Theories of change

Vision

Project

PME journey

Peacebuilding work

Expertise

Process indicators

Project level

Monitoring

Documentation

Evaluation

User manual

Milestones

Activities

Impact

Planning

Input

Planning
Monitoring
Evaluation

PME Guidelines for Projects and Programmes of GIZ's Civil Peace Service

CONTENTS

List of acronyms

DNH	Do no harm
MoU	Memorandum of understanding
MSC	Most significant change
NP	National personnel
PGM	Professional Group Meeting
PO	Partner organisation
PÖK	Brief political and economic analysis
RPP	Reflecting on peace practice
TLS	Joint country strategy
ToC	Theory/theories of change

Terminology PME

Deutsch	Abk.	English	Abbr.
Akteursanalyse		Actor/Stakeholder analysis	
Akteursgruppen		Groups of actors	
Aktivität		Activity	
Arbeitshilfen		Manuals/Tools	
Best practices		Best practices	
Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung	BMZ	Federal Ministry for Economic Cooperation and Development	
Do No Harm	DNH	Do No Harm	DNH
Effektivitätskriterien		Effectiveness criteria	
Evaluation		Evaluation	
Friedensakteur		Peace actor	
Friedensvision		Peace vision	
Gender		Gender	
Handlungsanweisungen		Instructions	
Impact		Impact	
Konfliktakteur		Conflict actor	
Konfliktanalyse		Conflict analysis	
Konfliktkontext		Conflict context	
Konfliktsensibilität		Conflict sensitivity	
Konflikttransformation		Conflict transformation	
Konflikttypologie		Conflict typology	
Kontextanalyse		Context analysis	
Koordinator/in	KOR	Coordinator	
Leitfaden		Guideline	

List of acronyms

Lessons learned	LL	Lessons learned	LL
Lokale Fachkraft		Local expert	
Meilenstein		Milestone	
Memorandum of Understanding	MoU	Memorandum of Understanding	MoU
Menschenrechte	MR	Human Rights	HR
Messen		Measure	
Methoden		Methods	
Normative Leitlinien/ Handreichungen		Normative guidelines	
Outcome		Outcome	
ÖZ-Antrag		Local subsidies	
ÖZ-Bericht		Local subsidy report	
Partizipatives Monitoring		Participatory monitoring	
Partnerorganisation	PO	Partner organization	PO
PeaceWRITLarge		PeaceWRITLarge	
Planung		Planning	
Planungsworkshop		Planning workshop	
Politökonomische Kurzanalyse	PÖK	Brief political and economic analysis	PÖK
Programm		Programme	
Projekt		Project	
Prozessindikator		Process indicator	
Querschnittsthemen		Cross-cutting issues	
Reflecting on Peace Practice	RPP	Reflecting on Peace Practice	RPP
Ressource		Resource	
RPP-Matrix		RPP matrix	
Soll-Ist-Abgleich		Comparing target and performance (values)	
Success stories		Success stories	
Theory of Change	ToC	Theory of Change	ToC
Trägerübergreifende Länderstrategie	TLS	SCP country strategy	
Wirkung		Result/Outcome/ Impact	
Wirkungsanalyse		Impact Assessment	
Wirkungsannahme		Results hypotheses	
Wirkungsebene		Results level	
Wirkungskette		Results chain	
Wirkungslogik		Results model	
Wirkungsmonitoring		Results-based monitoring	
Wirkungsorientiertes Management		Results-based management	
Wirkungsorientierung		Results orientation	
Wirkungsverständnis		Understanding of results	
Wirkungszusammenhang		Causal link	
Wissensmanagement		Knowledge management	
ZFD-Fachkraft	FK	CPS expert	
Zielgruppe		Target group	
Ziviler Friedensdienst	ZFD	Civil Peace Service	CPS

Legend

△   Optional PME steps

▲   Mandatory PME steps

→   Reference to other stations and further reading

          Reference to conflict sensitivity, gender and the human rights-based approach (how can we incorporate them?)

          Reference to time and person(s) responsible (who does what and when?)

I.   Introduction

PME is important, but …

… it takes time and involves a great deal of extra effort, something I barely have capacity for given my existing workload.
… I just don't know how to go about it properly and what it requires of me in the first place.
… there are so many different PME methods and instruments – which ones are relevant in a Civil Peace Service/GIZ context? Each country seems to have its own way of doing things. And I also find it difficult to understand and link the different results[1] levels and levels of operation. Often, I don't really know where I am at any given moment.

These are the kinds of **questions and concerns** raised time and again by Civil Peace Service (CPS) experts and programme coordinators in the context of PME. How do we bridge the gap between the programme and project levels? How can we ensure that strong causal links within the programme design processes and in the cycles of the individual countries (country strategy – programme planning – project placements – planning workshop – reporting formats) are leveraged and mapped in day-to-day project work? Where and how are the contribution and role of the partner organisations (POs) recorded? What contribution can CPS experts make and how is this contribution measured? Where are cross-cutting themes anchored?

What is needed is a **reference framework** to provide reliable information on the practical application of planning and monitoring instruments within GIZ/CPS and, in light of the range of experiences, to enable a common understanding of results orientation to be established. PME is a key and integral part of our peacebuilding work. Without reflective planning, monitoring and evaluation, it is impossible for us to meaningfully map our contribution to peacebuilding, or measure it in the long term and communicate it externally. As such, access to PME is also a question of attitude. Critical reflection on one's own actions and approach to conflict is the basic prerequisite for effective conflict transformation and the *conditio sine qua non* for planning, monitoring and evaluation. These Guidelines are designed as an **aid** for day-to-day PME work in programmes and projects. They are intended to ensure standardised use of a results-based PME system at GIZ/CPS, and to mainstream planning, monitoring and evaluation as an integral part of peacebuilding work.

This document is divided into **two parts**. Part one (**core document**) outlines the conceptual approach to PME at GIZ/CPS and explains how programmes, projects and POs interact. In order to ensure the coherence, comparability and quality of PME activities at GIZ/CPS, the Guidelines set out mandatory steps in this part. Part two presents a number of **working aids,** providing practical examples and a collection of guidelines and reporting formats that are geared to the experiences of the various countries and have proven their effectiveness in several different contexts.

From a metaphorical perspective, the working aids are the rungs on the ladder. They provide a firm anchor, much like you use the rungs on a long ladder to hold you securely as you scale a high wall. This part of the Guidelines will be adapted, supplemented and modified on an ongoing basis in the coming years against the backdrop of continuous learning processes.

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[1] For a definition of results, see the Glossary.

Structure of the core document

The core element of the document consists of four sections: I. Introduction, II. Understanding of results, III. Processes, IV. Methods and Instruments. Section V contains the working sids with instructions, reporting formats and examples.

Section I provides an introduction to the topic and explains how the Guidelines came about.

Section II provides an overview of results of CPS's work with its partners and defines key building blocks and terms.

Section III presents the different PME processes within GIZ/CPS: where, when and with whom are PME activities carried out within GIZ/CPS?

In Section IV, we take readers on a fascinating journey into all the facets of PME. The eight stations on this trip represent key building blocks in GIZ/CPS's understanding of results. The journey begins with conflict analysis (Station 1), followed by the vision for peace at impact level (Station 2), the elaboration of *theories of change* (ToC, Station 3), the drafting of outcomes (Station 4) and the corresponding process indicators (Station 5), before reflecting on peace practice (RPP, Station 6) for a while, as part of which the RPP matrix is presented as the central instrument for categorising PME, and moving on to monitoring (Station 7) and the evaluation (Station 8) of projects and programmes. Each station on the journey explains what the respective step entails, how it fits into the results model, which elements are mandatory and which are optional, and what contribution CPS experts, CPS coordinators, local experts and other actors are making and where.

Section V provides working sids for travelling along the eight stations.

In order to make the Guidelines more user-friendly, the individual stations are designed so that they can also be read independently of the other stations. Account is taken at each station of conflict sensitivity, gender equality and a human rights-based approach as essential maxims of CPS.

How the Guidelines came about

The Guidelines originated at the 2015 and 2016 meetings of CPS coordinators in Königswinter. They take reference to already existing documents on PME of GIZ/CPS (and other CPS Consortium member organisations) and build on the reform document "Ziviler Friedensdienst – Grundlagen, Akteure, Verfahren" (Civil Peace Service – Basic Principles, Actors, Processes), dated February 2014 (German only), which serves as an aid for PME work for the Consortium CPS member organisations. The Guidelines also integrate the analysis of a detailed survey of CPS coordinators with regard to different PME instruments and processes of the country programmes. Further dialogue on PME processes and reporting formats took place within a virtual community (PME at GIZ/CPS). On this basis, the first draft versions of the Guidelines were presented and discussed at a validation workshop. These Guidelines are the result of a long, participatory clarification process and intense conceptual deliberations.

At this point, we would like to thank everyone who has actively supported us in producing these Guidelines. We hope they will answer key questions and prove useful in practice. Most of all, however, we hope that PME will be seen in future as more of an exciting and creative process rather than a burden, a process that brings actors in conflict contexts, local partners, CPS experts and programme managers closer together.

II. Results of the cooperation between CPS partners

Understanding of results and normative guidelines

Partner countries of CPS Consortium organisations worldwide

Let's talk about results! [2]

Change for Peace is the title of a book by GIZ/CPS in which CPS experts from Europe and partner countries tell stories of the changes that they and the other stakeholders have experienced around the world as a result of their work in CPS country programmes.[3] It contains subjective and compelling reports, based on the experiences of the individuals concerned, on peoples' lives, the history and nature of the local conflict, as well as the effect that CPS's work is having on the people, their daily interaction with one another and their ability to deal with the conflict.

'Telling stories about change' is a narrative means of analysing and substantiating results, and envisioning peace. It is a significant and effective PME method. When they are written well, we find that stories and news articles on the changes planned and achieved through CPS measures can be comprehensive and informative, providing helpful critical analysis. These Guidelines support narrative accounts[4] as a method for gaining insights into results and make reference at several points to corresponding processes.

At the same time, other methods have their place, too. In order to fulfil the requirements of **results-based CPS programme management**, in addition to narratives it is necessary to also have more formalised and standardised forms of presenting results. While it may be unfortunate that "change stories" that follow formalised and standardised reporting schemes may at times loose some of their vivid realism, this is the only way to make them compatible for communication with partners, clients, commissioning parties and donors, as well as with specialist groups.

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[2]   In the English version of these Guidelines for PME the term "result" is used for the German term "Wirkung". Correspondingly, for the German "Wirkungsannahme" we use "result hypothesis" in English; see also the glossary.

[3]   Partner countries of all CPS organisations worldwide, see map (as at: 31 August 2017).

[4]   For a definition of narrative, see Glossary.

Below, we present key terms and building blocks in GIZ/CPS `s understanding of results, illustrated by means of a country example.

Components of our understanding of results

The diagram shows the components of our understanding of results. They are presented in the following overview and explained in more detail in Sections III and IV. At the end of this sub-section and then in more detail in Section IV, Station 6, we will outline how working with the RPP matrix[5] enables us to combine these components to form a central PME and results-analysis instrument. We begin with the component of 'conflict dynamics', as this is where all CPS projects start, and follow the wheel in a clockwise direction. The normative guidelines of CPS work, towards which our understanding of results is oriented, are addressed afterwards.
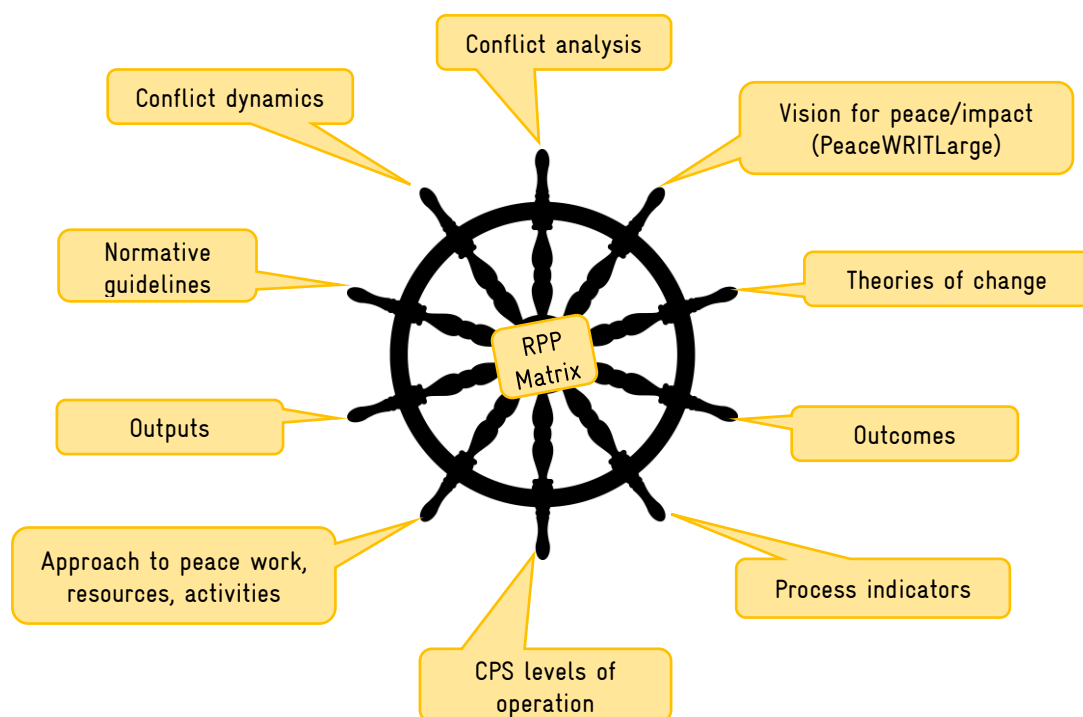
Conflict dynamics component

By conflict dynamics, we mean the **interaction between a range of factors in the emergence and progression of a conflict**. These factors include the behaviour of individual groups of actors (e.g. conflict parties), the corresponding causes of such behaviour, and the specific circumstances within the natural and social environment of those affected (e.g. environmental degradation or social discrimination). Such factors influence each other and can serve to escalate or mitigate conflict over a given period of time. The knowledge and understanding of conflict dynamics are a basic prerequisite for determining and reviewing the intended programme results in the PME process. It is with the conflict analysis that this prerequisite is generated.

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5   For a detailed explanation of RPP, please see Section IV, Station 6, the Glossary and Manual 2.

Introduction

Conflict analysis component

Conflict analysis is a method to depict conflict dynamics. It provides the basis for programme and project planning. By way of example, the following two diagrams show parts of a conflict analysis in a border region between Benin, Burkina Faso and Niger, where violent land-use conflicts arose over a long period of time[6]. The analysis uses key words to represent the following: violent conflict between migratory herders from the three countries and settled farmers; the environmental and economic importance of livestock breeding in the region; the pressure placed on natural resources by population growth, environmental degradation, overuse, water shortages and extractive activities; the influence of poor governance, communal mismanagement, political instability and armed conflict in the border region.
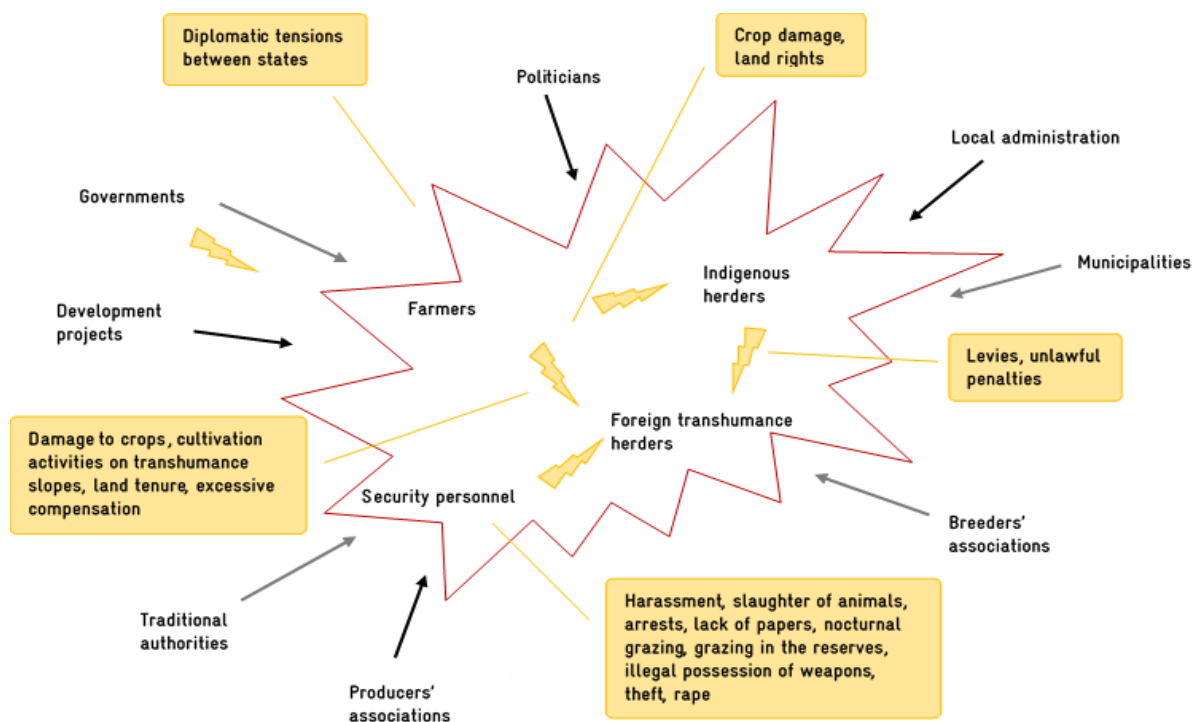
Conflict typologies, diagram based on: Konflikte im Zusammenhang mit grenzüberschreitender Transhumanz in Niger, Burkina Faso und Benin ('Conflicts in conjunction with cross-border transhumance in the Niger, Burkina Faso and Benin'), documentation of a CPS project in 2006 (German only).

Part of the conflict analysis is the **actor or stakeholder analysis**, which shows stakeholder groups with their interests, relationships, strategies, conflict perceptions and power base: indigenous and foreign migratory herders, settled farmers, forestry administration, park rangers, customs officials, municipalities (mayors and local councils), governments, breeders' associations, national and international development partners.

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[6]   From: Konflikte im Zusammenhang mit grenzüberschreitender Transhumanz in Niger, Burkina Faso und Benin ('Conflicts in conjunction with cross-border transhumance in the Niger, Burkina Faso and Benin'), documentation of a CPS project in 2006 (German only).
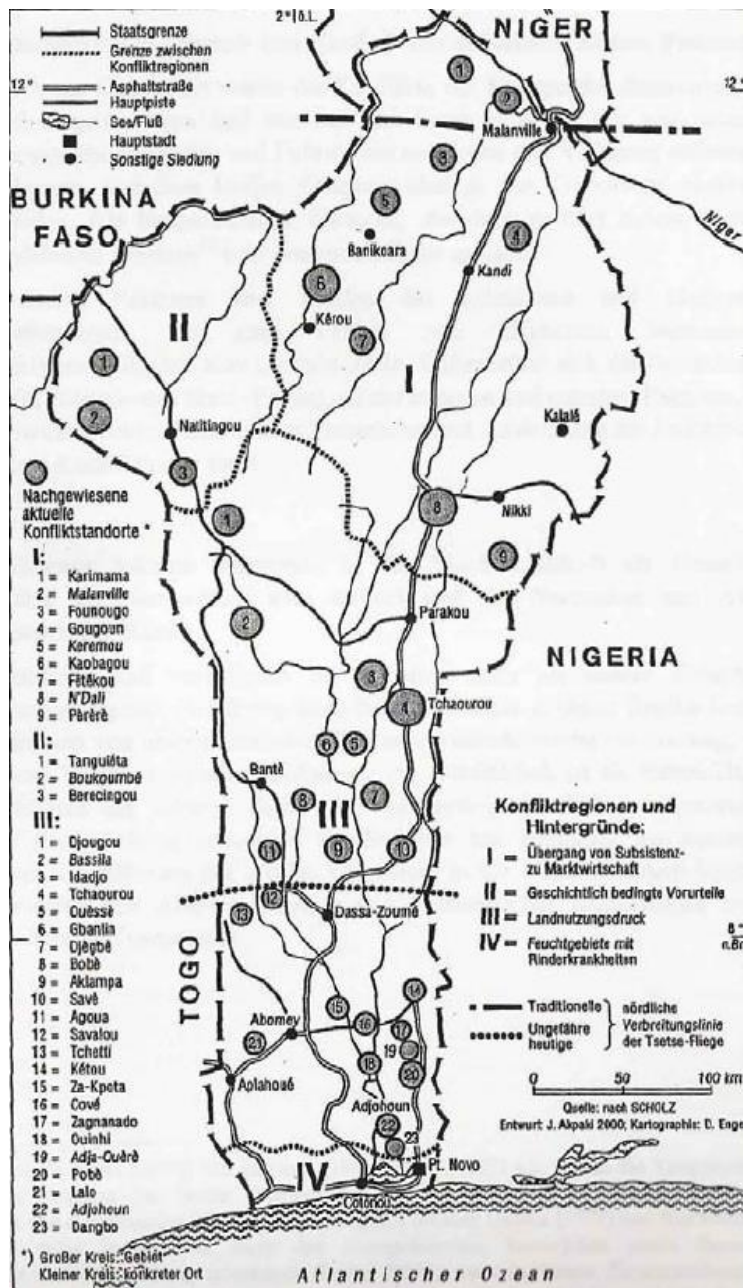
Conflict regions in Benin; from Akpaki, J.: (2002): Ackerbauern und mobile Tierhalter in Zentral – und Nord–Benin, Landnutzungskonflikte und Landes-entwicklung ('Farmers and migratory herders in central and northern Benin, land-use conflicts and regional development') (p. 37), Freie Universität Berlin, Berlin (German only).

