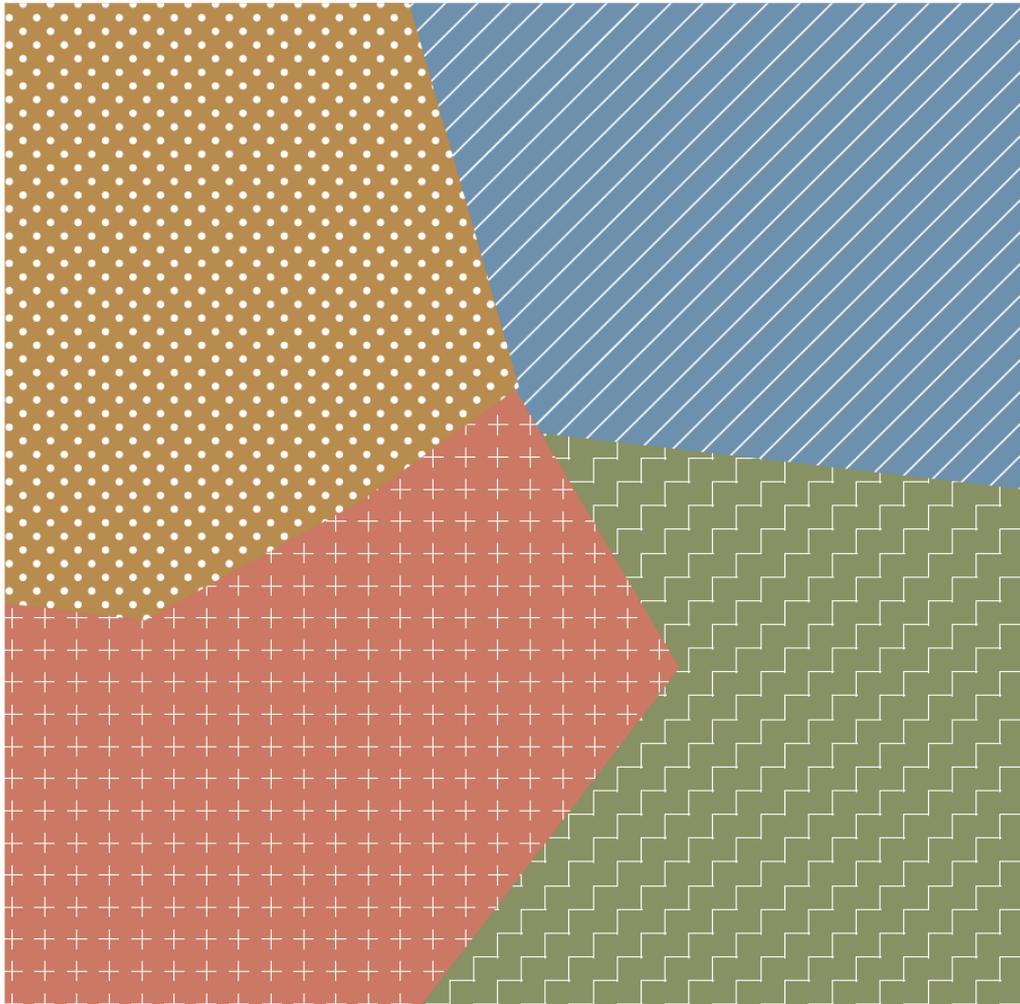


W O S C A P

ENHANCING EU PEACEBUILDING CAPABILITIES



Methodology Workshops Summary Report

Dr. Mary Martin, Prof. Georg Frerks
London School of Economics and Political Science
Utrecht University

Colophon

WOSCAP METHODOLOGY TRAINING WORKSHOPS SUMMARY REPORT

29 February 2016

Deliverable 2.10: Methodology Workshops

Produced by Dr. Mary Martin (London School of Economics and Political Science) and Prof. Georg Frerks (Utrecht University)



THE LONDON SCHOOL
OF ECONOMICS AND
POLITICAL SCIENCE ■



Utrecht University

Whole of Society Conflict Prevention and Peacebuilding

D2.10 is a summary report of the three methodology training workshops the project conducted between 25 January and 10 February, 2016; in Kyiv, Ukraine; Tbilisi, Georgia; and Barcelona, Spain. The training was based on the Theoretical and Methodological Framework report. This deliverable contains copies of the agendas and presentations as annexes, as well as the draft Actionable Research Plans (confidential).

It contains:

Annex A & B: Agendas

Annex 1: Project logic and time table

Annex 2: Key concepts

Annex 3: Research Framework.

Annex 4: Research Questions.

Annex 5: Methodologies

Annex 6: Work package 3

Annex 7: Planning WP 3

Annex 8: Data management plan

Annex 9: Actionable Research Plans: Georgia, Mali, Ukraine, Yemen

W O S C A P

ENHANCING EU PEACEBUILDING CAPABILITIES



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

This document only reflects the views of the author(s), and the EU is not responsible for how the information may be used.

Summary

The project conducted three methodology training workshops (MTW) between 25 January and 10 February, 2016, one in Kyiv, Ukraine; another in Tbilisi, Georgia; and the third in Barcelona, Spain. The first two workshops in Kiev and Tbilisi were for the Ukrainian and Georgian consortium partners (IWP and TSU) and the third in Barcelona was a combined workshop for partners from Mali (USJPB) and Yemen (PDF). This third workshop had to be organised out of country due to the security situation in both Mali and Yemen and travel restrictions.

Participants included staff team members working on WOSCAP, who comprised both academics and NGO/policy experts. The workshops were specifically designed to train and equip individuals who would be conducting fieldwork and desk research as part of Work Package 3 of the project. These included a minority of participants who had attended previous project meetings in The Hague and London as well as those who had no previous experience of working on the project directly with other partners. This necessitated the workshop leaders to explain some WOSCAP basics in larger detail.

Goals and objectives of the MTWs were:

- To familiarize staff with the project logic and the interlinkages between phases and work packages to ensure coherence in the work plan.
- To present the core conceptual themes of the project and central research questions to ensure consistency of scientific approach and the ethos underlying the research agenda
- To discuss proposed topics to be researched as part of each country case study, including the criteria for (sub)case and stakeholder selection
- To undertake preliminary stakeholder mapping and analysis
- To explore and discuss different levels of research questions to be used
- To help teams prepare actionable research plans, including policies on data collection, management and awareness of ethical responsibilities
- To build team capacity in terms of research methods and innovative techniques of data collection.

The MTWs were conducted by:

Dr Mary Martin, LSE

Dr Chris van der Borgh, Utrecht University

Dr Vesna Bojicic-Dzelilovic, LSE

Professor Dr Ir Georg Frerks, Utrecht University (Barcelona only).

In addition, WOSCAP administrative coordinator, Gabriella Vogelaar MA, GPPAC also attended the meeting in Barcelona.





Outcomes and results

The workshops provided a vehicle for active engagement and participation by the country teams, in keeping with WOSCAP's bottom-up approach. The training was based on the Theoretical and Methodological Framework report, January 2016.¹ Discussions included, among others the nature and phase of conflict, and multiple conceptualisations of security. Appropriate research methods and the choice of relevant stakeholders were also discussed (see for more details the sections below and the attached annexes 1-7).

Each team presented a short overview of the security situation in its country, the EU presence and a list of potential in-depth research topics for discussion.

The country teams appreciated the plenary discussion of scoping studies and the conceptual themes of the project, to explain how WOSCAP proposes to make an original contribution to practice development and scholarly knowledge. Equally, the presentation of novel research techniques including how to utilise different levels of questions to structure the research, the dialogic research method and technology tools for data collection helped to augment their existing knowledge and capacity.

¹ Martin, M, V. Bojicic-Dzelilovic, C. van der Borgh and G. Frerks (2016) Theoretical and Methodological Framework, WOSCAP project, Ref. Ares(2016)537441 – 01/02/2016 online available at www.woscap.eu

It was particularly valuable to compare and draw references between the country groups. In the case of Barcelona the two teams benefitted from plenary sessions, in addition to breakout groups, where they could discuss the conflict situation and compare policy responses. This facilitated cross-learning and helped build relationships within the project.

In addition, sessions were devoted to discuss in larger detail the planning, execution and reporting on the case studies that are part of work package 3. This was a first step in the writing of 'actionable research plans' (ARPs) of which a first draft is added as Annex 9. The workshop provided a significant contribution to this task and considerable progress has been made since then. Though the ARPs will be further updated and refined after the first month of field work in at the end of March 2016, Annex 9 already provides a clear idea of the intended outcomes of this important product originated from the workshop.

The workshops also provided an occasion in Kyiv and Tbilisi for country partners and Utrecht University to meet key stakeholders, including EU Delegations.

Annexes

The detailed programme of the workshops is added as Annex A and B.

Annex 1-8 contains copies of the presentations given during the workshops. Apart from introducing contents these presentations were also used to raise issues and stimulate discussions with the participants. This was further stimulated by having break-out sessions to discuss concrete issues or tasks and which included back reporting to the plenary. Annex 9 contains the ARPs as developed per 29 February 2016.

Though the presentations attached in the different annexes are self-evident as to their contents, some of the major issues of each presentation are briefly discussed below to provide a quick overview:

Annex 1: Project logic and time table

This presentation served to reiterate the overall goals and sub-goals of the project and present its phased structure over time. It also paid attention to the different work packages and the clusters and themes of WOSCAP.

Annex 2: Key concepts. This presentation dealt with the key concepts of WOSCAP: human security, the whole of society approach and the comprehensive approach as adopted by the EU. It also discussed the multiple stakeholders at different levels and the range of policies covered by WOSCAP.

Annex 3: Research Framework. This presentation focused on the core subject to be studied in WOSCAP, i.e. EU capabilities. It described the concept of capabilities and how these emerge. It also took a closer look at how policy processes can be understood, and emphasized policy as a social or socially constructed process.

Annex 4: Research Questions. This presentation distinguished research questions at five different levels and elaborated especially level 2 and 3 questions as relevant for the case studies. This presentation also discussed the goals of work package 3 and the units of analysis to be addressed and issues of policy case selection.

Annex 5: Methodologies went into the different types of methodologies to be employed in WOSCAP and distinguished between questions of exploration, of process and of causation.

Annex 6: Work package 3 discussed in larger details the goals, questions, policies and reporting on the case studies to be done in package 3. It also provided the basis for the further elaboration of the actionable research plans and included also a format for the final country reports

Annex 7: Planning WP 3 provides a detailed time planning for work package 3.

Annex 8: Data management plan provides instructions, guidelines and procedures on how data should be handled within WOSCAP.

Annex A & B – Workshop Agendas

A: Kyiv 25-26 January 2016, Tbilisi 27-28 January 2016

Day 1

- 10.0 Welcome, aims and agenda of the workshop Mary
1. 10.10 -10.45 WOSCAP :The project logic and timetable Chris
- o Recap on aims of project
 - o Structure: interlinkages between work packages and timeline
 - o Developing clusters and cross-cutting themes
2. 10.45.-12.15 Research Approach - themes and implications Mary, Vesna and Chris
- o Research context : EU + Human Security, Comprehensive Approach and bottom-up
 - o Conceptual Building blocks:
 - i. Capabilities
 - ii. Whole of Society - Inclusivity and coherence
 - o Findings from the scoping studies and country reports – themes and lines of inquiry
 - o What kind of knowledge? Our intellectual approach

12.15-12.30 Break

3. 12.30– 13.30 Discussion: how to apply the research approach
Mary and Vesna
- o Meta question; mid-level questions, sub-questions
 - o Plenary discussion – core themes in local context

13.30-14.30 Lunch

4. 14.30-16.00 Selection of research topics Chris
- o Purpose and structure of country case studies
 - o Presentation/justification of policy topics
 - o Discussion
- Host partner
All

16.00-16.15 Break

5. 16.15- 17.00 Operationalising the research agenda Chris
 - o Identifying stakeholders and research targets Host partner
 - o Desk research and review of existing data sources Host partner

6. 17.00-17.30 Summary and Feedback discussion Mary

Day 2

1. 9.00 -9.45 Discussion Chris
 - o Research studies
 - o Research Questions
 - o Writing the context section on country /conflict/EU background

2. 9.45-10.30 Choice of research tools Vesna, Mary,Chris

Focus Group discussions

Semi structured interviews

Case studies

Presentation of Participatory /dialogic method

Quantitative tools

Technology applications for research Michaela Ledesma by skype

10.30-11.00 Break

3. 11.00 -12.15 Research Planning and Practice Chris
 - Data handling – reporting, recording
 - Data sharing + Open access
 - Safety and ethics

4.12.15-12.45 Wrap up discussion

12.30 Lunch

Meetings with GPPAC partners

B: Barcelona 8-10 February, 2016

Day 1

10.00-10.20 Welcome, aims and agenda of the workshop Mary

7. 10.20 -10.45 WOSCAP :The project logic and timetable Chris
- o Recap on aims of project
 - o Project Structure: interlinkages between work packages and timeline
 - o Developing clusters and cross-cutting themes

8. 10.45.-12.15 Research Framework – conceptual building blocks for country research Mary

- o Human Security, EU Comprehensive Approach and bottom-up
- o Key WOSCAP concepts :
 - i. Whole of Society
 - ii. CapabilitiesChris

- o Findings from the scoping studies and country reports – themes and lines of inquiry

12.15-12.31 Break

9. 12.30– 13.30 How to apply the research approach Mary and Vesna
- o What kind of knowledge? Our intellectual approach
 - o Core research questions
 - o Research questions introduced (Chris)
 - o Aims and structure of work package 3 (Chris)
 - o Discussion, Q&A

13.30-14.30 Lunch

10. 14.30-16.00 Selection of research topics Chris
Yemeni team
- o Presentation of Proposed Research topics
 - o Conflict in Yemen: context, analysis, opportunities
 - o What do we know about the EU (overall) in Yemen
 - o Selection of research topics

16.00-16.15 Break

11. 16.15-17.15 Selection of research topics II

- Presentation of proposed Research topics Malian team
- Conflict in Mali: context, analysis, opportunities
- What do we know about the EU (overall) in Mali?
- Selection of research topics

12. 17.15-17.45 Preparing research agenda

- Desk research and review of existing data sources Chris
Yemeni and Malian teams
- Discussion on potential research problems All

Day 2

1. 10.00-10.15 Recap on Day 1 and selection of research studies Chris

2. 10.15-11.45 Developing actionable research plans

- Structure of plan and planning Chris
- Stakeholder analysis Malian team

11.45-12.15 Break

3. 12.15 -13.15 Developing Research Plans continued

- Stakeholder analysis Yemeni team

13.15-14.15 Lunch

4. 14.15 -15.00 Research Questions [level 1 +2]

Chris and Vesna

5. 15.00-16.00 Choice of research tools

Vesna, Mary,Chris

Focus Group discussions

Semi structured interviews

Case studies

Presentation of Participatory /dialogic method

Quantitative tools

Technology applications for research

6. 16.00-45 Research Planning and Practice Georg
- o Data handling – reporting, recording
 - o Data sharing + Open access
 - o Safety and ethics

