important, in this context, to ensure a comparability of research quality across the case-studies. This implies that MULTIPART will not conduct case-studies with less rigorous methodologies ('mini case-studies') to avoid the temptation to generalize from different levels of research input. Instead, there will be a conscious attempt to replicate the quality level of the research across different selected in-depth case-studies, with comparable research methods, although as recognized elsewhere, there is freedom to use different methods in different case-studies, provided they are comparable in terms of quality, and fit within the overall research methods approach.

Generalisation of results from distinct case-studies will be an integral part of the remit of partners involved in WP 4, 5 and 6, and thus needs to be also assessed in detail in the research design conducted in WP 4 and 5. In particular, case-study selection will be informed at least partly by the ability of the given case-study to inform broader hypotheses about the role of MSPs in post-conflict environments, and the dynamics of MSPs that make them more or less likely to contribute to positive outcomes in human security and peacebuilding in a given environment. In MULTIPART, each WP4 team will analyse and use the findings from the relevant in-depth case studies, and use them, together with findings from wider thematic research of available data, to systematically investigate each of key research Questions 1 – 6 in relation to their specific issue area.

#### D.4.5. SKILLS AND TECHNIQUES NEEDED

There are certain basic skills that are required by researchers. Yin identifies five key skills associated with carrying out good case studies (2003:153): an inquiring mind; the ability to listen, observe, sense and assimilate large amounts of new information without bias; adaptability and flexibility – so that one is able to handle unanticipated events and to change data collection strategies if necessary; a thorough understanding of issues being studied in order to not merely record data, but to interpret and react to the data collected; and unbiased interpretation of data.

In order to effectively analyse data, other skills are important: the ability to manage and synthesise large amount of data; being systematic and paying attention to details; the ability to be reflective and critically analyse data; to be able to go beyond surface information in order to search for and question meanings about values, beliefs and ideologies (Milss et al, 2006); disciplinary knowledge and theoretical sensitivity (Strauss and Corbin, 2005); and good writing skills (Bailey, 2007).

#### D.4.5. CONCLUSION

In conclusion, as emerged from this chapter, there are several advantages of using the case study methodology. The case study approach is a comparatively flexible method of scientific research, in allowing, for instance, multiple methods of data collection to be employed (Yin, 2003). Indeed, “the case study’s unique strength is its ability to deal with a full variety of evidences- documents, artefacts, interviews and observations” (Yin, 2003: 8). Case studies also provide extremely rich and in depth information as the researcher is able to uncover detailed characteristics about particular phenomena (Berg, 2004). The use of multiple case studies holds additional advantages as the evidence is more compelling (Yin, 2003). In addition, multiple case studies can be used to test the “generalisability of findings from one case to another (Williamson *et al*, 1997).

There are, however, some weaknesses in case study methodology of which researchers should be aware and make efforts to avoid. Frequent criticisms of case study methodology relate to the dependence on a single case study rendering the study incapable of providing a generalizing conclusion, a point addressed above. Other criticisms of case study methodology have centred on: a perceived lack of rigour in case study research concerning the loose definition of variables; concerns over external validity whereby research decisions may be subjective and therefore not generalisable; concerns over the temporal dimension, this kind of research being a very time and resource consuming exercise and often resulting in a over abundance of data (De Vaus, 2001; Yin, 2003; Berg, 2004). While researchers should be aware of such potential criticisms, they can all be addressed through good research design, acknowledgement of potential researcher biases, and careful approaches to generalisation.

If designed and conducted correctly, case study methodology is considered to be the most appropriate to conduct investigations under the MULTIPART framework. It is the only methodology that can provide the level of micro-analysis of processes in developing and operating an MSP that the project requires, while combining this level of analysis with an understanding of

the context of a post-conflict environment and analysis of the impacts of an MSP on human security and peacebuilding. Other methodological approaches will not provide this level of rich data or analytical rigour, and will not produce the potential outcomes in terms of impact on policy at the EU level that the Project requires.

## D.5. Researching MSPs

*David Lewis*

### D.5.1. IDENTIFICATION AND CHARACTERISATION

Much of the process of identification and characterisation of MSPs will take place within the parameters of the definitions developed in Chapter 2, above. To ensure that the project remains closely focused on key variables and retains a measure of comparability across case-studies, these definitions will need to be strictly applied to case selection. It is worth recalling that the definition demands that MSPs comprise partners from at least three different sectors including at least one public sector actor [see Section B2.1.]. MULTIPART is focusing only on MSPs with a national focus, rather than transnational groupings, although it will be recognised that there is some scope for overlap in these categories. MSPs should have at least a minimum degree of institutionalisation. [For a summary of criteria, see Chapter D.11. ‘Summary Terms of Reference for Case Selection.]

These criteria are not designed to be restrictive simply for the sake of definitional clarity, but it is hoped that this relatively narrow definition will help produce a focused methodology, and inform research methods, which will produce useful and potentially generalisable results. These defining characteristics will be necessary but not sufficient criteria for final selection of appropriate MSP case-studies. Some further process of sampling will inevitably be necessary.

### D.5.2. CASE SELECTION

There are several ways to approach the question of case selection. There seem no possibility of using any kind of probability sampling in any of the contexts which MULTIPART is examining, and researchers will be focusing on case selection, through a process of non-probability sampling, rather than seeking the kind of datasets that might allow the use of random sampling or similar methods. There are contexts where such an approach might provide useful insights into MSPs or other partnership-type organisations. For example, a random sample of MSPs listed by the World Summit on Sustainable Development (totalling more than 300 or so) could provide interesting results in assessing a number of variables (number of members, sustainability, etc.). However, in the context of a post-conflict situation and with MSPs further subdivided by issue area, there are

unlikely to be sufficient samples to warrant any kind of probability sampling. Instead, researchers should be selecting case-studies on the basis of alternative criteria, particularly bearing in mind key research questions.

If the definitional criteria are satisfied, then the selection criteria are likely to be influenced by the following considerations:

- The research questions (does this MSP offer ways of answering at least Primary Research Questions 3, 4, and 5 and preferably also Research Question 6?<sup>9</sup> Can it also offer insights into prioritised second-order research questions and hypotheses? Would an alternative case-study offer insights into a wider range of research questions?)

This criterion will require constant revisiting as the project continues, with prioritisation of research questions linked to ongoing research outcomes. It would be assumed, for example, that each WP4/5 in-depth case study team will build on initial research findings in WP 4 by seeking further examples to test developing hypotheses arising from WP 4 findings. However, it is expected that an initial prioritisation of research questions will emerge from WP 2 and 3, which will help WP 4 and 5 teams in their initial mapping of MSPs and case selection. At this stage we would certainly envisage every major case-study offering insights into Research Questions 3, 4 and 5; with several also directly contributing insights Research Question 6 .

In all cases, an MSP case-study will provide sufficient data to address a number of different research questions. However, some research questions may require researchers to look for specific types of MSP. Research interest in partnerships with different representative groups from civil society for example ('elite NGOs' versus grassroots CBOs, perhaps) will require case-studies that could highlight the issue adequately. Questions about sustainability might be addressed through a case-study of an MSP that has completed its initial project cycle, allowing researchers to assess how much of its impact will continue to be exerted through different institutional forms. This highlights the importance of a common understanding of key research questions across the project, and the need for significant interaction between WP 2 and 3 (research questions), WP 4 (mapping and thematic research); and WP4 and5 (in-depth case-studies).

A subsidiary criterion will reflect the concern of Research Question 6 (*'how has the participation or support of international actors, including the EU, affected the MSPs selected for case-study in this project, in relation to the MSPs' development, operation, sustainability and*

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<sup>9</sup> See Section D.2.3.3: 'The Primary Project Research Questions.'

(*impacts?*”). This does not indicate that all MSPs selected should have some EU involvement, but there should in most cases be some element of international involvement. This may not imply direct involvement of an international organisation, bilateral agency or international NGO, through membership of an MSP, but could come through funding arrangements, involvement with some of the partners, facilitation provision, etc. Although the role of the EU is not prioritised in these structures, it will be important to include some MSPs with at least some significant EU involvement in the final list of in-depth case-studies. At best these may offer particular conclusions of relevance to EU structures, and will at least have the benefit of familiarity to some policy-makers.

- A balance among issue areas. The project design that has grouped MSPs into four distinct issue areas (security; social and economic development; democracy, good governance and rule of law; confidence building, reconciliation and inter-communal bridge-building) Is there a balance among MSPs selected to provide reasonable coverage of the four issue areas?

Within each of MULTIPART main three countries (Afghanistan, DRC and Kosovo) it is expected that there will be at least one in-depth case study of direct interest to each WP 4 thematic issue area team IN practice, this may involve selecting MSPs that can span one or more issue areas (for example, MSPs selected to be of joint interest in relation both to socio-economic and reconciliation, confidence-building and intercommunal bridge building). In any case, each of the WP 4 issue area team needs actively to engage with WP 5 country leaders to both select and conduct at least one case study in each WP5 country.

- The availability of data in a particular MSP, and the ease of access to key participants in selected organisations (is there sufficient accessible data already available without committing significant additional time and resources to collect more data? Are the participants still engaged in the MSP and willing to be interviewed? Are beneficiaries easily accessible and available for interview?)

This approach of information-oriented sampling throws up a number of issues of potential concern. Given the limited resources available for case-study work, information-oriented sampling is inevitable and indeed is to be welcomed. However, care needs to be taken to ensure that the project covers a wide range of MSP structures, including those that may not have introduced sufficiently professional documentation and evaluation procedures. There may be some conflict

between inclusion of interesting examples of MSPs and the need to assess MSPs that have significant levels of accessible documentation, evaluations or easy-to-access data on impacts. In the worst case, using this criterion as an important part of case selection could warp the focus of the project, and leave us discussing only those MSPs that are well designed and well managed enough to have produced a professional process of evaluation. There may be a need to focus some resources on gaining data on particular MSPs that pose information problems, but are viewed as interesting for the project outputs for other reasons.

- Practical, logistical and security considerations. (Do security and/or ethical considerations preclude research in certain areas or limit access to certain key partners? Do travel costs and logistical problems make it unfeasible to contact all partners in a dispersed MSP cluster?)

Elements of this issue are covered in more detail in the chapter on ethics, but at this point it is useful to highlight the potential problems raised by partial analysis of MSPs, where one or more partners is unable or unwilling to provide information. For example, researchers are unlikely to be able to gain sufficiently robust insights into MSPs that operate in remote rural areas merely by interviewing MSP staff in a headquarters in the capital city or other urban area. Similarly, an inability to discuss MSP dynamics with all partners (including secondary partners), or lack of access to key beneficiary groups, may produce unreliable data and conclusions.

However, researchers may have to make fine judgements when an environment is such that all MSPs have certain logistical or practical access limitations. In such cases, maximum exposure to the views of all stakeholders, through remote communication, documentation and other means should be combined with a shared explicit understanding among the research group of the potential bias that such limited access might give rise to.

#### **D.5.3. RESEARCHING OPERATION AND PROCESS OF AN MSP (OR CLUSTER OF MSPs)**

We envisage that the core activities of researchers will be focused on exploring the operation and process of an MSP, or a cluster of MSPs. This is important to emphasise, since there are clearly other areas that will require attention, and are worthy of study within the context of the project. Such contextual research areas will include the conflict environment in which the MSP is operational (the dynamics of the Afghan conflict, for example) or the general thematic issues which MSPs are designed to address (e.g. corruption or informal economies). However, although these

may represent important elements of the final outputs of the project, and provide essential context for the case-studies, they should not distract from the primary focus of the project: research into the operation and processes of an MSP.

This aspect of our common understanding was discussed in previous meetings, and outlined in previous documents, where it was emphasised that the project would not focus on examining whether MSPs were significant in promoting human security and in post-conflict reconstruction and peacebuilding, but rather focus on ‘how’ and ‘in what contexts’ MSPs can be significant. The kind of questions highlighted so far have included: ‘the circumstances and dynamics of MSP significance,’ ‘how MSPs operate’ and ‘the extent to which the characteristics, design and contexts of an MSP effect its significance, impact and role.’ Questions such as these are at the focus of the project, and are most likely to produce new and insightful conclusion of relevance to policymakers.

#### ***D.5.3.1. Existing Methodological Approaches to MSPs***

Although there is a growing literature on MSPs [See C.2.2-2.6.], methodological approaches to evaluating and studying MSPs, these remain somewhat limited in number and in scope. For the most part, they have been focused on input-output evaluation, effectively viewing partnerships as a closed box, into which inputs are made, and from which measurable outputs emerge; or have been evaluated rather simply in terms of lessons learned that can be channelled into narrow operational improvements. Both these approaches have some insights to offer MULTIPART.

##### **Cost-benefit analysis**

This kind of approach is particularly characteristic of the private sector approach to MSPs, where it is important for businesses to attempt to quantify potential benefits from entering a partnership. One example attempts to develop a methodology for measuring the added value of partnerships among business, government, and civil society, in MSPs in the extractive industry sector (Mitchell, Shankleman, & Warner, 2004). This approach uses a four-stage process:

- Scoping to identify 10-15 key indicators, as prioritised by each sector;
- Data collection to measure changes in indicators;
- Assessment of the incremental contribution of the partnership to achieving improvements in indicators;
- Assessment of value for money to compare benefits of partnership with the costs of partnership (Mitchell, Shankleman, & Warner, 2004, pp. 192-193).

This kind of approach includes an attempt to link MSP activities with shifts in indicators, but assessment of causation is not fully elaborated. It poses difficulties for retrospective assessments, unless a scoping exercise to assess indicators was conducted at the beginning, or those indicators are readily available.

However, the main drawback of this kind of approach for MULTIPART is that it only offers a balance sheet of inputs and outputs, without examining the internal dynamics of a partnership. It represents a fairly simple evaluation of the impact of a partnership on a number of indicators, without directly attempting to understand how the partnership actually works or why it is successful or unsuccessful. In this sense, it is very different from the kind of analytical approach MULTIPART researchers should be taking, but it offers a useful comparison, and is included in the appendix to this paper.

In this context, it is worth recalling that our methodology will be distinct from evaluation methodologies. Although we are interested in whether MSPs were relevant and effective, we are much more interested in *why* they are effective or *why* they are not effective. This requires a very different approach to the input-output evaluation.

Arguably, the most important insight that can be gained from this kind of cost-benefit analysis is a reminder that MSPs do often involve costs, both in outputs, time and financial support, that may significantly outweigh the benefits of the partnership approach, and any assessment of their effectiveness will need to acknowledge these potential costs.

### 'Lessons learned' approach

An alternative approach offers more insights into why MSPs succeed or fail, but is not sufficiently rigorous methodologically to produce reliable results or generalisable conclusions. One example is an extensive study of the Prolinnova MSP (which is involved in agricultural innovation in several developing countries) (Critchley, Verburg, & Veldhuizen, 2006). The study highlights some interesting aspects of building partnerships, and outlines the kind of problems that MSPs can face as they develop, but its methodology is not sufficiently robust or transparent. For the most part, it is based on studies of MSP documentation and interviews and other communications with participants. There are other similar evaluations of operational MSPs. Such evaluations are focused primarily on operational improvements in MSPs – developing practical steps to improve the operations of MSPs, for example, or offering recommendations on what practical approaches make MSPs successful. Although the latter are obviously of interest to MULTIPART, there is little insight to be gained from the methodology used in most of these types of study. In most cases the

methodology is not clear or not explicit, and often there is little indication that thought has been given to possible bias or to the need for triangulation of results.

In particular, this genre of evaluation does not usually seek to critically assess the underlying dynamics of MSPs, examining for example, power relations among participants. Nor do they assess key aspects of broader context of MSP activities in post-conflict environments, such as their impact on state-building, or whether the mantra of partnership actually may disguise a much more unequal relationship, or whether the epithet of multi-stakeholder excludes as much as includes key players.

MULTIPART should attempt to address these and other critical aspects of MSP dynamics and operations. This will require a deeper analysis of internal dynamics than is usually the case in existing evaluation methodologies, and a broader analysis of stakeholders than is presently common.

### Assessing the dynamics of partnership and participation

Once an MSP is established, the process of partnership will be of fundamental importance to the integrity of the process and to the outcomes of the Project. The potential overlap between process and impact has already been recognised in previous MULTIPART documents, and has been noted in other literature on partnerships. As Unwin notes, ‘...a fine line needs to be drawn between the efforts involved in shaping partnerships and then utilising those partnerships to produce an output that is worthwhile for marginalised communities’ (Unwin, 2005, p.9). This tension may be more acute in MSPs in areas such as socio-economic development, than in MSPs where peacebuilding and reconciliation are direct mandated outputs of an MSP; where, in other words, the process, to a large extent, *is* the output.

In this context, Bäckstrand uses what may be a useful distinction in work on multi-stakeholder partnerships engaged in transnational environmental discourse (Backstrand, 2006). Bäckstrand uses the idea of input legitimacy, referring to the ‘participatory quality of the decision-making process (transparency, representation and accountability),’ contrasting with output legitimacy, which ‘refers to the problem-solving capacities of the institution or rule i.e. whether governance is effective.’ This approach is based on initial work on European governance, but it provides some insight into the dual nature of legitimacy in organisations where process is considered an important outcome alongside the mandated outcomes of the organisation as espoused in mission statements or other documents.

The process and outputs strands will obviously overlap in many ways, but the dynamics of partnership will be an important element of each case-study. Scepticism regarding the concept of partnership in the context of donor intervention in developing economies has been expressed by

several authors (Mercer, 2003), and unpacking the notion in the context of MSPs will be an important strand in each case-study. While MSPs tend to strive for equality in the participation and responsibility of each stakeholder, in practice the situation may be very different.

