

Peacebuilding, Governance, Gender, Protection and Youth Assessments

A BASIC GUIDE FOR BUSY PRACTITIONERS

Third Edition - May 2017



Since 1943, Catholic Relief Services has been privileged to serve the poor and disadvantaged overseas. Without regard to race, creed, or nationality, CRS provides emergency relief in the wake of natural and manmade disasters. Through development projects in fields such as education, peace and justice, agriculture, microfinance, health, and HIV and AIDS, CRS works to uphold human dignity and promote better standards of living. CRS also works throughout the United States to expand the knowledge and action of Catholics and others interested in issues of international peace and justice. Our programs and resources respond to the U.S. bishops' call to live in solidarity—as one human family—across borders, over oceans, and through differences in language, culture and economic condition.

Cover photo: CRS and its partners host a day for religious leaders to visit and pray with displaced people in Bangui, in the Central African Republic. Since the escalation of violence in 2013, CRS has supported dialogue and strengthening social cohesion. *Catianne Tijerina for CRS*.

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Introduction

The integration of peacebuilding, governance and gender considerations into development and humanitarian programming constitutes a core competency for Catholic Relief Services (CRS). Our agency considers protection—especially of vulnerable groups at risk of exploitation and abuse—to be a matter that should be integrated as well. In this third edition of our guide about conflict, governance, gender and protection assessments, we have added a youth assessment to the tools. While not yet considered a component of the core competency as defined in CRS' current agency strategy, positive youth development is an important cross-cutting consideration for both humanitarian and development programming. Our focus is primarily on empowering youth so they can flourish in their households, communities and societies. We do so by providing them with the knowledge, skills and attitudes they need to build healthy relationships and to gain more equitable access to information, resources and decision-making in all walks of life.

The assessments described in this guide can be used to ground strategic plans and implement effective, holistic projects, especially in key areas such as health, agriculture and emergency programming. In order to deepen expertise in these areas, field staff need to deepen their understanding of what is at play in the countries where they work. What follows are basic, "good enough" guidelines for assessing conflict dynamics, governance patterns, gender relations, protection issues and youth concerns. Glossaries of key terms are also included.

In practice, the depth with which each component is treated will vary with the scope and complexity of specific projects and donor requirements. Gender assessments, for example, are a near-universal donor requirement. For a given proposal to be responsive, it may be necessary to go beyond the basic assessment instrument provided in this guidance. With some major donors, such as the USAID Office of Food for Peace, similar assessments must now be carried out to ensure conflict sensitivity and to integrate good governance and social accountability into multi-sectorial development food assistance programs. For that reason, CRS recommends that all projects valued at more than \$1 million undertake such conflict, governance and gender assessments.

The best approach to undertaking these assessments will depend on the type and quality of existing data and analysis, and the size and skill set of local staff, specifically:

- When primary research is carried out to answer the questions below, a small team should be assigned to gather and analyze the data, including interviewing a relatively broad and diverse set of key informants.
- The general questions listed under conflict, governance and gender should be adapted to maximize relevance to local contexts and cultures.
- The assessments should be updated regularly. Conflict and governance dynamics in particular tend to be highly fluid, so that last year's data and analysis may be of limited help in responding to current challenges.

Links

Saferworld's *Gender Analysis of Conflict Toolkit*, http://www.saferworld.org.uk/resources/view-resource/1076-gender-analysis-of-conflict

<u>Conflict Assessment & Peacebuilding Planning</u>: http://www.conflict-assessment-and-peacebuilding-planning.org/

<u>Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: A resource pack</u>: http://www.conflictsensitivity.org/key_reading/conflict-sensitive-approaches-to-development-humanitarian-assistance-and-peacebuilding-resource-pack/

Peacebuilding: A Caritas Training Manual: https://issuu.com/catholicreliefservices/docs/caritas_peacebldg

"Good Enough" questions: http://odihpn.org/wp-content/uploads/2011/12/networkpaper070.pdf

Freedom in the World: https://freedomhouse.org/report-types/freedom-world#.U3YvnSgXmO4

USAID's Democracy, Human Rights, and Governance Strategic Assessment Framework: https://www.usaid.gov/sites/default/files/documents/1866/Master_SAF_FINAL%20Fully%20Edited%209-28-15.pdf

Human Rights Report (annual): http://www.state.gov/j/drl/rls/hrrpt/

Human Rights Watch: https://www.hrw.org/publications

Amnesty International: http://www.amnesty.org/

Reports from International Crisis Group: https://www.crisisgroup.org/latest-updates/report

<u>A Sample Gender Analysis from CRS Ethiopia</u>: http://www.crs.org/our-work-overseas/research-publications/sample-gender-analysis</u>

Automated Directives System (ADS) Chapter 205 Integrating Gender Equality and Female Empowerment in USAID's Program Cycle: http://www.usaid.gov/sites/default/files/documents/1870/205.pdf

<u>CRS Global Gender Strategy</u>: http://www.crs.org/our-work-overseas/research-publications/crs-global-gender-strategy

ProPack I: http://www.crs.org/our-work-overseas/research-publications/propack-i-0

CRS Southern Africa Guidelines for Gender-Responsive Programming: http://www.crs.org/our-work-overseas/research-publications/crs-southern-africa-guidelines-gender-responsive-programming

USAID's *Gender Equality and Female Empowerment Policy*: http://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy 0.pdf



A Holistic Approach

Complementarity among Peacebuilding, Governance, Gender, Protection, and Youth Assessments

It can make sense from the standpoint of cost or a desire to approach programming in a holistic manner (what CRS calls "Integral Human Development") to assess the above components in joint exercises, paying attention to equity, access and "do no harm," and disaggregating data by gender, age, status, or role in the community. When doing joint assessments, teams are advised to consult with relevant technical advisors to ensure that the assessment still includes core elements for each sector and will generate the key information needed. Suggestions for integrating or combining assessments include:

CONFLICT ASSESSMENT

GENDER: When incorporating gender considerations into a conflict assessment, focus on understanding norms related to masculinity and femininity; consider how these are influenced by or may drive conflict or peacebuilding efforts; identify gender roles in conflict as well as impacts of conflict and peacebuilding efforts on men, women, boys and girls. See exercises 3, 6, and 8 in Saferworld's *Gender Analysis of Conflict Toolkit*.

