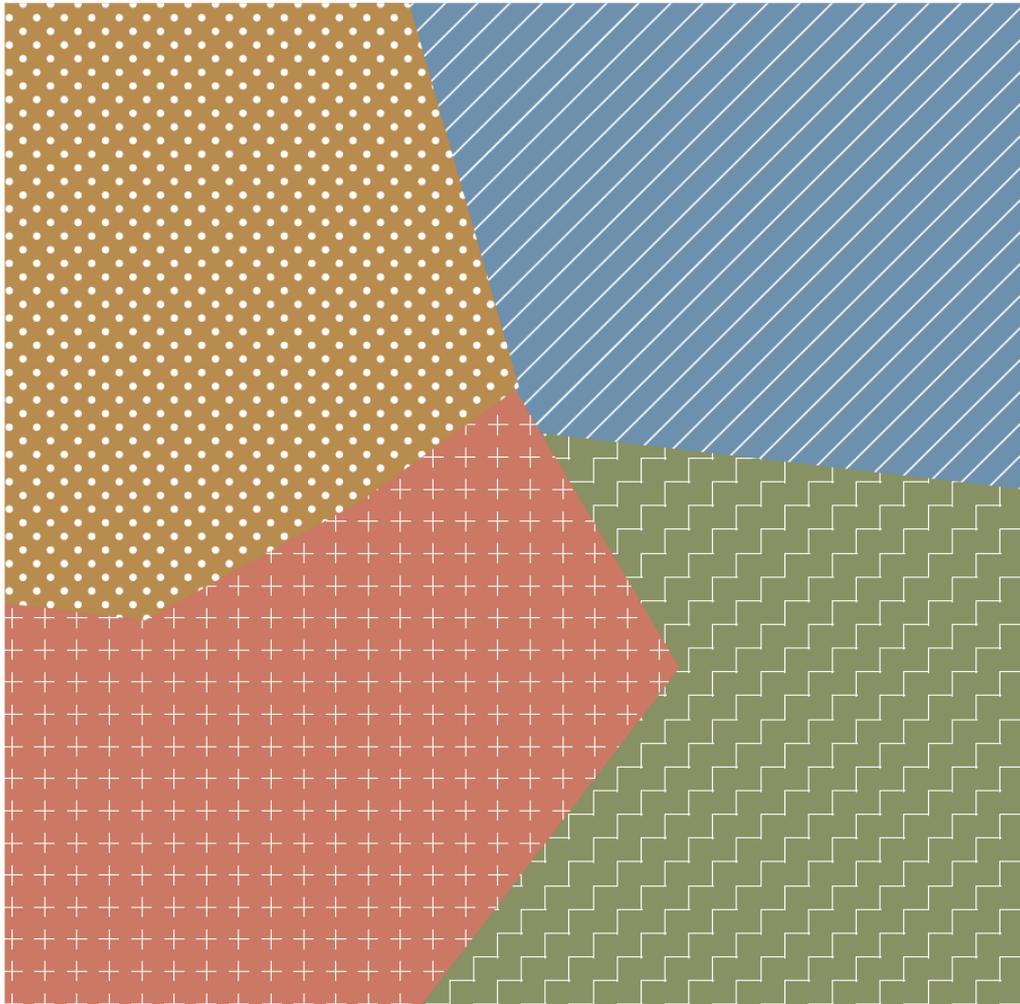


W O S C A P

ENHANCING EU PEACEBUILDING CAPABILITIES



WOSCAP Briefing on Key Concepts, Research Plans and Entry Points for the EU

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Global Partnership for the Prevention of Armed Conflict

Colophon

WOSCAP BRIEFING ON KEY CONCEPTS, RESEARCH PLANS AND ENTRY POINTS RELEVANT FOR THE EU

31 March 2016

Deliverable D6.4: Working Paper 1 – *Dissemination level: Public*

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Global Partnership for the Prevention of Armed Conflict



Whole of Society Conflict Prevention and Peacebuilding

This is the first Working Paper produced as part of the project “*Whole-of-Society Conflict Prevention and Peacebuilding*”, which aims to enhance the EU’s peacebuilding and conflict prevention capabilities. This document provides a briefing of the key messages and concepts from the scoping studies on various topics relevant to the EU’s peacebuilding and conflict prevention agenda. Second, it identifies the entry points for engagement in the project, relevant for policymakers, academics, researchers and civil society organisations. Lastly, it provides an overview of the planned case study research for the assessment of the EU’s capabilities in 2016. More information can be found at www.woscap.eu. If you wish to be part of the community of practice, or receive updates, please write to the Project Coordinator at g.vogelaar@gppac.net.

W O S C A P

ENHANCING EU PEACEBUILDING CAPABILITIES



This project is funded by the EU’s Horizon 2020
Research and Innovation Programme
Grant agreement no. 653866

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Introduction

This is the first Working Paper produced as part of the project “*Whole-of-Society Conflict Prevention and Peacebuilding*”. The purpose of the paper is to introduce the key messages and concepts from the scoping studies on various topics relevant to the EU’s peacebuilding and conflict prevention agenda; to provide an overview of the planned case study research for the assessment of the EU’s capabilities in 2016; and to identify the entry points for engagement in the project, relevant for policymakers of the EU, but also for academics, researchers and civil society organisations.

It is structured along four parts. The first section introduces the aim of the WOSCAP project, the expected results and its main objectives.

The second part summarizes the key messages of the seven scoping studies. These orientation studies initiated an investigation and reflection on the state of the art regarding the clusters and themes in current conflict prevention and peacebuilding practice. This was important to inform future research priorities. The aim of the scoping studies was also to indicate where the practical gaps and dilemmas exist in operationalising EU peacebuilding and conflict prevention activities, in each of the topics.

The third section of this paper is an overview of the selected case studies, the plans for the field research and desk research. This is to inform the EU policy makers, academics, experts and civil society organisations to enable them to exchange ideas during the research process, and discuss the findings of the case study reports.