Classifying and analysing the different types of stakeholders in MSPs according to their formal participation (including distinctions by funding level, responsibility, active participation, representation, etc) and contrasting this analysis with a study of key decision-making processes offers one approach to this issue. This kind of approach can learn from methods of stakeholder analysis. An MSP may simply have an implicit understanding among partners about who should be engaged in an MSP, but a more explicit analysis will provide a more structured approach, and one that can be consciously reviewed throughout the lifetime of the project. One of the first priorities of MULTIPART researchers might be to examine the implicit or explicit stakeholder analysis and examine why certain stakeholders are included and others excluded. Not all MSPs should include all stakeholders in a partnership – there may be valid reasons for exclusion, or stakeholders may not wish to be involved – but they should be identified and the reasons for their exclusion should be outlined and understood.

At a structural level, different elements of process might be analysed as key factors in partnership equality. For example, Prolinnova is an interesting case of an MSP that is facilitated primarily by NGOs (Critchley, Verburg, & Veldhuizen, 2006, pp. 10-11). This is not the case in all MSPs: other partners, such as businesses or government ministries are sometimes facilitators, or an MSP might have a devolved staff of its own. The latter poses interesting questions about the development of MSP's own identity and bureaucracy over and above the participating of partners. Differences in this process of facilitation will clearly have an impact on the nature of an MSP, and the potential for equality of partnership in its structures.

#### **D.5.3.2. Research Methods**

As we have discussed in previous work, MULTIPART will use a multiple methods approach to research, with a pragmatic use of a variety of methods to source reliable data and to achieve robust research outcomes. Each research group is expected to develop its own set of appropriate research methods to examine particular MSPs, within the broad guidance of the WP 2 and 3 framework. This flexibility is important to provide case-study researchers with the ability to adapt to complex environments and changing circumstances. However, there is also a need for a reasonable level of commonality among research methods, at least sufficient to ensure some measure of comparability among research outcomes.

For example, any analysis of the dynamics of an MSP will need to gather information about the roles and attitudes of each stakeholder, not just rely on the views of one or two participatory groups. These views and attitudes could be gathered in a number of ways, through focus groups, interviewing or documentary evidence. There is no requirement, for example, for researchers to use structured interviews that are identical across all case-studies. But it is important that the scope and the robustness of the research methods are comparable across the project, even though there may be some variation in the balance of methods employed.

Given the limited resources of the project, and the wide cross-section of researchers, we are aiming to use a fairly simple selection of research methods, which will be familiar to all partners and relatively easy to implement in a variety of contexts and environments. These methods are also highly adaptable and flexible, even where data may be limited or last minute changes must be made to research plans. We have therefore avoided more complex methods, which might have been proved useful in studying other types of organisation, such as network analysis, or other methodologies from organisation theory or public administration theory. For the most part we are relying on qualitative methods, since we do not expect there to be sufficiently robust data across multiple case-studies to make it easy for research groups to use quantitative methods.

### Process-tracing

Given the interest in participation and internal dynamics in MSPs, one approach which is likely to be useful for many MULTIPART researchers, is *process-tracing*. Process-tracing has become increasingly popular among international relations theorists, particularly those attempting to delve deeply into the ‘real world’ of policy-making (Tansey, 2006; George & Bennet, 2005; Checkel, 2005). It attempts to address key gaps in understanding of real-life policy making processes, particularly where there is a contested linkage between cause and effect. It is in studying these causal mechanisms in case studies (concentrating on ‘within-case’ analysis rather than comparative approaches) that process tracing demonstrates its strengths, and it may offer useful insights for studying MSPs, where these mechanisms are unclear. Multi-stakeholder forms of organisation (cause) are hypothesized to produce positive changes in human security (effect). Process tracing could provide a useful way to conduct causal analysis of this linkage.

Process tracing can involve a variety of methods and sources. “In process tracing, the researcher examines histories, archival documents, interview transcripts, and other sources to see whether the causal process a theory hypothesizes or implies in a case is in fact evident in the sequence and values of the intervening variables in that case” (George & Bennet, 2005, p. 6). While

George and Bennet stress archival documentary sources, in most cases, MULTIPART researchers will be more reliant on interviews, particularly elite interview techniques (see below).

Process tracing throws up a series of challenges and problems, including epistemological issues. More significantly for this project, the process tracing approach demands considerable data inputs, and often significant time commitments. Consider one researcher's description of a fairly typical project, a study of persuasion in a Council of Europe committee structure: "I employed multiple data streams, consisting of interviews with committee members (five rounds spread over five years), confidential meeting summaries of nearly all the committee's meetings and various secondary sources – and triangulated across them" (Checkel, 2005). Clearly similar approaches could be taken to individual MSPs, potentially providing rich datasets from several years' study. However, in the context of limited time and resources, attempts to develop useful data from process tracing will require a focused concentration on key research questions, and the development of appropriate methods for analysing partnerships.

### Interviewing

Almost all case-study research for MULTIPART will involve some level of interviewing, whether elite semi-structured interviews<sup>10</sup>, or in some cases possibly focus groups of beneficiaries. As noted above, elite interviewing can be of considerable utility in process tracing (Tansey, 2006: 4), but interviews at different levels within organisations and from different perspectives are important to achieve reliable data. Interviews form one element in a broader process of data gathering, which is designed to meet a number of needs, including providing basic information; prompting new hypotheses or research questions; revealing causal processes; and offering different points of view. Interviews form one part of this broader package of data gathering, but they are likely to be the key source of information on fluid structures such as MSPs, most of which have been operating only in the recent past. Interviews can provide a much more complex and nuanced account of events than meeting summaries, documentary reviews, correspondence or other written sources. Interview technique also allows researchers to quickly test causal hypotheses, rapidly triangulate information from other sources, develop an understanding of a broader context in a pattern of events, and gain new insights from participants in internal processes.

Certainly, there are problems with extensive reliance on interviews as sources, ranging from deliberate bias to use of hearsay evidence, and these are covered extensively in the relevant

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<sup>10</sup> Elite interviewing here refers to interviews with key decision-makers or participants in an MSP or in structures that might affect an MSP. Non-elite interviews would refer to those people who are affected by the operations of an MSP, but have little or no influence as individuals over its decision-making process.

literature (Dexter, 1970; George & Bennet, 2005; Tansey, 2006). MULTIPART researchers will be familiar with these limitations.

While random sampling is widely used in elite interviewing, together with a common interview template, this approach is unlikely to be feasible or desirable in MULTIPART case studies, particularly where a process-tracing approach is being used. Instead, researchers are likely to use purposive or ‘snowball’ sampling. In most cases, except where cases are simple or there is significant prior knowledge, the snowball approach will be valid and will provide the researcher with the most significant interviews for a project. However, it has an in-built bias, and tends sometimes to lead the researcher to interview participants with similar views. This may not be deliberate, but may reflect pre-existing power or information imbalances.

A more deliberative sampling will be required in most cases to overcome this potential problem. In the simplest cases, representatives of each stakeholder represented in an MSP should be interviewed, but interviews should also attempt to assess whether there are potential stakeholders who for some reason of other are excluded from the MSP. In the same way, beneficiaries of a project, who are not included as stakeholders, should be interviewed, but there may be others in a region of operations who are not beneficiaries and may feel excluded, or have otherwise been affected by the MSP’s operations. When assessing internal dynamics in an MSP, the researcher may need to assess multiple viewpoints, from different representatives of each stakeholder. Staff in very hierarchical organisations (which may relate to NGOs as much as to government ministries) may hold very divergent views on the nature of their participation in a particular MSP structure.

Interview techniques are affected by cultural environment and personality. Interviewees may be reluctant to criticise partners in public, and interviewers will need to develop both a rapport and trust with interviewees and robust measures to ensure confidentiality.

Elite interviews are mostly conducted on a one-to-one basis, or in small groups. Non-elite interviews (beneficiaries or observers) may also be effective as one-to-one discussions. In some contexts, focus groups or group interviews may either be purposively designed or may develop spontaneously. In such cases, it is important to ensure that potential marginal voices are included or interviewed separately. In some cultures, this may pose problems for male researchers attempting to interview women, for example, and this issue should be addressed early on in the research design. Other cultural and linguistic issues in interviewing also need to be addressed in the design of each case-study; such issues are expected to be the responsibility of each research group, albeit within a broader framework addressed within WP 2 and 3. In addition, ethical issues are of primary consideration in interviews, and this issue is addressed in a separate chapter on ethics.

### Document reviews

There are likely to be several types of documents that would be useful to the researcher: publicly available documents issued by an MSP, e.g. on a website or in a report; internal documents in an MSP, particularly those relating to decision-making procedures (summaries of internal meetings for example); internal documents from stakeholders (internal reports by donors, etc.); external reports, such as evaluations commissioned from independent sources, or independent media coverage.

In each case, it is important that researchers refine research questions before beginning a document review, to try and focus efforts on key areas. The limitations of such documents should also be borne in mind, and will be subject to the usual interrogation of source, reliability and completeness. The document review should, however, provide a strong framework of references, and an initial list of inferences, which will feed into more detailed interview questions.

### Other methods

It is expected that interviews and documentary reviews will form the main methods used by MULTIPART researchers, as the most effective way of gaining appropriate data to analyse MSPs. Both approaches require relatively limited resources, and all researchers are trained in these methods. One other method that is likely to be used implicitly is that of participant observation or what is sometimes termed ethnographic approach. Physically observing meetings can provide useful insights into relationships and dynamics within a partnership, and comparing notes from participant observation, with written meeting summaries and minutes, and interviews with key participants, can provide illuminating insights into power relations, equality and marginalisation, and the reality of decision-making in partnerships.

#### **D. 5.4. HUMAN SECURITY AS A QUALITY OF THE PROCESS**

*Claudia Croci*

Human security can be appreciated both as an end to peacebuilding and as a basis for operational assumptions through which more comprehensive, effective and sustainable activities can be planned and implemented. In other words, human security can be applied both in evaluating the quality of the process that brings successful and durable stabilisation of post-conflict situations and in assessing the final impact of the very same processes.

In the framework of the proposed research, human security will be specifically correlated to the system of multi-stakeholder partnerships in two ways: first of all, the assumptions of human security (focus on individuals, broad scope of coverage, system wide and holistic approach) will be applied to analyse the character of the process that brings and/or have brought to the establishment of multi-stakeholder partnerships in post-conflict environments; secondly, the above mentioned assumptions will be used to evaluate to what extent multi-stakeholder partnerships have a positive impact on promoting human security. In both cases, human security assumptions will be translated and transferred in a set of indicators – qualitative and quantitative – to assess the quality and impact of multi-stakeholder partnerships.

This paragraph focuses specifically on the analysis of the character of the process that has brought to the establishment of multi-stakeholder partnerships in post-conflict environments. For the purposes of the evaluation, the key attributes of human security presented earlier in this paper are translated into expected features that the process of creating a MSP should fulfil to be defined ‘human security-oriented.’ More specifically the following schema is suggested:

<b>Key attributes of human security</b>	<b>Expected outcome</b>
Focus on individuals	<ul style="list-style-type: none"> <li>• Bottom-up approach</li> <li>• Inclusiveness</li> <li>• Ownership and empowerment</li> </ul>

Broad scope of coverage	• Multi-dimensionality
System-wide and holistic approach	• Integration and coordination

*Bottom-up:* to what extent does that targeted community participate in identification, planning and implementation of the MSP. In particular, to what extent does the local community:

- Contribute to the the identification of the most urgent needs the MSP will address;
- Participate in the development of the strategy of the MSP –building upon the resources already existing in the community;
- engage in the implementation of the strategy and take ownership of the intervention.

*Inclusiveness:* to what extent was the MSP open to the participation of all relevant stakeholders – and at which of the different stages, i.e. identification, planning and implementation of the MSP. How inclusive was the process of consultation, participation and engagement?. Were all the relevant stakeholders in a given community identified and engaged, and how were the specific characteristics of the community considered?.Did the identification, planning and implementation of the MSP take into account the specific needs of vulnerable groups?.

*Ownership and empowerment:* to what extent was the MSP developed, identified, planned and implemented in a sustainable way, strengthening both short-term and durable advantages for the beneficiaries and fostering the appropriation of the MSP's strategy by the community involved?. In particular, the enhancement of beneficiaries' ownership over the MSP's strategy can be advanced accordginc to the extent to which the MSP's development and operation related to the following criteria:

- MSP's strategy was perceived to be socially desirable, culturally acceptable and psychologically nurturing;
- MSP's strategy was economically sustainable, technologically feasible and operationally viable;
- MSP's strategy was environmentally robust, generationally sensitive and capable of continuous learning.

To what extent was the MSP identified, planned and implemented in a way that fosters individuals' changes toward control and self-confidence in the different sectors of human security, and enhances the individuals' opportunities to take decisions and determine choices.

*Multi-dimensionality:* MSP are affected by the contexts in which it operates. Multi-dimensionality means that the MSP:

- Recognises the multiplicity of dimensions that determine the specific situation in a given community (economic, political, social, environmental, military, cultural dimensions);
- Is aware of the fact that all dimensions are interrelated and interdependent;
- Is identified, planned and implemented in a way that acknowledges the potential side effects of activities in one sector for the other sectors.

*Integration and coordination:* did the MSP develop or operate in an integrated and coordinated fashion?. In particular, was an MSP designed to tackle with a specific issue synchronized with other MSP in different sectors, and with the overall strategy for the targeted community; more importantly, did the individual MSP continuously adjust their planning to the feedbacks received from elsewhere in the system, to ensure that the combined effects on the society is positive, consistent and produced at a rate that can be absorbed by the community.

For each of the expected features a set of indicators (quantitative and qualitative) are identified. These are intended to be illustrative, and to help WP4/5 case study team in the development of their own research strategies. As far as the quantitative evaluation is concerned, the indicators illustrated below are commonly used in this type of analysis and are relatively easy and inexpensive to collect. Furthermore, they can easily be adapted to the different contexts in which multi-stakeholder partnerships are evaluated. In the process of data collection, timeframes should be made clear for each indicator. As far as qualitative analysis is concerned, the indicators are framed mainly in terms of interactions within the multi-stakeholder partnership.

In several cases, indicators used under one heading can be also applied to evaluation of other expected outcomes. This recalls particular attention to the collection of data used as sources of verification and measurement.

A specific remark should be made for the indicators of empowerment. An 'empowering MSP' can be understood as a process that *fosters individuals' changes toward control and self-confidence in the different sectors of human security, and enhances the individuals' opportunities to take decisions and determine choices*. It is important to clearly distinguish between empowerment

as quality of the process and empowerment as quality of the result. The former puts emphasis on the MSP process and evaluates whether it actually foster and enhance empowerment; the latter recalls the attention on the result of the MSP, i.e. on the actual empowerment of the local stakeholders in the different sectors of human security. For the purposes of the current analysis, we will therefore concentrate mainly on the processes of participation and inclusion of local stakeholders in the identification, planning and implementation of the MSP's strategy, assuming they are pre-requisites for future empowerment.

*Bottom-up:* :

- Level of input of the local community (at different levels – government departments, NGOs, local stakeholders) in the identification, planning and implementation of the MSP;
- Numbers of identification, planning and implementation meetings held with local stakeholders;
- Attendance by local stakeholders at identification, planning and implementation meetings;
- Frequency of attendance by local stakeholders at identification, planning and implementation meetings;
- Level of contribution/participation of local stakeholders at identification, planning and implementation meetings;
- Existence of a set of rules developed in a participatory fashion, and in which all members of the community were fully involved;
- Number of local stakeholders in key decision-making positions within the MSP;
- Local stakeholders perceptions of levels of participation through stages of the MSP;

*Inclusiveness:*

- Level of input of the local community by socio-economic groupings, age, ethnicity and sex in the identification, planning and implementation of the MSP;
- Attendance of local stakeholders by socio-economic groupings, age, ethnicity and sex at the identification, planning and implementation of the MSP;
- Frequency of attendance of local stakeholders by socio-economic groupings, age, ethnicity and sex at the identification, planning and implementation of the MSP;

- Level of contribution/participation of local stakeholders by socio-economic groupings, age, ethnicity and sex at identification, planning and implementation meetings;
- Audit of resources/funds held regularly and openly;
- Number of local stakeholders by socio-economic groupings, age, ethnicity and sex in key decision-making positions within the MSP;
- Rotation of people in leadership positions;
- Local stakeholders perceptions of levels of participation by socio-economic groupings, age, ethnicity and sex through stages of the MSP;

*Ownership and empowerment:*

- Level of social desirability and cultural acceptability of MSP's strategy;
- Level of economic sustainability of MSP's strategy;
- Level of technological feasibility and operational viability of MSP's strategy;
- Level of environmental sustainability of MSP's strategy;
- Level of reliance on external funds/support;
- Level of contribution/participation of local stakeholders at identification, planning and implementation of MSP's strategy;
- Level of inputs (in terms of labour, tools, ...) of local stakeholders at identification, planning and implementation of MSP's strategy;
- Existence of mechanisms that support opportunities of local stakeholders to take decisions and determine choices;
- Degree of awareness of the local stakeholders of their possibilities of control and self-reliance;
- Perception of possibilities of control and self-reliance by local stakeholders participation by socio-economic groupings, age, ethnicity and sex;
- Level of correspondence between decisions taken within the MSP and resulting changes;
- Perception of the impact of decisions;

*Multi-dimensionality:*

- Number of sectors in which MSP operates;
- Number of sectors on which MSP can have an impact;
- Extent to which identification, planning and implementation of MSP's strategy takes into account inter-relations among different sectors;
- Extent to which identification, planning and implementation of MSP considers potential positive/negative effects of activities in one sector for the other sectors, and prepares accordingly;
- Level of awareness among MSP members of the need to take into consideration potential positive/negative effects of activities in one sector for the other sectors, and prepares accordingly;

*Integration and coordination:*

- Number of MSP operating in the same context;
- Existence of an overall strategy for the specific situation in which the MSP operates;
- Extent to which MSP's strategy is part and contribute to the overall strategy;
- Existence of formal and/or informal mechanisms for the exchange of information and communication internal and/or external to the MSP;
- Existence of mechanisms for the evaluation of the activities of MSP;
- Existence of mechanisms/procedures for updating MSP's strategy;
- Level of acceptance among MSP members of the need to integrate and coordinate efforts;
- Degree of inclination of MSP members toward integration and coordination.