16.45-17.00 Break

4.17.00-17.30 Wrap up discussion

17.30- 18.30 Available for Guidance and further discussion of country teams

Day 3

1. 10.00 -11.00 Presentation/discussion outline research plan Yemeni team

11.00-11.15 Break

2. 11.15- 12.15 Presentation/discussion outline research plan Malian team

3. 12.15-12.45 Wrap up discussion

12.45 Lunch /closure

Annex 1: Project logic and time table

PROJECT LOGIC AND TIME TABLE

WOSCAP WORKSHOPS
25 – 29 JANUARY 2016
KIEV - TBILISI

AIM OF PROJECT

- TO IMPROVE GENERAL UNDERSTANDINGS OF HOW EU CIVILIAN CAPABILITIES CAN FACILITATE PEACEBUILDING AND CONFLICT PREVENTION INTERVENTIONS AND POLICIES WHICH ARE INCLUSIVE AND SUSTAINABLE

Figure 1: objectives and activities



Phase 1 9 months M13-M19	WP1: Coordination & Quality inception workshop (M1), Protocol & Planning (M2), Quality Assurance plan SO Meeting 1	WP2: Methodology & Theoretical Framework Scoping studies Policy briefing Theoretical Framework, SOI and lesson Methodology workshops	WP6: Communication & Dissemination C&D Strategy & protocol Visibility: visuals and promotional materials
Phase 2 9 months M20-M28	Midterm report SO Meeting 2	WP3: Assessment Field research: - Ukraine - Yemen - Mali - Georgia Desk review on additional EU cases Preliminary synopsis	WP4: Best Practices EU/Brussels review Cataloguing best practices - Online community - Working Paper Series
Phase 3 5 months M29-M33	Progress Report SO Meeting 3	WP5: Policy Engagement & Impact Policy roundtables case B2B ZOOMS	Comparative analysis workshop, scholarly articles Research report Publication of scholarly articles
Phase 4 6 months M34-M39	Progress Report SO Meeting 4	Dev't of policy recommendations Local dissemination Final conference	Media engagement User-empowering Policy briefs
Phase 5 1 month M40	Wrap-up, Final project report Feedback, follow up		Sustainability strategy

WORKPACKAGES

WP2 Methodology and theoretical framework - Scoping studies - Research framework - Actionable research plans	WP3 Assessment - Country studies - Desk studies
WP4 Inputs from practice - Community of Practice - Studies on cross-cutting themes	WP5 Policy engagement - Policy recommendations - Discussion with stakeholders

WOSCAP

CLUSTERS	THEMES
MULTI TRACK DIPLOMACY	LOCAL OWNERSHIP
SECURITY SECTOR REFORM	MULTI STAKEHOLDER COHERENCE
GOVERNANCE	ICT
	GENDER

Annex 2: Key concepts

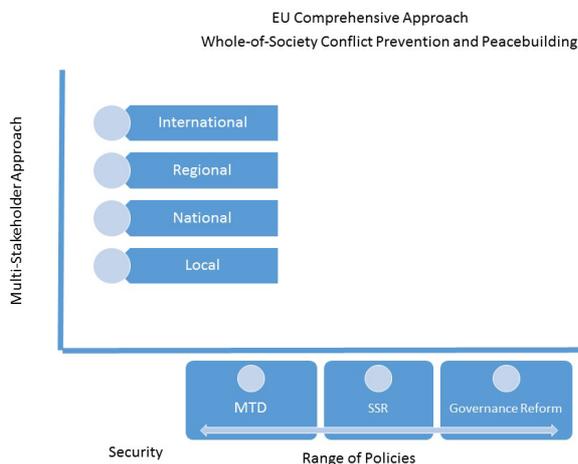
Methodology workshop Key Concepts by LSE

- Human Security
- Whole of Society Approach
- Comprehensive Approach

WHOLE OF SOCIETY APPROACH

FROM Lexicon :

“pays particular attention to the role of a wide variety of societal actors and their inter-relations in the analysis and implementation of conflict prevention and peacebuilding initiatives. It seeks the representation and participation of the local level in actions to promote peace. It emphasises the importance of inclusivity, comprehensiveness and coherence. It acknowledges the multi-faceted nature of conflict and peacebuilding, and the presence of multiple relationships at policy level and on the ground. It seeks to encompass these complex dynamics and the presence of different interfaces through problematizing not only the multi-actor environment, but also the integration of different policies and peacebuilding actions across a broad spectrum of security needs. “



Understanding human security

□ Core tenets of human security

- different from classical state sovereignty
 - People not territory and borders
- expands the horizon of potential threats
 - material as well as physical harms
- incorporates a bottom-up perspective
 - emphasis on lived experiences
- seeks to empower individuals
 - The object as sovereign subject ; treating subjective accounts as authentic

Whole of Society

- 'Whole of government' and joined-up government – overcome silos, improve co-ordination and integration, promote synergies and make better collective use of resources.
- Inclusivity and ownership, which policy and societal actors?
- Role division and means of engagement
- Normative gains? Legitimacy, sustainability, effectiveness?
- Horizontal integration : holistic policies , security + development
- Vertical integration : multiple actors , multiple levels
- Identify and address practical challenges of a WoSa

Annex 3: Research Framework.

RESEARCH FRAMEWORK

Woscap workshop – 8 – 10 February - Barcelona

Aim of project

- to improve general understandings of how EU civilian capabilities can facilitate peacebuilding and conflict prevention interventions and policies which are inclusive and sustainable

capabilities

- **What are capabilities??**
- Good enough definition: ability and capacity to achieve objectives in relation to overall mission
- Types of capabilities (Whitman and Wolff, 2012:11)
 - To act – ability to back intentions with concrete actions
 - To fund – connections between instruments and availability of fund
 - To coordinate and cooperate – work in inclusive way

Capabilities in WOSCAP project

- A capability is not something dichotomous that the eu either 'has or not'
- **Capabilities develop, adapt, grow or erode in complex and largely unpredictable processes**
 - They are context – specific
 - And are forged in interaction with other actors

EU capabilities

- Gap between capabilities and expectations
- Key objective of EU: comprehensive security [link to human security]
 - Need to coordinate between different policies and actors
 - Need to link development, human rights, peace building, etc
- EU still faces a 'formidable challenge in co-ordinating a significant number of institutional actors and policy domains within the Union, both at the political-strategic level and at the level of planning and operations' (Whitman and Wolff, 2012:5)

Policy as social process

(Maureen Mackintosh, 1992)

- Look beyond 'conventional' understanding of policy
 - Policy as prescription vs

Policy outcome of social processes, emerging from the interaction of ideas and agencies

Looks at activities of many different institutions

Takes a historical and evolutionary approach

Whole process by which policy is made and remade: HOW & WHY

Studying capabilities - looking at social construction of policy

- **Three accounts (Colebatch)**
- Authoritative account
- Structured interaction
- Social construction of policy

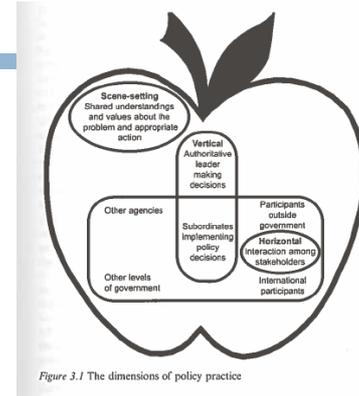
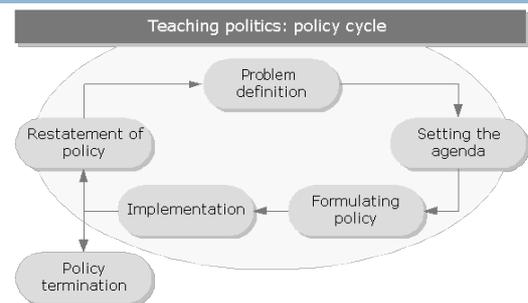


Figure 3.1 The dimensions of policy practice

a) policy as authoritative choice

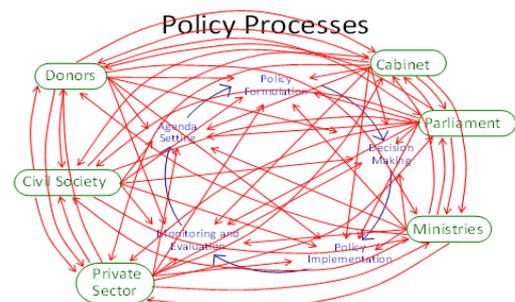
- 'A (prior) statement of the actions and commitments of a (future) government in respect of some area of activity'
- Account stresses instrumentality and legitimate authority

Colebatch (1998:1)



b) policy as structured interaction

- Policy emerges from the intersection from a number of players inside and outside of the government
- Policy as outcome of complex processes



c) social construction of policy

- Policy formation as the process of 'interpreting the world in a way that makes it appropriate to address particular situations in particular ways'
- 'How are problems and responses identified, and in what way is this challenged and changed?'
- Expertise!

Annex 4: Research Questions.

RESEARCH QUESTIONS

WOSCAP WORKSHOP BARCELONA
8 - 10 FEBRUARY 2016

Level 5: normative questions about policy recommendations and conclusions, going beyond the narrow scope of the study

Level 4: questions asked of an entire study (including information beyond the case study evidence, such as other literature)

Level 3: questions asked of the pattern of findings across multiple cases

Level 2: questions asked of the individual case

Level 1: questions asked of specific interviewees

Level 4

- what are the current EU civilian capabilities in the selected cases of peacebuilding and conflict prevention, and how can these be enhanced in order to make policies more inclusive and sustainable?

Level 3

- What capabilities in terms of coherence, local ownership, gender and ICT has the EU developed in the selected policies clusters in each country?
- What factors account for the development (or lack thereof) of capabilities in the interrelated processes of policy design, implementation and change?
- What is the quality of these capabilities according to different stakeholders and in what ways do stakeholders think capabilities can be enhanced in these policy processes?
- Based on the answer to the previous three questions, what are the possibilities to enhance EU capabilities in the selected countries?

Level 2

- The focus is on the interrelated processes of policy design, policy implementation and policy change, asking:

in what ways were EU policies designed, and implemented, and how were policies changed or adapted over time.

Level 2 questions about the policy process

	ACTIONS	INTERACTIONS	OUTCOMES	CONTEXT
POLICY DESIGN	What and why?	Who (not) involved and how / why?	How perceived by stakeholders?	Which context are relevant and how it affects policy?
POLICY IMPLEMENTATION				
PLACE CHANGE / ADAPTATION				



GOAL of WP 3

- Assessment of EU policies
- Four country studies: Ukraine, Georgia, Mali, Yemen
- Desk studies (UU)
 - ▣ Literature review EU capabilities
 - ▣ Case studies: selected policies in Kosovo, Afghanistan, Sri Lanka, ..

Unit of analysis?

- EU capability per country = larger unit of analysis
- Selected policies per country = subunit of analysis
- Case study research – importance of context

Levels of analysis

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

National context

- As to the conflict: What are the characteristics of the conflict in the country. What are the main parties, issues, background factors, most important changes and dynamics of the conflict?
- As to responses: What has the international involvement in the conflict been over the past decade or so (international organizations, states, non-state actors)?
- As to strategies / options: What are currently the main efforts to resolve the conflict? What are bottlenecks? What are the attitudes and perceptions of different stakeholders about strategies of conflict resolution? E.g. resistance, hesitance.

EU presence

- How has the relation between the country and the EU developed over the past 10 – 20 years? Which policies has the EU implemented in the selected countries in that period?
- What are the most important EU policies with regard to conflict and (human) security in general? What are the most important policies with regard to MTD, SSR, or GOV in the selected countries in the selected periods?
- Which other policies or engagement of the EU (e.g. AA, development aid, diplomacy) are relevant in the given time period?
- (How) Does the EU internally coordinate its policies with regard to each of the countries?

Selected policies

13

- How is the EU policy designed?
- How is the EU policy implemented?
- What important changes did EU policy undergo?

See for sub-questions the draft meth & theoretical framework

Level 2 questions about the policy process

	ACTIONS	INTERACTIONS	OUTCOMES	CONTEXT
POLICY DESIGN	What and why?	Who (not) involved and how / why?	How perceived by stakeholders?	Which context are relevant and how it affects policy?
POLICY IMPLEMENTATION				
PLACE CHANGE / ADAPTATION				

See for sub-questions the draft meth & theoretical framework

Selection of policies

15

- (a) Policies should be in the fields of MTD, GOV, or SSR
- (b) They should be specific and focused to allow for fine grained research; e.g. not an Association Agreement or a Peace Process but a specific initiative within this;
- (c) They should relate to core WOSCAP themes such as inclusivity, coherence, comprehensiveness and /or technology/innovation;
- (d) There should be a diverse range of policies – which represent a broad /human security definition of security;
- (e) **They should be salient and significant in terms of the EU's intervention in the country;**
- (f) They should be researchable, and allow for original findings, not a repackaging of existing research;
- (g) A bonus is comparability between different desk studies.

Annex 5: Methodologies

Methodologies

- Desk research – e.g.
 - To identify key themes, and background information, e.g. statistics, legal frameworks, institutional arrangements, policy context
- Case selection – e.g.
 - Key informants, volunteers?
 - Comparative (or single) case studies: selected for characteristics of interest
- Data collection – e.g.
 - unstructured/semi-structured interviews, focus groups, media
 - structured interviews, questionnaires, secondary analysis of existing data
- Data analysis – e.g.
 - content analysis, narrative analysis, discourse analysis
 - counting frequencies or proportions of certain behaviours or perceptions

Key overarching questions

- what are the current EU civilian capabilities in the fields of peacebuilding and conflict prevention? (questions of exploration)
- how can these be enhanced in order to make policies more inclusive and sustainable? (questions of process and tentatively causality)

Illustration of the types of questions

- Questions of exploration:
 - What kind of capabilities the EU has deployed in the selected countries in terms of local ownership, gender, multistakeholder coherence, local ownership and ICT?
 - What are the perceptions of the quality of these capabilities according to different stakeholders?
- Questions of process:
 - In what ways were EU policies designed? Implemented? Changed over time?
- Questions of causation:
 - What factors account for the development (or a lack thereof) of capabilities in the interrelated processes of policy design, implementation and change
 - What are the possibilities to enhance EU capabilities in the selected countries?