GOVERNANCE: Pay particular attention to political norms, regime-types and trends in analysis of Problem and Process. Look at institutional equity, fairness, transparency, accountability, marginalization, rent-seeking and corruption. As conflict causes and drivers emerge, delve deeper into how political elites may manipulate historic narratives to divide identity groups so that they can consolidate power, especially around conflict-prone moments of the political cycle, such as elections, key rulings by the judiciary, and transfers of power.

YOUTH: Be sure that youth are considered in the analysis of key conflict actors (People) as well as capacities for peace (Process); seek youth perspectives on conflict causes and trends; when youth are identified as drivers of conflict, determine whether they are acting independently or if they are being manipulated by conflict entrepreneurs.

PROTECTION: Protection of civilians during violent conflicts is one of the core functions of CRS and all humanitarian agencies. Have all parties to the conflict agreed to abide by certain rules? Explore how non-state protection actors are or may be involved in facilitating solutions to the major disputes behind the conflict or intermediating dialogue to end the violence.

GOVERNANCE ASSESSMENT

CONFLICT: When conflicts become violent, governance structures and systems can be used to defuse violence or to make things worse. To what extent are security services (military, police, etc.) and civil servants politicized and activated against a regime's opponents?

GENDER: Equitable access to political power and public office is a significant challenge in most societies. Look underneath the formal structures to determine how much gender equity there really is in the informal rules of the game that govern politics. Consider using the gender domains in the Gender Assessment Tool to understand gender barriers that may limit women's participation in governance processes.

PROTECTION: Many countries have excellent laws on the books that protect vulnerable children and adults, but are not invoked, applied or enforced. Examine the reasons behind poor performance. Beyond political will or institutional capacity, explore the cultural and historical factors that contribute to lower status for the vulnerable.

YOUTH: As with gender, formal mechanisms for promoting greater inclusion in decision-making may be mere window dressing. To what degree have youth been "captured" to serve in political youth wings? Via which mechanisms, if at all, can mainstream and marginalized youth exercise voice in decision-making? More generally, assess the degree to which youth concerns have been prioritized in public policy goals and processes.

GENDER ASSESSMENT

CONFLICT: Consider how conflict trends may be impacting gender domains (see above), as well as how changes towards more equitable gender relations may generate social or family tensions. Consider which resources exist to mitigate negative impacts, including equitable access to non-violent dispute resolution. Determine the degree to which such mechanisms are accepted and used to reduce the prevalence of domestic and other forms of gender-based violence.

GOVERNANCE: In addition to decision-making, investigate the levels of access to public information, resources and administrative procedures. Review whether laws limit girls' and women's legal standing to purchase and own land, inherit property, or access financial services and public registries, as well as how such limitations reduce access to public, private and civil society sector opportunities.

PROTECTION: Trace the formal and informal mechanisms for access to justice and dispute resolution, and the degree to which women, men, boys and girls enjoy equal protection under the law. Explore and explain differential access to services.

YOUTH: Per CRS' global gender learning agenda, focus on the empowerment of the adolescent girl: early marriage, motherhood, and limited education. Review evidence of potential positive impacts—e.g., the relationship between increased levels of girl education and household food security, child well-being, and economic growth. (See also below re: adolescent boys.). Examine the vulnerabilities that young males face as well their attitudes toward gender equality.

PROTECTION ASSESSMENT

CONFLICT: Consider how general access, security and dignity of vulnerable groups has been impacted in conflict environments (see Protection Mainstreaming framework as well as Do No Harm tools). Several phenomena prevalent in conflict settings might require deeper or even separate analysis, including child soldiering, gender-based violence as a weapon of war, intra-household violence, human trafficking, slavery, and forced migration. Proceed with caution when assessing any of these, as they are among the most highly sensitive issues we confront. Consider the effect of past trauma on issues of violence and recovery. Identify factors that can contribute to resilience and recovery, wherever possible.

GOVERNANCE: Depending on the target population, gauge the effectiveness and responsiveness of government protection policies, systems, and procedures including capacity, autonomy, authority, accountability, and public participation and ownership. Also determine opportunities for the vulnerable to use their voice to influence policy, politics and governance to create a more enabling environment for themselves.

GENDER: While protection interventions often focus on preventing the negative, they should also be used as tools for promoting the positive. Explore how protection policy and programming relate to gender norms, and the implications for gender-transformative interventions. Consider the link between service delivery and building individual or group (social, political and economic) assets among the vulnerable.

YOUTH: Using developmental milestones such as puberty and entry into the workforce, assess the challenges and opportunities for integrating protection into youth programming. Apply the principles of positive youth development by including youth themselves in assessing and formulating potential programming approaches to address these.

YOUTH ASSESSMENT

CONFLICT: Because youth are often manipulated by conflict entrepreneurs, explore youth understanding of the roots of conflict and their motivations to work for peace or resist mobilization for violence. Investigate opportunities for youth to monitor elections, participate in early warning systems, campaign for peace and to be a positive voice in their communities.

GOVERNANCE: How well do youth understand their rights, and how knowledgeable are they about government processes, power structures and political parties? Is there unbiased, objective civic education? How involved are they in student government, or in local governance processes? Determine how youth are elected to regional and youth councils and how well youth feel they are represented by their youth leaders. Identify government agencies responsible for youth development such as education, employment, sports and recreation. Examine budget allocations for youth programming and systems.

GENDER: Adolescent boys and young men may also experience marginalization (see above re: adolescent girls). Consider which males are the most vulnerable and how they can be supported (e.g. ex-combatants suffering trauma, young men who are stigmatized when they return home after failing to successfully migrate for work, boys and men who have no voice in their communities because they have not undergone cultural initiations, etc.).

PROTECTION: Youth aged 15-24 constitute a large proportion of populations affected by forced displacement. In situations of crisis and displacement, youth are at risk of abuse, derailment from careers, neglect, violence, exploitation, trafficking or forced military recruitment. Consider how the specific protection needs of this sub-sector of youth can be addressed using local resources.