The last part provides the concrete opportunities for involvement and engagement in the WOSCAP project. In this part, it is elaborated how, where and when the EU policy makers and other relevant actors can be involved.

1. Project Synopsis

WOSCAP (**Whole-of-Society Conflict Prevention and Peacebuilding**) is a project aimed at enhancing the capabilities of the EU to implement conflict prevention and peacebuilding interventions through sustainable, comprehensive and innovative civilian means. It assesses current capabilities, and identifies gaps, best practices, lessons learned and research priorities. Through a community of practice and dialogue forums, it brings together policymakers, civilian and military practitioners, academic experts and the beneficiaries of EU interventions.

WOSCAP makes use of a **bottom-up methodology**. Research activities follow a participative dialogue approach, engaging local communities and practitioners on the ground. Research institutions of local case study countries lead on the field research, and partner with local peacebuilding practitioners and key policymakers, ensuring policy involvement at the operational level. At the EU level, effective policy engagement and dissemination is enhanced by the consortium's presence in several key member states (Germany, France, the UK, The Netherlands and Spain).

The expected results are:

- An assessment of past and potential civilian prevention and peacebuilding capabilities of the EU, validated and supported by stakeholder engagement and a community of practice; and
- A tailored set of recommendations on the policy priorities and information and communication technologies needed for effective civilian conflict prevention.

MAIN PROJECT OBJECTIVES



REVIEW

To assess past and ongoing conflict prevention and peacebuilding initiatives of the EU and its partners.



RECOMMEND

To complement and adjust existing capacities, policies, and initiatives for conflict prevention and peacebuilding, through an inclusive policy-practice dialogue and the development of policy recommendations.



REFLECT

To create an evidence base of best practices and lessons learned, to identify capability gaps in current EU and partner engagements, and to elaborate options for change and potential improvements in long-term civilian peacebuilding efforts.



INNOVATE

To make a significant contribution to civilian conflict prevention and peacebuilding, by identifying future research priorities, and enhancing the potential of information and communication technologies.

See www.woscap.eu for more information.

2. Scoping Studies

The project began by undertaking seven scoping studies, of all the topics analysed within the project, through three clusters and four cross-cutting themes. The aim of each study is to provide an initial orientation of the subject based on desk research, to identify and explain key terms, concepts and practices. Secondly, each study seeks to provide an overview of scholarly knowledge, represented by secondary literature, policy developments as well as grey literature, reflecting practitioner discourse. Thirdly, the studies focus on identifying practice phenomena that relate to the project's core concepts with: inclusiveness and a bottom-up perspective; gaps, disconnects and paradoxes in the deployment of EU civilian peacebuilding capabilities; sustainability and synergies and overlaps between civilian and military capabilities. Finally, the scoping studies were intended to indicate lines of inquiry and propose research questions, as a basis for the Theoretical and Methodological Framework. The seven scoping studies are an important ingredient in defining the research agenda for the project. The full studies are available on the WOSCAP website. The **scoping studies' main highlights** are presented below.

2.1 Multi-stakeholder Coherence at the Core of EU Comprehensiveness (D2.3)

The multi-stakeholder approach refers to a reflection on the EU's choice of partners in order to act coherently in the field of peacebuilding and conflict prevention. The ability of the European Union to address security challenges is both contingent on context-specific and operational challenges in the field, and subject to its own internal political and policy dynamics. The context of multiplication of the actors involved in the field of peacebuilding and conflict resolution often implies confusion and counterproductive results due to lack of coordination.

International peacebuilding interventions face two central challenges. The first challenge concerns coordination and synergies in the field, due to an increasing range of national, regional and international actors involved in peacebuilding. The second challenge is about ensuring the relevance and ownership of such interventions to local populations. In addition, within the general field of international relations, there has been a change in the perception of who are the relevant actors in peacebuilding and conflict prevention actions, with a focus on the effectiveness of local stakeholders, such as regional organisations, Non-Governmental Organisations (NGOs) or civil society, in compliance with the principle of subsidiarity foreseen in the Chapter VIII of the UN Charter (1945). This principle has been included in the article 3.5 of the Treaty of the European Union voted in Lisbon in 2009. From a whole-of-society perspective, comprehensiveness starts at the local level, and implies that the EU seeks to work in synergy alongside other state and non-state actors, to leverage partnerships and burden-sharing from the local to national and regional levels.

Regarding its financial and technical means, with a wide range of instruments at its disposal, the European Union has considerable involvement capabilities around the world and is the largest provider of international aid in the world. The idea behind the WOSCAP project is that the EU's peacebuilding interventions can be more effective and produce more sustainable results if these challenges are addressed up-front and as part of an inclusive whole-of-society approach. The multi-

stakeholder approach has been an intrinsic part of the EU's Comprehensive Approach, based on cooperation and collaboration among multiple actors. It has not been conceptualised in EU policies but this scoping study proposes that the multi-stakeholder approach includes three categories of actors.

First, coherence and complementarity have been valued within the EU and Member States, across the range of EU institutions and capabilities including civilian and military actors and processes. Secondly, the multi-stakeholder approach implies coherence with international and regional governmental organisations, such as the UN, the Organisation for Security and Co-operation in Europe (OSCE), and the African Union (AU), but also coherence between the EU and civil society organisations and the private sector. By paying attention to realities both at field-level and in the policy arena in Brussels, this scoping study aims to show that the EU multi-stakeholder approach has been a progressive process. After an overview of the historical developments of the EU multi-stakeholder approach through comprehensive instruments and policies, the three previously identified dimensions will be analysed through the prism of coherence, both in terms of inclusivity and of experience of working together, through partnerships, sharing of information, or dialogue.