Examples of methods

- Exploration
 - Qualitative approaches, especially where respondents are free to raise issues, to set the agenda
 - Interviews
 - Focus groups
 - Desk research and analysis of existing data sources may reveal key insights
 - e.g. survey results, text data
- Process
 - Qualitative approaches: Interviews; Focus groups
 - Suggest that a narrative approach to these methods might be useful? Encouraging respondents to relay sequences of events, etc.
 - Desk research and analysis of existing data sources may suggest avenues of enquiry for primary qualitative data collection
- Causation
 - Process tracing, links to narrative approach and the types of questions focused on relations

Annex 6: Work package 3



GOAL of WP 3

2

- Assessment of EU policies
 - Four country studies
 - Desk studies(UU)

Central question country studies

3

- how has the EU developed its capabilities in the three policy domains and in relation to the four selected themes in the selected countries, and what are the main characteristics of the social and political processes in which these capabilities have evolved over the past one or two decades.

Exploratory - empirical

4

- primarily exploratory and empirical in that it looks for relevant factors (both contextual and internal to the EU), as well processes and patterns of interaction, that provide information about the ways in which the EU deploys, develops, and adapts its capabilities in multiple policy domains and in interaction with other stakeholders.

Unit of analysis

5

- EU capability per country = larger unit of analysis
- Selected policies per country = subunit of analysis
- Case study research – importance of context

Selection of policies

6

- (a) Policies should be in the fields of MTD, GOV, or SSR
- (b) They should be specific and focused to allow for fine grained research; e.g. not an Association Agreement or a Peace Process but a specific initiative within this;
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- (d) There should be a diverse range of policies – which represent a broad /human security definition of security;
- (e) They should be salient and significant in terms of the EU's intervention in the country;
- (f) They should be researchable , and allow for original findings, not a repackaging of existing research;
- (g) A bonus is comparability between different desk studies.

Levels of analysis

7

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

National context

8

- As to the conflict: What are the characteristics of the conflict in the country. What are the main parties, issues, background factors, most important changes and dynamics of the conflict?
- As to responses: What has the international involvement in the conflict been over the past decade or so (international organizations, states, non-state actors)?
- As to strategies / options: What are currently the main efforts to resolve the conflict? What are bottlenecks? What are the attitudes and perceptions of different stakeholders about strategies of conflict resolution? E.g. resistance, hesitance.

EU presence

9

- How has the relation between the country and the EU developed over the past 10 - 20 years? Which policies has the EU implemented in the selected countries in that period?
- What are the most important EU policies with regard to conflict and (human) security in general? What are the most important policies with regard to MTD, SSR, or GOV in the selected countries in the selected periods?
- Which other policies or engagement of the EU (e.g. AA, development aid, diplomacy) are relevant in the given time period?
- (How) Does the EU internally coordinate its policies with regard to each of the countries?

Selected policies

10

- How is the EU policy designed?
- How is the EU policy implemented?
- What important changes did EU policy undergo?

See for sub-questions the draft meth & theoretical framework

Report?

11

- Size of report 50 - 70 pages (m ax30.000 words)
 - Excl bibliography
- Agree about structure of reports

Structure of report & pages

12

□ Introduction	2,5%	2p.
□ National context	15%	10p.
□ International interventions (EU and other)	15%	10p.
□ Selected EU policies	60%	40p.
□ Conclusion	2,5%	2p.
□ Literature & sources	-	
□ Executive summary	5%	3 p.

Diverse methods

13

- Literature review
- Semi structured interviews
- Focus groups
- Participant observation (?)

Stakeholders

14

- Identify stakeholders
 - Explain why certain stakeholders were included in study
- Reliability of information provided by stakeholders
 - Formal position of organization (Easier)
 - Views and experiences of individuals or staff of organizations (More difficult)
 - Need to contextualize
 - primarily interested in the experience of different stakeholders and in how stakeholders assess this experience

Research plan

15

- Questions & explain focus of each of the sections
- Methods per section and reflection
- Planning of research and responsibilities (overall contact person; contact person data management)
- Feed back moments with coordinator WP3
- Security assessment and ethics

- Total: 2000 – 3500 words

WP 3 – March – November 2016

16

- Deliverables in Month 17, October 2016

- March kick off – desk research
- April – July field research
- 30 June progress report (2000 words)
- September (week 1-2) discuss first draft report & feedback
- October 10 final draft ready – send to UU
- October 20 final draft ready - review, editing
- November write synoptic report

Annex 7: Planning WP 3



WP 3 / workshop Barcelona / 8 -10 Feb 2016

WP 3 – March – November 2016

Research	March – July 2016 (5M)
Writing and re-writing	August – October 2016 (3M)
Deliverable	End of OCTOBER 2016

RESEARCH March – July 2016

- March: Desk study: national context and European Union
- April – July: Case studies
- End of May / Early June: progress report / briefing
 - Consortium meeting?

WRITING (August – October 2016)

- August: Write first draft
- September, week 1 or 2: feed back first draft
- September – 10 October: rewrite draft
- 10 – 20 October: UU: editing (& feed back)
- 20 – 31 October: Proofreading etc

Roles UU

- Feed back and guidance during research process
 - E.g. choice of cases, method,
- Connections with other expertise in consortium
- Editing of second draft tekst
- Write synthesis report

Report

- Size of report 50 - 70 pages (min 20.000 words - max30.000 words)
 - Plus bibliography

Proposed structure of report, # pages

7		
□ Introduction	2,5%	2p.
□ National context	15%	10p.
□ International interventions (EU and other)	15%	10p.
□ Selected EU policies	60%	40p.
□ Conclusion	2,5%	2p.
□ Literature & sources	-	
□ Executive summary	5%	3 p.

Research plan

- | 8 | |
|--|--|
| □ Questions & explain focus of each of the sections | |
| □ Methods per section and reflection | |
| □ Planning of research and responsibilities (overall contact person; contact person data management) | |
| □ Feed back moments with coordinator WP3 | |
| □ Security assessment and ethics | |
| □ Total: 2000 – 3500 words | |

Diverse methods (afternoon)

- | 9 | |
|-------------------------------|--|
| □ Literature review | |
| □ Semi structured interviews | |
| □ Focus groups | |
| □ Participant observation (?) | |

Stakeholders

- | 10 | |
|---|--|
| □ Identify stakeholders | |
| □ Explain why certain stakeholders were included in study | |
| □ Reliability of information provided by stakeholders | |
| □ Formal position of organization (Easier) | |
| □ Views and experiences of individuals or staff of organizations (More difficult) | |
| ■ Need to contextualize | |
| ■ primarily interested in the experience of different stakeholders and in how stakeholders assess this experience | |

Selection of policies

- | 11 | |
|---|--|
| □ (a) Policies should be in the fields of MTD, GOV, or SSR | |
| □ (b) They should be specific and focused to allow for fine grained research; e.g. not an Association Agreement or a Peace Process but a specific initiative within this; | |
| □ (c) They should relate to core WOSCAP themes such as inclusivity, coherence, comprehensiveness and /or technology/innovation; | |
| □ (d) There should be a diverse range of policies – which represent a broad /human security definition of security; | |
| □ (e) They should be salient and significant in terms of the EU's intervention in the country; | |
| □ (f) They should be researchable, and allow for original findings, not a repackaging of existing research; | |
| □ (g) A bonus is comparability between different desk studies. | |

Annex 8: Data management plan

Data Management Plan

WOSCAP

Prof. dr. ir. Georg Frerks & Toon Dirx MA



Overview

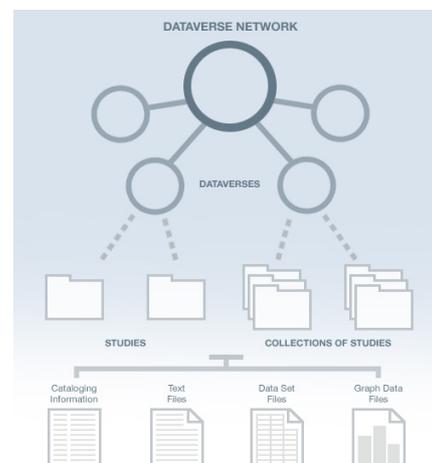
- Why is data management important?
- Dataverse
- Formats of digital files
- Labelling files
- Metadata
- Ethics
- Data security
- DANS EASY

Why is data management important?

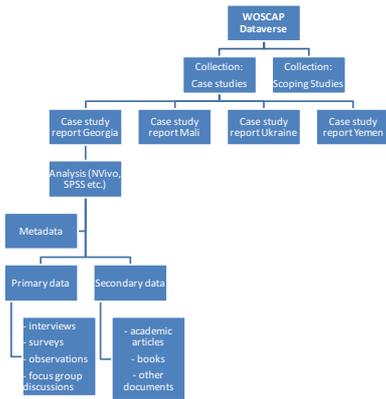
- Meeting grant requirements
- Verification of research results
- Reuse of data by other researchers
- Sustainable and secure storage
- Helps to streamline the research process from start to finish

Dataverse

- Developed at Harvard University 
- Adopted by the library of Utrecht University
- Offers storage of a wide variety of scientific data in a safe and sustainable way



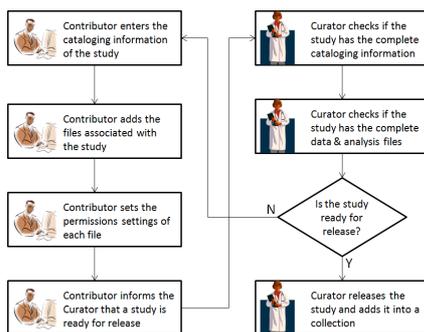
Possible structure of WOSCAP Dataverse



Roles in Dataverse

	Administrator	Curator	Contributor	User
Browse collections and search for studies	✓	✓	✓	✓
Access and Analyze Data	✓	✓	✓	✓
Create Study and Upload Files	✓	✓	✓	
Set Permission to Study	✓	✓	✓	
Update Study After Release (make draft)	✓	✓		
Release Study	✓	✓		
Organize Study by Collection	✓	✓		
Add new admins, curators, and contributor	✓			
Change Settings (contact email, DV name, etc)	✓			
Release Dataverse when ready	✓			

Process



Formats of digital files

- DANS list of preferred formats
- Preferred formats
- Acceptable formats



Labelling files



- **File name:**
 - Type of data (Interview, survey etc.) INT
 - Sub project (Case Study) CS
 - Country name (Mali) MA
 - Topic (Governance) GOV
 - Interview nr. (1, 2, 3 etc.) 01
 - Organisation (USJPB) USJPB
 - Version (v1.01, v1.02 etc.) v1.01
- **File name:** INT-CS-MA-GOV-USJPB-01-v1.01

Metadata

- Metadata is data on the research data themselves
 - Location;
 - Type of data;
 - Research population etc.
- Metadata are essential for the reusability of the dataset
- Metadata form is included in the WOSCAP Dataverse

Ethics

- Safety first for researchers, research assistants and respondents

- Informed consent



- Confidentiality, privacy and anonymity
- Opt out

Data Security

- Keep anonymised data and personal data of respondents separate

- Encrypt data if necessary



- Always store data in at least two separate locations
- Limit the use of USB flash drives

Preservation: DANS EASY

- DANS EASY offers sustainable archiving of research data at the end of the WOSCAP project

- UU will transfer the final datasets from Dataverse to DANS EASY

- Persistent identifier



Data Management Plan

- Final data management plan to be submitted to the EU at the end of July

Annex 9

Actionable Research Plans

Georgia, Mali, Ukraine, Yemen

Compiled by Utrecht University based on inputs of the country teams for research in Georgia, Mali, Ukraine and Yemen: TSU, USJPB, IWP and PDF

Editors: Chris van der Borgh and Georg Frerks

29 February 2016

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Status of this annex / document: Confidential

This document “Actionable Research Plans for Georgia, Mali, Ukraine, and Yemen” presents the four action plans for these countries. It is not a deliverable of the WOSCAP project, but considered an important part of the preparation of the studies in WP3, demonstrating some of the progress achieved in WP2.¹ For this reason, it was requested to be reviewed² and annexed to the D2.10. However, the consortium will not disseminate this part of the deliverable to the public, as it is an internal working and planning tool, subject to further discussions and changes. It will be finalised in March. It is only annexed to D2.10 to be available for review and assessment of the progress made. Please note that therefore, this specific document is confidential.

¹ It is described in the project description only as an outcome of the methodology workshops.

² By the EU and the reviewers of the Technical Review meeting

Chapter 1: Case study research in selected countries

The objective of WP3 is to review EU capabilities through assessing EU interventions in national contexts. As discussed in the Methodological and Theoretical Framework (MTF) (Martin et al, 2016), the focus is on three EU types of action: multi-track diplomacy (MTD), security sector reform (SSR) and governance reforms (GOV), while in each cluster a number of themes will be analysed: multi-stakeholder coherence, local ownership, gender and information and communication technologies¹. The research in WP3 consists of four country studies³ in Georgia, Mali, Ukraine, and Yemen, conducted by teams in these countries, complemented by desk studies of EU policies in other relevant contexts beyond the field research, conducted by Utrecht University.

This document presents the four actionable research plans per country. In the next chapter the objectives, questions and methods of the four country cases are presented, which were prepared by TSU, USJPB, IWP and PDF. The following chapters briefly introduce some background information of the four countries, and move on with a presentation of the selected policies for in-depth research. Each of the chapters contains a section on planning and responsibilities, the preliminary outline of the country report and the security issues and ethics related to the research in each of the countries.

Research questions: level two and level three

As discussed in the MTF (2016, chapter 5) the country studies focus on the interrelated processes of policy design, policy implementation and policy change, asking: in what ways were EU policies designed, and implemented, and how were policies changed or adapted over time. We are interested in *actions* undertaken by the EU, the *interactions* of the EU with other relevant actors, the *outcomes* as perceived by the different stakeholders, and the relevant *contexts* in which these policies were developed, deployed and changed. While the research in the selected countries is informed by the existing literature on EU capabilities – as well as scoping studies on the three policy clusters and four cross-cutting themes (see Chapter 4 of MTF) – it is primarily exploratory and empirical in that it looks at the ways in which the EU deploys, develops, and adapts its capabilities in multiple policy domains, and in interaction with other stakeholders. On the basis of these data, and where possible, we will make comparisons between the overall EU capabilities in the countries and the EU capabilities in selected policies in and/or between the different countries.

Hence, while the country studies will answer *second level* questions of the research program (questions asked of the individual cases), they will contribute to answering the *third level* questions, which are about patterns of findings across multiple cases about the policy clusters and

³ The outcome of these studies are deliverables D3.2, D3.3, D3.4, D3.5

the cross-cutting themes (see Martin et al, 2016: 34). The country studies provide inputs to the synthesis report (D3.6), as well as other publications that will be written in the framework of this project. The key questions (*third level*) for these publications are:

- What capabilities in terms of coherence, civil-military synergies, local ownership, gender and ICTs has the EU developed in the selected policies clusters in each country?
- What factors account for the development (or lack thereof) of capabilities in the interrelated processes of policy design, implementation and change?
- What is the quality of these capabilities according to different stakeholders and in what ways do stakeholders think capabilities can be enhanced in these policy processes?
- Based on the answer to the previous three questions an additional question is: what are the possibilities to enhance EU capabilities in the selected countries?