Conducting Justice & Peacebuilding Assessments: Practical Tips

In addition to CRS's standard guidance on assessment planning and design (see Propack I), special considerations apply when conducting assessments in these areas. They include:

- "Who" matters in data collection: In a conflict setting, for example, an assessment team composed primarily of people from one identity group is subject to bias and blind spots. Youth, meanwhile, may be far more likely to open up to enumerators from their own cohort, and in some settings it is inappropriate for women to speak with men who are not part of their families. To address this:
 - o Include diverse viewpoints and identities on the assessment team. Pay attention to the composition of the team leading the assessment as well as the enumerator cohort, if any.
 - o Aim to match the gender, age, and ethnic/religious/geographic affiliation of the interviewer/facilitator to that of the respondent(s), to generate greater trust and more reliable data.
- Confidentiality and consent take on greater importance: For respondents to be willing to share perspectives on the often-sensitive topics covered by these assessments, they must be fully informed about how the information will be used: who will see it, how it will be protected, who will know about their participation, etc. It can be quite risky for citizens living under an oppressive political regime to speak about governance and conflict issues, for example. In response:
 - Practice strong confidentiality measures, including ensuring that interviews and focus group discussions will not be overheard by bystanders, data collection forms will be closely held, and data will be anonymized before being viewed by a wider audience (even internally).
 - Ensure informed consent, and avoid pressing potential respondents for answers if they are reluctant.
- Triangulation and disaggregation are crucial: This advice holds true for any assessment, and particularly
 for marginalized and vulnerable groups, whose views and perspectives are usually underrepresented or
 ignored. Compare perspectives among important segments of society and key informants. To do so:
 - Collect information from those most affected by a given issue: youth assessments need to seek youth voices; gender assessments should include men's, women's, boys' and girls' perspectives, and so on.
 - Collect information separately from people of different identity groups, genders, ages, and affiliations, as appropriate to the context and assessment type. Be attentive to power dynamics within communities and even within seemingly similar groups, and further disaggregate as needed to ensure that the voices of those with lower power are heard.
 - Compare perspectives of respondents not only to verify information, but also to better understand how problems affect segments of society differently. Compare different points of view to gain insight into drivers of conflict or injustice. This applies to analysis of secondary as well as primary data.
- Language makes a difference: This point concerns the assessment language and the framing and phrasing of questions.
 - o To reach the most marginalized, collect data in the local language. Reliance on official national languages may inhibit responses and obscure reality.
 - Keep data collection tools simple, using open-ended questions articulated plainly and clearly.
 Try to minimize the number of prompts attached to each question, as they may appear redundant or confusing to respondents.
 - Remember that these assessments address sensitive issues, and the presentation of findings
 has the potential to be inflammatory. Test data collection tools with diverse audiences, and do
 the same to verify findings.

Collaboration and inclusion produce useful results: For equity, inclusion and peacebuilding considerations to be truly integrated into programming, these assessments should involve a diverse group of staff and partners. Diversity encourages multiple viewpoints, nuanced analysis, and a shared understanding of context upon which effective interventions are built.

With attention to the above, conflict assessments will be more gender-sensitive; gender assessments will be more conflict-sensitive; governance assessments will respect and protect the dignity of informants; youth assessments will be more empowering for both sexes; and protection assessments will address not only individual but also structural issues.



Conflict Assessment Tool

There are many valuable tools to guide conflict analysis, including books such as Matt Levinger's *Conflict Analysis* (USIP 2013) and Lisa Schirch's *Conflict Assessment and Peacebuilding Planning* (Kumarian 2013). The aim here, however, is to provide programming staff with a short list of conflict-related questions to consider when preparing proposals in fields such as agricultural livelihoods, health and social services, and emergency response and recovery.

The following assessment questions are adapted from Chapter 2 of <u>Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: A resource pack</u> (Africa Peace Forum and others 2004). We draw as well on <u>Peacebuilding: A Caritas Training Manual</u> (CI 2002) and "<u>Good Enough</u>," questions produced by the UK's Humanitarian Practice Network.

For a basic conflict assessment, we suggest inquiring first into broad national or regional contexts under the term "profile" and then looking into what the Caritas manual calls the "3 P's": the **problem** (causes or drivers of conflict), the **people** (the actors or parties to a conflict), and the **process** (the dynamics and trends).

Guiding questions are grouped here under these four categories—profile, problem, people, and conflict—and include examples, followed by some basic definitions of terms.

1. PROFILE

- What are the key conflict-related issues that people are facing—e.g., hunger, lack of basic health services, ethnic discrimination, lack of opportunities for youth, climate change, effects of violence in neighboring states, refugee return, religious extremism and violence against women?
- Where are the conflict-prone/affected areas within the broader context—e.g., certain rural zones, pockets of marginalized urban populations, mining and oil extraction sites, border zones, regions with severe religious or ethnic tensions, refugee camps and disputed areas?
- Has there been an ongoing or prior history of conflict—e.g., regular property/land disputes, unstable electoral periods, rebellions or external interventions?

2. PROBLEM

- What are the structural or root causes of conflicts—e.g., chronic poverty, inequitable access to resources and services, widespread youth unemployment, illegitimate government and lack of political participation?
- What can be considered the drivers or causes of social divisions and violence—e.g., flagrant human rights abuses, easy access to light weapons, discrimination and ethnic or regional rivalries?
- What triggers could contribute to an escalation of the conflict or an outbreak of violence—e.g., assassinations, military coups, electoral fraud, elites competing for power, unpopular new laws, increased prices or the scarcity of basic commodities?

3. PEOPLE

- Who are the main actors in the conflict, and who are their supporters—e.g., government, armed forces, rebel groups, youth gangs, drug or human trafficking organizations, mining companies or other enterprises, political parties, social movements, religious actors, UN peacekeepers, the Africa Union or diaspora groups?
- What are these actors' interests, motivations, and goals—e.g., political power, social stability, access to or control of economic or natural resources, equality, human rights, greater freedom, religious values or political participation?

 How do the actors engage in the conflict, and what are their capabilities—e.g., popular demonstrations, active nonviolence, political advocacy, international networks, bribery, economic sabotage, intimidation or armed violence?