2.2 Assessing the European Union's Approach to Multi-Track Diplomacy (D2.5)

This scoping study defines multi-track diplomacy (MTD) as a specific approach to EU foreign policy, alongside other intervention strategies such as security sector intervention, political reform support or socio-economic assistance. It places a primary emphasis on diplomatic initiatives aimed at supporting conflict prevention and peacebuilding, especially during the various (formal and informal) stages of peace processes.

The purpose of the report is four-fold. Firstly, it reviews the main scholarly and policy trends regarding the use and effectiveness of MTD in contexts of intra-state conflicts. It defines the concept of MTD by anchoring it within the contemporary academic and policy literature on mediation and dialogue support, with specific emphasis on the role of EU institutions. By examining the rationale, dimensions and timing of MTD, it describes the recent policy shift from a sole reliance on traditional state diplomacy and Track I muscled mediation towards multi-track engagement in conflict constellations by mediation/dialogue support teams involving multiple stakeholders, and diversified methods of 'soft power' diplomacy, according to the various stages of conflict and peacebuilding, as well as the degree of power asymmetry between the primary contenders.

Secondly, it reviews and classifies past or ongoing examples of EU MTD intervention – with a primary emphasis on the four WOSCAP project country cases (Ukraine, Georgia, Mali and Yemen) – along the three Tracks of engagement in the given contexts, and according to their primary strategy of intervention (power-based, deal brokering diplomacy; interest-based, problem-solving diplomacy; and transformative, long-term diplomacy).

Thirdly, it discusses four clusters of challenges pertaining to the implementation of EU MTD in conflict-affected countries, with a particular emphasis on areas of overlap or tension with other capability clusters and cross-cutting themes covered by the WOSCAP project. The insights are drawn from scholarly assessments of the factors that facilitate or hinder the effectiveness of international

mediation or dialogue support efforts, and assessments by EU policy experts on key priority areas for improving the internal coherence and external coordination of EU MTD.

Finally, it concludes by offering concrete recommendations to the field researchers with regards to key areas of investigation and methodological considerations.

2.3 EU and Security Sector Reform: Tilting at Windmills? (D2.6)

The EU's overall thinking and approach to civilian peacebuilding and crisis management explicitly hinges on the dominant notions of **Liberal state-building, Liberal peace-building and Liberal Peace Thesis**. One of the key assumptions made with regard to security sector reform (SSR) is that 'democratic civil-military relations foster stable societies'.

The normative underpinnings of the Liberal Peace building project – and thus, the role of SSRs – are shared by the major international security actors, namely, the EU, United States of America, United Nations, OSCE and the World Bank. However, the EU often faces enormous challenges and resistance in its attempts to translate the key liberal 'norms' to other security actors outside of the EU. The absence of a shared consensus around the main normative tenet underpinning EU-SSR missions means that they often end up being less inclusive, top down and unsustainable in the long run, leaving room for the emergence of potential ceremonial, hybrid and disappointing security institutions and practices that are wholly or partially contradictory with the goals of EU-SSR policy.

The EU's main approach to SSR heavily relies on the OECD approach that is defined as "seeking to increase partner countries' ability to meet the range of security needs within their societies in a manner consistent with democratic norms and sound principles of governance, transparency and the rule of law". This definition extends well beyond the narrower focus of more traditional security assistance on defence, intelligence and policing, thus leaving a lot of room for devising new policies, instruments and institutions.

Although civilian means lie at the heart of EU's SSR policy, in actual operations, EU-SSR still shows a tendency towards applying the traditional "train and equip" approach, which focuses on improving the technical capacity of the security forces (who are identified as legitimate security actors). This is in contrast to the OECD's "governance-development" approach. The train and equip model is often presented as a technical approach, and is often more successful in engaging local elite political support for SSR operations. However, because this approach alters the underlying power relations and structures of accessing resources among the competing local security actors, it cannot escape becoming embroiled in governance/political outcomes.

A crucial question is: how can the EU build bottom-up legitimacy for its SSR interventions in fragile contexts, where threats to security loom large?

Compared to no-conflict situations or stable political environments, there is a marked lack of acceptance and legitimacy for EU's SSR interventions in post-conflict, ongoing conflict and complex fragile political situations. In the terrain of EU-SSR, which encompasses a wide range of actors, policy arenas and activities, has resulted in producing a range of different sub-approaches to SSR. SSR is approached differently by the various European Union member states, which result in different outcomes in different contexts, making it difficult to assess and measure the success of EU's SSR

interventions. In addition, the EU has a notorious reputation of being incoherent and for lacking in coordination, mostly blamed on its institutional structure, and the split between the commissions and the council. Since the establishment of the EEAS in 2010, and the current process of developing a European SSR strategy, some changes may impact the identification of priorities and the use of resources and policy, overcoming the horizontal as well as the vertical incoherencies in the Union as well as between the EU and its individual member states.

2.4 Owning the Peace in International Interventions: a Delusion or a Possibility? (D2.1)

The EU upholds the principle of local ownership in its programmatic and policy documents and this paper identifies some of the main implementation challenges related to the tensions, dilemmas, and contradictions associated with the notion of local ownership.

The literature surveyed in this paper underscores the ambiguity of the concept in both of its components, namely 'local' and 'ownership' and suggests its salience as a policy idea/ideal rather than as an objective goal of international intervention. Peacebuilding interventions bring together a variety of actors with different mind-sets regarding the meaning of local ownership and how it should be implemented, alongside local actors' understanding of what acceptable peace looks like. The liberal peacebuilding mainstream 'top down' and 'outside in' approach has come under strong criticism regarding its ability to honour the rhetorical commitment to local ownership. This concerns foremost a consensus about 'what to owe', which in its turn is central to the legitimacy of external intervention. The essence of the criticism is that the state-centric, institution building understanding of the task of building peace is decoupled from the fundamental problems of societal reconstruction and deep reconciliation. This has resulted in international interventions' failure to address the needs of local societies effectively and in a durable manner.