Capabilities and the analysis of EU policies

The assessment of international policies in the field of peace- and state-building is quite complex, since both the measures for and expected causes of success and failure differ widely across studies (Schroeder, 2013). Moreover, there are pertinent problems at defining what success entails and at evaluating it in practice, as demonstrated by Frerks (2015). With regard to the assessment of the capabilities under study and in line with our contextualized and constructivist perspective, we do not set criteria to measure the EU capability per policy area or per country, but we are interested in different views of how these capabilities evolve, why this happens in a particular way, and how different actors assess capabilities (and the related expectations and ambitions) (see Martin et al, 2016).

Our main assumption with regard to the *nature* of capabilities is that **EU capabilities develop, adapt, grow or erode in complex and largely unpredictable processes**. These processes are context-specific and thus highly dependent on 'external factors'. Whitman and Wolff (2012: 16) identify four contextual levels that are relevant to the EU in its activities of conflict prevention and peacebuilding: the local, national, regional and international level. We argue that the 'political or conflict context' at these different levels creates a range of particular challenges and opportunities to the EU and that it is up to EU staff and agencies (both on the ground and in Europe) to seize opportunities and respond to the challenges. In other words, capabilities are forged in context and in interaction with other actors.

These interactions can take many forms: consensus, obedience, confrontation, negotiation, resistance, persuasion, etc. Thus, instead of looking for capability as something dichotomous that the EU 'either has or has not', we want to improve our understanding of the social processes that determine how capabilities are made and unmade, what the perceptions are of different stakeholders about these capabilities, and the degree to which they are deemed effective. This may be informed by different experiences with the EU, or different expectations about the EU. In

addition, we are interested in other possible capabilities (other than the ones mentioned by Whitman and Wolff) that the EU may have, lack or develop; e.g. the capability to adapt policies in context, and to learn from different types of experiences.

We use a case study approach which enables us to investigate a contemporary phenomenon in depth and within its real-life context (Yin, 2008: 18). This type of research is especially relevant when the boundaries between phenomenon and context are not clearly evident (Yin, 2009: 18). In addition, Swanborn (2010: 38-48) argues that case study research is relevant when detailed knowledge of a phenomenon is needed and in particular when the researcher wants to gain insight into social relations and interactions. An important feature of the 'case centric approach' is that the researchers do not start their research looking at a fixed number of variables but begin with a case that is somehow defined by a spatial, temporal or conceptual boundary and then must discover the most significant variables and values to describe the case or commonalities between cases (Curtis and Curtis, 2011: 7).

Choice of cases

In the four country studies we are interested to gain insight in the 'general picture' of EU presence and intervention in a particular country context. However, we will take a more in-depth look at selected policies in each of these countries. The purpose of these in-depth studies of selected policies (cases within a case) is to gain more detailed insight in the EU policy process and in the ways the EU capabilities are forged and used in selected policy areas.

The selection of focus countries was already made during the preparatory phase of the project. The WOSCAP Project Agreement (WOSCAP Project 2015) mentions the following criteria for their selection. Firstly, they include a mix of cases from the European Neighbourhood and beyond, providing different types of contexts and conflict stages. Secondly, they include EU operations that have seen a longer-term presence and those with more recent engagements. Thirdly, the cases present imminent concerns with the EU and member states, and are on the political agenda of the EU. Finally, a key consideration was the availability of reliable and experienced research/consortium partners that can deliver the studies as envisaged.

The selection of the policies that will be discussed per country is based on several criteria. The research teams should argue why they have made a particular selection of policies/intervention, how this selection relates to the EU presence in general, what the strengths and weaknesses of the sample are, etc. Criteria for selection are:

- (a) Policies should be in the fields of MTD, GOV, or SSR;
- (b) They should be specific and focused to allow for fine-grained research; e.g. not an Association Agreement or a Peace Process but a specific initiative within this;
- (c) They should relate to core WOSCAP themes such as inclusivity, coherence, comprehensiveness and /or technology/innovation; and
- (d) There should be a diverse range of policies – which represent a broad /human security definition of security. Two points merit particular attention. Firstly, the different types of

EU engagement: does the EU work on its own, or in coordination with other actors?
Secondly, the level of intervention: does intervention primarily focus on the local, national, or regional level?;

(e) They should be salient and significant in terms of the EU's intervention in the country;

(f) They should be researchable, and allow for original findings, not a repackaging of existing research;

(g) A bonus is comparability between different studies.

In addition to the country studies, Utrecht University will analyse EU policies in other countries. In this case the focus will be on EU capabilities in selected policy areas (e.g. SSR, rule of law reform, mediation). As to the selection of policies, Utrecht University should argue why they have made a particular choice and how that choice relates to EU policies in general and what the strengths and weaknesses of the selected cases are. Criteria for selection are similar to those for the country studies:

(a) Policies should be in the fields of MTD, GOV, or SSR;

(b) They should be specific and focused to allow for fine-grained research; e.g. not an Association Agreement or a Peace Process but a specific initiative within this;

(c) They should relate to core WOSCAP themes such as inclusivity, coherence, comprehensiveness and /or technology/innovation;

(d) They should be salient and significant in terms of the EU's intervention in the country;

(e) They should be researchable, and allow for original findings, not a repackaging of existing research;

(f) A bonus is comparability/overlap with policies in other case study countries.

Questions case study countries

The research in the four countries consists of three parts: (a) analysis of the national context and international involvement; (b) analysis of the EU presence in the national contexts, which takes into account its politics and policies during different phases of the conflict, and its relations with other national and international stakeholders; (c) analysis of selected EU interventions, with a focus on capabilities to act, to coordinate and to cooperate. Below each of these parts is further discussed.

a) Questions about the national context

An analysis of the national context and the international presence per country will provide for an overview of the conflict setting (and changes therein), the efforts to resolve the conflict and the strategies and options to resolve the conflict today. It is suggested that the manual produced by Jonathan Goodhand (2002) on which this distinction is based, is used when developing this part of the research. In the analysis it is important to be as objective as possible and take into account the interpretations of the conflict and conflict resolution efforts of all relevant stakeholders (including armed groups, international organizations, neighbouring states). Different views can provide important information about the context in which the EU operates. Importantly, this part of the research is not meant to provide for a comprehensive overview of the conflict and of the efforts to resolve the conflict, but rather to provide the **relevant background information** which is indispensable to understand the next sections that focus on the EU.

Questions that guide this part of the research are:

- *As to the conflict:* What are the characteristics of the conflict in the country. What are the main parties, issues, background factors, most important changes and dynamics of the conflict?
- *As to responses:* What has the international involvement in the conflict been over the past decade or so (international organizations, states, non-state actors)?
- *As to strategies / options:* What are currently the main efforts to resolve the conflict? What are bottlenecks? What are the attitudes and perceptions of different stakeholders about strategies of conflict resolution? E.g. resistance, hesitance.

b) Questions about the EU presence

The objective of the section is to get an overview of the EU presence and policies.

Questions that can guide this part of the research are:

- How has the relation between the country and the EU developed over the past 10 – 20 years? Which policies has the EU implemented in the selected countries in that period? What is the importance of individual member states in the selected countries?

- What are the most important EU policies with regard to conflict and (human) security in general? What are the most important policies with regard to MTD, SSR, or GOV in the selected countries in the selected periods?
- Which other policies or engagement of the EU (e.g. association agreements, development aid, diplomacy) are relevant in the given time period?
- (How) Does the EU internally coordinate its policies with regard to each of the countries?

c) Questions about selected EU policies

In this part of the research the focus is on selected policies. It should be clearly explained why policies have been selected. This section should focus on the design, implementation and changes of the selected policies. Below we give an overview of each of three sets of questions for the design, implementation and change of policy respectively:

- How is the EU policy designed?
 - What does/did the EU set out to do? What were its original plans?
 - To which (one or several) of the three policy clusters does the policy belong?
 - What were the underlying principles of these policies (as stated in policy documents or as expressed by relevant EU staff)?
 - Why did the EU (and possible other actors) decide to develop this policy? What are the formal explanations (policy statements)? What are alternative claims about the reasons to develop the policy of EU and non-EU actors?
 - What was the gender dimension in these plans?
 - Was there any mention to ICT projects in these plans?
 - How was the policy design assessed by different stakeholders? What criteria are relevant according to different stakeholders? Why do they think so?
 - Which agency (agencies) or institution(s) within the EU was (were) responsible? Which other (non-EU) actors were involved? Did the EU look for broad-based support? Why (not)? If so, how? Were specific member states key drivers behind the policy?
 - Where there any other international agencies working in this field or on this topic? If so, was there contact between the EU and these organizations?
 - Looking at the broader 'policy area' what was the view of other relevant actors in the relevant policy area towards the plans of the EU? Was the policy of the EU – at the time of its development – welcomed, contested?
 - What was the conflict situation when the EU developed its policy?

- In what way did the policy intend to address the conflict situation (either directly or indirectly)?

- How is EU policy implemented?
 - What kind of actions or activities did the EU undertake?
 - What were the most important actors (national and international) the EU worked with? Why and how did it get in contact with these actors?
 - What was the nature of the relationships with each of these actors? E.g. were local actors involved in activities, contracted, consulted? Did the EU use any incentives to foster co-operation?
 - Which other actors (national and international) were involved in the policy process? What were their roles and / or levels of participation in these policies? (In case the EU was a stakeholder in initiatives with other international and national actors, how did the EU become involved and what was its role in the policy process?)
 - Did the EU create any networks or mechanisms with local / international actors?
 - How was gender taken into account in the implementation of the policy?
 - How was ICT taken into account in the implementation of the policy?
 - Which developments in the international/regional/national/local contexts affected the implementation of the policy? Which developments are important to know as background information to understand the ways the EU policy was implemented? What were the main problems or contestations during the implementation of the programme? Was there resistance against implementation of the programmes, either from within the EU institutions, or on the part of partners and target groups?
 - What are the strengths and weaknesses according to key stakeholders (EU, non-EU) of the program? Were there differences in the views of the different actors?

- What important changes did EU policy undergo? (How) was EU policy adapted?
 - Were there changes in the program? What kind of changes?
 - Is it possible to identify 'phases' of EU policy implementation (E.g. a phase of easy implementation, followed by resistance and contestation)? What are the main characteristics of these phases?
 - How and why did these changes take place? E.g. changes in context, contestations.
 - How are these changes evaluated by different relevant stakeholders?

- How could policies be (have been) improved according to different stakeholders?
- Which relevant context factors contributed to these changes?

Methods

The teams will use a variety of methods, consisting of literature review (policy documents, evaluations, academic articles, policy reports, etc.), semi-structured interviews with a range of stakeholders, participant observation and focus groups. The particular choice and mix of methods will vary per country and per selected policy.

The research aims to provide for more fine-grained information of selected EU policies and processes, which includes a wide range of stakeholders that may have different views of the policy process. Therefore, the identification and selection of stakeholders and clear procedures about the *level one* questions asked to them are necessary, as will be discussed below.

The identification of 'key stakeholders' is an important part of the research process. It is important that researchers argue why the experiences and views of certain stakeholders have been included. Stakeholders can either play a role in the policy process (the EU, government agencies, civil society organizations, non-state armed groups); be involved in similar policies in the same policy area (e.g. another SSR program); not be involved in any of the policies in the policy area, but possess knowledge about the policy area (such as think tanks, journalists, researchers, NGOs); be affected by the policies (target groups); or are other relevant actors who are not involved (e.g. warring parties).

Stakeholders can provide various types of information. A first type of information is documentation. The EU itself will have documentation about most of its policies. There may also be evaluations of policies, either by the EU or other stakeholders. Furthermore, there may be correspondence about policies between different stakeholders, or notes of meetings between stakeholders.

Since in most cases stakeholders will be collective actors like organizations, agencies, parties, etc., it is important to be aware that information that comes from individuals in these organizations does not necessarily represent the position or view of the organization. In this regard, the formal point of view of the organization can be quite different from the experiences, tacit knowledge and opinions of staff working in the organization. Researchers should take into account these positions of staff. This is also important when respondents are asked about their experience with and assessments of EU policy. It should be clear on the basis of what information stakeholders or others make their claims or express their views. The statement that a policy had 'no effect' or was 'a success' is of less interest than the explanation why and how a policy had a certain effect. In other words, we are primarily interested in the experience of different stakeholders and in how these stakeholders assess this experience.

With regard to the assessment of the capabilities under study and in line with our contextualized and constructivist perspective, we do not set criteria to measure or evaluate the EU

capability per policy area or per country, but we are interested in different views of how these capabilities evolve, why this happens in a particular way, and how different actors assess capabilities (and the related expectations and ambitions). Whitman and Wolff (2012) argue that many EU policies have been successful, because the stated policy objectives have become much more modest or vague in the past decade or so. This may be an indication that the EU has lowered its expectations. Therefore rather than focusing on an 'objective' assessment of outcomes, we argue that if we want to understand capabilities we need to understand the dynamics of policy processes and how these capabilities come about, evolve, are challenged, and run aground.

Planning and feedback

Each country team makes its own planning. The month of March will be used to answer the questions about the analysis of the national context (see questions under a) and the overview of EU policies (see questions mentioned under b). In this phase the final choice of selected cases will be made and detailed research plans for the analysis of each of the cases will be developed. If after making the overview of EU policies per country it appears that an important policy or intervention is not included in the selection, the choice of case studies may be altered after consultation with Utrecht University.

A first draft of the report is due around by the end of August. Utrecht University will set specific dates with each of the country teams, review the draft report and return it within 3 working days after the date. All country teams will submit their final drafts in the beginning of October 2016 (exact date to be determined). Thereafter, Utrecht University will edit the reports and send the reports before the 17th to GPPAC for proofreading and publishing.

During the research process Utrecht University will provide for feedback on demand, organize a webinar with the coordinators of the country teams in May 2016. In May / June Utrecht University will meet the coordinators of each of the country teams to discuss the progress made.

As the project builds on existing areas of expertise of the partners, the research teams will be able to tap into the expertise and guidance from the 'cluster leads' Berghof Foundation and GPPAC. In addition, preliminary findings will be discussed with them and peer-reviewed by local peacebuilding practitioners that are part of the GPPAC civil society network and beyond (see DoA). The research teams will also be able to compare approaches across case studies and will have moments for cross-fertilization of results and ideas. The action plans in this document do not elaborate these aspects in detail as they focus more on data collection, but peer review and discussions on preliminary findings are important parts of the trajectory.

Structure of the country reports

The minimum length of the reports will be 20.000 words, the maximum length will be 30.000 words (excluding references). The structure of the report is as follows, with approximate indication of length of report in percentage of total:

1. Introduction (2-4%)
2. National context (10-15%)
3. Overview of EU policy (15-25%)
4. Selected cases (60-70%)
5. Conclusions (2-4%)

Data management and Ethics

Utrecht University has drawn up a Data Management Plan (Deliverable D1.3), and, in addition, will also provide a document 'WOSCAP Open Access Guidelines' to all partners in the project. UU has also produced a 'WOSCAP Respondent Information Sheet' and a 'WOSCAP Informed Consent Form'. The latter three documents are not formal deliverables, but are part of the further WOSCAP working arrangements under responsibility of UU.

