Education in Fragile Situations: A Review of Political Economy and Conflict Analysis Literature and Tools

Appendices

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Appendix 1: Evolution of Approaches to Governance, Political Economy Analysis and Conflict Analysis

Evolution of the Approaches to Governance

Over the past 15 years, donors have moved upstream in their approach to sustainable poverty reduction. While in the 1960s, aid was primarily delivered through projects, over time this has changed to programmes, policies, institutions and more recently on politics (Warrener, 2004; Hazenberg, 2009). Indeed, the governance agenda has become a more urgent priority for many donors due to the principles of aid effectiveness which promote harmonisation and alignment with country systems. Donor support for more nationally led strategies using country systems, through Poverty Reduction Strategies, sector-wide approaches and budget support, has meant that there has been an increasing focus on the formal and informal political processes which influence decision-making and resource allocation (Sida, 2006). Consequently, there has been a greater 'legitimate' scrutiny of the quality and efficiency of country systems as well as macro-level governance.

Governance has been a topical issue in development circles for several decades. The good governance assessment framework, which was developed in the early 1990s, depicted what good governance would mean and subsequently a gap analysis was conducted of the steps needed to get there. This approach was strongly normative and closely linked to conditionality. In response to this, the good enough governance approach was developed which focused on priorities and feasible, discrete governance improvements over the long-term and relevant to the local context. As a result there was a move away from prescriptive lists of initiatives that were deemed essential for development (Grindle, 2005). Moreover, Grindle's focus on 'real world' conditions has been picked up and validated by more recent political economy thinking (Odugbemi and Jacobson, 2008).

Evolution of the Approaches to Political Economy Analysis

Donors' support to governance over the past decades has yielded disappointing results and human development outcomes (Fritz et al., 2009). Questions have been posed regarding the reasons for this. There has been a general recognition that technical solutions are not appropriate for political problems. Indeed, donors have often blamed the ineffectiveness of their aid and the lack of impact on institutional development and poverty reduction on the absence of political will in the partner country. The term has been used liberally for some time without sufficient analysis of the deep-seated causes of the passive or in some cases active resistance to implementing reforms on the part of governments (Booth, Crook, Gyimah-Boadi, Killick, Luckham and Boateng, 2005). Political economy analysis helps to address this gap by investigating the formal and informal norms which shape people's behaviour as well as the formal and hidden incentives and power dynamics within and between groups and institutions which influence how decisions are made. Political economy analysis goes deeper than routine governance assessments as it incorporates historical, social and cultural trends, identifying their legacies on existing dynamics.

Political economy has been through various different iterations since the concept was first created in the eighteenth century and is now widely recognised to signify the inter-linkages between economics and politics. Historically, donors have resisted engaging in politics and there has been a general view that politics is a constraint to and can undermine effective aid (Warrener, 2004). The World Bank for example is

prohibited from engaging in any form of political discussions owing to its mandate. While donors are still mindful of the sovereignty of the partner countries they are supporting, the political economy approach enables donors to have a deeper and more analytical understanding of the dynamics of the local context (Warrener, 2004). This means that donors can design development assistance in the grain of the overriding political incentives and the country's development trajectory.

Political economy approaches started to inform donor planning cycles in the early 2000s. The approach was pioneered by DFID through its DOC tool. Increasingly sophisticated tools have been developed and used in low and high-income countries since then. OECD for example, has a programme called *Making Reform Happen* which supports member countries to conduct political economy analysis in relation to sector and government reforms.

Evolution of the Approaches to Conflict Analysis

The discipline of conflict analysis gained significant ground in development circles in the late 1990s and early 2000s influenced by the 'do no harm' approach. Early approaches to conflict analysis such as Peace and Conflict Impact Assessment (PCIA), emphasised the importance of engaging in consultative processes at local level as a means of understanding the dynamics of conflict (Bush, 1998). PCIA valued the actual process over the application of tools and engendered debates about the extent to which donors were willing to engage in critical reflection on the impact of their own actions on conflict dynamics (Berghof, 2004).

Conflict analysis was prompted by the need to learn difficult lessons regarding mistakes made by the international community in Somalia and Rwanda during the 1990s where humanitarian assistance had actually served to stoke the conflicts (Gaigals and Leonhardt, 2001; ADE, 2010). Meanwhile conflicts in West Africa's Mano River region as well as the Great Lakes showed the importance of analysing conflicts within the context of the broader region as well as the role of illegal trade (ADE, 2010). Weak design of donor initiatives can result in marginalisation of certain groups, exacerbate underlying causes of poverty and incite a return to conflict or alternatively provoke its onset.

Frameworks and tools for conflict analysis are based on theories regarding the nature, causes and dynamics of conflicts. They seek to analyse these issues in a systematic way in order to allow development practitioners and policy-makers to understand complex situations (Gaigals and Leonhardt, 2001). Approaches to conflict analysis incorporate:
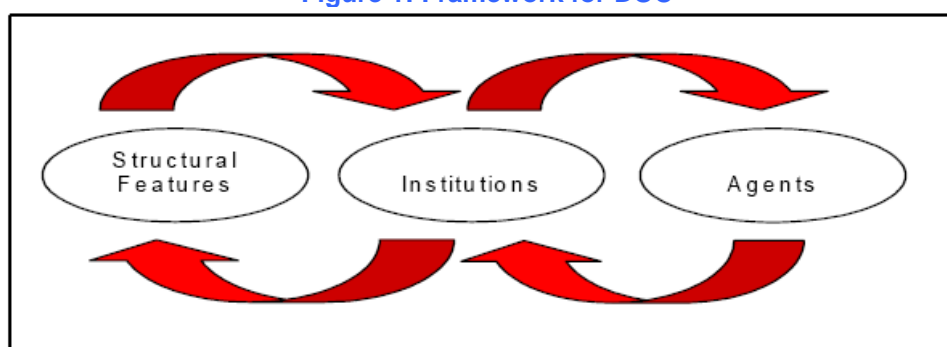- i.) an analysis of the potential risks of conflict;
- ii.) early warning and early response;
- iii.) design of strategies in areas susceptible to conflict;
- iv.) sectoral and programme planning;
- v.) impact assessment; and
- vi.) analysis of the impact of conflict on development (Gaigals and Leonhardt, 2001).