Against the backdrop of the diverse scholarship on local ownership, the paper puts forward a relational perspective on local ownership that centres on the interaction between external actors and their local counterparts as a way of understanding how local ownership can emerge through their shared experience, and how through these relationships issues of competence, responsibility and power can be worked out to support locally grounded peace. Such an approach affords equal relevance to local and external peacebuilding actors and their concerns, perceptions and expectations regarding their engagement, and addresses head on the inherent contradictions of externally-led peacebuilding interventions.

2.5 Assessing EU Support to Governance Reform (D2.7)

While the promotion of good governance has long been at the heart of EU's assistance to peacebuilding, stability, and security, it has gained yet more prominence among the set of EU values upheld in the post-Lisbon EU (common) foreign policy agenda, closely associated – and sometimes

used interchangeably – with related values such as human rights, democratisation, and the rule of law (Hout 2013).

The linkages between good governance and peacebuilding have been foremost explored through the lense of malfunctioning and poor governance as a root cause of conflict. However, there is no solid evidence for what type of support to governance reform is most likely to lead to effective, inclusive, and sustainable peacebuilding. This scoping study touches on this debate through the prism of EU foreign policy, by identifying the inherent dilemmas and tensions related to EU governance reform support.

Section two of the scoping study summarises the state-of-the-art on governance and (good) governance reform support from two angles. Firstly, we review the policy approaches of international actors such as the OECD, World Bank, and UN which are often emphasising state-centric and technocratic practice of mainstreaming good governance principles. Hence – as the literature review shows – they pay little attention to local needs which are often fundamentally linked to identity, culture, history and norms. The second angle is the inclusivity approach which is at the heart of the Whole-of-Society Conflict Prevention and Peacebuilding (WOSCAP) project. From that perspective, governance reform support can be understood as any coordinated action or initiative that aims to strengthen inclusive governance structures, processes, and outcomes by increasing their accessibility, representativeness, and responsiveness to all segments of society.

Section three fleshes out the EU's body of work on peacebuilding-related support to governance reform, examining some of the related key policies and instruments, as well as providing some empirical examples of EU governance reform support from the project's case study countries (Georgia, Mali, Ukraine and Yemen). This exploratory review suggests that the EU is primarily concerned with formal state governance reform support through different types of financial and technical assistance. This leaves open the question how the EU's existing peacebuilding support to governance reform is able to address the root causes of conflict, as well as having a transformative capacity to support inclusive whole-of-society governance.

Section four summarises some of the main challenges pertaining to EU support to governance reform. Thus, it raises some explorative questions such as: in how far is EU Governance reform inclusive; engages with the local and political context; and is affected by the lack of a clear conceptual understanding of good governance reform. The section also points towards some key methodological challenges such as the difficulties to discern the impact made by EU governance support due to: 1. the variety of parallel used instruments and techniques, and 2. the complications of drawing generalizable conclusions based on the distinct case studies chosen for the WOSCAP project.

2.6 Gender in EU Conflict Prevention and peacebuilding Policy and Practice (D2.2)

This scoping study examines the integration of the gender dimension and the women, peace and security (WPS) agenda into the field of conflict prevention and peacebuilding in the EU. Firstly, it briefly reviews the evolution of gender mainstreaming in the EU and the development of the global

WPS agenda led by the UN and followed by the EU. Secondly, it summarises and analyses EU policy concerning the policy framework on women/gender, peace and security. Thirdly, it covers the institutional architecture and stakeholders involved. Fourthly, it studies the EU's approach to multi-track diplomacy, security sector reform and governance reform from a gender perspective. Finally, in the conclusion, it identifies key issues and research directions in this area.

The adoption by the EU of the gender mainstreaming strategy in the 1990s gave impetus to the incorporation of gender in its foreign policy, since it committed the organization to making gender equality an objective in all its policies. Its integration into its conflict prevention and peacebuilding efforts was influenced by the UN-led WPS agenda, which provided an important framework of reference from which the EU developed its own policies and instruments.

The EU has developed an ambitious and comprehensive policy framework on WPS/gender, peace and security that involves all EU actors and areas of action (mainly political dialogue, funding programming and CSDP missions and operations) in mainstreaming gender in conflict prevention and peacebuilding.

This gender comprehensive approach has permeated EU's interventions in areas such as multi-track diplomacy, SSR and governance reform and has strengthened the EU's capacities in the area of conflict prevention and peacebuilding as it constitutes a foundation for promoting more inclusive and sustainable processes.

Nevertheless, the literature has detected many gaps and challenges to the directives adopted by the EU, such as the gap between commitments and implementation or the gender imbalance in the top positions. There is also a need for greater coherence and coordination between EU institutions and the EUMS and a risk of isolation between the WPS agenda and the general conflict prevention and peacebuilding agenda. Simultaneously, some reductionism has been detected in the EU when translating and implementing the global WPS agenda by focusing mostly on the security sector, while neglecting other areas. Other more specific shortcomings include insufficient clarity and guidance on how to mainstream gender in the various areas and levels of action. All of these challenges point to possible future lines of research for the EU.

Regarding the WOSCAP project, the scoping study identifies important connections between the gender perspective and the WPS agenda of the EU and other cross-cutting approaches such as local ownership processes. This raises questions about inclusiveness, inter-sectionality and accountability. At the same time, the EU's WPS agenda acknowledges the need for multi-lateral relationships with other international, regional and local stakeholders, leading to questions about the degree of multi-stakeholder coherence in practice regarding WPS implementation. In turn, the EU's gender mainstreaming strategy involves all stakeholders and areas of action, including civilian-military relations. Finally, the study on the WPS agenda in the EU raises questions about the role of ICTs in preventing conflict, the gendered impacts of the use of ICTs, the EU's level of support for ICTs as a useful tool for implementing the WPS agenda, and for EU visibility and public diplomacy regarding WPS. All of these issues are relevant to the WOSCAP project.