## D.6. Researching the contextual/environmental influences on operation and significance of multi-stakeholder partnerships

Owen Greene

As outlined in Chapter D.2., some contextual information and analysis will be essential for WP 4 and 5, particularly for in-depth case studies of selected MSPs in Afghanistan, DRC and Kosovo, and much is potentially relevant. It is important to reduce risks that valuable time and resources are unnecessarily diverted to contextual work that is not absolutely essential to the task of addressing the main project research questions.

*Essential contextual analysis for WP 4 and 5:* Identification and collation of documents or existing publications that provide an adequately detailed and timely set of: country context overview; conflict assessment; peacebuilding assessment; and at least a summary of the situation and key priorities for human security – for each of Kosovo, DRC and Afghanistan

This is a key task of each WP 5 Country leader (perhaps with help from other WP4 researchers) team during the phase 1 of WP 4 and 5 work. These assessments provide key contextual material for all case study analysis for the country concerned, and are necessary for several project purposes, particularly case selection, case study research design, and analyses of impacts of MSPs on peacebuilding and human security.

Preferably, the collation of such contextual analyses and assessments will not involve significant new work, but rather identification or combination of good existing assessments that are adequate for MULTIPART purposes.

It is possible that such existing assessments may need revision, updating or development for MULTIPART purposes. For example, good available publications may not use frameworks for conflict or peacebuilding assessments that are similar or consistent with the definitions and frameworks recommended in this Report, or they may neglect important issues or aspects. In such cases we recommend that WP 5 Country Leaders adopt as efficient approaches to providing such assessments as they can. For example, it should normally be adequate to provide a complementary or partially overlapping set of existing assessments, taken from available analyses, together with a short cover note to highlight key points and guide MULTIPART researchers in the appropriate use of the provided information. We envisage that the collation of these documents will take a total of between 2 – 4 researcher weeks.

*Initial overview and mapping of relevant MSPs in DRC, Afghanistan and Kosovo:* in principle, this is not ‘contextual’ work, but rather is core work for MULTIPART in WP 4 and 5. However, resources are limited. *It is important at a minimum for WP 5 Country Leaders to prepare an overview of relevant MSPs operating in their respective countries, and also a brief analysis of the countries’ political, legal and cultural context in which such MSP are formed, develop and operate.* As discussed in section D.2, this aims to provide an important context for case study selection, research design and interpretation of case study findings.

*Other justifiable MULTIPART research on contextual or environmental factors:* Our recommendation is that no significant MULTIPART resources are devoted to any analysis of contextual factors except in the following contexts:

- As an essential element of selected in-depth case studies in a bid to understand the specific operation or impact of an MSP;
- As a factor to be integrated into key MULTIPART analyses on the basis of existing or on-going research on ‘non-MSP’ factors conducted using other (i.e. not MULTIPART) resources.

We recognise that implementing this guidance will require careful judgements. There are a number of contextual factors or processes that will in practice intersect or closely interact with the specific operation of MSPs, which may appear to require detailed research in order properly to conduct and analyse a case study.

The issue of ‘spoilers’ provides an example of this. For MULTIPART, ‘spoilers’ are actors that judge that their interests run counter to the objectives of conflict reduction, peacebuilding human security or reconstruction programmes, and which act to obstruct or undermine them. It is important to note that spoilers are not necessarily intrinsically malign – they may include groups that legitimately fear that there is inadequate provision for their own security or well-being. Clearly, such spoilers - or potential spoilers – may be very relevant for MULTIPART research. WP 2 and 3 guidance on contextual research implies that full and appropriate account of the possibility or fact of ‘spoilers’ should be taken in WP 4, 5 and 6 work, using available wider knowledge and understanding relating to ‘spoilers’ and the issues associated with them. However, MULTIPART resources should not be devoted directly towards adding to these literatures, except to the extent that they directly relate to the development, characteristics, operation and impact of MSPs.

One way of ensuring this is to ‘unpack’ and refine the category of ‘Spoiler’, which is complex. For our purposes, spoilers who are in some wider sense ‘illegitimate’ actors (criminal networks, warlords) are, by our definition, excluded as a member of an MSP. Nevertheless, an MSP under study may become a focus of attention for such an ‘illegitimate’ MSP, or may influence one

or more of its participants, and it is fully legitimate for MULTIPART researchers to examine such processes and their outcomes. It could be, for example, that types of MSPs are more vulnerable to, or more resilient against, undue influence of Spoilers.

However, it is quite possible for a ‘legitimate’ and recognised actor to be a ‘spoiler’ in some respects, in which case it is possible for them – in our definition – to become a member of an MSP. In this case, it is quite legitimate for MULTIPART resources to be devoted not only to identifying the actor as a spoiler, but also to examining the impacts of the MSP on the interests, activities, and influence of the Spoiler, and vice versa. It is possible, for example, that participation in an MSP may help to prevent or transform the actor from becoming a spoiler in practice; or it may help to empower or legitimising obstructive activities.

Further, the presence and activities of spoilers in the external environment can be expected to influence the impact of MSPs, which again may be legitimately investigated in MULTIPART.

The primary purpose of this short discussion of ‘spoilers’ is to illustrate the implications of our overall guidance relating to what is contextual research and how intersecting issues and processes can become a legitimate focus for MULTIPART research. However, it also aims at clarifying specific issues relating to the important issue of ‘spoilers’ and associated phenomena.

## D.7 Examining and measuring impacts of MSPs

Owen Greene

### D7.1 INTRODUCTION

This chapter aims at providing detailed guidance on methods and approaches for assessing impacts of MSPs on peacebuilding and human security. As explained in earlier chapters of this Report, such assessments are primarily envisaged to be conducted as part of research on minimum 9 and maximum 12 in-depth case studies of the formation, development, operation and impacts of selected MSPs in Afghanistan, DRC and Kosovo.

Within the framework presented in this WP 2 and 3 of the Final Report, the impact assessments should be focussed on impacts in the following four categories of impacts on:

- conflict reduction and peace-building;
- security of vulnerable people and communities from violence, crime and illegitimate coercion;
- alleviating poverty and promoting socio-economic development;
- empowering vulnerable people and communities and promoting their participation in public life

Guidance on impact assessments in each of these four areas is respectively provided below in sections D.7.2. – D.7.5. .

Assessing impacts of MSPs in these issue areas is quite challenging. Changes in relation to any of the four categories are likely to be due to a combination of factors. The direct impact of the MSP may only constitute one of these factors. Moreover, the MSP may also have indirect impacts through a variety of mechanisms that are difficult to trace and reliably disentangle. Data availability relating to impacts is likely to be patchy or partial. Moreover, each of the four categories is broad, and there are likely to be many potential impacts. Limited project resources imply that assessments should focus on a few specific impacts. Finally, impacts need to be assessed using selected indicators, which need to be chosen carefully.

We assume that MULTIPART researchers are experienced and generally aware of such challenges. This chapter therefore focuses on providing specific guidance on conducting assessments of impacts of a specific MSP in the context of MULTIPART in-depth case studies.

One of the key tasks in designing strategies for assessing impacts of MSPs for each of the four categories is to systematically narrow the research focus to a small selected set of specific possible impacts, and then to identify a combination of a few indicators that will be used to assess the selected impacts. This requires careful planning and attention, as will become clear.

Thus, for example, in a specific case study, researchers may wish to conduct impact studies in two of the major categories of impact (as listed above)— perhaps one directly relating to a declared priority for the MSP and another as a possible unintended or secondary impact. Within each selected category, a range of possible specific impacts of the MSP should then be identified, and reviewed in relation to their interest, credibility, and potential researchability.

Within each category, impacts in two specific areas or types might then be selected. A strategy for assessing each of these then needs to be developed, involving selection of a small set of relevant and measurable indicators of impact (perhaps involving a combination of qualitative and quantitative indicators). Only then does the empirical research on impacts proceed. Findings relating to the relevant indicators then need to be triangulated and interpreted. In most cases, this will require some ‘theory of change’ clarifying which changes are likely to be due to the MSP and what might have been expected if the MSP had not existed, or had operated differently.

After this initial outline, we now proceed to discuss methods and guidelines for impact assessments in each of the above four categories in turn.

## **D.7.2. RESEARCHING AND MEASURING IMPACTS ON CONFLICT REDUCTION AND PEACEBUILDING PROCESSES.**

*Owen Greene*

### **D.7.2.1 Introduction**

This sub-section provides guidance for assessing impacts of an MSP on conflict reduction and peacebuilding processes. It uses the relevant definitions and theoretical frameworks for MULTIPART presented in Chapters B.2 and C.3.

The broad definition of peacebuilding (see B.2.) is ‘a set of policies, programmes and activities which are designed to overcome the legacy of armed conflict and prevent any recurrence in the future. It will include short-term measures to respond to immediate threats to peace and longer term initiatives to address structural causes of conflict’.

Thus peacebuilding processes can be considered for our purposes to consist of two types of inter-related activities:

- Processes and measures to address the risks or realities of violent conflict posed by existing conflict processes;
- Processes and measures to strengthen capacities, institutions and interests to manage and resolve conflicts peacefully and enable peaceful development and good governance.

Assessments of impacts of an MSP on peacebuilding processes thus involve a combination of assessing its impacts on conflict processes and on progress towards a society where conflicts are managed and resolved peacefully through development or relevant institutions and empowerment of peaceful actors.

Throughout the following guidance, there will be two distinct dimensions of impact analysis:

- I. assessment of impacts on conflict and peacebuilding processes as outlined above;
- II. assessment of impacts on the conflict sensitivity of policies, programmes and activities that are not directly designed to promote conflict prevention and peace building (see definitions of conflict sensitivity in B.2 and C3).

In many ways, these two dimensions fall into the same overall category of conflict prevention, reduction and peacebuilding. The purpose of the distinction here is that they imply different criteria for significance of MSP impacts.

The significance or importance of impacts on conflict sensitivity are measured according to a combination of:

- (i) the impacts on the conflict sensitivity of a policy and programme, and
- (ii) the wider importance of the policy or programme in question (for development, good governance, poverty alleviation, democratic development, and so on, as well as objectives relating to peace-building)

The significance of impacts on conflict prevention/reduction and peacebuilding processes are measured according to a combination of:

- i. The impacts on one or more specific factors (structural, actor, or dynamic process) contributing to either the risks of violent conflict or the resilience against such conflict;
- ii. The importance of these factors for the conflict or peace-building process.

It will be apparent that an impact of an MSP on the conflict-sensitivity of a policy or programme could be important even if it has only modest or very indirect impacts on the risks or processes of violent conflict itself. In contrast, even a major impact of an MSP on a factor will have

low overall significance if that factor is not in fact important to conflict or peace-building processes in the country under consideration.

After this introductory framing of assessments of MSP impacts on conflict and peace-building processes, we now proceed with guidance on how to conduct such assessments.

#### ***D.7.2.2 Structuring and Designing an Assessment of MSP Impacts on Conflict and Peacebuilding Processes.***

As outlined in D.7.1 above, impact assessments are hard and time-consuming, and thus it is important to focus and design the investigation carefully. This sub-section outlines the analytical steps that are recommended.

##### **STAGE 1: Identify and review potential impacts of the MSP**

An MSP selected for an in-depth case study in MULTIPART is likely to have many potential impacts on: conflict and peace-building; security from violence; poverty alleviation and socio-economic development; or empowerment or participation. For this sub-section, it is necessary first to identify these potential impacts on (i) conflict prevention, conflict reduction and peacebuilding processes, and (ii) conflict sensitivity of certain policies or programmes. The other areas will be assessed under the thematic of the three operationalised aspects of human security in the following section D.7.3 below.

It is important to recognise that *all* WP 4 thematic issue areas are likely to examine MSPs with potential impacts on conflict and peace-building or conflict sensitivity (i.e. not only WP 4.a.) and WP 4.d.). For example, MSPs concerned with socio-economic development programmes or promoting democracy and good governance may well impact on structural factors, actors or dynamics that are important for the risks of violent conflict – even if conflict prevention is not their primary motivation. Moreover, programmes in every thematic issue area may be influenced in relation to their conflict sensitivity.

Stage 1 is therefore to identify the range of potential impacts of the MSP on conflict and peace building and on conflict sensitivity, and then to initially review these from the point of view of their wider potential interest for the case study of MULTIPART project. The aim is to begin to prioritise the potential impacts in terms of the research design.

##### **STAGE 2: Assess the potential significance of each of the possible impacts**

Stage 2 focuses on the process of assessing the potential significance of each on the list of possible impacts that results from Stage 1, in terms of their importance for either (i) conflict prevention, conflict reduction and peacebuilding processes, or (ii) conflict sensitivity. The objective is to focus attention on those impacts that are at least potentially important.

The potential importance of an impact on conflict prevention, conflict reduction and peacebuilding processes depends substantially on the extent to which the factor(s) that the MSP may affect are important in relation either to risks and realities of violent conflict or to peacebuilding opportunities. This should be judged in relation to an appropriate conflict assessment and peacebuilding strategy, as described in chapter C.3 above.

The findings of such conflict assessments need to be taken seriously. A commendable and worthy reconciliation initiative, for example, may well be interesting for other reasons, but it will not be important for conflict prevention, conflict reduction or peacebuilding processes unless (i) the conflict analysis demonstrates that it is addressing a primary driver of conflict or a structural factor, actor or dynamic that has been shown to be important in the overall conflict assessment, or (ii) the initiative is important or central to a key aspect of the conflict reduction or peacebuilding strategy/assessment.

The potential importance of an impact on conflict sensitivity can be judged according to criteria including:

- The scale or importance of the policy or programme (for aspects of human security) for which the MSP may have enhanced conflict sensitivity;
- The extent to which there may be a major change in the conflict sensitivity of the policy/programme's design or implementation (according to factors discussed in Chapter C.3);
- The relevance of the policy or programme for an assessment of impact in another category of interest for the MULTIPART project (this essentially indicates that it may be attractive and efficient for WP4 and5 teams to focus on an impact on conflict sensitivity of a programme that has also been identified as a prime candidate for another aspect of impact assessment).

The assessments required in Stage two of the process rely heavily on use of sufficiently detailed conflict assessments and peacebuilding strategies/assessments for the country concerned.

These need then to be combined with the potential scale of the possible impact of the MSP on the policy/programme or activity itself. This can only be assessed on the basis of preliminary data collection for the case study, but could also take into account factors such as the scale of the impact claimed by members or supporters of the MSP under question.

By the end of Stage 2 of the process, the relevant research team should have narrowed down the potential impacts to a small set of impacts that could be particularly attractive for study due to a combination of their possible importance for conflict prevention, conflict reduction or peacebuilding processes, ,or conflict sensitivity, and of their wider interest for the MULTIPART project.

### STAGE 3: Investigate researchability

The next stage of this analytical process is to assess the remaining set of prime candidates for impact assessment in relation to their researchability. This essentially relates to the likely availability of relevant data and access for interviews and other qualitative research methods.

It is at this stage that it becomes important to identify potential indicators of impact. As is well known, there is normally a wide range of potential indicators that could be relevant to the assessment of a potential impact. An effective impact assessment for a MULTIPART in-depth case study should use a combination of selected indicators, preferably using a combination of qualitative and quantitative information to allow for triangulation and consistency checking as well as to facilitate interpretation of the results of the impact measurements.

Under the conditions of a country emerging from armed conflict (see Chapter D.9. below) it is important that MULTIPART WP 4 and5 teams conducting impact assessments are creative and open-minded in the selection of possible indicators. It is also important to be realistic and pragmatic. It is important to focus on potentially important impacts for which at least some useful data-sets on relevant indicators are readily available. It may well be possible within project resources to conduct substantial new qualitative research amongst stakeholders and beneficiaries (through interviews, participatory or action oriented research, etc). However, it is unlikely to be feasible to conduct significant quantitative surveys, or construct new data-bases.

By the end of Stage 3, there will hopefully be at least one, and possibly a few potential specific impacts of the MSP which have been judged to combine: importance of conflict processes or conflict sensitivity; high interest according to wider project criteria and thematic lines of enquiry; and good research ability. For each of these, a small set (about three) of researchable quantitative and qualitative indicators will have been identified and selected

At this point, final selection of the potential impacts to be empirically investigated is made. Normally, we envisage that a case study might include detailed investigation of 2 – 3 potential impacts of a specific MSP, including a combination of impacts claimed by the MSP itself, or unplanned or side impacts of possible significance.

#### **D.7.2.4 Conducting an impact assessment**

This sub-section highlights key issues in conducting an assessment of impacts after the selection and design process (Stages 1 – 3) is complete.

Central to this is the assessment of a specific and possibly very narrowly focussed potential impact – which has been selected through the process indicated above. As is well-known, an impact assessment involves a combination of investigations of the extent to which relevant change has occurred (compared to a baseline scenario) and the extent to which this is a result of the involvement or activities of the MSP under investigation. Both aspects require investigation.

Investigations of whether and how relevant change has occurred (compared with a baseline scenario) will probably involve a combination of process tracing, data comparisons and trend analysis of selected indicators, and qualitative interviews with a range of MSP participants, stakeholders and intended beneficiaries. Investigations of the extent to which these changes are due to the activities of the MSP will require analysis of MSP outputs, activities, and influence mechanisms, followed by a combination of process tracing and assessment of probable outcomes if the MSP had been absent or different. Information provided by MSP participants or supporters themselves can be expected to be important. However, each assessment should also use information from other stakeholders and beneficiaries, as well as from indicators assessed using independently collected data.

Interpretation of findings will depend on understanding developed through the wider case-study research and qualitative information from stakeholders, MSP participants and beneficiaries, and also possibly from well-informed observers.

Each specific impact assessment relating to an MSP will be of value in itself. In combination, 2 – 3 specific impact assessments will contribute to a summative assessment of the impacts and effectiveness of the MSP overall. Such summative assessment is valuable and to be recommended, even if it is likely to be more contestable. Analysis of specific impacts can be complemented by wider information on MSP effectiveness and impacts, including for example, interviews with stakeholders on the overall reputation and effectiveness of aspects of the MSP.