4. PROCESS

- What are the recent and current trends in the conflic—e.g., escalation or de-escalation of violence, increased interethnic cooperation or international influence, new laws or policies, worsening or improving livelihoods, new trade patterns or formal negotiations?
- What are the possible windows of opportunity for addressing or responding to the conflict—e.g., a cease fire, a holiday period, the rainy season, a community celebration or the inauguration of new leadership?
- What capacities for peace or conflict mitigation can we identify—e.g., influential religious actors or experienced traditional leaders, an active civil society, international support and solidarity, skilled mediators, community peace ambassadors or the active participation of women?
- What are the best- and worst-case and most likely scenarios for the future of the conflict, and what factors do these scenarios depend on—e.g., growing social inclusion and peaceful coexistence, an outbreak of mass killing, or continued inequities and tension with sporadic acts of violence?

GLOSSARY OF TERMS

The following definitions are quoted from glossaries in the recent books by Levinger (pages 231-36) and Schirch (pages xi-xiv). One asterisk indicates that a definition is from Levinger, two asterisks that it is from Schirch. Note that the definition of peacebuilding below includes what CRS calls "stand-alone" peacebuilding as well as "integrated" peacebuilding.

*Conflict: Any situation in which two or more individuals or groups perceive their interests as mutually incompatible and act on the basis of this perception.

**Conflict-affected context: An institution, community, state or region impacted negatively by conflict or violence or both. In a conflict-affected context, people lack human security...They need safety and development to meet their basic needs or a sense of dignity and human rights.

*Conflict analysis: A structured inquiry into the causes and potential trajectory of a conflict that seeks to identify opportunities for managing or resolving disputes.

**Conflict drivers: Key people, institutions or forces that play a central role in mobilizing people to respond violently to the root causes of conflict and shared perceptions of grievances relating to human security.

**Conflict mitigators: People, institutions or forces that support political, economic, security, justice and social factors related to human security.

*Conflict prevention: Measures taken to keep low-level or long-festering disputes from escalating into violence.

*Conflict management: Efforts to prevent, limit, contain or resolve conflicts, especially violent ones, while building the capacities of all parties involved in peacebuilding.

**Conflict sensitivity: An approach to programming and policymaking that recognizes the potential influence between conflict-affected context and a policy, program or project in that region. Conflict-sensitive policies, programs and projects aim to minimize unintentional negative impacts that may drive conflict and cause further social divisions while maximizing positive impacts on the context that mitigate conflict and bridge social divides.

- **Conflict transformation: The personal, social, cultural and structural change that takes place in the process of addressing conflict
- *Connector: A potential source of cohesion within or between groups. When leaders mobilize their constituents around a given connector, the connector may be transformed into a driver of peace.
- *Divider: A potential source of polarization within or between groups. When leaders mobilize their constituents around a given divider, the divider may be transformed into a driver of conflict.
- **Human security: The term can apply to physical security as well as economic, political, social and justice systems that protect and support human rights and freedom from want. Local perceptions of security, peace, justice, and stability are central to defining human security.
- **Peacebuilding: A wide range of efforts by diverse actors in government and civil society to address... causes of violence before, during and after violent conflict...Peacebuilding can refer to the direct work that intentionally focuses on addressing the factors driving and mitigating conflict. Peacebuilding can also refer to efforts to coordinate a comprehensive, multilevel, multisectoral strategy, including development, humanitarian assistance, governance, security, justice and other sectors that may not use the term "peacebuilding" to describe themselves.
- *Scenario analysis: A method for developing vivid and compelling stories of potential alternative futures. Can be an invaluable tool for organizations operating in volatile and uncertain environments.
- **Theories of change: The "program rationale" or logic of how a program hopes to foster change to produce intended outcomes and impacts. The first part of a theory of change is a belief about what factors are driving or mitigating conflict and need to change. The second part...is either implicit or explicit assumptions about how some project, program or policy will impact a conflict-affected context.
- *Trigger: An event that initiates or accelerates the outbreak of a conflict.
- *Window of opportunity: A period during which the chances for success in an endeavor are greatly increased.



Governance Assessment Tool

The following is an adaptation of the USAID/DCHA/DRG Strategic Assessment Framework that USAID missions generally use to develop their strategies for democracy and governance. CRS has abbreviated the framework to help country programs develop broad assessments of governance challenges. The analysis can be deepened by further examining the actors, dynamics and institutional arenas involved in governance challenges. A basic governance analysis looks at the five elements of a governance-political system—consensus, rule of law, political competition, inclusion and governance—which are defined in the glossary of terms below.

Before identifying the challenges in each of these five elements (numbers 4-8 below), programming teams should first undertake a quick macro-level scan of the country's context, regime type and political trends. These three factors can be identified by reviewing any or all of these sources:

- Freedom House's annual <u>Freedom in the World</u> report;
- a <u>USAID democracy and governance assessment</u>, if one has been carried out recently;
- the U.S. Department of State's Annual Human Rights Report; and
- publications from human rights and conflict monitoring organizations such as <u>Human Rights Watch</u>, <u>Amnesty International</u> and the <u>International Crisis Group</u>.

1. CONTEXTUAL FACTORS

• What are the key political factors affecting the ways people and the government interact or collaborate to make important social, economic and political decisions?

2. REGIME TYPE

- What type of regime is the government that is currently in power? The following regimes are those that are most often encountered in the countries where CRS works:
 - New and fragile democracies—governance institutions are weak, but key actors have he political
 will to consolidate democracy.
 - Authoritarian and semi-authoritarian states—governance institutions are weak, and key actors
 do not have the political will to consolidate democracy. Instead, they seek to consolidate power
 for themselves at the expense of democracy.
 - Crisis and rebuilding states—governance institutions are weak if they exist at all, and key actors
 are focused on stabilizing the country

3. POLITICAL TRENDS

- What are the most significant recent political trends? Is governance becoming more or less democratic? Trends that would indicate a movement toward democracy include:
 - · Increased protection for minority rights through constitutional reform,
 - greater access to justice for marginalized people,
 - · more competitive elections,
 - · greater citizen access to decision making,
 - · increased devolution of power to local governments, and
 - strengthened enforcement of anticorruption mechanisms.

4. CONSENSUS

- · What are the fundamental rules of current politics, and do key actors generally accept these rules?
- Is there general agreement on who is a citizen and on a citizen's fundamental human, political and civil rights?