Spatial analysis identifies conflict regions along with their specific contexts, for example, transition from subsistence to market economy or historical and climate-related factors. Overall, the conflict analysis describes a set of social, political and economic causes and effects which change over time and as such drive the conflict dynamics. The conflict analysis provides a snapshot of the situation and must be reviewed and, if necessary, updated, on an ongoing basis during the programme period.

Vision for peace component

By impact, we refer to the long-term, **overarching results of a CPS programme**. They are plausible, projected results of the CPS programme that stretch beyond the programme's immediate sphere of influence and, often, continue after the programme has been implemented. The impact of CPS's programmes is the planned or assumed contribution to the *vision for peace*, which is formulated by the CPS programme for the conflict region against the backdrop of the conflict analysis. It is defined in cooperation with local partners. Generally speaking, CPS programmes contribute to changing current conflict dynamics with a view **to reducing violence and promoting positive peace**. With regard to the 17 Sustainable Development Goals (SDGs) of the 2030 Agenda, the impacts of CPS programmes can be considered local contributions to SDG 16 ('Peace, justice and strong institutions').

Theories of change component

Each CPS programme works from specific assumptions about how **change can be initiated in local conflict dynamics** and how violence can be reduced and peace be promoted in the conflict in question. We refer to these assumptions about how to initiate change in a situation described in the conflict analysis as *theories of change* (ToC).

Introduction

Within a CPS programme, theories of change:

- make our assumptions explicit as to how the given conflict dynamics (as described in the conflict analysis) can be changed with respect to the vision for peace;

- are a number of **assumptions about effects**[7] (of a process or a status) that are formulated either as causal or (more often) as conditional statements;

- make **two types of statements about how to reach results**:
    1. Statements about those conditions and drivers of the conflict which — if they were in place or altered — could change the conflict towards reducing violence and positive peace; in other words, statements on necessary changes or prerequisites in the conflict dynamics and their effect on conflict transformation. We refer to such statements about reaching results as **transformative theories of change**.
    2. Statements about what resources, activities and target groups (approaches to peace work) are adequate for changing the identified conditions and drivers within conflict dynamics; that is, statements on the required resource deployment and activities as well as their leverage to attain the intended changes in the conditions and drivers of a given conflict. We call this type of statements about reaching results **interventional theories of change**;

- are, as such, in their broadest sense[8] **theories of conflict transformation** for the region in which CPS works;

- adopt — in the case of the transformative theory of change - an analytical approach and the perspective of an applied peace and conflict research with no regard for any planned interventions (programmes) and only determine programmatic intervention approaches in a second step on grounds of interventional theories of change;

- link theories of change to a set of interrelated results (a results model) with a focus on **systemic interaction** rather than linearity.

To formulate a ToC, we must begin by asking the question: What needs to change in the conflict-laden society and the conflict region in order to reduce personal and structural violence and pave the way for a positive peace? In other words, what are the prerequisites for setting the conflict transformation in motion and consolidating it over time? This key question is answered and substantiated in detail with reference to the conflict analysis, with the application of conflict-theory and peace-policy expertise, as well as with expert input from local partners.

Outcomes component

When we speak of the outcomes of a CPS programme, we are initially referring in very general terms to the objectives that a CPS programme in a given country has set for itself.[9] In more conceptual terms, we understand the outcomes of a CPS programme as the intended or unintended **changes in conflict dynamics** — initiated and driven by the CPS programme. We are dealing here with changes that would justifiably not have come about without the CPS programme and the deployment of CPS resources. In addition to intended and unintended outcomes, we also distinguish between positive and negative outcomes. Programme outcomes are considered positive if they change the conflict dynamics for the better, while negative outcomes counteract the intended

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[7]   Here, this wording is meant to be synonymous with the technical term "results hypotheses" as explained in the "CapacityWorks" manual of GiZ; see the respecitve term in the glossary.
[8]   See the Glossary for a definition of the term 'theory'.
[9]   For the distinction between a *programme* and *a project*, see section III.

results of the CPS programme. As such, we use the term **outcome** to refer to the changes in conflict dynamics intended or actually achieved by CPS and its partners, **changes which arguably can be attributed to the activities of the CPS programme**. In this context, we speak about direct results, as distinct from impact, which refers to the indirect, longer-term results of a programme. Intended outcomes are derived from the conflict analysis and based on an understanding of the required transformation processes. CPS programmes generally aim to achieve two to three outcomes.

The outcomes of a CPS programme can entail changes in the behaviour, attitudes and perceptions of conflict parties or those affected by the conflict. Programme outcomes may also refer to projected changes in structures or social and institutional conditions. If a situation is stabilised or prevented from worsening, this too is considered an outcome. As explained in detail later in these Guidelines, we distinguish between results/outcomes on an **individual/personal level** and results/outcomes at **socio-political level**. In this regard, we are oriented to the RPP approach.[10]

Process indicator component

Process indicators show the **progress achieved during the course of a conflict transformation process** with regard to a specific target. In the PME process, they describe how intermediate steps can be pinpointed on the way to the intended result and/or how these steps can be monitored and measured (operationalised). Process indicators can be adjusted or supplemented by other indicators over the course of the programme (without submitting a modification offer to BMZ). This distinguishes them from programme outcomes, which can only be changed by submitting a modification offer to BMZ. During the project implementation phase, that is, during the project term, the aim is to monitor the status of the programme, with reference to the process indicators, in regard to the intended results/outcomes. In so doing, analysis is conducted of the latest developments in conflict dynamics or of changes in resource-deployment requirements, and consequences drawn for adjustments in the programme's implementation (monitoring). The documented results from the monitoring process form the basis for accountability and learning.

CPS levels of operation component

The different levels of operation are as follows: 1) The CPS Consortium as an umbrella body for all CPS organisations, 2) the GIZ/CPS programme, and 3) the GIZ/CPS project. In order to arrive at an objective and differentiated understanding of PME and results, it is necessary to put the components in context with the three levels of operation. These Guidelines do so at many points, but especially in the presentation of the PME processes in Section III.

Approach to peace work, resources, activities component

An approach to peace work is a particular kind of peacebuilding effort that is distinct from others. Within CPS, the idea of an approach to peace work appears in two different contexts. The first is at the level of the CPS Consortium of a country, where the **joint approach to peace work** forms part of the CPS organisations' joint country strategy (TLS). The second is at project level, where each CPS organisation may follow a particular approach for peace work. In both cases, the approach to peace work specifies where and at what level CPS or, in our cases, the GIZ/CPS intends to get

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[10]   More information on RPP can be found further below.

involved and deploy its resources in the country concerned.[11] In both contexts (joint country strategy/TLS and implementing projects), the approach to peace work is determined by the answers to the following questions:

- How can CPS leverage the identified potentials for peace in order to achieve the intended results? What strengths and weaknesses come into play in this context? For example, certain CPS organisations and projects prioritise governments and administrations as **cooperation partners**, while others focus on religious or secular civil-society organisations. This process involves identifying the actors and **target groups** relevant to the peace process and to which the programme's activities and services should be primarily geared. The approach to peace work is operationalised by deploying specific **methods** and conducting activities. The experience and skills of the CPS Consortium organizations and of the actors at project level and their understanding of their own roles, play a key role in the selection of appropriate methods and activities.

- Why do relevant actors believe that intended outcomes can be achieved by the chosen approach to peace work? How do given resources match up with the interventional theories of change? As such, the approach to peace work **explains** why the chosen interventions (i.e. the services provided, activities carried out, human and financial resources, expertise and social skills, materials and equipment) are able to bring about the planned peacebuilding changes in a given conflict.

- What is the role of partners, CPS experts and other resources in this context? How can synergies with other actors be generated and leveraged? Approaches to peace work also differ with regard to the **model of cooperation** with partner organisations and other actors (→ Section III).

In a CPS programme, outcomes and approach to peace work of a CPS programme are intertwined. On the one hand, the outcomes of an attempted conflict transformation relate to the conflict dynamics and conflict analysis. On the other hand, the programme can only achieve those outcomes that lie within the **scope of the chosen approach to peace work**.

CPS uses a range of **resources** to initiate and achieve the desired changes by means of different project activities. These resources include finance, materials and equipment, the technical, social and advisory skills of the deployed CPS experts and the CPS Consortium organisations as a whole, and the expertise of local partners.

Activities are the operational actions in the day-to-day work of the project. Their content is derived from the defined outcomes and they are largely determined by the programme's approach to peace work.

Output component

Outputs are the **products** (goods) and **services** produced through the activities of the CPS programme. The outputs of the programme can be recorded in a specification of quantities: Outputs are the number and type of activities carried out during programme implementation (training, information/awareness-raising campaigns, meetings and dialogue platforms for conflict parties, networking initiatives, radio broadcasts, etc.). They also include the number/proportion of individuals reached through an activity or cluster of activities (e.g. the number of people taking part in an

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[11]   See the document Ziviler Friedensdienst (ZFD). Grundlagen, Akteure, Verfahren ('Civil Peace Service – Basic Principles, Actors, Processes'), 2014, especially sections 5, 5.1 and 3.1/p. 3 (German only).

educational measure). Outputs can also be material in nature, for example, the number of documents (manuals, brochures, etc.) translated into local languages, or local infrastructure created in cooperation with partners that plays a significant role in conflict transformation (e.g. wells).

In the following scheme of a programme intervention logic the outputs are found **after** activities and before outcomes:

Input (resources) → Activities → Outputs → Outcomes → Impact.

As such, the outputs are located at the level of the **project activities** and form part of the programme implementation process. The outcomes, on the other hand, describe changes in the **conflict dynamics**.[12]

RPP matrix component

The RPP matrix[13] is an **analytical and planning instrument** often used in peacebuilding work. We use it in these Guidelines as a means of placing the components of our understanding of results in a coherent framework. We have already depicted the connection between the components in the wheel diagram. Having determined the content of the individual components above, we are now able to show how they relate to one another within the RPP matrix.

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[12]   This is explained in more detail in section IV, Station 6 'RPP matrix– reloaded'.
[13]   See Glossary.

Introduction

Conflict transformation in the RPP matrix

Conflict analysis
(e.g. transhumance in Benin/the Niger/Burkina Faso)

More people | Key people

A QUADRANT A OF CONFLICT TRANSFORMATION

B

Changes at individual/personal level

- Attitudes
- Behaviour
- Knowledge, skills
- Interpersonal relationships and communication

Act interventional ToC

Factors of conflict & potentials for peace

Process indicators

transformational ToC

Out-come 1

Act interventional ToC

Factors of conflict & potentials for peace

Process indicators

transformational ToC

C

Changes at socio-political level

- Group & group relationships, dialogue
- Organisations
- Collective patterns
- Institutions, law
- Economic structures

Act interventional ToC

Factors of conflict & potentials for peace

transformational ToC

Process Indicators

Out-come 2

Out-come 3

Act interventional ToC

Factors of conflict & potentials for peace

transformational ToC

Process Indicators

D

Conflict dynamics

Impact / Vision for peace
Positive peace | Reduction in violence

Example: The extraction of resources and the use of natural resources in connection with migratory herding take place on a socially equitable, peaceful, sustainable, participatory and consensual basis.

Legend:

Act = Project activities | *transform. / intervent. ToC* = transformative / interventional theories of change | *Factors of conflict & potentials for peace* = Conflict-driving causes and conditions, as well as violence-reducing, healing and peacebuilding resources and forces, e.g. connectors and dividers in a do no harm context ➤ = Changes at the personal/individual level are important; however, to ensure that conflict transformation is sustainable, changes at socio-political level are essential for a long-term impact. These in turn affect the ➤ personal/individual level; changes among/by key people at socio-political level (Quadrant D) influence changes in Quadrant C and vice versa. | *Outcome 1–3* = Direct results planned or achieved during the programme/project term | *Process indicators* = Show how to identify the achievement of intermediate steps/milestones on the way to achieving the programme's intended outcomes.

Introduction

The RPP matrix is a **2x2 table** and is shown as a square with four quadrants (fields). The four fields are created by breaking down two dimensions (the horizontal and vertical sides of the square) into two categories. One dimension of the square distinguishes between two key target groups in peacebuilding initiatives: key people in the conflict context and other actors, including the broad population, affected by the conflict (more people). The other dimension of the square relates to the distinction between two key types or social 'levels' of change brought about by conflict transformation projects: Changes in/among individuals (personal/individual changes) and changes of a socio-political nature (changes in government policy or legislation, ceasefire agreements, and social norms and group relations).

The RPP matrix brings order to the 'confusion' and 'complexity' of conflict dynamics according to the aforementioned aspects. It places a conceptual grid over the conflict situation in order to determine prerequisites and points of intervention for successful conflict transformation processes and groups them systematically along the two dimensions of the RPP matrix table. The RPP matrix stretches out between the conflict analysis and the vision for peace/impact. With regard to these two points of reference, the changes in conflict dynamics considered necessary/desirable by the CPS programme, that is, the outcomes, are located in the four fields. Prerequisites or conditions – meant to be intermediate steps or milestones on the way to achieving the outcomes – can also be located. Depicting directions of action (if-then relations) between prerequisites and outcomes, and between programme activities and outcomes gives rise to a framework of theories of change: **a kind of conflict transformation theory** that underlies and guides the programme activities.

The RPP matrix supports the planning of approaches to peace work for conflict transformation and, subsequently, the monitoring and evaluation of programme and project implementation. It is helpful to structure answers to the following fundamental planning question: What is the most effective point of intervention where our organisation is well placed to influence conflict dynamics in the desired direction? The subordinate clause in the question is important: What are the strengths of our organisation? Self-understanding, expertise, resources? They certainly also include expertise for specific approaches to peace works and the prioritisation of normative guidelines.

Normative guidelines for results-based PME

Conflict sensitivity, gender equality and the **human rights-based approach** are key maxims of CPS. They are present in all phases of the PME process. We here take account of these values by briefly describing the PME processes presented later in Section IV in terms of these three normative guidelines.

Conflict sensitivity

Each intervention has an effect on the conflict. Despite the best of intentions, these effects can be both positive and negative. CPS programmes have a particular duty to critically reflect on the interaction between the conflict context and the programme interventions. Giving consideration to the positive and negative effects of one's own behaviour/one's own measures in conflict situations is one of the key guiding principles of peacebuilding work. To this end, we use the '**Do no harm' (DNH) approach** developed by Mary Anderson as a guide. This approach works on the assumption that, in every conflict, there are forces with potential for violence – i.e. they promote or perpetuate violence – as well as those with potential for creating peaceful solutions. The do no harm approach was originally developed for projects in the area of development cooperation and humanitarian aid (working in conflict). Because CPS's work is explicitly geared towards promoting peace (working on conflict), we seek not only to prevent harm (do no harm), but also, above all, to have a positive

effect on the conflict (do some good). Consequently, we prefer to use the more comprehensive term of conflict sensitivity in these Guidelines.

Conflict sensitivity refers to the ability of a programme

- to understand the context and the conflict situation in which the programme activities are carried out (→ Station 1: Conflict analysis);
- to understand the interactions between the programme's interventions, the conflict, and the relationships between the groups involved;
- to act, based on this understanding, in such a way as to prevent negative effects and achieve positive effects.

The conflict analysis provides the basis for conflict-sensitive action, focusing on identifying connectors and dividers. The twin concepts of connectors and dividers represent a key insight from the DNH approach and play a major role in selecting points of intervention (→ Manual 1: Conflict analysis tools). Additionally, projects and programmes always affect the context in question through their implicit and explicit messages.

Conflict sensitivity is often only reflected upon during the planning phase. However, it plays a key role at all PME stations, especially in the monitoring process, where activities and projects with a potentially negative effect must be adjusted accordingly.

Gender

The term 'gender' denotes socially assigned roles for men and women as well as other gender-defined groups, including LGBTI (lesbian, gay, bisexual, transgender and intersex), and, unlike the biological sex, is defined by socially acquired behaviour and expectations. Male and female roles are learned, change over time and differ from one culture to another.

Peace processes are not gender neutral. Men often have better access to decision-making processes and have more power than women, who (due, for example, to the collapse of economic structures or the disintegration of family and social networks) are frequently affected to a greater extent than men by physical and psychological violence. Nonetheless, the fact that women and men can be both the victims and the perpetrators of violence needs to be recognised.

Men and women in conflict contexts have different roles, identities, interests and needs. Peace projects should therefore help to promote equitable gender relations and address asymmetric power relations between the sexes. A challenge, which requires critical reflection, amounts from balancing the need for culturally sensitive approaches and the normative requirements of respecting human rights, without creating negative effects. Consequently, we must carefully weigh up the redefinition of gender roles in each situation.

Human rights-based approach

Compliance with human rights standards is a normative requirement of CPS (→ Station 2: Vision for peace as a film script). Human rights violations can be both the cause and the result of violent conflict[14]. In conflict-transformation and peacebuilding work, the human rights-based approach

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[14] See BMZ Information Brochure 7/2010, Human Rights in Practice. Fact Sheets on a Human Rights-Based Approach in Development Cooperation, in particular the Fact Sheet on Conflict Transformation. A Human Rights-Based Approach to Conflict Prevention and Peacebuilding; and BMZ 2013 Guidelines on Incorporating Human Rights Standards and Principles, Including Gender, in Programme Proposals for Bilateral German Technical and Financial Cooperation, BMZ Division 2014.

asks: Which risks to human rights to violation human rights risks could the respective intervention entail and how can these risks be avoided? It also addresses the issue of whether and, if relevant, how a programme can make a sustainable contribution to implementing human rights standards and principles. There are three key elements to the human rights-based approach:

Reference to human rights standards: Human rights standards are the human rights themselves (e.g. the right to food, education and training) and their so-called core elements. The most important core elements of economic, social and cultural rights are the availability, accessibility (in the sense of physical accessibility and financial affordability), adequacy and adaptability of material and non-material resources and values. Several treaties and conventions further specify human rights standards for different sectors of society and social institutions. A human rights-based approach turns attention to structural and cultural causes of conflict, highlights the role of the state, reveals power structures and access to and distribution of resources, and poses questions concerning responsibility and justice. This serves to clarify and highlight the role of the state as duty bearer and the role of civil society/citizens as rights holders. Human rights provide a binding and internationally legitimised normative reference framework for conflict transformation.

Reference to human rights principles: Human rights principles comprise participation and empowerment, non-discrimination and equality of opportunity, transparency, and accountability. They are listed in all international human rights treaties. CPS and its partners are also required to follow these principles. This is important with regard to both the weakest conflict parties, which are not able to articulate their own interests and needs in the conflict transformation process, and to the imperative to involve all conflict parties in the peace process, including actors violating human rights (impartiality). Sustainable solutions to conflict can only be achieved if all conflict parties are involved in the conflict transformation process. This is the only way to facilitate individual/personal and structural change. However, impartiality does not mean that the positions of all stakeholders are equal. While it is very important to involve violent actors in the conflict transformation process, this should not lead to unjust positions being legitimised.

Strengthening rights holders and duty bearers: Human rights involve rights and duties. The human rights-based approach is about strengthening the ability of rights holders (individuals/groups) to assert and claim their rights (empowerment) and enabling duty bearers (state institutions) to meet their duty to respect, protect and guarantee human rights (capacity development).

III. PME processes within CPS

This is where we make PME part and parcel of our daily work

Planning, monitoring, evaluation – Consortium, programme, project

This section provides an overview of the PME processes, procedures and formats used at GIZ/CPS. Processes, procedures and formats are organised in different ways. Consequently, we here describe them at the three levels of operation relevant to CPS, namely Consortium, programme and project. The diagram below shows the three aforementioned levels and a schematic, linear PME process, divided into a proposal, steering and evaluation phase. Here, the indicated three-year (benchmark) period relates to the project level. The fact that the processes take longer at

the Consortium and programme levels (usually five and four years respectively), is expressed in the diagram (see next page) with the proposal phase that precedes implementation.

Planning processes essentially comprise of the strategic plan of the Consortium, the programme plan in the proposal phase, the planning workshop at the beginning, and the operational plan during implementation at project level. At project level, the planning process is oriented towards the planning requirements at programme level, which exist in the form of programme outcomes and process indicators. The main items of planning at project level are (1) the specified project outcomes and process indicators (in terms of milestones), (2) the activities necessary for achieving the outcomes, (3) the necessary deployment of resources, (4) the timeline and (5) clarification of the contribution and role of the CPS expert, where available. Country directors and coordinators are involved in the planning processes at Consortium and programme level, while CPS experts and local experts (if available) are generally brought into the planning process at project level.

Monitoring processes run periodically from the first year of the project to just before the evaluation phase begins towards the end of the project. The planned outcomes at project, programme and Consortium level and the defined process indicators provide points of reference for these processes. The steering phase of implementation is characterised by identifying deviations between target and actual values and using corresponding measures to make adjustments. There are more formalised monitoring procedures and less formalised ones such as the professional group meetings (Fachgruppentreffen). The reporting formats – which cut across the three levels of operation – especially the CPS expert/NP report, the local subsidy report, the coordinator report and the BMZ technical report, play a key role in preparing and presenting the results of the monitoring activities.

Evaluation processes concern the preparation, implementation and reporting activities of a programme and project evaluation. An evaluation tends to be a one-off event, usually in the final phase of a programme/project, although evaluations are sometimes also scheduled half way through the project term (mid-term evaluation). Evaluations have a strict time frame, follow a strict method, and are often supported or implemented by external experts. In this case too, the basic points of reference are the planned outcomes of the project or programme, though there are also so called open procedures that include alternative outcomes in the evaluation. All procedures and reporting formats used by CPS for monitoring purposes also play a key role in the evaluation process.