### D.7.3. RESEARCHING AND MEASURING THE IMPACT OF MSPS ON HUMAN SECURITY

#### D. 7.3.1. Brief Review of Human Security Measurement Methodologies

Sara Moore, Maddalena Vivona

There are numerous methods proposed by scholars and politicians for measuring human security, but they all have their limitations. Ultimately, all seek to measure real change in people's lives. There is a proposal of measuring whether or not a threat has reached a crisis level, the *threshold* argument. There are several ways in which the threshold could be determined. One is by looking at areas of threat severity regardless of their source, or the *hot spot* mapping.

The researchers Taylor Owen and Olav Slaymaker promote the idea of using spatial mapping of key indicator data to determine human security *hot spots* (Owen & Slaymaker, 2005). The researchers interviewed sixty regional experts in each of six categories of human security (environmental, economic, political, personal, health, and food) to learn if there were any issues that they would qualify as human security threat in their region. This reduced an endless list of threats down to those which had relevance to that particular region, giving the study a bottom-up frame of reference. Maps of the areas of highest concern were then created to allow analysis of spatial relations between indicators. The researchers were able to see a correlation between high rates of poverty and high numbers of land mines. This discovery could provide key information to policymakers, allowing the formulation of more nuanced and effective anti-poverty and anti-mine programs in the given region. In terms of measuring multi-stakeholder partnerships, it would cue the evaluator, for example, to make sure that anti-mine programs were taking poverty-related issues into account in their practices, and vice versa.

The strength of this analysis is that it does not rank one source of threat over another, saying, for example, that poverty is more of a threat than land mines, a problematic prioritization. Instead it seeks to find the places where threats tend to rise to a serious level. A threshold approach such as this, based on severity in terms of violating an acceptable level of human welfare, is also one which recognizes that a traditional institution which should address one kind of threat may not be able to deal with the threat once it reaches a certain level of severity or is exacerbated by (perhaps unseen by the institution) compounding factors (Tadjbakhsh, 2005). The drawback to this analysis is

determining the level at which something is considered a serious threat, or determining what factors should be included in a threat-severity study. The level of severity for a threat may change by community and context. For example, a field of 20 mines may be more dangerous in proximity to a relatively young community, where there are not enough caretakers for children, than the same field of 20 mines may be in proximity to a relatively old community, where people mostly remain indoors. The organisation dedicated to mine eradication may not be alerted to the need for extra attention to the first community through the hot spot analysis described above.

Another study, the UNDP Latvia Human Development Report 2002/2003 used a survey method to measure human security, specifically to reveal the country's top human security issues. It sought information through a stratified random survey of 1.000 permanent residents over 18 years of age, using two parts: an interview section and a private written response section. The survey not only asked questions about what issues were the top concerns, but how the respondents empowered felt to mitigate the impacts of those issues. Analyzing the demographic information acquired through the survey, the study attempted to create a profile of a person who was relatively more at risk for human security threats.

The main strength of this method is that the study produced truly bottom-up results. They were able to identify the top concerns and make recommendations for improving people's sense of urgency in dealing with them. Their recommendations, which include greater participation by people in their communities through networking, and greater effectiveness by the government in improving the welfare of the most at-risk, emphasize the two-way street of human security, involving both the agency of individuals and the state. Drawbacks to their methodology include the subjective nature of the data gathered: their recommendations for empowerment of the Latvian people are inspiring, but based on subjective perceptions of what is feared (primarily economic instability), only general recommendations for amelioration of fears can be proposed, not concrete and practical policy initiatives for mitigating impacts on behalf of the most vulnerable part of the population.

King and Murray proposed a 'simple, rigorous, and measurable definition of human security: the numbers of years of future life spent outside a state of *generalized poverty*' (King & Murray, 2001: 585). They define generalized poverty in a future-oriented perspective as the risk of falling below the threshold of any key domain of human well-being: income per capita, health and education as well as political freedom and democracy. If a person fell below the threshold that is absolute and not context- or region-specific, in any of these domains, s/he would be considered in generalized poverty.

The future-oriented analysis of King and Murray offers an objective measurement of human security developed on the model of the human development index that is comparable across the world and offers an easy tool for public policy analysis. One drawback is that it focuses only on an individual's vulnerability, not considering the positive measures of security, and not considering the subjective nature of security. It comprises only a narrow list of threats that focuses on freedom from want and leaves aside violence.

Another system of measurement of human security that has been proposed is through the rate of non-military avoidable mortality (Roberts, 2005). Roberts proposed this measure in order to identify 'human participation in contributing to deaths as a consequence of, for example, ecocide or debt' (Roberts, 2005). He is principally concerned with human *insecurity*, with death as the 'ultimate condition of insecurity' (Roberts, 2005). The strength of this metric is that it helps meaningfully limit the number of threats considered under the umbrella of human security, while maintaining the concept's flexibility. The weakness of this method of measurement is that it has death as a primary point of reference, while there are states of dire human insecurity that can be maintained for prolonged periods at a level just above that which would cause death, and those states of insecurity would likely be understated or underreported in this method. A threat to human security can be serious without being necessarily statistically a cause of early death. For example, there may be a community where the population has physically adjusted to levels of pollution, perhaps levels that would kill someone from outside the community; but, over time, the degraded environment may compound with other factors such as poor immune system to lead to an early death that is not attributed to the pollutant. Thus people may live in seriously substandard conditions that do not register as a cause of early death. The method of measuring human insecurity by the *avoidable mortality* index runs the risk of not detecting such nuanced, compound conditions.

Finally, there are two proposed instruments for measuring human security that seek to combine qualitative with quantitative measures, aggregating them to create a *human security index* or a *human security audit*.

The Human Security Index, as proposed, would be modelled on the Human Development Index. This is calculated by the UNDP annually, and combines normalized measures of life expectancy, literacy, educational attainment, and GDP per capita for countries worldwide. The strengths of such an index would be that it attempts an objective measure of the human security situation in a country. It would provide a clear benchmark to help differentiate a crisis from a non-crisis (Prezelj, 2008). It could include measures of environmental degradation, as well as the measures noted above such as early mortality and constraints on freedoms. It would encapsulate a

range of data in a single measure, facilitating ranking and comparisons. Ultimately, it would get back to the question of what a threshold minimum level of human security should be, what ‘acceptable (not maximal) level of security’ should be maintained in a country (Prezelj, 2008). After making an attempt to aggregate data and make conclusions about human security on a country-by-country basis, Andrew Mack of the Human Security Centre identified some possible weaknesses of a Human Security Index, primarily concerning problems with data. The Human Security Centre’s Human Security Report 2005, draws the conclusion that a human security index should not be formulated, on the basis of the practical challenges, as well as the power of that figure to be misleading due to omitted variables (Human Security Centre, 2005: 90-92). Among the Human Security Centre’s criticisms are:

- The existing data sets used to measure human insecurity are not comprehensive enough, and many are not updated annually.
- Data on homicide and rape are missing for most of the least secure countries in the world.<sup>11</sup>
- There are no global data on indirect deaths (deaths caused by disease and the lack of food, clean water, health care) resulting from war.
- Composite indices conceal more information than they convey (data from individual data sets are more informative when presented separately).
- Aggregating different kinds of measures, such as mortality and human rights abuses, brings up the problem of weighting one kind of threat over another when combining them.
- An index of security may provide insights into less secure nations, but wouldn’t be very useful for actually determining what country is *most* secure.

The Human Security Centre evaluates three data sets which could potentially serve as human security indices: the Uppsala/ Human Security Centre data set, the Political Terror Scale, and the World Bank’s Political Instability and Absence of Violence Index, all three of which provide a composite rank per country. Comparing these data sets reveals that the same countries fall at the *bad* end of things: countries with the highest levels of political violence and human rights abuses tend to be most politically unstable. This suggests some kind of external validity to the three data sets. However, the most feared kind of violence is not political violence; it is criminal violence (the Human Rights Centre cites the Ipsos-Reid survey), which is not included in these three data sets.

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<sup>11</sup> The authors would comment on this quotation by adding that crime statistics in general, not just the ones concerning crimes such as homicide or rape, are unavailable in most post-conflict and developing societies as a result of the population's mistrust of the police and other factors. However, homicide rates are generally the most reliable statistics in any context because of the existence of irrefutable evidence of the crime.

So, if the challenge is to address a person's freedom from fear, measures of criminal violence should be included in any index of human security. More importantly, data on indirect deaths from armed conflict are omitted, and war-related disease and malnutrition are far more deadly than war (Human Security Centre, 2005).

Alongside the concept of the Human Security Index is the Human Security Audit (Bajpai, 2000), this combines the concept of an index with measurements of qualitative indicators. For example, Bajpai recommends describing efforts to control small arms proliferation rather than counting how many small arms there are (Bajpai, 2000). Another recommendation is to describe efforts to combat human trafficking rather than try to estimate individuals trafficked.

There are similar issues with the audit and index. Bajpai recognizes the following challenges with the creation of a Human Security Audit.

- There remain issues of quantitative indicators lacking validity or reliability, particularly in the least secure environments, where data collection may be difficult or impossible.
- There remains the question of how to weight different measures when aggregating.
- A national aggregate of security does not reflect the experience of subpopulations or sub-national geographic regions.
- There is no one objective interpretation of social reality: what is something that is feared in one instance is not fearful in another.

Also, any attempt at a human security audit of a nation needs to be supplemented with other methods of assessing human security, for example, Bajpai suggests population-level surveys, or the introduction of global surveys of geopolitical factors impacting on the human security of a nation.

One of the purposes of MULTIPART is to identify and measure the impacts of MSPs on the human security of the countries targeted by this project (Afghanistan, Kosovo and Democratic Republic of Congo). Although we are not particularly assessing human security in the countries targeted, the different methods employed above for measuring human security threats inspired the methodology which follows. In this sub-section, we will suggest how local researchers could identify the possible impacts of the selected MSPs as well as possible indicators of those impacts. We will also suggest methods for data collection although the WP 4 and 5 leaders, together with the local partners, will be responsible for identifying the best method in each case study, taking a realistic account of resource limitations.

#### **D. 7.3.2. Identifying Impact of MSPs on Human Security and Indicators**

##### **a) Phase 1 - Identifying Impacts**

Bearing in mind the MSPs selected for this study, the local researchers will identify the possible impacts that those MSPs have/had in the human security levels of their host countries targeted. Although the work of MSPs might have a wide range of different impacts, researchers are not expected to measure all impacts. In this regard, researchers may identify different impacts but focus on those which are more relevant for the thematic under study or those of which measurement is possible or already available.

, Concerning the thematic “freedom from fear” for instance, MSPs such as the Mine Action Support Group (MASG, 2004) which works towards the eradication of anti-personnel mines in post-conflict societies might have influenced/had an impact on the personal security of residents. Rates of injury or death of adults or children through encountering mines in the work target area threatened by landmines and unexploded ordnance might reveal this impact. It might have also had an impact on employment and school attendance. Other impacts would be revealed by measuring the feelings of insecurity of the residents in the same area as well as rates of employment and school attendance might reveal the other impact. The researcher must decide whether he/she will have means available to measure all impacts or whether only one of those impacts could be measured and which is more relevant. In another example, the European Centre – Kosovo is a non-governmental organization which focuses on the European integration processes and the development of the professional skills of civil servants and young professionals in Kosovo, preparing them for their future work in the field of Euro-Atlantic integration (European Centre- Kosovo, 2007). They work in partnership with government offices, educational institutions, and NGOs – both local and international. They also work in partnership with NATO and the EU. This MSP might have had impact on the human security issues connected with employment, specifically on access to vocational training in a post-conflict society. Indicators such as the rate of employment or unemployment of those who have taken part in the program might demonstrate the effectiveness of those trainings. Another indicator of impact would be the number of people trained. The researcher must decide which impacts or whether both impacts are relevant to measure.

Therefore, the identification process of impacts should follow certain steps:

1. Assess the potential impacts on Human Security of selected MSPs;

2. Assess the actual impacts on human security of the selected MPSs, focusing on the most relevant impacts. This assessment can happen, for example, by reviewing the objectives and outcomes of selected MSPs. This information should be possibly gathered during the research on MSPs' process. However, the researcher should take into account:
  - a) Impacts can be positive, negative or neutral. Even if the MSPs have “no impacts”, this is relevant to the project.
  - b) There may have been unintentional impacts (impacts which were not foreseen as objectives but which were outcomes of the MSPs) and these should also be taken into account.
3. Assess which of those impacts can be measured. This means assess which impacts could possibly be measured by the researchers themselves. In order to perform such an assessment, researchers will have to design a proper methodology considering resources limitations;
4. Assess which of those impacts have already been measured and whether the data available. Possibly, researchers will find data which has been collected by others such as monitoring NGOs or international organizations. Data might have been even collected by the MSPs themselves. Data collected by others, i.e. secondary sources, can be used but the data's validity and reliability should be assessed;
  - a) Be cautious not to only select only impacts which have already been measured by the MSPs themselves. This should avoid that results reflect exclusively the point of view of the persons involved in the MSPs as well as avoid biased results.<sup>12</sup>
5. Bearing in mind the above, researchers should decide on impacts to study and justify their choices.

#### b) Phase 2 - Identifying/collecting indicators

The next phase concerns the selection of indicators which may reveal the impact of the work of MSPs in the field of human security in post-conflict societies. For each impact which had been previously selected, researchers may find several different indicators. In the first example mentioned above, the “Mine Action Support Group” might have/have had an impact on the personal security of residents. As stated above, this impact could be revealed by indicators such as rates of injury or death of children or adults through encountering mines in the work target area threatened by landmines and unexploded ordnance might reveal this impact. Other impacts would be revealed

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<sup>12</sup> Subjectivity is not entirely negative, though it is important to recognize when our own or participants' beliefs are intruding into the analysis (Strauss & Corbin, 1998).

by measuring the feelings of insecurity of the residents in the same area as well as rates of employment and school attendance. The researcher must decide whether he/she will have means available to measure all impacts (injury, death, employment, school attendance, feelings of insecurity) or whether only one of those impacts could be measured and which is more relevant.

It is again a matter of choice. This choice should however be based on certain steps, which follows:

1. Think about possible indicators which would demonstrate the selected impacts;

Indicators can be qualitative or quantitative. Quantitative data can support subjective or qualitative evidence and vice-versa.

2. Likewise the method adopted during case-study selection, assess the availability of data for those indicators;<sup>13</sup>

- a. If data is available (qualitative or quantitative), the researchers should check their reliability and validity (i.e. checking the method employed to collect the indicators, giving preference to indicators collected by non-biased, neutral institutions and external evaluators and assessing the reliability of data which was collected by MSPs themselves). In case data available are assessed to be unreliable or invalid, exclude them but include the criteria for exclusion in the research design.

- b. Furthermore, when selecting the indicators the researcher has to be cautious and avoid choosing those which might reveal the positive impacts and hide the negative impacts, and vice versa. Indicators have to be carefully selected for minimal bias.

- c. If there are no data available, the researchers must decide whether to collect data themselves;

- d. Quantitative data is not supposed to be collected by the researchers themselves because of cost and time constraints. However, qualitative data could be collected by the researchers which would enable the researcher to gather original information following an inductive approach.

3. Researchers should design a proper method to collect qualitative data, taking a realistic account of resources. This method could be interviews, document review, observation, group interview, etc...

4. Indicators per se have very limited meaning. Therefore most of the indicators shall be compared or analysed in proportion or relation to other indicators, finding meaning in the outcomes of such comparisons. For example, police statistics on crime alone have very limited meaning. However if compared to victimization surveys and ethnic distribution of

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<sup>13</sup> Suggested source of information are the UNDP reports as well as Schodan, Betina. *Researching country of origin information: a training manual*. Vienna: Austrian Red Cross.

victims they might indicate the level of ethnic violence in a society or may show the threat a citizen belonging to the certain group might face (Starl & Guse, 2008).

5. Since it is easier to infer meaning from data comparability, researchers should collect information/consult existing data from at least two different sources concerning each selected impact.

#### **D. 7.3.3. Method Application**

In order to help the researchers understand the method suggested, we will provide an example of MSP/impact/indicators selection during the Research Design and Planning Workshop (26-27 November, 2008).<sup>14</sup> We will pick one MSP in Kosovo; explain its work; do a potential impact assessment; determine which indicators could demonstrate those impacts; assess data availability; give examples of methods to measure impacts when there are no data available and present results.

In order to illustrate possible indicators and methods for gathering information, we will make some suggestion of indicators in the following. This will provide the researchers with the opportunity for brainstorming in advance to the workshop meeting.

Depending on the MSP and the impacts selected for study, the following indicators might be useful for measuring impacts in the fields of “freedom from want”, “freedom from fear” and “participation and empowerment.” We focus here mostly on policy-related indicators as a result of our research objective: to examine and measure the impact of MSPs on the human security of the targeted countries.

It is important to highlight that more appropriate indicators might present themselves in the course of the study, and thus the following indicators are only suggestive. Moreover, researchers will have to adapt the suggested indicators and methods to their reality and take a realistic account of resources limitations for each case study.

#### **D.7.3.4. Researching and Measuring Impacts on Human ‘Freedom from Want’ (Health, Shelter, Food, Economic Indicators, etc)**

Researchers could use interviews with local and international stakeholders and members of the targeted population may be one of the methods applied in order to measure impacts on freedom

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<sup>14</sup> These examples will make part of the workshop materials that will also be available from the project’s website ([www.multi-part.eu](http://www.multi-part.eu)).

from want. Another source of information is documents. The following issues could be discussed in order to evaluate the impact of MSPs in the field of freedom from want:

- Conditions before and after the MSP intervention (this could be assessed via semi-direct interviews with beneficiaries of the actions of the MSPs);
- Existence of regulatory mechanisms (i.e. legal codices), in particular as it relates to humanitarian conditions, for minimum “vital core” survival, accessed via document (legal) review;
- Implementation of those regulatory mechanisms, assessed via semi-structured interviews with beneficiaries/residents.