Appendix 2: Drivers of Change and Political Economy How to Note, DFID

Drivers of Change

DOC sought to identify the role of and interaction between formal and informal institutions and structural features. Institutions are known as the formal and informal rules of the game while structural features include state formation, demographic changes, natural resources and trade. The impact of agents, understood as individuals and organisations with particular interests, and structural features, and vice versa, is mediated through institutions. DOC intended to draw a distinction between deep structural or institutional processes of change and organisations or individuals who were champions of change (Leftwich, 2006). While DFID recognises the uniqueness of every country's path towards full development, it nevertheless supports the transition from client-based political systems to those underpinned by rights and citizenship (Warrener, 2004).

Figure 1: Framework for DOC

Source: DFID, 2004: 2

DFID did not develop a blueprint approach for DOC but rather encouraged DFID Country Offices to pose a series of questions regarding the dynamics of pro-poor change grouped around:

    i.)   basic country analysis;
    ii.)   medium-term dynamics of change;
    iii.)   the role of external factors;
    iv.)   the link between change and poverty reduction;
    v.)   operational implications; and
    vi.)   how DFID works or DFID incentives.

The first three areas cover the current and future dynamics of change within the country, mediated by internal and external factors. The medium-term dynamics focus on the incentives and capacities of individuals and groups of agents to promote or block significant change, for example in relation to policy formulation and implementation (Warrener, 2004). Building on these three areas, the fourth area then seeks to understand how the changes predicted in the analysis will impact poor people. The next step is to identify elements that can potentially facilitate pro-poor change, known as drivers of change. They can be individuals, organisations or overarching processes of change. This then feeds into areas five and six which relate to the implications for DFID in supporting the drivers of change and the way in which DFID's incentives can be structured to promote this.

Keenly aware of the political challenges of development cooperation, DFID country offices quickly commissioned DOC studies following the introduction of the approach in order to inform the development of Country Assistance Plans.

Questions under the First and Second Areas of DOC

Basic Country Analysis

Foundational factors
- Does government control the territory?
- How have state formation, geo-strategic position, social and economic structures shaped the political system

Medium-term, institutional factors
- How institutionalised are the bureaucracy, policy mechanisms and civil society organisations?
- What is the composition of political elites?
- How important is ethnicity?
- How is power shared between the key bodies?

Short-term factors
- What is the government's bureaucratic and financial capacity?
- What are the key mechanisms for horizontal and vertical accountability?

Medium-term Dynamics of Change

- Which national objectives have political capital?
- How do faith groups relate to formal and informal political systems?
- Where is policy made?
- Are front-line service providers beneficiaries or victims of the way the system works?
- Have there been any changes in the role of parliament in scrutinising public expenditure?
- Are there divisions within the elite on this issue?
- Does public tolerance of corruption differ according to type of corruption?
- What is the role of mass media in airing citizen complaints? (Warrener, 2004)

Link to the full document:
http://webarchive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/contracts/files/ojec_5512_background.pdf

Political Economy How To Note

DFID published a *How To Note* on Political Economy Analysis in 2009. It contends that political economy analysis enables donors to analyse the drivers of political behaviour and their impact on policies and programmes (DFID, 2009*a*). The document presents the concepts behind DOC, the Politics of Development and those of other donor approaches. It is particularly concerned with:
-   i.)   the interests and incentives of different groups;
-   ii.)   the role of formal institutions and informal norms; and
-   iii.)   values and ideas (DFID, 2009*a*).

The Note is clear that political economy analysis has major implications for the way DFID works. It should inform:
- the formulation of country plans;
- the choice of aid modalities and partners;
- the design of projects or programmes;
- dialogue with partners.

Political economy analysis also has implications for the room for manoeuvre within civil service reform, state-building and peace-building, service delivery (and the

potential winners and losers), and growth and its related constraints. The Note underlines that political economy analysis should be viewed as a continuous, dynamic process rather than a one-off output. Success should be measured against the degree to which findings are integrated into DFID's country strategies and programmes, resulting in greater impact (DFID, 2009*a*). The Note is the most up to date practical overview of approaches to political economy analysis.

Link to the full document: http://www.gsdrc.org/docs/open/PO58.pdf

Appendix 3: Strategic Governance and Corruption Analysis, Netherlands Ministry of Foreign Affairs

The power and change analysis is the main component of SCAGA and is made up of three dimensions:
- i.) foundational factors;
- ii.) the rules of the game; and
- iii.) the here and now.

The foundational factors include territorial integrity, history of state formation, revenue sources, social and economic structures, geo-strategic position and geography. The rules of the game incorporate formal legal and administrative arrangements, political competition, institutionalisation, the distribution of power, state society relations, and key trends with an overarching historical perspective. It seeks to analyse the extent to which formal and informal governance are complementary or opposed. 'Here and now' focuses on issues which will impact state-society relations in the short-term through the analysis of context and actors and stakeholders (Unsworth and Conflict Research Unit, 2007).

A key component of the SCAGA framework is to plan the operational implications. The framework explains that this should be done in the form of a workshop addressing a series of questions, the answers to which draw on the data collected under the three areas above. The framework also states that the embassy together with the donor headquarters should then develop the Governance and Anti-Corruption strategy with a four-year timeframe, which would include power and change, underlying challenges and the opportunities and threats.