2.7 Uses of Information and Communication Technologies for EU Conflict Prevention and Peacebuilding (D2.4)

The unprecedented global adoption rates of information and communication technologies (ICTs) are rapidly changing the way people are communicating. For several years now, the role of ICTs has been a topic of discussion in various contexts such as conflict, development, humanitarian and socio-political movements. But to date little research has been undertaken into the part they might play in peacebuilding. In scoping out the possibilities for ICTs within EU conflict prevention and peacebuilding, this paper summarises the current role of ICTs in the context of peacebuilding scholarly knowledge, policy and practice with the aim of identifying further research questions and key methodological considerations.

A first challenge for a topic that remains under-researched and under-conceptualised stems from the difficulty in categorising practices. While little research has been undertaken, peacebuilding projects that use ICTs have proliferated over the past few years in disparate and wide ranging ways. We develop a socio-technical conceptual framework based on emerging empirical work, we use four affordances of technology which have generally been used in peacebuilding contexts: data, communication, networking and mobilisation. We then review existing practice by actors based on an international to local spectrum: the EU and other international governmental organisations, local and grassroots actors and the state. We show emerging empirical evidence that although all actors leverage a wide range of ICT functions, there appears to be differences in those uses. More research is needed to uncover evidence of how the leveraging processes play out in peacebuilding contexts.

While the EU does not expressly have a policy on the uses of ICTs for peacebuilding, it recognises their transformative potential for society as part of its 'Digital Agenda for Europe', thus opening institutional avenues for their inclusion in its peacebuilding activities. With few examples of EU uses of ICTs, the bulk of our review focuses on other peacebuilding actors, showcasing the wide range of uses for different purposes: conflict prevention through early warning system; or rebuilding broken social ties through communication and the creation of safe spaces for contact and networking across divided communities.

These uses are generally underpinned by a positive bias in favour of the transformative potential of ICTs, but we highlight a series of operational and ethical challenges that could limit this potential, such as limitation of access, or unintended or contradictory sets of consequences and impact. Ethically we outline concerns specific to the technology in peacebuilding contexts: security of both users and infrastructures, ownership of systems, data and processes and collaboration with the private sector are all important considerations.

Future research avenues have been identified regarding the potential uses of ICTs by the EU in its peacebuilding activities, as the democratisation and inclusivity of technology use in conflict affected areas, the dissonance between policy ideals and programming constraints or the consequences of ICT uses in terms of empowerment. The issue of international actors' support to local or grassroots actors by leveraging ICTs for peacebuilding, and of how this process can be sustainably locally owned is also a key question faced by the EU. This represents an undeniable opportunity for the EU to ground its approaches in more relevant empirical work adopting a socio-technical perspective which recognises the contingent effects of ICT uses in socio-political contexts and takes into account its many operational and ethical challenges.

3. Research Plans

The WOSCAP project will research and create an evidence base on the above topics through case study research, as part of its Work Package 3. The **objective** is to review EU capabilities through assessing EU interventions in national contexts. The focus is on **three EU types of action**: Multi-Track Diplomacy (MTD), Security Sector Reform (SSR) and Governance Reforms, while in each of these a number of themes will be analysed: multi-stakeholder coherence, local ownership, gender, civilian-military synergies and information and communication technologies'. The research consists of four country studies in Georgia, Mali, Ukraine, and Yemen, conducted by teams in these countries, complemented by desk studies of EU policies in other relevant contexts beyond the field research, conducted by Utrecht University.¹ The question guiding the research is how has the EU developed its capabilities in the three policy domains and in relation to the five selected themes in the selected countries, and what the main characteristics of the social and political processes are in which these capabilities have evolved over the past one or two decades.

3.1 Case studies in Georgia, Mali, Ukraine, and Yemen

By including field work through case studies, the project provides a concrete evidence-base to formulate lessons learned and recommendations. In identifying the case study countries, several criteria were applied. Firstly, including a mix of cases from the European Neighbourhood and beyond, providing different types of contexts and conflict stages. Secondly, considering EU operations that have seen a longer-term presence contrasted with more recent engagements. Thirdly, a focus on countries that present imminent concerns with the EU and member states, and are on the political agenda of the EU.

3.1.1 Case 1: Georgia

Georgia is a priority country within the European Neighbourhood Policy and the Eastern Partnership. The EU's support to legal, regulatory and institutional reforms in the field of migration has been exemplary in terms of governance and SSR in the country. The EU's major policy instruments offered to Georgia, including ENP, Eastern Partnership, and most recent Association Agreement and Visa Liberalization Action Plan (VLAP), have all called upon respective policy and institutional changes in the country. The research focuses on the period after the Russo-Georgian war of 2008, which demonstrated EU's capacities to resolve the conflict.² With regard to multi-track diplomacy, after the War, EU's mediation aided the signing of the Six-point Peace Plan for the Russo-Georgian conflict.³

¹ Country teams are led by IWP, Political Development Forum, Tbilisi State University, USJPB. Berghof Foundation and GPPAC will provide expertise on the three types of EU policy.

² For example the military hostilities that were resolved by EU's mediation. (Simons 2012: 282)

³ In which Russia and Georgia agreed to diffuse their military conflict in South Ossetia

Furthermore, the EU's monitoring mission (EUMM) is a relevant for all understanding all three types of EU action.

3.1.2 Case 2: Mali

The case of Mali focuses on the crisis and ongoing insecurity between 2012 and present, when the presence of the European Union has intensified. The EU is the most important partner of this country in terms of public development aid. The EU strategies for solving the Malian crisis unfold on at least four levels. The first level is bilateral relations that certain EU Member States have with Mali. The second is the existing cooperation agreements for development and commerce between the EU and Mali, and military technical assistance (training) agreements, such as establishing the EU Military Training Mission (EUTM). Thirdly, more recently links have grown between the EU and African regional and sub-regional organizations (ECOWAS), and it is relevant to identify the main aspects of the governance support provided by the EU at state level. Finally, the EU cooperates with non-state actors that are stakeholders in the Cotonou Agreement.