Following the triangulation method which was already proposed in this report, qualitative indicators should be combined with other sources of information such as quantitative indicators, as follows (when available and reliable):

- Life expectancy and morbidity rates;
- Prevalence/ incidence of infectious diseases (HIV/AIDS, dengue fever, yellow fever, malaria, etc, depending on the target country);
- Deaths caused by disease, bad nutrition;
- Adequacy / accessibility of medical services (availability of preventative services, number of doctors/nurses per population, medical visits per population, expenditure on health services, availability of medical goods/ pharmaceuticals, hospitals and health centres in operation, hospitalizations/ labs/ x-rays/ operations performed per population);
- Access to safe housing (supply versus demand of housing, population in temporary or improvised shelters);
- Water supply and access to land;
- Primary and secondary school enrolment ratio, as well as attendance and drop-out rate;
- Tertiary education enrolment ratios (tertiary students in science);
- GDP per capita and income distribution/concentration;
- Purchasing power (commodity) of average daily salary;
- Unemployment.

#### **D.7.3.5. Researching and Measuring Impacts on Human ‘Freedom from Fear’**

In-depth interviews with the MSP intervention’s targeted population (local stakeholders and observers) are the best source of information concerning security issues. The level of security of a country can be measured by objective indicators, such as number of police officers/per person, crime reporting, conviction rates or investigations concluded, but it is more important to look at the subjective indicators: the individual’s sense of security. In other words, “freedom from fear” does

not mean only that a society is equipped in order to combat or reduce crime and violence but also that the members of society feel safe.

Therefore the following indicators of performance<sup>15</sup> might inform the impact of MSPs and their actions in the field of “freedom from fear”:

- Feelings about security issues (e.g., feelings of insecurity, change of attitude as a result of war, organized crime; landmines; trust in the law enforcement agencies, corruption, discrimination based on ethnicity, etc.); assessed through semi-structured interviews with residents;
- Discrimination based on ethnicity, gender, religion assessed through focus group interviews with public officers or aid workers;
- Trafficking and smuggling (number of victims and governmental efforts in order to combat trafficking) assessed through interviews with local and international stakeholders (public officers, aid workers or NGOs) working with assistance to victims in the region and abroad;
- Drug addiction and physical abuse of women and children in households assessed via semi-structured interviews with residents.

Alongside the indicators mentioned above, the following quantitative indicators may also contribute to measuring the performance of MSPs in the field of freedom from fear:

- Adult mortality rates, particularly the rates of violent deaths;
- Drug addiction and physical abuse of women and children in households assessed via the register in the health system;
- Criminal violence (including ethnic/gender or religious violence) and crime reporting assessed via victimization surveys;
- Police statistics on incidents of interethnic intimidation or violence;
- Rates of injury or death through encountering mines (adults, children) as well as gun injuries assessed via the register in the health system;
- Number of detectable mines in the work target area;

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<sup>15</sup> We prefer to use the expression indicators of performance instead of indicators of results. The actions of MSPs might produce results which might be the consequence not only of their actions but also of other variables (social and economic, for example). For this reason, a result is always difficult to measure in human sciences. However, a researcher may measure performance by using a set of mechanism, processes, programmes and policies put into place and aimed at a certain purpose (Starl & Guse, 2008) (e.g. fighting organized crime, corruption, racism, providing more education and job opportunities, etc.)

- Police statistics and conviction rates on the use or ownership of small weapons;
- Conviction rates and ethnic/gender/religion distribution of perpetrators;
- Existence of regulatory mechanisms (e.g. legal codices or special laws), in particular as it relates to police/criminal justice reform (criminalization of certain criminal acts such as corruption, terrorism, trafficking, organized crime) accessed via document research;
- Implementation of those regulatory mechanisms assessed via interviews with regional experts (local researchers, nongovernmental workers, governmental officers and international organizations officers).

#### ***D.7.3.6. Researching and Measuring Impacts on Participation and Empowerment***

Interviews with local and international stakeholders and members of the targeted population may be one of the methods used in order to measure impacts on participation and empowerment. The following indicators could inform whether the population of targeted countries are effectively participating and being empowered in order to take decisions and participate in the public decision-making process of those countries:

- The capacity to deal with threats: information on the steps one should take in case of emergency, information on their rights, information on governmental institutions and services provided, opinion about public institutions, participation in elections, issues on exclusion/integration, assessed via interviews with residents;
- Participation in decision-making and right to assemble; restriction on the right to vote (e.g., based on ethnicity or citizenship); policies for integration or exclusion; assessed via consultation process/interviews with officers, social workers or NGOs working with human rights in the region;
- Ability of independent civic organizations engaged in humanitarian activities -- particularly with vulnerable groups – to exercise the right of assembly and function without harassment.

Alongside the qualitative indicators mentioned above, the following quantitative indicators may also contribute to the measurement of the performance of MSPs in the field of participation and empowerment:

- Numbers of undocumented residents.
- Reported instances of harassment or violence at polling places;

- Voter turnout rate, particularly youth voter turnout rate;
- Manifestations and assemblies organized by youth or vulnerable groups;
- Perceptions of corruption in a given society, i.e. via the Corruption Perception Index (CPI).

#### **D.7.3.7. Summary**

In order to measure the impact of MSPs on human security, we suggest a two-step process: selecting impacts and defining indicators. We also suggest possible indicators which might reveal the impacts of MSPs in the fields of “freedom from want,” “freedom from fear” and “participation and empowerment.” Several different indicators, both qualitative and quantitative, were given as examples. Qualitative information can be obtained through interviews with the population as well as with NGO employees, human rights defenders or public officers and authorities. Quantitative data can be obtained via official and unofficial means to give further context to the qualitative findings.

As a result of the necessary adjustments along the way which are common in qualitative approaches, we suggest that researchers do data analysis simultaneously with data collection.

## D.8. Researching the roles, significance and impact of the EU

*David Lewis*

The role of the EU is an important part of the MULTIPART study, but initial discussion among partners suggests that it is not a primary research question, although it is an important subordinate issue. Where useful policy recommendations or insights may emerge from aspects of the research that assess EU involvement, these should be encouraged and developed. But the focus of case-study research will not be on the role of the EU as such, since it is not viewed as a significant independent variable.

The involvement of the EU is not considered to be a key factor in case selection [see chapter D.11], although it may be considered as a subsidiary criterion where all other factors are equal. Primary Research Question 6 (*'how has the participation or support of international actors, including the EU, affected the MSPs selected for case-study in this project, in relation to the MSPs development, operation, sustainability and impacts?' – [see sub-section D.2.3.3]*) does address the issue of EU involvement, but note that it is focused primarily on the importance or significance of the role of external actors, rather than any variables specific to the EU.

It is important that researchers understand the limitations of our assessment of the EU role: the project is not designed to assess in detail the different types of interaction of the EU with MSPs, but rather take into account a broad understanding of the EU as a multi-actor, multi-level participant, which may fulfil multiple roles in MSP development and operation. In particular, case-study research design will not be primarily designed to assess the complex interaction between different elements of the EU, including different institutions, instruments and member-states. However, this does not preclude the elaboration of nuanced and appropriate policy recommendations to the EU arising from the project's assessment of MSPs in post-conflict environments.

### D.8.1. ACTORS AND ROLES

There is considerable literature regarding EU policy-making, and it will not be useful to review the whole issue area here. Researchers are expected to be familiar with some of the broader themes, and to recognise the potential complexity of discussing the unit of analysis in EU decision-making.

Mayntz argues that ‘the object of study [in European policy making] would be not what happens in Brussels (or between Brussels and Strasbourg) but the mutual interdependence of national and European policy processes in a multi-level system’ (Mayntz, 2003: 33).. Other authors (Peterson & Bomberg, 1999) outline three levels of decision-making (super-systemic, systemic and sub-systemic), matched by different levels of actors, and varied modes of negotiation. Similar attempts to reflect the complexity of EU structures and decision-making are common throughout the literature.

In the case of MULTIPART, we would expect a similarly nuanced approach. Researchers should be prepared to assess the EU as a multi-actor entity as well as its contribution as a coherent whole. Actors in post-conflict environment might include:

- EU Council
- CFSP (High Representative)
- EU Special Representatives
- European Commission (External Affairs and ENP; Development and Humanitarian Aid, etc.)
- representatives acting through cross-cutting instruments, such as ‘Instrument for Stability’
- an EC delegation in-country, or a field office of ECHO
- member-states engaged bilaterally or through other institutions such as NATO;
- European NGOs

In each post-conflict environment, therefore, the representation of the EU (often with both multiple actors, and an overall identity represented) will be complex, and the roles that it is fulfilling will also be diverse and sometimes contradictory. In part, different roles will reflect different institutions, but differentiation of roles extends beyond mere institutional diversity, and can be extended to another level of analysis.

#### D.8.2. SIGNIFICANCE

The significance of EU involvement will also vary according to the context. In some contexts, where the EU plays a significant regional role, such as in the Balkans, where it exerts considerable influence on internal policies through the broader impact of countries seeking to achieve EU membership, it clearly has a role of different significance than in a post-conflict environment such

as Afghanistan, where its norm-setting agenda has no such instrumental significance for the future trajectory of the country.

Nevertheless, the geopolitical role of the EU is not without significance in any post-conflict situations. In some areas of conflict, for example, the EU will be seen as a more neutral alternative to US-led interventions; in others, an EU activity, through the Commission or other European institution, will be a significant alternative to bilateral activities by member-states, which may have particular historical or cultural connotations for a particular country.

In this sense, the role of the EU in any given MSP has potential significance for the broader impact of an MSP on peace and conflict, and this may be an important secondary aspect of a case-study. However, for the most part, the research questions related to the dynamics of an MSP and the role of the EU will be focused primarily on the role of external partners and donors, as a type of participant, rather than on the role, for example, of the European Commission.

The prioritisation of research questions in this area remains open, with a possibly interesting set of secondary research questions on the most appropriate ways in which the EU is involved in MSP development and facilitation. However, as presently envisaged, although some conclusions in this area may emerge from case-studies, this is not a primary area of research interest, and in most cases researchers will rely on a working hypothesis that it is the externality of the participant with regard to the particular MSP and the conflict area that is significant, rather than the particular nature of the external partner. In other words, it is the dynamics inside the MSP, rather than dynamics within EU structures, which are important. However, there are clearly second-level questions of importance that relate to internal dynamics within MSP participants and facilitators, and early case studies may suggest that this initial prioritisation should be revisited.

#### D.8.3. IMPACT

The impact of the EU involvement will be extremely varied, dependent on different actors and different roles. In some MSPs the greatest impact will be funding from EU sources, which in turn may have a variety of secondary impacts, not just financial but in terms of norm dissemination or technical assistance. Other areas where the EU may make an impact could be in facilitation efforts, political support, moral persuasion, technical assistance, knowledge transfer, provision of personnel, etc. In all cases, this impact will take primary and secondary forms, and given the complex nature of the EU's multi-actor presence, impact may be contradictory or at least not complimentary. In reality, measuring that impact in any quantifiable way is impossible, but

important aspects of these impacts, particularly as they influence conflict and peacebuilding, should be addressed where appropriate.

## D.9. Researching in countries emerging from violent conflict

*Owen Greene*

It is important to be aware of the special challenges and responsibilities involved when researching on and in countries emerging from armed conflict. Such research typically raises a number of important ethical issues for researchers, including those relating to possible impacts of the research, and to the awareness, security and well-being of the researchers, interviewees, and the people and communities involved in the activities under investigation. Such ethical issues, and guidelines for addressing them have been highlighted and discussed in Chapter D.8. above. However, there are also numerous practical and methodological challenges, which need to be taken into account especially in the in-depth case studies for MULTIPART. These are highlighted briefly in the following paragraphs.

Similarly to other chapters, we assume that all MULTIPART institutions will ensure that researchers have appropriate generic training and experience for conducting research on MSPs and their impacts in countries like Afghanistan, DRC and Kosovo. This chapter therefore aims only to highlight some key issues for consideration.

Most of the key challenges relating to this chapter are directly implied by obvious characteristics of most countries emerging from war, including Afghanistan, DRC and Kosovo. These include:

- Such countries may still be experiencing violent politically-related conflict, at least in some geographical areas; and in any case most local communities and organisations rationally fear that violent conflict will re-emerge.
- Such countries typically experience high on-going levels of violent crime, with resultant realistic concerns from security form violence.
- Society is likely to remain highly, and violently, divided. In this context, perceptions are likely to be highly polarised and partial, with consequent challenges for reliable data-collection, interviewing or surveying.
- The state and wider society has been massively disrupted, making reliable statistics and data even more scarce and patchy than is the case for most developing countries.
- External engagement with the country may be high – of donors, NGOs, peace-support missions, and such like – with high local dependence on and sensitivity to external aid. In this context, co-operation with external academic researchers risks being motivated by misplaced or unrealistic expectations.

- In the context of massive challenges of reconstruction, peace-building and establishment of a functioning state, responding to the needs and requests of researchers will tend to be regarded as a low-priority diversion, unless ulterior motives come into play.
- Local research collaborators and partners may operate under constraints and risks of which you may well not be aware, limiting or distorting the inputs and probably also raising ethical issues.
- In post-conflict conditions, practical issues relating to communications, transport, etc - can raise unanticipated obstacles and delays.

Such challenges of researching on and in countries emerging from armed conflict are well-known. They imply a need for robust and flexible research approaches and methods, and a respect for pragmatism.

In the context of the MULTIPART Project, the resources available for in-country field work are relatively modest. Most case study researcher time for the EU-based partner institutions is for desk research outside the relevant post-conflict country. The lead institution for each WP 5 team has resources to enable a total of about one person month in country research and co-ordination. Most in country research for case studies will need to be conducted by our local research partners, which are each anticipated to be able to devote approximately 6 person months research time to case study research.

The generic challenges of researching MSPs in countries emerging from armed conflict need to be carefully considered in the context of the above resource issues. It implies that it is a priority to:

- Involve researchers with detailed local country knowledge (including WP 5 leaders ad local research partners) in case selection, research design and planning for the case studies from an early stage, to ensure that feasibility and conflict sensitivity issues are consistently taken into account.
- Aim to be consistently sensitive to the practical challenges listed above, as well as possible ethical issues, and respond rapidly to emerging risks to implementation.
- Provide local researchers with clear guidance on priorities and methods for research, since resources are scarce and there will be limited scope for recovery if mistakes are made.

## D.10. Ethics in research: Issues for MULTIPART

*Valentina Bartolucci*

Ethical considerations are of paramount importance in any research. This chapter aims at addressing ethical concerns with specific regard to MULTIPART. The Project is committed to ethical practice in its development and implementation, and WP 4 and 5 leaders should undertake an explicit process of addressing potential ethical issues, particularly in case-study field research.

A good study has to be conducted systematically (being explicit about the nature of the observations, the circumstances and the role of the researcher), sceptically (in particular, being open to future criticism), and ethically (Robson, 2002: 18). In order to meet ethical responsibilities, reflection on potential ethical issues that can arise and their implications, and strategies for addressing them, has to start at early stage.

“Ethical problems start at the very beginning of a study (Robson, 2002: 67). Ethical issues arising at different stages of the research process must be analysed beginning with ethical issues that can arise in the first stage of a research: the selection of the topic and research design.

MULTIPART is open to using mixed, qualitative and quantitative approaches, in order to avoid the constraints of “fixed research designs” (Anastas, 1999) and to allow flexibility. That enables further ethical issues to be tackled as they arise – rather than assuming that all ethical issues can be anticipated in the early stages of design (De Laine, 2000).

According to the University of Bradford ethical code “research, and those pursuing it, should respect the diversity of human society and conditions and the multi-cultural nature of society” (University of Bradford, 2006: 15). This is integral to every aspect of MULTIPART research design as this research may involve contacts with vulnerable groups- being located in post-conflict countries. According to the ESRC guidelines this kind of research involves more than minimal risk (ESRC: 8). However, despite an awareness of the implications that can arise in doing field research in a very different context, this research is considered feasible and ethical. Efforts to understand the researchers’ limitations and to prevent problems that can arise from a lack of understanding of the context need to be made.

The most sensitive phase in which such problems may arise will be during data collection and analysis. Ethical issues can arise in the identification of participants, in particular how many people/organisations to include. Given the financial and time constraints, the number of people that

will possibly be interviewed will be relatively small but efforts will be made to ensure that it is balanced in terms of ethnicity, gender and age.

During data collection, important ethical issues arise in the conduct of interviews. First and foremost, attention must be paid to cultural sensitivities. These are complex issues and ensuring ethical responsibility in the conduct of interviews will require a range of actions. Here, the fact that local researchers will conduct fieldwork will aid the identification of cultural sensitivities and possible solutions to those challenges, and will be a positive factor for being accepted by the communities and for gaining their trust. Researchers should tailor their approach in light of a range of sensitivities:

- a) Due to the sensitivity of gender issues within religious issues, separate interviews should be conducted for men and women.
- b) When assessing women and youths, particular attention should be taken.

Another crucial issue is the relation between interviewer and interviewee. There can be strong power-relationships involved in interviews (Scranton, 2004). While this is unlikely to be significant when interviewing government officials, for example, a power dimension could exist when dealing with young or marginalised people. In this case the use of the technique of participant observation, rather than sitting in a formal interview, could be more appropriate as this is claimed to have benefits in relation to power-relations (Mauthner et al, 2002). In direct interviews researchers need to understand the social and psychological context in which they are working, and be aware of the potential problems that power relations may cause, and take measures to address such problems, or take them into account in approaching interviews. Each case depends on the local context, and should be addressed specifically; where researchers are unsure of the context of the interview, they should be receptive to advice from local researchers and other local voices. Issues of safety and security are paramount ethical concerns in relation to field work (Lee-Treweek and Linkogle, 2000). A risk assessment is essential in MULTIPART. With regard to physical security, hazardous situations must be avoided. This is also critical with regard to local researchers, who may be under pressure to produce results, and less likely to conduct an appropriate risk assessment. The role of local researchers will require further definition and elaboration in WP 5 work plans. Each WP 5 group will need to provide a risk assessment summary that addresses the role of both international and local researchers.