Link to the full document:
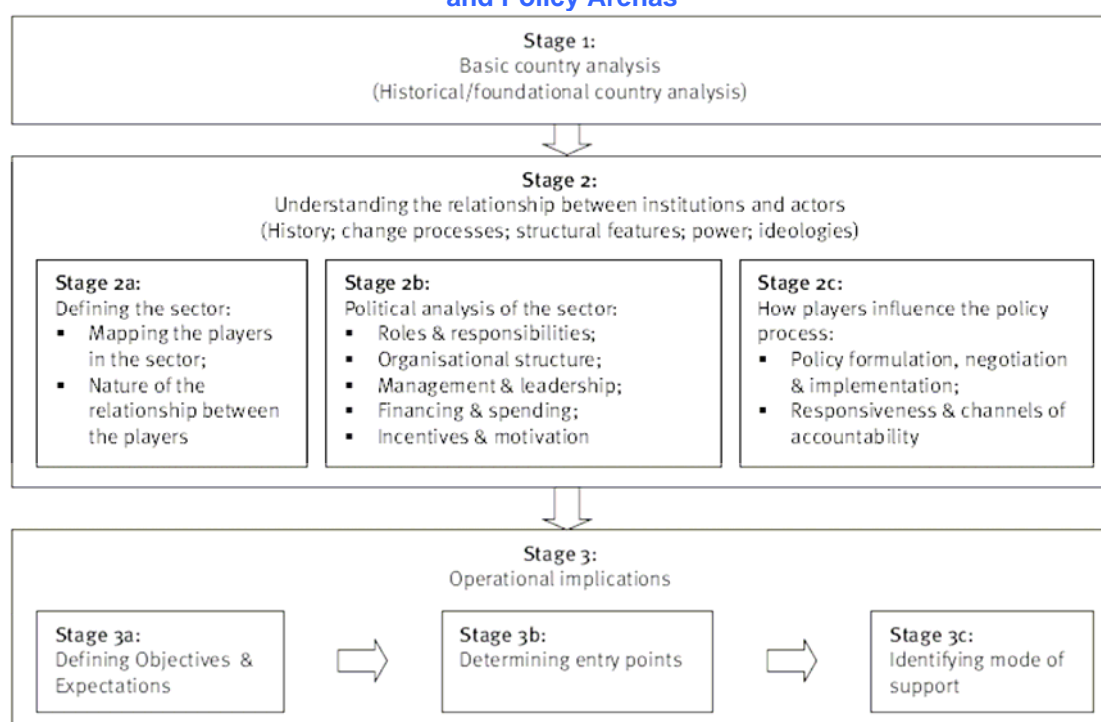http://www.clingendael.nl/publications/2007/20071000_cru_occ_unsworth.pdf

Appendix 4: Analytical Framework for Understanding the Political Economy of Sectors and Policy Arenas, ODI

The Framework was developed in 2005 as a practical tool to enable DFID country offices to conduct political economy analysis at sector and policy levels. The Framework seeks to:

- Enable a deeper understanding of 'local' sector/policy arenas and to provide political explanations for differences between sectors at a national level;
- Provide more detailed analysis of the variations across and within sectors;
- Allow discrete and comparative analyses of sectors as well as analysis of relations between the national and decentralised levels within a sector;
- Offer guidance on the reassessment of issues such as the appropriateness of certain interventions, policy content and timing, and the existence of new and untraditional spaces for engagement; and
- Promote critical reflection of donors' own roles in the policy process.

The approach focuses on the impact of underlying and long-term factors on the political and institutional environment, incentives and capacity for reform.

Figure 2: Analytical Framework for Understanding the Political Economy of Sectors and Policy Arenas

Source: Edelmann, 2009: 18.

As illustrated by Figure 2, there are three stages in the analysis. The first stage strongly echoes the DOC approach. The second stage seeks to answer:

- i.) why are there differences across sectors?;
- ii.) why do organisations prioritise some policies over others?; and
- iii.) why do different actors support or resist certain policy recommendations?

Stage 2 includes a basic map of likely players in the sector. Figure 3 shows the matrix for intra-sectoral analysis.

Figure 3: Intra-sector Analysis of Organisations in a Sector

	Roles, mandate and responsibilities	Organisational structure	Management, leadership, composition	Financing and spending	Incentives and motivation	Capacity
Basic questions						
Historical legacies						
Structural factors						
Changes processes						
Power relations						
Ideologies, values, perceptions						

Source: Moncrieffe and Luttrell, 2005: 17.

The last part of stage 2 analyses the relations between players within and without the sector and the way they influence sector performance. It includes a suggested framework for analysing the nature of the relationship between players. The players are listed as state institutions, customary or traditional authorities, political parties, leaders, donors, international non-governmental organisations, foreign interests, academia, research institutes, think tanks, the media, the private sector, mass movements, non-governmental organisations, community-based organisations, 'unorganised' citizens and different categories of the poor. The framework then builds on this analysis by investigating how the players influence the policy-making process and the extent of responsiveness and accountability.

Figure 4: How Players Influence the Policy-making Process: Basic Issues for Analysis

	Policy-making, formulation, negotiation and implementation	Responsiveness and channels of accountability
Basic questions		
Historical legacies		
Structural factors		
Changes processes		
Power relations		
Ideologies, values, perceptions		

Source: Moncrieffe and Luttrell, 2005: 20.

Stage 3 focuses on the operational implications of the analysis which starts with a sober review of the donor's own role in the sector. The key questions in this stage are:
- Which are the most strategic and / or accessible institutions?
- Who are the key individuals?
- Are there previously unknown groups which are legitimate and politically acceptable?
- What are the key constraints faced by different categories of poor people in the sector?

▪ Where are the conflicts in ideology and objectives amongst the donors' partners?

The final part of stage 3 involves identifying the most appropriate mode of support in light of the incentives and institutional power dynamics.