Chapter 2- Georgia

2.1 Introduction

The research in Georgia focuses on the period after the Russo-Georgian war of 2008. On 12 August 2008 a ceasefire agreement was signed.

Georgia is a priority country within the European Neighbourhood Policy and the Eastern Partnership. The EU is committed to a policy of sequenced engagement with Georgia and to a close relationship that encompasses political association and economic integration. The EU continues to support Georgia's efforts to overcome the consequences of internal conflicts in Georgia's breakaway regions of Abkhazia and South Ossetia as well as to stabilize the situation following the outbreak of hostilities in August 2008. It remains firmly committed to its policy of non-recognition and engagement, thus supports Georgia's territorial integrity within its internationally-recognized borders as well as engagement with the breakaway regions of Abkhazia and South Ossetia in support of longer term conflict resolution.⁴

In 2014 Georgia signed the EU-Georgia Association Agreement (AA) and Deep and Comprehensive Free Trade Area (DCFTA). This new profile puts Georgia in a unique place in the Southern Caucasus among its neighbours, where Armenia is almost a member of the Eurasian Economic Union (set by the Russian Federation). However, Azerbaijan declined to join both- EEU and DCFTA. There are two main EU bodies operating in Georgia, besides the European Union Monitoring Mission (EUMM): the EU Special Representative for the South Caucasus and the crisis in Georgia and the European Union Delegation to Georgia.

Since July 2003 the European Union appoints an EU Special Representative for the South Caucasus (EUSR) (since 2011 - EU Special Representative for the South Caucasus and the crisis in Georgia). This underpins the EU's commitment to actively contribute to the peaceful resolution of conflicts and to confidence-building efforts in the South Caucasus, while reaffirming Georgia's territorial integrity and sovereignty. The civilian European Union Monitoring Mission (EUMM) in Georgia was launched in October 2008 in accordance with the EU-mediated Six Point Agreement which ended the August war. The EUMM's mandate is to monitor these agreements, particularly by patrolling the areas adjacent to the Administrative Boundary Lines with the breakaway regions.

The EU's Monitoring Mission is the only mission in the country that is officially allowed to monitor and report about conflict and former buffer zones in Georgia. Unfortunately EUMM is not allowed to enter South Ossetia nor Abkhazia for fulfilment of its mission tasks. EUMM Georgia was established on 15 September 2008 and started its activities on 1 October 2008 as an unarmed civilian mission. Moreover, the Six-point Peace Plan is the only official document

⁴ Delegation of the European Union to Georgia, Political & economic relations. Retrieved from <http://eeas.europa.eu/delegations/georgia/eu_georgia/political_relations/index_en.htm>

(replacing all previous ones), regulating conflicts in Abkhazia and South Ossetia. Regardless of this, EUMM is lacking possibilities to access and monitor these regions especially in a situation where the world community has accepted and admitted that the Russian Federation is occupying 20% of Georgian territory since the August War of 2008. However the territorial losses are not 20% only. Daily, a crawling occupation of Georgian territories takes place in different places – in particular, in the northern direction from the Russian side.⁵ The demand for controlling the border lines of Georgia is very actively initiated by the different stakeholders in Georgia. They consider that the European Union should put pressure on Russia to allow monitors of EUMM Georgia to control also the conflict zones, which would increase security and transparency.

Starting from 2008, the Geneva International Discussions on Georgia's breakaway regions of Abkhazia and South Ossetia have concluded abruptly after delegates from the two separatist regions walked out on 18 June. The Geneva International Discussions (GID) are international talks, launched in Geneva, Switzerland, in October 2008, to address the consequences of the 2008 conflict in Georgia. Co-chaired by the Organization for Security and Co-operation in Europe (OSCE), the European Union (EU), and the United Nations (UN), the Geneva process brings together representatives of the participants of the conflict – Georgia, Russia, and Georgia's breakaway regions, Abkhazia and South Ossetia – as well as the United States. After the cessation of the UN and OSCE missions in Abkhazia and South Ossetia respectively, following the August 2008 Russo – Georgian war, the GID remains the only official platform for all interested sides to discuss security-related issues and humanitarian needs of the conflict-affected population.

⁵ The Caucasian Center for Strategic Research undertook a study monitoring the situation on the Georgian borders in 2014. According to research results, since 2004, the situation has been as such: in the Khevsureti region in northern Georgia, a border moved into the depth of Georgian territory of more than 10 km, in Tusheti (same direction) Russia has moved forward its border by 3 km. Out of 44 passes in the mountainous region connecting Georgia with Russia, 24 are controlled by the Russian Federation. The border has been moved into Georgian territory by 800 meters in Dariali gorge. The border at Mamisoni pass in the Racha district bordering Russia was moved into Georgia about 20 km; in Larsi, Russia still occupies more than 1.5 km. The strategic center's members are demanding from the authorities that they explain to the population what is going on. Azerbaijan and Armenia are slowly doing the same to the Georgian border. The results of the monitoring have named various places where the border has been moved and now these territories are lost for Georgia. As an example, just recently, the Georgian public was very much agitated concerning Azeri border guards blocking access to David Gareji Monastery. Officially, Tbilisi has so far not been prepared to give any explanations to those facts and keeps silent. So far, the border is regulated only with Turkey.

2.2 Selected case studies

Case 1: The Geneva International Discussion (2008 – current)

In October 2008, an international mediation process began over Georgia's breakaway regions – Abkhazia and South Ossetia. The discussions are commonly chaired by the OSCE, the EU and the UN. Representatives from Tbilisi, Tskhinvali and Sukhumi, as well as Moscow and Washington take part in the discussions.⁶ The Geneva International Discussions are held four times a year.⁷ The Discussions take place in two parallel working groups, one dealing with security and stability, and the other with humanitarian issues, including the issues of internally displaced persons and refugees. It was because of Geneva Discussions that the Russian military was withdrawn from the Georgian village Perevi in 2011. In general, the talks are believed to enforce security, stability, and respect for human rights in Georgia.⁸ The most recent round of discussions was held on December 8-9, 2015, which is the thirty-fourth since its launch seven years ago.

The Geneva International Discussions are an excellent example of Multi Track Diplomacy representing primarily Track 1.5 (see WOSCAP scoping study on MTD) involving the EU Special Representative (EUSR), who performs the third-party role. The Geneva International Discussions also fits well with other priority areas of the WOSCAP project like SSR and governance reform. The cross-cutting themes of gender, ownership and stakeholder synergies are also pertinent.

Case 2: European Union's Monitoring Mission to Georgia (EUMM)

The EUMM is an unarmed civilian monitoring mission of the EU that was deployed in Georgia in September 2008 after the EU-mediated Six Point Agreement which largely ended the August 2008 war between Georgia and Russia. The headquarters of EUMM is in Tbilisi, with field offices in Gori, Mtskheta and Zugdidi. The EUMM mandate extends throughout Georgian territory and their main activities encompass patrolling, particularly in the areas adjacent to administrative boundary lines with Abkhazia and South Ossetia. The EUMM operates with around 200 monitors from various EU Member States working on the ground.

⁶ Organization for Security and Co-operation in Europe (OSCE), Press releases related to the Geneva International Discussions. Retrieved from <http://www.osce.org/home/104211>

⁷ UN Women, (2015, July 15), Meeting between women's NGOs and participants of Geneva International Discussions. Retrieved from <http://georgia.unwomen.org/en/news/stories/2015/07/meeting-between-womens-ngos-and-participants-of-geneva-international-discussions>

⁸ Byrnes, K., (2015, October 22), Geneva International Discussions on the Conflict in Georgia: delivered by Deputy Chief of Mission Kate Byrnes to the Permanent Council. Retrieved from http://osce.usmission.gov/oct_22_15_geneva_discussions.html

The main priorities of EUMM are:

- to ensure that there is no return to hostilities;⁹
- to facilitate the resumption of a safe and normal life for the local communities living on both sides of the Administrative Boundary Lines (ABL) with Abkhazia and South Ossetia;
- to build confidence among the conflict parties;
- to inform EU policy in Georgia and the wider region.

The EUMM is relevant to the three policy fields. Security Sector Reform (SSR) is relevant since the EU monitoring mission aims to ensure that there is no return to hostilities and facilitates the resumption of a safe and normal life of the local conflict-affected communities. This way the mission and strategy of EUMM contribute largely to human security and the security in the country and broader region. Governance reform is relevant because of the focus on confidence building and rule of law.¹⁰ To some extent multi-track diplomacy is also relevant since the EUMM activities and strategies support unofficial dialogue and problem-solving activities aimed at building relationships between civil society leaders¹¹, and contribute to people-to-people interactions at the grassroots level to encourage interaction between the communities and build confidence among them. Furthermore, an initial review of the EUMM website and some available documents¹² made clear that three of the five 'cross-cutting themes' on gender, multi-stakeholder coherence, and civil-military synergies – as part of 'coherence' – are present. The efforts of the EUMM to adapt the mission's work to ensure that it improves the situation, both for men and supporting gender equality efforts with the purpose to improve women's situation, specifically covers the cross-cutting themes of gender perfectly.

⁹ Delegation of the European Union to Georgia, EUMM mission. Retrieved from https://www.eumm.eu/en/about_eumm/mandate

¹⁰ ACTS ADOPTED UNDER TITLE V OF THE EU TREATY, COUNCIL JOINT ACTION 2008/736/CFSP of 15 September 2008 on the European Union Monitoring Mission in Georgia, EUMM Georgia, Official Journal of the European Union, L 248/26, 17.9.2008 Retrieved from

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:248:0026:0031:EN:PDF>

¹¹ *ibid.*

¹² Ahlin, M., Olsson, L. (2012), Field Assessment: Implementing EU Gender Policy in EUMM Georgia, Swedish Agency for Peace, Security and Development: Stockholm. Retrieved from <https://fba.se/contentassets/5ec9e7e4d1d542a4a0243bf5e26ac428/eumm.pdf>

Case 3: Border management

Border security and border management in general are part of a field which attracts considerable attention from the European Union not only within its member states but in the wider neighbourhood too. The first decade of Georgia's independence was marked by civil wars, ethnic conflicts and lack of strong state institutions. Therefore, until the mid-first decade of the 21st century Georgian borders were guarded according to the old Soviet system. In 2006, Georgia embarked upon comprehensive reform in the sphere of border management and soon introduced the European concept of integrated border management as a form of administering borders. The European Union has been very actively supporting Georgia in transforming Georgian border guards from military into a law-enforcement organ. Border management featured as a priority area of reform in all major EU-Georgia agreements, such as ENP AP, Eastern Partnership Roadmap, Visa Liberalization Action Plan and the Association agreement. EU support to border management in Georgia is one of the most vivid examples of EU involvement in wider governance reform in the country and especially in security sector reform.

The European Union had a two-pronged approach towards anchoring of integrated border management (IBM) in Georgia. The first approach envisaged direct cooperation with Georgian authorities through a Border Support Team (BST) based in Tbilisi under the EU Special Representative for South Caucasus. The team provided European expertise in development of strategic documents and basic legal acts for border reform. The other approach, envisaged EU funding for concrete projects in border management that were implemented by UNDP, IOM and ICMPD and aimed at development of three major directions: capacity building, infrastructure and equipment and international cooperation. As a reward for successful implementation of border reforms EU allocated 16 million Euros to implement one of the first projects under the "More for More" initiative in the IBM field.

Border security and border management is relevant to the WOSCAP governance cluster, and to an extent to Security Sector Reform too. The case of border security and border management policy design, implementation, and reformulation fits well with other WOSCAP project cross-cutting themes of gender, local ownership and coherence (including civil-military synergies).

The case-study will be based on an analysis of new and amended internal legislation, international agreements as well as secondary legal acts. In this regard, EU-Georgia documents will be analysed to understand contractual commitments taken by both parties for bringing border management reform in Georgia forward. The scope of the EU assistance and aspects of EU-funded border management projects will also be looked at. Furthermore, the country progress reports as well as assessment reports by the European Commission and national ministerial implementation reports will be consulted during the research. Interviews with the officials of Georgian Ministry of Interior, particularly the Deputy Minister responsible for border management as well as the heads of Border Police and Patrol Police will be conducted in order to obtain information on the reform process. Interviews will be conducted with respective EU Delegation officers, EUSR BST staff members as well as representatives of IOM, ICMPD and UNDP. In total

8-10 interviews will be arranged. Site visits to the border crossing points will be another method used for the data collection on infrastructural and equipment assistance provided by the EU.

Case 4: Migration

Georgia has been receiving the EU's growing attention both politically and financially since its independence. Given the soviet legacy, ethnic conflicts and civil wars, from the early 1990s, the EU-Georgia cooperation has mainly unfolded around the issues of security, stability and prosperity. The EU has supported Georgia's efforts to overcome the consequences of internal conflicts in breakaway regions of Abkhazia and South Ossetia, as well as to stabilize the situation following the outbreak of hostilities in August 2008. The EU's security agenda in Georgia has particularly deepened after the enlargement that brought Georgia, along with other countries in the neighbourhood, closer to its border. Today, in the era of constantly evolving terrorism and the increase of asylum seekers in Europe, the cooperation in the field of security has gained even greater weight and significance.

Migration has been one of the core components of the EU's security policy both internally and externally when dealing with third countries. It has been the EU's central focus vis-à-vis security partnership and cooperation in Georgia too, not least because the country's geographic proximity with the troubled states in the North Caucasus and the Middle East.

The EU support to legal, regulatory and institutional reforms in the field of migration has been exemplary in terms of governance and SSR in the country. The EU's major policy instruments offered to Georgia, including ENP, Eastern Partnership, and most recent Association Agreement and Visa Liberalization Action Plan (VLAP), have all called upon respective policy and institutional changes in the country.

The migration sector reform has been covered extensively in numerous EU-Georgia agreements. The EU-Georgia ENP Action Plan signed in 2006 set strategic objectives and priorities for cooperation inter alia in the field of justice, liberty and security. The EU-Georgia sub-Committee for cooperation in the field of justice, liberty and security was set up in 2007. Since then, Georgia has been implementing the Eastern Partnership bilateral and multilateral Roadmaps which, among other issues, provide for reforms in migration-related sectors. In November 2009, 16 EU Member States and Georgia signed a Joint Declaration on cooperation in the framework of EU's Partnership for Mobility. The initiative aims at a joint fight against illegal migration and promotion of legal migration. Subsequently, it foresees cooperation on migration-related issues such as labour migration, re-admission, reintegration, diaspora, document security, labour market and mutual recognition of professional qualifications. The migration policy reform was also central in 2011 Agreements on Visa Facilitation and Re-admission between the EU and Georgia. The Visa Facilitation Agreement made it easier for certain categories of Georgian citizens to obtain visas to travel to EU Member States; it reduced or abolished visa charges and introduced visa-free travel for diplomats. In addition, the EU-Georgia Re-admission Agreement clearly defined procedures to

be applied in case of re-admission to their homeland of persons illegally residing on the territory of a foreign country.