5. RULE OF LAW

- Does the state guarantee personal freedoms, both against transgressions by other people or groups of people and by the state itself?
- Are the public security forces (military, police, etc.) themselves subject to the rule of law and a judicial branch of government, or do they operate with impunity, and if so, to what extent?

6. POLITICAL COMPETITION

- Are free and fair elections a regular feature of competition? Are there other mechanisms besides elections to ensure that the government delivers on its promises and fulfills the public trust?
- · Is a healthy set of checks and balances present among branches and levels of government?

7. INCLUSION

- To what extent does civil society play an active role in the key functions of governance, including formulating policy, delivering public services, monitoring government accountability, ensuring access to public information and making decisions?
- What barriers exist that formally and informally exclude and disenfranchise parts of the population from meaningful political, social or economic participation?

8. GOVERNANCE

- Are public institutions administered fairly? Do they respond to the public needs of all regions and sectors of the population and provide socially acceptable services to the most vulnerable?
- Do robust internal control mechanisms exist to hold government institutions accountable, increase their transparency, and enhance their effectiveness and responsiveness to people?

GLOSSARY OF TERMS

Civil society: Civil society refers to the arena or social space that is separate from the state, the market and the family, in which citizens come together to promote their common interests. The groups they form may be formal or informal but must be voluntary and essentially nonprofit (Blair, Harry, and others. 1994. *Civil Society and Democratic Development: A CDIE Evaluation Design Evaluation.*).

Consensus: The consensus or general acceptance of the boundaries of the state and the relationships among the state, civil society and individuals (USAID, 1999. *Conducting a DG Assessment: A Framework for Strategy Development.*).

We can also define consensus as the social contract between those who govern (i.e., the state) and those who are governed (i.e., members of society). In this sense, consensus resembles what CRS means when we talk about vertical social cohesion in the context of peacebuilding.

Equity: Equity is the fair and just management of social, economic, and political institutions, distribution of public services and collective goods, and formation and implementation of public policy (CRS. 2006. Justice & Peacebuilding Strategy).

Governance: The ability of government to develop an efficient, effective, and accountable public management process that is open to citizen participation and that strengthens rather than weakens a democratic system of government (USAID 1999). Given CRS's commitment to Catholic Social Teaching, including working for the common good, a better definition would be the rules and processes that guide the efforts of both governmental and nongovernmental actors to manage public resources effectively and fairly—in other words, for the common good.

Inclusion: Most public donors define inclusion simply as citizen participation, but that definition does not take into account the barriers that prevent certain segments of the population from being able to participate. Given CRS's emphasis on working and being in solidarity with the most vulnerable and often marginalized members of society, inclusion can be better defined as the degree to which people enjoy equitable access to public information, resources, and decision making.

Political competition and accountability: The instrument by which popular sovereignty is tested and implemented and power is checked and balanced (USAID 1999). Political competition is about more than just political parties and elections. It embodies the mechanisms that ensure a balance of power between the state and society and among the different branches and levels of government.

Regime: A regime or type of political regime describes the totality of a political governance system's structures. It also designates the fundamental formal and informal "rules of the game," identifying who holds power, how power is obtained and how its exercise is regulated and by whom (Skaaning, Svend-Erik. No. 55. May 2006. *Political Regimes and Their Changes: A Framework*. Center on Democracy, Development, and The Rule of Law Freeman Spogli Institute for International Studies. Stanford University: Palo, Alto, CA.

Rule of law: The rule of law refers to a principle of governance in which all persons, institutions and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision making, legal certainty, avoidance of arbitrariness and procedural and legal transparency (United Nations. 2006. Report of the Secretary-General on the Rule of Law and Transitional Justice in Conflict and Post-Conflict Societies.).



Gender Assessment Tool

Men and women, boys and girls experience their surroundings differently, play unique roles in their families and communities, and face differing rules, norms, and practices that are informed by their culture and context. In recent decades, significant progress has been made toward promoting gender equality, but this progress has been uneven and insufficient. Gender-related inequalities and power imbalances remain among the key factors driving chronic poverty, food insecurity, poor health, and violence against women and children. Without a sound analysis of gender dynamics, development and relief programs may miss important opportunities to improve the lives of all women, men, girls and boys and to develop more equitable relationships among them at the household, community and even societal level. For an example of a gender analysis, see CRS, 2013. A Sample Gender Analysis from CRS Ethiopia.

The questions below are adapted from a gender analysis tool developed by CRS, based on USAID's guidance (USAID, 2013. <u>Automated Directives System, Chapter 205: "Integrating Gender Equality and Female Empowerment in USAID's Program Cycle."</u>) Gender analysis can be used in a number of areas. Those listed below, and the questions that follow, can be used to help programs carry out sound analyses that will inform project design, planning and development of gender-sensitive indicators.

GENDER ROLES AND RESPONSIBILITIES

- What are the roles and responsibilities of women and men, girls and boys within households and communities?
- Do women's and men's roles entail or lead to gender inequalities in accessing services? Do women's and men's roles influence how decisions are made?

ACCESS TO AND CONTROL OF ASSETS, RESOURCES AND OPPORTUNITIES

- Who has access to and control over basic livelihood assets, resources, services and income, and to what extent?
- Do men and women face different types of obstacles in accessing health, education or agricultural extension and advisory services?

3. DECISION MAKING AND POWER RELATIONS

- What decisions do women have control over, and what decisions do men control? At what level—household or community—do men and women make these decisions?
- Do women actively participate in formal decision-making structures, including at a district, provincial or national level?

4. DIVISION OF LABOR

- What are the gender differences in the division of labor?
- · Would participation in a particular project increase women's workload?
- · Would certain responsibilities prevent women and girls from participating at certain times?

5. NEEDS, PRIORITIES AND PERSPECTIVES

- What are women's practical and strategic needs and priorities, and what needs and priorities are specific to men?
- What perspectives do women and men, respectively, have on appropriate and sustainable ways of addressing their own needs at household and community levels?

6. PARTICIPATION AND LEADERSHIP

- Are communication channels, such as access to public and private media outlets, available to and used by both women and men?
- How does the voice of women and men in community associations differ?
- What are the barriers to women's leadership at the community level?