Link to the full document: http://www.odi.org.uk/resources/download/2989.pdf

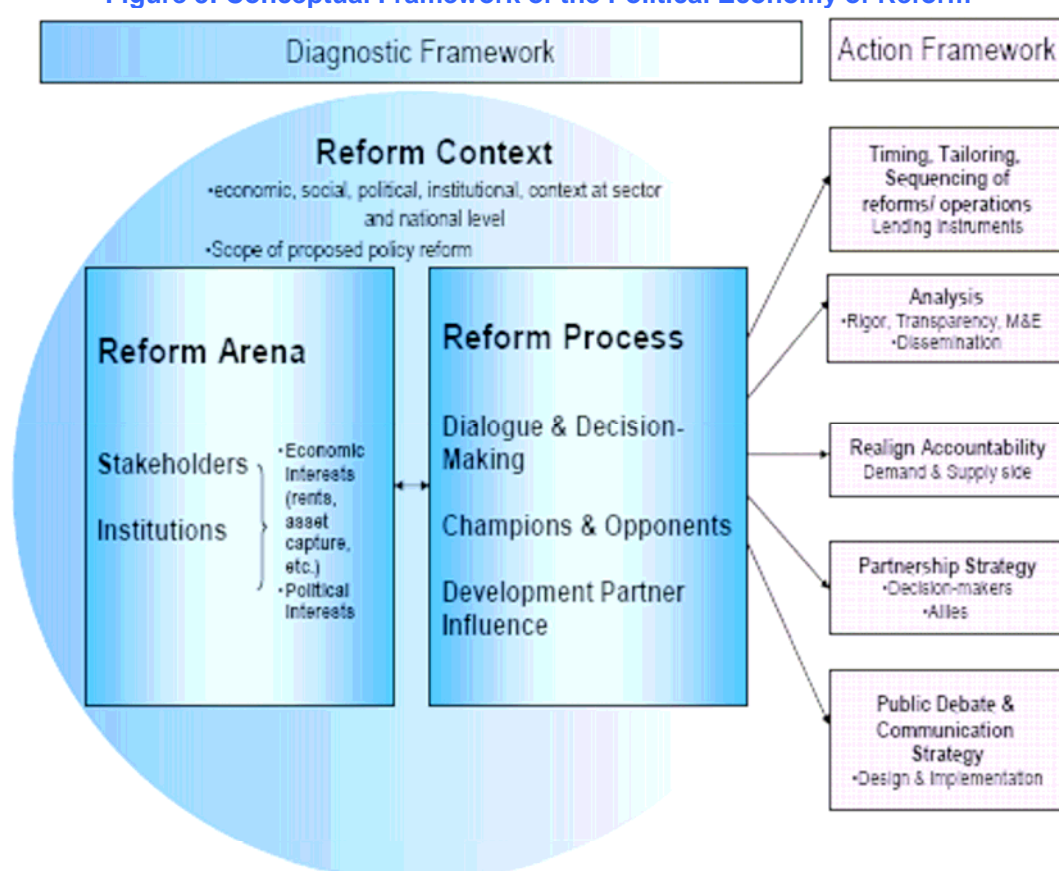## Appendix 5: The Political Economy of Policy Reform, the World Bank

The 2008 document is an amalgamation of good practice based on World Bank experience of analysing the political economy of sector reforms in agricultural marketing and water supply and sanitation as well as a literature review (World Bank, 2008). The study is based on a power-based approach, influenced by political science thinking on political economy. This approach underlines the creation of winners and losers in any reform process and the dominating influence of interests over rational choices.

The study seeks to:
  i.) analyse the political economy of reform by investigating stakeholder interests, incentives, institutions, risks, opportunities and processes; and
  ii.) identify good practice to enable a better understanding and management of political economy issues in designing and implementing reforms and development programmes.

The conceptual framework in Figure 5 was developed based on the Bank's operational experiences. It enables donors to manage the political economy of reform more effectively in order to design more equitable and sustainable reform programmes. The framework includes a diagnostic framework, which analyses the reform context, the reform arena and the reform process discretely, as well as an action framework which focuses on the operational implications of the analysis.

Figure 5: Conceptual Framework of the Political Economy of Reform

Source: World Bank, 2008: 11

In the diagnostic framework, the **reform context** denotes the socio-economic context, political, cultural and historical characteristics as well as its overarching development trajectory and current aid modalities. It includes the political processes within the sector and links to national institutions and groups. It also incorporates the nature of the reform agenda and the stakeholders promoting it. The **reform arena** meanwhile refers to the institutions governing relations within the sector as well as the stakeholders and their various interests steering and impacted by potential policy reforms. The **reform process** signifies the change process resulting from information flows, public debates, coalition building, participation, transparency, communication and the dealings between stakeholders within the policy arena.

The World Bank has used the matrix in Figure 6 to map political economy of reform in various sectors and countries.

Figure 6: Matrix of Sector Reform against Political Economy Management Criteria

Reform Context	Reform Arena				Reform Process		
Scope of Reform Discussions	Institutions	Stakeholders	Economic Interests	Political Interests	Dialogue and Decision-making	Champions	Bank's Influence

Source: World Bank, 2008:19

Link to the full document:
http://siteresources.worldbank.org/EXTSOCIALDEV/Resources/Political_Economy_of_Policy_Reform.pdf

Appendix 6: Support to Sector Programmes and Analysing and Addressing Governance in Sector Operations, EC
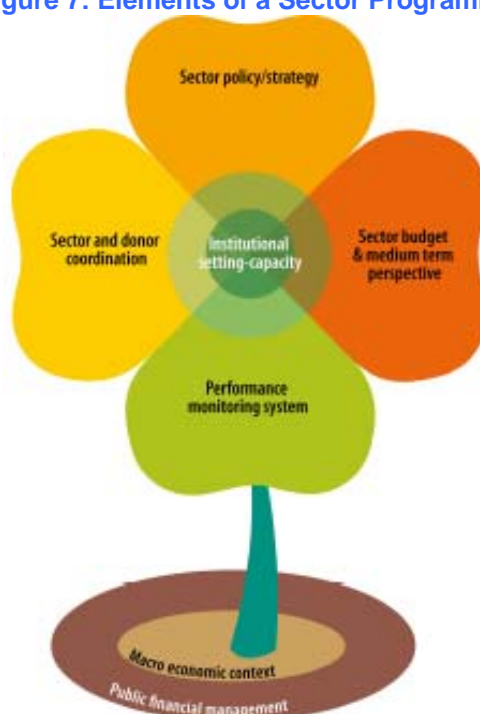
Support to Sector Programmes

The EC's (2007) *Support to Sector Programmes Covering the Three Financing Modalities: Sector Budget Support, Pool Funding and EC Project Procedures* was developed within the context of the EC's commitment to provide more and better aid, harmonising with other donors and aligning with country systems. It serves as guidance to EC staff designing and supporting sector programmes. The document defines the seven elements of a sector programme as being:

    i.)   a sector policy or strategy;
    ii.)   the sector budget and its medium term perspective;
    iii.)   a sector coordination framework;
    iv.)   the institutional setting and existing capacities;
    v.)   a performance monitoring system;
    vi.)   the macroeconomic policy; and
    vii.)   public financial management.