By signing these agreements with the EU, Georgia embarked on political commitments to undertake a comprehensive reform in the area of migration. The issue has also underpinned the successive 2012 EU-Georgia Visa Dialogue and the 2013 VLAP. Considering the importance of establishing a secure environment for visa-free travel, the objective of the Action Plan has been to identify all measures that need to be adopted and implemented by Georgia and indicate in clear terms the requirements that have to be achieved. The Action Plan consists of two phases – legislative and operational. Among various other issues related to security it incorporates the implementation of reforms in the areas of migration. As a result of the VLAP's successful implementation, Georgia anticipates the opening of visa-free travel with the EU later this year. Therefore, EU-Georgia cooperation on migration policy is expected to further deepen and widen.

The selection of 'migration' as a case for our research has been determined primarily by it being a topical issue in the EU-Georgia security cooperation. In addition, we believe that the case fits well in the overall WOSCAP methodology. It is concrete and focused and represents the EU's specific policy in the area of security promotion and enhancement in the country. The study of this narrow case will allow us for a detailed and thorough analysis making an important contribution to the overall research. Besides, the selected case falls in the analysis of governance and security sector reform, that is, one of the major policy areas envisaged by the proposed methodology. Moreover, the case covers some of the WOSCAP major themes, namely: local ownership (in terms of the endorsement of migration policy reforms domestically) and multi stakeholder coherence (coordination and cooperation on migration policy among EU and various other actors represented in the country).

The analysis of the EU's migration policy in Georgia will be based on various aspects indicating the level and degree of the EU's engagement: major mechanisms, instruments and policy actions, policy implementation and domestic internalization, adequacy of funding, as well as the capacity to coordinate and cooperate with partners (work in an inclusive way), achievements as well as failures and/or challenges in the actions.

The analysis in the selected case studies will be based on the collection and review of primary as well as secondary and tertiary data. We view in-depth interviews as a main method of primary data collection. Interviews will be conducted with all relevant stakeholders: the elites of all the key Ministries and line agencies, representatives of relevant Parliamentary committees, EU Delegation respective program managers, as well as NGOs and experts working in the migration field. In total, up to 8-10 interviews will be conducted for this topic. In addition, all relevant secondary and tertiary documents will be reviewed, including EU Country Reports, EU-Georgia Progress Reports, European Commission Assessment Reports, Action Plans and reports on their implementation, all respective Agreements.

2.3 Methodological considerations

Our primary data will come from in-depth interviewing that will be conducted in April-May of 2016. As the study focuses on the policies of two different governments (United National Movement and Georgian Dream) the number of the interviews will have to be larger, increasing the cost related to interview transcription. A Utrecht University M.A. student will also be part of the project for her internship.

The primary data collected for the present research will be based on participants' informed consent. This implies a responsibility to explain to the interview respondents fully and meaningfully what the research is about, what its aims and objectives are, and how the research findings will be disseminated. Respondents will be aware of their right to refuse to participate, understand the extent to which confidentiality will be maintained, and be informed of the potential uses to which the data might be put.

A number of respondents, especially representatives of the EU delegation as well as the participants of the Geneva International Discussions, are not available in Georgia. Besides, the representatives of Geneva Talks (mostly from Russian side as well as breakaway regions) may not be willing to participate in any kind of research.

2.4 Planning and responsibilities

Overall contact person and data manager: Nana Macharashvili - WOSCAP coordinator at TSU, researcher.

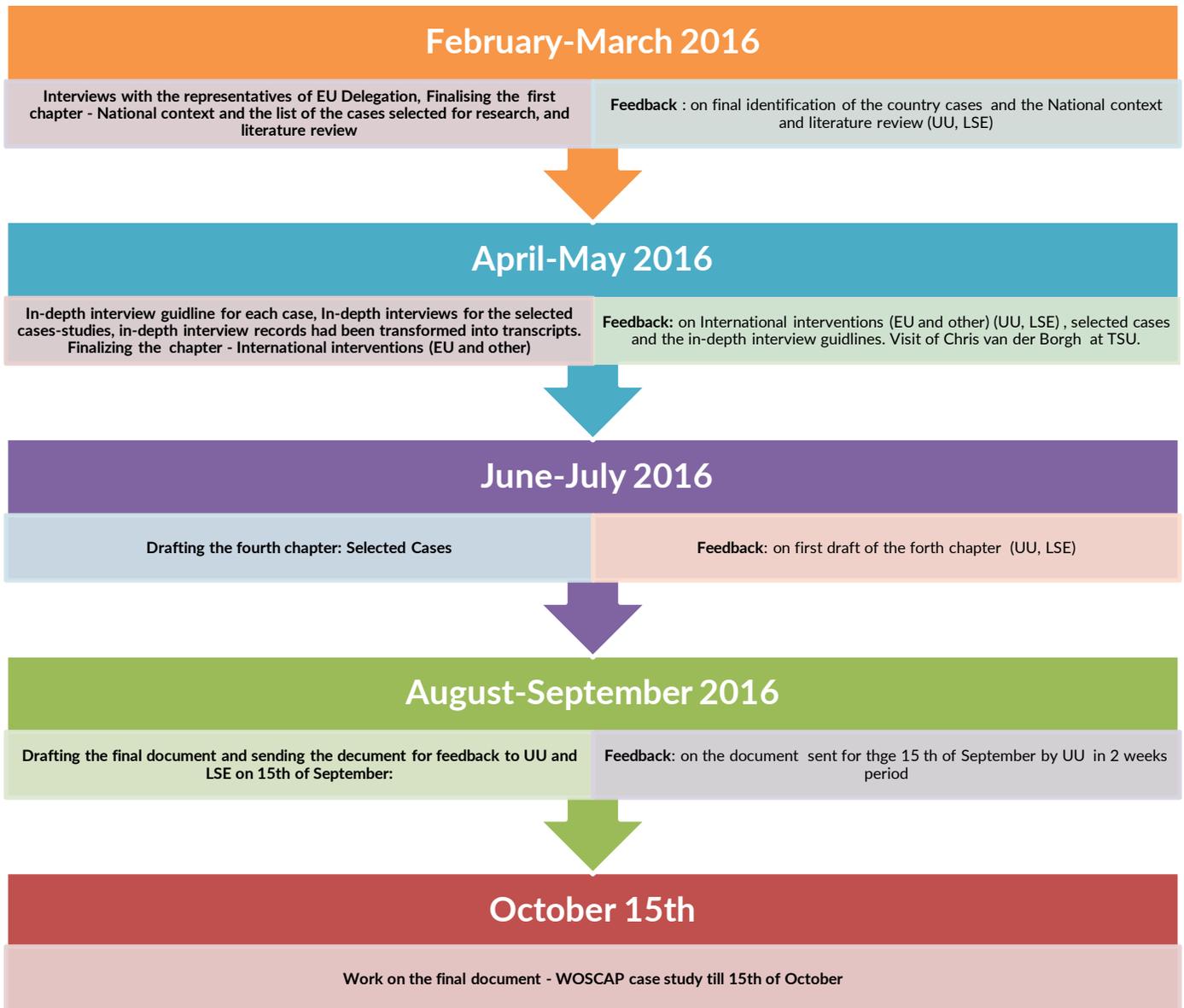
Researchers:

- Nikoloz Samkharadze
- Khuntsaria Tamar
- Basialaia Ekaterine
- Macharashvili Nana

Assistants:

- Kristine Ghonghadze – M.A. students of Public Policy and Administration Programme - she will be involved in providing the transcripts for in-depth interviews (around 5 days of workload)
- Pia de Gouvello – M.A. student of Master's degree program in Conflict Studies and Human Rights, Utrecht University will be involved in the literature review as well as the thematic cluster analysis of English-language in-depth interviews

The planning of the project is as follows (dates are tentative and subject to change):



2.5 Safety assessment and ethics

The whole territory of Georgia, except for the breakaway regions (Abkhazia and South Ossetia) of the country, is safe and secure for the researchers. The accessibility of the interviewees on the territories adjacent to the conflict zones might pose certain risk to a researcher, but this can be monitored. Moreover, in such cases, the persons involved in the research process will be accompanied by the local people. Representatives of local media, as well as local non-governmental organizations or even some relatives could be used in this case).

The researchers who want to access these territories need to be registered at the Ministry of Internal Affairs of Georgia and use their international passports for crossing the de facto borders.

In case the researchers decide it is crucial to obtain the interviews from Abkhazian and South Ossetia parties, they suggest using local contacts for collecting the data. Moreover, representatives of local non-governmental organizations as well as local journalists' networks could be used for this purpose. Civil society from ICCN from the GPPAC network can support TSU in this.

Chapter 3 – Mali

3.1 Introduction

The case of Mali focuses on the crisis and ongoing insecurity between 2012 and present. Mali is a Sahelian country and figures among the least developed countries in the world. Mali is going through a very critical period in its history, marked by many initiatives to come out of the deep social political and security crisis experienced by the country since January 2012. Indeed, the country faces several challenges, such as drought, food insecurity, illiteracy, economic crises, poor governance, lack of development perspectives and the inability of elites since independence to unite the different communities in a national project. These different factors are used by the rebel movements in northern Mali to justify cyclic uprisings and wars (1963, 1990, 1996 and 2012).

An important trigger of the Malian crisis was the Franco-American intervention in Libya in 2011 leading to Gaddafi's defeat. This caused a reflux of Malian Tuareg that had been incorporated into the Libyan army, towards northern Mali. The alliance between jihadist groups and rebel movements in northern Mali soon transcended the moribund regime of President Amadou Toumani Touré and led in April 2012 to the occupation of two thirds of the country by these groups. This situation has created an unprecedented security situation, which has worsened until January 2013. For over a year, the north of Mali was occupied by an alliance of these armed groups until the French intervention in 2013. The intervention was able to stop the progression of the armed groups to the south, and to foster the Ouagadougou agreement, leading to general elections and the Algiers agreement. However, it could not completely stop hostilities and avoid the impact on people who had left their localities in large groups. Subsequently, the Algiers negotiations gave birth to a national reconciliation and peace agreement signed in Bamako in May 2015; first by the Malian government, the armed groups recognizing Malian institutions, international organizations and mediators; and then on 20 June by irredentist armed groups.

The European Union is present in Mali since independence. It is the most important partner of this country in terms of public development aid. Since the outbreak of the political and security crisis in Mali in 2012, the presence of the European Union has intensified in Mali. The EU strategies for solving the Malian crisis unfold on at least four levels. The first level is bilateral relations that certain Member States of the European Union have with Mali. The second level is the existing cooperation agreements for development and commerce between the EU and Mali which have been recently reinforced with military technical assistance (training) agreements. Thirdly, more recently links have grown between the EU and African regional and sub-regional organizations (including ECOWAS). These relations have played a leading role in key moments of the crisis. Finally, the EU cooperates with non-state actors that are stakeholders in the Cotonou Agreement.

3.2 Case studies

The final selection of case studies for Mali will be made in March, when a more elaborate overview of the EU policies in Mali will be available. The five cases that most probably will be included are discussed below.

Case 1: The EU and the Algiers negotiations and Bamako Agreement for peace and reconciliation

Conducted in several rounds by a group of international mediators – including representatives of the EU – a range of actors from Malian society participated in the Algiers negotiations: government, civil society organizations, religious and armed groups, etc. The negotiations eventually led to the Bamako Agreement, which is supposed to lead to profound institutional reforms. Although this agreement raised immense hopes, defining the terms for its implementation and its composition divided the protagonists. Similarly, the challenges facing the cantonment process of the armed groups and the mutually recurring charges between the parties do not bode well. Finally, the recent attacks by jihadist groups, including the attack against a hotel in the centre of Bamako in November 2015 and in several locations in the North and South, suffice to show that peace is not yet won.

The “Algiers process” is a good example of the European involvement in multi-track diplomacy. The case can provide relevant information about how the EU became involved in this process, what roles it played, what strategies were developed, how the EU contributed to convincing the parties to accept a compromise, which kinds of relationships the EU developed with the other actors and what the coherence was between the EU’s position in this process and other policies in Mali. It will take into account the perceptions of other actors, focusing in particular on the question of whether the EU was considered an impartial negotiator (the EU also provided technical assistance to the Malian army). This case will identify and analyse the contributions made by the EU to the implementation of the peace agreement. This case will also identify the relevant EU initiatives in the framework of the EU Instrument contributing to Stability and Peace (IcSP) in Mali.

Case 2 and 3: The European interventions in the field of SSR: EUTM and EUCAP

Since 2011, the EU intervenes in Mali in the fields of capacity building, security and conflict prevention. The dual security and institutional crisis of 2012 shows the serious shortcomings of the defence system and the security apparatus of the country (institutional and structural weaknesses, capacity gap and lack of professionalism). The present security challenges of Mali are largely inherent in the size of its territory, which is difficult to control. The major security threat to the country arises simultaneously from terrorist activities of Al Qaeda in Maghreb (AQIM) which has found a sanctuary in northern Mali, the secessionist rebels’ actions and further from diverse types of banditry and trafficking. The crisis has shown the limited capacity of the Malian army, in

particular its incapacity to fight terrorism and to bring a halt to narcotics-trafficking. That is why the EU decided to participate in the settlement of the crisis and provide assistance through the training of the defence forces.

The EUTM Mission (European Union Training Mission) aims to help Mali exercise full sovereignty over its territorial integrity and neutralize organized crime and terrorism. Its objectives are, inter alia, to develop and provide training, develop policy at the strategic level, to steer human resources planning, etc. The mission is divided into two areas: to support the restructuring of the Malian army and to train combat units. For EUTM, it was therefore necessary to undertake a rationalization of the command structures of the army, and to improve its operational readiness. The EU is involved in restoring the chain of command. Furthermore, it provides its expertise in the development of military doctrine, and the concept of employment of forces.

The European Capability program (EUCAP-Mali) aims to strengthen the capacity of the Malian security forces (EUCAP-Mali) through strategic advice and training of the police, the National Guard and the judicial sector. The actions of the EUCAP-Mali are primarily oriented to the strengthening of the human resources of the Police, Gendarme, and National Guard through training and equipment, as well as the training of judicial actors by strengthening their ability to formulate policies. The political and diplomatic dialogue consisted of supporting the implementation of the roadmap adopted by the National Assembly of Mali on 29 January 2013, the deployment of electoral observers throughout the process, and the inclusive dialogue (Justice and Truth Commission, Dialogue and Reconciliation).