3.1.3 Case 3: Ukraine

The case of Ukraine focuses on the period after 2012. The main challenge for Ukraine nowadays is implementation of reforms, which is also a challenge for the EU's efforts. The role of the EU in the reform process of Ukraine is crucial, creating a support group to support reforms in Ukraine and the implementation of the Association Agreement which the EU signed with Ukraine in 2014. In addition, EU support has also been critical to reach the cease-fire agreement – Minsk II. In addition, the EU has been quite successful in stabilizing the internal situation in Ukraine, supporting the constitutional reform (especially the decentralization process) and the elections in the occupied territories in the East of Ukraine. Additionally, the EU has deployed a mission – European Union Advisory Mission (EUAM) for Civilian Security Sector Reform.

3.1.4 Case 4: Yemen

Peacebuilding in Yemen started in 2011 as a regional and international response to the crises in the country. International partners, including the EU, succeeded in persuading a myriad of the conflicting parties to enter talks. Between the years 2011-2014, EU's support in the peacebuilding efforts in Yemen has been pivotal and the case study will further look into the Yemen - EU partnership with regard to the National Dialogue Conference (NDC). For EU, the key political priority in Yemen is to support a peaceful transition process and good governance.

3.2 Analysis and method

A draft research plan for Georgia, Mali, Ukraine, and Yemen was finalized by the end of February, which will guide the field studies in each of the countries. The research plan is still a draft at the time of writing and subject to changes based on exchanges with stakeholders including policymakers of

the EU. In the four country studies we are interested to gain insight in the 'general picture' of EU presence and intervention in each context, while taking a more in-depth look at selected policies in each of these countries. These in-depth studies of selected policies (cases within a case) will provide us with detailed insights in the EU policy process and in the ways the EU capabilities are forged and used in selected policy areas.

3.2.1 Selected policies in the case studies

There are several proposed focus areas of EU interventions per case study country, which are currently being explored and will be defined in March/April 2016. They include:

- **Georgia:** The Geneva International Discussion (2008 – current), European Union's Monitoring Mission to Georgia (EUMM), border management, and migration.
- **Ukraine:** EU initiatives to support Local Governance & Decentralization Reform in UA, the EU Advisory Mission for Civilian Security Sector Reform in Ukraine (EUAM Ukraine), the EU Border Assistance Mission to Moldova and Ukraine (EUBAM), and the Normandy Format.
- **Mali:** The EU and the Algiers negotiations and Bamako Agreement for peace and reconciliation, the European interventions in the field of SSR: EUTM and EUCAP, the regional approach in the Initiative for security and development in the Sahel, and the European support in governance reform.
- **Yemen:** The diplomatic and donor role of the EU at the National Dialogue Conference (NDC), Local Dialogues Project, and multi-track diplomacy following the NDC-2016 and the role of the EU Ambassador to Yemen.

The research in the four countries consists of three parts:

- a) Analysis of the national context and international involvement;
- b) Analysis of the EU presence in the national contexts, which takes into account its politics and policies during different phases of the conflict, and its relations with other national and international stakeholders;
- c) Analysis of selected EU interventions, with a focus on capabilities to act, to coordinate and to cooperate.

The teams will use a variety of methods: literature review (policy documents, evaluations, academic articles, policy reports, etc.), semi-structured interviews with a range of stakeholders, participant observation and focus groups. The particular choice and mix of methods will vary per country and per selected policy. The identification of 'key stakeholders' is an important part of the research process.

3.3 Desk studies

The desk study consists of two parts. First, a review of the academic and policy related literatures on EU capabilities in the fields of conflict prevention and peace building, with a particular focus on Governance reform, SSR and MTD; It will provide a general overview of EU capabilities with regard to

peace building and conflict prevention. It is based on a review of academic articles, reports and policy evaluations about the development of EU capabilities. In addition, a number of interviews with resource persons and EU staff will be held. Four questions will guide this research:

- a) What are the main EU capabilities regarding conflict prevention and peace building?
- b) How have these capabilities evolved or developed over the past decade?
- c) What are points of consensus and of debate about these EU capabilities in the literature?
- d) What are considered 'good cases' of EU capabilities? And why are these considered good cases?

3.3.1 Selected policies in Kosovo, Afghanistan and Sri Lanka

The second part is about the in-depth desk studies on selected policies in Kosovo, Afghanistan, and Sri Lanka. The EU has played a substantive role in Kosovo and Afghanistan, while it has played an important role in Sri Lanka.

Afghanistan

One of the reasons that makes the case of Afghanistan interesting to research, is because of the sheer scale of the EU intervention. Afghanistan receives more development aid from the EU and Member States than any other country. An initiative of the EU in Afghanistan that is relevant to research is 'EUPOL Afghanistan', a civilian Common Security and Defence Policy (CSDP) mission. The mission incorporates elements of governance reform and security sector reform, and also local ownership, gender, and multi-stakeholder coherence. EUPOL Afghanistan's support is delivered mainly through advising at the strategic level to the Afghan Ministry of Interior.

Kosovo

The case of Kosovo will focus on the period after Kosovo's independence (2008) when the role of the EU increased. With regard to the clusters, in particular governance and multi-track diplomacy are relevant. As to the themes, ownership and multi-stakeholder coherence seem to be of major importance. The study will include a brief overview of the EU in/and Kosovo and zoom in on the EULEX mission, the largest EU missions in the field of peace building. The study will in particular look at the two or three of the four objectives of EULEX (the rule of law, the north and the dialogue).