PME processes within CPS

PME processes at three levels of operation of GIZ/CPS[15]
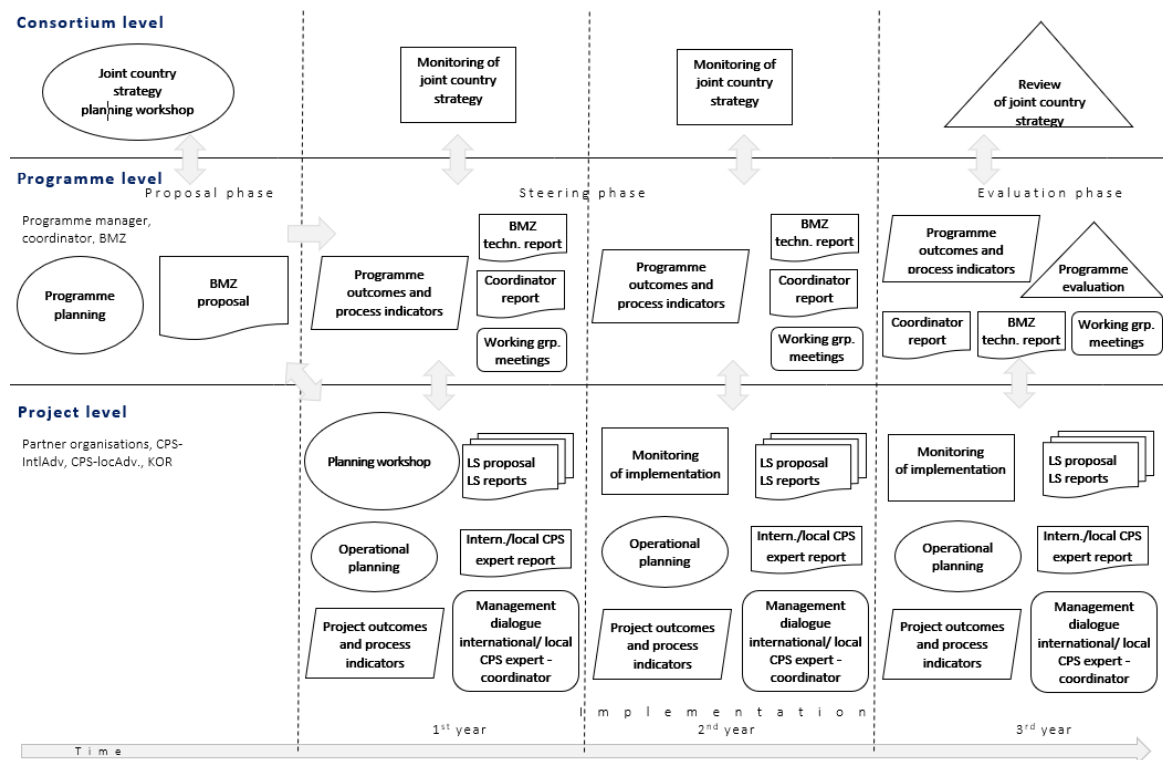
PME processes progress over time. It is sometimes helpful to represent the temporal progression in a linear fashion, as in the above diagram depicting the proposal, steering and evaluation phases. However, it is often appropriate to think of and represent the temporal progression in cyclical form. For example, planning and monitoring activities in the PME process run on a cyclical or rolling basis at six-month intervals and frequently occur in parallel to one another. This must always be taken into account in our explanation of the PME processes.

The PME processes with corresponding procedures and formats are described according to the three levels of operation in more detail below. We begin with a presentation of the different levels and then explain the PME processes specific to each level.

Consortium level

The CPS Consortium brings together nine German peace and development organisations. In addition to GIZ as the sole state actor, there were eight church and civil-society organisations involved in 2017. The CPS organisations have worked with BMZ to draft principles on goals and values, quality standards and results-oriented management to guide the work of each CPS organisation[16]. This also includes requirements for the CPS organisations' joint country strategy, for the results orientation of CPS`s work, for its value orientation towards gender, human rights and conflict sensitivity, and for proposal and reporting procedures with Engagement Global and BMZ.

By **Consortium level**, we mean on the one hand the interactions between the **CPS organisations** that are active in a partner country, and between these agencies and **BMZ**; on the other hand, the results of these interactions (e.g. the fully formulated CPS organisations' joint country strategy).

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15   See also → Manual 19: Overview of PME processes.
16   Contained in the document Ziviler Friedensdienst – Grundlagen, Akteure, Verfahren ('Civil Peace Service – Basic Principles, Actors, Processes') (German only), February 2014.

Actors in this context are the officers responsible at BMZ and those responsible for the general and country-specific programme design at the CPS organisations – in the event of existing cooperation between GIZ/CPS and a partner country, in close consultation with the local programme coordinator. It is at Consortium level that the intended results of CPS`s work in a country are formulated in the CPS organisations' joint country strategy and, ideally, in a way that firstly makes specific reference to the unique aspects of the local conflict dynamics and secondly enables the CPS organisations to record their own respective programme outcomes as an objectively justifiable contribution to the intended outcomes of CPS's work in the country as a whole.

Programme level

We use the term 'programme' to refer to a CPS measure that has been approved by BMZ for a given country (in a small number of cases for a cross-border region) as the result of a proposal submitted by GIZ/CPS via BMZ's Engagement Global initiative. The following content of a CPS programme is particularly relevant for PME: its allocation within the CPS organisations' joint country strategy, including in this case its contribution to the planned impact; the (anticipated) direct results (outcomes); the programme's underlying assumptions regarding key causal links between results (results model of the programme); the coordination and cooperation with local and other actors and, finally, the finance plan.[17]

The **programme level** is the level of the proposal submitted to BMZ via Engagement Global (BMZ proposal), that is, the **proposal management** level. The actors in this context are the CPS programme managers at Head Office and in the partner country, the responsible (current or future) contacts at the PO and the responsible individuals at BMZ and Engagement Global. The programme level is the interface between the specific partnerships (projects) and the CPS organisations/the CPS organisations' joint country strategy. The CPS coordinators have a central role here. At programme level, the intended programme results are **specified** in the BMZ proposal as impact and outcomes. It is the task of the CPS programme managers to negotiate the programme outcomes with the partners and BMZ in such a way that their link to the CPS organisations' joint country strategy is technically sound. At programme level, it is also necessary to ensure and justify the fact that intended results that arise over the course of the programme and, potentially, in different sub-projects, constitute relevant contributions in the results model and, by extension, contributions to the programme outcomes agreed with BMZ.

Project level

A 'project' is the specific partnership with one or more PO in the context of a programme. There are **several different cooperation models available at GIZ/CPS**: 1) a CPS expert advises a PO from within that PO, 2) a CPS expert advises several PO on one topic; 3) a CPS expert advises networks or interest groups directly. Models 1) to 3) can be employed in tandem with a local expert or national personnel; 4) a PO receives local subsidies without a direct connection to a CPS expert.

As such, we use the term 'project level' to refer to the interaction between all actors who are involved in **implementing the programme locally** and/or who are affected by its implementation. This includes PO actors and their network, the different target groups and CPS staff locally. The activities and measures envisaged by the programme are implemented at project

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[17]   The terms 'programme' and 'project' are used in different ways within the CPS joint endeavour. It is particularly important to note that BMZ and Engagement Global use the term 'project' to denote a 'programme' in the aforementioned sense ('project title', 'project no.', etc.)

level. The intended results of projects must be consistent with the outcomes formulated for the programme in the BMZ proposal. Nonetheless, the local organisational context in which the programme is implemented sometimes entails a **differentiation in the results orientation**, something that the PO and the national CPS staff, in particular the CPS experts/local experts within the PO, must learn to deal with. It can be helpful on the one hand to define results for individual (sub-)projects, which, while they may have a justifiable link to the intended outcomes of the programme, are not identical to those outcomes. On the other hand, PO usually pursue other, additional goals that do not fall within the CPS programme's area of activity. In this case, the intended results of the CPS programme and the project activities, through which the required changes are to be initiated, are just one component of the PO's task portfolio (→ Station 4: Outcomes).

PME at the level of the CPS Consortium

As mentioned in the introduction to this section, PME at Consortium level generally covers a longer period of time (usually five years) than the corresponding term of a programme or project in the partner country.

Planning

In 2014, the CPS joint endeavour (ZFD Gemeinschaftswerk) re-standardised CPS organisations' joint country strategies.[18] In these strategies, the different German CPS organisations implementing CPS projects in a partner country agree on key aspects of the local conflict dynamics and identify resulting needs for peacebuilding. A conflict analysis for the respective country forms the basis for the above-mentioned country strategy; this analysis is usually commissioned externally. The strategy specifies the guiding framework and the target direction for the CPS organisations working in the country and describes the approach to peace work and fully formulated outcomes. A workshop with representatives of all the CPS organisations working in the country and with staff from the POs is to be held to elaborate the joint country strategy.

Monitoring and evaluation

The CPS Consortium provides for annual monitoring of the joint country strategy by those same CPS organisations in the country. At the end of its term (generally five years), or even earlier if the conflict situation requires, this country strategy should be reviewed in greater depth and revised if necessary. There are no explicit plans for an external evaluation, though one can be undertaken if required.

PME at programme level

Here, PME is divided into three phases: The proposal phase (planning), the steering phase (monitoring) and the evaluation phase (see diagram, p. 16; → Working Aid 19: Overview of PME processes).

Planning

At programme level, the BMZ proposal serves as a reference framework. It defines on a binding basis the direct results, i.e. the programme's intended outcomes. **Process indicators** are also listed in the BMZ proposal. They show how to identify intermediate steps on the way to achieving

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[18]   See footnote 12.

the programme's intended results; in other words, they describe how these intermediate steps can be monitored and measured. Process indicators can be adjusted or supplemented by other indicators over the course of the programme (without submitting a modification offer to BMZ). This distinguishes them from the outcomes, which can only be changed by submitting a modification offer to BMZ.

The BMZ proposal is the result of **programme planning**. The latter is strategic in nature and is implemented differently in the run up to submitting the proposal depending on the situation and requirements. In this way, it is possible to commission an external appraiser with programme planning, something which is done particularly often for programmes in a new environment, with new partners and on new topics. During the programmes' follow-on phases, the role of appraiser takes a back seat to the benefit of the local GIZ and partner staff, who, as experts in local matters and context, strongly influence the needs analysis and programme design. The CPS coordinators steer this planning process.

Analysis of local conflict dynamics (conflict analysis) is conducted at the start of the proposal phase and strategic programme planning. The conflict analysis of the joint country strategy and, often, the **brief political and economic analysis** *(PÖK)*[19] can be used for drafting the analysis, as is the latest information obtained locally. The identified peacebuilding needs, which lead to the formulation of intended results of the programme and its associated results model, are further planning steps. Of course, financial and resource planning are also included.

Monitoring

During the steering/implementation stage, the essential aim is to evaluate the status of the programme, with reference to the process indicators, in regard to the intended results/outcomes. In so doing, analysis is conducted of the latest developments in conflict dynamics or of changes in resource-deployment requirements, and consequences drawn for adjustments in the programme's implementation at project level. The documented results from the monitoring process also form the basis for accountability and learning.

Evaluation

GIZ/CPS strives to deploy internal or external appraisers to evaluate country programmes at the end of their terms (→ Station 8: Evaluation). It is also possible during the programme's implementation to analyse and process lessons learned.

Reporting

In the BMZ technical reports[20] (BMZ-Sachberichte) the coordinators report annually on the status and progress of the programme with regard to the intended results. In so doing, they use the relevant process indicators at programme level as a point of reference. Furthermore, in the coordinator reports to GIZ/CPS in Bonn coordinators report on positive and negative trends in cooperation with partners and identify lessons learned in their respective GIZ/CPS programmes.

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[19]   PÖK (Politökonomische Kurzanalysen) are commissioned reports prepared by the German Institute of Global and Area Studies (GIGA), a member organisation of the Leibniz Association. They describe current political, economic and social trends within a country.
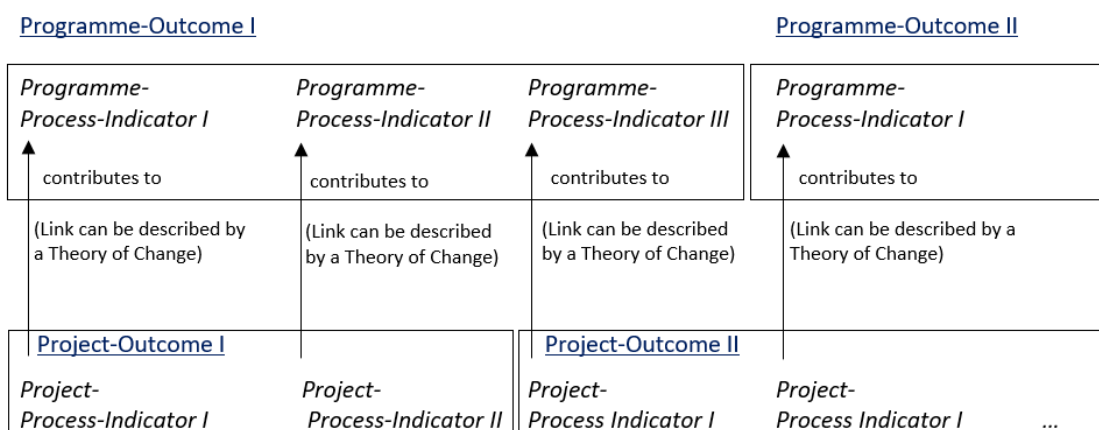
[20]   Interim status report and evidence of the use of funds.

PME at project level

Planning

The key planning instrument at the beginning of the project is usually the two to three-days **planning workshop** (→ Working Aid 3: Planning workshop). Topics comprise cooperation between CPS and PO, human resources (including clarification of roles/definition and/or adjustment of roles of CPS experts/local experts), target groups, obligations, workflows and time frames for cooperation.

The specific arrangements for cooperation between GIZ/CPS and the PO are agreed on in a mandatory **memorandum of understanding** (MoU) (→ Working Aid 5: MoU). The assignments of CPS experts (and local experts) have been planned in advance as part of the appraisal of **the project placement** (→ Working Aid 4: Appraisal of project placements).

Programme-Outcome I   Programme-Outcome II

Programme-Process-Indicator I	Programme-Process-Indicator II	Programme-Process-Indicator III	Programme-Process-Indicator I
↑ contributes to	↑ contributes to	↑ contributes to	↑ contributes to
(Link can be described by a Theory of Change)	(Link can be described by a Theory of Change)	(Link can be described by a Theory of Change)	(Link can be described by a Theory of Change)

Project-Outcome I		Project-Outcome II	
Project-Process-Indicator I	Project-Process-Indicator II	Project-Process Indicator I	Project-Process Indicator I ...

The planning workshop is centred on the elaboration of assumptions (ToC), the formulation of outcomes and process indicators at project level, and the allocation to outcomes at programme level. In the case of analyses of local conflict dynamics conducted further in the past, the conflict analysis should be updated in the run up to the planning workshop. In any case, there must be a conflict analysis in place to enable key components of the analysis to be discussed during the workshop and for particularly urgent changes in the existing results model to be drafted. The following diagram illustrates in abstract form the interplay between programme and project outcomes.

The planning workshop must establish a link between measures within the project and project outcomes, and identify a correlation between project outcomes and programme outcomes.

The PO contribute to the programme outcomes by means of their project outcomes and project process indicators. These contributions are best compiled in an outcome/impact overview (→ Working Aid 7: Project outcome monitoring; → Working Aid 8: Programme outcome monitoring) and should be updated on a regular basis.[21]

Additionally, the contributions of the CPS experts to achieving the project outcomes and project process indicators are negotiated and documented during the planning workshop. In so doing, it should be clear how the CPS expert contributes to achieving the agreed outcomes as part of

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[21]   The project outcomes and project process indicators agreed with the PO in the planning workshop must be subsumable under the programme outcomes and the programme's process indicators (see BMZ proposal). The outcomes at programme level must in turn be compatible with the target outcomes defined in the CPS organisations' joint country strategy at outcome level.

cooperation with the PO.

The planning workshop should be attended by the CPS expert, the local expert, the coordinator and all key people, in particular the management and the individuals from the PO who are responsible for M&E.[22]

A planning workshop is conducted even in the case of ad hoc cooperation with a PO that does not involve a CPS expert or local expert. This then takes a more streamlined format and primarily concerns the use of funding.

Operational action plans are drafted following on from the planning workshop. This may be carried out in the setting of an additional workshop or in other formats (e.g. at internal consultation meetings with local experts, CPS experts and other relevant PO staff). Operational planning meetings and/or workshops are attended by CPS experts, local experts and decision-makers, and/or key people for the CPS expert at the PO. When it comes to operational planning and the drafting of activity plans, it is not mandatory for the coordinator and the PO management to attend the meetings. CPS experts/local experts should ensure that blocks of time are planned into day-to-day business activities for the purposes of ongoing monitoring. Operational planning should be conducted regularly, ideally once a year.

The financial and operational planning of the PO's activities and projects is conducted by means of local subsidy applications[23] by the PO. The CPS expert and local expert should be brought in here to provide support. Further planning can be carried out at project level as required by means of additional meetings between CPS experts, local experts, the PO's key people and, if relevant, the coordinator.

In **operational plans** and professional group meetings, progress in the achievement of the programme outcomes is reflected on jointly using the programme process indicators. Assumptions (ToC), project outcomes and project process indicators are drafted at the **planning workshop** and updated at implementation monitoring events. In this context, the programme process indicators are regularly reviewed (→ Station 8: Evaluation). Where relevant, activities, assumptions (ToC) and programme process indicators must be adjusted based on these reflections.[24] The results of this participatory monitoring process should be fed into an overview of outcomes (including the status of process indicators), which can in turn be used for the BMZ technical report[25] (→ Station 7: Monitoring; → Working Aid 7: Project outcome monitoring; → Working Aid 8: Programme outcome monitoring).

In addition to the operational planning carried out with the PO, **professional group meeting (PGM)** are held three to four times a year, bringing together all CPS experts, local experts and the coordinators for several days each time. These meetings are another key platform for monitoring and steering implementation.

During the annual **management dialogue** between CPS experts or – if so intended for organisational purposes – local experts and coordinators, participants reflect on the assignment of the CPS experts/local experts in light of the contributions agreed at the planning workshop and

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[22]   Manual 3 contains further notes on the planning workshop.
[23]   Reports on GIZ/CPS projects financed through local subsidies.
[24]   The GIZ Capacity Works tool 'Strategy loop' can be used for this strategic planning/adaptation work.
[25]   The programme outcomes correspond to the direct results (outcomes) in the BMZ status report. The programme process indicators correspond to the process indicators in that report.

new target agreements are reached.

Monitoring

PO usually carry out their own PME process. However, for activities and measures financed by or organised in cooperation with GIZ/CPS, PO are required to report to the programme on outputs and on feedback from training and workshop participants. In this context, they relate the conducted measures to the project outcomes and indicators. Consequently, it is advisable to coordinate the general PME process of the respective PO with the CPS requirements of GIZ/CPS and/or involve the PO at an early stage in the development of a joint PME system in order to avoid additional work and gain an understanding of the necessary delivery of contributions in line with CPS's requirements.

Reports by the PO on local subsidies provide accountability concerning the outputs of the activities or of a project, and reflect the PO's contributions to the project process indicators of the project outcomes. Additionally, contributions to the process indicators and outcomes of the programme should be narratively documented (for example, with the aid of the most significant change (MSC) method as part of the local subsidy report) (→ Working Aid 14: Local subsidy report).

Operational planning and operational monitoring of activities are conducted in a number of different ways as part of everyday project work: between the CPS expert and the local expert, at joint meetings with additional PO staff, at joint meetings with the coordinator (e.g. regular meeting) or in larger team meetings (several CPS experts, local experts (both national personnel (NP) and PO staff), coordinators, etc.). The results of these meetings must be documented in a form that enables them to be fed into the PME system at programme level.

Evaluation

The evaluation reflects the progress of cooperation with the PO and retrospectively reviews the usefulness and success of deploying a CPS expert (or a local expert) and of cooperating with a PO from the perspective of GIZ/CPS. It is advisable to use impact and/or outcome assessments to retrospectively[26] evaluate completed projects of a PO (→ Station 8: Evaluation).

Reporting

On the basis of the local subsidy reports, PO report, ideally on an annual basis, on their activities and, using the project process indicators, on progress and the status of project outcomes. In this context, it is possible to use the *MSC* method as an integral part of the local subsidy reports in order to record changes at outcome level.

CPS experts and local experts report on their activities and contributions, and on the cooperation with the PO in their respective reports. They report on the degree of results achievement at project level and on the extent to which the project process indicators have been achieved and how much progress has been made towards achieving the project outcomes. At the same time, they relate in the report the steps that have been taken to the process indicators and outcomes of the programme. (→ Working Aid 10: CPS expert's report → Working Aid 11: NP report)

If no CPS expert or local expert is deployed and if cooperation with a PO only takes place on an ad hoc basis, then the respective local subsidy reports on joint activities and projects will suffice. There is then no need to report on an annual basis on local subsidies.

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[26]   For definition, see Evaluation section.

Lessons learned and success stories (→ Working Aid 16: Report on lessons learned workshop; → Working Aid 18: Success and learning stories) are documented at programme and project level and can be fed into the reports.