Case 4: The regional approach in the Initiative for security and development in the Sahel

As part of its Common Security and Defence Policy (CSDP), the European Union has developed a European Security Strategy in 2003. In the implementation of this strategy, the EU has implemented the Initiative for Security and Development in the Sahel, which is based on a comprehensive and integrated approach to security and development in the Sahel. This initiative is part of a comprehensive approach, under the Joint Africa-EU Strategy and Action Plan adopted at the Summit of Africa-Europe in Lisbon in December 2007 (Partnership for peace and security). In 2011, the EU adopted a "Strategy for Security and Development in the Sahel," whose main purpose was to facilitate the implementation of a national policy against crime adopted by the Malian government in 2010. The doctrine of the EU strategy for the Sahel is based on the desire to prevent remote threats whose scope may rebound quickly on the EU territory. It is in this strategic context that the Sahel is seen as the first line of defence beyond the European borders (neighbourhood concept to the extreme south of Europe).

It will be of particular interest to study the relations between this initiative and the Mission of the African Union for Mali and the Sahel (MISAHEL) that was created after the transfer of authority of the MISMA to MINUSMA, in order to maintain a presence of the African Union and support Mali and the other Sahel countries in their efforts towards stabilization and development. The mandate of the MISAHEL consists of three main components: political, security and

development issues in the Sahel. The choice of this case is relevant in the context of the case study of Mali, especially in order to assess the interaction between various international actors in the Sahel region and particularly in the Malian post-crisis situation. The MISAHEL project also allows identifying EU interventions in partnership with the AU in the other covered Sahelian countries.

Case 5: The European support in governance reform

It is well known that the lack of governance is one of the factors of the Malian crisis. Thus, it is not a surprise that an important pillar of the EU is the support for political and governance reforms. With the support of the European Union Delegation in Mali, on 8 July 2013, a strategy composed of eight parts has been proposed to the Malian presidency. In August 2013, the EU announced to support the Malian government and people by promoting sustainable and inclusive development.

In 2013, the EU granted emergency aid to Mali as a gift to the State budget, for the resumption of basic services to the population and the restoration of the rule of law. The EU also supported the post-crisis electoral process working in favour of transparent and peaceful elections with a high voter turnout. On 06 March 2015, the EU and Mali signed the document of National Indicative Programme (NIP) 2014-2020 framing aid to Mali. This program is based on the provisions of Articles 2 and 4 of Annex IV of the ACP-EC Partnership Agreement, signed in Cotonou on 23 June 2000, revised on 25 June 2005 (Luxembourg) and June 22, 2010 (Ouagadougou). The NIP has planned several areas of concentration. The first selected focal area aims to reform the state and consolidate the rule of law.

The NIP further provides support to civil society. Through the 11th EDF, the EU aims at promoting the role of civil society as an agent of economic, social and cultural development and contributor to inclusive and sustainable growth. Malian civil society plays an important role in strengthening and consolidating the state, and the democratic process. It will also be called upon to play its role with regard to governance and accountability, and in the programming and implementation of Mali's development policies.

Currently there are several EU projects in Mali relating to governance aspects, among which the Program to Support Administrative Reform, Decentralization and Regional Economic Development – PARADDER. The topic of communication is addressed by the EU's support to a local radio station to promote the reform of governance. The main focus in governance theme will most likely be on The Program to Support Administrative Reform, Decentralization and Regional Economic Development – PARADDER.

Weeks	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4				
Preparatory phase																				
1. 1. Barcelona methodology workshop;																				
1. 2 Development of interview guidelines and preliminary questionnaires;																				
Exploratory research																				
2.1 Additional documentary research and development of preliminary interview guides																				
2.2 Talks with the EU delegation and the Directorate of Malian International Cooperation																				
2.3 Deepening of interview guides																				
Data Collection Phase																				
3.1 Surveys in Bamako and synthesis																				
3.2 Surveys in Koulikoro and synthesis																				
3.3. Surveys in Segou and synthesis																				
3.4 Surveys in Mopti and synthesis																				
3.5 Surveys in Gao and synthesis																				
Data synthesis phase and report writing																				
4.1 Drafting of thematic reports																				

3.4. Planning and responsibilities

The completion of the study will be conducted according to the following schedule:

Note: all dates are tentative and subject to change.

The research will be carried out by a team composed of four researchers, all professors and researchers at Bamako University in legal and political sciences, but with different specializations and four assistants:

- Moussa Djiré, coordinator; responsible for methodology and case studies coordination, responsible for the internal quality insurance; contact person
- Djibril Sow, assist the coordinator in the project administration, responsible for the governance reforms cluster
- Bakary Camara, responsible for the multi-track diplomacy cluster
- Kissima Gakou, responsible for the SSR cluster
- Mohamed Lamine Dembélé, assistant on multi track-diplomacy and governance reforms
- Kalilou Sidibé, assistant on SSR
- Ali Maiga/ and or Boncana Maiga, assistants on multi-track diplomacy and governance reforms

3.5 Security assessment and ethics

In spite of Mali being one of the most insecure countries at present, the research is feasible since the majority of the activities will take place in Bamako and other towns. Of course, the situation is not the same in Mopti and the Northern regions. But, among these, Kidal (considered the most insecure place), will not be visited due to security risks. Therefore, representatives from Kidal will be met in Bamako. With regard to Gao and Mopti, the risks are very low, as in other parts of the country.

With regard to the research authorizations and ethical aspects, Malian researchers are free to carry out their activities. Whenever there is any tangible threat to their security, activities will be cancelled or delayed. The team will monitor such threats and get input from WANEP Mali¹³. Data will be collected on the basis of informed consent and the authorization of interviewed persons will be asked for publication of collected information.

¹³ West Africa Network for Peacebuilding in Mali – A civil society organization and member of the GPPAC network, participating in the project. They have monitors in various regions in Mali, who provide information to their Early Warning system, which is part of ECOWARN (of ECOWAS). This will support the supply of information and local focal points of the network can facilitate contact with persons in Kidal for example.

Chapter 4 – Ukraine

Introduction

The case of Ukraine focuses on the period after 2012. The end of 2013 and the year of 2014 have been very important and difficult for Ukraine. After the EuroMaidan protests managed to successfully win against the Yanukovich regime, the country's system started to recover towards a more open system with a higher participation of the citizens. However, the process of democratization came along with the Russian illegal annexation of Crimea, a war of Russian-backed separatists in the East of Ukraine against the constitutional authorities and a full-fledged economic war.

The main challenge for Ukraine nowadays is implementation of reforms, which is also the biggest obstacle in country's path to EU. All reforms are going on, but in a very slow pace and facing a lot of obstacles and problems. As a sociological research of the Razumkov Centre showed Ukrainian citizens in general barely feel the impact of reforms on their personal situation. However, in some spheres we can see a certain progress, for example, in the police reform. On 2 July the Parliament of Ukraine passed a law on the establishment of the National Police. And on 4 June new patrol police took their oaths at Kyiv and received a lot of support from society.

The role of the EU in the reform process of Ukraine is crucial. First of all, the EU created a "support group" which is a special mechanism to support reforms in Ukraine and the implementation of the Association Agreement which the EU signed with Ukraine in 2014. Apart from the transfer of knowledge and expertise offered to Ukraine by the EU, Brussels has an important role in protecting Ukraine against an economic disaster. The EU pledged Euro 11 billion support in the coming years coming from the European Commission and EU-based financial institutions. Notably, out of the amount of Euro 11 billion, 1.8 billion will be macro-financial assistance, which is of paramount importance not only because of a severe drop in revenues, but also because of the extreme inflation in Ukraine.

In addition, EU support has also been critical to reach the cease-fire agreement – Minsk II. The agreement was negotiated between Russia, Ukraine, Germany and France; and if it would be implemented, then it should ensure a settlement for the conflict in the East of Ukraine. However, the agreement does not touch upon the issue of the Crimea. The evidence of EU unity and commitments to support Ukraine could be observed not only through the amount of financial assistance but also through the sanctions regime that was applied against Russia.

Also, the EU has been quite successful in stabilizing the internal situation in Ukraine. The EU heavily supported the elections of the president and then the parliament in order to take off any suspicions regarding the legitimacy of the new power in Kyiv. The EU is also supporting the constitutional reform (especially the decentralization process) and the elections in the occupied territories in the East of Ukraine. The elections are agreed in the Minsk II agreement; however, in order to validate the elections, these should take place in accordance with the Ukrainian legislation and under the monitoring of the OSCE-ODIHR.

Additionally, the EU has deployed a mission – European Union Advisory Mission (EUAM) for Civilian Security Sector Reform. The EUAM officially became operational since the fall of 2014, however, it is still in the process of recruiting and it seems that it is also involved in drafting legislation in connection to civilian security sector reform.

4.2 Selected policies

Case 1: EU initiatives to support Local Governance & Decentralization Reform in Ukraine

The question of decentralization in Ukraine has been a sensitive topic before the outbreak of conflict in the eastern Ukraine. The lack of fiscal and administrative power at the local level led to increasing grievances toward central authorities. These grievances were used by oppositional and separatist movements to rally the support for regionalization and at the extremes, for federalism and separatism. Therefore, decentralization reform is crucial for addressing the underlying causes of conflict.

After the outbreak of violence in 2014 and subsequent ceasefire efforts (Minsk process), the format and degree of decentralization became a contentious issue not only in regard to the Donbas region, but for the whole Ukraine. Currently, Ukraine is in the process of changing its legislature on decentralization and local governance, which on one hand is welcomed by international donors, but on the other creates a lot of tension among Ukrainians. The European Union has been a strong and consistent supporter of the local governance and decentralization reform in Ukraine. It recently boosted its efforts by pledging millions of Euros for the U-LEAD with Europe: Ukraine Local Empowerment, Accountability and Development Programme and UNDP-developed EU-funded action “Restoration of Governance and Reconciliation in Crisis- Affected Communities of Ukraine.” These instruments aim to establish transparent and accountable governance in Ukraine and to strengthen local governance in the Donetsk and Luhansk regions respectively.¹⁴

EU initiatives on decentralization in Ukraine fall into the governance reform cluster and the cross-cutting themes of local ownership, involvement of women in the process, and multi-stakeholder coherence are all relevant. By focusing on these EU initiatives in the conflict affected communities, we aim to understand the relationship between the decentralization efforts and conflict resolution. In particular, we are interested whether the shift toward local governance creates a space for a long-term peace.

¹⁴ “EU announces more than €100 million for Ukraine to support decentralization reform and re-enforcement of local governance,” *European Commission*. http://europa.eu/rapid/press-release_IP-15-6263_en.htm

Primary stakeholders are foreign diplomats, Ukrainian politicians, local politicians, journalists and analysts. Research tools to obtain information regarding EU decentralization efforts include documentary analysis (primary documents regarding the programs and actions), content analysis, semi-structured interviews with primary stakeholders, and focus groups.

Case 2: EU Advisory Mission for Civilian Security Sector Reform in Ukraine (EUAM Ukraine)¹⁵

The EUAM Ukraine was created under the EU's Common Security and Defence Policy. The goal of the mission is to assist Ukraine with reforming the police and improving the rule of law. EUAM is directly affecting the security sector reform in Ukraine, yet it focuses exclusively on the civilian component (police, border guards, prosecution). In the light of the disarmament process that is outlined (yet not implemented) in the Minsk agreement, the reform of the civilian component of the security sector is an indispensable part of the process of post-conflict rebuilding.¹⁶ For example, to strengthen community security and thus create confidence among ex-combatants to disarm, it is imperative to reform the police. Equally important is to enhance border management capacities and prevent smuggling of weapons inside the conflict region. Finally, the EUAM's focus on anti-corruption and human rights adds a good governance dimension. In sum, an analysis of EUAM can offer relevant insights for the security sector reform cluster and the cross-cutting themes of gender and civil-military synergies.

Primary stakeholders are representatives from the EUAM, subjects of the EUAM mission (border, police, and customs authorities), politicians, opinion-makers, and analysts.

Primary research tools to analyse the activities of the EUAM are documentary research (founding documents, statements, reports, etc.), content analysis, semi-structured interviews with primary stakeholders, and focus groups.

Case 3: EU Border Assistance Mission to Moldova and Ukraine (EUBAM)

Since its creation in 2005, EUBAM is supporting capacity building for border management on the entire Moldova-Ukraine border.¹⁷ The geographic location of the EUBAM indirectly connects it to conflict dynamics in the eastern Ukraine. After the outbreak of the conflict in 2014 in the east, there have been fears that the next flashpoint may be in the south of Ukraine. The source of the potential insecurity is the proximity of Russian troops that are illegally stationed in Moldova.

¹⁵ EUAM Ukraine. <http://www.euam-ukraine.eu/en/home>

¹⁶ For the link between SSR and Disarmament, Demobilization, Reintegration see "DDR and Security Sector Reform," *UN Integrated DDR standards*. <http://unddr.org/uploads/documents/IDDRS%206.10%20DDR%20and%20SSR.pdf>

¹⁷ EUBAM to Moldova and Ukraine. <http://eubam.org/>

There are several reasons why EUBAM is a crucial example of the EU civilian conflict management mechanism. First, training and advisory activities, conflict resolution and good governance efforts make it a relevant example for analysing the EU intervention. Second, EUBAM can be assessed in the framework of security sector reform and also speaks to the cross-cutting theme of local ownership. While the EUBAM has a limited geographic scope, its wide range of activities can generate positive externalities to the broader region.

Primary stakeholders are the EU delegation officers, representatives of the customs and border services, local authorities, EUBAM workers on the border; Moldovan stakeholders.

Primary research tools to assess the EUBAM activities are documentary research (founding documents, statements, reports, etc.) content analysis, semi-structured interviews with primary stakeholders, and focus groups.

Case 4: Normandy Format

The Normandy Format is a diplomatic group that includes representatives from Ukraine, Russia, Germany and France and was established to solve the conflict in eastern Ukraine. After the outbreak of conflict in the spring of 2014, the EU directly participated in the high-level meeting in Geneva along with Ukraine, Russia and the United States to de-escalate the situation.¹⁸ However, subsequent talks that became known as the Normandy format meetings had France and Germany representing the European Union. In a sense, EU delegated authority to Germany and France to formulate its intervention policies.

The Normandy format is a case of multi-track diplomacy. It can shed light on the roles played by Germany and France as delegates of the EU to resolve the conflict in Ukraine and the dynamics of creating, implementing and changing EU diplomacy. Another aspect that will be analysed is how the Normandy format is viewed by different stakeholders, both at national and local level.

Primary stakeholders for understanding the impact of the Normandy format are ambassadors and other diplomats from Ukraine, France, Germany and the EU delegation in Ukraine, analysts, local authorities, journalists, representatives from NGOs and academia.

Primary research tools to assess the Normandy format are documentary research (founding statements), content analysis, semi-structured interviews with primary stakeholders, brainstorming (south, east, and west Ukraine, Mariupol), and focus groups (Donetsk and Lugansk IDPs).