Sri Lanka

The research of EU capabilities in the fields of conflict prevention and peacebuilding in Sri Lanka will be conducted on two levels. At the national level, this research investigates the EU's capabilities during the three periods 2001-2004, 2005-2015 and 2015-present. At the local level, the proposed research will conduct an in-depth study of the EU funded projects and policies, including projects related to housing, socio-economic conditions, livelihoods, education, and peaceful cohabitation.

Planning for 2016: case studies field research and desk research

March – June	Data collection by country teams. Supervision and feedback on progress by UU. Face-to-face meetings between country teams and UU.
31 March	Country teams report about final choice of cases (including case description, overview of relevant stakeholders, methods to be used). Country teams decide on the date of local stakeholder meeting.
April/May	Webinar with country teams, briefing each other and discussing progress. Open to participation from other consortium partners.
June/July	Consortium meeting (to be confirmed)
End of June	Reports on progress of country teams on fieldwork
1 September	First draft of country report
1 October	Final draft of country report

4. Entry points for EU policymakers to engage in the project

4.1 Addressing the EU's challenges in civilian peacebuilding and conflict prevention

The analysis of the current EU policies and programmes dealing with civilian peacebuilding and conflict prevention provides a broad picture of the institutional realities and the internal political challenges the EU has to face. The evolution of EU external action towards increased efficiency and influence, driven by the Comprehensive Approach and other concepts such as human security and the whole-of-society approach, is clearly observable through the policy objectives and norms set out by the EU in the past few years, and in the policy outputs of European institutions, instruments and programmes.

Despite these efforts and considering the importance of such changes in an entity as complex as the EU, one can logically observe some resistance from the institutions and Member States in sharing their responsibilities, or ceding some of their prerogatives. Practice and behaviour evidence has shown that the EU still faces challenges such as the lack of coherence between internal and external policies, within its institutional set-up or the implementation gap between short-term objectives and long-term strategy. Consequently, the relevance of the Comprehensive Approach can be questioned as a means of further improving EU efficiency.

Moreover, EU instruments and programmes dealing with conflict prevention and peacebuilding often tackle the same issues, sometimes in a complementary way, but also in a competitive or unproductive manner. The EU has adapted its instruments in the light of the Comprehensive Approach. Such an adaptation, which has broadened the general approach to conflict issues, has also complicated EU tools for external policies. The complexification of the EU has generated a problem of overlapping and duplication of work, and must be addressed in the years to come in order to enhance efficiency. In this regard, the ongoing reform of the EEAS is also key to analysis.

4.2 Opportunities

In order to deal with the complexity of the implementation of the EU Comprehensive Approach, or a Whole of Society Approach to conflict prevention and peacebuilding, the WOSCAP project offers the opportunity for researchers to exchange with EU officials. It is essential to allow the research outputs to be directly linked with current expectations on conflict prevention and peacebuilding of EU institutions. Therefore, there are possibilities for policymakers to engage in the WOSCAP project by exchanging their views, priorities and concerns on the topics addressed in clusters and cross-cutting themes, in order to feed a constructive debate and to multiply the impact effect of the project's results. After the field research, the project will convert the research findings into actionable policy recommendations and engage key stakeholders in policy discussions about implementation. The

policy engagement will take place at three levels: practitioners and local stakeholders at the field level in the case study countries, EU and member state policymakers, EU staff and other key stakeholders in Brussels, and via the consortium partners in EU member states.

The exchanges between WOSCAP project partners and EU policymakers is coordinated by the team of ESSEC IRENE, acting as an intermediary where needed, in order to facilitate cross-fertilization and the channeling of key results. While several partners including the Project Coordinator have an ongoing engagement with the EU (delegations in country, EU member states), it will be coordinated to ensure that information collected from the WOSCAP partners is relayed to EU officials, and conversely, is circulated from the institutional level to the researchers.

There are several opportunities built into the project to exchange and ensure the project produces relevant results and impact, which we highlight here.

4.2.1 Community of Practice

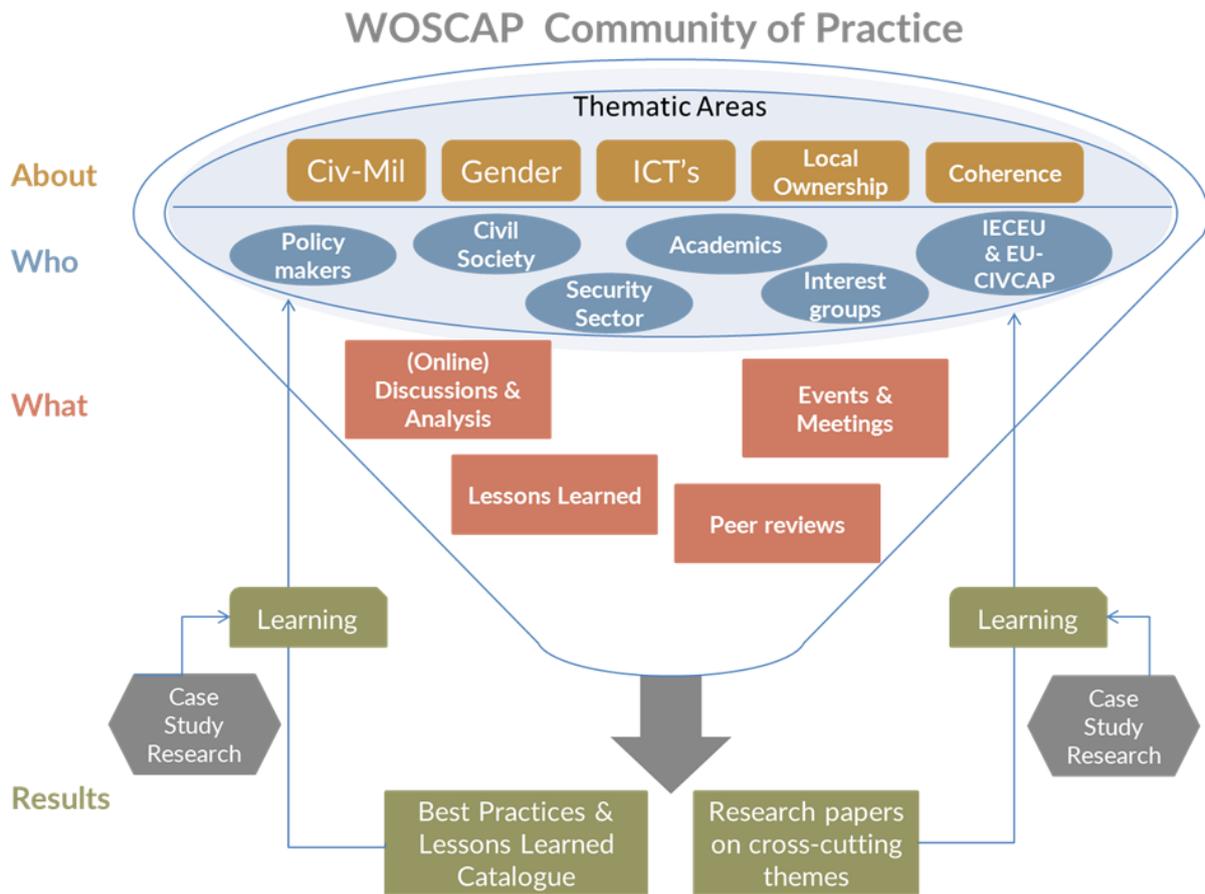
Within the WOSCAP project, we set up a **Community of Practice**. It brings together the EU policymakers, civilian and military practitioners, academic experts and the end users and beneficiaries of EU interventions. Based on the assessment and the catalogue of best practices, it will develop an evidence-based set of recommendations and feed into this exchange forum – the Community of Practice – about enhancing the EU’s civilian capabilities, exploiting civilian-military synergies, leveraging innovative technologies and developing policy priorities which both crystallise past successes and encourage ongoing improvements.