7. KNOWLEDGE, CULTURAL BELIEFS AND PERCEPTIONS

- Do women and men have equal access to knowledge in areas that are important to their success and well-being, such as markets, products and services and technology?
- What cultural barriers may be inhibiting the involvement of vulnerable populations, including women and children, in formal and informal education?

Other useful tools that describe CRS's approach to gender integration include the <u>CRS Global Gender</u> <u>Strategy</u> and <u>ProPack I</u>.

GLOSSARY OF TERMS

Unless otherwise indicated, the definitions in the glossary below have been adapated from CRS (2010), *Southern Africa Guidelines for Gender-Responsive Programming*.

Empowerment: A process of awareness and capacity strengthening that leads to greater participation and decision-making power. Empowerment enables people to take control over their lives, set their own agendas, build self-confidence, solve problems, and develop self-reliance. It involves the ability not only to make choices, but also to determine what choices are offered. While women and men alone can empower themselves, institutions can support processes that create space for them to develop their skills, self-confidence and self-reliance and to access resources. (USAID, 2012. *Gender Equality and Female Empowerment Policy.*)

Gender: Gender refers to the two sexes, male and female, within the context of society. Factors such as ethnicity, class, race, age and religion can affect gender roles, which may vary widely within and between cultures and often evolve over time. These characteristics often define identities, status, and power relations among the members of a society or culture. (Archbishop Francis Chullikatt, permanent observer of the Holy See, March 18, 2011. Address to the UN at the 55th session of UNESCO's Commission on the Status of Women.)

Gender analysis: Examines the differences in women's and men's lives, including those which lead to social and economic inequality for women and other vulnerable populations. It is a tool for systematically collecting data that can be used to examine these differences, including the different levels of power women and men hold; their differing needs, constraints and opportunities; and the impact of these differences on their lives. This understanding is then applied to policy development and social services in order to address inequalities and power differences between males and females.

Gender equality: This concept reflects the concern that women and men, boys and girls have equal opportunities, resources, rights and access to goods and services that a society values, as well as the ability to make choices and work in partnership. Gender equality does not mean that men and women, boys and girls become the same but that their opportunities and life chances are equal and that the differences that do exist in their abilities, talents, skills, interests, ideas, etc. will be equally valued.

Gender equity: The process of being fair to men and women, boys and girls that leads to equality—that is, the equal valuing in society of both similarities and differences among men and women, boys and girls and of the varying roles that adults and children of each gender play. To ensure fairness, measures must often be available to compensate for historical and social disadvantages or for differences in biological

makeup that prevent women and men, girls and boys from otherwise operating on a level playing field. Gender-based violence: Violence that is directed against a person on the basis of gender or sex in public life, private life, or both. It includes acts that inflict physical, mental, or sexual harm or suffering; threats of such acts; coercion; and other deprivations of liberty. While women and men, boys and girls can be victims of gender-based violence, women and girls are the main victims.

Gender analysis: Examines the differences in women's and men's lives, including those differences that lead to social and economic inequality for women and other vulnerable populations. It is a tool for systematically collecting data that can be used to examine these differences, including the varying levels of power that women and men hold; their differing needs, constraints and opportunities; and the impact of these differences on their lives. This understanding is then applied to policy development and social services in order to address inequalities and power differences between males and females.

Gender mainstreaming: A strategy for promoting and achieving gender equality. It involves making women's as well as men's concerns, needs and experiences an integral part of ensuring that gender perspectives and attention to the goal of gender equality are central to all activities. These activities include policy development, research, advocacy/dialogue, legislation, resource allocation and the planning, implementation and monitoring of programs and projects. It is not an end in itself but rather a strategy and approach that is used to achieve the goal of gender equality. (UN Women: United Nations Entity for Gender Equality and the Empowerment of Women, accessed through their website www.un.org/womenwatch/osagi/conceptsandefinitions.htm)

Gender-responsive programming: Programming that addresses the gender roles, relations, needs and interests of women and men, boys and girls in order to guarantee those right relationships. Men and women, boys and girls experience their surroundings differently as they fulfill different sets of roles but also face different sets of rules, norms, and practices.

Gender integration: Involves identifying and then addressing the gender differences and inequalities across all programs and project phases, including design, implementation, monitoring, and evaluation. Since the roles of and relationships between men and women that affect power also affect how an activity is implemented, project and activity planners must address these issues throughout the life of a program or project. USAID uses the term "gender integration" in both development and humanitarian planning and programming. (USAID, 2010. *Guide to Gender Integration and Analysis: Additional Help for ADS, chapters 201 and 203.*)

Sex: The biological identity of males and females, as manifested primarily by physical characteristics.



Protection Assessment Tool

Gender-based violence, child abuse, exploitation and human trafficking are pervasive worldwide. In response, CRS has undertaken specific initiatives to uphold the dignity of all people and protect children and vulnerable adults. The focus is on maintaining an environment that prevents abuse and exploitation, as well as on responding appropriately to violations when they occur. CRS uses its Code of Conduct and new *Protection Policy for Children and Vulnerable Adults* to help mainstream protection principles in the areas of humanitarian response, agriculture and livelihoods. We have also implemented several large protection-focused projects, especially in the areas of health and social services. These efforts need to be more broadly supported and continuously strengthened to safeguard the lives and wellbeing of our beneficiaries and uphold CRS's own integrity and reputation.

MAIN PRINCIPLES OF PROTECTION

CRS is committed to supporting the safety and dignity of everyone we serve and to ensuring that they all have equitable access to program services. Increasingly, our public donors (e.g., USAID, UK DFID, etc.) demand a strong protection focus. Accordingly, we strive to integrate four guiding principles into program design and implementation, research, and advocacy for change.

- **Prioritize safety and dignity and avoid causing harm.** We must avoid any actions that may worsen a beneficiary's situation in the short or long term. In addition, we and our partners must understand the risks associated with the issue(s) being assessed before undertaking an assessment. We must always treat all individuals, groups and communities with respect.
- Ensure meaningful access. We must provide humanitarian and development assistance in proportion to need and without barriers that limit access by children and vulnerable adults.
- Maintain accountability. We are accountable to our beneficiaries and should consult with a wide range of groups to ensure that we deliver our program services ethically. The programs should be appropriately based on beneficiary-identified needs and the local context.
- Ensure participation and empowerment. Affected individuals and communities should be involved in and potentially in control of the decision-making processes.