These make up the seven areas of assessment which are monitored during the SPSP.

Figure 7: Elements of a Sector Programme

Source: EC, 2007: 18

Link to the full document:
http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid_adm_guidelines_support_to_sector_prog_sep07_short_en.pdf

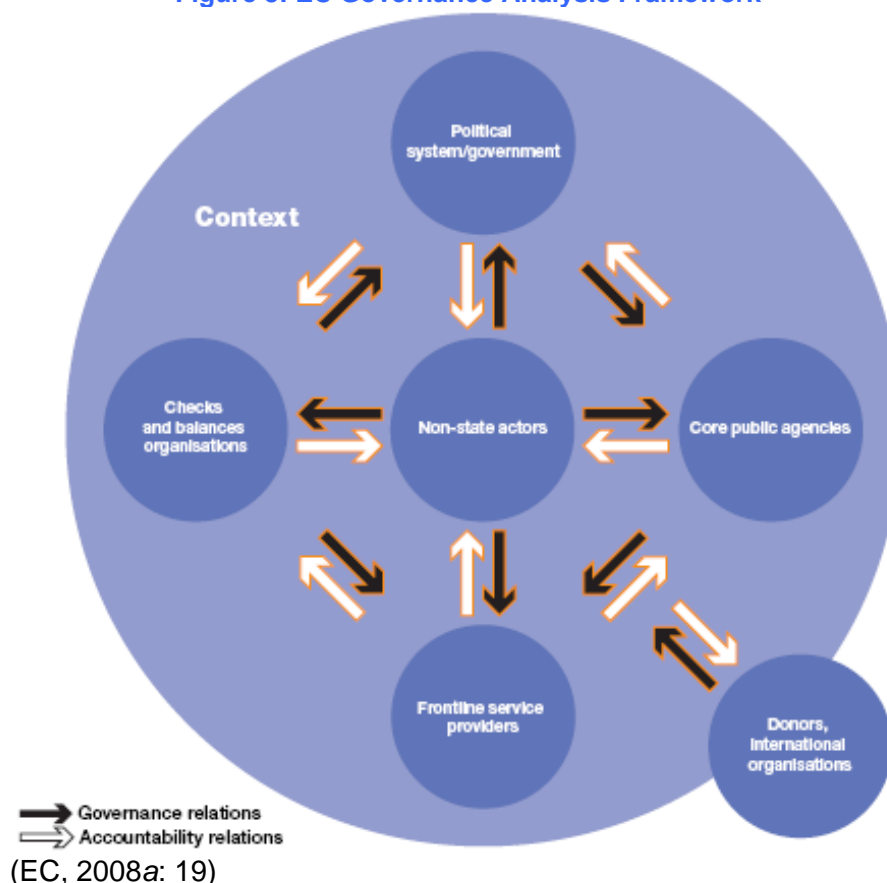## Analysing and Addressing Governance in Sector Operations

In its 2008 publication on *Analysing and Addressing Governance*[1] *in Sector Operations*, the EC interprets governance through three dimensions (EC, 2008*a*). The first relates to rules, interest, resources and power. These issues overlap with the political economy approach. The second dimension refers to participation, inclusion, transparency and accountability. The third dimension deals with various issues such as democratisation, human rights, justice, civil society, public sector reform and decentralisation. These dimensions are all understood within the overall context of increasing the capacity and legitimacy of national institutions. The guidance was developed in order to increase the capacity of sector specialists to address governance systematically and comprehensively.

The guidance acknowledges the need for organised analysis of the key governance issues in partner countries in relation to formal and informal rules, interests, power and resources in order to open up this 'black box'. It urges realism and patience in supporting long-term improvements which is a gradual process. The guidance echoes some of the literature on political economy which advocates the need to exploit positive incentives for sector-level governance and performance improvements presented by regional or international trade, rather than purely in relation to aid.

It also advocates the need to take the current situation of the sector as the starting point rather than a 'governance ideal', understanding the political economy underpinning the sector in relation to rules, interests, resources power, incentives and historical and cultural influences.

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[1] In the 2003 EC Communication on Governance and Development, it is stated that: "Governance concerns the state's ability to serve the citizens. It refers to the rules, processes and behaviour by which interests are articulated, resources are managed, and power is exercised in society. The way public functions are carried out, public resources are managed and public regulatory powers are exercised is the major issue to be addressed in that context" (EC, 2003: 3).

Figure 8: EC Governance Analysis Framework

(EC, 2008*a*: 19)

Steps in Governance Analysis

Step 1 Analyse the context	Step 2 Map the actors	Step 3 Assess governance and accountability relations
▪ Policies ▪ Legal and regulatory framework ▪ Organisational capacities ▪ International context	▪ Role and importance ▪ Interests pursued ▪ Power and resources ▪ Key linkages ▪ Incentives	▪ Mix of governance mechanisms ▪ Information about governance ▪ Responsiveness of governance ▪ Accountability set-up ▪ Capacity for governance and accountability (EC, 2008*a*: 19)

The guidance includes the key governance issues to consider in each of the seven areas of assessment for SPSPs. It also discusses the operational implications of the governance analysis during the identification, formulation and implementation phases.

The guidance has been tested by EU Delegations in various sectors and countries, such as trade in the Philippines and the water sector in Kenya. The report on the

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governance of the water sector in Kenya included recommendations on the EC tool itself which are summarised below.