Ethical issues vary according to the kind of sources used. In this research both primary and secondary data will be used. In planning interviews it has to be kept in mind that “informed consent is at the heart of ethical research” (University of Bradford, 2006: 14). While in the past deception

was more commonly used by researchers, this is no longer acceptable. Rather, it is now good practice to inform participants what the research is about, who the researcher is, who will have access to the data, why the research is being undertaken, and how it is to be promoted (Oliver, 2003: 77).

In the research field, participants should seek to receive maximum information on the study (Oliver, 2003: 28). All these issues can be addressed through the consent process. Potential participants must be asked for their consent to participate in interviews and their permission for the researcher to observe their behaviour in particular case (for example attending a religious meeting). However, fully informed consent can be impracticable. In that case, before starting observations or interviews, these issues should be discussed with the MULTIPART team, and addressed within each WP5 plan and outline of work. The researchers must ensure that all participants are aware that they may withdraw from the study at any point (De Vaus, 2001:83).

Ethical issues also arise in relation to secondary data. In this respect, ethical implications can arise around issues of presumed consent in regard to the collection of these data (ESRC, 2005: 19) and the potential risk of disclosure of sensitive information (ESRC, 2005: 19). Researchers should also be careful about their applicability, as secondary data is often collected for a very different purpose than the one of MULTIPART.

Ethical issues can arise relating to data protection. Here, the researcher must try to ensure the highest physical level of protection for the data that has been collected - being conscious of the threat to data integrity and security that will be faced during the analysis and storage of data. In particular, the ESRC guidelines should be followed (2005: 18) to ensure that the data collected will be:

- a) Adequate, relevant and not excessive for the purpose of the research.
- b) Processed in accordance with the data subjects' rights.
- c) Kept safe from unauthorised access, accidental loss or destruction.

It can be expected that much of the interview data will cover sensitive topics. Thus, some of the interviews will be conducted under conditions of anonymity. In such a case, the issue of data protection will be addressed particularly carefully. The data will be stored securely and the names and contacts of those people that required anonymity will not be written in the document containing the interview. Rather, a system of identification based on numbers saved in separate sheets will be adopted. The list of corresponding numbers to people will be stored separately in a safe place accessible only by the project team.

MULTIPART teams on WP 4 and 5 should consider carefully the issue of security and ethics during the process of case selection. Ethical approaches should be a key criterion for selecting cases, and any risk assessment that points to enhanced risk for either interviewers or interviewees should indicate to WP 5 Country Leaders and relevant WP4 teams that the case is not appropriate for selection for the MULTIPART project.

Further challenges arise because the majority of interviews and field work will take place outside the EU. Particular care should be devoted when transferring data internationally. Where there is any potential risk, data should be transmitted (electronically or physically) without direct indication of the source of the interview data (i.e. interview responses and names of interviewees should be kept separately). Again, any case study that involves information that would be considered highly confidential or potentially highly injurious to interviewees should be reconsidered at the initial stages of planning, in light of appropriate risk assessments.

Ethical concerns arise in relation to the dissemination of data. Where practical, a copy of the final report should be sent to the participants who actively participated in the process. However, ethics in dissemination go beyond this practice. Dissemination is a sensitive issue for those people interviewed that asked to be protected with anonymity. Anonymity has to be strictly respected and will be carefully considered before taking any steps in disseminating results through published material and conference presentations and other possible disseminations. In this context, MULTIPART should also consider the potential risk to participants in terms of employment, the future of the MSP, and other significant impacts.

Summing up, several potential ethical issues can arise from this research. In this paper, many of them have been addressed, while we are conscious that some are unpredictable at this stage (De Laine, 2000). Apart from what has been discussed above, particular attention should be devoted to issues arising while researching in conflict or post-conflict situations. In this case, precautions must be even greater, especially with regard to protection of participants and of researchers.

It is extremely important to engage in reflection on these issues before planning any further steps, and in particular a field study – and to continually reflect on the ethical implications of the research throughout the process. The main onus of developing an appropriate risk assessment for each case-study lies with WP 5 leaders, but will also involve broader discussion with WP 4 and other MULTIPART partners. Each WP 5 country leader should address risk assessment in their initial research plan to demonstrate that they have addressed key potential risks and ethical issues in the areas outlined above. However, risk assessment and ethics are ongoing concerns and should be regularly reassessed throughout the implementation stage and the dissemination of results.

## D.11. Summary terms of reference for case selection

*David Lewis*

Each process of case selection will be a joint endeavour involving WP 4 teams and the relevant WP 5 Country Leader. It is envisaged that local researchers will also offer useful inputs into this process and where practical, early consultation with them is advised. WP 2 and 3 will play a proactive role in advising and informing the case study selection process, through the training package planned for November 2008, and will also be available in an advisory role as the case study selection process proceeds.

Various criteria for case selection are set out throughout this document, notably in Chapter D.5. (Researching MSPs), and there is additional discussion in other chapters, including B.4. (Research Questions). Researchers are also advised to consult the theoretical background on MSPs (Chapter C.2.) and the project Working Definitions (B.2.). Broader issues of case-study selection are addressed in Chapter D.4. This document provides a process-oriented summary of the case study selection criteria and terms of reference.

There are three levels of questions that WP 4 and 5 participants will need to consider during the process. Level one addresses necessary, definitional criteria for an organisation to be defined as an MSP according to MULTIPART working definitions. Level two are additional criteria developed by MULTIPART to isolate MSPs of particular interest to the project; they address subsidiary conditions that will assist in distinguishing the most appropriate case-studies in a broader group of potential objects of research that fit the essential definitional criteria. Level three criteria assess the researchability of particular MSPs, given the logistical and financial constraints of the project, and also ethical dimensions.

### D.11.1.LEVEL ONE CRITERIA FOR CASE-STUDY SELECTION (DEFINITIONAL CRITERIA)

#### Actors

- Does the MSP contain at least three different types of actor (e.g. civil society organisations; private sector organisations; public sector actors; international organisations; bilateral donors; embassy or other international representatives, etc.)?

Does it include at least one public sector actor? A public sector actor is defined in a broad sense, including ‘any type or level of jurisdiction, eg ministry, municipality, public school, public

commission and so on. (Moreover, depending on the circumstances in certain countries emerging from armed conflict, it might include public bodies that are not officially recognised as such by the recognised national government, though this is regarded as the exception). tructures and processes

- Do these stakeholders all have some role in decision-making and operational questions? (This excludes collaborative networks, for example, or relationships that only involve funding of NGOs to implement projects, rather than their involvement in programme development, decision-making bodies in addition to implementation.)
- Does the MSP have a minimum degree of institutionalisation (i.e. regular meetings of stakeholders; a structured decision-making process that is de-facto recognised by all stakeholders; a recognition from stakeholders that they are part of a distinctive partnership?)

#### **D.11.2. LEVEL TWO CRITERIA FOR CASE-STUDY SELECTION (PARTICULAR RELEVANCE TO MULTIPART)**

##### Geographical focus of activities

- Is the MSP primarily active within national boundaries, in our case within the Democratic Republic of the Congo, Afghanistan or Kosovo (i.e. is it operating substantively within a the country, and addressing issues and concerns affecting peacebuilding processes or the human security of the state's population)? There may be a substantial area of transnational involvement, and an MSP might also address regional issues, or cross-border issues, but it would nevertheless locate its operations substantively in the country. This would exclude primarily transnational MSPs which do not directly and substantially engage with internal processes.

##### Functionality and longevity

- Is the MSP or was it until recently a functioning organisation, with real inputs, processes and outputs? MULTIPART will not examine in-depth case studies MSPs that are purely declarative or have not achieved minimal outputs.

- If the MSP is no longer functioning, was its activity concluded reasonably recently (within the last two years – for example)? (More distant dates could make data access and comparability extremely difficult.)
- If the MSP is functioning at present, has it been running for significant time (for example, for two years or more)? (Any period less than two years could make analysis of outputs, impacts and effectiveness too problematic for researchers.)

### Applicability to research questions

- Does this MSP potentially offer rich insights into the key research questions (in particular, Research Questions 3, 4, and 5 and preferably also Research Question 6 as outlined in Chapter B.4 and D.2.), both in terms of process and effectiveness of outputs? (Would an alternative case-study offer greater insights into a wider range of research questions?) This criterion will be further developed in relation to the development of subsidiary research questions within the overall range of questions developed in Chapter B.4.

### A balance among issue areas

- Does the overall case-study selection within a single country provide broad coverage of the four issue areas that inform the overall MULTIPART project design and define the WP 4 working groups? (The four issue areas are: security; social and economic development; democracy, good governance and rule of law; confidence building, reconciliation and inter-communal bridge-building.) It is expected, as noted, that each WP4 thematic issue area team will have a direct and detailed interest and engagement in at least one in-depth case study in each of the WP5 countries (although this may involve selecting MSPs that can span one or more issue areas)

### Relevance to the EU

- Is the MSP of particular relevance to EU decision-makers, and can it offer rich data with regard to Research Question 6, concerning external involvement? The role of the EU is not a key criterion in case selection, but where other factors are equal, an MSP of particular relevance and familiarity to the EU may offer advantages in developing robust policy recommendations in WP6.

### D.11.3. LEVEL THREE CRITERIA FOR CASE SELECTION (RESEARCHABILITY)

Level three questions are addressed to organisations that meet the level one and level two criteria, and assess researchability within the financial and logistical constraints of the project.

- Is there evidence of a sufficient level of data that will make it possible to evaluate the effectiveness of an MSP without recourse to significant additional research? In particular, is there a rich available data stream to assess effectiveness in terms of impacts on human security, or would the case-study require significant additional research into impacts?
- Is there a good likelihood that all participants in the MSP are willing and able to talk to MULTIPART researchers? Do travel costs and logistical problems make it unfeasible to contact all partners in a dispersed MSP cluster? This includes not only declared stakeholders, but may also include beneficiaries and other potential stakeholders which are not included in the MSP structures. The availability of interviewees will need to take into account risk assessments and ethical issues.
- Is it possible to research the MSP without accepting enhanced security risks for international or local researchers, or for interviewees? Do security and/or ethical considerations preclude research in certain areas or limit access to certain key partners?
- Are there any potential conflicts of interest between researchers and selected MSPs? Except in exceptional circumstances, researchers should not have been employed in the selected MSPs or have any direct financial linkage to the organisation.

WP 4 and 5 researchers will need to assess all these criteria, and a necessary part of WP 4 and 5 work plans should include an explicit and documented process through which each level of criteria is assessed in order of importance, and explanations given to justify the particular case selection in the case of DRC, Kosovo and Afghanistan. This list is not exhaustive at present, but provides a minimum list of criteria which will need to be assessed. Within each country and issue area, there may be key subsidiary research questions which will also inform the final decision in the case study selection process.

## PART E. ELABORATED PROJECT WORK PLAN

*Scuola Sant'Anna, CICS, ETC*

In order to achieve the overall objective of *improving understanding of how multi-stakeholder partnerships (MSPs) can contribute to peacebuilding and human security in countries that are emerging from armed conflict, and to clarify policy and programming implications for the EU and its partners* MULTIPART research follows three stages:

- First stage: elaboration of the theoretical and methodological framework, formulation of primary (first level) research questions, and provision of guidance on methods of research, ethical issues, and case selection (work packages 2 and 3).
- Second stage: core empirical research and analysis (on the basis of the research questions elaborated at stage one) of multi-stakeholder partnerships in four subject areas – a) security; b) economic and social development; c) democracy, good governance and rule of law; d) reconciliation, confidence-building and inter-communal bridge building - in Kosovo, Democratic Republic of Congo, and Afghanistan (work packages 4 and 5).
- Third stage: conclusions and policy recommendations (work packages 6 and 7).

The aim of this report is to present the results of the first stage of research and to provide detailed guidance for the forthcoming two stages.

### E.1. First stage of research

During the first stage of MULTIPART Research (finished on 30 November 2008), work package 2 (theoretical framework) and work package 3 (methodology) agreed to work together in order to ensure maximum integration between theory and methodology of the project. WP 2 and 3, the researchers proceeded in two directions: firstly, conducting the core theoretical research on definition and operationalisation of the object (multi-stakeholder partnerships), context (conflict analysis, assessment, and sensitivity), and aim (peacebuilding and human security) of research and

secondly, refining research objectives, research questions, and methodological framework so as to create the basis for empirical research in work packages 4 and 5.

Work packages 2 and 3 have achieved the following specific objectives:

- Development of theoretical and methodological foundations and framework for the MULTIPART Project, including key definitions, working conceptual understandings, and methodological approaches for the project;
- Development of refined and elaborated key research questions (first level questions);
- Development of specific guidance on research approaches and methods to be used to address the research questions, thus, providing coherence and robustness for the project as a whole as well as indicating directions, in which further operationalisation and more specific research focus can be elaborated by each research team in WP 4 and 5;
- Development of guidance to MULTIPART researchers on priorities and work plan (focussing specifically on practical challenges and resource constraints).

This report represents a synthesis of what has been achieved by WP 2 and 3 with respect to these objectives (deliverables D.2.1. and D.3.1. integrated together). Further contributions were presented during the MULTIPART Research Design and Planning Workshop (Pisa, 26-27 November 2008), the workshop itself and the training material are deliverables D.2.2. and D.3.2, respectively).

## **E.2. Second stage of research**

The second stage of research (months 9-23) is dedicated to core empirical research and analysis and is to cover the period from December 2009 to February 2010. It will involve work packages 4 (a – d) and 5 (a – c). As discussed in Section D.2.2, this stage of research can be divided into three phases:

- 1) WP 4 and 5 inception, research design, and case selection;
- 2) WP 4 and 5 case study and thematic research, identification and review of emerging findings;
- 3) WP 4 and 5 completion of case study and thematic research and analysis and write-up of findings.

It has to be noted that similarly to WP 2 and 3, for the purposes of research proposal WP 4 and 5 have been conceived as two distinct parts of MULTIPART. In practical terms, all the MULTIPART researcher time has been allocated under WP 4, whereas field trips and local researchers – under WP 5. In reality, however, two work packages should proceed in an integrated manner so as to

ensure the best interaction between desk and field research and most productive collection and analysis of empirical data.

**1)** As specified in Section D.2.2., during Phase 1, the research teams in WP 4 and 5 need to have their own inception phase during which specific research strategies are developed and research designs are customised for their issue areas and case study countries, at the end a set of multi-stakeholder partnerships should be selected for in-depth case study research. This stage is envisioned for a maximum duration of four months (December 2008 through March 2009). It is recommended that each research team, i.e. WP 4.a. – 4.d., plans one coordination meeting during these four months. Such a meeting as a rule is to be hosted by the WP coordinator, who has received appropriate budget allocations for this. The team, however, can consider acting otherwise if a more practical solution is available and is moreover encouraged to pursue additional possibilities for direct exchange, such as common conference panels, informal meetings on the side of various academic events, video conferences and conference calls and so on.

Even if integrated, WP 4 and 5 teams have a number of distinct tasks.

*Each WP 4 team is to pursue the following activities:*

- Desk Review of available information on characteristics and roles of MSPs in relation to the relevant thematic issue area a) security; b) economic and social development; c) democracy, good governance and rule of law; d) and confidence-building, reconciliation and inter-communal bridge-building);
- Elaboration of *possible* ways and means (mechanisms) by which MSPs might be significant for peace building and the three aspects of human security in the relevant thematic issue area, and initial elaboration of secondary research questions specific to the area of concern to the team (based on primary project research questions presented in Chapter B.4.);
- Review and development of priority proposals for MSP case studies in relevant thematic issue area (including at least one in each of case study countries - DRC, Kosovo, Afghanistan);
- Development and circulation of work plan proposals (including proposed case selection, research priorities and research design for case studies), for comment by all project partners. By work plan here is meant a substantial research proposal for each WP4 thematic issue area team, including specific research strategies and methodologies.

*Each WP 5 country leader is responsible for:*

- Identification, collation, and circulation to MULTIPART project partners of appropriate documents for the relevant country providing (i) a country context (ii) a reasonably up-to-date and comprehensive conflict assessment; (iii) a reasonably up-to-date assessment of the conflict reduction and peacebuilding process; and (iv) overview data and assessments of the human security situation in the relevant country they are responsible – for project circulation. These are not expected to involve significant original MULTIPART research, but rather to bring together appropriate high-quality existing available analyses and assessments, to provide a reliable basis for in-depth case study research and analysis. These tasks might therefore take a combined total of 2 – 5 weeks total researcher time.
- Overview survey of range, characteristics and roles of MSPs, and particularly of the legal and political context in which they operate, for the relevant country; – for project circulation. Again, this task is not envisaged to take more than a total of a few weeks weeks total researcher time
- Initial mapping and identification of potentially-relevant MSPs in the relevant country, and consultation and advice to WP4 thematic issue area teams to assist with the selection of proposed in-depth case studies and the design of the case study research.
- Orientation and initial involvement of local researcher teams

WP 4 and 5 Phase 1 ends with an overall review and reflection across project of:

- each proposed research strategy for thematic and in-depth case study research, to facilitate improvements and to ensure viability, effectiveness and consistent direct relevance to the key overall project research questions of each specific research strategy for thematic and in-depth case studies;
- the overall balance and profile of the proposed thematic and case-study research, to ensure that the overall aims and objectives of the MULTIPART project are met.

Once this project review has taken place, and appropriate revisions to thematic and case study research strategies and plans have been made, the detailed WP 4 and 5 research then proceeds, in phase 2 work. The leaders of WPs 5 are responsible for setting up a working relationship with local researchers, briefing them on goals and priorities of the project, and preparing a work plan for the second phase (field work and data collection/preliminary analysis). Phase 1 is to conclude with the exchange of documents and discussions between relevant research teams from WPs 4 and 5 as well as local researchers.