TWO APPROACHES

Because more than one option may exist for assessing protection within a given community or geographical area, CRS has developed two types of assessments: basic and nuanced. Specifically, a basic protection assessment and/or program seeks to ensure that the actions undertaken will neither harm nor increase risks for beneficiaries and the community. Consistent with the principles of protection, systematic efforts should be undertaken to ensure human dignity and meaningful participation in and access to all actions and services. These efforts should include both accountability to and empowerment (participation) of beneficiaries whenever possible. In addition, CRS requires that all partner organizations have a child protection policy; preferably it should also cover vulnerable adults. This basic protection assessment constitutes the minimum that CRS should apply to all projects, even those valued at less than \$1 million.

A more nuanced approach requires protection-focused actions as part of the programming assessment and design, and the questions below can be used for adopting this approach.

1. ASSESSMENT OF THE CURRENT CLIMATE AS IT RELATES TO PROTECTION

- What major threats or risks do children and vulnerable adults face in the program area?
- Where are such risks or threats occurring, and what evidence exists to show that they are occurring? How does past exposure to trauma, violence and fear by children and vulnerable adults continue to affect their lives today?

2. GOVERNMENT RESPONSIBILITY AND PARTNERSHIP

- What are the strengths and weaknesses of the legal and policy frameworks affecting children and vulnerable adults in the areas where the proposed project will take place?
- How are state and nongovernmental/community actors coordinating their efforts to prevent and/or respond to issues of abuse, neglect and exploitation?
- How strong is the political will to focus on (and implement) protection safeguards and to ensure both institutional effectiveness and checks and balances?

3. CULTURAL BELIEFS AND PERCEPTIONS

- What rights do children and vulnerable adults currently have in the program area?
- What, if any, historical and/or cultural (including traditional) factors must be taken into account in assessing the situation?

4. FAMILY- AND COMMUNITY-BASED APPROACHES

- What protection services are already in place (both prevention and mitigation), and how do they respond to critical risks that may emerge during the life of the project?
- What other systems-strengthening options exist—e.g., supporting and implementing programs that help protect vulnerable groups and identify and prosecute those guilty of violence and exploitation?

5. MAINTAINING THE BEST INTERESTS OF CHILDREN & VULNERABLE ADULTS

• How will the project ensure that international development and relief agencies, consortium members (if the project is run by a consortium) and implementing partners apply a code of ethics or a protection policy in their joint programming?

How will the project plan and implement services and programs that consider the best interests of children and vulnerable adults? How can agencies ensure that, at a minimum and under all circumstances, no harm will be done?

6. PROMOTING THE PARTICIPATION OF THOSE AFFECTED

- What is the capacity of children, adolescents and vulnerable adults in the project area to participate in their own decision making and express their views?
- What can be done to enhance the participation and decision making of those who are directly affected by program interventions, including but not limited to children and vulnerable adults?

7. PREVENT HUMAN TRAFFICKING AND FORCED LABOR (HUMAN SLAVERY)

• What policies, activities and governmental and community-level responses are evident to prevent human trafficking and forced labor, support victims and prosecute traffickers?

GLOSSARY OF TERMS

Protection: The responsibility for preventing and responding to the abuse and exploitation of a child or vulnerable adult and measures taken to meet this responsibility. These measures include building awareness, providing training, identifying and responding to all complaints, monitoring and evaluating protection structures and taking personal responsibility.

Child: At CRS, any person under the age of 18, regardless of national law or local customs.

Vulnerable adult: Individuals aged 18 years and over who are at an increased risk of harm due to factors such as age, gender, disability or refugee or minority status.

Abuse: A deliberate act of ill treatment that can harm a child's or vulnerable adult's safety, well-being, dignity and development. It often involves individuals who have a relationship of responsibility and care for the victim, including project staff, parents, guardians, teachers, community workers, healthcare providers, religious leaders, friends and other children. It includes physical, emotional, sexual and psychological abuse (adapted from Better Care Network, Save the Children, and UNICEF).

Sexual abuse: Any actual or threatened sexual act of violence perpetrated against a child or an adult, whether by force or under unequal or coercive conditions (adapted from Secretariat/ Secretary-General's Bulletin, 2003/13; and Centers for Disease Control and Prevention, 2014).

Physical abuse: The actual or likely physical injury to a child, such as hitting, kicking or shaking, where there is definite knowledge, or reasonable suspicion, that the injury was inflicted or knowingly not prevented (Caritas Internationalis, 2004. *Child Protection Policy Framework*).

Emotional abuse: Harm done by persistent or severe emotional ill-treatment or rejection, such as degrading punishments, threats, bullying and not giving care and affection, that results in adverse effects on the behavior and emotional development of a child or young person (Caritas Internationalis 2004).

Exploitation: The threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power or position or the giving or receiving of payments or benefits to achieve the consent of a person having control over another person (United Nations, 2004. *Protocol to Prevent, Suppress and Punish Trafficking in Persons*). Such actions may include but are not limited to sexual exploitation (Secretary-General of the United Nations, Bulletin 2003/13).

Child labor: Any economic activity performed by a person under the age of 15 (The End of child labour: Within Reach Global Report under the Follow-up to the ILO Declaration on Fundamental Principles and Rights at Work. 2006. International Labor Organization of the United Nations). Generally, for CRS child labor is labor that interferes with schooling, could cause physical or emotional harm or both. However, we must also be cognizant of and respect government definitions, which vary significantly from country to country.

Trafficking: The recruitment, transportation, transfer, harboring or receipt of children or vulnerable adults for the purpose of exploitation, including for labor, prostitution or sexual exploitation (United Nations, 2000. *Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children*).

Forced labor: All work or service that is exacted from any person under the menace of any penalty and for which the person has not offered himself or herself voluntarily (<u>International Labor Organization of the United Nations</u>).



Youth Assessment Tool

The youth sector has developed significantly over the past decade. Public donors now require that the needs of youth, defined by USAID as people aged 10-29 (although its strategy focuses primarily on those aged 15-24), be considered in all development initiatives. International development and relief organizations must therefore operationalize the principles of positive youth development (defined below) so that youth have more equitable access to public information, resources and decision-making.