Summary of Findings on and Recommendations for the EC Governance Analysis Framework

- The Framework is a useful tool for analysing governance in the water sector, particularly in relation to key actors and institutions, governance and accountability arrangements, drivers of change and trends in reform readiness by different stakeholder groups;
- It was challenging to apply the whole Framework given the timeframe, as a result several months should be provided to conduct a comprehensive analysis; alternatively, a two-phase approach could be adopted, the first phase could be more general and in the second phase, the Framework could be applied to a particular set of sub-problems clarifying the purpose of the exercise and allowing a deeper analysis of the issues;
- The Framework and the document do not provide guidance on the presentation of results in a report. This could be done in many different ways and with different structures;
- The Framework could be adapted in order to facilitate an easier transition between the analysis of the governance situation to operational recommendations;
- The Framework could provide specific guidance for particular types of sector since the pressures on and incentives within sectors vary considerably, for example there are sectors which are more influenced by commerce and international influences such as trade and those with more domestic pressures such as water;
- The Framework should reflect that at times drivers of change may be the people within the institution rather than the institution itself;
- The term 'governance' can be a sensitive one and discernment is needed on how to present the analysis to stakeholders in-country; and
- Teams conducting the analysis should be made up of sectoral experts who may not have country experience (in order to allow objectivity) and internal experts who have historical and more in-depth knowledge of the sector- and country-specific dynamics (Rampa, 2010).

Link to the full document, *Analysing and Addressing Governance in Sector Operations*:
http://ec.europa.eu/europeaid/infopoint/publications/europeaid/documents/149a_en.pdf

Appendix 7: Problem-Driven Governance and Political Economy Analysis, World Bank

The approach itself, in Figure 9, is a fairly 'loose' and non-prescriptive one perhaps in order to allow application to many different problems in multiple sectors. The Bank's approach is premised on the assumption that country level political economy analysis has already been conducted. In fact, it underlines that World Bank staff may conduct a combination of the three levels: country level, sector or thematic level and problem level.

Figure 9: Three Layers of Problem-Driven Governance and Political Economy Analysis

Problem-driven / GPE analysis			
What vulnerabilities/ challenges?	Evidence of poor outcomes to which GPE weaknesses appear to contribute	E.g.: repeated failure to adopt sector reforms. Poor sector outcomes. Infrastructure identified as constraint to growth but not effectively addressed. Continuous food insecurity. Corruption continues to undermine the business climate even after anti-corruption law	
Institutional & governance arrangements & capacities	What are the associated institutional set-up and governance arrangements?	Mapping of relevant branches of goverment, ministries, agencies, and SOEs and their interaction. Existing laws and regulations. Policy processes (formal rules and de facto). What mechanisms intended to ensure integrity and accountability and to limit corruption exist?	
Political economy drivers	Why are things this way? Why are policies or institutions arrangements not being improved?	Analysis of stakeholders, incentives, rents/ rent distribution, historical legacies, and prior experiences with reforms, social trends and forces (e.g., ethnic tensions), and how they shape current stakeholder positions and actions	

Source: Fritz et al., 2009: 7.

The Bank emphasises the importance of the relationship between formal and informal institutions owing to its influence on policy and implementation decisions or the implementation of policies. It identifies four different types of relationship: complementary, accommodating, substituting, competing or subverting (Fritz et al., 2009). It also highlights the need to analyse the interaction between structural, institutional and stakeholder variables and their impact on particular challenges. Meanwhile, the analysis of policy processes and their drivers can make the policy dialogue more focused in relation to the timing, mobilisation of actors and the use of cogent and pragmatic arguments.

The publication states that sector-level analysis is particularly pertinent where substantial reforms are planned and may pose problems due to their institutional complexity, or due to the predominant incentives and constraints in the sector. It is also necessary to analyse the government's capacity to implement reforms and manage different groups' interests, drawing on the experience of history (Fritz et al., 2009).

The box below sets out a series of questions to be posed at the sector-level. This is one of the few tools that exists to orient an analysis of the sector and provides a helpful starting place.

Sample Questions for Sector-Level Governance and Political Economy Analysis

- What is the ownership structure in the sector? (public and private)
- How are responsibilities distributed between the national and sub-national levels and is this distribution clear? Does it generate significant distortions?
- How is the sector regulated (what are the rules and institutional structures)? Does existing regulation—including the informal/de facto rules—provide integrity? Does existing regulation allow the sector to maintain or expand services in line with demand (and commitments to poverty alleviation)? What interests drive/maintain the current regulatory system (including its weaknesses or gaps)?
- How are the sector and its components being funded? (e.g. user fees, taxes/general budget, earmarked taxes (such as gasoline excise taxes), informal revenue generation, petty corruption from consumers, etc.)
- What is the pricing structure for consumers? Which groups benefit (e.g. from subsidies)? Are benefiting groups politically salient/powerful? Which consumer groups have a voice?
- Is there significant petty corruption and/or grand corruption in the sector—and if so, why does corruption persist and what are the main impacts?
- What opportunities for rent-seeking and patronage are related to the sector? Who appears to benefit from these rents and how is the patronage being used?
- What are the legacies of the sector? What reforms have been attempted and/or undertaken in the past? What were the results—and how does this experience appear to shape current expectations of stakeholders?
- What are the relevant policy processes linked to past or proposed reforms?
- Are there particular social or ethnic factors that are relevant for sector dynamics?
- What is public opinion on sector performance and/or proposed sector reforms (including issues of trust/expectations that a reform would bring improvements)?
- What stakeholders are (officially and unofficially) involved in discussions over sector reforms and what are their interests? What veto points exist in the decision-making and the implementation process?
- What stake do the government/top executive/key political factions have in the reform if any?
- How would proposed reforms affect the existing set of interests and incentives?
- What risks exist in terms of reform failure and/or of negative unintended consequences of proposed reforms?
- What would a politically and institutionally feasible reform look like? (Fritz et al., 2009: 65).