➡ **Relevant Working Aids**:
- [Working Aid 3: Planning workshop](#)
- [Working Aid 4: Appraisal of project placements](#)
- [Working Aid 5: MoU](#)
- [Working Aid 7: Project outcome monitoring](#)
- [Working Aid 8: Programme outcome monitoring](#)
- [Working Aid 10: CPS expert's report](#)
- [Working Aid 11: NP report](#)
- [Working Aid 13: Local subsidy application](#)
- [Working Aid 14: Local subsidy report](#)
- [Working Aid 16: Report on lessons learned workshop](#)
- [Working Aid 19: Overview of PME processes](#)

Further reading:
- [Institut für Auslandsbeziehungen (2014): Monitoring of effects (movie). Effects-oriented planning and implementation of projects working to promote peace – a manual.](#)
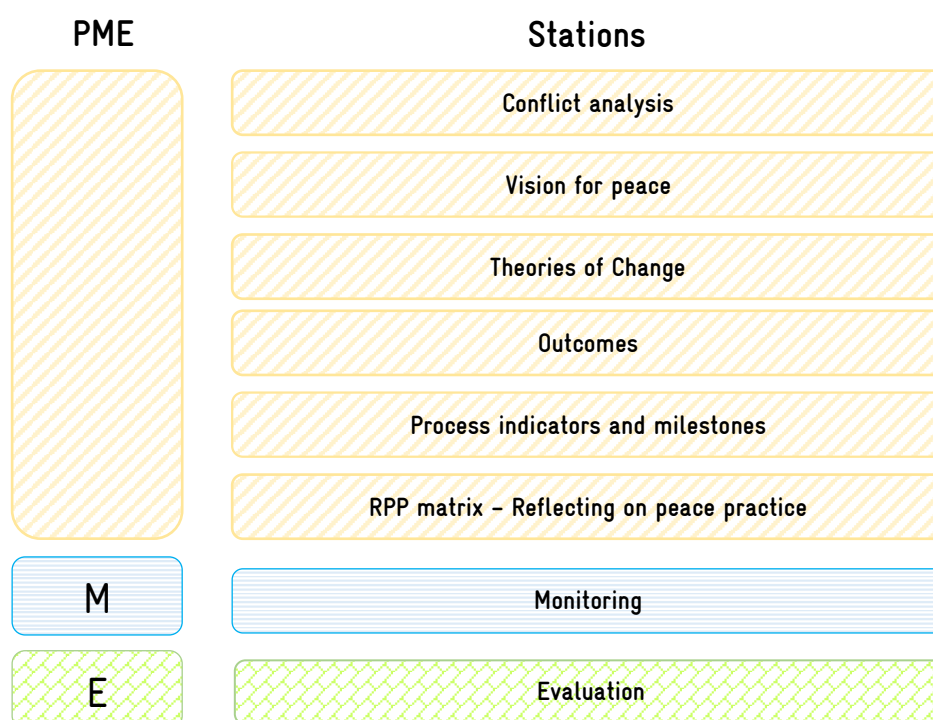
IV. PME journey through the project: the stations

Here we go: Methods and tools

The PME Guidelines stop at eight stations on their journey through the project. Content is presented chronologically, based on the results model of the RPP matrix. In the practical context of existing programmes, the content of the stations sometimes overlaps (monitoring and evaluation processes, for instance, run in parallel to other steps, and conflict analysis is also a recurring topic). In this way, new programmes and projects can be helpfully oriented to the order of the steps. Existing programmes and projects join the round trip at the relevant station as required. For GIZ/CPS, all eight stations as a whole are mandatory. However, options for designing the stations vary at certain points. Room should be left here for adapting to local conditions.

At the stations themselves, the Guidelines stipulate which elements are mandatory and which elements of the individual PME steps are optional. These are indicated as △ optional or ▲ mandatory in each case. Mandatory elements must be completed and are required by GIZ/CPS in Bonn. A → points to other stations and additional documents.

Indication is provided at each station of your current location in the PME cycle. At each station, a box explicitly indicates when the PME activities described at a station should take place in an everyday GIZ/CPS work context and who can make what contribution to it. There is also an additional box at each station that makes reference to conflict sensitivity, gender and the human rights–based approach.

Stations and their link to PME

PME	Stations
	Conflict analysis
	Vision for peace
	Theories of Change
	Outcomes
	Process indicators and milestones
	RPP matrix – Reflecting on peace practice
M	Monitoring
E	Evaluation

① Station 1 – Conflict analysis
The foundation for PME

Context and conflict analysis

A comprehensive, inclusive (i.e. incorporating human rights and gender) conflict analysis is **the key prerequisite** to all work on conflict. Conflicts are always embedded in a larger context. While the conflict analysis focuses on one or more factors of conflict, the context analysis considers the geographical, cultural, political, social, economic and institutional context, along with the external influencing factors of a larger (usually country-specific) reference framework. During the course of the conflict, factors from the larger context can also become factors of conflict, which is why it is important to monitor them on an ongoing basis and ask questions about the roles played by the context factors with regard to the conflict (→ Station 7: Monitoring).

Conflict analysis in the PME process

▲   The conflict analysis is conducted at the beginning of the strategic and operational planning process for programmes and projects; it is the basic prerequisite for peacebuilding work. Effective peace projects are based on a precise knowledge of the conflict and its dynamics – it is only possible to carry out targeted conflict transformation work if you have a clear understanding of the conflict context.

During the planning phase, the conflict analysis identifies relevant factors of conflict actors of conflict and dynamics, pinpoints potential intervention points and describes certain behaviours, attitudes and relationships of actors that are to be strengthened or transformed. Building on this, a ToC (→ Station 3: Theories of change) is used to help select the approach to peace work of the CPS programme, the target groups, the PO and the CPS expert profile.

The conflict analysis forms the basis for monitoring the effects of the CPS projects on the conflict dynamics.

When it comes to the evaluation, the conflict analysis provides the foundation for identifying changes at outcome and impact level, especially with regard to the factors of conflict and dynamics, and for analysing the relationships between actors and their attitudes and behaviour. In this context, a comparison between the conflict analysis at the time of planning and an **updated conflict analysis** at the time of evaluation provides information on changes brought about by the project (or interventions by other actors). Even unintended results can be identified in this way (→ Station 4: Outcomes).

The conflict analysis should be as comprehensive and objective as possible. Nevertheless, conflicts are social phenomena which are perceived differently by actors in a conflict. Consequently, a conflict analysis will also always reflect different views of the social reality, along with a range of personal experiences and emotions. In this sense, the process of drafting the conflict analysis itself can also be a peacebuilding activity, as actors get to know and comprehend the views of others, thus enabling them to develop a common understanding of the conflict.

Conflict analysis at GIZ/CPS

The findings of the conflict analysis provide the background for the approach to peace work of the CPS projects, including the selection of potential partners and the required specialist knowledge of

the CPS experts. The conflict analysis is the basic prerequisite for DNH and the application of the RPP analysis grid – two instruments at the heart of GIZ/CPS's PME activities.

The following aspects are fundamental in understanding conflicts and planning CPS programmes and projects:

- ▲ **Causes, issues and effects** of conflicts. They define the relevant thematic areas in which CPS projects are working on the conflict.

- △ **Conflict progression**, including history and development of the conflict, the current phase of the conflict and the degree of escalation. An accurate knowledge of the conflict's progression is key for assessing the potential and relevance of the planned projects with regard to conflict transformation.

- ▲ **Factors of conflict** are factors that contribute to the emergence or perpetuation of a violent conflict. Factors of conflict may be key underlying problems, causes, triggers or dynamics. In contrast to their positions, interests, needs and actions, actors such as individuals, organisations and institutions are not factors of conflict.

- ▲ **Actors** directly or indirectly involved in the conflict, along with their positions, interests and needs. △ This also includes the interests and attitudes of PO (→ Station 4: Outcomes, selection of POs). As part of the conflict analysis, the stakeholder analysis provides information about the behaviour, fears and needs of actors that can be addressed by CPS projects.

- ▲ **Cooperation partners** are individuals, groups and organisations with which the project works directly as part of its peacebuilding measures in order to make a contribution to peace as effective as possible. Cooperation partners and the central actors in conflict events are not always one and the same. It is advisable when selecting cooperation partners to perform a careful check of implications on gender dynamics and human rights principles. Who exactly am I bringing on board? Do the cooperation partners have a mandate? (→ Manual 4: Appraisal of project placements)

- ▲ **Connectors and dividers**. The question arises here as to the connectors and dividers that straddle conflict boundaries or offer future potential for peace (forces for peace)–or represent potential sources of violence (potential for violence). The twin concepts of connectors and dividers represent a key insight from the DNH approach and play a major role in selecting the entry points into the intervention. Their identification is also a prerequisite for reviewing and monitoring conflict sensitivity.

There is a wide range of tools for analysing conflicts and their dynamics. The selection of tools depends on the desired findings (→ Manual 1: Conflict analysis tools). In addition to having a general understanding of the conflict(s) on which the programme will work, it is also important to describe as specifically and accurately as possible the situations of direct relevance to the interventions of CPS's partners. Efforts should be undertaken to ensure that the conflict analysis is a guiding document that serves as a baseline for the programme, and which can be updated by the programme team with minimal effort.

Conflict sensitivity

- A good conflict analysis provides the basis for conflict-sensitive action. Particular attention should be paid to analysing the connectors and dividers. All other PME stations must always be checked to identify the potential influence of project and programme design on these connectors and dividers.

Gender

- What are the gender-specific causes, objects issues objects and effects of the conflict?
- How are different social groups affected by the conflict and by different types of violence? What gender-specific peacebuilding needs arise from this?
- To what extent have gender roles changed throughout the conflict?

Human rights-based approach

- What are the main human rights standards being violated in the conflict? And who are the affected parties?
- Which human rights standards are relevant in this context? Which ones has the state ratified? How is this reflected in national legislation?
- How are human rights principles implemented in political structures and institutions?
- Which institutions in the country work do work to safeguard and promote human rights standards (e.g. human rights commission, etc.)? Who has access to these institutions or other grievance mechanisms (e.g. at UN level, etc.)?
- If so, how are specific population groups (e.g. different ethnicities, religious communities, regional minorities, children and young people, or men and women) systematically discriminated against or excluded from accessing power, resources and services?

When and where?

The conflict analysis is a mandatory element for preparing the BMZ proposal at the beginning of each CPS programme and in each new CPS programme phase. A conflict analysis is also required for the CPS organisations' joint country strategy. Planning workshops for the deployment of CPS experts provide a good opportunity for fleshing out the conflict analysis and relating it to the framework within which cooperation with partners takes place and/or within which the CPS experts operate. It is possible during the planning workshop to establish a common understanding and to update the conflict analysis.

Because conflict dynamics can change quickly, it is important to update the conflict analysis reliably **at least once a year** as part of the monitoring process (→ Conflict monitoring). Only by monitoring and (re)analysing conflict factors on an ongoing basis can the assumptions (ToC) and, by extension the project implementation process, be adapted (→ Section II; operational action plan).

Conflict analyses and their ongoing monitoring are time-consuming and require human and financial resources. This must be taken into account in programme and project planning.

Who?

A conflict analysis should involve a wide range of actors in order to deliver as differentiated an understanding of the conflict as possible. The main responsibility within this process should rest with the coordinator, as it is he or she who is responsible for drafting a coherent CPS programme. CPS experts and POs play a key role in the ongoing monitoring and the updating of the conflict analysis. Through working with partners locally, CPS experts generally acquire a very high level of knowledge of factors of conflict and peace needs, something that is important for reviewing the conflict analysis. They also make a decisive contribution to the outcomes, which are formulated on the basis of the conflict analysis (→ Station 4: Outcomes).

Relevant Working Aids:
- Working Aid 1: Conflict analysis tools

Further reading:
- Swiss Agency for Development and Cooperation, SDC (2005): Tip Sheet Conflict Analysis.
- Swiss Agency for Development and Cooperation, SDC (2006): Tip Sheet Do No Harm.
- Fisher, Simon et al (2000): Working with Conflict. Skills and Strategies for Action.

② Station 2 – Vision for peace
Dreaming programmatically – a film script

Film script – target vs. factual situation

We have used the conflict analysis to get as close as possible to the factual conflict situation. We know the issues of confrontation, we know the history of the conflict, and we have an idea of the current conflict phase and the degree of escalation. In the conflict analysis, we can distinguish between dividers and connectors, we have familiarised ourselves with the actors in the conflict, their positions, interests and needs, and we are cognisant of the key conflict dynamics. In short, we have a comprehensive and clear snapshot of the conflict events. As such, we now know where we currently stand and where we are coming from (in historical terms). However, we must now ask the question: **Where do we want to go? Where should our journey take us? What exactly does our destination look like? If we do not want the situation to remain as it is, what should it look like instead?**

These are the key questions that guide the search for the all-encompassing 'vision for peace', the 'overarching' PeaceWRITLarge in the sense of: 'What would we like to see in the (distant) future?' at **macro level**. CPS actors wish to initiate change processes, encourage people to change their actions and behaviours, and help to transform factors of conflict. They wish to ensure that violence is curbed and to pave the way for a future of non-violent conflict resolution. This raises the following key question: What should the changed behaviours, actions and the new situation look like? What are people hoping for? How do they picture the future?

At *impact* level, **the focus is on long-term change** in the actions of the key actors and on a socio-political paradigm shift.

Proposals and reports provide only a brief description of impact, taken from the CPS organisations' joint country strategy. Example*: 'The different actors in society XX overcome the dividers – including at regional level – and create and shape a form of social coexistence that respects and values the development opportunities of each individual.'* While such a brief description is suited to the purpose of the proposal format (which is relatively concise), it provides little information on what is actually desired and what the changes in the specific conflict context actually entail. In order to remedy this situation, we intend to bring the vision for peace to life in a tangible way. As such, we will now introduce the effective *narrative* **approach to telling the story of change processes**. Developing the vision for peace is necessary for formulating the joint country strategy, but is also equally helpful when preparing a new programme or new programme phase (see below). The following methodological approach would be conceivable:

Closely based on the methods of MOVIE and outcome mapping[27] , a **figurative film script** is used to create a vision for the future that specifies the direction for the change process at the impact level of the CPS programme. The motto of the film script is: 'How will people in the conflict context under consideration live and work together in five to ten years' time?' △ Based on the method of the miracle question, the search for a shared vision at PeaceWRITLarge or impact level (→ Station 6: RPP – reflective programming) could be introduced as follows:

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[27] See the further reading box at the end of Station 4 chapter

'Let's say it is the year xyz (thinking five years into the future) and that a miracle has happened and all conflicts have been resolved. How would people recognise that this were the case? How would others find out about it without anyone telling them? What would be different? What would be there that wasn't there before (Shared markets? Hospitals? Human rights commissions? Independent media bodies?) Is there (gender) equality when it comes to accessing education? Can people express their opinions freely without fear of reprisal? What things from the past would no longer be there? Who would act differently and how? How would I be able to tell? (For example: Do certain individuals/groups that were not previously in contact now interact with each other?)'

In order to get away from thinking in stereotypes and minimise the danger of phrase-mongering, it is advisable to take a writer's perspective: How would a journalist tell the story of our desired vision for the future? How would someone like Ryszard Kapuściński tell the story of people's lives? You could think of it like the final act of a play: What sort of image is offered to the audience just before the curtain falls? What does 'Peace on earth…' mean at practical level for the people whose conflicts we are observing in Uganda, Bolivia and Nepal?

The following **questions** (based on the effectiveness criteria of the RPP process (→ Station 6: RPP – reflective programming) serve as an aid when considering how exactly a vision of the future might look:

- What will things look like in five to ten years in regard to key factors of conflict? Will they still be there? If not, what exactly will the final result of the transformation process look like?

- What is the situation with regard to people's 'objective' security? And what is people's subjective perception of security? What changes have occurred here?

- Have certain institutions been reformed or even established for the first time? Which institutions are we talking about here exactly?

- Are peace-promoting actors and factors more visible and present than they used to be? How can you tell this? What kind of active role are they playing in shaping society? Have things been initiated here that could remain in place in the long term, even without external support? How can you tell this?

- How can you tell that people are prepared to resolve conflict in a non-violent manner? Has there been a fall in violent crime?

- What do relationships between individuals and various groups look like?

And with regard to general principles for action:

Conflict sensitivity
- To what extent are the connectors and dividers from the corresponding analysis being addressed? Can local peace actors conduct their work unhindered? What do the behaviour, attitudes and positions of local dividers look like in the future?

Gender
- What do gender roles and relationships between men and women look like in the future? To what extent have discriminatory practices and images of men and women changed?
- To what degree have the gender-specific causes, objects and results of the conflict been overcome?
- How can men and women participate on an equal basis in decision-making processes? Is there more (gender) equality when it comes to accessing education and other resources?

Human rights-based approach
- How will the relevant human rights standards identified in the conflict analysis be guaranteed in five years? What institutions have been established to promote human rights standards? Does everyone have access to these standards and other resources and services?
- To what extent are duty bearers able to guarantee compliance with human rights standards? How can rights holders peacefully claim their rights?
- What will society and the state look like in five years in terms of discrimination, equal opportunities, participation, transparency and accountability? How are these human rights principles accounted for in the PO?

Impact as a vision for a positive and equitable peace

The aforementioned considerations do not always all flow into the formulation of the impact – when it comes to the subsequent measurability of the peace contribution at impact level in particular, it is helpful to make a considered selection. This is where the points of intervention from the conflict analysis can provide decisive pointers.

> ▲ There are two determinants when formulating the vision at impact level: the goal is to achieve a positive peace that allows trusting and constructive relationships to be formed between the groups, facilitates inclusion and participation in the political opinion and consensus-building process, and promotes human rights and equitable gender relations. At the same time, the film script "Impact" must make reduction of violence visible, that is, it must portray a significant decrease in personal and direct violence between individuals and groups.

The challenge is to ensure that the film script is visionary, but not illusionary. 'Pragmatic dreaming' must not constitute a utopian description in the sense of something unattainable, and the vision should not be reduced to *l'art pour l'art*. It is precisely for this reason that an approach is needed that allows the vision to be fleshed out in such a way that it becomes feasible and thereby relevant for the impact analysis. Ideally, the process of developing a vision will help free people up from challenges to look to a desirable future. It will guide the conflict actors towards focusing on goals and solutions instead of the causes of the conflict. People who have found themselves in conflict contexts for long periods of time are exhausted. They often become fixated on problems, leaving them unable to think of other scenarios. Breaking through this problem fixation, showing people a

different way of viewing their context, and working with them to bring a positive image of the future into the present can sometimes prove to be revolutionary. As such, external actors can also serve as catalysts. When developing a vision at impact level, it is vital that as many actors as possible be involved. Visions must be representative of the wishes and hopes of the individuals involved in the conflict. Inclusivity and impartiality are key premises here. At the end of the creative process in the search for an 'overarching' peace, it is necessary to have a common understanding of what this peace could look like. This is the only way to guarantee the meaningfulness of the next steps (when drafting a script).

➔ After all, the impact is the compass with which all the other steps must be aligned in the long term.

🔺 The description of the impact level must always come before the formulation of outcomes (→ Station 4: Outcomes). It is very tempting to identify outcomes (or even activities) derived directly from the conflict analysis and then to only think about the peace vision at impact level in a second step. However, it is advisable to avoid drawing premature conclusions – if you do not have a clear idea of where things should be heading at structural and societal level, you may in certain circumstances develop incorrect theories of change, which will then in turn adversely affect the choice of outcomes, process indicators and activities. If you think from an outcome perspective, then you may run the risk that the subsequent description of the impact level becomes a laborious attempt to map a reality constructed retrospectively, but not really discussed with the actors directly and indirectly involved in the conflict, a reality under which the pre-formulated outcomes can be conveniently subsumed. Depending on the number of outcomes and/or their thematic diversity, the process of identifying impacts then becomes a risky balancing act, which ultimately gets lost in platitudes (in order of course to cover everything that could come along during the transformation process). However, this renders the impact level arbitrary and thus no longer measurable.

> Goals at impact level are referred to in the RPP approach as PeaceWRITLarge, in the EU's Logframe as 'overall objectives' and by other organisations as 'overarching goals'. BMZ reports refer to the impact level as 'indirect effect' or 'indirect benefit'. At GIZ, impact is rooted at programme objective level (for example, contributions to the Sustainable Development Goals), while outcomes are found at module objective level.

When and where?

In a first step (particularly when programmes are being developed for the first time and external appraisers are commissioned with formulating the proposal), it is difficult to represent the impact in narrative form. The film script for a vision for peace can only be properly created in cooperation with many actors – it is virtually impossible to do so in the context of the BMZ proposal, as time and resources are usually in short supply. Exception: if new programmes are established in countries in which GIZ/CPS has been present for a long period of time (and as such is familiar with the conflict context and key actors), then a detailed vision for peace can already be produced in the proposal phase in cooperation with proven local partners and other stakeholders at a strategic planning workshop. In all other cases, the coordinator and/or the CPS expert and local expert should work with partners and local actors between one and four months after the programme's launch to underpin the vision for peace in the form of a film script – in line with the film script – and thereby make it (more) tangible. The goal should be to incorporate a film script of the impact in the △ CPS organisations' joint country strategy (recommended) and in the ▲ overall proposal. This text can be cross-checked regularly at a later stage as part of the monitoring process (primarily at the level of the joint country strategy) and serve as a key aid for evaluating and adjusting measures.

The film script can be drafted at extended professional group meetings to which the PO management and other stakeholders are also invited.

Who?

Programme manager, CPS expert (if already involved in project and familiar with situation), national expert, PO, stakeholders.

③ Station 3 – Theories of change
Technical expertise and belief

The first two stations on our PME journey tackle two decisive questions: Where do we come from and where do we want to go? The conflict analysis provides statements on the actual situation, while the vision describes the target situation. Logically, this leads us to ask the question: What exactly should the journey from the actual situation to the target situation look like? What needs to happen to enable change to take place? What requirements must be met and what contribution is needed in order to make the desired change process a reality?