The Community of Practice will tap into the wide network of subject matter experts, academics and practitioners as well as policymakers and security sector representatives which the consortium members are already working with, from around the globe. While the EU is the main focus, on the political level the project engages with other governments and institutions as well, such as the UN and the OSCE.

How?

Through the events, online discussions, and other activities outlined below, the Community of Practice is expected to bridge the gap between policy and practice by providing opportunities for validation and buy-in for the recommendations.

Members of the Community of Practice (stakeholders and subject matters experts) will be involved in discussions on 'best practices' in each of the cross-cutting themes. It is supported by the WOSCAP website to catalogue resources and an online exchange forum, where the collection of best practices will be shared and debated. Updates will be sent to the community of practice to be informed and encourage their participation.



4.3 Concrete opportunities for involvement in the WOSCAP project

Ongoing:

- Develop a regular dialogue between WOSCAP partners and policy-makers
- Formalising engagement with a particular group of policymakers (EEAS, DEVCO...) by setting up a “Reference Group” for WOSCAP – as there is no external Advisory Board. The composition would be to speak to the various thematic areas and geographic foci in the project.
- Involving researchers in platforms / groups that the EU or other governmental institutions are part of, to feed into discussions
- Address the demand for various topics: specific interests per country, especially on the specific EU interventions assessed by the case studies’ research teams
- Feedback and discussion on research questions
- Interviews (face to face or by teleconference) with partners
- Discussing evaluations of EU specific policies or issues addressed in the scoping studies (or comparing with UN, other institutions)

- Develop cooperation with IECEU and EU-CIVCAP⁴ on the exchange of information/communication with the EU officials.

Specific opportunities:

May – September 2016	Participation in Community of Practice events (5 roundtable events) on the following cross-cutting themes: coherence, gender, local ownership, civil-military synergies, ICTs.
April – November 2016	Collection of best practices and lessons learned as part of the WOSCAP Community of Practice on key topics
December 2016	Best Practices reports to be published, which identify ideas, problems and challenges for EU peacebuilding which will require further conceptualisation, analysis and problem-solving beyond the life of this project. This will contribute to outlining a set of research priorities at multiple levels of analysis and decision-making.
June 2017	Roundtables in Georgia, Ukraine, Mali and Yemen to discuss the case study findings and provide input to the policy recommendations. Involves a cross-section of stakeholders, including EU regional representation, local and (where relevant) international security sector representatives, relevant regional organisation, local UN agency, local civil society, relevant local government agencies.
August 2017	Policy Recommendations Paper outlining the key recommendations to the EU based on the assessment and review carried out by the project.
September 2017	A series of policy dialogues in Paris, The Hague, Madrid, Berlin and London
October 2017	International Conference

4.3.1 Planned Review of EU policy at the institutional level (D4.6)

During 2016, a qualitative review will be carried out amongst relevant EU policymakers and staff in Brussels to assess the institutional framework in relation to the EU's Whole of Society Approach to conflict prevention and peacebuilding, to complement the case studies. This review will be finalised in November 2016, based on interviews (face to face or by Skype) with policy-makers by IRENE's team between May and November.

WOSCAP has an interest in the EU's views on the following transversal questions/issues:

- Regarding, the cross-cutting themes addressed in the WOSCAP project, what were the gaps or operational difficulties regarding the understanding of these concepts (that are part of the EU's discourse) – within the EU and with external actors? To what extent does the EU action lack concrete guidance, strategies and structures for implementing such concepts and norms?

⁴ IECEU and EU-CIVCAP are two other consortia funded from the same call BES12-14, working towards improving the EU's conflict prevention and peacebuilding capabilities.

- What are the experiences in the EU's efforts of transitioning towards longer-term financing of projects regarding conflict prevention and peacebuilding, especially under the IcSP?
- What are the experiences and examples of the EU's mechanisms and procedures for coordination/cooperation with third parties that have been effective on the ground? And on the contrary, what have been the main obstacles or mistakes for effective cooperation with other actors on the ground? (best practices)