Link to the full document:
http://siteresources.worldbank.org/EXTPUBLICSECTORANDGOVERNANCE/Resources/PGPEbook121509.pdf?resourceurlname=PGPEbook121509.pdf

Appendix 8: OECD Questions to Pose of Conflict Analysis Tools

OECD (2008*b*) has developed a checklist to help evaluators decide what tool or tools to use in conflict analysis.
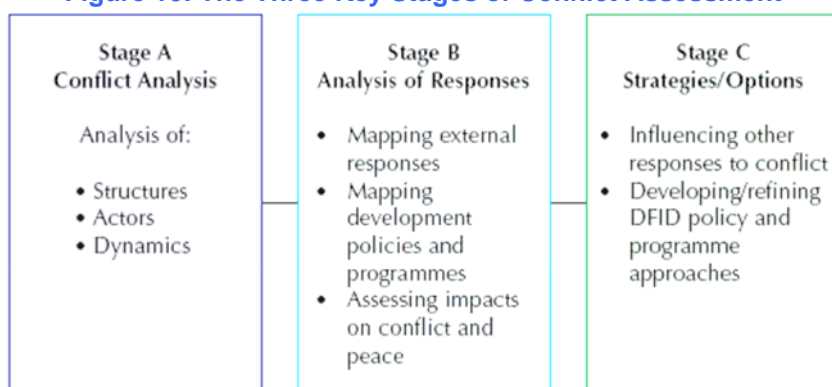

OECD List of Questions Regarding Conflict Analysis Tools

- Does the tool provide sufficient information on causes, actors, dynamics and the context of conflict and peace to assess the relevance of the programme or policy to the needs of the peace-building process?
- Does the tool provide information on the appropriate issue areas, at the appropriate level and depth, to help evaluate the effectiveness and impacts of the programme or policy?
- Do the evaluators share the assumptions about conflict underlying the tool? Is the tool's understanding or assumption about the nature of conflict appropriate for the specific context in which the programme or policy is being implemented?
- Does this perspective correspond to the mandate and values of the organisation being evaluated?
- Does the tool's proposed methodology match the purpose of the analysis?
- Does the tool's proposed methodology agree with the ways of working of the evaluation team?
- Does the evaluation team have the capacity to use the tool well?
- How long does it take to produce a reliable conflict analysis?
- What are the resource implications of the selected tool?
- Is the evaluation team able to allocate or secure the required resources? (OECD, 2008*b*: 70)

Appendix 9: Conducting Conflict Assessments: Guidance Notes, DFID

DFID conducts conflict assessments in order to develop a strategy which responds more appropriately to the local situation. There are three stages to the analysis as depicted in Figure 10.

Figure 10: The Three Key Stages of Conflict Assessment

Stage A Conflict Analysis	Stage B Analysis of Responses	Stage C Strategies/Options
Analysis of: • Structures • Actors • Dynamics	• Mapping external responses • Mapping development policies and programmes • Assessing impacts on conflict and peace	• Influencing other responses to conflict • Developing/refining DFID policy and programme approaches

Source: DFID, 2002: 6

The approach is premised on the theory of greed and grievance in causing the conflict. The publication however warns against using only this framework to analyse the conflict. The methodology uses a multifaceted approach to systematically analyse the structures, actors and dynamics of conflict. The analysis should investigate the interaction of structures and actors as well as the institutions which may make a country susceptible to violent conflict.

DFID promotes flexibility over a prescriptive approach and recommends the following key principles:

- Adapt according to the needs and objectives of the end user;
- Develop according to the nature and phase of the conflict;
- Develop dynamic forms of analysis (including actors, incentives and triggers for violent conflict); and
- Encourage joined-up analysis.

Examples of Sources of Tension and Conflict

Security
- Security forces have limited capacity and are weakly controlled
- Human rights abuses from security forces / armed groups
- High levels of military spending
- Presence of non state military actors
- Poorly controlled/contested borders
- Unstable regional/international context (e.g. political changes in neighbouring countries)
- Legacy of past conflict
- Proliferation of light weapons

Political
- Weakly institutionalised / unrepresentative political system
- Lack of independent judiciary
- Lack of independent media and civil society
- Corruption
- Weak political parties
- Lack of popular participation and gender imbalance in political and governance processes
- Flawed election processes
- Political exploitation of ethnic / religious differences
- Systems for managing conflict weakly developed
- Weak and uncoordinated international engagement
- Destabilising role by diaspora populations

Economic
- Economic decline: trends in poverty, unemployment, inflation, food security, access to social welfare
- Widening economic disparities – growing Gini coefficient based on regional or ethnic divisions
- Macro economic instability
- Shift to destabilising external investment patterns or destabilising international economic policies
- Increasing competition over shared resources
- Growth in black and parallel economies
- Development of war economy

Social
- Social exclusion
- Legacy of unresolved ethnic conflict
- Absence of cross cutting social and civil society organisations
- Tensions over language, religion, ethnicity
- Failure of dispute resolution mechanisms / decreasing legitimacy of customary authorities (DFID, 2002: 12).

Link to the full document:
http://webarchive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/documents/publications/conflictassessmentguidance.pdf
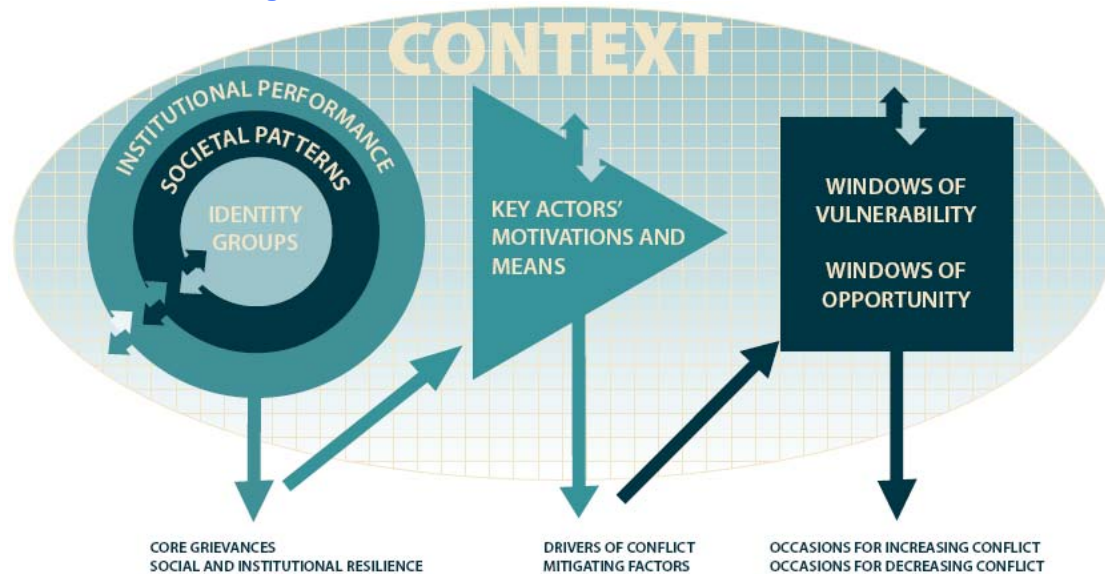
Appendix 10: Interagency Conflict Assessment Framework, US Government