Theories of change (ToC) address this kind of questions. As such, ToC are theories of social change. In the CPS context, ToC are a kind of hypotheses about causal or conditional relations between necessary changes or prerequisites in the given conflict dynamics and their effect on conflict transformation (1), but also assumptions about the appropriate type of intervention by CPS and its partner organisations (2)[28]. In this respect, ToC address the **factors in a given conflict that need to be changed** such that conflict transformation can take place.

ToC should reflect a certain degree of technicality: they should draw consistently from the findings of the conflict analysis, entail plausible assumptions about the prerequisites for conflict transformation and about appropriate type of interventions, and they should preferably be substantiated by peace and conflict research and the experience of and lessons learnt by the CPS organisations.

ToC are formulated as 'if–then' statements and thus imply a type of causality or conditionality. Several theories of change combined form a set or a system of assumptions on how certain conditions (in a conflict (and the societal environment as a whole) must be changed in order to ensure more peaceful coexistence between target groups.

Essentially, every peacebuilding intervention is based on certain assumptions concerning ways to initiate change and achieve peace. Often, these assumptions are merely implied and are not portrayed in proposals and reports. This prevents causal or conditional links from being verifiable and transparent, however. ▲ Consequently, it is necessary to make ToC explicit in all cases so that they can provide transparent information on our beliefs about ways to achieve peace in a specific conflict context. Because they are directly related to the conflict analysis and the formulated vision for peace (→ Station 2: Vision for peace as a film script of the impact and → Station 4: Outcomes)**, the ToC ultimately determine the choice of the approach to peace work, the methods and the activities.** ToC are mapped at impact level, as well as at outcome and activity level. As such, they specify the prerequisites for the desired change and also establish causalities between short, medium and long–term interventions. It is also possible to derive **process indicators** from ToC, enabling us to monitor and 'measure' process steps with regard to the desired changes (outcomes) (→ Station 5: Process indicators; milestones).

The following should help to better understand the concept of Theory of Change as it is applied in these Guidelines for PME:

(1) **ToC are assumptions or hypotheses regarding the way that a planned change in conflict dynamics will affect the transformation of that conflict in terms of reducing violence and fostering positive peace (transformative ToC).** The

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[28] see Section II above

transformative ToC specifies the conditions that must be created within existing conflict dynamics in order to bring about sustainable conflict transformation. To put it in question form: Which elements of the conflict dynamics need to be changed in order to weaken the factors that drive the conflict (dividers)[29] and strengthen the factors that reduce conflict (connectors)? And if these elements are effectively changed, how do they contribute to the vision for peace/PeaceWritLarge[30]?

Transformative ToC address the causality or conditionality between prerequisites (factors of conflict, potentials for peace), outcomes and impact.
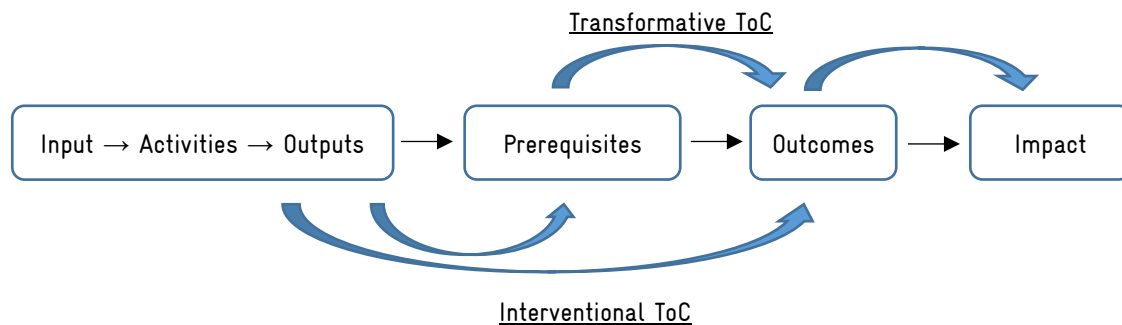
(2) **ToC are assumptions or claims about the way in which a particular approach to peace work (with corresponding resource deployment and various activities) brings about a desired change in the conflict dynamics (interventional ToC).** The interventional ToC specifies the approach to peace work, resource deployment and activities required to create the conditions for achieving the planned outcomes. To state it as a question: Which approach to peace work, resources, skills and activities do we need to achieve the outcomes?

Interventional ToC address the cause-effect or if-then relation between outputs and prerequisites or outcomes.

Theories of change also have the following features:

- 🔺 All ToC are drafted with consideration of the vision for peace already elaborated. They bridge the gap between the conflict analysis and the expected outcome, while keeping an eye on the long-term changes (impact).
- 🔺 ToC are formulated by mapping conflict drivers and peace potentials on a transformation path that follows a timeline: What (starting from the baseline situation) do we believe needs to happen to achieve the desired situation? What are the prerequisites?
- 🔺 ToC are frequently formulated as 'if-then-because' statements: If we do X, then Y will happen because of Z
- 🔺 The wording of a ToC should take no more than three sentences.

In the CPS proposal formats, ToC are formulated in the paragraph on **"Annahmen zu zentralen Wirkungszusammenhängen"** (assumptions on the results model).

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[29]   For information on the terms 'connectors' and 'dividers' → Station 1: Conflict analysis.
[30]   For information on this term, see Glossary.

Example of Burundi, ToC on outcome:

We assume that increased cooperation within civil society, an improved flow of information between the provinces and the capital, and the initiation of dialogue between civil society and state actors will promote an inclusive process of dealing with the past that takes account of the interests of the population.

We assume that recognition of suffering and of different ways of interpreting history will promote peaceful coexistence between ethnic groups.

Example of Burundi, ToC on outcome:

We assume that it is beneficial for victims from different ethnic groups to meet in safe spaces. We also assume that, in this context, they will become familiar with the perspectives of others, will be able to express themselves freely without fear of legal prosecution, and that they will reflect on their own role in the conflict.

Example of Guatemala, ToC on outcome:

We assume that as the affected parties gain more knowledge of their rights and ways to claim them, these groups will be strengthened in their position for negotiating with state institutions.

Example of Guatemala, ToC on outcome:

We assume that providing relevant information to indigenous actors and informing them and raising their awareness of relevant issues will strengthen their position when it comes to claiming indigenous rights. Also, this will help to shape non-violent relationships and forms of social organisation and will facilitate equitable dialogue with state institutions and commercial enterprises..

> ToC point to the empirical evidence that should undergird all interventions. Reports, studies and observations on the field situation or the target group are compiled systematically as part of the conflict analysis and theories are then derived and elaborated on this basis. Methodically speaking, you begin the process of formulating ToC by asking which changes you wish to bring about with your intervention in the target group. The ToC identify the prerequisites for this and explain the links between activities, outcomes and impact.

In addition to making recourse to the conflict analysis, actors in the conflict context should also be involved at an early stage in elaborating the ToC (→ Station 2: Vision for peace as a film script of the impact) involving as many actors as possible in the process of developing a vision for peace. Involving relevant stakeholders helps to develop a common understanding of the nature and the extent of the desired change and to draft the ToC on a sound basis. In addition this will also ultimately help to create a better information base, distribute responsibilities more clearly and, as a result, facilitate the process of evaluating and monitoring the programme's success.

This approach also addresses in advance the problem of attribution, that is, to whom the change should be attributed.

Based on RPP, the central approach for the PME system of GIZ/CPS (→ Station 6: RPP – reflective programming), we recommend to distinguish between two groups when formulating transformative ToC:

The ToC of the first group focus on the question: Who needs to change? Which people (individuals or groups) and which interpersonal relationships must change in order to facilitate transformation?

The ToC of the second group focus on the question: What needs to change? Which institutions and which political and social regulations, legislation and societal norms must change in order to facilitate transformation?

Pitfalls:

- If the assumptions underlying a ToC are not regularly scrutinised and re-examined, then the formulation (and, by extension, the definition) of a ToC can give rise to a false sense of security, blinding us to potential errors. ToC must not be based on selective or weak examples. The use of such examples must be counteracted through ongoing, self-critical reflection.

- The `if-then` formulation should express systemic rather than mechanistic thinking

Conflict sensitivity

Because ToC generally specify how or using which approaches GIZ CPS or the PO wishes to achieve certain results, at this station we need to pay particular attention to conflict sensitivity.

- How can dividers be weakened and connectors strengthened?
- What measures should be taken or omitted in order to avert effects that exacerbate conflict (e.g. the development or intensification of negative dynamics, an increase in security risks for target groups or CPS)? Do the planned measures harm actors directly or indirectly, or even jeopardise the physical and psychological safety of partners?
- How can a connector be strengthened so that it becomes a key factor for peace?
- What effect does the selection of partners have? What role does the partner play and what influence does it have on the conflict factors? At what level does the partner operate, e.g. does the partner address relevant conflict factors or causes?

Gender

- What prerequisites and work approaches are required to ensure that GIZ CPS and the PO help to improve gender equity?
- Which methods and approaches can be used to promote more (gender) equality in access to education, decision-making bodies, institutions and resources?
- Do certain methods and approaches exclude women or men (or other groups), and what are the effects of this?

Human rights-based approach

- What kind of action is needed to develop the capacity of rights holders and duty bearers and empower them to engage in constructive dialogue with one another? How do GIZ CPS and its PO contribute to this?
- How are the approaches and methods that promote human-rights principles, such as non-discrimination and equal opportunities, participation and empowerment, and transparency and accountability, taken into account? How does GIZ CPS support its PO in this regard?

➡️ **Further reading:**
- CARE International UK: [Peacebuilding with Impact. Defining Theories of Change](#).
- UKaid, United States Institute of Peace: [Theory of Change Module](#).

4 Station 4 – Outcomes
Film script of transformation in contested terrain

Film script at outcome level

Changes at impact level are aimed at the future and often do not come about until the project or programme has ended. But how can we tell whether our work is delivering meaningful results in the here and now? Where are (interim) results becoming visible? How and where is individual and social change becoming evident? **Direct and indirect effects** on the conflict contexts represent key cornerstones of CPS's work. Our own programme or project must make an identifiable contribution to peacebuilding. Only when changes in the behaviour of the actors ('Who?') and institutional change ('What?') are observed and measured within an appropriate period of time and during the term of a programme can the success of peacebuilding efforts be classified and evaluated accordingly. Consequently, reflection on transformative ToC and the resulting formulation of outcomes, which in turn determines considerations regarding intervention opportunities, is of central importance to the planning process.

Outcomes are the direct results of a programme or a project – on the one hand behavioural changes on the part of certain actors who make a key contribution to the change process, and on the other hand structural changes at cultural, socio-political and institutional level.

Outcomes at programme and project level

Outcomes at programme level make a contribution to impact and, by extension, to long-term conflict transformation. They are key change scenarios on the path to PeaceWRITLarge. Outcomes at project level are closely related to outcomes at programme level. As a minimum requirement, outcomes at both levels (project and programme) must be coherent. In some countries, programme and project outcomes are congruent, which considerably simplifies the process of taking measurements across the output, outcome and impact levels, and prevents any attribution gaps. ▲ If the outcomes at programme and project level are incongruent, then they must be linked by means of assumptions (ToC). Programme outcomes are set in the programme proposal to BMZ and can only be changed in exceptional circumstances. Project outcomes are more flexible and can be modified more easily (for example, if a ToC has proven to be incorrect).

Against this backdrop, the importance of carefully selecting partners becomes clear: local partners whose own outcomes are difficult to reconcile with those of CPS at programme level or who do not wish to formulate any additional outcomes are unable to work with CPS or local experts to make a measurable contribution to achieving the GIZ/CPS programme outcomes (→ Manual 4: Appraisal of project placements).

The long-term results (impact) are agreed on in the CPS organisations' joint country strategy.

The programme outcomes of GIZ/CPS are geared to the strategic framework described in the joint country strategy (and to the outcomes of that strategy). At project level, outcomes are developed in cooperation with the PO. These outcomes either feed into or (in rare cases) are congruent with the outcomes at programme level.

When a partner cooperation initiative begins, PO of GIZ/CPS usually already have their own outcomes beyond those related to cooperation with GIZ/CPS.

We use the term project outcomes to refer solely to outcomes which are agreed in a country between the PO and GIZ/CPS on a mandatory basis. Agreement on GIZ/CPS -related outcomes at project level is reached in cooperation with the PO at the planning workshop (sometimes even ahead of the planning workshop, between the coordinator and the PO).

Drafting and formulation process

🔺 The process of formulating any outcome begins with developing a transformative ToC (→ Station 3: Theories of change). Based on the findings of the conflict analysis and with a view to the envisioned impact, ToC are drafted in the belief that they will contribute to the achievement of the vision for peace in the long term. Outcomes are then derived from these ToC. It is helpful when formulating the ToC to focus in each case on certain sections of the conflict analysis with reference to the outcome level. This makes it easier to enter into the outcome scenarios. In the BMZ programme proposal, the respective paragraph title reads "Ausgangssituation zu Outcome XX" (baseline for outcome XX).

Example of Uganda:

> In the conflict in the project region, organisational structures are poorly developed both within civil society and at local government level. In Karamoja, there is barely any systematic networking between traditional leaders, while in Teso, traditional systems are highly fragmented. The structures for dialogue between the different groups are often unsustainable. Interventions by governmental and non-governmental organisations in the different types of land conflict are usually based on conflict analyses that lack a sound basis and are not coordinated. It is also common to see the personal and organisational interests of different actors take centre stage. State and municipal structures are exploited and misused for private interests. These interventions do not reflect the position of traditional leaders and they usually lack a broad public mandate. As a result, it is almost impossible to discern a sustainably aggregated, positive effect.

Based on this situation, it is possible to formulate several ToC with regard to the transformation logic. Two such ToC will be mentioned here by way of example:

ToC 1: *If relevant actors organise themselves into different interest groups, then this will greatly facilitate coordination between them with regard to their approaches and interventions. This will then lead to a reduction in violent conflict in the respective conflict areas.*

ToC 2: *If interest groups are able to establish themselves and develop into dialogue platforms on which the different governmental and non-governmental organisations can create harmonised methods of land administration that involve traditional leaders and women's groups, then this will serve to prevent conflict in the long term and/or to peacefully resolve existing conflicts.*

The next step involves formulating the outcome. Considering the impact description can serve as an additional aid: How are the changed circumstances elaborated in the 'film script' for the vision for peace mapped? How is the changed behaviour of actors mapped? How is the situation portrayed when the change has taken place? Who is doing what differently? What does it look like? What do I perceive differently? How can I recognise the change? Who is responding and interacting with whom? How are people communicating with one another? (What needs to change? Who needs to change? (→ Station 3: Theories of change).

In proposal and reporting formats, the outcome is described in as much detail as necessary and as concisely as possible. (Outcomes at programme level are often intentionally formulated more broadly than those at project level in order to provide greater scope at programme level).

Example of Uganda:
> In Teso and Karamoja, interest groups have been established on a long-term basis around the different types of land conflict. These groups consist of civil-society organisations, including women's organisations, local government representatives and traditional leaders. The resulting dialogue structures have enabled the measures and interventions of different actors to be coordinated with one another, thus maximising the combined impact on the prevention and transformation of land conflicts.

This provides an initial overview and is a key benchmark. However, in order to make changes truly tangible, it is also useful here to use a film script for the outcome.

Like the vision for peace, the more malleable and transparent the outcome description and the more clearly the desired alternatives are outlined, the easier it is to develop process indicators (→ Station 5: Process indicators; milestones), define activities and subsequently produce specific contributions to the vision for peace. Essentially, the outcomes are less about formulating static scenarios and more about developing living scenarios that describe changes. In this way, film scripts can be developed for each of the outcome ToC derived from the conflict analysis.

The following key questions could be used for the above example when developing a narrative description:

- Which organisations are we talking about? What are they called and who are their key representatives? Which traditional leaders and which local politicians do we have in mind here?
- Who meets with whom, where and in what context?
- What do these meetings look like? What exactly does 'dialogue' mean? Are there regular meetings? With whom? When and where?
- How exactly can we tell that measures are coordinated with one another?
- Are there any jointly elaborated codes of conduct? What form do they take?

As at the beginning of our PME journey, such questions provide a useful introduction to the film script of the envisioned impact. In this critical phase, CPS experts can make a key contribution at project level to ensuring that contacts have a clear idea about what it is they want and how things should be. The idea is to focus on goals and solutions and avoid deficient thinking. By taking on the role of questioners who encourage people to think carefully about desirable changes, CPS experts provide key impetus for the development and/or shaping of outcomes and thus help to shape the outcomes of a peace project and make them more tangible. Describing the target situation in as much detail as possible should increase the appeal of the desired scenario and also show

how worthwhile it is to work towards the objective and find solutions.

> There are two basic requirements that must be met when creatively designing a film script at outcome level: The film script should provide scope for creative solutions and move people away from their fixation on problems, and at the same time it should describe a realistic and achievable objective (applies even more at outcome level than at impact level). ▲ As a general rule of thumb: A formulated outcome should include the respective actors, the peacebuilding needs and the desired change.

Peace and conflict actors

▲   Peace and conflict actors represent a key reference point from the conflict analysis that is addressed again here.

➔   After all, the behaviour of peace and conflict actors is one of the things that should be 'captured' at outcome level. Changes in the actions, attitudes and capacity of actors to be initiated and reinforced through project measures are described even more vividly than in the peace vision at impact level.

The film script should be produced with the involvement of all relevant actors wherever possible. This may also mean that CPS experts/local experts (and potentially coordinators) meet with many different actors, including those representing local capacities for peace and armed groups (spoilers) in many different locations.

▲   At the same time, a review is conducted in this phase of how the available financial and human resources can be deployed as effectively as possible. From a systemic perspective, changes that take place at a specific point in the overall framework can also always lead to changes at other points in the system. Therefore, it is necessary to carefully check intervention approaches and bear in mind that certain measures and approaches that may only bring about minor change in one sub-area can deliver key impetus for change in other areas. A large number of small changes can create a great deal of leverage – the stronger the lever, the more sustainable the solutions and the greater the direct benefits (→ Station 6: RPP – reflective programming).

The following questions may be helpful:

* Which factors of conflict are decisive in conflict transformation? Which factors need to be influenced and transformed in order to significantly change the system?
* Where are particular weak points?
* Against the backdrop of our human and financial resources, our mandate, our organisational structure and our organisational culture, which factors of conflict can we influence the most?

🔺 **Examine***:* What changes at socio-political or individual/personal level are described by our outcomes?

🔺 **Check:** Do the ToC make reference to the context? Are they realistic and transparent? Will achieving the film script scenario at outcome level help to reach the impact level? Who needs to do what in order to reach the PeaceWRITLarge level? Are there other means of argumentation? Other ToC? Against the backdrop of our conflict analysis, do the outcomes that we have formulated actually have a direct effect on the conflict context? Are key factors of conflict addressed? Is it certain that the question of the **human rights situation** has informed the description at outcome level? Has sufficient account been taken of gender issues and the human rights-based approach? Can the listed outcomes be realised within the programme term?

Coordinators and/or CPS experts should work with the local partners to underpin outcome formulations in line with the film script for the impact and thereby make them (more) tangible. This applies to outcomes at both programme and project level. Ideally, this will take place at the planning workshop. Working jointly on the film script at the level of programme outcomes can significantly simplify the selection of outcomes at project level and at the same time help to bring partners on board with the CPS results model. 🔺 The goal should be to include film scripts of the outcomes at project level in text form in the CPS expert report.

🔺 Essentially, we think first in terms of changes and links and then in terms of activities.

➔ **After all,** if you think from an activity perspective, you risk your interventions having no link to the outcome and failing to achieve the desired effect.

Human rights-based approach

- To what extent are the outcomes designed to promote human rights standards?
- To what extent are human rights violations addressed by state and non-governmental actors as the causes and effects of violence?
- What capacities of which duty bearers and rights holders are developed in the respective outcomes?

Conflict sensitivity

- What effect do the projects and the programme have on connectors and dividers? Are dividers reinforced further or connectors weakened?
- Who benefits from the projects and programme of GIZ/CPS and who does not? What is the potential effect of this?
- How are the power relations being shifted, i.e. which groups are being strengthened and which are not? Is support being provided to one conflict party only?
- Are the outcomes or the measures inconsistent with other interventions? Are any of the effects in the area of action inconsistent in a way that could lead to conflict and violence?

Gender

- To what extent do the outcomes address gender-specific factors of conflict?
- How can men and women enjoy equal participation in shaping peace processes?
- What contribution is necessary and can be made to help change male and female role expectations that have been shaped by the conflict?

When and where?
Programme outcomes of GIZ CPS are developed on the basis of the outcomes of the CPS organisations' joint country strategy. They are set in the programme proposal submitted to BMZ across the term of the programme and can only be changed in exceptional cases where good reason is provided. Project outcomes are developed and set during the planning workshop. They are more flexible in design.

Who?
Outcomes at programme level are developed either with support from external advisors (for new programmes) or in cooperation between coordinators, country directors and local partners and/or stakeholders. Outcomes at project level are drafted jointly by the CPS expert, local expert, coordinator and POs at the planning workshop. Unlike the outcomes at programme level (BMZ proposal), outcomes at project level can be adapted and changed if required.

▲ As with the impact, the goal should be to include a text version of the destination film of the programme outcomes in the programme proposal and in the △ CPS organisations' joint country strategy (recommended). ▲ The **project outcomes** should always be underpinned by a vivid description of the desired change scenarios. If this can only be done to rudimentary level during the planning workshop due to time constraints or other reasons, then CPS experts can work with local experts, the partners and peace and conflict actors to (further) develop the destination film on a gradual basis following the workshop. This text can be cross-checked regularly at a later stage as part of the monitoring process and serve as a key aid for evaluating and adjusting measures (→ Station 2: Vision for Peace as a Destination Film).
The 'film script' can be drafted at extended specialist group meetings to which the PO management and other stakeholders are also invited.