The end of Phase 1 (March 2009) coincides with the MULTIPART Interim Report to the European Commission. Research teams of WPs 4 and 5 together with other MULTIPART researchers are to contribute to the scientific report and to individual compile requested forms. The format of the Interim Report was presented and approved at the Steering Committee meeting in Pisa on 28 November 2008 and is to be published on MULTIPART intranet. It remains the responsibility of the MULTIPART Project Coordinator to compile and finalise the Interim Report.

**2)** Phase 2 of WP 4 and 5 essentially refers to data collection and preliminary analysis and is characterised by close collaboration with local researchers. It is seven months long (April through October 2009). In terms of fieldwork it presupposes a maximum of 28 MULTIPART researcher weeks in the field as well as 3 person months for two local researchers (6 person months altogether). Please note that these person months are indicative of the amount of work and the research activities that are expected to be fulfilled. It remains at the discretion of WP 5 coordinators to make use of the available financial resources to the greatest advantage of MULTIPART research and in view of practical constraints that might arise in each specific case study country. It is recommended that MULTIPART researcher time for field work is distributed between at least two field visits: one that includes a mid-term review of collected data and emerging findings (roughly in July 2009), and the other one towards the end of the data collection and preliminary analysis, during which, when and where possible, a roundtable with local MSPs is organised.

The activities of WP 4 and 5 teams include:

- Combined WP 4 and 5 teams: work on the selected in-depth MSP case studies in the three key countries; with a combined total of between 9 – 12 in-depth case studies. In practice, each in-depth case study will involve a combination of desk and field research, and will be conducted by a specific team of researchers, including: the relevant WP5 country leader; the local researchers; and selected researchers from the relevant WP4 thematic issue area team. During this Phase of WP 4 and 5 research, case studies will probably focus primarily on researching the initiation, development, characteristics and operation of the selected MSP, with only initial field research on impacts.
- WP 4 teams: further develop and refine thematic research, review and analysis within their relevant thematic area; involving desk research that draws on a combination of: available data and literature; information, knowledge and experience of WP4 research teams; and emerging findings from in-depth case studies. This *may possibly* also involve further ‘mini-case studies’ of the roles or impacts of relevant MSPs in countries other than Afghanistan, DRC and Kosovo, where this can be done without undue diversion of MULTIPART

resources from the key in-depth case studies and thematic work (Note that this is optional, and depends on readily available opportunities).

- WP4 teams: development for each respective thematic issue area of initial findings relating to each of the key MULTIPART research questions 1 – 6.
- WP 4 teams: initial review emerging possible implications for EU policies and programmes (preparatory for WP 6)

Phase 2 ends with a major mid-project review of progress and emerging priorities for each WP 4. The deliverables of this Phase include overview papers (country study papers, to use the language of the original proposal) on development and operation of MSPs in each case study country (Kosovo, DRC, Afghanistan) – D. 5.1.a, D.5.1.b, D.5.1.c. This paper is meant to build up on the country review produced during Phase 1 with additional information specifically on MSPs operating in each of the countries and a general discussion of priorities and challenges for MSPs in these countries. These country studies are to be presented during roundtables with key stakeholders in each of the countries (deliverables D.5.2.a, D.5.2.b, D.5.2.c) that will take place at month 19 of the MULTIPART project, i.e. October 2009 and will mark the end of fieldwork phase. It is left to the best judgement of WP 5 leaders as to how to organise such roundtables (e.g. choice of most relevant participants, location, agenda and so on). The objective of in-country roundtables is to make the project and its preliminary findings known to local stakeholders. Its format remains conditional upon the environment in the country at the moment of completion of Phase Two.

### 3) Phase 3 is a four-month long concluding phase (December 2009 through February 2010).

It is to be dedicated to the following activities:

- Complete in-depth case studies, taking into account results of mid-project review;
- Further develop thematic research and write up ‘thematic papers’ (deliverables D.4.1.a, D.4.1.b, D.4.1.c, D.4.1.d);
- Finalise if necessary country papers by each WP5 team (deliverables D.5.2.a, D.5.2.b, D.5.2.c);
- Circulate and publish agreed WP 4 and WP 5 outputs.

For the detailed description of ‘country papers’ and ‘thematic papers’ see Section D.2.2. of this report. The results of the second stage of research (work packages 4 and 5) are to be discussed and approved by the MULTIPART Steering Committee at month 16 of the project, i.e. February 2010.

### E.3. Third stage of research

This stage is five months long (March to July 2010). Similarly to the other two, it envisages close collaboration between WP 6 and 7. Even though each work package has its distinct deliverables, there is likely to be a lot of cross-fertilisation between the general findings of the project and the recommendations tailor-made for the EU and its member-states.

The following activities are to be fulfilled by WP 6:

- Identify and discuss main tendencies concerning composition, development, and operation of MSPs in all three case study countries and for all issue areas;
- Discuss emerging findings concerning contextual factors of relevance;
- Identify and generalise the issues of impact of MSPs on peacebuilding and human security;
- Reflect on the initial theoretical framework in the light of these findings;
- Synthesise the findings in the final report and circulate among partners (D.4.2.)<sup>16</sup>;
- Prepare an evaluation manual on MSPs in post-conflict that would discuss both of these two possible roles of the EU and its member states.

The following activities are to be fulfilled by WP 7:

- Identify and elaborate the recommendations for the EU, if and when its institutions or its member-states take part in MSPs in post-conflict settings;
- Identify and elaborate the recommendations for the EU and its member states on whether and how they could support or facilitate (certain types) of MSPs in post-conflict settings;
- Present the recommendations and the manual to EU policy-makers.

#### Deliverables

WP 6:

- Synthesis report (D.4.2.)
- Final publication on multi-stakeholder partnerships in post-conflict (D.6.1.) by June 2010;
- Evaluation manual on multi-stakeholder partnerships in post-conflict (D.6.2.) by June 2010;
- Open final conference (D.6.3.) by June 2010

WP 7:

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<sup>16</sup> In the original proposal, this deliverable belongs to WP 4. This, however, sounds very ambitious and is hardly possible within this last four-month phase and among so many authors, neither it is very logical. It is therefore suggested that it is moved to WP 6.

- Policy recommendations (D.7.1.) by August 2010;
- Roundtable with EU policy-makers (D.7.2.) by August 2010;
- Roundtables with key policy makers at national level delivery month August 2010 (outside of project funding)

*NOTE that we emphasised during MULTIPART Steering Committee meeting in April, 2008 that since the roundtables fall in the middle of holiday season, they should be either anticipated or if possible at all, delayed. This proposal has been approved by the Steering Committee on 28 November 2008 and awaits further confirmation from the European Commission.*

## BIBLIOGRAPHY

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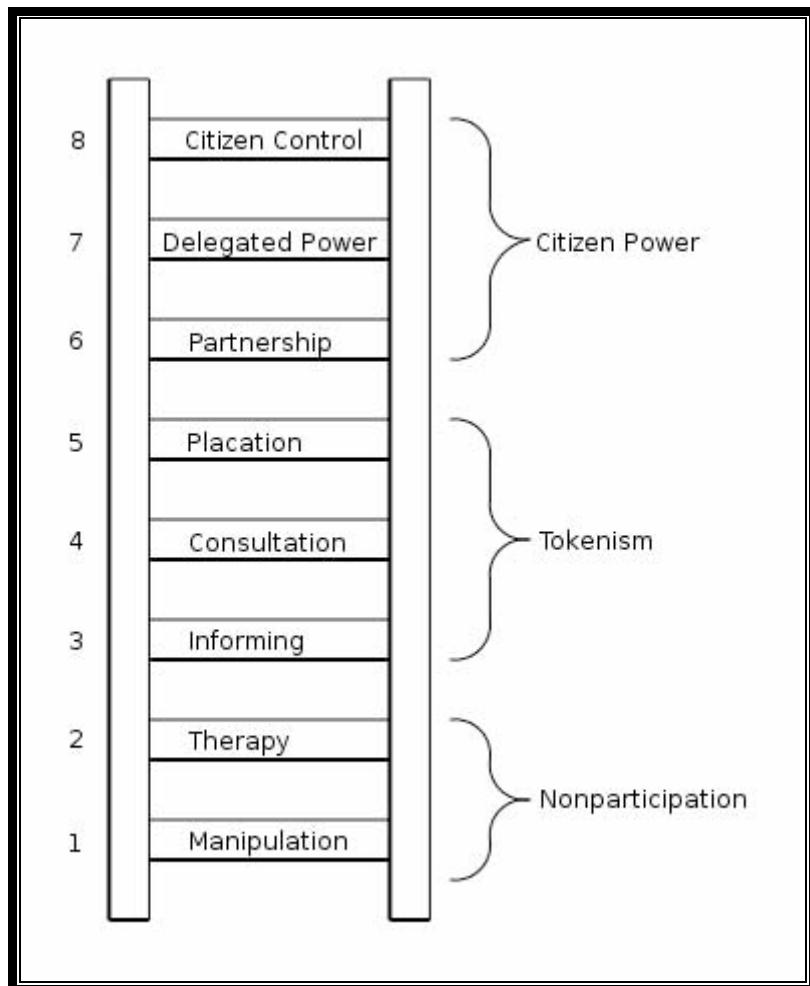
## ANNEXES

### Annex I: Participation in decision making

Based on the core idea of horizontal (rather than hierarchical) policy-making and aimed at engaging with various actors, MSPs are part of the general participatory trend in policy making.

“Public participation may be loosely defined as a practice of consulting and involving members of the public in the agenda-setting, decision-making and policy forming activities of the organizations or institutions responsible for such functions” (Rowe et al., Winter, 2004: 88-89 2004 2004 2004). It makes sense to distinguish between the so-called participation experiments that policy-makers use to solicit input from the public and various forms of civic engagement and partnerships that – solicited or spontaneous – are aimed at creating processes parallel to state-led policy-making. The former include referenda, public hearings/inquiries, public opinion surveys, negotiated rule making, consensus conferences, citizens’ juries/panels, citizen/public advisory committees, focus groups (Rowe and Frewer, 2000). The latter refer to various forms of partnerships. Rowe et al. (Rowe et al., Winter, 2004: 2004 2004) offer a similar distinction between 1) public communication, i.e. state officials informing citizens about various programs; 2) public consultation, i.e. citizens provide input into policies; 3) public participation, i.e. the public take part in various stages of policy making.

For the purposes of MULTIPART, it is important to make clear that MSPs refer to the latter form of participation. MSPs are often positioned as advanced forms of participation because they involve non-state actors not only in decision-finding and decision-making but also in implementation and evaluation. As famously captured by the “Ladder of Civic Participation” (Arnstein, 1969), MSPs belong to the top levels of participation in that they (should) extend to decision-finding, decision-making, implementation, and benefit sharing (see the figure below).



### Arguments for and against participation

#### a) Instrumental arguments for participation

There has been an increasing realization that governmental bodies need to pay greater heed to the public, be more accountable and responsive to it and involve it in policy decision-making. It is argued that effective participation makes decisions more legitimate and leads to better results. It allows policy-makers to avoid implementing unpopular policies, improve information flows (between policy-makers and policy target groups as well as society as a whole), increase public confidence in policy process and therefore address “legitimation deficit” (the lack of public trust in traditional democratic institutions) (cf. Cook, 1971).

#### b) Substantive arguments for participation

Different forms of participation are important for bringing in various forms of knowledge into policy-making. The argument is that technocratic expert-based policy-making should be at minimum complemented by mechanisms that solicit other understandings and interpretations of the policy problem and at maximum the knowledge basis of policy making should be completely

rethought. By now there is a large body of literature that argues for the validity of the so-called “lay knowledge” that private persons with no technical expertise draw from their direct daily experiences. These arguments are particularly pronounced in the studies of environmental hazards, technological innovation and health.

#### c) Normative arguments for participation

Explicit recognition of value dimension of policy-making and of basic human rights regarding democracy and procedural justice. The general argument as summarized by Fiorino is “new forms of participation are necessary in a world in which people increasingly lack control over social decisions that affect them” (Spring, 1990: 228). This literature highlights the importance of reviving the democratic meaning of policy making, emphasizing that being a citizen first and foremost means participating in decisions that affect oneself and one’s community (Bachrach, 1967, Thompson, 1970, Pateman, 1970, Warren, 2001). This literature often contains a political critique in that it emphasizes the need to empower the marginalized and all those normally excluded from politics and to increase their ownership over policy process and outcome.

A related branch of literature is what could be called participatory policy analysis. There is a number of scholars that position themselves as the followers of the famous plea by Harold Lasswell for a “policy science of democracy” (Dryzek, 1989, 1990, deLeon, 1992, 1997). In a well-known classification by Durning (1997) “participatory policy analysis” can range from what he calls an “analysis for participatory democracy”, i.e. policy analysts consciously taking the position of marginalized and powerless groups into account to “citizens providing analytic inputs” for policy analysis and ultimately, to “stakeholder policy analysis”, during which stakeholders express and negotiate their understanding of the problem with the help of a facilitator, actors perceive themselves as having an input in the issue.

#### d) Arguments against participation

The arguments against participation mostly concern either the practical/logistic side of actually creating various participation mechanisms or their irrelevance for certain contexts or types of problems. In the first group of arguments, we find those that underline that participation in whichever form is costly and time consuming and offers little control over outcome and impact. In the second group, which is particularly relevant for MULTIPART that focuses on post-conflict settings, a series of arguments highlight that participatory policy-making could be an irrelevant luxury.

Given poor knowledge of whether or not and under what conditions participatory mechanism lead to better results, particular care should be applied because in case of failure participatory processes could unleash or exacerbate rather than mitigate conflicts. At the end of the day, some of these mechanisms are likely to shift the burden of problem solving onto communities and NGOs and would probably prevent from developing comprehensive and sustained long-term solutions as opposed to isolated initiatives. In the latter case, focusing too much on participation of non-state actors and private citizens could even distract attention from the much needed capacity building of state institutions.

## Annex II: Partnerships for policy implementation: infrastructures and service delivery

While any attempt to identify neat classification of partnership according to their composition and task runs the risk of being over-simplistic, it seems plausible to state that building technical infrastructure is often the result of a partnership between state and businesses, while for public service delivery we witness a vast array of partnerships, including NGOs and community groups as well as business actors.

Typically partnerships need to be enduring and relational. Government procurement, government granting or fiscal imposition do not represent partnership because they not imply any real continuity of behaviours. Also, partnerships imply that each participant must bring something of value to the arrangement, being it financial resources, human resources and know-how, or even authority and reputation. Partnerships involve sharing responsibility and risk for outcomes in a collaborative framework. This contrast with public-private or public-NGO relationships that are mainly contractual and that involve essentially command relationships. Grimsey & Lewis (2004) provide a useful frame of public-private partnerships:

- BOT (Build, Operate and Transfer) are contracts where the private sector takes primary responsibility for financing, designing, building and operating the project. Control and formal ownership is then transferred back to the public sector.
- BOO (Build, Own and Operate) are arrangements where the control and the ownership of the projects remain in private hands. With a BOO project, the private sector entity finances, build , owns and operates an infrastructure facility effectively in perpetuity. An example helps clarifying the distinction between BOO and privatization. If a water treatment plants is financed, designed, built and operated by a private sector firm. The raw water, provided by the public entity, is processed into filtered water which is then returned to the public sector entity for delivery to final users.
- In the leasing contracts part of the risk is transferred to the private sector. Several ex-French colonies in Africa for example have adopted an affermage system in which a municipality has a water facility constructed and then contracts with a private firm to operate and maintain the facility (Rondinelli, 2002).
- Joint ventures is an arrangement were the private and the public sectors jointly finance, own and operate a facility. This is considered maybe the type of PPP which ensures risk-sharing the most.

It is important to highlight that the most recent findings on partnerships functioning, particularly in developing countries, demonstrate that partnerships do not in themselves guarantee effectiveness and lower costs. Contract discipline enforcement and monitoring of contract terms, competition, the existence of a clear national legal framework and local government institutional capacity lie at the heart of partnership management. The implications are that in resources-poor countries where institutional preconditions are not well developed, partnerships are inherently more risky. This has been noted in developing countries but it is a concern that is likely to be important for post-conflict settings as well and deserves further investigation within MULTIPART.

### Annex III: Conflict Assessment Tools and Practices

Developing capacity to conduct and use peace and conflict assessment methods and tools has, rightly, become a priority for aid institutions. In this annex, I briefly review some prominent models and tools recommended for international and aid organisations. These both further illustrate approaches towards conducting conflict analysis, and inform MULTIPART researchers of approaches adopted by parts of the EU and its partners

A conflict assessment has several characteristic phases:

- Analysis of the context, particularly conflict analysis;
- Analysis of possible interventions and aid programmes, and their likely impacts on conflict and peace;
- Identification and design of appropriately conflict sensitive aid programmes and activities, taking into account other relevant programmes and interventions.

Although logically distinguishable, these phases interact. The process of developing a good overall conflict assessment is generally iterative. Analyses of the likely impacts of possible programmes will generate new or refined questions and insights relating to the conflict dynamics, which in turn deepens understanding of likely impacts of aid programmes.

There are now a wide range of established methods and tools for conducting peace and conflict assessments. Several bilateral and multilateral aid institutions have developed their own tools, including DFID (UK); USAID (USA); GTZ (Germany); CIDA (Canada); the EU and the World Bank.<sup>17</sup> Others have been developed by NGOs and civil society experts, such as: CARE; FEWER; Responding to Conflict; World Vision; Local Capacities for Peace Project; Clingendael Institute; and the Swiss Peace Foundation.<sup>18</sup>

These conflict assessment tools have been developed for a number of different specific purposes and priorities, but they are similar in many ways. Most have the following key elements; a conflict profile that briefly characterises the context; an analysis of structural or proximate factors

<sup>17</sup> Available at: [www.dfid.gov.uk](http://www.dfid.gov.uk); [www.worldbank.org/conflict](http://www.worldbank.org/conflict); [http://europa.eu.int/comm/external\\_relations/cpcm/cp/list.htm](http://europa.eu.int/comm/external_relations/cpcm/cp/list.htm); [www.unsc.org](http://www.unsc.org); [www.usaid.gov](http://www.usaid.gov); [www.gtz.ed/crisisprevention](http://www.gtz.ed/crisisprevention); [peace\\_building@acdi-cida.gc.ca](mailto:peace_building@acdi-cida.gc.ca). These are usefully summarised, for example, by Africa Peace Forum et al, Conflict Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: a resource pack, London 2004. Reference each of these aid institution methods.