INCAF was developed to enable US Government officials to conduct systematic assessments of conflict situations in a collaborative way, facilitating inter-agency planning for preventing conflict, mitigating it or broader stabilisation. INCAF seeks to facilitate a shared understanding of conflict and results in a prioritised list of conflict drivers and mitigating factors.

Officials using INCAF are to undertake the following four steps:
  i.) Evaluate the context of the conflict (see Figure 11);
  ii.) Understand the core grievances and social / institutional resilience;
  iii.) Identify drivers of conflict and mitigating factors; and
  iv.) Describe opportunities for increasing or decreasing conflict.

Figure 11: Evaluation of the Context of the Conflict

Link to the full document:
http://www.crs.state.gov/index.cfm?fuseaction=public.display&shortcut=C6WW

Appendix 11: The Two Faces of Education in Ethnic Conflict, UNICEF

The 2000 UNICEF study identifies the following negative and positive impacts of education on broader peace.

The Impacts of Education in Fragile Situations

The UNICEF study identifies the following negative impacts of education on broader peace:

- The uneven distribution of education as a means of creating or preserving positions of economic, social and political privilege;
- Education as a weapon in cultural repression;
- Denial of education as a weapon of war;
- Education as a means of manipulating history for political purposes;
- Education serving to diminish self-worth and encourage hate;
- Segregated education as a means of ensuring inequality, inferiority, and stereotypes; and
- The role of textbooks in impoverishing the imagination of children and thereby inhibiting them from dealing with conflict constructively (Bush and Saltarelli, 2000: 34).

The study also underlines the positive impact which education can have in fragile situations, which could also be described as drivers of change, such as:

- The conflict-dampening impact of educational opportunity nurturing and sustaining an ethnically tolerant climate;
- Education and the desegregation of the mind;
- Linguistic tolerance;
- Cultivation of inclusive conceptions of citizenship;
- The disarming of history;
- Education for peace programmes; and
- Educational practice as an explicit response to state oppression.

Link to the full document: http://www.unicef-irc.org/publications/pdf/insight4.pdf

Appendix 12: Education and Fragility Assessment Tool, USAID

In 2006, USAID published an assessment tool to enable USAID personnel to analyse the relationship between education and fragility in fragile situations. It is structured around three questions:

i.) How does fragility affect education?
ii.) How does education contribute to fragility?
iii.) How can education mitigate the sources of fragility and support resiliency?

USAID has identified five main fragility factors: corruption and rent seeking, organised violence, exclusion and elitism, lack of capacity and will and public disengagement. The Framework includes a series of tables with different domains designed to analyse the root causes of fragility and their impact on education, in particular on: access, quality, relevance, equity and management. The tables of domains include questions to pose under each area of education and the headings are summarised in Figure 12.

Figure 12: Headings of Education and Fragility Assessment Tool

Domain	Access	Quality	Relevance	Equity	Management
Economic					
Governance					
Security					
Social					
Public Disengagement					
Corruption					
Insufficient Capacity					
Organised Violence					
Transitional Dynamics					
Exclusion					

(Adapted from USAID, 2006: 4-13)

Link to the full document: http://pdf.usaid.gov/pdf_docs/PNADH913.pdf

Appendix 13: Analytical Framework of Education and Fragility, INEE

In 2009, the INEE Working Group on Education and Fragility commissioned a multi-country study on the relationship between education and fragility covering Afghanistan, Bosnia-Herzegovina, Cambodia and Liberia. The Working Group developed the Analytical Framework of Education and Fragility for the studies. The Framework drew on the USAID Education and Fragility Assessment Tool, the FTI Progressive Framework and other INEE tools. The studies sought to:

- i.) Understand the fragility context;
- ii.) Understand the education sector response to fragility;
- iii.) Summarise the impact of education sector responses and programmes on fragility; and
- iv.) Develop lessons and recommendations for education sector response in fragile contexts.

The interface between education and fragility was analysed across five fragility domains: security, governance, economy, social and environment against various aspects of education within four categories: planning, service delivery, resource mobilisation and system monitoring.

Fragility domains
1. Social (e.g. at-risk groups, social dynamics, health and welfare)
2. Governance (e.g. capacity, will)
3. Security (e.g. military activity, crime and lawlessness, terrorism)
4. Economics (e.g. levels of poverty, investment, labor market)
5. Environment (e.g. natural resources, degradation)

Education components and processes
1. Sector assessment, planning and coordination
   a. Education Systems (early childhood care and development, primary education, secondary education, tertiary education, non-formal education, technical and vocational education and training, adult learning)
   b. Education Policy and Coordination (policy formulation and enactment, planning and implementation, coordination)

2. Service Delivery
   a. Access and Learning Spaces
      i.) Access and Learning Environments (equal access, protection and well-being, and facilities)
   b. Teaching Personnel
      i.) Teaching and Learning (curricula, instruction, assessment)
      ii.) Teachers and Other Education Personnel (recruitment and selection, training, conditions of work, support and supervision)
   c. Learning Processes

3. Resource Mobilisation and Financial Management
   a. Education Financing (external funding, domestic financing and resources)

4. Monitoring System Improvement
   a. Education System Capacity (data and analysis, management)

The Analytical Framework includes a series of matrices with questions to be posed in relation to the general context of fragility as well as the education and fragility relationship.

Link to the website:
http://www.ineesite.org/index.php/post/field-based_situational_analyses_of_education_and_fragility