➡ Relevant Working Aids:
- Working Aid 7: Project outcome monitoring
- Working Aid 8: Programme outcome monitoring

Further reading:
- Earl, Sarah, Carden, Fred and Smutylo, Terry (2010): Outcome Mapping Facilitation Manual.
- **Sprenger, Dirk et al. (2007, second edition 2014):** Monitoring of effects (movie). Effects-oriented planning and implementation of projects working to promote peace – a manual.
- Breitinger, Eckhard (ed., 1994): Theatre for Development – Le Théatre au service du développement. Bayreuth African Studies Series 26; Eschborn: GTZ-Verlag; and Ministry of Health, Kampala 1994

(5) Station 5 – Process indicators, milestones
Knowing where we stand and where we are headed

Desired societal changes, as they are described in the formulation of outcomes with the aid of the film script, (→ Station 2: Vision for peace as a film script; → Station 4: Outcomes) take time and cannot be achieved directly through individual project activities. Peace processes are rarely predictable and may encounter repeated setbacks. They do not follow a linear logic. In order to ensure that we know at any point during our PME journey where we are and where we are headed next, we set **criteria, which can be used to measure social and individual change**. At GIZ/CPS, these criteria are mapped in the process indicators. They help us to determine the route of our journey and make the film script workable. In line with GIZ/CPS's understanding of results, they help to make the ToC measurable and thus to keep us on course. Because peace processes are extremely complex and multifaceted, a large number of qualitative and quantitative process indicators are required to record progress at outcome level.

Process indicators define what makes a change (initiated by activities and their outputs) identifiable and how it can be monitored and measured. They signal development progress and provide information on achievements and areas for further action. They thus enable us to evaluate the progression of the process. They help to identify and achieve milestones in the peace process and make outcomes 'measurable' at programme and project level (operationalisation).

It is usually necessary to achieve **milestones** in the peace project journey on the way to achieving the outcome. These milestones, such as changes in the behaviour of key actors, can be presented and described using process indicators.

Process indicators are a key tool for monitoring and evaluating outcomes at programme and project level. In this context, the project process indicators must make an identifiable direct or indirect contribution to the process indicators at GIZ/CPS country programme level (see BMZ proposal). Ideally, they should be congruent or complementary. Using the process indicators, we can ask: Are we (still) heading in the right direction? Or have we unwittingly taken a wrong turn somewhere? In this sense, process indicators serve as **signposts to help us keep the objective of the journey in sight**. Process indicators are created at programme level for the operationalisation of the programme outcomes (listed in the BMZ proposal) and of the project outcomes.

> Indicators serve as **parameters** which measure target achievement of programme measures and are therefore indispensable when it comes to documenting results. They specify how positive and intended change can be measured. They reduce complex matters to one feature or one specific dimension.

Quantitative indicators are features that can be expressed as a number. They can be recorded on a relatively reliable basis. Quantitative indicators provide information on things such as specific outputs (number of training/workshop participants, etc., meetings held, written/verbal agreements, etc.). However, they say very little about the specific progress achieved by and the quality of a peace process. *Example: '200 individuals will be trained in methods of civil conflict transformation by the end of the project. At least 50% of them will be women and 25% will be young people'.*

Qualitative indicators measure the quality of change and/or provide information on personal assessments, perceptions and opinions (of stakeholders, target groups, etc.). *Example: 'School textbooks have been republished. The new editions have clearly remedied the issue of stereotypical portrayal of ethnic minorities.'*

🔺 Process indicators are created using transformative ToC film scripts of impact and outcomes at programme and project level (→ Station 3: Theories of change; → Station 4: Outcomes).

Example of Uganda: (Outcome):

> In Teso and Karamoja, interest groups have been established on a sustainable basis around the different types of land conflict. These groups consist of civil-society organisations, including women's organisations, local government representatives and traditional leaders. The resulting dialogue structures have enabled the measures and interventions of different actors to be coordinated with one another, thus maximising the combined effect in terms of prevention and transformation of land conflicts.

ToC 1: *If relevant actors organise themselves into different interest groups, then this will greatly facilitate coordination between them with regard to their approaches and interventions. This will then lead to a reduction in violent conflict in the respective conflict areas.*

ToC 2: *If interest groups are able to establish themselves and develop into dialogue platforms on which the different governmental and non-governmental organisations can create harmonised methods of land administration that involve traditional leaders and women's groups, then this will serve to prevent conflict in the long term and/or to peacefully resolve existing conflicts.*

Possible process indicators:

> Relevant actors have organised themselves into interest groups on the topic of land conflict. These interest groups are engaged in ongoing dialogue with one another.
> The actors synchronise their interests and needs in the dialogue process and mediate in less serious conflicts.

This example clearly illustrates the importance of further differentiation: In a first step, process indicators describe key milestones that must be reached on the way to achieving the outcomes. In specifying these **milestones**, however, they do not yet provide precise information on the small events and changes that are necessary to enable these milestones to be achieved. Process indicators must therefore be broken down as far as necessary. The following additional indicators are conceivable:

> The existing interest groups have developed joint terms of reference which define goals, describe processes and allocate responsibilities. (It is then also necessary in this context to ask: How can I recognise this? How can it be made concrete?)
> Stakeholders report on the current status of project implementation at annual stakeholder meetings, where the mandate of the interest groups is renewed. (What other meetings are held? Are minutes and reports on lessons learned available for these meetings?)
> Interest groups support internal and external dialogue processes. They are regularly requested by the population for further processes. (Who makes the requests? What exactly does 'regularly' mean in this context?)

🔺 In order to guarantee their measurability, process indicators must be repeatedly scrutinised in detail (see parentheses above). We speak in this instance of **sub-indicators**.

With regard to our example from Uganda at Station 4, sub-indicators are created with a precise focus on the questions that were helpful in formulating the film script. To recap:

- Which organisations are we talking about? What are they called and who are their key representatives? Which traditional leaders and which local politicians do we have in mind here?
- Who meets with whom, where and in what context?
- What do these meetings look like? What exactly does 'dialogue' mean? Are there regular meetings? With whom? When and where?
- How exactly can we tell that measures are coordinated with one another? Are there any jointly elaborated codes of conduct? What form do they take?

Answering these questions enables us to create indicators that can document even the tiniest degree of progress. We wish to point once more to the significance of the film scripts: They pave the way for the development of process indicators that are oriented towards carefully thought-out ToC and creatively illustrated outcomes. The efficacy of the film scripts is all the greater the more closely they are based on the ToC and the outcomes and the more they enable changed conditions to be monitored on a differentiated basis over longer periods of time.

If, for example, the milestone is 'The actors enter into democratic dialogue', then it is necessary to identify clear features for the specific process. What exactly does 'democratic dialogue' mean in this case? Who is involved? How, where and in what form do which actors agree on matters? In the case of the milestone 'The groups have agreed on win-win solutions to the conflict', sub-indicators identify when we can talk of win-win solutions and what exactly they look like in practice.

Growing trust between conflict parties as a prerequisite for a mediation process can also serve as a key process indicator. Growth in mutual respect and faith in the integrity of the other party may enable **shuttle mediation** to be replaced by face-to-face mediation. As such, *The conflict parties build an initial basis of trust which then facilitates direct mediation'* could be a key milestone in a mediation process. Trust can be 'measured' by reflecting on official and informal statements by conflict parties concerning threats (of violence) and perceptions of the other side. Confidential interviews with key actors and target groups can also provide valuable information.

△   Based on the method of outcome mapping, we strive to formulate process indicators that map wherever possible the full breadth of a societal change process in order to do justice to the complexity and unpredictability of social processes. In this way, it is possible to define a minimum of 'must have' elements and an 'ideal' number of 'nice to have' elements within a process indicator. As such, the desired change should unfold along the continuum between the minimum and the ideal (in a similar way to some quantitative indicators that oscillate between two numerical values). This makes it possible to define ambitious goals without making it binding to achieve them to the ideal level.

△   While it is difficult to formulate quantitative process indicators, both qualitative and (if possible) quantitative indicators should be used for an issue, as these indicators can serve to verify one another. Quantitative indicators are easier to compare over longer periods of time. A number of qualitative indicators can be quantified. This is especially useful if no other quantitative indicators can be found.[31] A high number of process indicators increases the validity and accuracy of the

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[31]   As such, qualitative feedback from training participants can, for example, be quantified using categories ('very good'

monitoring and evaluation processes. The use of different sources, monitoring methods (e.g. observations, statistical data, and individual and group interviews) and interviewers increases the likelihood of obtaining reliable information.

Example of a process indicator as a milestone with minimum and ideal data:

Process indicator: Conflict parties meet for dialogue

Minimum: The elders of both groups meet to engage in dialogue.

Ideal: The elders of both groups, along with women and young people, meet regularly for dialogue.

SMART methods

The quality of indicators in general can be reviewed using the SMART method, according to which indicators must fulfil the following criteria:

- **S**pecific: Is the indicator specific enough to record the issue to be 'measured'?
- **M**easurable: Is the indicator methodically measurable? Are the methods clear and applicable? Are there resources and responsibilities for this?
- **A**ccepted/ambitious/achievable: Is the indicator or the target value of the indicator sufficiently ambitious to motivate success, but realistic enough to be achievable? Are the indicator, its operationalisation and measurement accepted and actively managed by the CPS team, the PO or the target group accepted?
- **R**elevant: Is the indicator relevant? Do we really need the indicator in order to measure results and operationalise the process indicators?
- **T**ime-bound: Indicators must always be measured at different points in time. The value of the indicator must always be labelled with the time of the measurement. Ideally, baseline data is collected at the beginning of a project or programme. This data allows comparison to be made with data collected at subsequent points in time. It is also necessary to determine the target value and the point in time at which it should be achieved (e.g. at the end of the project).

A good indicator meets theoretical, methodical, political and practical requirements.

=1, 'good' =2, 'satisfactory' =3, 'adequate' =4, 'inadequate' =5). Using the median of overall feedback, training courses are given a quantitative trend value that can be compared with the other values. The median of a list of numerical values is the value that is found in the middle (central) position when the values are organised by size.

Conflict sensitivity: Conflict sensitivity can however serve as a dedicated process indicator, for example, when conflict-sensitive action is an explicit focus within an outcome (e.g. a conflict sensitivity analysis is created). Nonetheless, because process indicators are also milestones on the way to achieving outcomes, the same questions on conflict sensitivity are applied in the outcomes.

Gender:

The inclusion of gender in the formulation of process indicators is heavily reliant on the outcomes. If an outcome has the explicit aim of promoting greater gender equality, then the process indicators refer to the milestone or the measurability of the corresponding outcomes. For non-explicit gender outcomes, the following questions should be taken into account:

- Which process indicators (indirectly) address gender aspects or gender relations?
- Which instruments can different social groups support/use in order to overcome conflict and the consequences of violence?

Human rights-based approach:

If there is an outcome designed to promote human rights standards and/or principles, then the topic is of course directly reflected in the process indicators. For non-explicit outcomes in the area of human rights, the following questions are key:

- How are issues of social inclusion addressed and marginalised groups included in the process indicators?
- How are the principles of transparency addressed in the process indicators, for example, through accountability, and how are actors (target groups, partners, etc.) required to respect these principles?
- To what extent are the process indicators designed to develop the capacity of duty bearers and rights holders?

When, where and how?

Process indicators for the respective outcomes at programme level (programme process indicators) and project level (project process indicators) are developed in the planning processes at programme and project level. At programme level, process indicators are formulated for the outcomes for the BMZ proposal.

Process indicators for outcomes at project level are created jointly by the CPS expert, national expert (and possibly the coordinator) in cooperation with the POs at the planning workshop (or sometimes after the planning workshop where time is extremely limited, as part of the operational planning process) on the basis of the outcomes and their film scripts (→ Station 4: Outcomes). Unlike the outcomes at programme level (BMZ proposal), process indicators can be adapted and changed at both programme and project level if required.

Outcomes at programme level are reviewed at specialist group meetings using the programme process indicators (including sub-indicators). A monitoring overview of outcomes/impact at programme level, informed by reports and the reflection meetings, has proven to be a practical aid in this regard (→ Manual 7: Project outcome monitoring; → Manual 8: Programme outcome monitoring). This overview can be used very effectively to provide input for the BMZ status reports.

Who?

At programme level, process indicators are either determined by external advisors as part of an appraisal mission (for new proposals) or developed by the coordinator, the PO and, where relevant, the CPS expert and national expert (for new rounds of existing programmes) in cooperation with relevant stakeholders. At project level, the process indicators are formulated on a binding basis in cooperation with the national expert and the PO (and possibly the coordinator, if applicable) as part of the planning workshop or the operational planning process after a CPS expert has arrived in the country and commenced work. This also applies if the project has been running for a longer period of time and already has process indicators – in this case, the existing indicators are reviewed and adjusted, where relevant. PO process indicators (including sub-indicators) are regularly monitored and evaluated by the CPS expert, the local expert (where relevant) and the PO. The results are fed into the PO's local subsidy reports and can be used in the expert reports.

➡ **Relevant Working Aids:**

- [Working Aid 2: RPP matrix](#)

Further reading:

- Nimaga, Salif (2015): Burundi, Die beste Art sich um die Lebenden zu sorgen, besteht darin, sich um die Toten zu kümmern ('Burundi, the best way to take care of the living is to look after the dead'), workshop report (German only). In: Change for Peace, (pp. 49–52).

6 Station 6 – RPP: reflective programming
A guide to happiness

The RPP project, commenced in 2001 and comprising of 26 case studies worldwide and numerous reflection workshops with practitioners from a wide range of backgrounds, enabled the **Collaborative for Development Action (CDA)** to develop an analysis and planning grid in 2003 which has since become known in international conflict transformation and peacebuilding work as the **RPP matrix**. The instrument is based on numerous lessons learned from working directly 'on the conflict', lessons that were examined in the RPP project. The RPP project strives on an ongoing basis to identify, systematise and publish best practice examples from a wide range of practical approaches to peacebuilding.[32]

RPP aims at assessing the effectiveness of programmes not only in terms of direct outcomes but also with regard to their contributions to a programme's impact (PeaceWRITLarge); and it aims at making explicit the **results model** in a given conflict and peacebuilding programme. Additionally, RPP examines the interaction between the effects of contributions by a range of actors. The PME Guidelines of GIZ/CPS are essentially based on findings from the RPP process.

In these Guidelines, with RPP, we are referring, firstly, to the **self-reflection process** of the **RPP project** over the past years, secondly, to the **RPP matrix** as a product of RPP process.

We already introduced the RPP matrix in Section II of these Guidelines. There, we fleshed out how the matrix can be used to place the components – or building blocks - of our understanding of CPS programme **results** in a coherent framework, and outlined the value added by the logic of the RPP matrix. In Section III, we then explained the significance of the 'CPS levels of operation' component for a better understanding of the PME processes within CPS/GIZ. We did so by making reference to the project, programme and Consortium level in order to (a) describe the planning, monitoring and evaluation process, (b) present the differences and the relationship between ToC, outcomes and process indicators, and (c) explain the committee work, and proposal and reporting formats in the planning, steering and evaluation phases. By traveling along the five stations in this Section IV, so far, .we demonstrated the versatility of the RPP matrix in capturing concepts that are relevant to peacebuilding programming. Here, at Station 6 of this section, we take up the thread again from Section II by re-examining the stations already mentioned and the remaining two ahead of us **in the context of the RPP matrix**.

RPP matrix– reloaded

At **Station 1**, we noted that a carefully prepared **conflict analysis** is the prerequisite for peacebuilding work. The RPP analysis and planning approach also uses the conflict analysis as the starting point for its work. The quality of the content of the matrix largely depends on the quality of the conflict analysis and on an understanding of the conflict analysis that is based on critical examination and updated on an ongoing basis.

At **Station 2**, we discussed how, based on the conflict analysis, a **vision for peace** can be developed for a specific conflict region. Our proposal of describing PeaceWRITLarge in the form of a film script aims at producing a rich and vivid picture of positive peace, a picture that remains

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[32]   Today, CDA – a non-governmental organisation based in Cambridge, MA, United States – is running under the name of CDA Collaborative Learning Projects, http://cdacollaborative.org/

highly relevant to the local context and thus to the actors on the ground, affected parties and conflict issues. Because the envisioned long-term changes are formulated in a detailed way, the links between the conflict analysis and the vision become more precise, more detailed. This supports and enriches the work with the RPP matrix as these links between conflict analysis and the film script help crafting and formulating (transformative) Theories of Change.

Station 3 addressed the ToC, which guide the actions of the actors working 'on the conflict'. This means that all work on the conflict is steered by ToC as regards the way that peace comes about and is maintained. The RPP matrix shows four different fields (quadrants) of conflict transformation. From a substantive point of view, these quadrants are revealed by two simple initial questions related to conflict transformation and change to which there are two answers in each case:

- Question I is: **Who** needs to change (or change their behaviour) in order to pave the way for peace?

  Answer 1: As many people as possible (actors/affected parties, **more people**)

  Answer 2: **Key people**. Key people are individuals with significant influence over conflict dynamics who are thus able to decisively influence, stop or perpetuate the conflict.

- Question II is: **What** needs to be changed in order to pave the way for peace?

  Answer 1: **People's** attitudes, values, norms and capacities, and their actions (people's hearts).

  Answer 2: **Socio-political structures** within society

The two questions and their answers address four abstract **entry points for conflict transformation**. Thus, it is important to understand that the RPP matrix is a guide to analyse and craft **pathways of conflict transformation** by means of Theories of Change.

Station 4 showed how outcomes can be formulated using the ToC: ToC concerning the outcomes identify specific conditions or required changes to the conflict situation in order to reduce violence and promote peace. They describe a transformation logic for a conflict based on the following logic: If situation X comes about in the conflict dynamics (a change), then this has the conflict-related significance W, for reasons of V. Situation X is thus the prerequisite for W. These transformative prerequisites culminate in the intended outcomes. In turn, ToC are derived from these outcomes for the project activities according to the following logic: we best achieve the intended outcome X with the approach to peace work/the resources/the activities Y, for reasons of Z.
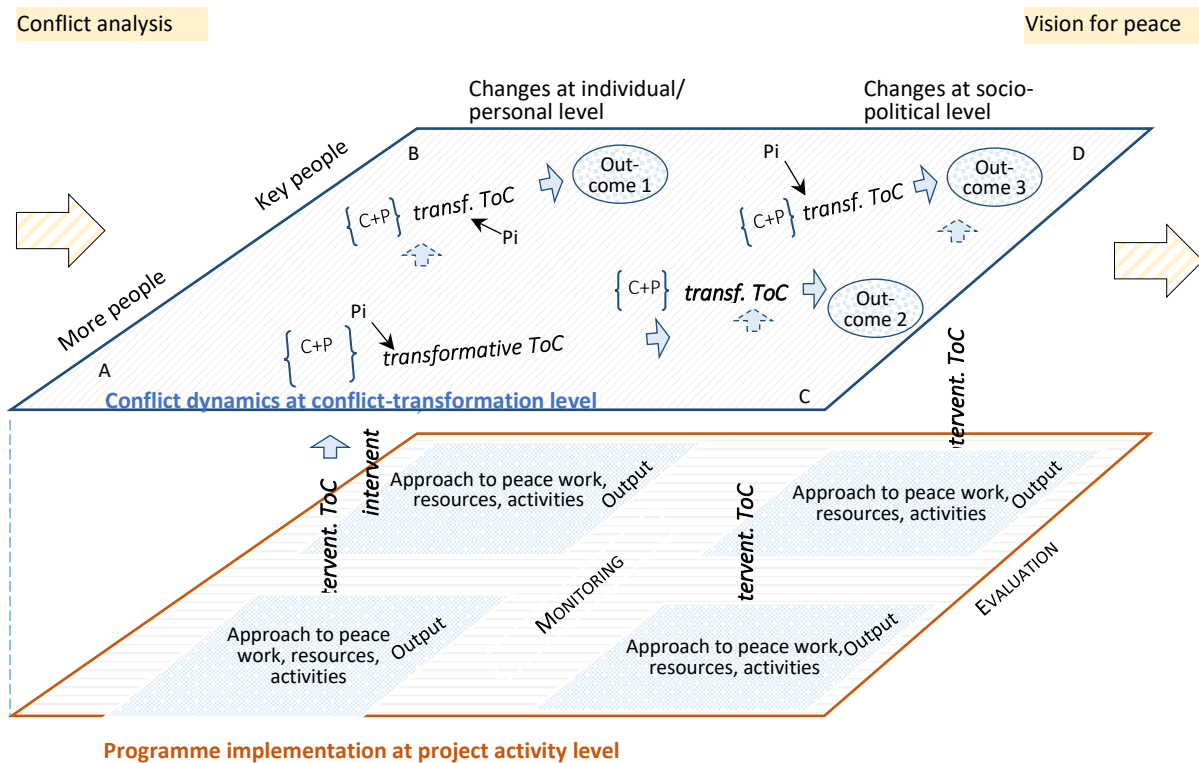
Outcomes and activities are located in one of the four matrix quadrants. Transformative prerequisites in **Field A** relate to what are considered to be necessary changes in attitude, behaviour, knowledge and capacity in a large number of actors in and those affected by the conflict, not just in a small number of key actors. Consequently, peacebuilding interventions in Field A are geared towards using selected measures to motivate as many people as possible to change their attitudes and behaviour. Topics such as peace education in schools and public spaces, mobilisation for public protest and peace demonstrations fall under this area. Transformative prerequisites in **Field B** are changes considered necessary in key conflict actors. Consequently, activities in Field B include several different approaches, such as promoting encounter, dialogue and confidence-building measures at the level of key actors, as well as building international pressure, and threatening with punishment and sanctions. Prerequisites for reduction of violence in **Field C** relate to necessary socio-political changes that must be initiated by a greater number of people. We are dealing here with bottom-up changes. Consequently, programme measures in Field C often involve

the mobilisation and organisation of a large number of people (in some cases a larger number of people in mid-level power positions as well). Through election observation, voter education, the establishment of youth and women's organisations, trade unions, human rights organisations and networks, these measures seek to create institutions and structures by which conflicts can be resolved. In **Field D**, we find peacebuilding conditions of a socio-political and structural nature, conditions that can be largely or exclusively brought about and consolidated by key actors in the conflict context. Correspondingly, conflict reducing measures in Field D pertain to key actors and their technical and political responsibilities and power. Examples include legislation on victim and witness protection or reforms in public administration and the security apparatus.