<sup>18</sup> Available at: CARE, 2001, [pobrian@care.org](mailto:pobrian@care.org); [www.respond.org](http://www.respond.org); [www.wvi.org](http://www.wvi.org); Local Capacities for Peace project, [lcp@cdainc.com](mailto:lcp@cdainc.com); [www.clingendael.nl](http://www.clingendael.nl); [www.swisspeace.org/fast/](http://www.swisspeace.org/fast/).

contributing to conflict and peace; an analysis of the internal and external actors and their interests and relationships; and a dynamic analysis that explores the interactions of the different causes with the actors. To illustrate, we briefly outline key tools of three development aid agencies: DFID; EC and the World Bank.

### ***DFID Strategic Conflict Assessment tool***

The guidance notes for DFID's 'Strategic Conflict Assessment' (SCA) methodology were published in 2002, and have been used for several major conflict assessments for DFID, the UK government, and for some multi-donor joint approaches; for example for Sri Lanka, Uganda, Kyrgyzstan, Nepal, the Caucasus, and Moldova. The conceptual basis for the SCA is the combined use of the following analytical 'lenses':

- the 'political economy' approach focusing on political and social interests of those engaged in conflict, highlighting those who may benefit from continuing conflict;
- analysis of the causes of conflict in terms of 'greed' and 'grievance';
- combined analysis of structures and actors and how they interact with one another;
- analysis of all of the different layers/dimensions of the conflict (international, regional, national and local)
- Recognition of the dynamic character of conflicts, which may mean that underlying causes of violent conflict change and are reshaped in protracted conflicts.

#### **Box**

##### **DFID's Strategic Conflict Assessment (SCA) framework**

DFID uses a Strategic Conflict Assessment (SCA) framework, which is intended as a conflict analysis and planning tool that would supplement other assessments to inform country and regional strategies. Although developed by DFID, the SCA is increasingly being used as the basis for multi-donor conflict assessments.

The main objectives of the SCA are to assess:

- the risks of the negative effects of conflict on programmes
- the risks of programmes or policies exacerbating conflict
- Opportunities to improve the effectiveness of development interventions in contributing to conflict prevention and reduction.

The methodology is based on three analytical steps, with specific areas under each:

**Conflict analysis:** the interaction of structures, actors and dynamics

**Analysis of international responses:** International actors, development actors and interactions between development interventions and conflict

**Developing strategies and options:** developing common donor approaches to

better respond to conflict, developing conflict-sensitive individual donor approaches, adjusting current activities – working ‘in’ or ‘on’ conflict, developing new initiatives.

DFID’s guidance notes for the SCA provide lists of possible factors to be taken into account relating to each of the above steps.

The SCA has proved useful in developing several country strategy papers, and for informing efforts towards multi-donor common approaches. In practice, however, it has only been applied in detail by DFID to a relatively few countries: there are still mainstreaming challenges.

**Drivers for Change analysis:** in addition to the SCA, DFID has also developed methodologies for analysing drivers for change within a society. This is not focussed specifically on conflict issues, but rather aims to inform development aid strategies by identifying the key actors and processes that drive change within a society or country and generate the underlying causes of poor governance and lack of ‘political will’ for sustained change from specific stakeholders and actors. Using a political economy approach that recognises the importance of power and interest, it introduces an explicit political dimension to analysis that in the past has often been missing. Drivers of change analyses recognise that the policy environment is shaped by political, economic, social, cultural and institutional factors. Reportedly, those who have used this analysis emphasised that although the analysis had not told them anything new, it had served to make implicit knowledge explicit, to provide a basis for structured discussion of the political and institutional context and its impact on development; and to legitimise this discourse. It also helped to identify where and who could be potential spoilers of peace or drivers of constructive change.

### ***The World Bank’s Conflict Analysis Framework***

In 2002 the World Bank issued its Conflict Analysis Framework to help desk officers and donor aid planners to conduct conflict analyses at the country level (although it can be adapted for sub-regional use). The methodology has two stages: a screening process; and a full conflict analysis where the screening indicates that this is justified (see Box). The full conflict analysis in the CAF framework is highly detailed and involves extensive consultations with experts and stakeholders, though there is flexibility for more modest exercises. It has been used for several countries, including Burundi, Rwanda and Somalia. Thus its use has focussed largely on countries that have experienced large-scale conflict.

#### **Box**

#### **World Bank Conflict Analysis Framework (CAF)**

A CAF-based conflict analysis involves several steps:

- a desk study re-examining existing relevant information using CAF frameworks;
- workshops with country specialists on key variables, and assess overall conflict risks;

- follow-up studies, as required;
- stakeholder analysis to identify and examine groups capable of affecting political and social change (including through violence) and the main affected groups;
- country consultations with stakeholder groups;
- concluding workshops and analysis to integrate findings in country strategy, PRSP.

The CAF focuses on 6 major types of variables: social and ethnic relations; governance and political institutions; human rights and security; economic structure and performance; environment and natural resources; and external factors (regional conflicts, migration etc). Each of these are analysed in relation to their history; dynamics/trends; public perceptions; manner of politicisation; organisations (focus for coalition-building? etc); extent of contribution to violent conflict; and relationship to poverty.

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There is now substantial experience with using a number of conflict assessment tools, including those of DFID, the EC and World Bank outlined above. Numerous lessons have been learned about how best to use these methods for effective conflict assessments to develop good proposals for appropriate conflict sensitive country strategies. Similarly, there is wide experience with conducting Peace and Conflict Impact Assessments (PCIA) to analyse or evaluate the inter-relationships between specific aid programmes and the dynamics of peace and conflict in the area or country concerned. At an intermediate level, similar tools can be used to clarify the CPMR risks and opportunities for sector-wide development co-operation programmes; for example aid to support sectoral programmes in PRSPs or NDFs on health, education, communications or power supply. These seek to identify key issues and priorities for conflict and peace for particular sectors.

## ANNEX IV: Training material of the Research Design and Planning Workshop

### Working Group exercise 1: MSP identification and case study selection.

In this session, participants will divide into their thematic WP4 groups to examine a selection of case-studies of projects and programmes, reflecting various types of multi-stakeholder approach to governance. This session is designed to produce a common understanding of MULTIPART's definition of an MSP; to discuss some 'grey areas' in defining MSPs; and develop a shared approach to case-selection, which will produce comparable results across WP4 and WP5.

The case-studies presented here are from a range of countries, most of them deliberately chosen from states other than our selected countries (ie Afghanistan, DRC, Kosovo). These cases all have some kind of multistakeholder element, but not all fit all the criteria to meet the definition of a multistakeholder partnership as laid out in the WP2/3 Final Report. Participants should refer to Section D.11 for a reminder of the key criteria for selection if necessary .

The first task of the workgroup is to examine all the case-studies and exclude those which do not meet the Project definitional criteria for an MSP, and provide justification for their exclusion. There are several cases which may fall into a 'grey area', which should give rise to discussion of these types of organisation.

The second task is to examine the remaining MSPs and discuss which would be appropriate for case-selection using the secondary criteria of "Relevance for Multipart". (In this stage, bear in mind that not all these case-studies are functioning in a post-conflict environment, and this aspect of relevance will not be examined.)

The group should then examine the third-level criteria of "Researchability", to decide whether it is possible to research a case-study within the parameters of a Project like Multipart, with its particular logistical and financial constraints.

The working group should end by selecting two case-studies, which they believe would be most appropriate as selections within the MULTIPART criteria, and outline the justification for their selection in a final short presentation.

### CASE-STUDIES

The case-studies offer a variety of institutions or programmes that may or may not fit our MULTIPART criteria for an MSP, but they all fall within broader, possible definitions of a partnership based on a multi-stakeholder approach.

## **1 Northern Uganda Peace Initiative**

The Northern Uganda Peace Initiative (NUPI) is a USAID-funded program focused on helping to facilitate a national reconciliation process in Uganda. Established in February 2004 and managed by [PADC Inc.](#), NUPI collaborates with both civil society and with the Government of Uganda (GOU) to work together on a number of issues related to a Ugandan-led peace and reconciliation process. NUPI claims to emphasise 'ownership' and aims to include all relevant stakeholders in the reconciliation process.

See: <http://www.idea.int/rrn/organisation/nupi.cfm>

AND

<http://uganda.usaid.gov/SO9Annexes/NUPIBrief-2004-11-19.pdf>

## **2 Shell Nigeria and micro credit**

This partnership is part of Shell Nigeria's community development programme. More than 150 community-based enterprises and micro-entrepreneur groups have been established in host communities and now benefit from loans through the revolving loans schemes. Some 800 agricultural cooperatives have accessed loans under the Micro-credit Scheme for Agricultural Development (MISCAD) a partnership between SPDC [Shell development body], the Central Bank of Nigeria, First Bank PLC and Cooperative Development Bank. Based on a partnership approach, this initiative also includes the local community, central and local government, the Niger Delta Development Commission, the private sector, NGOs and donor agencies, in an attempt to ensure that the broadest possible range of resources are harnessed.

See:

[http://www.shell.com/home/content/nigeria/society\\_environment/business\\_dev/micro\\_credit.html](http://www.shell.com/home/content/nigeria/society_environment/business_dev/micro_credit.html)

## **3 MS platform for water supply in Madhya Pradesh**

A classic public sector utility partnership to engage government agencies with water users, the private sector and NGOs to overcome tensions and conflict over water use. This initiative in India was sponsored and encouraged by the Asian Development Bank, and ADB evaluations suggest it has enjoyed some success.

See: <http://www.adb.org/Water/PDA/IND/pda-IND-200601.asp>

#### **4. USAID/private sector partnership in conflict-affected Eastern province.**

In April 2008, Sri Lanka's Hayleys Group and the US Agency for International Development (USAID) launched a pilot project to link farmers in Ampara and Moneragala Districts in conflict-affected Eastern Sri Lanka to commercial agriculture.

This project, which got underway in April 2008, has already benefited 160 farmer families in Ampara and Moneragala through the introduction of the latest agricultural practices and high-quality inputs for the cultivation of cash crops with high revenue potential. Farmers are now growing gherkins, pineapples and jalapeno peppers on 60 acres of land that have either lain fallow or used previously for subsistence farming.

The objective of the project is to motivate farmers in these areas, some of whom have been affected by Sri Lanka's 25-year conflict, to embrace modern agricultural practices and to empower them to substantially improve their incomes from agriculture by switching to cash crops that are high in demand. The farmers selected to participate in the pilot project represent the three ethnic communities predominant in the two districts: Sinhalese, Tamils, and Muslims.

This project is part of a wider Partnership for Eastern Economic Revitalization (PEER), a \$6 million program designed to leverage an additional \$6-12 million to create jobs and grow the economy in the post-conflict environment of the disputed Eastern Province.

See [http://srilanka.usaid.gov/action\\_detail.php?action\\_id=114](http://srilanka.usaid.gov/action_detail.php?action_id=114)

#### **5 Venezuela – Training judges**

This is a project involving a number of key partners, including local NGOs (the local chapter of Amnesty International, in particular); the private sector (Statoil); international organisations (UNDP); and the judiciary. The aim is to train Venezuelan judges in human rights and related international legal obligations. This project is part of a broader collaboration between Statoil and UNDP in other parts of the world.

<http://www.utanrikisraduneyti.is/media/althjodastofnanir/UNDP-Statoil-low.pdf>

#### **6 ARD – Prolinnova – Sudan**

Prolinnova is one of the most enthusiastic advocates of partnership in development, particularly in its primary area of activity in Agricultural Research and Development. It has developed many different partnerships at the national level, primarily in Africa. In most cases, such organisations are facilitated by NGOs, but include local and central government institutions, and often have some private sector involvement.

One of the most interesting cases is in Sudan, where agricultural reforms and innovations are an important element in improved socio-economic performance, and poverty reduction, and in wider terms, can have a positive impact on peacebuilding in conflict-affected regions of the country. The Programme in Sudan aims at building/strengthening partnerships between the different stakeholders in the country involved in agriculture, natural resource management (NRM), agricultural research and development. Practical Action (formerly ITDG) Sudan Office is the coordinating NGO for the start-up phase of the Programme. The preparatory work started in 2004 by contacting the concerned government institutions namely: the Technology Transfer and Extension Administration (TTEA) and the Agricultural Research and Technology Corporation (ARTC). Practical Action, TTEA and ARTC agreed to form a National Steering Committee (NSC) to lead the overall strategic direction of the Programme. In April 2004, the NSC was formed with seven members from government, NGOs, the FAO, IFAD and the Farmers' Union, the Pastoralist Union, and Sinar University.

See: <http://www.prolinnova.net/Sudan/index.php>

## **7 Economic development: Yellow corn project, San Jose, Phillipines**

This was an early partnership in the 1990s in which San Carlos Corporation (SCC) initiated the development of an organisation, which included a local NGO as facilitator, local government bodies, a farmers' cooperative, and another private sector company, which provided seeds for new crops. The idea was to encourage farmers to develop new crops to meet the demand of the SCC, but also to enhance farmers' income and provide income stability. The overall project was designed to encourage economic development and poverty reduction in the area.

See Fernando T. Aldaba, "Philippine NGOs and multistakeholder partnerships: three case-studies" in *Voluntas*, Vol 13, No 2 (June 2002), pp. 179-192. [Hard-copy handout].

## **8 The Global Public-Private Partnership for Handwashing with Soap**

Handwashing plays an important part in the efforts to reach the Millennium Development Goals related both to: (1) health improvements, and (2) access and effective use of water supply and sanitation services, two of the five major goals agreed to by UN member countries at the World Summit on Sustainable Development in Johannesburg in September 2002.

The initiative links the World Bank, the Water and Sanitation program, the London School of Hygiene and Tropical Medicine, the Academy for Educational Development, key private sector

corporations who make soap (Unilever, Palmolive), USAID, UNICEF, and the Bank-Netherlands Water Partnership

The objectives of the initiative are:

- To reduce the incidence of diarrhoeal diseases in poor communities through Public-Private Partnerships (PPPs) promoting handwashing with soap.
- To implement large scale handwashing interventions and use lessons to promote the approach at global level.

The idea is to get private industry and the public sector to work together with other partners to develop programs to promote handwashing. The non-branded programs are open to all interested parties, both public and private, targeting those most at risk (mothers, children, the poor) across the whole population. Based on detailed consumer studies, these programs reach out to target audiences through mass media, direct consumer contact and government channels of communication. The programs also gather knowledge through detailed monitoring and evaluation.

## 9 Indonesia – Forestry

Indonesia has been a leader in applying MS approaches to conflicts over forestry between communities, private sector, government and international organisations. Many of these approaches have been developed in cooperation with the UK's DFID. This approach has attempted to reconcile the aims of local communities, with national and local government, and some private companies.

See the five case-studies (in particular, the Wonosobo case (3.4), in: FAO, "Analysis of Multistakeholder Processes in Indonesia" at <http://www.fao.org/forestry/media/7804/1/0/>

Of related interest:

[http://www.indiana.edu/~iascp/bali/papers/Royo\\_and\\_lynch\\_panel.pdf](http://www.indiana.edu/~iascp/bali/papers/Royo_and_lynch_panel.pdf)

## 10 Democratic Republic of the Congo - ICT and governance

*La dynamique multisectorielle pour les technologies de l'information et de la communication* (DMTIC) is a multistakeholder network to develop ICT policy in the country, facilitated by NGO Alternatives. It aims not only to advocate policies to develop key communications infrastructure, but also to offer an alternative better form of governance. It includes local civil society organisations, universities, the media, the private sector (eg Afrinet), and the public sector, including the telecommunications regulatory agency. It could have potentially significant impacts on economic development and governance.

See "[Frequently asked questions about Multi-Stakeholder Partnerships in ICTs for Development](#)", September 2007, pp. 23-25. At : [http://rights.apc.org/documents/catia\\_ms\\_guide\\_EN.pdf](http://rights.apc.org/documents/catia_ms_guide_EN.pdf)

## 11 Jordan Education Initiative

The Jordan Education Initiative (JEI) was launched in June 2003 and is now supported by 45 organizations, including local and international companies, Jordanian government departments, global government donors, and nongovernmental organizations.

The goals of the Jordan Education Initiative (JEI) are to:

- Enhance the quality of education through the effective use of information and communications technology
- Build the capacity of the local technology industry
- Create a global education program model to be replicated in other countries

JEI claims to deliver "holistic educational change, delivered through electronic content, teacher training, and technology" to 100 specially selected "Discovery Schools." The program uses technology to communicate complex concepts more effectively and encourage critical thinking and confidence-building. Teacher-led learning in the classroom, delivered with the aid of laptops and projectors, incorporates technology in about 80 percent of student learning time. Much of the IT provision is from the private sector. It is linked to the Global Economic Initiative, which is seeking to replicate the Jordainian experience in Egypt and other countries.

See: <http://www.jei.org.jo/>

## Workshop on Research Strategy Design

For this session we have identified three case-studies that working groups will use as the basis to design a research strategy. Participants will divide into three groups, led by the WP5 leaders. Although some of these case-studies may relate to the selected WP5 countries, for clarity we should note that these have not been selected as the MULTIPART case-studies. They are introduced here as examples merely to illustrate key elements of research design and research strategy.

Research strategies should address the two key elements of the overall approach to MSPs outlined in the WP2/3 report:

- 1) researching the formation, development, character and operation of an MSP;
- 2) researching the impact of an MSP on human security and on peacebuilding;

The strategy should take into account the particular logistical and practical challenges that research groups may face in the MULTIPART project; and highlight any problems specific to this MSP or its post-conflict context which may become apparent.

After discussion, working groups should prepare a short presentation for the plenary session at the end of this period.