¹⁸ "Geneva Meeting on the situation in Ukraine," *EU Delegation to the UN and other international organisations in Geneva*. <http://eeas.europa.eu/delegations/un_geneva/press_corner/focus/events/2014/20140417_ukraine_talks_en.htm>

Figure 4.1: Overview of selected policies Ukraine

	EU Initiative	Description	Reasons for Selection	Expected Findings	Stakeholders	Methods
SELECTED RESEARCH TOPICS						
1 G O V	EU initiatives to support Local Governance & Decentralization Reform in UA	The question of decentralization is on the agenda of the current peace talks. EU is a strong supporter of local governance and decentralization reform in Ukraine.	Efforts of the EU (e.g. Instrument contributing to Stability and Peace) are crucial in strengthening local governance in conflict-affected areas in the east of Ukraine.	Positive correlation between the EU intervention, decentralization efforts and conflict resolution.	1. Foreign diplomats 2. Ukrainian politicians 3. Local politicians, journalists, analysts.	Documentary research, Content analysis, Semi-structured interviews, Focus groups
2 S S R	EU Advisory Mission for Civilian Security Sector Reform in Ukraine (EUAM Ukraine)	EUAM was created under the EU's CSDP. The goal of the mission is to assist Ukraine with police reform and improving the rule of law.	EUAM is directly affecting the SSR (non-military component). SSR is a key element of peacebuilding and crisis management.	Information about whether and how EUAM contributes to rule of law and police reform	1. Representatives from EUAM 2. Subjects of EUAM mission (border, police, customs) 3. politicians/opinion-makers, analysts.	Documentary research, Content analysis, Semi-structured interviews, Focus groups
3 S S R	EU Border Assistance Mission to Moldova and Ukraine (EUBAM)	Since 2005, EUBAM has supported capacity building for border management on the entire MD/UA border.	Its training and advisory activities, conflict resolution and good governance efforts, make EUBAM a pivotal actor in terms of local ownership. Furthermore, the geographic location of the EUBAM indirectly	Information about whether and how EUBAM, that has a limited geographic scope, can generate positive externalities for the broader region.	1. EU delegation 2. Representatives of the customs of border services 3. Local authorities; EUBAM workers on the border 4. Moldovan	Documentary research, Content analysis, Semi-structured interviews, Focus groups

			connects it to conflict dynamics in the eastern Ukraine (due to Russian presence in MD).		stakeholders.	
4 M T D	Normandy Format	Diplomatic group (DE, FR, UA, RU) established to solve conflict in eastern Ukraine	Normandy format represents one of the tracks in the MTD. An interesting case when the EU delegates authority to DE&FR.	Role of FR&DE as delegates of the EU and also as one of the tracks in the MTD.	1. Ambassadors and other diplomats from Ukraine, France, Germany, and EU delegation. 2. Analysts 3. Local authorities, journalists, NGOs, academia	Documentary research, Content analysis, Semi-structured interviews, Brainstorming (South East Ukraine and Western, Mariupol), Focus Groups (Donetsk and Lugansk IDPs)

4.3 Comments on methodology

The researchers do not need any translation during the preparatory period. It will be necessary at later stages when the draft or final publications will be ready to share with the participants of the project. Most of research activities will take place in Kyiv. EUAM headquarters are located in Kyiv, while EUBAM headquarters are in Odessa. The evaluations or viewpoints from foreign decision and opinion makers (Russia, EU member states, and the U.S.) will be also researched.

See below a preliminary overview of actors that will be interviewed:

- Representatives of the EUAM
- Representatives of the EUBAM
- Decision makers in Ukraine (representatives of Administration of President; Parliament; Ministry of Foreign Affairs; Council of Security and Defence);
- Representatives of negotiating group within the Normandy Format;
- Opinion makers in Kyiv (analysts, journalists)
- Local decision and opinion makers representing conflicting regions;
- Diplomats representing the EU Delegation and EU member states working in Ukraine ;
- Representatives of the OSCE;
- Opinion makers from Russia, EU states, and the U.S.;
- Representatives of the UN agencies;
- Local authorities;
- Local NGOs

4.4 Planning and responsibilities

The planning of the research activities is as follows:

Development of research toolkit tailored to Ukrainian case	March 2016
Research of national context and international interventions	March 2016
Research of selected EU interventions	March 2016
Field Research (interviews, focus groups)	April – June 2016
Report on progress	30 June, 2016
Preparation of the draft report	July – August 2016
Report (first draft)	15 September, 2016
Report (final draft; sent to University of Utrecht)	10 October, 2016

Note: all dates are tentative and subject to change.

The Institute of World Policy team that is involved in the case study of EU interventions in Ukraine:

- | | |
|------------------|--------------------------------|
| ▪ Leonid Litra | Senior Researcher |
| ▪ Olga Lymar | Contact Person Data Management |
| ▪ Ivan Medynskyi | Senior Researcher |
| ▪ Oksana Savchuk | Assistant |
| ▪ Radyslav Kopan | Financial Manager |

4.5 Security assessments and ethics

There are no obvious risks to conduct the research since the majority of activities will take place in Kyiv which is rather far from a conflict zone. There is of course a possibility that the conflict will spill over in the neighbouring regions. However, in the nearest future this scenario is unlikely. At the same time, it is impossible to conduct the research in the occupied territories since the ceasefire is still not respected by the separatist forces (as of February 2016).

It is worth mentioning that the conflict area is only 3% of the territory of Ukraine. Thus, most of Ukraine is safe to conduct the research. Ukrainian scholars are free to collect data from various sources using all available methods. Researchers are free to carry out public surveys or to organize specific focus groups to measure public moods (bottom level). The researchers are also welcomed by the government to hold different studies (in particular, in the security sphere). Local decision makers are available for interviews both on and off record (top level). In this regard, authorities in Ukraine can be considered as quite willing to respond to the scientists' needs.

Yet, negative scenarios which may pose various levels of threat for researchers still cannot be completely excluded in the short and mid-term periods. They might be spurred both by external interference (from Russia) and by domestic developments when pro-dictatorial politicians may shape the agenda in the state. NGOs and civil society organisations connected to this project are available to the researchers for support.

Interviews will be held on the basis of informed consent forms, offering respondents the possibility to remain anonymous.

Chapter 5 – Yemen

5.1 Introduction

Yemen underwent a drastic change since the uprising in 2011, with which it began a political transition period with different phases before reaching the stalemate we are witnessing today. The EU role in Yemen became more visible following the uprising. It also had a bigger chance of making an impact, more than ever before, which is why this research will look at the EU role between 2011–2016. The political transition process went through three main time-periods, which this research will analyse, also highlighting the changes of focus of the EU policy and EU interventions in each. It is important to note that the EU was acting mostly as part of a coalition of international actors.

The first phase of the Yemeni political transition process was following the uprising and the adoption of what became known as the Gulf Cooperation Council (GCC) initiative until the commencement of the National Dialogue Conference (NDC) in March 2013. This period was dominated by peace building efforts and focused on inclusivity of different components in the process, including women and youth. The second period is that of the NDC which began in March 2013 and lasted for 9 months. The NDC period is critical because this was the time period that 565 delegates from different components came together to draft what is supposed to be the new social contract for the country. The focus in this period was on careful management of the transition and efforts to keep it from collapsing. The third period is following the conclusion of the NDC until the beginning of 2016. This period is one of escalating tensions between different components surrounding the interpretation and implementation of the NDC outcomes. This period was dominated by efforts of conflict management that continue until this day.

In the case of Yemen, perhaps even more clearly than in other case study countries, the EU was keen on maintaining a strong coordination with other international actors throughout the period specified. The multi-track diplomacy of the EU, which was its most apparent area of intervention, was closely linked to the overall so called “G10+” policy in Yemen. The G10 was composed of the five permanent members of the UN Security Council, five members of the Gulf Cooperation Council in addition to the EU and Germany. The research will also give an overall description of the G10+ policy in Yemen throughout the period identified. To provide this context, the researchers will make sure that some questions regarding the role of the G10+ in general are asked in the interviews and focus group discussions.

5.2 Cases

Period: 2011 – NDC

Cases 1 and 2: Projects in the Pre-NDC Period:

For the period between Feb 2011 and March 2013, the research will explore the methods of EU interventions which were mostly dominated by projects targeted towards peace building and youth and women empowerment. We currently have identified two cases to look into. However, the final selection of the cases will be decided in March, after our researchers talk and discuss with members of the EU delegation to Yemen to get a better understanding from them what interventions they considered the most relevant in that period. The current two suggestions we have are a project in support of female inmates' capacity enhancement, and another project designed for citizen empowerment in conflict transformation and peace building.

NDC

The NDC support cases will occupy around 60% of the selected EU policies research. This is because the NDC has been one of the EU supported policies that left the biggest impact during the transition period that started in 2011.

Case 3: Donor role of the EU at the NDC:

The case that the research will cover most extensively is the National Dialogue Conference (NDC) which began on March 2013 and lasted 9 months. The EU was one of the main donors for the NDC. This part of the research will include a general evaluation of the NDC and it will look into the questions of why and how the EU supported the NDC, what the main changes in these interventions were, and how these interventions were assessed by different stakeholders.

Case 4: Diplomatic Role of the EU during the NDC:

In addition to being one of the main donors for the conference, the EU itself played an important diplomatic role in reaching out to different Yemeni political actors during the conference. Researching this case, we will look into how EU diplomacy worked. We plan to interview the NDC delegates and get a sense from them on how the diplomatic role of the EU evolved during the NDC and how this role was assessed by key stakeholders.

Case 5: Local Dialogues Project (safety net for NDC):

Within the EU general support for the NDC, there were a number of EU projects aimed at supporting the function of the NDC and extending its outreach and inclusivity. The EU funded initiatives that were meant to be safety nets for the NDC; one of the major projects that the EU funded during and after the NDC was the Local Dialogues project. This is a project where forums were organized to allow for dialogue between local communities in five governorates in Yemen. The goal was to extend the dialogue the local communities and then channel the outcome of those discussions back into the NDC. This part of the research will assess this initiative, focusing on issues of inclusivity and local community involvement.

Period: Post NDC- 2016

Case 6: Multi-track Diplomacy following the NDC-2016:

When it comes to the EU policy in Yemen, the period following the NDC is dominated by multi-track diplomacy spearheaded by the EU Ambassador to Yemen. This part of the research will focus mostly on her personal role in leading the EU policy in conflict management. The EU ambassador has been credited by many Yemeni and international observers for her active role in mediation between conflicting parties, especially as the conflict escalated starting from March 2015. The research will explore the factors behind her role and the guiding principles for her involvement. We will also look at the different assessments of this kind of diplomacy.

5.3 Methodological considerations

For general facts and figures, the research team will rely on desk research. However, when it comes to assessing the impact of the interventions, the researchers will rely on both interviews and some focus group discussions that will be organized. For cases in the period before the NDC, since the beneficiaries are generally diverse and numerous, the research team will organize focus group meetings where the EU projects are discussed. However, in the general case of the NDC and the period after, the researchers will use mostly interviews. For example, there will be interviews with selected NDC delegates from different components. We also plan to interview participants from the Local Dialogues project as well as members of the EU delegation to Yemen, including the ambassador.

A thorough understanding of the political and economic context of the situation in Yemen between 2011-2016 is crucial in order to study and understand the different EU interventions during that period. This part of the study will not require any field research. The researchers will rely on PDF's own data base of research papers and direct engagement in supporting the political transition process during the period specified.

5.4 Planning of research and responsibilities:

The research team is composed of three researchers. The three researchers are:

- Alia Eshaq;
- Azd al-Kadasi; and
- Abdulhakeem Ezzaldine.

The team will be led by Alia who will coordinate between the researchers and be the main overall contact person with regards to the research in general. Abdulhakeem will be the main contact person with regards to the data management. Since Alia is based abroad she will be responsible for conducting interviews with those who are abroad, including members of the EU delegation to Yemen. On the other hand, Hakeem and Azd will conduct interviews with those who are still based in Yemen. They will also be responsible for organizing for the focus groups discussion in Sana'a.

Name	Task
Alia Eshaq	lead researcher and main contact person
Azd Al-Kadasi	researcher
Hakeem Ezzadine	researcher and contact person for data management

The research will start in March and will begin with a number of interviews with members of the EU delegation in order to get an overview of their assessment of the different forms of EU intervention during the past five years in Yemen. After those initial interviews the selection of the pre-NDC cases will also be finalized. The members of the research team will then agree on the list of individuals to be interviewed as well as those who will be invited to the focus group meetings. A general list of questions will also be agreed upon beforehand in order to have a systematic approach. However, during each interview, each researcher will have the freedom to ask additional questions depending on the person he/she is interviewing. The research phase will continue until July 2016.

The writing phase will take place between July-September 2016. The writing task will be divided among the research team where each member will focus on the sections that they researched. The research team will attempt to finalize the first draft of the paper by the end of August so there is time for final feedback and revision before it is delivered to the leader of WP3 by the beginning of October 2016. September will be dedicated for getting feedback on the first draft of the research and improving it.

Coordination with the leader of WP3 will continue throughout the research phase. PDF is keen on maintaining contact with Utrecht University throughout different phases of the research in order to avoid any drastic changes that could be required on a short notice. Our contact person will send a monthly update to the University in order to get regular and early feedback.

Additionally, before the writing phase begins, PDF will send a suggested detailed outline of the paper to Utrecht University and get their feedback on it. The most intensive period of contact and shared feedback will be in September after the PDF submits its first draft of the paper.

5.5 Security Assessment and ethics

The security situation in Yemen is one of the main challenges that the research team will face when conducting this research. The main reason behind this is the fact that many of the politicians (some of the interviewees for the NDC and post NDC cases) are currently abroad. This creates a logistical challenge of reaching them and conducting interviews with them. However, we intend to deal with this through using the opportunities we have when meeting some of the politicians abroad (usually for other PDF projects) to conduct interviews. Having one of our researchers based abroad is also an advantage which addresses this challenge.

So far the situation in Sana'a remains relatively stable, except for the airstrikes. In other words, so far no ground fighting has erupted in the city, which would have greatly disturbed conducting this research. However, Sana'a and some of the governorates surrounding it are so far the only exception for a safe environment to conduct the research. Other major cities such as Aden or Taiz are extremely volatile with both the spread of extremist militias as well as ground fighting and attacks. Additionally, Yemenis from northern descent are stopped at checkpoints and not allowed to enter into Aden and other southern governorates. For those reasons the research team will focus its research activities in Sana'a and abroad. Going to other governorates and cities is too great a security risk.

PDF takes the ethics surrounding the conduct of any research very seriously. The interviewees will be properly informed about the reasons behind the interview and the goals of the project before each interview. They will also be asked to sign an informed consent form stating that they have been properly informed about the research and how the PDF will utilize their interview. The participants of the focus group will also be informed about the purpose of the meeting. In case any of the participants or interviewees wish to remain anonymous, then the PDF will respect their wishes.

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