Station 5 addressed the requirement to determine signposts before and during the PME journey. Is the project headed in the direction as we have planned? We should be able to answer this question using **process indicators**. The technical and methodical challenges involved in putting good process indicators in place in the PME process are manifold, as illustrated by the SMART requirements alone. Fundamental requirements for applying good process indicators include in-depth knowledge of conflict dynamics, the ability to identify transformation and results models in the given conflict in advance and during programme implementation, and the ability to build a sufficient degree of freedom into the process of determining possible future developments.

Station 6, at which we currently find ourselves, shows us in a different way than Section II how the various components of our understanding of CPS results are linked to the RPP matrix and how the RPP matrix can integrate these components. The 'RPP matrix– reloaded' is a two-tier model that distinguishes – also graphically – the two types of ToC (transformative and interventional) and highlights both their technical difference as well as their interplay in results-based CPS peacebuilding programmes. The two-tier model also enables us to better relate the components as well as the planning, monitoring and evaluation phases of a GIZ/CPS programme to the RPP matrix.

RPP matrix: Conflict-transformation and project-activity levels

Conflict analysis

Vision for peace

Changes at individual/
personal level

Changes at socio-
political level

Key people

More people

B

{C+P} *transf. ToC*

Pi

Out-come 1

Pi

{C+P} *transf. ToC*

Out-come 3

D

{C+P} *transf. ToC*

Out-come 2

A

Pi

{C+P} *transformative ToC*

Conflict dynamics at conflict-transformation level

C

intervent. ToC

intervent. ToC

intervent. ToC

Approach to peace work,
resources, activities

Output

Approach to peace work,
resources, activities

Output

MONITORING

Approach to peace
work, resources,
activities

Output

Approach to peace work,
resources, activities

Output

EVALUATION

Programme implementation at project activity level

Legend:

{C+P}	Factors of conflict and potentials for peace as determinants of a given conflict
transf. ToC	Transformative theories of change
intervent. ToC	Interventional theories of change
Pi	Process indicators
Outcomes 1 – 3	*Direct* results planned or actually achieved during the programme or project term in different quadrants of conflict dynamics.

The 'RPP matrix– reloaded' reads as follows:

Conflict dynamics at conflict transformation level:

- In RPP processes (during programme planning and implementation), planners and the CPS experts charged with monitoring and evaluation make initial (and repeated) use of the **conflict analysis**. Based on the overall picture provided by the conflict analysis, conditions, i.e. prerequisites in conflict dynamics that need to come about or be achieved are defined such that: first steps in the conflict transformation process can be taken, then a second phase of transformation can be initiated, and finally the transformation can be consolidated. As such, like the matrix in the diagram, the RPP process stretches out between the **conflict analysis** and the **vision for peace**.

- What lies between the **conflict analysis** and the **vision for peace**? Firstly, an idea of how to get from A to B, that is, an idea of the steps needed to move towards a peaceful conflict transformation, and an idea of how someone can contribute to making joint progress along this route. In the RPP process, these ideas are known as **theories of change** and

these Guidelines refer to them as **transformative theories of change**. As mentioned above, they are – in the broad sense of the term 'theory'[33] – theories of conflict transformation.

- The RPP matrix is essentially derived from two initial questions and the two answers to each of these questions: **Who** needs to change (or change their behaviour)? Answer: 1) 'Key people' or 2) '**More people**, other actors and affected parties'. **What** needs to change? Answer: 1) Attitudes, values, norms, etc. 2) Socio-political structures.

- The matrix is a conceptual, analytical grid that brings a certain order to relevant **factors of conflict** and the **potentials for peace** which both determine the dynamics of a conflict. The matrix puts them into context. Factors of conflict and potentials for peace have been identified during conflict analysis and analysed in terms of their respective effects as well as their significance for conflict transformation towards positive peace. This understanding of conflict dynamics can be used to derive **steps and pathways of conflict transformation** that can and must be taken in order to arrive at a target situation (e.g. milestone) or an outcome.

- **Outcomes** are the changes in conflict dynamics that CPS and its partners consider necessary and sufficient for the conflict transformation process to be invoked. Technically, i.e. in terms of a rationale for peacebuilding, they are derived from the transformative ToC. The RPP approach now groups these outcomes – or the preceding interim steps and milestones –, which are considered necessary and sufficient to achieve these outcomes according to the logic of the RPP matrix:
  - in terms of individual/personal changes (attitudes, norms, values, etc.) among key people in the conflict context (Quadrant B);
  - in terms of socio-political changes, initiated and established by key people (Quadrant D);
  - in terms of individual/personal changes on the part of more people, actors and affected parties in the conflict (Quadrant A), and
  - in terms of socio-political changes brought about by more people (Quadrant C).

- Process indicators signal the state of affairs with regard to the conflict transformation process planned by the programme and driven by the project. They show whether and which interim steps and milestones have and have not been taken/reached on the way to achieving the outcome.

- In this way, the matrix is now also helping to relate the outcomes and possible interventions which have been (a) formulated in a joint country strategy by the CPS Consortium, (b) planned by the GIZ/CPS programme and (c) possibly specified or amended for the GIZ/CPS project implementation process. This works best if you imagine three RPP matrices, one for each of the three **CPS levels of operation**, layered on top of one another. Outcomes in the matrix quadrants at project level relate to outcomes in the quadrants at programme level. These in turn ideally relate in a plausible manner to the outcomes formulated by the Consortium. For example, a joint country strategy can apply the RPP matrix to locate the different contributions of the CPS Consortium organisations to conflict transformation in a country based on the matrix logic, and show how these contributions can work together to bring about PeaceWRITLarge. These are then the transformative ToC, formulated at Consortium level.

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[33] For more on the term 'theory', see Glossary.

Programme implementation at project-activity level:

- A CPS programme **intervenes** with its approach to peace work (resources, methods, activities) in selected areas of the conflict and attempts to change certain factors of conflict. The intervention cannot achieve an intended outcome and bring about peace overnight. Rather, it is often necessary to work on several factors at once and always in a particular order of succession. The connection between order of succession and the prerequisites for achieving the outcomes, are described in the transformative ToC and the results model, respectively. The approach to peace work, i.e. the deployment of resources, the activity plan and its implementation are aligned with prerequisites and order of succession. **Therefore, the interventional ToC follow the transformative ToC**.

- From the programme intervention perspective, outcomes are changes in conflict dynamics achievable or to be brought about by means of resource deployment and activities. It is only possible to have an appropriate and timely effect on the conflict dynamics if all **activities and the corresponding resources** are interlinked based on the intervention logic. Activities and their outputs only facilitate the achievement of the outcomes if they reference one another and are systematically interlinked. When it comes to planning programmes, for example, the following questions arise: In which quadrants are we particularly active? Is this expedient as regards the outcome(s)? If we lack resources for one area, which other actors or partners could make a contribution here? A professional, technically sound formulation of ToC both at conflict transformation and project activity level is demanding and requires thorough analysis and expertise.

- The RPP process and the matrix also support the monitoring process. For one, because the distinction between transformative ToC and assumptions concerning the working approach and outputs (interventional ToC) clarifies our understanding and use of process. Indicators tell us how close to or far away from an intended outcome the implementation has moved (provided the indicators are valid). These indicators refer to the effects of the intervention. Secondly, the logic of the RPP matrix also makes us aware that we need indicators that show whether and how the outcomes achieved contribute to other outcomes (of the GIZ/CPS programme or of the other CPS organisations in the country) and to what extent the outcomes achieved contribute to conflict reduction and PeaceWRITLarge (transformative ToC).

Station 7 (see next sub-section) illustrates the **monitoring** function in PME and builds seamlessly on the content regarding process indicators at Station 5. It enables us to see the job of the monitoring expert as professionally applying process indicators within the complex framework of the project's progression. Station 7 also makes reference in this context to the supporting use of the RPP matrix (see diagram above): (a) Monitoring relates on the one hand to the project and activity levels. What is the quality level for the process for generating outputs, the implemented project activities and the outputs themselves? Are resources deployed efficiently? What is the quality of cooperation in the CPS programme and of the expertise contributed by the staff? How does this affect achievement of the intended outcomes? (b) On the other hand, monitoring also addresses the level of conflict dynamics and transformation that is, the outcomes. The matrix raises here some interesting questions, such as: What are useful process indicators for our intended outcomes in the quadrants? Which indicators can we use to identify links or directions of results **between the quadrants?**

With its distinction between 'formative evaluation' and 'summative evaluation', **Station 8** concludes both this section (IV) and the core document of the guidelines as a whole. The former denotes the form of 'accompanying evaluation' that is generally closely related to the monitoring process. Accordingly, the RPP matrix can also serve here as a structuring instrument. The 'summative evaluation' is found at the end of the project or programme. It is focused on the final result and reviews the level of achievement of the intended outcomes. The RPP matrix also supports the summative evaluation: Retrospectively, which building blocks of the CPS understanding of results were properly designed and implemented? How valid are (or were) our theories of change? What about our transformative ToC, what about our interventional ToC? And was the programme successful in transforming changes at individual/personal level to changes at socio-political level?[34] In this way, the RPP-based evaluation of CPS programmes can once again provide lessons learnt for other and new CPS programmes.

RPP effectiveness criteria

It became clear in the RPP process that success criteria are far more difficult to identify than the negative effects that are to be prevented. Peacebuilding is generally unable to achieve quick results – peacebuilding measures must therefore be implemented over a longer period of time and monitored in terms of their long-term effect. At the current point in time, RPP proposes five criteria for effectiveness (→ Station 2: Vision for peace as a film script). Effective projects and programmes:

- motivate participants or communities to develop their own peace initiatives;
- lead to the establishment or reformation of political institutions to tackle existing conflicts/grievances;
- increasingly mobilise people to resist violence and provocation to violence;
- increase people's safety, and
- identify key factors in the escalation of violence and attempt to weaken or eliminate these factors.

The strategic connection of interventions in line with the four quadrants of the RPP matrix is elementary when it comes to making a useful contribution to peace.

Strategic connection

The strategic connection of different interventions in peacebuilding work helps to expand the **reach** of individual activities, because peace does not increase automatically as the sum of individual project activities (including those common to all CPS organisations). There are numerous examples of how different peacebuilding activities can even work against one another. In the West Nile region of northern Uganda, for example, local and international peace initiatives worked for many years to promote negotiations between the government and the Uganda National Rescue Front II. An amnesty law introduced by the government provided the necessary socio-political backdrop. At the same time, other actors made a massive push for crimes committed during the war to be legally prosecuted, something that counteracted efforts to promote negotiations. In summary, we can observe that an organisation that pursues a specific approach to peace yet fails to link its activities with interventions in other fields will fail to achieve the goals of peacebuilding work. Peace organisations that wish to make an impact cannot work in isolation.

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[34] See below the paragraph on targeting the socio-political level

The key factors emerging from the conflict analysis and the strategic points of intervention in the design and planning of a new project provide the starting point for effective peacebuilding work. This is the only way that a strategic relationship can be established between the conflict analysis and the impact (PeaceWRITLarge). The basic prerequisite is that the transformative ToC are right for the outcomes and that the process indicators provide transparent information about the change process.

Time frame

Conflicts are subject to different time frames than project cycles. Continuity therefore plays a key role in peacebuilding work. A long-term and careful approach is essential when it comes to successfully involving all key conflict actors in an inclusive peace process. As such, we need to ask not only whether the change is happening as quickly as possible, but also whether the peace process is proceeding as slowly as necessary to achieve real inclusion. This must be taken into account in programme and project planning. There is also a need for continuity and stability in the support provided by CPS experts. Constant change at personnel level places great strain on local partners. This must be taken into account when planning human resource deployment.

The planned long-term interventions target the socio-political level

Many actors engaged in peacebuilding interventions are involved exclusively at the individual/personal level as depicted by the RPP matrix (Quadrant A and Quadrant B). Here, they teach skills that can be crucial for local actors (e.g. non-violent communication skills), but that do not automatically affect the socio-political level. RPP points out that **only changes that take effect at socio-political level** indicate and facilitate sustainable conflict transformation and positive peace. Based on this premise, while changes at personal/individual level among key actors or among other actors or those affected by the conflict are necessary, they do not fully meet the conditions for achieving PeaceWRITLarge. Consequently, the classic RPP matrix mainstreams outcomes (unlike activities and process indicators: all four quadrants) fundamentally and exclusively in the two quadrants C and D. At GIZ/CPS, **we intentionally expand the options for outcome location** and also allow outcomes to be located at the individual/personal level, provided this outcome is linked with other outcomes at socio-political level and embedded in comprehensible ToC. However, this does not lead us to call into question the basic idea behind RPP, namely that activities of organisations engaged in peacebuilding work that do not have a long-term influence at socio-political level and do not bring about changes there should not be considered to be effective. When it comes to activities and process indicators in particular, all quadrants are relevant (see above). However, the challenge will always be to design interventions in such a way that their mutually-reinforcing nature enables them to have a long-term influence on the socio-political level.

Overall, the effectiveness and sustainability of a programme depend to a very high degree on the extent to which more people and key people can be connected. Key people are individuals who are capable of influencing processes of violence and peace, respectively. Because informal actors can also influence the conflict, they are given special consideration in the RPP rationale.

In practice, it is sometimes advisable to work with several RPP matrices in order to provide a clear picture of the situation. One or two outcomes can then be entered for each matrix, along with their corresponding ToC and activities. These outcomes are then placed side by side at the end and compared with one another.

RPP helps us to look at the overall context and supports the project and programme coordination. Allocating the intended direct results (outcomes), process indicators and activities within the RPP matrix subsequently permits plausible justification of the contribution made by the CPS resources to achieving a specific result. The RPP matrix maps the results model of GIZ/CPS as a model. ▲ Consequently, it is **mandatory for coordinators and CPS experts** to have knowledge of and expertise in using the RPP Matrix.

Conflict sensitivity
- How could the planned projects and activities be received by different actors?
- How many individuals within specific groups (e.g. those from different ethnic and social groups and with different educational backgrounds, etc.) benefit from the activities?
- Does external funding (local and other subsidies) release local resources that are used to promote violence or does it support an economy of violence either directly or indirectly?
- Do publicity and publications harm the target groups or the PO?

Gender
- To what extent do men and women have equal access to projects and activities? Is a particular social group disadvantaged (e.g. because activities can only be run in the day when women cannot take part in them because they are out working in the fields)?

Human rights-based approach
- To what extent are all those involved at GIZ/CPS and in the PO familiar with the goals including outcomes and activities? Have these goals, outcomes and activities been communicated transparently and developed on a participatory basis? Are all involved actors committed to respecting and complying with human rights standards and principles in their work?
- What criteria are used to select target groups and project regions? Are these criteria transparent, clear and non-discriminatory?
- What is done to involve groups that are normally marginalised?

When and where?

As a reflective process, RPP is especially relevant with regard to the planning logic and the monitoring process. The following question is asked for the conflict analysis: How can conflicts be linked with programme strategies? The following questions are asked with regard to planning: Where do I want to go? What can we do? What can others do? The following questions are asked with respect to the interim report/monitoring process: Where do/did we want to go? Are we still on the right track? Are we still headed in the right direction or have we inadvertently veered off course somewhere along the line? At overall level, the primary focus here is on querying the effectiveness criteria.

How do our interventions contribute to PeaceWRITLarge? The process of locating ToC, outcomes and activities in the RPP matrix needs to form part of the planning process. At the same time, it is possible to jointly modify and add to the RPP matrix with partners at any time. The RPP matrix is also suitable for the process of drafting the CPS organisations' joint country strategy (TLS).

Who?

The CPS expert and the coordinator should have a good knowledge of key RPP findings and take them into account in their day-to-day work. They should be familiar with and able to use the RPP Matrix. For CPS experts, it is helpful to work with the PO in the operational planning process to fill the RPP Matrix. Where this is not possible, experts should create and reflect on the matrix at specialist group meetings. If outcomes and activities are consistently located and documented in all projects, then this will make it easier to depict causal links in a uniform manner. This will also facilitate comparative studies between the country programmes. Additionally, the documentation of results using the matrix can greatly simplify the reporting work of CPS experts and coordinators.

Relevant Working Aids:
- Working Aid 2: RPP matrix

Further reading:
- Website: http://cdacollaborative.org/cdaproject/reflecting-on-peace-practice-project/
- CDA (2003): Confronting War: Critical Lessons For Peace Practitioners, see http://cdacollaborative.org/publication/confronting-war-critical-lessons-for-peace-practitioners/.
- CDA (2009): Reflecting on Peace Practice. Participant Training Manual, see http://dmeforpeace.org/sites/default/files/CDA_RPP%20Manual.pdf.

⑦ Station 7 – Monitoring: are we on track?
Comparing target and performance, adjusting time tables

In the world of computer programming, 'reflective programming' refers to the ability of a programme to know, reflect on and, if necessary, modify its own structure. When it comes to peace projects entailing a particular degree of social responsibility, **ongoing reflection** on our own actions and their effect is crucial. In order to retain an overview of everything, it is necessary to compare the **target situation and the actual situation** with regard to the project objectives at output, outcome and (in regard to the programme) impact level. This enables us to reorientate and prevent unintended negative effects if necessary.

At GIZ/CPS, monitoring is understood as a **participatory process** that involves as many relevant actors as possible and not only records but also regularly evaluates the (process) indicators for results.

> **Monitoring** involves measuring and observing processes and phenomena. In development cooperation, particular attention is given to examining results (direct and indirect). At GIZ/CPS, monitoring generally also involves evaluating the information recorded during the monitoring process (formative evaluation).
>
> The **formative evaluation** is conducted alongside a project or programme. This is done with the intention of initiating learning processes in order to adapt ToC, outcomes, process indicators and activities where relevant. The monitoring results are thus fed in a timely manner into the process of designing the operational action plans. This gives rise to the three-step approach so vital for GIZ/CPS: Monitoring-review-adjustment.

▲ A prerequisite for effective monitoring is that the entire CPS country team and the PO develop a **mentality of ongoing reflection** or what is known as an **M&E mindset**. Monitoring and process-oriented evaluation can be integrated relatively easily into everyday project work. Each programme has the ▲ opportunity to reflect on monitoring activities in team meetings, specialist group meetings and planning workshops. It is important in this context to document the results thoroughly in writing in the form of minutes and/or updates to the monitoring formats.

Key questions concerning participatory monitoring

▲ Activity level (outputs)

Have planned activities actually been implemented? In what form? Over what time frame? With which target groups (number and social structure)? And with which results (outputs)? What kind ▲ of (quantitative and qualitative) feedback was provided by seminar and workshop participants? Who was involved in planning and implementing the activities (gender, ethnic balance)?
Are the resources (human and financial) being deployed efficiently?

Cooperation within the team with the PO

How well does the GIZ/CPS team work? Is it managing to implement the operational action plans? Who is involved in this and how? How would you assess the work of the PO? Were the design of the activities heavily steered from outside (for example, by the CPS expert), or was it possible to identify a high degree of initiative in all or in individual phases on the part of the PO? Did the PO generate additional knowledge and gain key experience? Have this knowledge and experience been processed, reflected upon and documented?

Outcome level (programme and project)

Did the intervention have the expected effect on the target group, key actors or the political environment? If so, what effect exactly?

Revisiting the process indicators

To what extent were the programme and project process indicators achieved? For example, are there actors present at the negotiating table who were not there before? Has there been a positive change in the linguistic connotations and rhetoric of the radio programmes compared with the situation six months ago? Has there been a significant increase in the participation of girls and women in decision-making process? Is it possible to identify whether there is a link between the outcome/direct result and our project activities? If so, what kind of link it is? Is this link plausible?

▲ Using the RPP matrix

Where exactly are outcomes and process indicators located? In which quadrant? What sort of links exist between the quadrants? Were the assumptions (ToC) correct? Are we on the right track? Are the project process indicators directly related to the programme process indicators? Can the project outcomes be achieved as planned by the end of the project or programme? If not, how can we explain this? What is missing? What should be changed (change of plan)?

Impact level (programme)

To what extent did the project outcomes (with respective process indicators) contribute to the programme outcomes? Have there been changes with regard to negative and positive peace? Can at least some of these changes be attributed to the programme? Is this correlation plausible? What would not have happened without the CPS programme (counterfactual situation)? For all the optimism, it is necessary to weigh things up extremely carefully and examine matters honestly. Attributing a specific effect at macro level to an individual project, remains a major challenge.

When, where and how does participatory monitoring take place at GIZ/CPS?

Ideal monitoring processes at the different levels of operation are outlined below.

Monitoring at the level of the CPS Consortium

At the level of the CPS Consortium, the CPS organisations meet ideally once a year to reflect on the outcomes listed in their joint country strategy. The conflict analysis is adapted and updated as required, especially if there has since been a fundamental change in the conflict situation. BMZ wishes to be involved in the monitoring process in every third year. Representatives from the head offices, key people from the CPS PO and other experts can take part in the meetings alongside the coordinators, CPS experts/local experts from the CPS organisations involved in the joint country strategy.