Conducting a youth analysis is essential for developing effective, youth-centered programs. In doing so, it is critical that youth be more involved in the assessment process than just serving as informants. A cross-sectoral youth assessment analyzes the needs and resources of youth, as well as the policies and programs that impact youth development. It also examines the underlying issues that contribute to a lack of positive youth development and that keep youth marginalized. It should integrate qualitative data about youth knowledge, perceptions and skills with quantitative data on their status and the performance of programs in different sectors designed to meet youth needs. This assessment guide is based on USAID's <u>Guide to Cross Sectoral Youth Assessments</u> and aligned with USAID's 2012 Youth Policy, <u>Youth in Development: Realizing the Demographic Opportunity</u>.

The following questions are meant to serve as a starting point for considering what is known about the situation and status of youth in a country in some of the most important areas for youth development. For examples of more comprehensive youth assessments, see the International Youth Foundation's <u>YouthMap Tanzania</u>: Assets and Opportunities, <u>Closing the Hope Gap: Lebanon Rapid Community Appraisal of Youth</u> and USAID's <u>Positive Youth Development Measurement Toolkit</u>.

1. ENVIRONMENTAL SUPPORTS AND THREATS

- What elements in the environment develop and support youth assets, agency, and access to services, and strengthen their ability to avoid risks and stay healthy?
- What are the environmental elements that limit youth empowerment?
- Where do youth find healthy and supportive relationships? In their families, among peers, in schools, in religious communities, with local leaders?

2. YOUTH ASSETS AND AGENCY

- What unique assets and abilities do the youth in targeted areas possess?
- How and where do youth develop life skills such as interpersonal communication, leadership, recognizing and managing emotions, self-control, higher-order thinking and conflict resolution?
- Do youth generally have a positive sense of identify? How do they feel about their future prospects? Are they able to plan ahead and reach their set goals?

MAPPING THE YOUTH ARENA

- What youth policies and programs are currently being carried out by government agencies? Which youth do they reach? What kinds of services do they provide? Is there a National Youth Policy? What does it cover? How effective is it? Do youth agencies have regional and local representation?
- Which civil society organizations offer youth programs? Which youth do these programs reach? What kinds of services do they provide? Have they been evaluated?

4. CIVIC PARTICIPATION

- How are youth involved in civic participation? Do they vote? Do they participate in community service projects? How involved are they in community-based organizations or informal associations?
- Where do youth have the greatest interest in participating in civic engagement? What are the incentives and barriers to their participation?

5. DECISION-MAKING

- Do youth have the necessary analytical skills for critical thinking or problem-solving? If not, how can programs be designed to help youth develop these skills through participatory, active learning?
- What type and level of access do youth have to public decision making? Is their participation in such processes ad hoc or formalized in a mandated mechanism?

6. SCHOOL TO WORK TRANSITION

- What services exist to link youth to job training and work opportunities (workforce readiness, career services, internships and apprenticeships, entrepreneurship training)?
- What alternative education programs exist for out-of-school youth? Are adult literacy programs available? What technical and vocational training programs can youth access?

7. HEALTH INFORMATION AND SERVICES

- What are the greatest health risks for youth in the community? (Drug addiction, early pregnancy, HIV/ AIDS/STDs, developmental disabilities? What services are available to address these problems?)
- Where do youth obtain information about reproductive health? What is the quality of the information they receive? Are youth-friendly health services available?

GLOSSARY OF TERMS

Youth mainstreaming: The process of assessing the implications for youth of any planned action, including legislation, policy or programs, in all areas and at all levels. It is a strategy for making young people's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programs in all political, economic and societal spheres so that youth benefit equally and inequality is not perpetuated.

Positive Youth Development: An approach that aims to build the competencies, skills and abilities that young people need to grow and flourish throughout life. It engaged youth along with their families, communities and/or governments so that youth are empowered to reach their full potential. Such approaches build skills, assets and competencies; foster healthy relationships; strengthen the environment; and transform systems. It is based on the following principles:

- Focus on strengths and positive outcomes. Rather than taking a deficit or problem-based approach, we intentionally help young people build on their strengths and develop the competencies, values, and connections they need for life and work.
- Youth voice and engagement. Youth are valued partners who have meaningful, decision-making
 roles in programs and communities. We aim to work with young people, not for them by engaging youth as partners, creating youth-adult partnerships, and listening to their expertise and perspectives.
- Strategies that involve all youth. CRS supports and engages all youth rather than focusing solely on "high-risk" or "gifted" youth. We do, however, recognize the need to identify and respond to specific problems faced by some youth (such as disability, violence, and early parenthood).

- **Community involvement and collaboration.** Positive youth development includes but reaches beyond programs; it promotes organizational change and collaboration for structural and systemic change. All sectors have a role to play in making the community a great place for young people to learn and thrive.
- **Long-term commitment.** The positive youth development approach aims to provide the ongoing, developmentally appropriate support young people need over the first two and half decades or so of their lives, while adjusting to their changing developmental needs.

Assets-based approach: Appreciating and mobilizing individual or group talents and strengths rather than focusing only on deficits, needs, problems or threats.

Empowerment: The attitudinal, structural and cultural process whereby young people gain the ability and agency to make decisions and implement change in their own lives and the lives of others.

Agency: The culmination of an individual's capacity to act: their skills and capabilities and their ability to change their own lives.

Early Adolescence (10-14 years): This is a critical time to build on previous investments in child health, nutrition, and education, and to lay the foundation for life skills, positive values, and constructive behaviors. The onset of puberty makes reproductive health and maturation an important area of focus.

Adolescence (15-19 years): These years are critical to sustain and expand health and education gains, protect against rights' abuses such as trafficking, exploitation, or hazardous work, and prepare youth for citizenship, family life and the workforce.

Emerging Adulthood (20-24 years): As behaviors form with last brain development, programs should continue to support positive and constructive decision-making and build resilience. Second-chance opportunities are still important.

Transition into Adulthood (25-29 years): Although physical maturation is largely complete, learning continues. Programs should link youth to employment and civic engagement opportunities, as well as enable youth to build assets and provide economic, health and social support for family life (housing, for example).

Youth-led development: An approach to development driven and guided by young people that draws upon their energy, creativity and skills to create positive change. It can be on a small or large scale and implicitly values youth as an asset for society.