Monitoring at GIZ/CPS programme level

The contributions of the PO, the CPS expert and the national expert to the outcomes at programme level are reflected upon at regular meetings (at least once every four months). Programme monitoring meetings can be held as part of the specialist group meetings (CPS expert, national expert, coordinator) which are conducted several times a year. Additional PO staff can be invited to these meetings if needed. At programme monitoring meetings, the results achieved by the PO (i.e. through the project measures carried out as part of cooperation) at the level of the project outcomes are presented and discussed with the aid of project process indicators. Their contributions to the outcomes and process indicators at programme level are then jointly reflected upon. An overview of outcomes at programme level is helpful here as a template and working document (→ Manual 7: Project outcome monitoring; → Manual 8: Programme outcome monitoring). This overview can already be filled with information ahead of the programme monitoring meeting with the aid of the local subsidy reports and CPS expert's reports (→ Manual 10: CPS expert's report; → Manual 14: Local subsidy report). Responsibility rests here with the coordinator, but it can also be delegated to other experts (e.g. PME expert). During the meetings, changes at impact level (indirect results) should also be reflected upon. Success stories at impact level can be identified and prepared (→ Manual 18: Success and learning stories).

Monitoring at project level

PO should come together with their CPS experts/local experts at regular monitoring meetings to reflect upon their contribution to results (including potentially negative results) with regard to the project outcomes specified in the planning workshop. It is important to discuss in this context the extent to which project measures carried out as part of cooperation have contributed to fulfilling the process indicators and whether effective steps have been taken towards achieving the project outcome. The results of the CPS expert's advisory services can also be evaluated at this stage in cooperation with the PO (→ Manual 9: Monitoring the (results) contribution of the CPS expert). Consequently, plans for further measures will be adapted to the results of these monitoring meetings. Similarly, the conflict analysis should be updated on a regular basis.

When it comes to monitoring at project level, it is necessary to examine in greater detail the measures that are being planned jointly by the PO and CPS and local experts. CPS funds the measures by means of local subsidies, with corresponding measures being planned with the aid of local subsidy (project) proposal. The applications describe both the planned activities with inputs and target groups, and the anticipated contributions to the project outcomes based on the assumptions (ToC) and the project process indicators.

Once the activities have been completed, the PO produce local subsidy reports detailing the outputs achieved by the activities, the results contributions at outcome level and the unintended results. Ideally, the reporting period should be 12 months and its schedule should be harmonised with the BMZ technical report and the coordinator report. If, due to the shorter duration of local subsidy (project) proposal, a 12-month reporting period is not possible, it may be helpful to introduce an additional annual report by the PO. In the case of sporadic cooperation with one or more PO without the involvement of experts, local subsidy reports will suffice. However, these reports should also reflect on the contributions of the project to the outcomes (at project level at least).

Additional information on the achieved results (outcome, impact) and potential negative consequences can be obtained by conducting interviews with the target groups and key people.

⚠   It is advisable when conducting training and workshops to use standardised questions to obtain qualitative and quantitative feedback from participants.

The results of all of these reports are then fed into the programme monitoring meetings and the programme overview of outcome/impact in order to create the link between the project and programme level. Generally speaking, an attempt should be made to compare the M&E system of the PO with the M&E requirements of GIZ/CPS in order to cut out additional work and save time.

Monitoring the contributions of CPS experts and local experts

Participatory results monitoring (ideally on a monthly basis) should be a firm and regular feature of the day-to-day work of experts. In this context, the project process indicators should be used to observe and formally evaluate intended and unintended results at project outcome level. The results of these reflections can be used for the annual CPS expert's reports and the local expert's reports, which document among other aspects contributions to the project outcomes. The findings of the reports serve in turn as a source of information for the programme and project monitoring meetings with experts, POs and coordinators, and are fed into the programme overview of outcome/impact.

However, a key aspect of this monitoring process at expert level involves reflecting on the contribution made in this context by the CPS experts/local experts. The focus is on clarifying the feasibility and expediency of the expert contributions agreed at the planning workshop. It is necessary to check whether the experts are actually being deployed in the agreed way and in the right place so that their advisory and support services better equip the PO to achieve the outcomes agreed as part of the cooperation arrangements. The advisory services offered by CPS experts that go beyond purely substantive peacebuilding work such as organisational development, fundraising, communication and supporting the projects of other donors should also be a topic at the planning workshop and, ideally, undergirded with a corresponding film script and set of indicators.

If the contribution of the expert proves largely ineffective and inexpedient, then, after clarifying the reasons for this (such as a need for support elsewhere on the part of the PO, different expectations, etc.), a review should be carried out to determine how the expert can better support the PO.

Conflict sensitivity

- What expectations have been created among local actors? If unrealistic expectations have arisen, how can this be avoided in future?
- Has it been possible to avoid financial and informational dependency? To what extent? If so, in what way? If not, what needs to be done differently in future?
- Are there any substitution effects overlying the existing (in)formal structures of communication, dialogue and mediation (e.g. as a result of the creation of parallel networks or structures by external actors)? If there are, what alternative scenarios are conceivable in future?

Gender

- How do men and women assess their participation and the usefulness of the activity or the project?
- Were there differences in the extent to which men and women were able to be involved in planning and carrying out activities or projects? If so, why and with what result?

Human rights-based approach

- Are there activities or projects that hamper or run contrary to the realisation of human rights standards?
- How does GIZ CPS take account of human rights principles such as non-discrimination and equal opportunities, empowerment and participation, and transparency and accountability? What does this look like at the POs?

Relevant Working Aids:
- [Working Aid 7: Project outcome monitoring](#)
- [Working Aid 8: Programme outcome monitoring](#)
- [Working Aid 9: Monitoring the (results) contribution of the CPS expert](#)
- [Working Aid 10: CPS expert's report](#)
- [Working Aid 14: Local subsidy report](#)
- [Working Aid 15: Monitoring and updating the CPS organisations' joint country strategy](#)
- [Working Aid 18: Success and learning stories](#)

(8) Station 8 – Evaluation: encounter with the film script
Fantasy film, propaganda film or documentary?

Peacebuilding work should help to establish and maintain peace and reconciliation. On our PME journey, we keep asking ourselves whether we are really making a relevant contribution. Where do we stand? Is our work making a difference? We must follow up our ongoing monitoring of our performance with critical evaluation of that performance, as this is the only way that we can hope to do the right thing.

Formative evaluation, understood as a participatory learning process in which outcome and impact are reflected upon, is conducted on a regular basis at programme and project level. Based on this learning process within the GIZ/CPS team and the PO, ToC and activity plans are adjusted as well as outcomes and process indicators as deemed necessary.

> **Formative evaluation:** The formative evaluation is conducted at different points in time during programme implementation. Process indicators are checked and reflected upon and results are evaluated on a regular basis. If deemed necessary, theories of change, outcomes formulated at project level and activity plans are being adjusted. Formative evaluation thus contributes to organisational learning processes in order to adapt theories of change, outcomes, process indicators and activities where relevant.
>
> **Summative evaluation:** A summative evaluation is conducted after completion of a project or programme. It evaluates the results of the implementation and the respective results model of the programme, the efficiency of the implementation, and the sustainability of the results, (→ Station 7: Monitoring).

Evaluations that collectively assess the project, programme and cooperation with the PO can be used to soundly substantiate contributions made by GIZ/CPS to peace and reconciliation. These contributions can be translated into success stories and used for public relations.

At the level of the CPS organisations' joint country strategy, that strategy is reviewed and compared with the project work completed to date on a regular basis (de facto every three to five years), in accordance with the term of the respective joint strategy.

At GIZ/CPS programme level, this review and comparison should be carried out at the end of a programme cycle (→ Manual 16: Report on lessons learned workshop). Evaluations at the end of a CPS programme should be conducted by external appraisers wherever possible (in cooperation with the GIZ/CPS team).

Summative evaluation is also carried out at project level. This involves evaluating the overall performance of the project (usually after three to five years) on the one hand and analysing cooperation with the PO by means of appraisals of the project placement on the other. At expert level, the work of and cooperation between CPS/local experts and the PO are evaluated.

The Manual below provides further information on how to get started with evaluating a CPS programme.

➡️ **Relevant Working Aids**:

- Working Aid 9: Monitoring the (results) contribution of the CPS expert

Further reading:

- OECD DAC (2012): Evaluating Peacebuilding Activities in Settings of Conflict and Fragility – Improving Learning for Results, see http://www.oecd.org/dac/conflict-fragility-resilience/publications/4312151e.pdf.
- CDA; Rogers, Mark (2012): Evaluating Relevance in Peacebuilding Programs, see https://www.cdacollaborative.org/wp-content/uploads/2016/01/Evaluating-Relevance-in-Peacebuilding-Programs.pdf
- CDA (2009): Reflecting on Peace Practice. Participant Training Manual, see http://www.dmeforpeace.org/sites/default/files/CDA_RPP%20Manual.pdf.
- CDA; Reimann, Cordula; Chigas, Diana; Woodrow, Peter (2012): An Alternative to Formal Evaluation of Peacebuilding: Program Quality Assessment, see https://www.cdacollaborative.org/wp-content/uploads/2016/02/An-Alternative-to-Formal-Evaluation-of-Peacebuilding-Program-Quality-Assessment.pdf

Epilogue: Knowledge management

PME expertise – a value-adding resource for CPS?

CPS understands knowledge management as a **process of joint learning from experience**. Knowledge management and PME are closely linked processes; they mutually benefit one another. On the one hand, information and conclusions drawn from the M&E process are relevant for the process of joint learning in the global programme. The overarching analysis of lessons learned from the M&E process provides the basis for safeguarding and improving quality and results in CPS, e.g. by making monitoring and evaluation findings available for planning processes and replicable innovative approaches.

On the other hand, knowledge management is understood as the planning, monitoring and steering of processes and instruments that increase the effectiveness of knowledge as a resource. As such, it is a targeted process and needs to be taken into account from the outset at both programme and project level. Thus, knowledge management and learning should be a **fundamental part of PME**.

Planning knowledge management

Supplementing **substantive planning,** it is necessary to define **the kind of knowledge** to be generated, documented/systematised and shared as part of the programme or project and to specify how this is to be achieved. This knowledge can be fed into the programme and/or project planning process in the form of activities (e.g. a lessons-learned workshop), services (linking up partners for the purpose of knowledge-sharing) and/or products (publications, etc.), and furnished with corresponding resources (time, budget).

Thematic priority areas for joint learning should already be specified at the level of the CPS organisations' joint country strategy. This should be taken into account at programme level when preparing the proposal and at project level during the planning workshop.

Some key questions:

- What experience can we draw on within the CPS global programme?

- From whom and with whom can we learn? How can we shape this sharing of experience within our programme/project? What resources do we need for this?

- Which experiences of our own may be of interest to others? How can we systematise and pass on this experience? What resources do we need for this?

More specifically:

ToC

- Which assumptions (ToC) and strategies could be used to achieve results within the different CPS approaches to peace work? How can these ToC and strategies be fed into our own programme/project planning process?

Outcomes

- Which activities, instruments and methods have proven particularly helpful on the way to achieving the results?

Monitoring knowledge management

- What has worked well so far and should be continued (promising practices)? Why exactly did this work well?
- Where did problems arise? Why did these problems arise? What should be changed during the remainder of the implementation process?
- What solutions have already been attempted and how did they work?
- How are relevant experiences in programme/project work documented and passed on?
- How did dialogue and networking processes work within the CPS programme and projects?

Evaluation of knowledge management

- What worked well and can be passed on to other programmes/projects (good practices)? Why exactly did this work well? How exactly could this success be repeated in a similar programme/project? Who must do what, and when and how must they do it?
- Where did problems arise and why? What was changed as a result? What solutions have worked? What exactly would need to be done differently, done in the first place or not done in similar programmes/projects in order to stop the problem arising again?

V.   Working Aids

Practice makes perfect – and working aids can help …!

Glossary

Activity
Operational action during day-to-day project work. Derives technically from the defined outcomes and process indicators. Largely determined by the programme's approach to peace work. According to the results model of PME, activities are formulated *after* impact and outcomes of the programme are defined. Activities are founded on interventional theories of change.

Actor analysis
Description of some or all actors or groups of actors involved in a conflict, their stakes, interrelations, strategies, perceptions of the conflict, and power bases.

Approach to peace work
A specific type of peacebuilding work, employed in two contexts at CPS: a *joint* approach to peace work for the CPS organisations as part of their joint country strategy (TLS) in a particular country, and a *specific* approach to peace work of individual projects. The approach to peace work determines the points and levels at which and the methods by which the CPS organisations or projects intend to deploy the resources and carry out the work, and explains why this is a promising course of action (e.g. selection of cooperation partners, cooperation model and target groups, justification of interventional ToC, with reference among other things to the deployed resources).

Conflict analysis
A method for describing and depicting conflict dynamics. The result is a network of social (economic, environmental, …) cause-effect or if-then relations that drives conflict dynamics. It captures the past and the present times of the conflict and thus reflects its history as a basis for scenarios of conflict transformation.

Conflict dynamics
Interaction between a range of factors in the emergence and progression of a conflict (behaviour of individual actors/groups of actors and conditions in the natural and social environment of the affected parties).

Conflict sensitivity
Conflict-sensitive approach, *conditio sine qua non* for *all* development cooperation programmes, especially those involving peacebuilding work. Prerequisite: Critical consideration of the positive and negative effects of one's own behaviour/measures in programme/project interventions (based on the do no harm approach). Because CPS's work is explicitly geared towards promoting peace *(working on conflict)*, we seek not only to prevent damage *(do no harm)*, but also to have a positive effect on the conflict *(do some good)*.

Conflict transformation
A social change process of restructuring factors of conflict in a given conflict towards a particular objective. Peacebuilding interventions/programmes seek to bring about a change in the factors and causes of conflict. Often considered a systemic approach that emphasises the connections between various factors of conflict and their dynamics. Behavioural changes on the part of the actors, changed attitudes towards the conflict, and changes at structural, institutional and cultural level should make it possible to create a new, non-violent (transformed) reality.

Glossary

Connectors and dividers

Connecting and dividing elements in the context of a conflict. Elements could be behaviours, attitudes, opinions, power, skills, social organisations, social bonds, institutions, cultural patterns, symbols, natural resources, infrastructure, among others. Connectors transcend conflict boundaries (potentials for peace, actors for peace), while dividers exacerbate conflict and are actual or potential sources of violence (potentials for violence). The essential goal is to strengthen connectors and weaken dividers. The twin concepts of connectors and dividers represent a key insight from the Do No Harm approach and are identified by means of the conflict and actor analyses. They play a major role in selecting points of intervention.

Consortium

A group of CPS organisations in Germany.

Consortium level

The level of interaction between the CPS organisations working in a partner country and between those organisations and BMZ, along with the results of this interaction.

Context analysis

Analysis of the geographical, cultural, political, social, economic and institutional context, and consideration of external influencing factors of a larger (usually country-specific) reference framework.

Film script

A screenplay of the point in time when the conflict in question (or the parts the programme worked on) is transformed into a desired status. A method for developing an impact scenario. It fleshes out the desires, goals and values of people and stakeholders in conflict contexts. Useful especially for formulating the vision for peace (indirect, long-term result) but also the outcomes (direct result). It should provide scope for creative solutions and move people away from their fixation on problems. At the same time it should describe a realistic and achievable objective in the future.

Formative evaluation

Reflection of and evaluation on process indicators and results during programme implementation.

Gender

Socially assigned characteristics for women/men/LGBTI (lesbian, gay, bisexual, transgender and intersex) persons in distinction from their biological sex.

Human rights-based approach

Systematic reference to human rights standards (= fundamental human rights) and observance of human rights principles (non-discrimination ≙ impartiality, equal opportunities, participation, empowerment, transparency, accountability), strengthening rights holders (realising and claiming rights) and developing the capacity of duty bearers (e.g. state institutions and their duty to guarantee human rights); human rights-based approach ≠ human rights projects.

Impact ≙ PeaceWRITLarge ≙ Vision for peace

Longer term, *indirect* results of a CPS programme. Determinants: reduction of violence, positive peace.

Key people

Individuals who have a significant influence on conflict dynamics. Relevant in relation to the 2x2-table matrix of RPP.

Glossary

Local expert
Expert from the respective country of assignment who is directly associated and contractually connected with the PO. Employees of the PO who are financed by local subsidy and directly involved in CPS project implementation.

Monitoring
Observation and measurement and of processes and events.

More people
Many people, in general: people affected in some way by the conflict. Relevant in relation to the 2x2-table matrix of RPP.

Narrative
A narrative is a means of storytelling that influences the way the environment is perceived. It conveys values and emotions, is generally related to a cultural group and is subject to change over time. In this sense, narratives are not arbitrary stories, but rather established accounts that carry legitimacy (translated from: wikipedia.de). For CPS work, political narratives are especially relevant. For the purposes of these guidelines, these are visions and stories in linguistic form of the peace-building changes that have been achieved and are still to be achieved through CPS measures.

National expert
National expert staff member of GIZ within the CPS programme.

Outcome
Direct result planned or achieved during the programme or project term. Outcomes are formulated at both programme and project level. Programme and project outcomes must be clearly related to one another. Determinants: on the one hand, behavioural changes on the part of certain actors who make a major contribution to the change process and, on the other hand, structural changes in the cultural, socio-political and institutional spheres.

Output
Products (goods) and services produced through the activities of the CPS programme. There are three types: 1) events conducted in the course of programme implementation, 2) number or pro-portion of people reached with an activity, 3) output of a material nature; describe achieved pro-gramme implementation.

Peacebuilding needs
Needs identified through the conflict analysis which must be addressed as part of the conflict transformation process. Peacebuilding needs are reflected in the PME process of GIZ/CPS primarily in the transformative ToC (and, in the next step, in outcomes and process indicators, by the following question: What needs to change in the conflict-laden society and the conflict region in order to reduce personal and structural violence and pave the way for positive peace?

Process indicators
Show how to identify intermediate steps on the way to achieving the intended results of the programme. They are adapted or supplemented with additional indicators during programme imple-mentation, unlike outcomes, which cannot be changed.

Programme
A peacebuilding intervention plan for a given country (sometimes for a cross-border region) that has been approved by BMZ's Engagement Global initiative.

Glossary

Programme level

Level of interaction between proposal management actors (BMZ proposal) and the programme planning team. Interface between local project implementation actors on the one hand, and the BMZ programme and subsidy management team and CPS Consortium on the other hand.

Project

Local implementation of the programme by means of cooperation with the partner organisation(s) locally (different forms and constellations depending on the programme).

Project level

Interaction between actors who are involved in implementing the programme locally actors and people who are affected by its implementation. Programme activities and measures are conducted at project level.

Reflecting on Peace Practice Matrix (RPP matrix)

2x2-table matrix, providing an integrated and ordered visual representation and contextualisation of key elements of the PME process. Key instrument for the analysis and the depiction of (planned) results and the results model of a GIZ/CPS peacebuilding programme.

Resources

Funds, materials, equipment, and technical and advisory skills of the deployed CPS organisations and CPS experts as well as the expertise, funds, equipment and social capital of local partners.

Result

Intended or unintended, positive or negative changes in a situation or of behavior as the direct or indirect consequence of an intervention. An intended, defined effect that an intervention will have or has on the target group, on (regional) public goods, structures or policies (from: Cooperation Management for Practitioners. Managing Social Change with Capacity WORKS, GIZ GmbH (Ed.), 2015).

Results model

A shared vision of change. Presents a progressive sequence of causally interdependent positive changes. It depicts a change process that is supported by jointly agreed activities. As a model, it is a simplified representation of reality. It does not claim to represent the full complexity of the actual situation. Using a results model fulfils several functions. It assures quality during strategic planning. It summarises the strategic orientation and the conceptual design of a project. It clarifies the areas that activities will address. It provides a guideline for joint steering. The actors base their approach on the underlying results model, which they use as a basis for implementation (from: Cooperation Management for Practitioners. Managing Social Change with Capacity WORKS, GIZ GmbH (Ed.), 2015)

Sub-indicator

An indicator that further defines or details a process indicators (e.g. by breaking up complex concepts, such as trust, or by defining the criteria for good quality or democratic participation, etc.). Used to critically examine process indicators in detail time and again.

Summative evaluation

Evaluation of results conducted following completion of a project or programme. Examines results, efficiency, relevance and sustainability.

Glossary

Theory

An internally consistent system of more or less empirically sound and more or less strongly formalised hypotheses/assumptions. A fundamental point of reference.

Theory of change (ToC)

Result hypothesis concerning the ways that change can be initiated in a conflict situation (often expressed in an 'if-then' or cause-effect statement). These Guidelines suggest to differentiate between two types of theories of change (see below).

ToC, transformative

The transformative ToC specify the conditions (the prerequisites) that must be created or be in place within given conflict dynamics in order to bring about sustainable conflict transformation. Transformative ToC claim a causality (cause-effect) or conditionality (f-then relation) between prerequisites, outcomes and impact

ToC, interventional

The interventional ToC specifies the approach to peace work, resource deployment and activities required to create the conditions for achieving the planned outcomes. Interventional ToC relate to the if-then correlation between outputs and prerequisites/outcomes.

Vision for peace

An idea of the way people should live and act in a particular conflict context in the (distant) future. PeaceWRITLarge. Creative development process using the 'miracle question' and the film script approach (methods: movie – Monitoring of effects, zivik) and involving as many actors as possible.

Theories of change

Vision

Project

Expertise

Monitoring

Peacebuilding work

PME journey

Project level

Process indicators

Destination

Documentation

Film

Evaluation

User manual

Milestones

Activities

Impact

Input

Planning